# University of the Free State
# ANNUAL REPORT
## to the Minister of Higher Education and Training
# 2015

UNIVERSITY OF THE
**FREE STATE**
UNIVERSITEIT VAN DIE
**VRYSTAAT**
YUNIVESITHI YA
**FREISTATA**

UFS
UV

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# 1 ABOUT THE UFS

## 1.1 Strategic Plan

The University of the Free State (UFS) 2015-2020 Strategy is built on the UFS 2012-2016 Strategic Plan in two ways. First, the 2012-2016 Strategic Plan set out the long-term vision for the University of the Free State (UFS) as well as its mission. The academic project, the human project and the support services foundation, as the axis for the UFS's development and institutional definition, constitute the strong basis shaping and supporting the new strategy for the period 2015 to 2020. Second, the new strategy builds on the achievements of the goals set out during Prof Jonathan Jansen's first term as Vice Chancellor (VC). The difference between the two strategies is simple. The 2012-2016 Strategy provided the UFS with a common purpose and project that set the institution into motion on a long-term path of development. The 2015-2020 Strategy takes a medium-term view focused on deepening certain aspects of the change already achieved and on ensuring the sustainability of the academic project. This implies that the 2015-2020 Strategy is more "managerial" and sharper in terms of short- and medium-term goals and objectives. However, the 2015-2020 Strategy is still inspired by the same vision that allowed the UFS to imagine a different future five years ago.

**17%** distance

**83%** contact

**82%** undergraduate success rate

## UFS IN FIGURES

**3 1 0 5 1** students

**2 7 0** qualifications

**6 1 5** programmes

**1 0 0** departments

**7** faculties

**2 450** permanent staff members
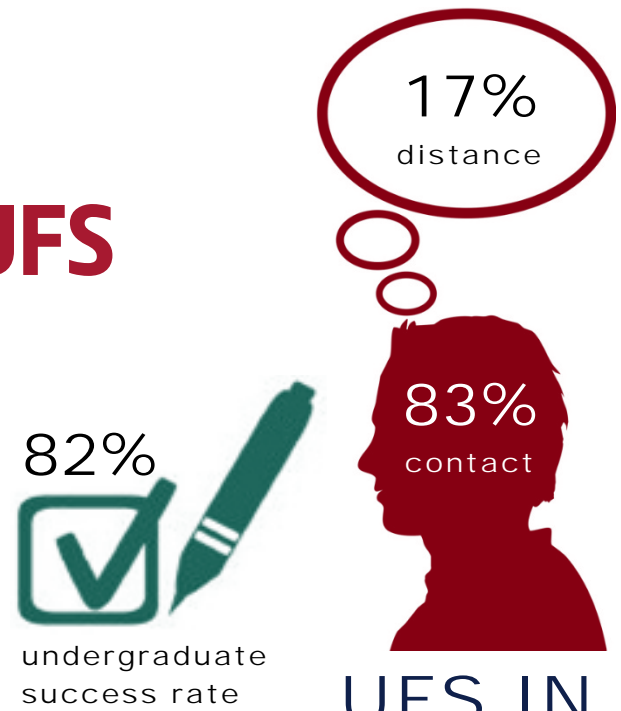
**844** academics
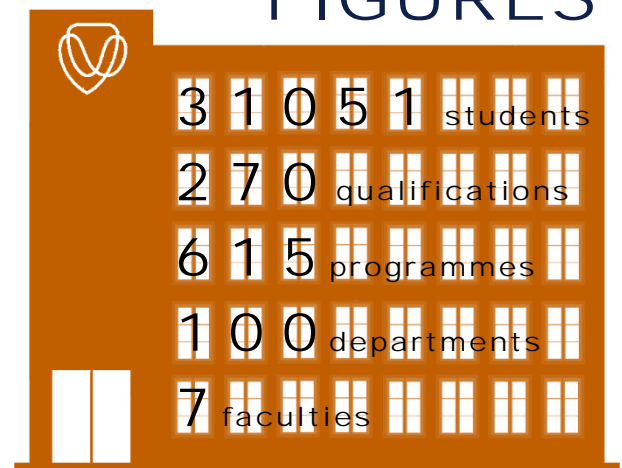
**Business and management**

**15%**

**Education**

**16%**

**40%**

**29%**

**Other humanities**

**Science, engineering and technology**

The 2015-2020 Strategy will refine the institutional priorities that are based on the human and academic projects and the support services foundation. The UFS will advance the academic project by strengthening and enhancing the university's academic reputation; it will extend the human project by improving the equity profile and diversity of its staff; and it will fortify the support services foundation by strengthening and enhancing the university's financial sustainability. These three priorities are intertwined. Given the manner in which the government subsidy works and the extent to which the UFS is dependent on this source of income, there is a fundamental connection between the university's performance in academic terms and its financial sustainability. At the same time the UFS believes that diversity is a precondition for the quality of intellectual outputs in both teaching and learning and research; increased equity and diversity in our staff thus is a necessary element to improve our academic standing. ☐

**5 246**

**students in residence**

**1 009**

**University Preparation Programme students**

**4 769**

**students in extended programmes**

**100**

**post-doctoral fellows**

**699**

**doctoral students**

**NRF-rated**

**127**

**researchers**

**3 491**

**undergraduate degrees conferred**

**VISION**

A university recognised across the world for excellence in academic achievement and in human reconciliation

ACADEMIC PROJECT | SUPPORT SERVICES FOUNDATION

Advancing excellence in the scholarship of research, teaching and public service

Promoting innovation, distinctiveness and leadership in both academic and human pursuits

**MISSION**

grouped within

**PRIORITY AREAS**

Establishing transparent opportunities for lifelong learning for academic and support staff

Demonstrating in everyday practice the value of human togetherness and solidarity across social and historical divides

Recruiting the best and most diverse students and academics into the University

Advancing social justice by creating multiple opportunities for disadvantaged students to access the University

Setting the highest standards for undergraduate and postgraduate education

HUMAN PROJECT

**GOALS**

Improve academic reputation

Improve staff and student equity

Achieve financial sustainability

**OBJECTIVES**

Increase student success

Improve research outputs

Improve staff equity

Improve student equity

Decrease dependence on tuition fees

**STRATEGIES**

Improve quality and effectiveness of teaching and learning at under- and postgraduate level

Strategic management of enrolments

Improve research quality

Increase research productivity

Strategic management of academic staff appointments

Decrease the gap between black and white student success rates

Increase third stream income from advancement, research and innovation, and short learning programmes

**VALUES**

Superior Scholarship ■ Institutional Distinctiveness
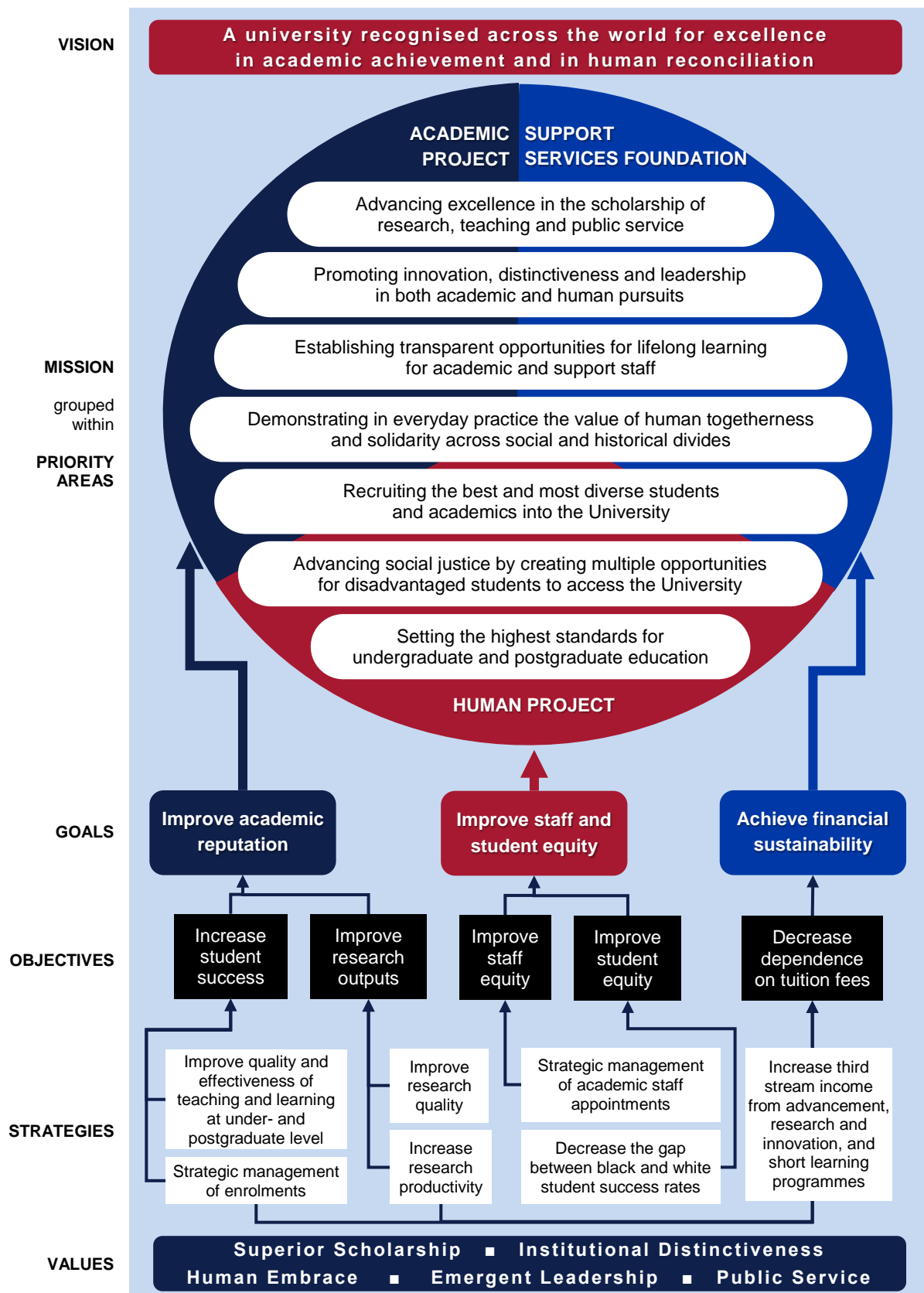Human Embrace ■ Emergent Leadership ■ Public Service

**Figure 1: Map of the UFS Strategic Plan 2015 to 2020**

## 1.2 Governance

### 1.2.1 UFS Council 2015

The UFS Council governs the University subject to the Higher Education Act and the Institutional Statute. The full function and composition of the Council is contained in the UFS Statute as amended (Government Gazette 20383 Nr 1937 of 17 August 1999).

**Chairperson**
Judge Ian van der Merwe

**Vice-Chairperson**
Mr Willem Louw

**Rector and Vice-Chancellor**
Prof Jonathan Jansen

**Vice-Rector**
Dr Choice Makhetha

**Appointed by the Minister of Higher Education and Training**
Mr Dan Mosia
Ms Suraya Jawodeen
Mr Sidney Kgara

**Appointed by the Premier of the Free State**
Mr Tate Makgoe

**Elected by the Senate**
Prof Gert van Zyl
Prof Helena van Zyl

**Elected by the Alumni**
Ms Loraine Roux
Mr Christo Dippenaar
Mr Henry Madlala (Qwaqwa Campus)

**Member of the religious community**
Father Patrick Towe

**Elected by the Donors**
Judge Ian van der Merwe

**Elected by the Convocation**
Prof Johan Grobbelaar

**Elected by the academic staff who are not members of Senate**
Dr Jacobus Potgieter

**Elected by the non-academic staff (support service employee)**
Ms Susan van Jaarsveld

**Appointed by the Central Student Representative Council**
Ms Mosa Leteane/Mr Lindokuhle Ntuli (Bloemfontein Campus)
Mr Thulasizwe Sithole/Mr Paseka Sikhosane (Qwaqwa Campus)

**Appointed by the South African Local Government Association: Free State**
Dr Balekile Mzangwa

**Chairperson of the Institutional Forum**
Dr Willy Nel

**Appointed by Council**
Mr Jonathan Crowther
Dr Susan Vosloo
Ms Likeleli Monyamane
Mr Ryland Fisher
Mr Ndaba Ntsele
Mr Kgotso Schoeman
Mr Derek Foster
Mr Willem Louw

**In advisory capacity**
Dr Lis Lange (Vice-Rector: Academic)
Prof Corli Witthuhn (Vice-Rector: Research)
Prof Nicky Morgan (Vice-Rector: Operations)
Mr Lourens Geyer (Senior Director: Human Resources)
Mr Chris Liebenberg (Senior Director: Finance)
Prof Prakash Naidoo (Campus Head: Qwaqwa Campus)
Dr Saretha Brüssow/ Dr Gift Vinger (Registrar)
Ms Lacea Loader (Director: Strategic Communication)

The Code of ethical conduct of the UFS council is included as Appendix 1 of this report and copies of the record of proceedings for each Council meeting held during 2015 is included as Appendix 2.

## Box 1: Statement on corporate governance by the UFS Council

The UFS has entered into formal recognition agreements with UVPERSU (the majority union) and NEHAWU. Monthly meetings are held individually with the Labour Relations Divisions and the unions. Employee participation is encouraged throughout the infrastructure, systems, and committees by representation in various formal structures, i.e. the Institutional Forum, Employment Equity Committee, Executive Committee of the Senate, and University Council. Two members of the Central Student Representative Council (CSRC) are full members of the Council. One CSRC member is a full member of the Senate. Students and trade unions are also represented on the Executive Committee of the Senate, the University Management Committee, and the Institutional Forum.

**Judge CHG van der Merwe**
Chairman of the Council

*UFS Council members serving at the date of adoption of this report (3 June 2016)*

**Chairperson**
Judge Ian van der Merwe

**Vice-Chairperson**
Mr Willem Louw

**Rector and Vice-Chancellor**
Prof Jonathan Jansen

**Vice-Rector**
*Dr Lis Lange*[i]

**Appointed by the Minister of Higher Education and Training**
Mr Dan Mosia
Ms Suraya Jawodeen
Mr Sidney Kgara

**Appointed by the Premier of the Free State**
Mr Tate Makgoe

**Elected by the Senate**
Prof Gert van Zyl
Prof Helena van Zyl

**Elected by the Alumni**
Ms Loraine Roux
Mr Christo Dippenaar
Mr Henry Madlala (Qwaqwa Campus)

**Member of the religious community**
*Dr Ntabileng Rammile*

**Elected by the Donors**
Judge Ian van der Merwe

**Elected by the Convocation**
Prof Johan Grobbelaar

**Elected by the academic staff who are not members of Senate**
Dr Jacobus Potgieter

**Elected by the non-academic staff (support service employee)**
Ms Susan van Jaarsveld

**Appointed by the Central Student Representative Council**
*Mr Lindokuhle Ntuli*
(Bloemfontein Campus)
*Mr Paseka Sikhosane*
(Qwaqwa Campus)

**Appointed by the South African Local Government Association: Free State**
Dr Balekile Mzangwa

[i] Names in italics are members who have changed since 2015.

**Chairperson of the Institutional Forum**
Dr Willy Nel

**Appointed by Council**
Dr Susan Vosloo
Ms Likeleli Monyamane
Mr Ryland Fisher
Mr Ndaba Ntsele
Mr Kgotso Schoeman
Mr Derek Foster
Mr Willem Louw

**In advisory capacity**
*Dr Andre Keet (Acting Vice-Rector: Student Affairs and External Relations)*
Prof Corli Witthuhn (Vice-Rector: Research)
Prof Nicky Morgan (Vice-Rector: Operations)
*Ms Susan van Jaarsveld (Senior Director: Human Resources)*
Mr Chris Liebenberg (Senior Director: Finance)
Prof Prakash Naidoo (Campus Head: Qwaqwa Campus)
Dr Gift Vinger (Registrar: Governance and Policy)
*Dr Karen Lazenby (Registrar: Systems and Administration)*
Ms Lacea Loader (Director: Strategic Communication)

## *1.2.2   UFS Senate*

Senate is the highest authority on academic matters. It has four standing committees: the Academic Planning and Development Committee (APDC), the Teaching and Learning Committee, a Research Ethics Committee, and the recently established Library Committee. Students are represented in Senate and have members in the APDC and Teaching and Learning Committees. The Executive Committee of Senate (ECS), in co-operation with the Senate and Council, is responsible for the strategic management of the UFS with regard to its focus areas, key success factors, faculties, academic support services and portfolios.

In 2015 the UFS Senate consisted of the Rector and Vice-Chancellor, the Vice-Rectors, all full professors, the Registrars, one member of the Council (elected by the Council), the academic faculty deans, two members of the Central Student Representative Council (CSRC), and other academic employees as provided for by the Institutional rules (including the Deputy Registrar, two staff union representatives, and the heads of Communication and Brand Management, Finance, Human Resources, Research Development, and Institutional Research and Academic Planning. This composition of the Senate neither reflects nor supports the transformation drive of the University. Acknowledging this situation the Senate approved by majority vote a radical change to its composition in 2015. The change in composition implies reducing the proportion of full professors in Senate to 60% of the membership in order to give representation to academics who are not full professors, especially black and women academics, and to a larger number of students. The UFS is taking the necessary steps to have its statute changed so as to be able to implement this reform. ☐

### 1.2.3   University Management Committee 2015

The University Management Committee, in cooperation with the Senate and Council, is responsible for the strategic management of the UFS with regard to its priority areas, key success factors, academic support services and portfolios.

