Close out Report
of the New Universities Project Management Team on the
Development of New Universities in Mpumalanga and the Northern Cape
01 NOVEMBER 2011 - 31 JULY 2017
Chapter 5

Academic and institutional development
5. Academic and Institutional Development

It is the academic vision that determines the institutional, spatial and infrastructure planning for the new universities. Pivotal to the academic planning and development was the publication by DHET of a Development Framework [5-1] setting out government’s unfolding vision for the two universities, including the vision that these must become institutions of excellence, able to attract the best academics and students across South Africa and beyond. This goal has had a profound impact on all areas of planning, including academic, spatial and infrastructure planning.

5.1. Academic Vision

From a national perspective the new institutions are intended to introduce new university level capacity into the country as a whole. Although the two universities are established in Northern Cape and Mpumalanga provinces, it is essential that the universities are seen not only as provincial institutions but as a national competency with a footprint on an international level. The new institutions must become fully fledged universities that are able to attract the best academics in South Africa, the continent and the world and, each aspiring to be a destination of choice for qualifying school leavers. The hallmark of these new universities must be academic excellence underpinned by quality leadership.

The Development Framework for the university in Mpumalanga highlighted the following fields of study and qualification types as pertinent:

- Agriculture with areas of specialisation in natural resource management, nature conservation, plant and animal sciences, forestry and wood sciences and technology as well as wild life management;
- Engineering specialising in industrial and manufacturing, agricultural, chemical and computer systems engineering;
- Health Sciences and related clinical sciences with a strong linkage to the Nursing college and other health professions;
- Computer science focusing on programming, information science and data processing and business system analysis;
- Management, economics and finance fields with areas of specialisation in logistics management, local government; and
- Teacher education with an initial focus on foundation phase teaching.

It was further envisioned that the university develop at least two postgraduate centres of excellence, with consideration being given to:

- Applied science – agricultural sciences, specifically linked to sub-tropical fruit, biodiversity and ecosystem management; and
- Human development, family studies and rural and sustainable development.

The preliminary areas of specialisation for the Sol Plaatje University (SPU) identified in the Development Framework, included:
• Information technology and computer sciences with possible areas of specialisation on systems administration, networking and LAN/WAN or Web management;
• Engineering and applied sciences with a possible focus on manufacturing, diamond technology, renewable or alternative energy;
• Agriculture with a focus on agro-processing, agricultural business technology and agriculture mechanisation and food science and technology;
• Management studies with a possible focus on business management / hospitality management / tourism management;
• Health sciences with an initial focus on nursing; and
• Humanities with areas of specialisation in teacher education, indigenous languages, heritage studies and art.

Sol Plaatje University is envisioned as a comprehensive institution offering a programme mix of technical, vocational, professional and academic disciplines and qualification types such as Higher Certificates, Advanced Certificates, Diplomas and Bachelor’s degrees. In addition, the Development Framework anticipated the development of at least two postgraduate centres of excellence, with consideration being given to:

• Physical sciences – astronomy
• Applied sciences – renewable energy, low carbon energy, hydrology, water resource management and climate variability.

5.2. PRELIMINARY PLANNING MODALITIES AND PARTNERSHIPS

The appointment of an Academic Programme manager to the NUMPT provided the impetus to expedite the academic planning processes. A full preliminary Programme Qualification Mix (PQM) for each institution was developed as a planning foundation for space requirements, allowing significant flexibility to accommodate any changes that might be envisaged by the universities, when established.

Academic Champions and Academic Working Groups (AWGs) were formed to consider the PQM and academic support needed for these new institutions in the context of the priorities set forth in the Development Framework, including the development of programmes in their CESM categories in partnership with specific sponsoring universities. The AWGs were responsible for identification of institutional arrangements that needed to be put into place for enabling programme offerings in 2014 at the start of the academic year. The AWGs consisted of experienced senior academic staff from established universities willing to assist the new universities to develop their academic offering. The Working Groups addressed the academic administrative requirements, recruitment of students and preparations towards applications in 2013 and admission in 2014. Each academic focus group investigated the role of the sponsoring, or partner institution in terms of curriculum.

Partnerships with existing universities operating within prioritised fields were negotiated to ensure that quality assurance issues were addressed and human resources were recruited and developed to enable the effective small-scale start-up of programmes in 2014, and that the longer-term development trajectory would lead to sustainability. These partnerships enabled the deployment of academics in partner institutions to develop the submissions for
programme accreditation with the Council on Higher Education (CHE). Sponsoring universities also provided teaching staff under Memorandums of Agreement (MoAs) for the start-up of programmes in 2014. Partner universities that contributed to the development of the 2014 programmes were:

- Agriculture (University of Mpumalanga):- University of Pretoria (UP)
- Hospitality (University of Mpumalanga):- University of Johannesburg (UJ)
- Education (University of Mpumalanga):- University of Johannesburg (UJ) at Siyabuswa Campus
- Information Technology (Sol Plaatje University):- Cape Peninsula University of Technology (CPUT)
- Life and Physical Sciences (Sol Plaatje University):- University of the Free State (UFS)

The 2014 start-up programme in Mpumalanga included the provision of the Bachelor in Agriculture (Extension and Rural Development) degree; a Diploma in Hospitality Management; and the Bachelor of Education (Foundation Phase) degree at the Siyabuswa campus. The 2014 start-up programme for the university in the Northern Cape included the provision of Diplomas in Information Communication Technology (Applications Development), Retail Business Management and the Bachelor of Education degree (specialising in Maths, Science and Technology). A key principle that informed the development of the PQM was the need to avoid duplication and to establish a few unique fields of study. The academic footprint provided by the 2014 start-up programmes was linked to the long-term development of unique fields of study that are expected to develop over time. Science, engineering and technology programmes will feature prominently at both institutions.