**Rector and Vice-Chancellor**
Prof Jonathan Jansen
(Chairperson)

**Vice-Rectors**
Prof Corli Witthuhn (Research)
Prof Nicky Morgan
(Operations)
Dr Choice Makhetha (Student Affairs and External Relations)
Dr Lis Lange (Academic)

**Registrars**
Dr Gift Vinger (Governance and Policy)
Dr Saretha Brussow/Dr Karen Lazenby (Systems and Administration)

**Central Student Representative Council**
Ms Mosa Leteane/Mr Lindokuhle Ntuli
(Bloemfontein Campus)
Mr Thulasizwe Sithole/Mr Paseka Sikhosane (Qwaqwa Campus)

**Qwaqwa Campus**
Prof Prakash Naidoo (Campus Head)

**Deans**
Prof Lucius Botes
(Humanities)
Prof Caroline Nicholson (Law)
Prof Hendri Kroukamp
(Economic and Management Sciences)
Prof Neil Heideman (Natural and Agricultural Sciences)
Prof Gert van Zyl (Health Sciences)
Prof Sechaba Mahlomaholo
(Education)
Prof Fanie Snyman (Theology)
Prof Daniella Coetzee (South Campus)

**In advisory capacity**
Ms Anita Lombard (UVPERSU representative)
Mr Thabang Sepeame
(NEHAWU representative)
Ms Elna van Pletzen (Deputy Registrar)

**Secretariat**
Ms Susan Esterhuizen
(Meeting Administration)

**Heads of departments**
Ms Keitumetse Eister (Library and Information Services)
Mr Chris Liebenberg (Finance)
Mr Lourens Geyer (Human Resources)
Ms Lise Kriel (Directorate for Institutional Research and Academic Development)
Dr Glen Taylor (Research Development)
Dr Vic Coetzee (ICT Service)
Mr Francois Marais (Centre for Teaching and Learning)
Dr Francois Strydom (Centre for Teaching and Learning)
Mr Nico Janse van Rensburg
(Physical Planning)
Ms Dineo Gaofhiwe-Ingram
(International Affairs)
Ms Lacea Loader
(Communication and Brand Management)
Prof Andre Keet (Institute for Reconciliation and Social Justice)
Mr Billyboy Ramahlele
(Community Engagement)
Ms Nomonde Mbadi (Student Marketing)
Dr Henriette van den Berg
(Postgraduate School)
Dr Marcus Ingram
(Institutional Advancement)
Ms Cornelia Faasen (Student Affairs)

### 1.2.4   Student Representative Council 2014/2015

**Bloemfontein**

*Elected portfolios*
Mosa Leteane (President)
Waldo Staude (Vice President)
Dineo Motaung (Secretary)
Maphenye Maditsi (Treasurer)
Lethabo Maebana (Media, marketing and liaison)
Tumelo Rapitsi (Transformation)
Stefan van der Westhuizen (Arts and culture)
Dominique de Gouveia (Sport)
Lindokuhle Ntuli (Legal and constitutional affairs)
Louzanne Coetzee (Accessibility and student support)
Mpho Khati (First generation students)
Victor Ngubeni (Student development and environment)

*Ex Officio portfolios*
Jonathan Ruwanika (Academic affairs)
Melissa Taljaard (Residences)
Kerry-Beth Berry (City students and commuters)
Johan du Plessis (RAG fundraising)
Manfred Titus (RAG community service)
Piet Thibane (Dialogue and associations)

**Qwaqwa**

*Elected portfolios*
Thulasizwe Sithole (President)
Zethu Mhlongo (Vice President)
Vukani Ntuli (Secretary)
Langelihle Mbense (Treasurer)
Nonqcebo Qwabe (Media and publicity)
Nkosingiphile Zwane (Politics and transformation)

*Ex Officio portfolios*
Samkelo Mtshali (Arts and culture)
Mthokozisi Luvuno (Sport)
Masabata Mokgesi (Postgraduates)
Makate Maieane (International affairs)
Samuel Phuti (Student media)
Mfundo Nxumalo (Religious affairs)
Ndumiso Memela (Student development and environment)
Simon Mofokeng (Academic affairs)
Ntombifuthi Radebe (Residences and catering)
Khanyisani Mbatha (Off-campus students)
Njabulo Mabaso (RAG community service and dialogue)

# 2 PERFORMANCE REPORT OF COUNCIL

## 2.1 Message from the Council Chair

The UFS Council takes its governance functions of giving strategic direction, making policy and oversight very seriously. In order to fulfil these functions the Council has adopted a score card of carefully chosen performance indicators in respect of which management is required to report regularly. Moreover, the Council has been instrumental in adopting integrated reporting as a tool for the strengthening of good governance. However, the need to comply with ever demanding frames for reporting to government requires the UFS to also produce a more traditional type of report until we find a better way of responding simultaneously to both our reporting obligations and our strategic needs. The 2015 Annual Report, as will be seen, is especially scrupulous in its compliance with the reporting expected in the Department of Higher Education and Training (DHET) regulations. The Council has continued to conduct self-evaluation in order to monitor its own performance and ensure that it discharges its responsibilities satisfactorily.

The UFS Council is a diverse and fully functional governing body that conducts its business through mature debate and consensus. In terms of the issues that occupied the Council during 2015, the initiation of a review of the UFS language policy has been especially important. As reported in previous years, the UFS Council has well-established sub-committees and holds management to a high standard with respect to implementation of governance decisions, reporting and meeting procedures. The relationship between Council and management is also very strong as it is based on respect for rules and persons. A distinguishing feature of the Council is the strength and depth of expertise in key areas of finance, auditing, management and human resources drawing, as it does, on leaders in these fields from both the public and private sectors.

Increasingly Council has come to rely on the renewed vigour of an active Institutional Forum representing students, staff and other stakeholders and we are grateful for the important advice received from the IF throughout 2015. A challenge in relation to the diversity of its composition is the lack of sufficient black women. However, during 2015 the Council appointed a black woman who has the potential to become a leader in the Council as a new member. We still can improve on this, but we are pleased we are delivering on our commitments. Maintaining a positive relationship with the DHET in respect of student

funding, reporting obligations and performance expectations is a priority of the Council. Equally important in our context is maintaining and cultivating a productive relationship with the provincial authorities, especially the Department of Health, in respect of the strength of the academic platform for the health sciences. It must be said, however, that an improvement of the commitment of the provincial authority to support the health sciences, is much needed.

Overall the Council is pleased with the progress made by the University in achieving its strategic goals and it is equally satisfied with the leadership offered by the Rector and his team, especially during the times of crisis in 2015. ◻

## 2.2 Improving the academic reputation of the UFS

### 2.2.1 Increasing student success

The University has selected cohort-based undergraduate throughput rate as the key performance indicator (KPI) of its success in terms of the quality and effectiveness of teaching and learning (see Table 1, KPI 1). Provisional data for this indicator show that the UFS undergraduate throughput rate has increased by 1.3% from 2014 to 2015, and that the 2015 target for undergraduate throughput has been exceeded. Student success indicators in the enrolment plan also show positive progress (see Table 2, items 26 to 36). In terms of degree credit success rate, for example, the rate for undergraduates has exceeded the target by 8% and the targets for all major fields of study have also been exceeded, particularly in the fields of business and management, and education. We cannot attribute this improvement in undergraduate success to a single intervention but rather to a range of initiatives that have been implemented with the goal of improving teaching and learning quality and effectiveness. These are discussed in detail in section 5.1.

However, these indicators also show that we need to improve our performance in terms of the success rates of our distance students. It is a well-known feature of most distance education in South Africa that its success rates are rather low. In our case, it is particularly concerning since the UFS offers mainly teacher upgrade qualifications that are essential for the country. As we always do, our first approach to a problem is to try to understand it. We are analysing the data to find possible reasons for the low success

rates and looking into different types of support that could be provided to our students.

When reviewing the provisional data in terms of the success of postgraduate students it is very important to bear in mind that the graduation ceremonies for 2015 Master's and doctoral graduates only take place in the final week of June 2016. The graduate headcount for these qualifications therefore increases significantly towards the end of June. Since the values for these indicators as reported in the Annual Performance Report 2015 is based on provisional data as at 25 April 2016, these values do not approximate the true value of the indicator and should not be used to measure progress towards the year-end target for this indicator. The University does expect to meet (or come very close to meeting) the 2015 target for these indicators.

### 2.2.2 Increasing research productivity

KPI 3 suggests that the UFS has fallen short of its research productivity target by almost 19% (see Table 1). However, this value is calculated based on three types of research outputs – publications, Master's graduates and doctoral graduates – and does not approximate the true value of the indicator if calculated before the end of June of a given year, due to the timing of the postgraduate graduation ceremonies (explained above). Provisional data for publication output units show that we have exceeded our 2015 target (see Table 2, item 43). Despite this improvement, the target for per capita publications has not been met. In addition, publications have decreased by 45 units since 2014 and the number of publication units

produced per permanent academic has decreased by 14%.

Again, these results must be interpreted in the context of the reliability of using provisional data. Audited publication output data for 2015 is expected to be released by the DHET in January 2016. A comparison of provisional data to audited data for 2014 show an increase of 132 units from provisional to audited data, and an increase of 0.13 units per capita. However, there is no clear pattern of change in provisional versus audited publication output data and we cannot predict if publication output data will change significantly after the submission of this Annual Performance Report. Assuming that there will not be a significant change in these figures, the University has implemented measures to improve per capita research output, in particular in the area of publications, in the form of an improved staff performance management system.

For some time the UFS has had a computer-based staff performance management system with which a considerable number of staff members did not comply and many, especially academics, rejected outright. This system is being replaced by a workload model that sees the allocation of staff time to a variety of tasks as the first aspect of a performance contract. The workload model consists of six major roles of an academic, including postgraduate activities, scholarly research activities, scholarly teaching and learning, scholarly service to the community, scholarly service to the University, and faculty management activities. An evidence-based score is calculated to indicate the extent and distribution of workload. In addition to the workload model for individual staff members, the UFS has also developed a viability model for academic units that focuses on inputs and

outputs in relation to the three core functions and that measures the contribution that different departments make to the academic enterprise. These models were rolled out during the latter half of 2015 and take performance management to a clearer and less compliance-driven approach. Ultimate responsibility for academic performance management resides with faculty deans, who have also implemented a new model for the management of the performance of their faculties between themselves and the Vice-Rector: Academic.

### 2.2.3 Improving the quality of research outputs

Provisional data show that a larger share of the research publication output units were generated from articles published in internationally indexed journals[ii] – from 54.7% in 2014 to 55.1% in 2015. Despite not having achieved the target of 70%, we are encouraged by this improvement. Three systems work together to improve the quality of research outputs at the University: the research outputs reward system; the academic appointment and promotions policy; and the senior professors project. The outputs reward system serves to incentivise the improved quality of research outputs through additional monetary rewards for articles published in internationally indexed scholarly journals. The academic appointment and promotions policy sets higher standards for academics in terms of qualifications and performance in all core functions of the institution, including criteria based on NRF rating. This policy guides decisions about new academic appointments as well as the academic development, performance management and

career progression of all academic staff at the UFS. In addition, staff members whose services are extended beyond retirement age sign performance contracts in terms of their research outputs. The senior professors project aims to address the challenge of intellectual stagnation and homogeny at the UFS. The senior scholars from outside the UFS who have been appointed in key areas of research and the curricular endeavour continue to play a key role in developing an institutional culture of academic debate and excellence, and in improving the quality of the undergraduate curriculum. However, the University is still very far from achieving the 70% target that it has set for itself. The Vice-Rector: Research and her team are investigating the reasons for not meeting the target. From a developmental point of view it is important to know whether academics have chosen not to submit articles to international journals or if having submitted articles these have been rejected. Each situation will require a different type of intervention.

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ii Internationally indexed journals include all journals indexed in the Thomson Reuters Web of Science (ISI) and the ProQuest International Bibliography of Social Sciences (IBSS). In future these allocations will be increased for articles published in non-South African ISI and IBSS journals.

## 2.3 Improving staff and student equity

### 2.3.1 Improving staff equity

The University has performed relatively well in 2015 in terms of its staff complement overall. Most notable is the increase in the share of academics holding doctorates from 42% to 47%, exceeding the 2015 target by 6% (see Table 2, items 40 and 41). However, in accordance with the DHET targets for 2015, improvements are required in relation to decreasing non-professional administrative staff and increasing academic staff (i.e. instruction/research professionals; see Table 2, items 37 to 39). The insufficient number of academics is also evident in the high ratio of students to academic staff; the 2015 ratio was 23, up from 19.5 in 2014, and 2.7 above the DHET target (see Table 2, item 44).

Still the UFS believes that 1:23 is not a worrying staff:student ratio, especially when one looks at it in a differentiated manner and ensures that in the health sciences the ratio is appropriate; in the natural sciences particularly in those disciplines that require laboratory work, the problem is not so much the number of staff as the number and size of the laboratories.

Finally, it has to be said that higher education institutions are operating against contradictory demands. On the one hand universities are expected to expand enrolments but achieving these targets puts pressure on the staff:student ratio. On the other hand, the actual decrease of the block grant means that higher education institutions cannot afford to employ more academic staff. These contradictions are made all the more difficult by the real scarcity of academic staff and the brutal competition between higher education institutions to employ available black academics.

The UFS has met the DHET target in terms of the race distribution of its permanent academics, with black staff members constituting 24.5% of this group in 2015. Despite having achieved the set goal, we are not satisfied with progress towards demographic equity in our academic staff complement. The race distribution of academics stands in stark contrast to the non-academic staff complement (53% black) as well as the student body (72% black). Disaggregation by rank reveals further disparities in terms not only of race, but also gender: the vast majority of the professoriate is white men while black women academics are heavily underrepresented. To address this challenge the University has formalised a faculty-based employment equity process through which the opportunity posed by academic retirements will be utilised as a chance to manage equity-based succession planning. Through this process the Human Resources department identifies retirements scheduled for the coming five years and each faculty has to submit a plan as to how these vacancies will be filled by staff members from designated groups. This allows for forward planning in terms of identifying potential scholars and investing in these staff members through purposeful capacity development and mentoring to assume specific academic roles over a five-year period.

If the new UFS language policy is finally approved in 2016 and its implementation starts in 2017 we expect this will also assist in increasing staff equity. The new policy will address two issues of marginalisation which in the past have contributed to fewer non-Afrikaans speaking staff members being successfully recruited and

retained in academic positions: first is the desirability (not prerequisite) for academics to be able to teach in Afrikaans; second is the inevitable exclusion of non-Afrikaans speaking academics from formal departmental meetings through the use of Afrikaans as the medium for these meetings. UFS Human Resources is also utilising exit interviews to determine why people are leaving the UFS in an effort to understand deeper problems and find ways to counter them.

### 2.3.2   Improving student equity

The UFS uses the difference between black and white undergraduate student success rates as a proxy and KPI of student equity. This difference has improved by 0.3% from 2014 to 2015, but we have not achieved the 2015 target of 8.3% (see Table 1). One initiative aimed at improving this figure is the Siyaphumelela project, funded by the Kresge Foundation (also see section 4.3). By joining the national project, the UFS hopes to increase its capacity to use data analytics to improve student success. Decreasing the disparity in success rates between black and white students in 20 high failure rate modules is an explicit outcome of the project, which brings together ongoing initiatives aimed at improved student success at the UFS by focusing on collection and integration of data on these initiatives, and using a data analytics approach to document data-based evidence of the impact of these initiatives on student success. These initiatives will be discussed in section 1.1.

The UFS is less focused on the demographic equity of its student body. However, it should be noted that we did not achieve the 74% to 26% black to white student ratio, as set by the DHET for 2015. This is due to African students constituting 64% of the student body, as opposed to the targeted 68% (see Table 2, item 17). However, we are more concerned by the lack of diversity that results from the overrepresentation of one racial group, as is the case on the Qwaqwa Campus is particular. The same is true with respect to gender; female students outnumber their male counterparts three to two at the UFS, and, as at many other universities in the country, there has been a much larger growth in the enrolment of female students compared to male students. From 2004 to 2014 headcount enrolments of women at the UFS increased by 36%, compared to only 6% for male students. Despite having met the 2014 DHET target for gender distribution, we have been concerned with the slow growth in men enrolling at the University. Therefore, it is encouraging to note a slight increase in the share of male enrolments, from 38% in 2014 to 39% in 2015, despite the fact that this means that we have not achieved the DHET target in this respect (see Table 2, item 21).

## 2.4 Achieving financial sustainability

### 2.4.1 Decreasing dependence on tuition fees

#### Increasing funding from research and innovation

Research output subsidy remains an important sources of funding generated through research and innovation. The UFS's performance regarding its 2015 research output has been discussed in section 2.2.2.

In terms of funding from research and innovation activities other than government subsidy, the Directorate Research Development has been successful in significantly increasing the income generated from research and innovation activities in 2015, in particular from National Research Foundation (NRF) funding, venture capital, research contracts, spin-off companies, licensing agreements, service provision, and short learning programmes (SLPs). NRF funding increased from R40 million in 2014 to R65 million in 2015, and venture capital increased from R7 million to R10 million. Income from research contracts has increased by 123%, from R16 million in 2014 to R37 million in 2015, and income from SLPs have increased by 4.9% from R36 million to R38 million (see **Error! Reference source not found.**). In terms of SLPs, the increased institutional income may be attributed to improved policies and procedures that have resulted in better programme design, management and marketing. The UFS also holds a 30% share in Farmovs Parexel (Pty) Ltd, a clinical research organisation involved in pharmaceutical contract research. In 2015, this association has delivered a 34% increase in the value of the UFS's shares in the company, from

R39.3 million in 2014 to R52.7 million in 2015 (see **Error! Reference source not found.**, note 7). This association has also prompted the UFS to focus on greater commercialisation of its laboratories, allowing the institution to utilise its specialised equipment and technical skills to provide for-profit analytical services to outside clients.

#### Increasing funding from advancement activities

The University's income from private gifts and grants has increased significantly in 2015 – from R54.0 million to R109.6 million. This is the direct result of the strengthening of the Directorate for Institutional Advancement. As we reported last year the Directorate has been engaging with Information and Communication Technology (ICT) Services on a software strategy for data entry and analysis of financial and non-financial information that will enable a more robust understanding of current donor activity and prospect possibilities. The appointment of a new director is expected to have a positive influence in increasing the UFS's ability to secure donor funding for special projects.

#### Strategic management of enrolments

Decreasing dependence on tuition fees has become an urgent objective for all South African universities since the #feesmustfall events of 2015 and their impact on current and future income generated by tuition fees. The fact that tuition fees constituted 36.0% of the UFS's total income in 2015, an increase from 35.7% in 2014, does not bode well. About half of our total income is from state appropriations and the majority of this figure is teaching input subsidy, which is related to enrolment numbers. The problem faced by the UFS currently is that in 2013 and

2014 it received a subsidy above the actual input units produced and that the subsidy will be adjusted accordingly during 2015 and 2016. This raises financial issues that are being managed within the University's budget.

The downward trend in enrolment numbers at the UFS began in 2012: 2.7% fewer students enrolled in 2013 than in 2012, and 7.4% fewer in 2014 than in 2013. This decline in headcounts is not, however, always associated with a decline in teaching input units (TIUs) and the ratio of TIUs to headcounts highlights the lack of correlation between these two variables. Headcounts increased in 2012 while TIUs decreased and vice-versa in the following year; from 2010 to 2013, headcounts increased by 2.4%, and TIUs increased by 13.9%. Headcounts increased by 0.1% from 2014 to 2015. The number of TIUs also increased only marginally in 2015 and remains 4 264 below the 2015 target (see Table 1, KPI 6).

The UFS identified two issues related to the administrative systems of the University which had a negative impact on enrolment numbers: inefficiencies in the administrative processes through which students apply to the UFS and are admitted and enrolled, and human resource difficulties at Student Academic Services and the Marketing department. The former is being addressed as part of the institution-wide process re-engineering project (PRENG), which is discussed in detail in section 4.4. In terms of the latter: high staff turnover and staff shortages means that the departments in this section do not have the capacity to manage all of their responsibilities efficiently, which has led to disconnected processes, bottlenecks, delays, mistakes, and frustration among staff members

at Student Academic Services, Marketing and ICT Services as well as among academic staff and current and prospective students and their parents. In 2015 the University implemented remedial measures to address these problems in three ways: the position of Senior Director for Student Academic Services was converted to a second Registrar position, allowing a separation of the Registrar's responsibilities into two positions, namely a Registrar: Systems and Administration (responsible for Student Academic Services) and a Registrar: Governance and Policy; and line management for the Marketing department was moved to the Registrar: Systems and Administration. The second phase of the PRENG project also includes a review of the competency profiles for all administrative positions in Student Academic Services, an exercise that will support the implementation of the redesigned and optimised processes developed in PRENG 1.

Given that the effects of PRENG 1 were not going to be felt in terms of 2016 enrolment numbers at the end of 2015 we implemented a series of transitory measures to mitigate the impact of systemic challenges in the 2016 student enrolment. A very intensive intervention involving the office of the Vice-Rector: Academic, the Academic Planning unit of DIRAP and eventually the newly appointed Registrar: Systems and Administration focused on the processing of applications and communication with prospective students. This, combined with an extraordinary effort of the marketing team, has resulted in a very significant improvement in enrolment numbers for 2016[iii].

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[iii] Provisional numbers indicate a 44% increase in first-time entering undergraduate enrolments.

As Table 2 shows, in 2015 the UFS has underperformed on almost all targets in each enrolment category (excepting doctoral enrolments and enrolments in the humanities other than education). We remain tentative in our overall targets for 2016, but we believe that we will meet the target for first-time entering undergraduate enrolments in 2016, and our overall targets by 2019. The key to achieve this goal is a formal, internal, faculty- and programme-based enrolment management process, managed by DIRAP in collaboration with the Vice-Rector: Academic and the deans. The process represents a novel approach to enrolment planning at the UFS that goes beyond the DHET enrolment plan to include strategic decision-making around the disciplinary shape of the University, and evidence-based targets that are directly linked to the enrolment capacity of the University in terms of human resources, technology (relevant to e-learning and distance enrolments) and physical space on all three campuses.

## Table 1: UFS Key Performance Indicators 2015

☑ Target met    ☒ Target not met by 4% of target or less    ☒ Target not met by more than 4% of target

| Strategic objective | KPI title | Actual 2014[iv] | Mid-year target 2015 | Year-end target 2015 | Provisional 2015[v] | |
|---|---|---|---|---|---|---|
| Increase student success | 1. Undergraduate throughput rate | 53.7% | [vi] | 53.7% | 55.0% | ☑ |
| | *See enrolment plan items 1 to 13, 22 to 25, and 44* | | | | | |
| Improve research outputs | 2. Share of publication output units generated from articles published in internationally indexed journals | 54.71% | [vi] | 70.0% | 55.1% | ☒ |
| | 3. Share of DHET research output norm achieved | 82.92% | | 84.7% | 66.0% | ☒ |
| Improve staff equity | 4. Percentage of permanent academics who are black | 22.4% | 24% | 24.0% | 24.5% | ☑ |
| Improve student equity | 5. Difference between black and white student module success rates | -9.9% | [vi] | -8.3% | -9.6% | ☒ |
| Decrease dependence on tuition fees | *See enrolment plan item 43* | | | | | |
| | 6. Number of teaching input units | 53 210 | 51 988[vii] | 57 764 | 53 500 | ☒ |

**Table 2: UFS Enrolment Plan 2015**

☑ Target met    ☒ Target not met by 4% of target or less    ☒ Target not met by more than 4% of target

| Enrolment plan table | | Actual 2014[iv] | Mid-year target 2015[viii] | Year-end target 2015 | Provisional 2015[v] | |
|---|---|---|---|---|---|---|
| 1. Total headcount (HC) **enrolments** by qualification groups | First-time entering undergraduates | 5 680 | 6 480 | 7 200 | 5 037 | ☒ |
| | Total undergraduate | 22 757 | 24 475 | 27 194 | 22 885 | ☒ |
| | Postgraduate to masters level | 3 923 | 3 182 | 3 535 | 4 051 | ☑ |
| | Masters | 2 221 | 2 123 | 2 359 | 2 069 | ☒ |
| | Doctors | 668 | 554 | 615 | 699 | ☑ |
| | Total postgraduate | 6 812 | 5 858 | 6 509 | 6 819 | ☑ |
| | Occasional students | 1 463 | 1 902 | 2 113 | 1 347 | ☒ |
| | TOTAL | 31 032 | 32 234 | 35 816 | 31 051 | ☒ |
| 2. Enrolment HC ratios | FU as % of total undergrads | 25.0% | 24.0% | 26.0% | 25.0% | ☒ |
| | Undergrads as % of total | 73.0% | 68.0% | 76.0% | 74.0% | ☒ |
| | Postgrads as % of total | 22.0% | 16.0% | 18.0% | 13.0% | ☒ |
| | Occasional as % of total | 5.0% | 5.0% | 6.0% | 4.0% | ☒ |
| 3. Contact HC enrolments by qualification type | Undergraduate diplomas/certificates | 662 | 1 445 | 1 606 | 532 | ☒ |
| | Advanced diploma | 0 | 0 | 0 | 0 | |
| | Undergraduate degrees | 17 963 | 17 069 | 18 965 | 18 714 | ☒ |
| | Total undergraduate | 18 625 | 18 514 | 20 571 | 19 246 | ☒ |
| | Postgraduate to masters level | 2 880 | 2 349 | 2 610 | 2 764 | ☑ |
| | Masters | 2 221 | 2 123 | 2 359 | 2 069 | ☒ |
| | Doctors | 668 | 554 | 615 | 699 | ☑ |
| | Total postgraduate | 5 769 | 5 026 | 5 584 | 5 532 | ☒ |
| | Occasional students | 1 186 | 1 902 | 2 113 | 1 087 | ☒ |
| | TOTAL | 25 580 | 25 441 | 28 268 | 25 865 | ☒ |
| 4. Distance HC enrolments by qualification type | Undergraduate diplomas/certificates | 3 204 | 3 356 | 3 729 | 2 716 | ☒ |
| | Advanced diploma | 0 | 0 | 0 | 0 | |
| | Undergraduate degrees | 928 | 2 605 | 2 894 | 923 | ☒ |
| | Total undergraduate | 4 132 | 5 961 | 6 623 | 3 639 | ☒ |
| | Postgraduate to masters level | 860 | 833 | 925 | 1 287 | ☑ |
| | Masters | 0 | 0 | 0 | 0 | |
| | Doctors | 0 | 0 | 0 | 0 | |
| | Total postgraduate | 860 | 833 | 925 | 1 287 | ☑ |
| | Occasional students | 277 | 0 | 0 | 260 | ☑ |
| | TOTAL | 5 269 | 6 793 | 7 548 | 5 186 | ☒ |
| 5. Total HC enrolments by qualification type | Undergraduate diplomas/certificates | 3 866 | 4 802 | 5 335 | 3 248 | ☒ |
| | Advanced diploma | 0 | 0 | 0 | 0 | |
| | Undergraduate degrees | 18 891 | 19 673 | 21 859 | 19 637 | ☒ |
| | Total undergraduate | 22 757 | 24 475 | 27 194 | 22 885 | ☒ |
| | Postgraduate to masters level | 3 923 | 3 182 | 3 535 | 4 051 | ☑ |
| | Masters | 2 221 | 2 123 | 2 359 | 2 069 | ☒ |
| | Doctors | 668 | 554 | 615 | 699 | ☑ |
| | Total postgraduate | 6 812 | 5 858 | 6 509 | 6 819 | ☑ |

[viii] All mid-year enrolment plan targets are calculated as 90% of the annual (year-end) target.

| Enrolment plan table | | Actual 2014[iv] | Mid-year target 2015[viii] | Year-end target 2015 | Provisional 2015[v] | |
|---|---|---|---|---|---|---|
| | Occasional students | 1 463 | 1 902 | 2 113 | 1 347 | ☒ |
| | TOTAL | 31 032 | 32 234 | 35 816 | 31 051 | ☒ |
| 6. Contact full-time equivalent (FTE) enrolments by course level | Total undergraduate | 16 680 | 16 332 | 18 147 | 17 561 | ☒ |
| | Postgraduate to masters level | 2 162 | 1 567 | 1 741 | 2 241 | ☑ |
| | Masters | 882 | 1 078 | 1 198 | 944 | ☒ |
| | Doctors | 288 | 232 | 258 | 311 | ☑ |
| | Total postgraduate | 3 332 | 2 877 | 3 197 | 3 496 | ☑ |
| | TOTAL | 20 012 | 19 210 | 21 344 | 21 057 | ☒ |
| 7. Distance FTE enrolments by course level | Total undergraduate | 2 196 | 3 467 | 3 852 | 2 203 | ☒ |
| | Postgraduate to masters level | 689 | 592 | 658 | 821 | ☑ |
| | Masters | 0 | 0 | 0 | 0 | |
| | Doctors | 0 | 0 | 0 | 0 | |
| | Total postgraduate | 689 | 593 | 658 | 821 | ☑ |
| | TOTAL | 2 885 | 4 059 | 4 510 | 3 024 | ☒ |
| 8. Total FTE enrolments by course level | Total undergraduate | 18 876 | 19 799 | 21 999 | 19 764 | ☒ |
| | Postgraduate to masters level | 2 850 | 2 159 | 2 399 | 3 062 | ☑ |
| | Masters | 882 | 1 079 | 1 198 | 944 | ☒ |
| | Doctors | 288 | 232 | 258 | 311 | ☑ |
| | Total postgraduate | 4 020 | 3 470 | 3 855 | 4 317 | ☑ |
| | TOTAL | 22 897 | 23 269 | 25 854 | 24 081 | ☒ |
| 9. FTE enrolments to enrolment HC ratios by course level | Total undergraduate | 0.83 | 0.73 | 0.81 | 0.86 | ☑ |
| | Postgraduate to masters level | 0.73 | 0.61 | 0.68 | 0.76 | ☑ |
| | Masters | 0.40 | 0.46 | 0.51 | 0.46 | ☒ |
| | Doctors | 0.43 | 0.38 | 0.42 | 0.44 | ☑ |
| | Total postgraduate | 0.59 | 0.53 | 0.59 | 0.63 | ☑ |
| | TOTAL | 0.74 | 0.65 | 0.72 | 0.78 | ☑ |
| 10. Contact HC enrolments by major field of study[ix] | Science, engineering, technology | 8 896 | 9 289 | 10 321 | 8 458 | ☒ |
| | Business/management | 3 531 | 4 402 | 4 891 | 4 198 | ☒ |
| | Education | 1 861 | 2 824 | 3 138 | 3 264 | ☑ |
| | Other humanities | 11 292 | 8 926 | 9 918 | 8 510 | ☒ |
| | TOTAL | 25 580 | 25 441 | 28 268 | 24 430 | ☒ |
| 11. Distance HC enrolments by major field of study[ix] | Science, engineering, technology | 38 | 26 | 29 | 547 | ☑ |
| | Business/management | 1 088 | 1 595 | 1 772 | 460 | ☒ |
| | Education | 3 210 | 4 804 | 5 338 | 1 704 | ☒ |
| | Other humanities | 1 116 | 368 | 408 | 3 910 | ☑ |
| | TOTAL | 5 452 | 6 793 | 7 548 | 6 621 | ☒ |
| 12. Total HC enrolments by major field of study[ix] | Science, engineering, technology | 8 935 | 9 315 | 10 350 | 9 005 | ☒ |
| | Business/management | 4 619 | 5 997 | 6 663 | 4 658 | ☒ |
| | Education | 5 071 | 7 629 | 8 476 | 4 968 | ☒ |
| | Other humanities | 12 408 | 9 294 | 10 326 | 12 420 | ☑ |
| | TOTAL | 31 032 | 32 234 | 35 816 | 31 051 | ☒ |

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[ix] All major field of study figures are estimated values based on course enrolments by CESM category.

| Enrolment plan table | | Actual 2014[iv] | Mid-year target 2015[viii] | Year-end target 2015 | Provisional 2015[v] | |
|---|---|---|---|---|---|---|
| 13. Proportion of total HC enrolments by major field of study[ix] | Science, engineering, technology | 29% | 26% | 29% | 29% | ☑ |
| | Business/management | 15% | 17% | 19% | 15% | ☒ |
| | Education | 16% | 21% | 24% | 16% | ☒ |
| | Other humanities | 40% | 26% | 29% | 40% | ☑ |
| | TOTAL | 100% | 90% | 100% | 100% | ☑ |
| 14. Contact HC enrolments by race group | African | 15 846 | 16 536 | 18 373 | 16 364 | ☒ |
| | Coloured | 1 436 | 990 | 1 100 | 1 554 | ☑ |
| | Indian | 306 | 288 | 320 | 331 | ☑ |
| | White | 7 992 | 7 628 | 8 475 | 7 604 | ☒ |
| | TOTAL | 25 580 | 25 441 | 28 268 | 25 853 | ☒ |
| 15. Distance HC enrolments by race group | African | 3 917 | 5 441 | 6 045 | 3 501 | ☒ |
| | Coloured | 217 | 342 | 380 | 227 | ☒ |
| | Indian | 318 | 149 | 165 | 363 | ☑ |
| | White | 1 000 | 862 | 958 | 1 107 | ☑ |
| | TOTAL | 5 452 | 6 793 | 7 548 | 5 198 | ☒ |
| 16. Total HC enrolments by race group | African | 19 763 | 21 976 | 24 418 | 19 870 | ☒ |
| | Coloured | 1 653 | 1 332 | 1 480 | 1 778 | ☑ |
| | Indian | 624 | 437 | 485 | 694 | ☑ |
| | White | 8 992 | 8 490 | 9 433 | 8 709 | ☒ |
| | TOTAL | 31 032 | 32 234 | 35 816 | 31 051 | ☒ |
| 17. Proportion of total HC enrolments by race group | African | 64% | 61% | 68% | 64% | ☒ |
| | Coloured | 5% | 4% | 4% | 6% | ☑ |
| | Indian | 2% | 1% | 1% | 2% | ☑ |
| | White | 29% | 24% | 26% | 28% | ☑ |
| | TOTAL | 100% | 90% | 100% | 100% | ☑ |
| 18. Contact HC enrolments by gender | Female | 15 367 | 15 075 | 16 750 | 15 524 | ☒ |
| | Male | 10 213 | 10 366 | 11 518 | 10 329 | ☒ |
| | TOTAL | 25 580 | 25 441 | 28 268 | 25 853 | ☒ |
| 19. Distance HC enrolments by gender | Female | 3 842 | 4 824 | 5 360 | 3 522 | ☒ |
| | Male | 1 610 | 1 969 | 2 188 | 1 676 | ☒ |
| | TOTAL | 5 452 | 6 793 | 7 548 | 5 198 | ☒ |
| 20. Total HC enrolments by gender | Female | 19 209 | 19 899 | 22 110 | 19 050 | ☒ |
| | Male | 11 823 | 12 335 | 13 706 | 12 001 | ☒ |
| | TOTAL | 31 032 | 32 234 | 35 816 | 31 051 | ☒ |
| 21. Proportion of total HC enrolments by gender | Female | 62% | 56% | 62% | 61% | ☒ |
| | Male | 38% | 34% | 38% | 39% | ☑ |
| | TOTAL | 100% | 90% | 100% | 100% | ☑ |
| 22. Contact FTE enrolments by major field of study[ix] | Science, engineering, technology | 7 325 | 6 723 | 7 470 | 7 235 | ☒ |
| | Business/management | 3 252 | 3 842 | 4 269 | 3 709 | ☒ |
| | Education | 2 463 | 2 113 | 2 348 | 2 645 | ☑ |
| | Other humanities | 6 972 | 6 531 | 7 257 | 7 469 | ☑ |
| | TOTAL | 20 012 | 19 210 | 21 344 | 21 057 | ☒ |

| Enrolment plan table | | Actual 2014[iv] | Mid-year target 2015[viii] | Year-end target 2015 | Provisional 2015[v] | |
|---|---|---|---|---|---|---|
| 23. Distance FTE enrolments by major field of study[ix] | Science, engineering, technology | 15 | 162 | 180 | 8 | ☒ |
| | Business/management | 720 | 1 339 | 1 488 | 858 | ☒ |
| | Education | 1 266 | 1 989 | 2 210 | 1 266 | ☒ |
| | Other humanities | 884 | 569 | 632 | 892 | ☑ |
| | TOTAL | 2 885 | 4 059 | 4 510 | 3 024 | ☒ |
| 24. Total FTE enrolments by major field of study[ix] | Science, engineering, technology | 7 340 | 6 885 | 7 650 | 7 242 | ☒ |
| | Business/management | 3 972 | 5 181 | 5 757 | 4 567 | ☒ |
| | Education | 3 729 | 4 102 | 4 558 | 3 911 | ☒ |
| | Other humanities | 7 856 | 7 100 | 7 889 | 8 361 | ☑ |
| | TOTAL | 22 897 | 23 269 | 25 854 | 24 081 | ☒ |
| 25. Proportion of total FTE enrolments by major field of study[ix] | Science, engineering, technology | 32% | 27% | 30% | 30% | ☑ |
| | Business/management | 17% | 20% | 22% | 19% | ☒ |
| | Education | 16% | 16% | 18% | 16% | ☒ |
| | Other humanities | 34% | 27% | 31% | 35% | ☑ |
| | TOTAL | 100% | 90% | 100% | 100% | ☑ |
| 26. **Success rates**: Contact FTE degree credits by course level | Total undergraduate | 13 772 | [vi] | 13 349 | 14 465 | ☑ |
| | Postgraduate to masters level | 1 841 | | 1 383 | 1 883 | ☑ |
| | Masters | 625 | | 863 | 655 | ☒ |
| | Doctors | 216 | | 178 | 94 | ☒ |
| | Total postgraduate | 2 682 | | 2 424 | 2 232 | ☒ |
| | TOTAL | 16 454 | | 15 773 | 16 697 | ☑ |
| 27. Contact FTE degree credits by field of study[ix] | Science, engineering, technology | 6 250 | [vi] | 5 835 | 5 873 | ☑ |
| | Business/management | 2 487 | | 2 822 | 2 843 | ☑ |
| | Education | 2 128 | | 1 811 | 2 279 | ☑ |
| | Other humanities | 5 590 | | 5 305 | 5 702 | ☑ |
| | TOTAL | 16 454 | | 15 773 | 16 697 | ☑ |
| 28. Distance FTE degree credits by course level | Total undergraduate | 1 702 | [vi] | 2 930 | 1 727 | ☒ |
| | Postgraduate to masters level | 455 | | 512 | 527 | ☑ |
| | Masters | 0 | | 0 | 0 | |
| | Doctors | 0 | | 0 | 0 | |
| | Total postgraduate | 455 | | 512 | 527 | ☑ |
| | TOTAL | 2 157 | | 3 442 | 2 254 | ☒ |
| 29. Distance FTE degree credits by field of study[ix] | Science, engineering, technology | 12 | [vi] | 147 | 7 | ☒ |
| | Business/management | 468 | | 1 029 | 551 | ☒ |
| | Education | 1 070 | | 1 782 | 1 071 | ☒ |
| | Other humanities | 607 | | 483 | 625 | ☑ |
| | TOTAL | 2 157 | | 3 442 | 2 254 | ☒ |
| 30. Total FTE degree credits by course level | Total undergraduate | 15 474 | [vi] | 16 279 | 16 192 | ☒ |
| | Postgraduate to masters level | 2 297 | | 1 895 | 2 410 | ☑ |
| | Masters | 625 | | 863 | 255 | ☒ |
| | Doctors | 216 | | 178 | 94 | ☒ |
| | Total postgraduate | 3 138 | | 2 936 | 2 759 | ☒ |
| | TOTAL | 18 611 | | 19 215 | 18 951 | ☒ |

| Enrolment plan table | | Actual 2014[iv] | Mid-year target 2015[viii] | Year-end target 2015 | Provisional 2015[v] | |
|---|---|---|---|---|---|---|
| 31. Total FTE degree credits by field of study[ix] | Science, engineering, technology | 6 262 | [vi] | 5 982 | 5 880 | ☒ |
| | Business/management | 2 955 | | 3 850 | 3 394 | ☒ |
| | Education | 3 198 | | 3 593 | 3 351 | ☒ |
| | Other humanities | 6 196 | | 5 789 | 6 327 | ☑ |
| | TOTAL | 18 611 | | 19 214 | 18 951 | ☒ |
| 32. Total FTE degree credits divided by total FTE enrolments by course level | Total undergraduate | 82% | [vi] | 74% | 82% | ☑ |
| | Postgraduate to masters level | 81% | | 79% | 79% | ☑ |
| | Masters | 71% | | 72% | 27% | ☒ |
| | Doctors | 75% | | 69% | 30% | ☒ |
| | Total postgraduate | 78% | | 76% | 64% | ☒ |
| | TOTAL | 81% | | 74% | 79% | ☑ |
| 33. Total FTE degree credits divided by total FTE enrolments by major field of study[ix] | Science, engineering, technology | 85% | [vi] | 78% | 81% | ☑ |
| | Business/management | 74% | | 67% | 74% | ☑ |
| | Education | 86% | | 79% | 86% | ☑ |
| | Other humanities | 79% | | 73% | 76% | ☑ |
| | TOTAL | 81% | | 74% | 79% | ☑ |
| 34. Total **graduate** HC by qualification type | Undergraduate diplomas | 575 | [vi] | 640 | 680 | ☑ |
| | Advanced diploma | 0 | | 0 | 0 | ☑ |
| | Undergraduate degrees | 3 433 | | 3 279 | 3 491 | ☑ |
| | Total undergraduate | 4 008 | | 3 919 | 4 171 | ☑ |
| | Postgraduate to masters level | 2 227 | | 1 697 | 2 028 | ☑ |
| | Masters | 582 | | 613 | 440 | ☒ |
| | Doctors | 104 | | 129 | 83 | ☒ |
| | TOTAL | 6 921 | | 6 358 | 6 722 | ☑ |
| 35. Total graduate HC by major field of study | Science, engineering, technology | 2 233 | [vi] | 2 289 | [x] | |
| | Business/management | 1 140 | | 1 443 | | |
| | Education | 893 | | 1 329 | | |
| | Other humanities | 2 654 | | 1 297 | | |
| | TOTAL | 6 921 | | 6 358 | | |
| 36. Total graduate HC as a % of total HC enrolments | Total undergraduate | 18% | [vi] | 14% | 18% | ☑ |
| | Postgraduate to masters level | 57% | | 48% | 50% | ☑ |
| | Masters | 26% | | 26% | 21% | ☒ |
| | Doctors | 16% | | 21% | 12% | ☒ |
| | TOTAL | 22% | | 18% | 22% | ☑ |
| 37. Permanently appointed **staff** HC by staff category | Instruction/research (i/r) professionals | 986 | 855 | 950 | 844 | ☒ |
| | Executive/management professionals | 99 | 86 | 96 | 100 | ☑ |
| | Support professionals | 111 | 94 | 104 | 119 | ☑ |
| | Total professional staff | 1 196 | 1 035 | 1 150 | 1 063 | ☒ |
| | Technical staff | 35 | 40 | 44 | 44 | ☑ |
| | Non-professional administrative staff | 987 | 772 | 858 | 1 075 | ☑ |