The promulgation of the new universities and the appointment of Interim Councils in July 2013 enabled an important shift in responsibility for academic planning to the new institutions and their newly appointed academic staff.

5.3. 2014 START-UP

Planning for the 2014 academic start included the need to respond to a first intake of students by 2014 as described in Table 5.1
Table 5.1: 2014 – First-year Student Enrolments

<table>
<thead>
<tr>
<th>University of Mpumalanga</th>
<th>Sol Plaatje University</th>
</tr>
</thead>
<tbody>
<tr>
<td>Programme</td>
<td>Programme</td>
</tr>
<tr>
<td>B Ed Foundation Phase Teaching, Siyabuswa Campus</td>
<td>B Ed</td>
</tr>
<tr>
<td>Students 108</td>
<td>Students 47</td>
</tr>
<tr>
<td>B Agric at the LCA campus</td>
<td>Retail Management Diploma</td>
</tr>
<tr>
<td>Students 20</td>
<td>Students 40</td>
</tr>
<tr>
<td>Hospitality Management Diploma at the MRTT</td>
<td>IT Diploma</td>
</tr>
<tr>
<td>Students 23</td>
<td>Students 40</td>
</tr>
<tr>
<td><strong>Total 151</strong></td>
<td><strong>Total 127</strong></td>
</tr>
</tbody>
</table>

With the establishment of both universities in 2013, the Interim Councils and university leadership assumed responsibility for academic development and are engaged in an ongoing process of refining the PQM of both institutions. Intake of students in the 2015 academic year expanded to 828 at the UMP and 337 at SPU. The intake expanded further in the 2016 academic year to 1255 at the UMP and 700 at SPU.

5.4. INSTITUTIONAL DEVELOPMENT

Since late 2015, the two universities have had full and sole responsibility for ongoing institutional development. Both universities have also established core capacity to manage the massive infrastructure development challenges ahead, and the NUPMT has supported this development, which is dealt with in the final chapter of this report, namely Handover and Close Out.

This section of the report reviews the institutional establishment and growth of the two universities up to 31 March 2016, when full responsibility for all further development was handed over by the NUPMT to the new universities.

In the six years since 25 March 2010, when the Minister of Higher Education and Training announced the establishment of two task teams to explore appropriate models for the new universities, both universities have been established and achieved some size. The University of Mpumalanga (UMP) has 238 staff and 1255 students covering nine programmes and Sol Plaatje University (SPU) has 112 staff with 700 students, also with nine different programmes. In most instances, these programmes were established in new and refurbished infrastructure for teaching, learning and accommodation.

The Project Time Line at the end of Chapter 2 covers the specific milestones reached during this six-year period, from concept to proclamation and from an interim state of governance and management with only a handful of staff and students, to institutions that have achieved a high degree of stability and now manage their own academic, administrative, research and developmental requirements internally. Reference is also made in the time line to the legislative Acts underpinning the establishment of these two institutions.
5.5. **GOVERNANCE OF THE UNIVERSITIES**

The Interim Councils of SPU and UMP were established by proclamation on 22 and 23 August 2013 respectively, attending a joint workshop addressed by the Minister of Higher Education and Training. They began their initial deliberations that same night with the first formal Interim Council meetings being held in August and September 2013.

Prior to the establishment of the Interim Councils, the NUPMT had convened a task group to develop a full set of institutional guidelines\(^5\) as an interim measure to enable the immediate functioning and governance of the university. These guidelines covered:

- Institutional governance
- Office of the Registrar
- Student governance
- Academic programmes
- Human resources
- Information and communication technology (ICT)
- Finance
- Library and information sciences Facilities management

While these guidelines provided a springboard enabling the immediate functioning of the fledgling institutions, no actual systems such as payroll, procurement processes, creditors and debtors management were in place. Since the institutions needed to be able to function from the start, a service provider was engaged to fulfil these functions until the universities established their own finance capacity, including the costly hardware and software required and the operational staff needed.

Interim Vice Chancellors were appointed with basic interim management teams to support them. These interim structures were given 12 months in which to establish more permanent governance and management structures.

One of the main challenges during the start-up phase of both new universities was the temporary nature of both the Interim Council as well as the Executive Management – the latter finding that, as the institution was very small, a larger executive team was not deemed to be affordable, and executive team members ended up carrying out a multitude of interdisciplinary functions. Perhaps the permanent appointment of an executive team from the very beginning might have brought greater stability at an earlier stage.