[x] As noted earlier, all 2015 data in the 2015 Annual Report to DHET is provisional, as at 25 April 2016. Data must be extracted at this date due to the external auditing and Council approval schedule, which requires that the Annual Report for year n be completed by the first week of May of year n+1, to guarantee submission to DHET by end of June of year n+1. Since graduation ceremonies for undergraduate and honours graduates of year n take place in April/May of year n+1, and graduation ceremonies for Masters and Doctoral graduates for year n take place in the final week of June of year n+1, graduate numbers and success rates for year n change significantly after May and after June of year n+1. Since major field of study figures for graduates are estimated values based on course credits passed by CESM category it is not possible to disaggregate graduate headcounts by major field of study before June of year n+1.

| Enrolment plan table | | Actual 2014[iv] | Mid-year target 2015[viii] | Year-end target 2015 | Provisional 2015[v] | |
|---|---|---|---|---|---|---|
| | Crafts/trades staff | 8 | 11 | 12 | 6 | ☒ |
| | Service staff | 286 | 296 | 329 | 262 | ☒ |
| | Total non-professional staff | 1 316 | 1 119 | 1 243 | 1 387 | ☑ |
| | TOTAL | 2 512 | 2 154 | 2 393 | 2 450 | ☑ |
| 38. All FTE staff by staff category | Instruction/research professionals | 1 175 | [vi] | 1 276 | 1 031 | ☒ |
| | Executive/management professionals | 118 | | 103 | 116 | ☑ |
| | Support professionals | 128 | | 176 | 125 | ☒ |
| | Total professional staff | 1 421 | | 1 555 | 1 272 | ☒ |
| | Technical staff | 207 | | 203 | 226 | ☑ |
| | Non-professional administrative staff | 1 096 | | 876 | 1 252 | ☑ |
| | Crafts/trades staff | 8 | | 19 | 6 | ☒ |
| | Service staff | 306 | | 413 | 297 | ☒ |
| | Total non-professional staff | 1 616 | | 1 511 | 1 780 | ☑ |
| | TOTAL | 3 037 | | 3 066 | 3 052 | ☒ |
| 39. Ratios of FTE staff to permanently appointed staff HC by staff category | Instruction/research professionals | 1.19 | [vi] | 1.34 | 1.22 | ☒ |
| | Executive/management professionals | 1.19 | | 1.07 | 1.16 | ☑ |
| | Support professionals | 1.16 | | 1.69 | 1.05 | ☒ |
| | Total professional staff | 1.19 | | 1.35 | 1.20 | ☒ |
| | Technical staff | 5.90 | | 4.62 | 5.13 | ☑ |
| | Non-professional administrative staff | 1.11 | | 1.02 | 1.16 | ☑ |
| | Crafts/trades staff | 0.97 | | 1.58 | 1.00 | ☒ |
| | Service staff | 1.07 | | 1.25 | 1.13 | ☒ |
| | Total non-professional staff | 1.23 | | 1.22 | 1.28 | ☑ |
| | TOTAL | 1.21 | | 1.28 | 1.25 | ☒ |
| 40. Permanently appointed i/r staff HC by highest qualification | Doctoral degree | 413 | 347 | 386 | 396 | ☑ |
| | Masters degree | 458 | 397 | 441 | 362 | ☒ |
| | Other | 115 | 111 | 123 | 86 | ☒ |
| | TOTAL | 986 | 855 | 950 | 844 | ☒ |
| 41. Share of permanently appointed i/r staff HC by highest qualification | Doctoral degree | 42% | 37% | 41% | 47% | ☑ |
| | Masters degree | 46% | 42% | 46% | 43% | ☒ |
| | Other | 12% | 12% | 13% | 10% | ☒ |
| | TOTAL | 100% | 90% | 100% | 100% | ☑ |
| 42. Research outputs by output source | Publication units | 760 | 621 | 690 | 715 | ☑ |
| | Research masters graduates (weighted) | 318 | 291 | 323 | 240 | ☒ |
| | Doctoral graduates (unweighted)[xi] | 104 | 106 | 118 | 83 | ☒ |
| | WEIGHTED TOTAL | 1 258 | 1 231 | 1 367 | 1 206 | ☒ |
| 43. Ratios of research outputs to permanently appointed i/r staff HC by output source | Publication units | 0.77 | 0.65 | 0.73 | 0.66 | ☒ |
| | Research masters graduates (weighted) | 0.32 | 0.31 | 0.34 | 0.23 | ☒ |
| | Doctoral graduates (unweighted)[xi] | 0.11 | 0.11 | 0.12 | 0.08 | ☒ |
| | WEIGHTED TOTAL | 1.41 | 1.30 | 1.44 | 1.12 | ☒ |
| 44. Ratio of FTE students to FTE instruction/research staff | | 19.50 | [vi] | 20.30 | 23.00 | ☒ |

[xi] Doctoral graduate headcount is weighted times 3 (three).

## 2.5   Risk review

The realisation of the University's strategic objectives depend on its ability to take calculated risks in a manner that does not jeopardise the direct interests of stakeholders or achieving these very objectives. The relationship between the institutional risks identified by the UFS and its Strategic Plan 2015-2020 is illustrated in Figure 3 and Figure 2.

The risk management policy enables the University to anticipate and respond to changes in our environment, as well as to make informed decisions under conditions of uncertainty. The policy defines risk as an event or action, or a combination or series of these, which could significantly impede the University's ability to achieve its current or future objectives and to execute its strategy effectively.

The embedded risk-management model, adopted by the University in 2013, implies that risk management is the responsibility of every manager. The aim is to establish a culture of accountability by identification and mitigation of risks. Awareness and understanding of the University's risk management framework are established at all levels within the University and operational risks are constantly identified, managed, monitored and reported in the faculty or support service operational registers. Risk management activities are institutionally reviewed by the Risk Management Committees for Academic Departments and Services and Support Services respectively. These committees report to the Audit and Risk Management Committee of Council. The Council ultimately determines the risk appetite of the UFS in terms of the level of risk that is acceptable to the University. Risks with unacceptable exposure have to be addressed in an appropriate manner by the University management in accordance with the risk strategy. This includes identifying and taking advantage of opportunities, and protecting the institution's intellectual capital, income and assets by mitigating the adverse impact of risk.

Through the risk management cycle of 2014, specific institutional risks were identified, mitigation strategies determined and decision-making structures and key role players established. The 2015 focus was on further embedding risk management relating to the institutional risk and monitor progress on mitigating strategies. A summary of progress with regards to the specific risks in the risk register, as per the Annual Performance Plan 2015, is shown in Table 3 and a review of changes in 2015 is provided in Table 4. ☐

**Judge CHG van der Merwe**
Chairman of the Council

## Box 2: Statement on sustainability by the UFS Council

For the UFS to achieve its mission, it must have access to sufficient funding and appropriate systems to monitor, predict and manage change. In order for the University to provide access to growing numbers of students, it requires the committed availability of funding from the National Student Financial Aid Scheme (NSFAS). In 2015 this was not the case, and the situation forces the University to draw on its own reserves and turn away students. Declining enrolment numbers bring about decreasing income from both government subsidy and tuition fees. In addition, the decrease of block grant funding due to the increase in earmarked funding in the government subsidy impacts on the University's ability to manage financial and operational sustainability. The UFS controlled this risk in 2015 through its budget and salary negotiations models, management of the affordability of post-retirement benefits, new policies for managing third stream income, monitoring of institutional benchmarks and performance indicators through management information dashboards, and continuous interaction with DHET regarding NSFAS funding. Its mitigating strategies included the development of a strategy to increase third stream income and the implementation of viability assessment and the associated accountability via an academic staff workload model and a departmental viability model for each faculty. The University also implemented a series of transitory measures to mitigate the impact of systemic challenges in the 2016 student enrolment. A very intensive intervention involving the office of the Vice-Rector Academic, the Academic Planning unit of the Directorate for Institutional research and Academic Planning (DIRAP) and eventually the newly appointed Registrar: Systems and Administration focused on the processing of applications and communication with prospective students. This combined with an extraordinary effort of the marketing team has resulted in a very significant improvement in enrolment numbers for 2016 (also see section 2.4).

## Table 3: Change in residual risk rating of UFS institutional risks from 2014 to 2015

| | Institutional risk | Residual risk rating 2014 | Residual risk rating 2015 | Change |
|---|---|---|---|---|
| 1 | Failure to attract excellent and diverse undergraduate students | Very High | High | ⇓ |
| 2 | Failure to attract excellent and diverse postgraduate students | Very High | High | ⇓ |
| 3 | Risk of not being able to increase the quality and quantity of research outputs | Very High | High | ⇓ |
| 4 | Failure to attract and retain highly qualified and diverse academic staff | Very High | High | ⇓ |
| 5 | Risk of not being able to increase the quality and quantity of teaching outputs | Very High | Medium | ⇓ |
| 6 | Risk of not being able to appropriately integrate processes, management and information | Very High | High | ⇓ |
| 7 | The depth of institutional transformation | High | Medium | ⇓ |
| 8 | Financial and operational sustainability | High | Medium | ⇓ |
| 9 | Failure to attract and retain highly qualified and diverse support staff | Medium | Medium | ⇔ |
| 10 | Appropriate Infrastructure | Medium | Low | ⇓ |
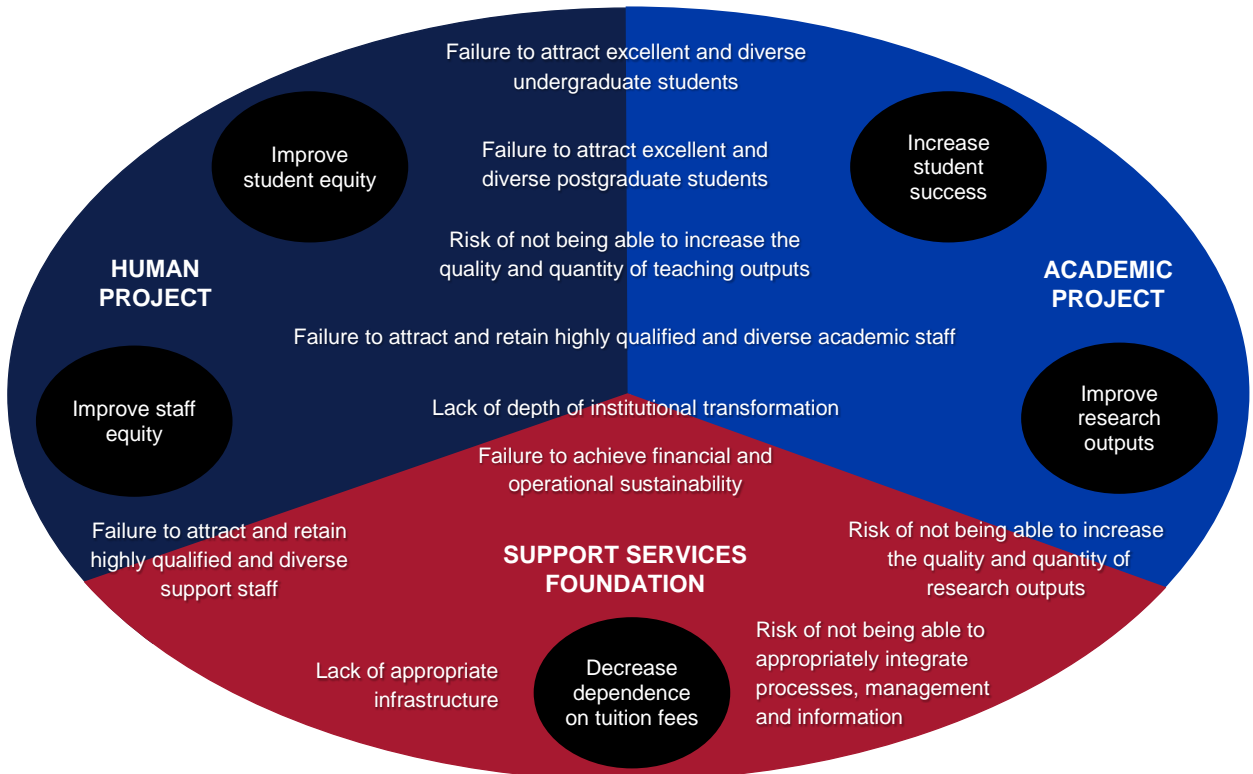
Each coloured segment of the large circle represents a Priority Area. Black buttons represent Objectives. Risks are printed in white.

**Figure 2: Institutional risks in relation to strategic priority areas and objectives**
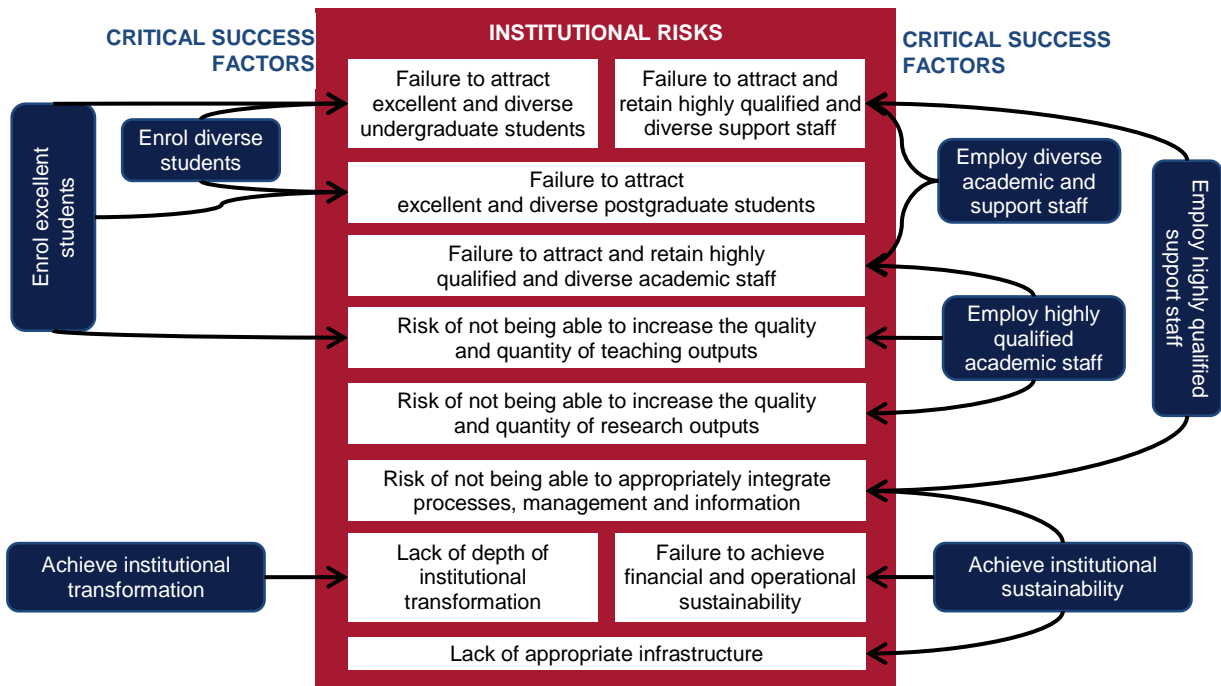


NOTE: The UFS institutional risks have been identified in relation to the critical success factors for the UFS Strategic Plan 2015 to 2020, i.e. those activities that are essential to the achievement of the mission, goals and objectives of the Strategic Plan (see section 1.1).

**Figure 3: Critical success factors in relation to institutional risks**

**Table 4: Institutional Risk Register as at January 2016**

| Risk | Internal Controls | Residual Risk | Action Plans / Mitigation Strategies | Responsible Rectorate member and key role-players |
|---|---|---|---|---|
| 1. Failure to attract excellent and diverse undergraduate students<br>*For the institution's academic and human projects to succeed, the UFS needs to attract a large number of good students from a variety of environments. Currently the UFS is losing undergraduate students due to a non-integrated response, disconnected planning, etc.* | • Academic admission criteria.<br>• Enrolment plan.<br>• Student financial support systems.<br>• Student financial incentive systems.<br>• Marketing drive to recruit excellent students from top schools.<br>• Procedure on turnaround time of response to prospective students.<br>• Functioning International Office.<br>• Well-structured academic support programmes. | **High** | • Raising of academic admissions criteria.<br>• Providing an alternative access point for students with potential, but insufficient points.<br>• Use of National Benchmark Test results to place students.<br>• Targeted intense marketing of the University nationally, regionally and internationally.<br>• Monitoring of performance in teaching and learning through agreed-upon indicators.<br>• No application fees for prospective students.<br>• Extension of the application due date.<br>• Focused bursary strategy.<br>• Conceptualisation of Process Reengineering.<br>• Review strategy for internationalisation. | **Rector**<br><br>• Marketing<br>• Housing and Residence affairs<br>• International Office<br>• Student Academic Services<br>• Faculties |
| 2. Failure to attract excellent and diverse postgraduate students<br>*The UFS has indicated its intention to become a top research-intensive university. Currently, it is not attracting sufficient numbers of master's and doctoral students to attain this objective by 2016.* | • Academic admission criteria.<br>• Enrolment plan.<br>• Student financial support systems.<br>• Student financial incentive systems.<br>• Marketing drive to recruit excellent students from top schools.<br>• Procedure on turnaround time of response to prospective students.<br>• Functioning International Office.<br>• 3 DST/NRF Research Chairs.<br>• •Implemented a strategy for recruitment of postgraduate students. | **High** | • Employment of 21 senior professors who will be supervisors and mentors.<br>• Ongoing activities of the Postgraduate School.<br>• Re-establishment of the Higher Degrees Committee of Senate.<br>• Implement full bursaries for research master's degree and PhD students.<br>• Focused bursary strategy. Redeployment of existing unspent budget allocations (academic and Support Services environments).<br>• Introduce more special bursary options for Honours students (increased funding, performance based).<br>• Review strategy for internationalisation. | **Rector**<br><br>• Marketing<br>• Housing and Residence affairs<br>• International Office<br>• Postgraduate School<br>• Faculties<br>• DRD as key role-player |

| Risk | Internal Controls | Residual Risk | Action Plans / Mitigation Strategies | Responsible Rectorate member and key role-players |
|---|---|---|---|---|
| 3. Risk of not being able to increase the quality and quantity of research outputs<br>*The UFS goal to become a research-intensive university requires a greater number of research outputs and greater visibility and impact in this regard. Currently, the UFS must increase both the number and impact of its publications and increase the number and quality of its postgraduates.* | • Increased funding for postdocs.<br>• Establishment of senior professors.<br>• Review of research clusters.<br>• Successful application for 3 DST/NRF Research Chairs. | **High** | • Appointment of Senior/Research Professors.<br>• Optimisation of current rated researchers.<br>• Support for centres of excellence and research chairs.<br>• Monitoring of research publications.<br>• Increase productivity of research associates through structured incentives for publication and supervision.<br>• Monitoring the number of postgraduate student enrolments and graduations.<br>• Promotion policy focused on publications' visibility and impact.<br>• Capitalise on PSP scholars' project.<br>• Every faculty should have a research strategy and a research committee.<br>• Start incentivising staff for delivering an M or D graduate. | **Vice-Rector: Research**<br><br>• Directorate for Research Development<br>• Faculties<br>• Postgraduate School<br>• Library Services |
| 4. Failure to attract and retain highly qualified and diverse academic staff<br>*The profile of academic and support staff in terms of diversity and professional excellence is essential to the success of the academic and human projects of the UFS. Currently, the equity profile of academic staff is unsatisfactory. High-quality teaching and research staff is unequally distributed across programmes.* | • Creation of a class of senior professors.<br>• Benchmarking of salary packages.<br>• Advertisement strategy.<br>• Exit interviews.<br>• Work environment indices.<br>• "On-boarding" package.<br>• Reviewed advertisement strategy. | **High** | • Further building of a class of senior professors.<br>• Implementation of new criteria for staff promotion.<br>• Workload model and staff differentiation.<br>• N-Gap strategy funded by DHET.<br>• Prioritising PhD appointments in vacancies.<br>• Accelerating the time to PhD for current staff.<br>• New procedure for the appointment of academic staff.<br>• Systematic investment in the development of top young academics to become professors.<br>• Review of succession planning strategy at faculty level.<br>• Develop career planning strategy.<br>• Analysis of internal obstacles to the attraction and retention of diverse staff.<br>• Review strategy for internationalisation. | **Vice-Rector: Operations**<br><br>• Faculties<br>• Human Resources<br>• International office |

| Risk | Internal Controls | Residual Risk | Action Plans / Mitigation Strategies | Responsible Rectorate member and key role-players |
|---|---|---|---|---|
| 5. Risk of not being able to increase the quality and quantity of teaching outputs<br>*In order to successfully compete for good students, all UFS undergraduate programmes must be recognised as operating at the cutting edge of disciplinary, professional and curriculum fields. Currently, the quality of undergraduate programmes is unevenly distributed across faculties and departments.* | • Quality assurance processes – alignment with HEQSF.<br>• Teaching and Learning Strategy.<br>• Academic Portfolio Plan.<br>• CTL Programmes.<br>• Using technology in teaching activities (e.g. Blackboard).<br>• Inclusion of the scholarship of teaching and learning in the new criteria for staff promotion.<br>• Module evaluations. | **Medium** | • Embed the activities of Centre for Teaching and Learning in all teaching activities (development and assessment of teacher effectiveness).<br>• South Campus to drive new online initiatives and re-open distance education sites.<br>• Development and implementation of a project for the review of the undergraduate curriculum and the infusion of academic development in the curriculum.<br>• Development and implementation of student feedback system at module level.<br>• Creation of the Academic Planning and Development Committee of Senate to monitor academic development plans at faculty levels.<br>• Develop system of student performance tracking and interventions. | **Vice-Rector: Academic**<br><br>• Centre for Teaching and Learning<br>• Directorate for Institutional Research and Academic Planning<br>• Faculties<br>• ICT<br>• Facilities Planning |
| 6. Risk of not being able to appropriately integrate processes, management and information<br>*The success of the University's strategy to a large extent depends on its ability to integrate management, administrative and academic processes and manage its management information effectively. Although some steps have been taken in this regard, much remains to be done for the University to achieve its goals.* | • Creation of Enrolment Planning Forum.<br>• The UFS has adopted integrated reporting.<br>• Ensuring that all the role-players are actively informed and involved in all developments in the value chain (quarterly line manager summits).<br>• Framework for sustainability and viability and integrating it in the planning across the University.<br>• Incorporate Enrolment Planning and Academic Planning decisions in sustainability planning projections and long-term budgets.<br>• Incorporating Enrolment Planning Forum into Academic Planning Committee of Senate.<br>• ICT role in the digitisation process.<br>• Integrated stakeholder committees for ICT (ICT Academic and ICT Support committees).<br>• Reengineering process. | **High** | • Developing a value-chain analysis from pre-application to graduation and the relevant workflow to ensure seamlessness.<br>• Support the re-engineering processes in Student Academic Services (ICT platforms and support change management training efforts).<br>• Creating overall system platforms for integration.<br>• Architecture for integrated workflow management. | **Vice-Rector: Academic**<br><br>• Directorate for Institutional Research and Academic Planning<br>• Faculties<br>• Finance<br>• Student Academic Services<br>• Information and Communication Technology Services |

| Risk | Internal Controls | Residual Risk | Action Plans / Mitigation Strategies | Responsible Rectorate member and key role-players |
|---|---|---|---|---|
| 7. The depth of institutional transformation<br>*Since 2009, the UFS has undergone rapid change. A large number of interventions were put in place to counter aspects of the institutional culture that acted as obstacles to the realisation of the academic and human projects. Much visible change has taken place since then; however, it is necessary to ensure that change is sufficiently rooted and widespread in the institution.* | · Employment Equity Committee.<br>·  Equity and Competency Plan.<br>· Establishment of Institute for Reconciliation and Social Justice.<br>·  Defined Transformational Agenda across all functions and at all levels. | Medium | ·  Levels of stakeholder participation in the transformation agenda.<br>· Support for transformation efforts of the core functions of the University.<br>· Develop tools/methodology to determine institutional culture and determine appropriate action plans (workplace environment surveys).<br>·  Achieve BBBEE ratings and avoid penalties/reputational costs. | **Vice-Rector: Student Affairs and External Relations**<br><br>· All units<br>· Institute for Reconciliation and Social Justice<br>· Directorate for Institutional Research and Academic Planning<br>· Communication and Brand Management |
| 8. Financial and operational sustainability<br>*For the UFS to achieve its mission, it must have access to sufficient funding and appropriate systems to monitor, predict and manage change. In order for the University to provide access to growing numbers of students, it requires the committed availability of NSFAS funding. This is currently not the case, and the situation forces the University to draw on its own reserves and turn away students. In addition, the decrease of block grant funding due to the increase in earmarked funding in the government subsidy impacts on the University's ability to manage financial and operational sustainability.* | · Budget model.<br>· New policies for managing third- stream income.<br>· Salary negotiations model.<br>· Managing the affordability of post-retirement benefits.<br>·  Management information dashboards.<br>·  Institutional benchmarks and performance indicators.<br>·  Continuous interaction with DHET regarding NSFAS funding. | Medium | · Development of a strategy to increase third-stream income.<br>· Rollout of viability assessment and the associated accountability via the workload model for each faculty. | **Vice-Rector: Operations**<br><br>· Support service<br>· departmens<br>· Faculties |

| Risk | Internal Controls | Residual Risk | Action Plans / Mitigation Strategies | Responsible Rectorate member and key role-players |
|---|---|---|---|---|
| 9. Failure to attract and retain highly qualified and diverse support staff *Additional: Balance between skills of current staff profile and required skills.* | • Benchmarking of salary packages.<br>• Advertisement strategy.<br>• Exit interviews.<br>• Work environment indices.<br>• "On-boarding" package.<br>• Academy for support staff development.<br>• Advertisement strategy. | Medium | • New selection tools to support the appointment of support staff (competency tools, management assessment tools).<br>• Matching of the fit between support staff competencies and the demands of the core business.<br>• Systematic investment in the development of support services staff.<br>• Review of succession planning strategy.<br>• Develop career planning strategy.<br>• Strategies to address internal obstacles to the attraction and retention of diverse staff. | **Vice-Rector: Operations**<br><br>• Support service departments<br>• Human Resources |
| 10. Appropriate Infrastructure *The maintenance of strong and reliable financial, physical and ecological environments as the foundation of a healthy and sustainable university, and the required physical expansion of facilities to accommodate growth in student numbers, are challenged by:*<br>• *Insufficient effective governance and management frameworks and systems*<br>• *Maintenance of effective IT systems*<br>• *Maintenance of infrastructure*<br>• *Insufficient funding for maintenance and expansion of facilities* | • DHET infrastructure grant.<br>• Strategic funding of capital expenditure and maintenance.<br>• Spatial management plan.<br>• Designated spaces for undergraduate and postgraduate teaching, learning and research.<br>• A comprehensive infrastructure and spatial master plan to match the medium- and long-term strategies of the University.<br>• Alignment of core and operational functions in relation to strategic goals<br>• Data warehousing strategy. | Low | • Development and implementation of a model of institutional sustainability.<br>• Review of the ICT strategy.<br>• Asset life-cycle management.<br>• Develop integrated and standardised physical and technology teaching environment.<br>• Create flexible and open learning spaces.<br>• Develop extensive equipment strategy. | **Vice-Rector: Operations**<br><br>• Directorate for Institutional Research and Academic Planning<br>• Physical Resources and Maintenance<br>• Physical Planning<br>• Student Academic Services<br>• Finance<br>• Information and Communication Technology Services |

# 3 TRANSFORMATION REPORT OF THE UFS

During 2015 the UFS tackled two major issues that affect the transformation of the University: the composition of the Senate, and the language policy.

In relation to the Senate, the UFS faces three problems common to many historically white institutions:

- The Senate is made of full professors the majority of whom are white males, with many of them close to retirement.
- The attendance at Senate meetings is very poor in relation of the total number of professors at the university
- Senators' participation in actual debate is rather low, except on very specific topics.
- There is no real participation of senators in setting the agenda for Senate meetings.

Taking all of this into account management submitted a discussion document to Senate proposing a fairly radical change in the composition of the Senate and a new approach to agenda setting. The proposed changes include increasing the number of senators, reducing the number of professors to 60% of the Senate, filling the remaining 40% with head of departments (42 in total) who are not full professors and representation of lecturing staff up to senior lecturer. In all cases, but especially in

the case of head of departments and lecturing staff, nominations for these positions must ensure that 50% of the academics in each category are black and women staff. The next step in this process is the submission of a modified statue of the UFS to the Minister of HET for his approval of a new statue. This will take place during 2016.

For a decade the parallel medium Afrikaans-English language policy of the UFS has been critiqued by most students for perpetuating segregated classrooms. During 2015 the issue of the language policy came to a head. The need to change the language policy was first raised as a topic to be introduced in the Senate agenda by the then SRC President early in the year. In the context of a university assembly called by the Rectorate, some students and staff again put forward the need to review the Language Policy. This was followed through with the UFS Council and management and resulted in a nine-month consultation process lead by a representative and expert panel appointed by the University Management Committee (UMC).

The UMC Language Committee (UMCLC) was tasked with organising the consultative process and producing a report recommending to Council whether and how the current parallel medium language policy should be changed and why.

After a thorough period of open consultation, analysis of the oral submission made by a variety of University stakeholders, an opinion poll supervised by the Independent Electoral Commission, and the analysis of institutional data, the UMC produced a report that recommended a revision of the existing language policy. The proposed reviewed policy should be developed taking into account the importance of mother tongue education, the need to support a language-rich environment at the UFS and the need to conduct lectures only in English supported by an extended tutorial system in English, Afrikaans and Sesotho/isiZulu, depending on specific campuses needs. The UMC and Senate debated the UMC language report, which was in their recommendation considered by Council as the governance structure responsible for the setting of the language policy of the university. At the end of 2015 Council mandated the top management of the University to produce a new language policy for the UFS along the lines suggested in the UMCLC report. A new policy and a language policy implementation plan will have to be finalised during 2016.

The UFS believes that integration of the classrooms will go a long way not only in creating greater social cohesion at the institution but also in supporting better learning. □

**Prof JD Jansen**
Rector and Vice-Chancellor

**Judge CHG van der Merwe**
Chairman of the Council

# 4 OPERATIONS REPORT OF THE RECTOR AND VICE CHANCELLOR

## 4.1 Report of the Rector and Vice Chancellor

2015 continued with the detailed implementation of our strategy. The focus during this year was two-fold. On the one hand we kept our focus on the set goals in the core functions. On the other hand, we have gone into a deep overhaul of our administration and support services with the implementation of the outcomes of our HR review and the launch and implementation of a process re-engineering project affecting mostly Student Academic Services.

This 2015 annual report to the DHET presents the results of our efforts, the reflections on what we have achieved, and the planned interventions to improve in areas of underperformance.

In the Academic portfolio we report once again that appropriate interventions and the commitment of our academic and support staff have helped to achieve already our 2019 target. This will allow us to concentrate in a more detailed analysis of cohort performance in order to understand and improve the UFS throughput rate, which is currently below target. The review of the undergraduate curriculum has slowed down during 2015 in order to respond to the demands of the process re-engineering project. This notwithstanding, the UFS organised and external review of student affairs that produced a valuable report to help a closer integration of the academic and human project in this area. The funds received from the Kresge Foundation's Siyaphumelela Project keep on helping the UFS improve our data analytic capacity with important work on student tracking being done this year. We expect that the outcomes of this work will support greater progress in the area of throughputs.

In the Research portfolio the upward trend in scholarly publications has continued during 2015 although due to the mismatch of reporting dates we cannot provide accurate detailed data of this progress. Our support of a new generation of researchers through to their attainment of NRF rating keeps on paying off with an increased number of rated researchers every year. We are especially happy at the results obtained in the area of research management and innovation and hope to keep on improving in this area given its importance for our financial sustainability goal. We continued offering support to emerging academics in the Prestige Scholars Programme

as well as the use of individual incentives to increase research productivity. Research partnerships both nationally and internationally continue to help create a vibrant research culture at the UFS.

The Directorate for Institutional Advancement has continued to make progress in the identification of flagship projects for the University and in the concentration of our advancement efforts on those projects. The Marketing Directorate's inclusion in PRENG will bring new synergies into the project of achieving greater visibility in South Africa but also in the Southern Africa region. Communications and Brand Management was particularly stretched during 2015 as over and above its usual responsibilities, it had to develop a full communications strategy around the consultative process on the language policy.

The External Relations portfolio developed further constructive relationships with all stakeholders in our three campuses paying attention to specific interests and needs and how best these match the University's strategic goals. In 2015 our presence as a University in the province has improved. We continue to work with the provincial Department of Health to deliver appropriate training of health sciences professionals.

The integration of the work of the Operations portfolio with the core functions to achieve our strategic goals continues apace. Collaborative work across different departments continued in relation to the refinement and implementation of the viability model and a workload model for departments. Campus Protection Services, ICT services and Campus Estates have provided good services in a particularly challenging year due to the beginning of student protest around fees. Despite these difficulties the UFS continues to have some of the safest and best maintained campuses in the public higher education system.

During 2015 we started the process to appoint a new dean in the Faculty of Natural and Agricultural Sciences as well as the replacement of the HR Senior Director. At the end of 2015 a reshuffle of senior posts resulted in the student affairs portfolio moving from the Vice-Rector Academic to the Vice-Rector: External Relations.

The UFS has been working on a greater integration of annual budgets with prior planning on an annual basis. In this regard senior management retreats earlier in the academic year continue to play an important role in aligning planning and budgets as is the availability of greater and better institutional information on which to base decision-making. From a financial point of view the UFS has managed well. The challenges have escalated given the impact that the temporary resolution of the #mustfall movement had towards the end of the year. Like other public universities the UFS had started negotiations with outsourced workers with a view to finding a sustainable solution to their plight. We are concerned, as is the sector as a whole, about the ability of the state to afford free education and the implications that such a decision might have at a number of levels. Once again during 2015 and despite the overall problems and challenges the UFS managed to have less than 1% of its students deregistered due to financial problems.

In conclusion, as in the last six years, the UFS continues to work on institutional change with a complex notion of transformation that is shared by many of our students and staff. This, however, is not reason for complacency. We remain vulnerable to conservative backlash and racist individuals against institutional transformation and, as 2015 has started demonstrating, we are also vulnerable to the discontent of students who feel that neither government nor the University have delivered sufficient change fast enough.

## 4.2   Human resources

The University has been working on the modernisation of its Human Resources (HR) function and in achieving a greater articulation between HR as a support service, the UFS academic project and its approach to succession planning, staff development and mentoring in academic departments.

Based on the HR Review that was conducted by external experts, a process was initiated in 2015 to re-align the functions of the HR Division. This re-alignment started with the establishment of an organisational development unit that was staffed with organisational development specialists and will be continued in 2016 with the finalisation of the implementation of the HR Business Partner Model.

HR also embarked on the DHET-supported nGAP Project, which is aimed at addressing the problem of an ageing and untransformed academic body in terms of gender and race. The project started with the appointment of five employees that specifically addressed the need for transformation. These appointments were made in areas of scarce skills that are particularly needed in the province and in the country. Succession planning and transformation have also been incorporated in the performance plans of all faculty deans.

The University implemented a process to define a Competency-Based Management Framework that will closely align HR with the UFS Strategic Plan 2015-2020. This competency framework will be the basis for all HR functions and serve as the linkage between individual performance and

business results. The competency-based framework will identify development needs required for further skills development and training and will be linked to talent management, succession planning, mentoring and retention of staff. This will also address the demographics of the UFS through the development of identified staff members.

The terms and conditions related to staff contracts of employment are affected by labour legislation. The amendments to the Labour Relations Act that came into effect on 1 October 2014 give staff members employed on a fixed-term contract more rights. HR assessed the impact of the legislation in 2015 and addressed anomalies in order to ensure compliance.

In support of the national drive for insourcing, the UFS embarked on consultative processes that included discussions with the Worker Student Forum group and the two UFS-recognised labour unions, NEHAWU and UVPERSU. The UFS also allocated additional payments to the service providers/employers of workers (cleaners, gardeners and security officers) in order to ensure that each worker employed to deliver the outsourced services, earns at least a minimum total remuneration package of R5 000 per month, also in support of the principle of 'earning a decent wage'. This was implemented with effect December 2015, as an allowance, to make up the difference between the actual wages earned and the total remuneration of R5 000 per month.