In August 2014, full councils were inaugurated and immediately began the process of recruiting permanent executive management staff, and establishing formal governance protocols to allow for institutional decision making in line with their respective statutes. This process has continued.

By the beginning of 2016, university Chancellors had been appointed, Vice Chancellors had been inaugurated and permanent Committees of Council were operative, including an Executive Committee of Council, with appropriate secretariat support functions.

5.6. **EXECUTIVE MANAGEMENT AND STAFF – BY MAY 2016 – POST HANDBOVER**

From the outset, the NUPMT played a critical role in supporting staff recruitment for both universities. By 2016, when the universities had fully taken over this function, the UMP
Executive consisted of a Deputy Vice Chancellor: Academic, a Deputy Vice Chancellor: Planning and Institutional Support, an Executive Director: Finance, an Executive Director: Human Resources, a Dean of Students and a Registrar. A full-time Campus Director was appointed on the Siyabuswa Campus as well as a Senior Director: New Infrastructure to take over this massive responsibility.

At SPU, the Vice Chancellor was supported by a Chief Operating Officer and a Registrar. A Deputy Vice Chancellor: Academic was still to be appointed.

UMP had a total staff complement of 230, including 66 academic staff (ratio of 3.5 administrative staff to 1 academic staff) covering all of the specific functional requirements within a university. This number included staff on the Siyabuswa campus. SPU had a total staff of 112, of which 50 were academic (approximate ratio of 1.9 administrative staff to 1 academic staff). The main reason for this difference, given that the national higher education sector ratio is 2.1:1, is that UMP has a large contingent of non-academic staff on the farm in support of its agricultural programmes.

In addition to the SPU staff totals, a further nine contract staff were employed on the Galeshewe campus in Kimberley in a programme taken over from the National Institute of Higher Education (NIHE), Northern Cape, finalising the last academic year of BEd students from North West and Free State universities. These are administrative staff as the academic teaching is undertaken by staff from the other two universities. These contracts for SPU staff were scheduled to terminate at the end of December 2016.

Significant energy was invested with some success between September 2015 and March 2016 to expand institutional capacity in the area of infrastructure development and maintenance, although this function still remained an area at risk at the time of handover. Director level appointments had been made at both universities and efforts were still underway to recruit capacity to support these posts. Significant progress has been made since then by the universities themselves.

5.7. STUDENT ENROLMENTS AND ACADEMIC PROGRAMMES AT TIME OF HANDOVER

5.7.1 University of Mpumalanga

Additional courses introduced at UMP in 2016 include an Advanced Diploma in Agriculture, BSc Agriculture, Bachelor of Development Studies, Diploma in Nature Conservation, Diploma in ICT (See Table 5.2).
<table>
<thead>
<tr>
<th>NO.</th>
<th>NAME OF PROGRAMME</th>
<th>2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Advanced Diploma in Agriculture</td>
<td>0</td>
</tr>
<tr>
<td>2.</td>
<td>Bachelor of Agriculture</td>
<td>32</td>
</tr>
<tr>
<td>3.</td>
<td>BSc Agriculture</td>
<td>0</td>
</tr>
<tr>
<td>4.</td>
<td>Bachelor of Development Studies</td>
<td>0</td>
</tr>
<tr>
<td>5.</td>
<td>Diploma in Agriculture in Plant Production</td>
<td>134</td>
</tr>
<tr>
<td>6.</td>
<td>Diploma in Nature Conservation</td>
<td>0</td>
</tr>
<tr>
<td>7.</td>
<td>Diploma in Information Communication Technology</td>
<td>0</td>
</tr>
<tr>
<td>8.</td>
<td>Diploma in Hospitality Management</td>
<td>15</td>
</tr>
<tr>
<td>9.</td>
<td>Bachelor Education Foundation Phase</td>
<td>106</td>
</tr>
</tbody>
</table>

NEW ENROLMENTS 2016 287
RETURNING STUDENTS 968
TOTAL STUDENTS 2016 1255
5.7.2 Sol Plaatje University

The University introduced three new programmes in 2016 in the form of generic BA, BSc and BCom courses (see Table 5.2).

Table 5.2: SPU 2016 Registration Statistics (1st Entering and Returning Students)

<table>
<thead>
<tr>
<th>NO.</th>
<th>NAME OF PROGRAMME</th>
<th>2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Generic BA</td>
<td>54</td>
</tr>
<tr>
<td>2.</td>
<td>Higher Cert. Heritage Studies</td>
<td>21</td>
</tr>
<tr>
<td>3.</td>
<td>BSc Data Science</td>
<td>24</td>
</tr>
<tr>
<td>4.</td>
<td>Diploma ICT</td>
<td>50</td>
</tr>
<tr>
<td>5.</td>
<td>BSc</td>
<td>32</td>
</tr>
<tr>
<td>6.</td>
<td>BCom</td>
<td>14</td>
</tr>
<tr>
<td>7.</td>
<td>Diploma Retail Management</td>
<td>30</td>
</tr>
<tr>
<td>8.</td>
<td>BEd Senior Phase and FET</td>
<td>113</td>
</tr>
<tr>
<td>9.</td>
<td>BEd Intermediate Phase</td>
<td>66</td>
</tr>
</tbody>
</table>

NEW ENROLMENTS 2016  296
RETURNING STUDENTS  404
TOTAL STUDENTS 2016  700

5.8. Peripheral Institutional Impact and Changes

5.8.1 Required actions

The NUPMT provided senior management support to the administrative processes necessary to:

- disestablish the National Institutes for Higher Education (NIHE) in both provinces;
- incorporate the Lowveld College of Agriculture into the University of Mpumalanga;
- transfer the Siyabuswa Campus to the University of Mpumalanga.