The average increase in the remuneration packages paid for all staff members in 2015 was 6.08%. Additional structural adjustments were also approved for junior lecturers (0.17%), farm workers (minimum monthly salary of R2 800), Peromnes 15-18 (0.01%) and security officers and traffic wardens (0.13%). In terms of senior management, the UFS experienced changes in the positions of Registrar: Governance and Policy, Registrar: Systems and Administration and the Principal of the South Campus. The position of Dean in the faculty of Natural and Agricultural Sciences and the Senior Director for HR also became vacant during 2015 and will be filled during 2016.

## 4.3 Management information

Responsibility for management information at the UFS resides within the Institutional Information Systems (IIS) unit of DIRAP. The unit is responsible for the provision of data and information from the UFS PeopleSoft system to stakeholders inside the UFS, as well as the submission of data to the Higher Education Management Information System (HEMIS) of the DHET. The IIS improved its human resource capacity through the appointment of four new staff members in 2015, including two interns. The close working relationship between the IIS and IDSC Software[xii] allows the UFS to utilise the Higher Education Data Analyser (HEDA) system for storage and analysis of its management information.

One of the new IIS staff members is associated with the Kresge-funded Siyaphumelela project, which the UFS joined in November 2014. Initial attempts to measure the performance of various student success initiatives brought to the forefront the possibilities contained within the massive amount of data that the University records both formally (e.g. through the HEMIS system) and informally (e.g. data that is recorded on personal computers); and, at the same time, problems with the accessibility and validity of such data. Through the Siyaphumelela project the UFS hopes to increase its capacity to use data analytics to improve student success by addressing most (if not all) of its data problems, and by mining as much knowledge about student success from its data sources as possible. The project is a collaborative effort between UFS ICT

Services, DIRAP and the CTL. Critical activities of the project that will improve the administrative systems that support management information at the UFS are improved data warehousing, improved user interfaces, and the development and presentation of staff training courses and materials in data analytics and evidence-based decision making. In terms of user interfaces, IIS dedicated much of its resources in 2015 to developing new data dashboards within the HEDA system to facilitate easier access and greater usability of management information throughout the UFS. In terms of training, CTL and DIRAP worked closely with a data coach from the Achieving the Dream movement in the United States to develop high-level training for academic managers. At the same time, CTL has developed and is presenting a practical training workshop on the application of data analytics for administrative staff members, in collaboration with the University of Pretoria and the Southern African Association for Institutional Research.

One of the most important outputs of the project is a better understanding of the hurdles to success faced by UFS students and how to help them overcome these hurdles. The first step towards this outcome is a more sophisticated, evidence-based approach to student profiling and tracking, which will facilitate empirical research about student success and will form the basis of early warning systems. Early warning systems are considered to be one of the more effective ways of addressing the challenge of aligning students' preparation and expectations with the effective deployment of institutional resources to support student success. During 2015 the UFS continued with implementation and

[xii] See http://www.idsc.co.za/

refinement of a student performance tracking and early warning system piloted in April and October 2010. The development of this system aims to improve student success by promoting the use of data to develop predictive analytics and pro-active support, identifying at-risk students and supporting them appropriately, and alleviating the pressure on academics by increasing the effectiveness of in- and out-of-class support systems.

## 4.4   Student walk

An analysis of the appeals received by the Registrar's office in 2014 as well as difficulties experienced during the 2015 student registration showed that the UFS had serious problems in its academic administration and in the interface between the central academic administration and the different faculties. These problems pose not only financial risks in terms of enrolments, but also reputational risks for the University. A first-level analysis of these problems in 2015 suggested that the academic administration processes were not well defined, were not integrated, did not provide for proper hand-over and hand-offs, especially where process execution was across various departments, divisions and university sectors such as academic departments and administrative functions. In light of this it was necessary to develop and implement a process re-engineering project (PRENG) that could address these challenges in a structured manner. The project sought to understand the nature and dynamics of the different aspects of student administration; to establish the efficiency of these processes; and to identify opportunities to modify and integrate discrete processes into a seamless workflow.

PRENG took the student walk (from first contact with the institution to graduation) as the unit of analysis of the different administrative interfaces between students and the institution. This project was planned in three phases: PRENG 1 started in February 2015 and concluded in September 2015 having delivered optimised administrative processes in 20 units. PRENG 2 is currently under way (2016) and is focused on the implementation of the optimised processes from

the point of view of human resources, governance, data and technology. PRENG is a collaborative process that brings together the office of the Vice-Rector: Academic, the Registrar: Systems and Administration, the ICT Executive, external consultants, the faculties, central administration and Student Academic Services. So far the project has been extremely beneficial to the University but its greatest impact will be felt only from 2017 and 2018.

The importance of PRENG for the UFS goes well beyond having a leaner and more effective administrative system. The project has been designed to support prospective students and current students in their academic choices. In this regard it is supported by and supports the major review of the UFS Programme and Qualifications Mix (PQM) that took place as part of the curricular review. It is also based on a new commitment to service delivery for the student and the professionalisation of Student Academic Services.

## 4.5   Community relationships

Community relationships fall under the Vice-Rector: External Relations portfolio. The UFS defines community engagement as negotiated partnerships between the University and the community it serves. As we have indicated in previous reports, the UFS puts great value in public service as a feature of our graduates. This is done through both formal education and voluntary work in surrounding communities. This is the driving force behind the projects undertaken by the Community Engagement Directorate. Structured initiatives focused around research, teaching and learning, and outreach are aimed at building mutually beneficial university-community relationships that are guided by the sharing of skills and experiences. Our approach is based on service learning, community-based research, volunteerism, and partnerships.

As previously reported, the UFS has also become increasingly involved in supporting the schools in its community. This has become a crucial and permanent feature of our public service. During 2015 this was done in a variety of ways, from training students in specific skills in partnership with government to inspiring schoolchildren to be achievers at a higher level by inviting them to attend graduation ceremonies on the Qwaqwa and Bloemfontein Campuses. We continued to offer our Resilience Network Programme-trained university students to mentor high school learners in the Qwaqwa region, in partnership with the University of the Western Cape and Kagiso Trust.

In addition to a strong focus on schools, the University also has paid attention to the development of entrepreneurship built around our business development facility in Thaba-Nchu – the Wealth Creation Centre. The centre, started in 2014, continues to assist businesses with initial start-up capital and then provides ongoing support to ensure sustainability.

Finally, the University still supports capacity development in struggling Free State municipalities as well as non-profit and community-based organisations. Very important for our academic endeavours, the UFS has managed healthy and productive relationships with the provincial government. We keep on working on the relationship between the Department of Health and the University given our mutual interest in providing excellent education for health professionals.

## 4.6 Structures and systems of internal control

The UFS maintains systems of internal control over financial reporting and the safeguarding of assets against unauthorised acquisition, use or disposal of such assets. Such systems are designed to provide reasonable assurance to the University and Council regarding an operational environment that promotes the safeguarding of a public higher education institution's assets, and the preparation and communication of reliable financial and other information. The internal control systems include documented organisational structures setting out the division of responsibilities, as well as established policies and procedures, including a code of ethics that is communicated throughout the organisation to foster a strong ethical climate and the careful selection, training and development of its people.

Information systems utilising information technology are in use throughout the University. All of these have been developed and implemented according to defined and documented standards to achieve efficiency, effectiveness, reliability, and security. Accepted standards are applied to protect privacy and ensure control over all data, including disaster recovery and back-up procedures. Password controls are strictly maintained, with users required to change passwords on a regular basis. Regular reviews are conducted to ensure that there are no clashes of user-access rights, and that the basic internal control concept of division of duties is maintained. Where, for capacity reasons, an occasional clash does occur, sufficient manual controls are in place to ensure

that these clashes are mitigated. Systems are designed to promote ease of access for all users, and the systems are sufficiently integrated to minimise duplication of effort and ensure minimum manual intervention and reconciliation procedures. The development, maintenance and operation of all systems are controlled by competent, sufficiently trained staff. An overview of the inormati0on and communication technology governance structures are included as Appendix 3 of this Report.

The utilisation of electronic technology to conduct transactions with staff and third parties ensures that control aspects receive close scrutiny and that procedures are designed and implemented to minimise the risk of fraud or error.

The Internal Auditor monitors the operation of internal control systems and reports findings and recommendations to Management and Council through the Audit and Risk Management Committee. Corrective actions are taken to address control deficiencies and other opportunities for improving systems when identified. The Council, operating through its Audit and Risk Management Committee, provides oversight of the financial reporting process.

There are inherent limitations to the effectiveness of any system of internal control, including the possibility of human error and the circumvention or overriding of controls. Accordingly, even an effective internal control system can provide only reasonable assurance with respect to financial statement preparation and the safeguarding of assets. Furthermore, the effectiveness of an internal control system can

change according to circumstances. The University assessed its internal control systems as at 31 December 2015 in relation to the criteria for effective internal control over financial reporting described in its financial policy documents. Based on this assessment, the University believes that, on 31 December 2015, its systems of internal control over operational environment, financial and information reporting and safeguarding of assets against the unauthorised acquisition, use or disposal of assets met these criteria. The University conducted a review of its risk assessment document and, in conjunction with the internal auditors, developed a programme of internal audits to examine the systems, procedures and controls in those areas considered as high risk. A study has been made of the third Report on Governance in South Africa (King III). The University strives to comply with the recommendations of the King III report as far as possible.

With regard to other matters on the agendas of the Audit and Risk Management Committee there were no outstanding items that exposed the University to loss arising from undue material risk. □

**Prof JD Jansen**
Rector and Vice-Chancellor

## Box 3: Statement on risk management by the Audit and Risk Management Committee of Council

The objective of the Audit and Risk Management Committee of Council is to assist the Council of the UFS with its responsibility of safeguarding assets, maintaining effective and efficient internal controls, reviewing the financial information and overseeing the preparation of the annual financial statements. Specifically, the Committee deals with matters pertaining to:

- Compliance with applicable legislation, the code of business conduct of the University, and the requirements of regulatory authorities.
- Compliance with the Code of Corporate Practices and Conduct.
- Compliance with the institution's Code of Ethics.
- Compliance, as far as practically possible, with the recommendations of King III.
- Internal and external policies.
- Financial and internal control, accounting policies, reporting and disclosure.
- Activities, scope, adequacy and effectiveness of the internal audit function and audit plans.
- Review and approval of external audit plans, findings, problems, reports and fees.
- Review (at least annually) of the internal auditor's assessment of risks and approval of the internal audit plan to ensure that audits are conducted appropriately to mitigate the risks identified.
- Assessment of all areas of financial risk and the management thereof.
- Annual financial statements to the finance committee.
- Approval of financial policies and any changes thereto.
- Ensuring that all items raised in the annual audit management letter and interim internal audit reports have been addressed and that actions previously taken to address these issues are still in place and effective, including points raised in previous reports and previously deemed to have been resolved, to ensure that the problem has not recurred.
- Ensuring that policies are in place to protect the University's assets from loss or unauthorised use.

The committee operates in accordance with terms of reference authorised by the Council and reviewed regularly. The internal and external auditors have unrestricted access to the committee members. The committee is also responsible for risk management. The committee ensures that identified risks are monitored and appropriate measures are devised and implemented to manage such risks.

The committee met four times during the period to review, inter alia, the matters arising from internal risk analysis, the internal and external audit plan and budget, the matters arising from the completed audit, and the fair presentation of the financial statements presented to the Council.

**Mr D Foster**
Chairperson: Audit and Risk Management Committee

# 5 TEACHING AND LEARNING AND RESEARCH REPORT OF SENATE

## 5.1 Teaching and learning

### 5.1.1 Teaching and learning strategy

The UFS continued with the implemented of its new Teaching and Learning Strategy during 2015, which signalled a new approach to teaching and learning at the University. The new strategy comprises seven objectives to promote quality teaching and learning and student success and engages with the definition of graduate attributes for the UFS. All the objectives are mutually reinforcing and are intended to facilitate the development of a teaching and learning culture that equips the University to meet its strategic goals:

- Raising awareness of quality teaching and learning;
- Developing excellent teachers;
- Engaging students for success;
- Building an organisation for change and teaching and learning leadership;
- Aligning institutional policies to foster quality teaching and learning;
- Highlighting innovation as a driver for change; and
- Evidence-based change through assessment.

### 5.1.2 Raising awareness of quality teaching and learning

The professionalisation of teaching academics received attention over the last four years. The UFS promotes the scholarship of teaching and learning by recognising innovative lecturers in-house through the Excellence in Teaching and Learning Awards. The awards strive to recognise and create awareness of quality teaching and learning and also to create a platform to share best practice and inspire innovation in others. Box 4 shows the winners for the Excellence in Teaching and Learning Awards 2015.

Over the years, the format of the awards has evolved to complement the quality and innovation that the award nominees inspire. A portfolio of evidence is compiled for the Vice-Chancellor's Award and is aligned with the criteria and standard set by the HELTASA National Excellence in Teaching and Learning Award. Similarly, the Innovation Award nominees have to compile a video entry that showcases their excellent teaching practices. In 2015, the review process was re-considered to raise the quality and profile of the awards to match the growing quality of the entries received. Rubrics for the

## Box 4: Winners of the 2015 Excellence in Teaching and Learning Awards

### 2015 BLOEMFONTEIN

**Vice-Chancellor's Award**

*Individual*
★ Louise van den Berg (Health Sciences)

*Teaching Team*
★ Salomien Boshoff and Naquita Fernandes (Economic and Management Sciences)

**Innovation Awards**

*Engagement and Learning*
★ Rentia Engelbrecht, Jolandi Bezuidenhout and Jamie-Lee Nortje (Humanities)
★ Lerato Sekonyela (Economic and Management Sciences)

*Curriculum Design*
★ Joyce Ras (Economic and Management Sciences)
★ Adre le Roux and Frans Kruger (Education)

*Community Engagement*
★ Ielse Seale and Karen Venter (Health Sciences)
★ Martin Oliver (Economic and Management Sciences)

*Assessment Practices*
★ Salomien Boshoff, (Economic and Management Sciences)
★ Joyce Ras (Economic and Management Sciences)

### 2015 QWAQWA

**Excellence in Teaching and Learning Practice**

*Student Engagement Methods*
★ Marga Stander (Centre for Teaching and Learning)
★ Ntebohiseng Sekhele (Natural Sciences)

*Design of Your Course*
★ Grey Magaiza (Humanities)

*Assessment Methods*
★ Eleanor Bernard (Centre for Teaching and Learning)
★ Fani Radebe (Natural Sciences)

*Use of Technology*
★ Lea Koenig (Natural Sciences)
★ Eleanor Bernard (Centre for Teaching and Learning)

**Excellence in Teaching and Learning Research**

*Teaching and Learning Research Articles*
★ Emile Bredenhand (Natural Sciences)
★ Ben Mase (Natural Sciences)

**Honorary Awards**

*Department Showing Progress*
★ Department of Sociology

*Students' Lecturer*
★ Mandla Ndlangamandla (Economic and Management Sciences)

Innovation Awards were drawn up from scratch to be more criteria-focused and to ensure congruency among entries as well as fair and consistent feedback from reviewers. Rubrics for the Vice-Chancellor's Award were aligned with the HELTASA criteria to ensure for excellence at a national level. From 2015 onward, the top two candidates for the Vice-Chancellor's Award will automatically be nominated for the National HELTASA awards.

### 5.1.3  Teaching and learning staff development

During 2015 the focus of the Academic Staff Development (ASD) division of CTL was on redesigning staff development initiatives based on focus group research from 2012 and 2013, as well as feedback from 2014 participants. In order to develop faculty-specific approaches to teaching and learning the ASD works with the team of faculty-based teaching and learning managers. The diversity of perspectives offered by these experts enrich teaching and learning thinking at the UFS and provide invaluable insights into how the ASD can continue to meet the needs of staff and students.

ASD offers orientation sessions for newly-appointed academic staff, academic staff development courses, workshops on teaching and learning tools and skills, lunchtime sessions with innovative presenters, and short internet-based videos sent via email to raise awareness of new trends in teaching and learning. Webinars and learning communities offer a great opportunity for academics to develop a shared language, not just within their discipline but also within the wider UFS community. A webinar is essentially a seminar conducted over the Internet

or web. Webinars are live-streamed and attendees have the benefit of joining in from the luxury of their own offices with a specific link and password. Through webinars, academics have the chance to share their teaching and learning experiences with their peers, thereby opening avenues to explore different teaching approaches. They gain feedback and valuable advice on a specific approach's values or pitfalls. ASD launched their first webinar in September 2015 with the focus of providing real examples straight from the mouths of lecturers. These included teaching and learning strategies implemented in the EMS faculty, as well as the impact of these strategies on student throughput.

The Difficult Dialogues project emphasises the importance of facilitating critical self-reflection among staff in order to empower them to develop this skill in their students. Over the past four years, the number and variation of Difficult Dialogues training workshops have increased. During 2015, at least 250 people, including students, teaching assistants, tutors and staff members have participated in a variety of training workshops. Yet numbers cannot reflect whether or not learning has taken place. However, various testimonies have been shared about how the project has changed participants' ways of thinking and doing, not only within the University environment but also in their personal lives.

Grow your Career is a core staff development module that was launched in May 2015. This course is mainly self-reflective and is aimed at guiding academics to plot a career path by setting career goals, discovering their values and

drivers and establishing a career development plan. The main aim of the course is not to give attendees a clear set path that they have to follow but rather to allow them to discover what their drivers are and set their career path accordingly. Increasing pressure on academics for a research output has left academics wondering what their options for growth and promotion are. There is often a lot of pressure within academic institutions that requires them to teach, conduct research, take part in community service, administration and leadership duties, while also being exceptional scholars. These activities, in essence, form the career matrix at the UFS. Within this matrix, academics have the freedom to plot their career goals and determine areas for focused development. Grow your Career will also form part of a larger programme focused on developing academic leadership at the UFS.

The challenge with staff development interventions is how to measure their impact and success. The CTL looked at attendance as a measure of attainment, and realised that workshops are not an optimal vehicle to bring about change. The Module Assistance Programme (MAP) and Module Makeover programme are seen as far more effective means for engaging academics in the process of change over time since they actively involve academic staff in improving their teaching practices in their modules. The MAP has been designed to help develop appropriate interventions in identified modules with success rates below 50%, and the Module Makeover offers assistance to academics with the redesign of modules.

**Box 5: The impact of the Excellence in Teaching and Learning Awards**

The 2015 Excellence Award nominees were asked what impact the Excellence Awards has on their teaching. They responded:

- "*In a quest to really establish excellence – you can think aloud, make yourself vulnerable in front of colleagues, and the feedback would add value to your current practice… the platform (ETL awards) where I can invite every single colleague to come and test their ideas.*" – Joe Serekoane 2013, 2014, 2015 Innovation nominee

- "*… a deeply satisfying experience where one is forced to look at yourself in the mirror and take stock of who you are, what you believe in and what your philosophy is.*" – Louise van den Berg 2015 Vice-Chancellor nominee

- "*This initiative means that we are being rewarded for what we love doing, and that in itself is an award.*" - Jamie-lee Nortje 2015 Innovation nominee

As the term Module Makeover suggests, the module concerned goes through a transformation to improve the quality of teaching and learning in the module. In 2015, 23 modules from five faculties were involved in the project on the Bloemfontein and South Campuses of the UFS. Four of the 23 modules were implemented on the South Campus. The 13 first-semester modules contributed toward the project's pilot study, and the other 10 modules are currently involved in the second semester module makeover process. Each module completed a module analysis, which was in the form of a survey. The main challenges identified were of an organisational nature. CTL role-players and learning designers worked in a team context with academics to implement strategies that could address these challenges. The main CTL resources that academics consulted throughout the makeover were the faculty's learning designer, the CLASSE project, and the Write Site. The most predominant interventions implemented were assessment practices, including online formative assessments. It was positive to find that half of academics have used their makeover intervention(s) in other modules that they teach that were not part of the module makeover, while 75% also recommended the interventions to their colleagues.