5.8.2 National Institutes for Higher Education (NIHE) in both Provinces

A natural consequence of the establishment of the two new universities in Mpumalanga and the Northern Cape respectively was that the function and purpose of the National Institutes for Higher Education in each of these provinces became redundant. The provisions of the Higher Education Act No 101 do not allow for the incorporation of an institute that is not a
public higher education institute. After going through all of the required processes in terms of this Act, the Minister determined that these two institutes should be disestablished.

Both NIHEs achieved operational closure on 31 December 2014 in full compliance with related legislation. After extensive consultation with staff of the two NIHEs and the two new universities, 19 of the 27 staff in the Mpumalanga NIHE were offered posts with the UMP and one with a cleaning company contracted to the UMP. From the Northern Cape NIHE 32 of the 36 staff were offered posts with SPU.

The Northern Cape NIHE had accepted an administrative role in providing facilities in Kimberley (at the Galeshewe Campus) while the teaching duties were carried out by academic staff from the universities which had registered the students. This administrative role was taken over by SPU and was due to come to a close at the end of 2016 with the final students being “taught-out”. It was envisaged that any continuing responsibilities such as supplementary exams would be undertaken by the respective universities whose students they are.

While there were no legal challenges of a labour relations nature arising from the Mpumalanga NIHE disestablishment, one member of the NIHE staff in Kimberley chose to challenge not being offered a post with Sol Plaatje University. This matter was referred by the local CCMA to the Labour Court in Cape Town. Nothing further was heard of it after March 2015 and it is believed that the matter was dropped. A provision was included in the transfer of reserves from the NIHE NC to SPU should the matter be pursued further.

In both institutions, challenges were received from external contractors relating to the non-continuation of their contracts and/or the non-payment of agreed fees. Both matters were subsequently dropped.

An issue that existed between the NIHE Mpumalanga and the Public Protector was fully resolved and the matter closed without any further financial exposure.

The legal closures of the two institutions took place on 31 March 2015. All assets were transferred to the two receiving universities, all accounts closed, all financial matters fully audited and the final Annual Reports signed off and submitted to the DHET. All files that were required to be kept have been archived with UMP and SPU respectively. No further matters require attention as far as these two institutions are concerned.

5.8.2 The Lowveld College of Agriculture

In terms of the agreement reached between the Ministers of Higher Education and Training and of Public Works, as well as the Premier of Mpumalanga Province as published in Government Gazette No 36772 of 22 August 2013, the Lowveld College of Agriculture (LCA) was to be incorporated into the newly established UMP with effect from 1 January 2015. This was later confirmed specifically under Government Gazette No 38085 of 10 October 2014. In keeping with the requirements of the legislation, the incorporation was finalised and all assets and staff (without loss of benefits) were transferred to the new university on the effective date.

The Marapyane campus of the LCA was not part of this incorporation and, while members of staff at this campus, being employees of the LCA, were transferred to the UMP, the Marapyane campus itself remained the property and the responsibility of the Mpumalanga Province.
5.8.3 Siyabuswa campus

Originally developed through the University of Johannesburg (UJ) to teach BEd programmes, and administered as part of the responsibilities of the NIHE Mpumalanga, agreement was reached that the Siyabuswa Campus would be transferred to the UMP through a transitionary process that would see the end of UJ involvement at the end of the 2016 academic year. By March 2016 this campus was still a joint venture between the UMP and UJ but was due to become the sole responsibility of the UMP post 2016.

Significant infrastructural development (both renovations and new builds) were undertaken on this campus, initially under the NIHE mandate and after closure of NIHE, under the direction of the University itself.

5.9. Infrastructure Responsibility and Outstanding Institutional Challenges

On 31 March 2016, the responsibility for infrastructure was formally transferred to each university in accordance with the MOA between DHET and Wits, supported by the joint MOA between DHET, UMP, SPU and Wits, which was signed on 24 October 2014. With effect from 1 April, technical competencies previously reporting to the Project Management Team were successfully contracted by the new universities themselves and have since reported to the respective Infrastructure Directors of each university, ensuring continuity in the ongoing planning and delivery of infrastructure. The final section of this report describes the process of infrastructure handover and the project close-out process planned for the year ahead.

Both UMP and SPU are still funded through DHET grants which are largely determined by the budgetary requirements each year. The time will come however, when both new universities must start receiving government subsidies calculated on the same basis as every other university in the system.