### 5.1.4    *Engaging students for success*

Engaging students in their learning not only improves the quality of the learning process, but also enhances students' chances of success. The tutorial programme is one initiative that may contribute to significant gains in student success. The UFS's new academic tutorial programme (NATP) has grown from 15 tutors in two faculties in 2007 to 321 tutors covering 230 modules in six

faculties and supporting almost 7 000 undergraduate students on both the Bloemfontein and Qwaqwa Campuses in 2015. The programme was also expanded to include a customised model for students in residences and for those with disabilities.

Achieving optimal tutorial efficiency requires tutors to be adequately trained and developed for their role as learning facilitators. To this end the Faculty of Education adopted the A_STEP model as a student learning support measure In June 2015. The goal of the A_STEP is to train and develop tutors, with the notion of empowering them to address and support at-risk modules. Monitoring data provides evidence that the A_STEP is growing at a substantial rate in the faculty. The increase in both tutorial attendance and tutor modules is a result of both lecturers and students showing interest in the programme as a student learning support measure. Certain strategies should however be considered to ensure that the growth of the programme does not stifle the quality or purpose thereof in the faculty. Measures to be considered in the near future will include more regular observations by the faculty tutorial programme coordinator, peer observations among tutors and the use of tutor-mentors to assist novice tutors with the planning of their sessions.

The positive results of the University Preparation Programme (UPP) teaching and learning approach have encouraged the Humanities faculty to adopt a facilitative approach to learning in their academic support programme, the Academic Facilitation Sessions (AFS). The programme involves small interactive sessions of no more than 25 students that provide students

with an opportunity to explore disciplinary content using the generic competencies provided in their development modules. Facilitators are guided by student-centred principles. Research findings confirm that students experience the programme as adding value to their academic lives.

The management of the programme has been re-organised in 2015 although the philosophy and the methodological principles that created the initial success of this programme have been retained. A student engagement model of student interventions has been incorporated into the programme and focus has been placed on the development of the facilitators. Formalising the training of facilitators is a work in progress but this would allow the facilitator role to become a pipeline for junior staff in the faculty. The faculty office has introduced an academic advising structure and the cooperation between the AFS and this structure is developing to bring about the best possible support for vulnerable students. Research that explores how this programme adds value to students' lives will continue and the AFS will continue to evolve and adapt to the ever-changing contexts of teaching and learning at the UFS and in South Africa.

### 5.1.5 Organisation for change and leadership

Effective change towards better quality teaching and learning in an institution is only possible through internal organisational support that combines top-down and bottom-up initiatives that evolve over time. In terms of improving organisational support for better teaching and learning, the CTL has continuous work under the auspices of the Vice-Rector: Academic. This

ensures that the majority of the Teaching Development Grant (77%) is spent in faculties on, for example, appointment of teaching and learning coordinators to assist teaching and learning managers and the payment of tutors. The remaining 23% is used by CTL to manage, monitor and evaluate the impact of the work in faculties and to implement projects in which CTL has been tasked. Monthly meetings with teaching and learning managers ensure that there is continuous communication of faculty needs to the CTL.

In addition to improving teaching and learning structures, the CTL in consultation with faculties has developed the Academic Leadership Programme (ALP). This is aimed at empowering heads of departments and other academic leaders with globally benchmarked training to help them manage complex challenges in academic departments and faculties. The programme will be implemented at the UFS in 2016 with an initial pilot group of 20 HODs and will assist to cultivate the relevant leadership skills of the heads of academic departments and in the long term assist with the development of a talent pipeline within faculties or departments.

### 5.1.6 Innovation as a driver for change

Innovation in teaching and learning runs the risk of threatening students and staff and therefore requires careful pre-implementation planning and conjoint monitoring to ensure that the risk of unintended consequences is avoided. Factors that may catalyse innovation in teaching and learning are curriculum renewal, internationalisation, novel approaches to increasing access, initiatives to promote

retention and success, as well as adaptation to new learning environments made possible by technologies that accommodate the needs of different students.

Although technology can have a disruptive effect, it does offer powerful ways in which to improve the quality of teaching and learning. Therefore the CTL conducts digital identity research on a bi-annual basis. The study explores technology ownership, use patterns, and perceptions of technology among students. The questionnaire was launched between April and July 2015 with 2 210 undergraduate students from all three UFS campuses taking part in the study. The results of the study suggest that the UFS will have to think about the physical infrastructure needed in an era of Bring Your Own Device (BYOD), but also think about ways to integrate these devices in a meaningful way into classroom teaching and learning initiatives. The findings also show that printed materials and resources are still very important to students in terms of their academic success. This raises questions of how students learn in the digital era. On-campus students feel fairly satisfied with the UFS wireless network. However, off-campus internet access remains unreliable, and is problematic since the vast majority of UFS students do not stay in on-campus residences. It is clear that the UFS needs to start thinking on a strategic level about how to provide infrastructure and support to students who bring devices to campus, but also how to structure and support learning when they leave campus. Academics and students need to start talking about how to effectively use these devices in teaching and learning experiences, with the CTL providing support where necessary.

The UFS has also invested in e-assessment technology in the form of Questionmark, a system used worldwide for computer-based assessment. The implementation of the system is taking place as a two-phased pilot the main goals of which are to gather sufficient input from all relevant stakeholders, systematically establish a clear workflow, and ensure the efficacy of processes and procedures associated with implementing an e-assessment system in the UFS context. This phased approach will ensure that all relevant aspects of the process are well tested before a full-scale roll-out is set in motion. The first phase of the pilot took place in the second semester of 2015 and included participants from six faculties (all faculties excluding the Faculty of Law). A total of 78 assessments were conducted in the first phase of the pilot among 11 modules with a total of 2 735 students enrolled from the Bloemfontein and South Campuses. These assessments included formative and summative assessments. Formative assessments were available on Questionmark for a period of time during which students had the opportunity to complete the assessment when and where they preferred. Summative assessments were completed in a controlled environment, in a computer laboratory with invigilation – simulating the circumstances of a summative assessment written in a traditional paper-based manner.

Of the 2 735 students who had completed assessments in Questionmark, a total of 329 completed a survey to provide feedback about their experience of using the software. The majority of the respondents experienced the Questionmark pilot positively. However, there was some negative feedback, mainly difficulty

with internet connections; time limits on tests; slow computers in the computer laboratories on campus; and lack of feedback from lecturers.

The second phase of the Questionmark pilot will take place in the first semester of 2016 and will include various modules on the Qwaqwa Campus as well. During this phase e-assessment procedures will be formalised and the functionality of the software will be explored in more depth. After the second phase of the pilot a proposal for a large-scale roll-out of e-assessment practices at the UFS will be compiled based on the lessons learned in the pilot. The use of Questionmark at the UFS holds numerous advantages for student success at the institution.

### 5.1.7 Access programmes

The UFS has successfully facilitated access for students who would not under usual circumstances be admitted to university as evidenced by the numbers of students who enter mainstream university education after the UPP or through extended programmes. However, beyond anecdotal evidence there is little to determine the effectiveness of access programmes in terms of ensuring student success (measured as graduation within minimum time plus two years). The UFS has therefore started a tracking project focused on UPP and extended programme students. The preliminary cohort study results suggest that the majority of UPP alumni leave the University with no qualification (i.e. they drop out). An analysis of six cohorts (from 2005 to 2011) shows very little improvement in attrition rates, but success rates seem to be improving both in terms of those students who graduate in minimum time and those who graduate within six years. In 2013 the

Programme for Academic Student Success (PASS) was introduced with the aim of supporting the transition of access programme students into mainstream modules, and thus improving success rates and decreasing attrition rates for these students. It is too early to estimate the success of this programme as its first participants were the 2012 UPP alumni cohort. In the meantime, for those UPP alumni who continue to drop out of mainstream university education, the accreditation of a SAQA-registered Higher Certificate in Foundation Development and Access, which will replace the current UPP, will provide a formal qualification that grants access to higher education and training opportunities despite weak Grade 12 results. The fact that often students who have gone through UPP and extended programmes perform better than mainstream students in the same modules suggests that from a pedagogic point of view something is working. The problem that needs to be analysed is what happens in the transition that leads to students dropping out.

The Jan-mester mathematics course is an example of a faculty-based access programme. South African school leavers' under-preparedness for university-level mathematics has been a challenge for some time. Many high school learners opt for mathematical literacy at school rather than mathematics as such. This choice makes it impossible for these learners to access particular fields of higher education study, even via extended degree programmes and access programmes. Furthermore, those who do opt for mathematics often do not perform very well on their final National Senior Certificate (NSC) results for the subject and subsequently find themselves in the same boat as those mentioned

above. The Jan-mester course is a new initiative aimed at UPP and extended degree applicants whose entry-level mathematics scores are too low. Traditionally, as a result of faculty-specific requirements students are not allowed to enter either the EMS or NAS study options of the UPP and extended degrees if they did not take mathematics at school or achieve at least 40% for mathematics at school. In 2015, for the first time, students such as these were given an opportunity to enter the NAS study option of the UPP and extended degrees by enrolling for an intensive 10-day course to acquire the mathematics they would have acquired had they opted for mathematics at school. This course was presented from early to mid-January, before registration. Candidates had to pass this "crash course" as a kind of last resort to gain access to their intended studies. Of the 34 students who entered the Jan-mester course in 2015, 30 passed and gained access to their intended studies. The nature of the impact this course had in terms of this small group only became apparent later on though, when the results of all students who enrolled for pre-calculus, on all campuses, were calculated. It is important to bear in mind that the students who passed the Jan-mester course in many cases did not even have mathematics at school and those who did had very low results. This programme has not only provided access to 30 students, but more than 85% of the remaining group passed all of their first-semester subjects, which is remarkable. Therefore, it is clear that the interventions and course developments made by the programme has had, and continues to have, an impact on students' success in mathematics and their subsequent prospects for successful further degree studies in the NAS and EMS faculties at the UFS.

### 5.1.8 Graduate attributes

A university education is more than acquiring disciplinary knowledge or professional competencies. As education institutions, universities are responsible for producing graduates who are critical thinkers, competent citizens and compassionate human beings in the communities in which they live. This requires broad-based preparation of the students in the foundations of knowledge. This process must also be intentional: each unique institution produces a distinctive kind of graduate who reflects the vision and values of that institution. In 2011 the UFS identified this as a shortcoming in the way that it educates its students and therefore took upon itself the challenge of preparing a Kovsie kind of graduate: an intellectual as opposed to a technician, an active public participant instead of a disengaged member of society, and a knowledgeable rather than impulsive actor in a complex world. A first step towards achieving this goal was the introduction of UFS101, a common and compulsory interdisciplinary module for all first-year students built around the notion of pedagogic disruption. The module was piloted at the Bloemfontein Campus in 2011 with 200 students. By 2015 it had been rolled out to more than 5 000 first-year students on three campuses, and outsourced to the Sol Plaatjies University.

UFS101 has evolved continuously in both content and delivery mode though ongoing formative evaluation and pedagogic research. In 2015, the syllabus was changed to include a full semester

of teaching academic success skills. The first semester was designed to support students to function in an environment that requires computer literacy, articulating the benefits of a higher education through academic advising, and enhancing students' critical thinking skills. This incorporation of academic success skills in the compulsory module was initiated as a strategic move to improve the university's retention and success rates in the first year of study. The aim in the second semester was to show students how multiple perspectives can be used to engage with complex problems. The content in the second semester addressed the application of critical thinking skills through multidisciplinary perspectives. The current UFS101 provides a common intellectual experience complemented by the acquisition of the skills needed to face university life and to achieve academic success. It is based on experimental learning theory and employs blended-learning approaches.

At the moment the UFS is working towards the structural inclusion of UFS101 in the obligatory undergraduate curriculum, making the module also subsidy-earning and therefore no longer an "add-on". The next step is to find modes of integration between this general module and the core curriculum of each faculty, as well as trying to learn from some of its most successful pedagogic practices.

## Box 6: Curriculum review

The UFS curriculum review began in 2012. The review involved two processes: the alignment of the entire Programme and Qualifications Mix (PQM) of the University with the requirements of the Higher Education Qualifications Sub-Framework (HEQSF), a process initiated by the Council for Higher Education together with the DHET; and the assessment of the UFS curriculum in terms of its quality and its congruence with the vision and mission of the institution. Within the first four years of implementation the review successfully reduced the PQM from 751 qualifications, 1 185 programmes and 23 160 active modules in 2010, to 270 qualifications, 615 programmes, and 5 512 active modules in 2015. It has also reintroduced structure to all academic programmes, by limiting module choices and clearly stipulating progression rules. This is no small accomplishment and it has addressed to a very large extent two of the unintended consequence of the rapid enrolment expansion and the associated modularisation of the PQM more than a decade ago, i.e. credit overload and its impact on student success, and the administrative and teaching burden associated with the fragmentation of programmes and curricula. However, curriculum review has been mostly mechanistic thus far, dealing only with modules, credits, levels, and outcomes. The next challenge for the UFS is to engage with the curriculum in terms of knowledge content and epistemological transformation.

# 5.2 Research

## 5.2.1 Research strategy

The Research Strategy 2015-2019 is focused on excellence and impact through transformative research. It seeks to promote relevant elements of the UFS mission (see section 1.1) and is built upon the following five aims:

- Improving international research excellence, impact and visibility through attracting, supporting and developing excellent people.

- Developing research focus areas that will be recognised nationally and internationally for excellence.

- Building stronger local and global partnerships and networks.

- Providing a sustainable and supportive research environment with appropriate management, physical and financial resources.

- Supporting and developing innovative research into commercialisation.

## 5.2.2 Research outputs

As explained in section 2.2.2, the provisional research output data for 2015 outputs that is available before the end of June 2016 do not approximate the actual output values, due to the timing of the postgraduate graduation ceremonies and the extended DHET review period for publications. We therefore report on the research output performance for the year preceding the reporting period of this Annual Report.

The UFS performed well in 2014 in terms of the publication outputs produced by its academic staff (see Figure 4). Total weighted outputs increased by 14% from 2013 to 2014; publication output units increased by more than 90 units, units from Master's graduates increased by 40, and units from doctoral graduates by 39. The University improved its ranking from 11th to 9th in the country in terms of scholarly journal outputs and UFS authors improved the share of journal
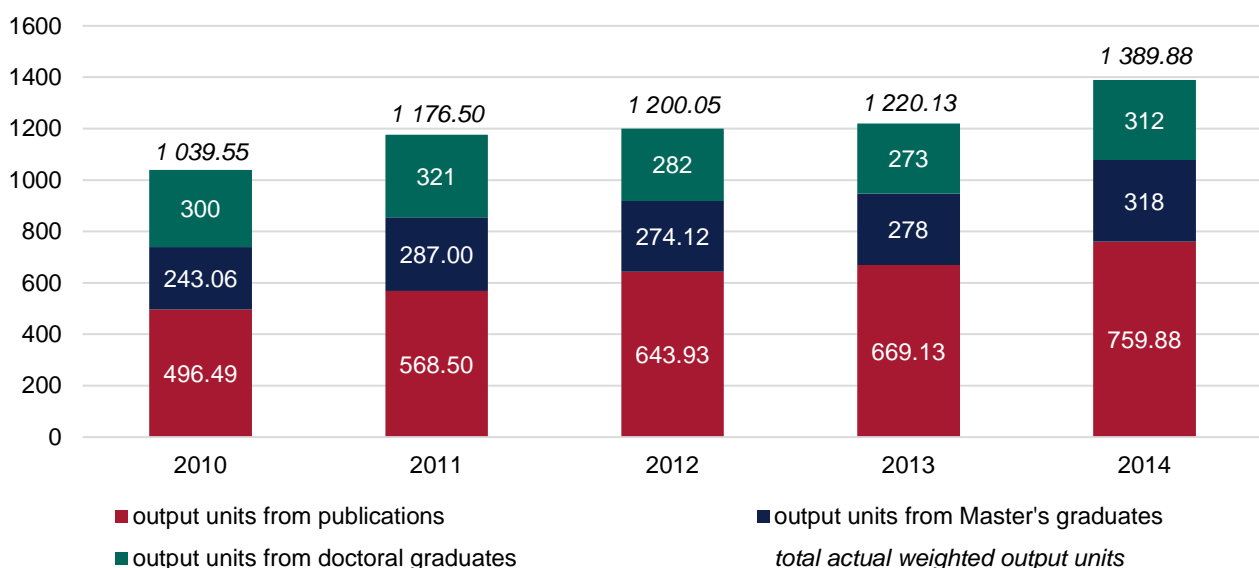


**Figure 4: UFS weighted research output units by source, 2010 to 2014**

articles published in internationally indexed journals from 63% in 2013 to 66% in 2014. Publication output units generated from books increased by 59% and the UFS was ranked 4th in the country in this category, behind the Universities of Cape Town and the Witwatersrand and Stellenbosch University. The value of research output subsidy generated from conference proceedings increased by 20%.

In 2011 the DHET increased the output units required per capita for the UFS from 1.41 to 1.7, which led to a significant drop in the delivery proportion (i.e. share of DHET output norm achieved) of the University. However, in 2014 the UFS has started recovering towards the norm, increasing its delivery proportion by 8.3%, from 74.6% in 2013 to 82.9% in 2014.

### 5.2.3   Research excellence

Increasing the number of postdoctoral fellows at the UFS has proved to be a successful strategy to not only improve research outputs, but also to attract and develop excellent researchers from all over the world. This improves the intellectual diversity of the University, and facilitates the development of new collaborative research partnerships. The number of postdoctoral fellows at the UFS increased from 67 in 2014 to 100 in 2015, who between them generated about R8.5 million in research output subsidy from publications outputs only. One fellow from Ghana alone produced 34 publications for the UFS, and two fellows occupy high-level positions in research councils in India. The UFS also hosted its first TWAS[xiii]-NRF postdoctoral fellow in 2015. These prestigious fellowships are awarded to scientists from developing countries other than

[xiii] The World Academy of Sciences

South Africa to enable them to pursue postdoctoral research in the natural sciences.

The UFS gained two new research chairs in 2015 under the NRF South African Research Chairs Initiative (SARChI), bringing its total to five SARChI chairs. These leading researchers are:

- Prof Hendrik Swart – Solid State Luminescent and Advanced Materials (2013-2017)
- Prof Melanie Walker – Higher Education and Human Development (2013 – 2017)
- Prof Felicity Burt – Vector-Borne and Zoonotic Pathogens (2016 – 2020)
- Prof Pumla Gobodo-Madikizela – Humanities without Borders: Trauma, History and Memory (2016 – 2020)
- Prof Maryke Labuschagne – Disease Resistance and Quality in Field Crops (2016 – 2020)

Prof Labuschagne also received a Country Lifetime Achiever award at the 2015 continental awards for Africa's Most Influential Women in Business and Government. The award recognises and honours the lifelong efforts, achievements and contributions by individuals in their local communities. She is one of only nine women across the continent and the third South African to receive the award this year.