A further challenge confronting each university for some time to come is reaching a point of stability in terms of academic programmes and student numbers, that allows for economic deployment of teaching and administrative staff. At the time of the PMT project close out in July 2017, some staff were still having to carry out several functions in order to meet the institutional and teaching demands which, in an established university, would probably be carried out by significantly more staff.

REFERENCE DOCUMENTS


[5-2] New Universities. Governance, Academic and Administrative Guidelines for the establishment of a New University, December 2012
Development Framework for New Universities in the Northern Cape and Mpumalanga Provinces

July 2012

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1. Purpose of this Document

This document sets out government’s evolving vision and thinking on the development of the two new universities in the Northern Cape and Mpumalanga. The document provides a framework within which the diverse elements and activities required for establishing the new universities may be conceptualized, planned, structured, prioritized, integrated and ordered.

The document reflects the intent of the Department of Higher Education and Training (DHET) and creates a framework for engagement and discussion.

2. Context

Government has adopted a range of strategies to expand the country’s post school education system, increasing the opportunities available to a growing number of qualifying school leavers. Since the transition to democracy, much has been done to increase the capacity and efficiency of existing institutions.

Since 2006 Government has invested more than R6.8b in the upgrading and expansion of infrastructure across South Africa’s 23 existing universities. This year the Department of Higher Education and Training (DHET) is allocating a further R3.8b for infrastructure expansion during 2012 and 2013. While enrolments have grown from 603 000 in 2001 to 900 000 in 2011, capacity remains inadequate to accommodate the rising number of qualifying school leavers.

Against this background Government has decided to develop two new universities in the provinces of Mpumalanga and the Northern Cape, the only two provinces that do not yet have a University. Government recognises that this is part of a long term investment in the expansion of our post school education system which includes these two universities and three new Further Education and Training colleges with a total of 52 new campuses.

3. Background and progress

In 2010 the Minister of Higher Education and Training appointed two task teams to investigate the feasibility and possible models for the establishment of universities in Mpumalanga and the Northern Cape respectively. The task teams engaged stakeholders in the provinces, and, taking into account provincial and national needs, made recommendations on the type and size of the two new institutions, including information on possible sites for the institutions.

Consultations held with representatives of provincial and local government, members of
industry and community interest groups confirmed that there was wide-ranging support for the establishment of the new universities in both the Northern Cape and Mpumalanga Provinces. The groups consulted included various provincial and local government departments, representatives of major development initiatives in the provinces, academic institutions, industry players and business organisations and political parties, formations and forums. Engagement with these stakeholders included face-to-face interviews, written submissions, interest groups workshops, and in the case of the Northern Cape Province, a provincial stakeholder summit.

The reports of the task team were submitted to the Minister in September 2011, and subsequently to the Council on Higher Education for their advice, as is required by the Higher Education Act, 1997 (Act No.101 of 1997).

Since November 2011, the Department of Higher Education and Training (DHET) has appointed a project management team to take forward the planning process under the guidance of a project steering committee, which includes academics from existing universities as well as representatives of the Premiers and of the National Institutes of Higher Education in the two Provinces. Academic work groups are being set up to flesh out their potential academic direction.

The project management team has visited and assessed 18 sites put forward by a range of stakeholders in the two provinces. Its recommendations on the main seats of the new universities are set out in a separate document together with the selection criteria. After consultation within national and provincial government, these recommendations have been approved by the Minister, namely that the main campuses and seats of learning should be located:

- in the inner city of Kimberley in the Northern Cape;
- on the site of the Lowveld Agricultural College, Nelspruit in Mpumalanga.

The next stage is a detailed investigation of the recommended sites. This will include further stakeholder engagement and discussions with potentially affected parties, mainly other institutions of higher education active in the provinces.

### 4. Government’s unfolding vision

As South Africa’s first new institutions of higher learning since 1994, the planned universities are envisaged as symbols of our new order, of democracy, inclusiveness, growth and opportunity. These institutions must become an enduring source of pride, both nationally and provincially. They must be able to attract the best academics in South Africa, the continent and the world. The hallmark of these new universities must be academic excellence underpinned by quality leadership.
These new universities should take their place amongst the network of institutions serving and expanding our national needs. They will provide qualifications in a range of fields for young people wishing to develop high level skills for the economy and personal advancement. They must create a strong academic hub, drawing on the individuality of each province to develop a unique academic focus and strong main campuses that enable multi campus expansion over time. They must enable maximum access within the country and contribute to the economic and cultural development of their respective provinces.

It is envisaged that both institutions will be comprehensive universities, each aspiring to be destinations of choice for qualifying school leavers across South Africa and the continent. The new universities will support both national and provincial goals. They will be unencumbered by the history of advantage and disadvantage attached to institutions of higher learning established during the previous political dispensation.

When established, government envisions these new universities:
- as sites of learning and culture which give expression to democracy and social justice and increase participation in political, social, cultural and economic life;
- as active participants taking centre stage in addressing the challenges confronting society and playing their role in the context of a Developmental State;
- as African universities, part of a broader network and community of African institutions of higher learning with a long tradition of scholarship, rooted in the African experience, contributing to African knowledge production and generating ideas and insights with global relevance;
- as 21st century social institutions that must develop innovative modalities of governance, funding, teaching and learning, research and civic engagement in order to respond to ever-changing social, cultural, political, environmental and economic demands;
- as relevant leaders of the knowledge economy, actively engaging communities to produce knowledge for social development and delivering innovation-driven research for commercial and economic advancement.

5. Principles

While each institution will develop its own identity and uniqueness, there are a number of principles that should guide their unfolding development.

5.1. Expansion of national academic capacity

The establishment of the two new universities is an extension of current initiatives to expand the capacity of higher education institutions and to increase access considerably
over the next 20 – 25 years. The National Plan on Higher Education and the Green Paper for Post-School Education and Training envisage an increase in enrolment for higher education to 20% by 2016 and 23% by 2030 respectively.

Against this background it is important that the new universities do not simply take over existing academic programmes run by other institutions, but add to the array of available offerings.

5.2. Comprehensive Universities designed for growth and flexibility

Both institutions should develop into fully fledged Comprehensive Universities offering a range of formative and technology-focused undergraduate programmes catering to youth with diploma and bachelor entry NCS qualifications and NCV qualifications, and strong post-graduate programmes in niche areas.

Over time both institutions may develop as multi-campus institutions starting with the main campus (seat of learning) designed for an initial student population of 15 000 in Mpumalanga and 5 000 in the Northern Cape. Future expansion should include the potential for additional campuses where appropriate benefit can be realised.

It is important that the main campus and seat of each university should be based on a contact mode of learning, providing a rounded student experience. However, given the potential of evolving communication technology, future expansion could be through a variety of modes, including diverse combinations of contact, open and distance learning.

While preliminary academic and physical planning requires certain assumptions to be made in relation to the Programme Qualification Mix, it is believed that the approach to the academic design of each institution should be based on a progressive elaboration, and not be rigidly fixed at the start.

The establishment of the new universities should contribute to the emergent system of articulation pathways by defining qualification articulation routes clearly and drawing in students who do not necessarily come along traditional routes. The universities need to work closely with other post-school institutions to ensure the mobility of students into graduate and post-graduate programmes.

5.3. Equity, Access and Success

The establishment of the new universities is another step towards redressing inequities by providing additional access to higher education to students who continue to suffer structural, racial and economic discrimination. Measures to achieve this must include initiatives to establish a student and academic profile that reflects the demographic make-up of South Africa.
Within both provinces, and more so in the Northern Cape, access is constrained by distance and the lack of affordable accommodation in proximity to the new universities. This is particularly true for historically disadvantaged school leavers. At the same time, experience at existing universities has demonstrated that students in residence have a greater success rate.

For these reasons a high proportion of students will need to be accommodated in residence. On-campus residence provision should be made in Mpumalanga for up to 60% and in Kimberley for up to 80% of the planned student enrolment.

### 5.4. Quality and Academic Excellence

Planning must enable both institutions to become institutions of choice. This will require a leadership commitment to excellence in teaching and research, with unique programmes and research priorities that will attract students, academics and researchers from across the country, the Diaspora and internationally.

This implies academic missions that will develop towards specialist niche areas not available in other SA institutions, and an environment that will attract and retain high level staff, as well as inspire a vibrant student population.

**Excellence in undergraduate (and post graduate) teaching** will need to be enabled from the top end, namely research and post graduate offerings linked to at least one specific niche area where high level human resources are available, or attracted, for the purpose. This top end specialisation must support the development of undergraduate programmes leading to these postgraduate specialisations.

Commitment to excellence will need to be supported by partnerships with other institutions to build the capacity and capability of staff and quality programmes.

**High quality leadership and management** will be a top priority for the universities, given the important role leaders and managers play in achieving planned outcomes, managing the strategies of the institutions and building institutional capacity.

### 5.5. Supporting Infrastructure, Facilities and Services

Student life must be understood as integral to university life and therefore be factored into the academic and social fabric of the institution from the beginning, including cultural, artistic and sporting activities.

The design of the infrastructure and facilities should reflect the iconic nature of the universities and our ambitions for their establishment. The setting should give each university a presence that accentuates its stature. However, each university should be a
“space of its place”, with an identity that draws on the characteristics of the site on which it is constructed and pathways and portals for interaction with the community at large.

The campuses will need to provide quality learning and living environments for students who will benefit from advanced communications platforms and processes delivered by the latest information and communication technologies. Each new university will require access to contemporary facilities, instructional technologies, well-equipped libraries, knowledge resources and laboratories and must establish the research and scientific infrastructure to support its niche areas of specialisation.

Both universities will have a large proportion of their student populations in on-campus residences. The accommodation will need to be within walking distance of the main academic and social spaces to facilitate the integration of the academic community with the communities surrounding the universities. Academic, cultural and social spaces should promote formal and informal gathering, meeting and sharing within the diversity of the academic communities.