The University also increased its cadre of NRF rated researchers, from 122 in 2014 to 127 in 2015. For the first time we house two A-rated researchers – Prof Max Finkelstein and Prof Melanie Walker. Prof Finkelstein was recognised as a leading international researcher for his work in the fields of mathematical reliability theory, stochastic processes and operations research,

distribution theory, survival analysis, and Prof Walker for her work in higher education studies, human dignity, and diversity in education. Also for the first time, a UFS humanities scholar has received an Y1 rating, bringing the total number of Y1-rated researchers at the UFS to five. Promising young researcher Dr Andrew Cohen is a historian who received the rating based on his work in African history, contemporary political history, and economic history. The number of B-rated researchers at the UFS (recognised as internationally acclaimed researchers) increased from six to 12 (see Table 5). □

**Prof JD Jansen**
Chairperson of Senate

## Table 5: UFS B and Y1 NRF rated researchers 2015

| Name | Discipline | Rating | Rating first awarded |
|------|-----------|--------|----------------------|
| Prof J Neethling | Private Law | B1 | 2015 |
| Prof ZA Pretorius | Plant Sciences | B1 | 2015 |
| Prof HC Swart | Physics | B1 | 2015 |
| Prof JJ Henning | Mercantile Law | B1 | 2013 |
| Prof CL Miller-Naude | Hebrew | B2 | 2015 |
| Prof JU Grobbelaar | Plant Sciences | B2 | 2012 |
| Prof JH Meyer | Mathematics and Applied Mathematics | B2 | 2012 |
| Prof PJ Meintjes | Physics | B3 | 2015 |
| Prof G Olivier | Philosophy | B3 | 2015 |
| Prof JA Naude | Hebrew | B3 | 2013 |
| Prof L Scott | Plant Sciences | B3 | 2013 |
| Prof HCJ Van Rensburg | Health Systems Research and Development | B3 | 2013 |
| Dr AP Cohen | Historical Studies | Y1 | 2015 |
| Dr DJ Opperman | Biochemistry, Molecular and Cell Biology | Y1 | 2014 |
| Dr JJ van Tol | Earth Sciences | Y1 | 2014 |
| Prof HJ Strauss | Literary Studies, Languages and Linguistics | Y1 | 2012 |
| Dr M Venter-Gryzenhout | Microbiology and Plant Pathology | Y1 | 2011 |

# 6 REPORT OF THE INSTITUTIONAL FORUM

The Institutional Forum must advise the UFS Council on issues affecting the university, including the implementation of the Higher Education Act, 1997, and the national policy on higher education; policies on race, gender equity and other grounds of discrimination referred to in relevant legislation; the selection of candidates for senior management position; codes of conduct, mediation and dispute resolution procedures; and the fostering of an institutional culture which promotes (i) tolerance and respect for human dignity and fundamental human rights and (ii) a positive environment for teaching, research and learning.

The Forum was revitalised during 2015. It meets regularly and reports accordingly. It held its four planned meetings for 2015, of which three were quorated. The role and functions of the Forum were continuously discussed on the basis of the Higher Education Act [101 of 1997, section 26(2)(f)] to ensure that it keeps to its statutory mandate.

The Forum has provided valuable input in a number of important matters, including, most recently, the language policy. It advised the Council regarding senior appointments (including the Senior Director: Human Resources, the Registrar: Systems and Administration, and the extension of the term for Vice-Rector: Operations) and the need to have a structure established by management to deliberate on statues and symbols at the UFS. Following the work of the Language Committee, the Forum advised Council to adopt a set of guidelines that would guide the drafting of a new language policy for the UFS.

Presentations were made to the IF by the chairperson of the Language Committee on the report of the committee, and by the Vice-Rector: Academic on curriculum transformation. ☐

**Dr WN Nel**
Chairperson of the Institutional Forum

The 2015 membership of the Institutional Forum is as follows:

**Chairperson**
Dr WN Nel

**Designated by Council**
Mr H Madlala
(2nd position of Council representative member is vacant)

**Elected by the Senate**
Prof P Burger
Prof H Hudson

**Designated by the University Management Committee**
Ms D Gaofhiwe-Ingram/ Ms NB Mtyingizana
Prof A Keet

**Elected by the academic staff who are not members of Senate**
Dr WN Nel

**Elected by the non-academic staff**
Ms MA van der Westhuizen
Mr DB Prinsloo

**Elected by service employees**
Mr SL Coangae
Mr E Moeti

**Designated by the trade unions**
Mr DM Ndlangamandla (NEHAWU representative)
Ms A Lombard (UVPERSU representative)

**Appointed by the Central Student Representative Council**
Ms M Leteane/Mr L Ntuli (Bloemfontein Campus)
Mr T Sithole/Mr P Sikhosane (Qwaqwa Campus)

# 7 FINANCIAL REPORT OF THE UFS

The UFS consolidated financial statements dated 31 December 2015 together with the external auditors' report is included as Appendix 4 of this Report.

## Box 7: Statement on financial audit

The Public Audit Act of 2004 as amended (Act), prescribes the Auditor General to be the external auditor of the University. The audit is currently performed by PricewaterhouseCoopers, who also are responsible for the external audit under the auspices of the Auditor General in accordance with the requirements of the Act.

Section 28(1) of the Act requires from the external auditor to reflect such opinions and statements as may be required by any legislation applicable to the University, but this must reflect at least an opinion or conclusion on:
- Whether the financial statements of the University fairly present, in all material respects of its operations and cash flow for the period which ended on 31 December of each year, in accordance with the applicable financial framework and legislation.
- The University's compliance with any applicable legislation relating to financial matters, financial management and other related matters; and
- The reported information relating to the performance of the University against predetermined objectives.

The governance and management of the University provides assurance for financial sustainability, and the UFS has received unqualified audit reports in all of the periods included in this report.

**Mr CR Liebenberg**
Senior Director: Finance

# Appendix 1: Code of Ethical Conduct of the UFS Council

*This code has been formulated to promote the highest ethical and moral standards and to foster an understanding of the conduct expected from staff. The role of the University is to create, preserve, transmit and apply knowledge and understanding through teaching, research, creative works and other forms of scholarship. In carrying out this role, the University reaffirms its commitment to the values. Staff members should be aware that breaches of aspects of this code may fall within the scope of improper conduct and could result in disciplinary action being taken.*

The University of the Free State (UFS, also referred to as the University) adopts this Code of Ethical Conduct in order to:
- confirm core values to which it will adhere in the governance of the University,
- promote honest and ethical conduct by members of Council by establishing standards to which they should conform, and
- guide Council members in carrying out their duties to the UFS.

The core values of the University are:
- Superior Scholarship
- Human Embrace
- Institutional distinctiveness
- Emergent Leadership
- Public Service (linked with the Academic Project and the Human Project)

No code or policy can anticipate every situation that may arise. Accordingly, this Code is intended to serve as a source of guiding principles. Council members are encouraged to bring questions about particular circumstances that may implicate one or more of the provisions of this Code to the attention of the Chairperson of Council or the Chairperson of the UFS Audit and Risk Management Committee, who may provide guidance on the provision in question.

This Code applies to all members of Council of the UFS, regardless of the sector, constituency, office or entity to which they owe membership. Members of Council who are employees of the UFS are also subject to the conduct requirements and conditions of service of their appointments, which are separate requirements and are not part of this Code. Student members of Council are also bound by the rules and codes governing students. All Council members shall adhere to the requirements set forth below in carrying out their duties to the UFS.

**Standard of Conduct**
In discharging her or his duty to direct the governance of the UFS, a Council member shall at all times act in a manner he or she believes in good faith to be in the best interests of the University, and shall exercise the care which an ordinarily prudent person in such a position would exercise under similar circumstances. The Council represents the interests of the UFS and has responsibility for overseeing governance and management and should also manage adherence to the principles of good governance by the members of Council. The Council members' responsibilities in performing this oversight function include a *duty of care and a duty of loyalty*.

A Council member's *duty of care* refers to the responsibility to act reasonably and exercise appropriate diligence in overseeing the governance and management of the University, making decisions and taking other actions. In meeting the *duty of care*, members of Council are expected to:

1. Attend and participate personally in Council and related committee meetings. This entails ensuring that a member is not absent without leave from two consecutive ordinary meetings of the Council (See Section 15(7)(a) of the institutional statute.)
2. Remain properly informed about the business and affairs of the University. Council members will therefore devote appropriate time to review periodic updates provided by University management, as well as studying Council materials prior to each meeting.
3. Rely on others. In doing this, Council may have to rely on Council committees, UFS

management and employees, and professional advisers.

4. Make inquiries during meetings. Members of Council will make inquiries about potential problems that come to their attention and follow up in subsequent meetings or in appropriate Council sub-committees until they are reasonably satisfied that management is addressing them appropriately. (This process must be seen in conjunction with the section on Compliance Procedures below.)

A Council member's *duty of loyalty* refers to the responsibility to act in good faith and in the University's best interests, not the interests of himself or herself, a family member or an organization with which the Council member is affiliated, or any other sectional interest of the member. Council members shall not use their positions for personal gain. The *duty of loyalty* may be relevant in cases of conflict of interest.

### Conflicts of Interest
Members of Council have a duty to be free from the influence of any conflicting interest when they participate in Council meetings or related Committee deliberations or voting, and to comply with the UFS Council Conflict of Interest Policy and the related annual declaration of any conflict of interest.

### Confidentiality
Members of Council will maintain the confidentiality of all proprietary, strategic and sensitive or valuable information of the University entrusted to them, except when disclosure is authorized or legally mandated.

### Fair Dealing
In carrying out their responsibilities to the UFS (including establishing the University's policies and procedures), members of Council shall seek to deal fairly with the University's employees, service providers, suppliers, competitors, partners and students, and shall avoid taking unfair advantage of anyone through manipulation, concealment, abuse of privileged information, misrepresentation of material facts, or any other unfair dealing practice. Council members will refrain from making or supporting any statement, promotion, or advertisement that is deceptive or fraudulent, and from the use of implication or half-truths that could falsely represent a UFS programme or service.

### Protection and Proper Use of University Assets
In carrying out their responsibilities to the UFS (including establishing the University's policies and procedures), Council members will protect the assets of the University, ensure their efficient use and ensure that they are used for legitimate business purposes.

### Compliance with Laws and Regulations
In carrying out their responsibilities to the UFS, Council members will adhere, and cause the University to adhere, to all applicable international, national and local legislation and prerequisites. In particular, Council members will seek to comply with the requirements of both the Higher Education Act (No. 101) of 1997, as amended, and the Institutional Statute: University of the Free State (Government Gazette No. 33490, of 27 August 2010, as amended).

### Encouraging the Reporting of Possible Illegal or Unethical Behaviour
The Council will take steps to ensure that the University (a) promotes ethical behaviour; (b) encourages employees to talk to supervisors, managers and other appropriate personnel when in doubt about the best course of action in a particular situation; (c) encourages employees to report violations of laws, regulations or the University's own regulatory framework appropriate to its personnel and students; and (d) informs employees and students that the University will not allow retaliation or victimization for reports made in good faith.

### Compliance Procedures
Any waiver of any provision of this Code may only be made by the Executive Committee of Council (ECC) after due deliberation and a determination that appropriate controls to protect the UFS are in place. Any subsequent resulting amendment to this Code will be put before Council by the ECC for consideration.

Members of Council will communicate any suspected violations of this Code promptly to the Chairperson of Council or the Chairperson of the Audit and Risk Management Committee as appropriate. Violations will be investigated by the ECC or by a person or persons designated by the Council, and appropriate action will be taken in the event of any violations of the Code.

*Approved by the Council on 7 June 2013*
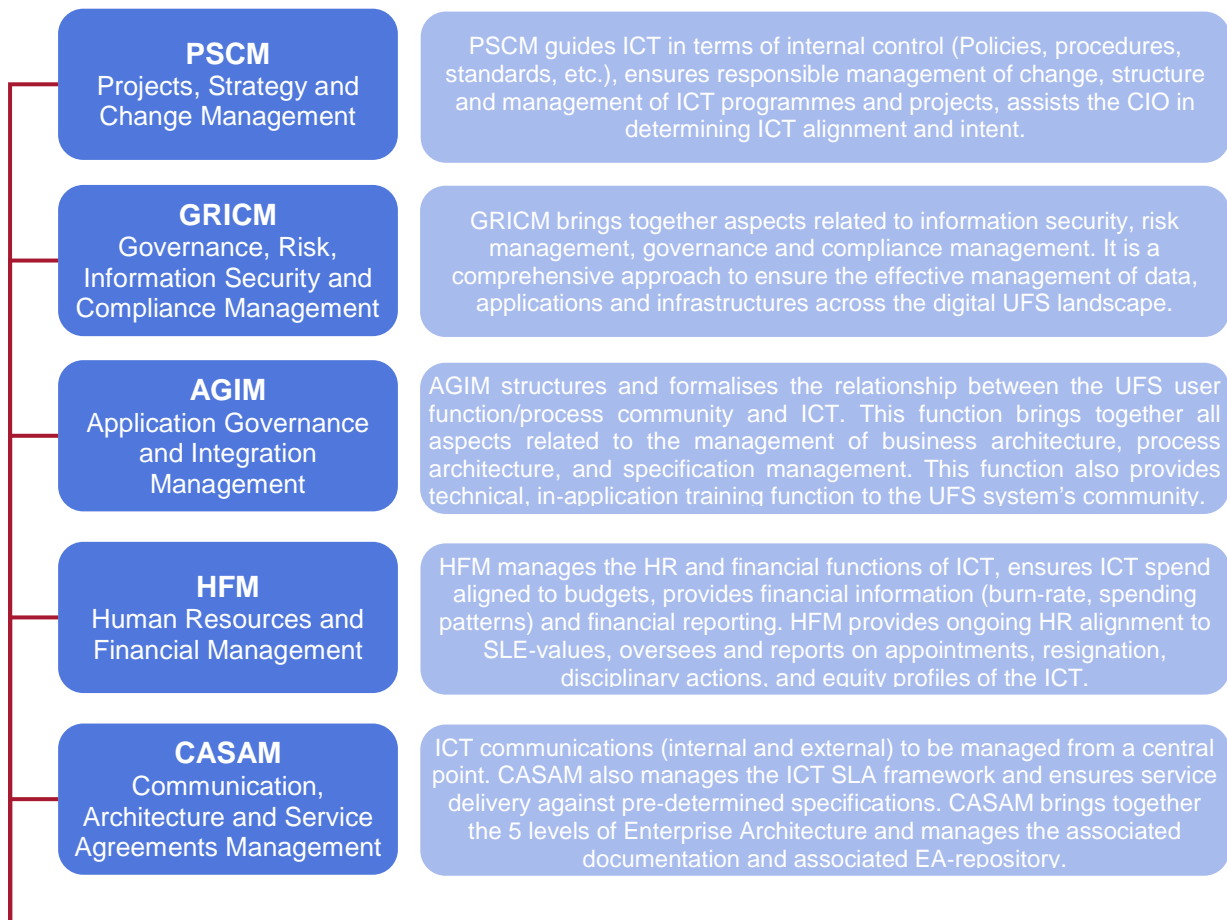
# Appendix 2: UFS Council Minutes 2015

Please refer to document titled *Appendix 2* submitted with this Report.

# Appendix 3: Governance of information and communication technology

## ICT SERVICES DIVISIONS

### ICT Specialist Services and Governance
(In the Office of the CIO)

*ICT Specialist Services are highly complex and/or specialised skills sets required to run and enable ICT across delivery functions. These services seldom have any line reporting to them, but in some instances a limited line function is required.*

**PSCM**
Projects, Strategy and Change Management

PSCM guides ICT in terms of internal control (Policies, procedures, standards, etc.), ensures responsible management of change, structure and management of ICT programmes and projects, assists the CIO in determining ICT alignment and intent.

**GRICM**
Governance, Risk, Information Security and Compliance Management

GRICM brings together aspects related to information security, risk management, governance and compliance management. It is a comprehensive approach to ensure the effective management of data, applications and infrastructures across the digital UFS landscape.

**AGIM**
Application Governance and Integration Management

AGIM structures and formalises the relationship between the UFS user function/process community and ICT. This function brings together all aspects related to the management of business architecture, process architecture, and specification management. This function also provides technical, in-application training function to the UFS system's community.

**HFM**
Human Resources and Financial Management

HFM manages the HR and financial functions of ICT, ensures ICT spend aligned to budgets, provides financial information (burn-rate, spending patterns) and financial reporting. HFM provides ongoing HR alignment to SLE-values, oversees and reports on appointments, resignation, disciplinary actions, and equity profiles of the ICT.

**CASAM**
Communication, Architecture and Service Agreements Management

ICT communications (internal and external) to be managed from a central point. CASAM also manages the ICT SLA framework and ensures service delivery against pre-determined specifications. CASAM brings together the 5 levels of Enterprise Architecture and manages the associated documentation and associated EA-repository.

# ICT SERVICES DIVISIONS

## ICT Delivery and Operations

*ICT Delivery and Operations is the true customer-facing edge of ICT. Products and services delivered from this base represents the full scope of ICT services across the UFS domain. These delivery domains are complex super-structures containing within the constraints of each unique ICT products and services.*

SDD incorporates all programming initiatives outside the systems managing the administrative core (ERP) of the UFS. This function is underpinned by a structured SDLC-framework that governs the various development initiatives and ensures a normalised and single development methodology.

The complexity of the function lies in the acknowledgement of the diversity of programming protocols, development tools associated with software engineering and system development.

Typical focus areas of this function are custom development initiatives associated with ECM (Electronic Content Management) practices.

The CASD-division caters for a structured approach to two essential corporate functions that are currently taken care of in a very disparate, unstructured and unmanaged manner viewed from a corporate perspective.

Firstly, the management of the highly structured ERP-environment needs to be aligned to normalised practices in terms of specification alignment (specialised SDLC), system configuration and -alignment.

Secondly, Corporate Data Management, as a practice, brings together a data management framework and an infrastructure that enables the effective management of corporate data across all operational UFS domains.

ESS deploys and provides technology-based support services to the UFS community in terms of technology-based end-user assistance, technology procurement, technical field services and personalised instal-lations of computers and software.

This division also ensures the effective installation and operation of video conferencing facilities, audio-video infrastructures and point-to-point live streaming capabilities in all the venues of the UFS as a static- and/or mobile service.

New to this function is the full support of all student laboratories and student facilities associated with the various labs and learning spaces of the UFS. This includes all teaching media facilities, technical support and student help-desk facilities on all three campuses of the UFS.

ICO represents the engine room of the UFS digital domain. This highly technical- and highly specialised function of ICT ensures a stable and digital operating platform for all systems and associated applications such as system platforms, data storage and operating system integration.

ICO also ensures the effective management of the digital 'sanity' of the UFS with specific emphasis on digital identity management, security management, intruder detection, virus attacks, hacking and patch deployment across all digital infrastructures of the UFS.

Also managed from this central hub are all collaborative infrastructures such as networks (voice/digital, data), wireless deployments, Internet access and all digital security measures associated with these networks and infrastructures.

**SDD**
Software Design and Development

**CASD**
Corporate Administrative Solutions and Data

**ESS**
End-User Support Services

**ICO**
Infrastructure and Core Operations

# Appendix 4: UFS consolidated financial statements

Please refer to document titled *Appendix 4* submitted with this Report.

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