5.6. Place-relevant and Engaged

The new universities should be integrated into their social, cultural, economic and built environments and contribute to social and economic development and renewal as fully fledged members of their communities. The policies, structures and priorities of the universities must reflect their commitment to engagement with the surrounding communities and their curricula should give expression to their proactive pursuit of opportunities for such engagement as a means to enrich the student experience.

5.7. Sustainability

Decisions taken in relation to the location, design and management of the institutions must be geared towards optimal sustainability of the new institutions. Sustainability should be understood to embrace all aspects of the new universities, including their academic, institutional, managerial, technical, financial, and environmental dimensions.

It is important to recognize that it may take up to a decade before the new universities are self sufficient, cost effective and sustainable.

6. Challenges

The aspirations and principles outlined above highlight a range of challenges.

The development of the universities will require significant capital investment and operational expenditure that will need to be supported over a period of time before the new universities are self-sustaining and established as fully fledged universities.
The new institutions will have to contend in a very competitive environment to attract high level academics and build up the necessary human resource capacity characteristic of centres of excellence.

The design of the academic content will have to balance the demands of local development priorities and global competitiveness in carving out a niche for the institutions. The offering of the academic programmes needs to be of the highest quality. Government will need to work in partnership with a range of private and public institutions so that it is able to address these and other challenges on the road ahead.

7. Academic prospects in the two provinces

The seat for the main campus of the university in the Northern Cape Province will be in the inner city of Kimberley, while the seat for the main campus in Mpumalanga will be on the site of the Lowveld Agricultural College, overlooking the City of Nelspruit and close to the new Provincial Legislature. They will both be developed as strong main campuses and academic hubs of multi-campus expansion over time.

Each university will develop a unique academic focus based on the individuality of its host province and national priorities. The Programme Qualification Mix for the institutions will be developed as part of the detailed planning activities currently underway. The potential academic focuses for the two universities are described below.

7.1. Northern Cape

The Northern Cape is the largest province (approximately 30% of the country) with the smallest population (less than 2%) in South Africa. The vision for the province is to build a prosperous, sustainable and growing provincial economy to reduce poverty and improve social development.

The province has comparative advantages in mining, agriculture, community services, transport and communication relative to the rest of South Africa. The Northern Cape Provincial Growth and Development Strategy has identified a number of prospects for growth in agriculture, agro-processing, mining and mineral processing, tourism, energy and science and technology.

The province represents a rich source of information on the development of human settlements in South Africa. The history of human settlement dates back millions of years based on the discovery of early hominid remains.

The province has also been catapulted to the foreground of modern science. It is home to the Southern African Large Telescope (SALT), the largest facility of its type in the southern hemisphere and one of the top 10 facilities in the world. The facility enables
astronomers to investigate the earliest galaxies, the birth and death of stars, and the scale and age of the universe.

More recently, South Africa and Australia were jointly awarded the bid to host a R14.5 billion Square Kilometre Array (SKA) radio telescope. It will be one of the largest scientific research facilities in the world and positions South Africa to become a major international hub for astronomy and cutting-edge technology. The benefits of the SKA to the Northern Cape include installation of a 10Gbps cable that will give communities better broadband access, expansion of educational resources in the area and access to science and engineering bursaries from undergraduate to post-doctoral level that will promote education and training.

The following fields of study and areas of specialisation have been preliminarily identified as pertinent to the university in the Northern Cape, based on the provincial growth and development strategy, consultations with stakeholders during the feasibility study process, and early discussions with experts:

- Information technology and computer sciences with possible areas of specialisation on systems administration, networking and LAN/WAN or Web management;
- Engineering and applied sciences with a possible focus on manufacturing, diamond technology, renewable or alternative energy;
- Agriculture with a focus on agro processing, agricultural business technology and agriculture mechanisation and food science and technology;
- Management studies with a possible focus on business management / hospitality management / tourism management;
- Health sciences with an initial focus on nursing; and
- Humanities with areas of specialisation in teacher education, indigenous languages, heritage studies and art.

It is envisioned that the university should be a comprehensive institution but should adopt a phased approach to instituting the undergraduate programmes identified above. It should offer a programme mix of technical, vocational, professional and academic disciplines and qualification types should include Higher Certificates, Advanced Certificates, Diplomas and Bachelor’s degrees.

The university in the Northern Cape should develop at least two postgraduate centres of excellence, with consideration being given to:

- Physical sciences – astronomy
- Applied sciences – renewable energy, low carbon energy, hydrology, water resource management and climate variability
7.2. Mpumalanga

The Mpumalanga Province covers 6.3% of the country and is home to 7.2% of the South African population. Its economy makes the fifth largest contribution to the national economy and the province is a substantial role-player in the national mining and utilities, manufacturing, transport and community services sectors. Efforts to create employment are based on infrastructure development, climate change and the green economy, agriculture and agro-processing, rural development, tourism, business services, and, in the public sector, a focus on health, education, combating crime, expansion in public works, a youth development programme and community.

The agricultural sector is the largest user of land, covering approximately 68% of the province. Other primary land use is for mining, industry, forestry, ecotourism, private game farming and nature conservation. Forestry and agriculture have caused increasing degradation of natural vegetation and ecosystems on the Mpumalanga Highveld and the expansion of mining operations is likely to add further pressure and to pose a serious threat to water quality in pristine catchments. The demand for land will increase, requiring greater measures to regulate and balance priorities for economic growth with land requirements for population growth and the preservation of the environment.

Preliminary investigations suggest that the following fields of study and qualification types are pertinent:

- Agriculture with areas of specialisation in natural resource management, nature conservation, plant and animal sciences, forestry and wood sciences and technology as well as wild life management;
- Engineering specialising in industrial and manufacturing, agricultural, chemical and computer systems engineering;
- Health Sciences and related clinical sciences with a strong linkage to the Nursing college and other health professions;
- Computer science focusing on programming, information science and data processing and business system analysis;
- Management, economics and finance fields with areas of specialisation in logistics management, local government; and
- Teacher education with an initial focus on foundation phase teaching.

The university in the Mpumalanga should also develop at least two postgraduate centres of excellence, with consideration being given to:

- Applied science – agricultural sciences, specifically linked to sub-tropical fruit, biodiversity and ecosystem management; and
- Human development, family studies and rural and sustainable development.
8. Way forward

Immediate priorities on the way forward include confirmation of the seats for the new universities, appointment of the Interim Councils for each, the naming of the new universities, technical investigations and the relevant assembly of government-owned land. These activities are geared towards formal promulgation of the new universities and establishment of the first cohort of institutional leadership upon conclusion of the consultation process.

The new universities will be promulgated in terms of Section 20(1) of the Higher Education Act (101 of 1997, as amended). This requires the Minister to indicate the date on which each university will be established, the name and type of each university, as well as the physical location and official address of each university. In the case of the university in Mpumalanga, it is the intention to incorporate the Lowveld Agricultural College as a subdivision of the university, in terms of section 21(1)(b) of the Higher Education Act (101 of 1997 as amended).

Towards this end government will be consulting relevant stakeholders and affected parties.

At the same time work will continue on the development of plans for the establishment and operations of the new universities, including detailed estimates and mobilisation of capital and operating expenditure with the aim to effect the offering of selected academic programmes in the 2014 academic year, and to prepare a platform for proper management and governance of the institutions.

The Department of Higher Education and Training (DHET) is acutely aware that responsibility will ultimately rest on the leadership of the new universities to crystallise and champion the definitive vision for each institution. It has therefore endeavoured in this document to set out some indicators that guide and stimulate, rather than limit their potential development.

This discussion document constitutes an invitation for public comment. Feedback from interested parties will inform the way forward. The DHET therefore invites the higher education sector and all South Africans to contribute to the project of development of the first new universities in democratic South Africa.

The Department also invites suggestions from the public on proposed names for:
   1. The new university that will be located in Nelspruit, Mpumalanga; and
   2. The new university that will be located in Kimberley, Northern Cape.

It is envisaged that the names proposed for each university would reflect some of the following aspirations and qualities:
   a) South Africa’s new order, democracy, inclusiveness, growth and opportunity;
b) Academic excellence;
c) Leadership;
d) Linkage to the province, South Africa and the continent of Africa; and
e) Individuality of each province.

All proposals and comments should reach the Department not later than the 3rd September 2012 at the following address: newuniversities@dhet.gov.za or fax to 012 321 1788. During this period and beyond, the Department of Higher Education and Training will also be engaged in a series of consultations with affected parties.
New Universities. Governance, Academic and Administrative Guidelines for the establishment of a New University, December 2012
GOVERNANCE, ACADEMIC AND ADMINISTRATIVE GUIDELINES FOR THE ESTABLISHMENT OF A NEW UNIVERSITY
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FOREWORD: MINISTER OF HIGHER EDUCATION AND TRAINING
FOREWORD

My department, the Department of Higher Education and Training (DHET), has the responsibility for developing a differentiated and highly articulated post school education and training system, including universities, colleges, training centres and other types of institutions that cater for the education and development of out of school citizens. This is a very broad mandate. Our aim, as articulated in the Green Paper published at the beginning of 2012, is to ensure that we contribute positively “to overcoming the structural challenges facing our society by expanding access to education and training opportunities and increasing equity, as well as achieving high levels of excellence and innovation”. The expanded access to post school education and training opportunities is paramount to dealing with the problem of what have become called the “NEET youth”, that is, the large numbers of 18 to 24 year olds not in employment, not in education and not in training. As articulated in the Green Paper and the National Development Plan, we need to increase the capacity of our university and our vocational education and training sectors significantly, so that our youth have access to meaningful opportunities that will result in decent work and enable them to participate effectively in our developmental economy and productively contribute to our maturing democracy.

The university sector has grown substantially over the past ten years, from a total headcount enrolment of 603 000 in 2001 to 938 000 in 2011, however, capacity remains inadequate to accommodate the rising number of qualifying school leavers. We need to grow the university system to further to accommodate 1.5 million students, and the vocational education and training system to accommodate approximately 4 million students. It is within this context that government made the decision to establish two new universities, one in the Northern Cape and one in Mpumalanga, while at the same time working towards strengthening the current 23 universities in the system. We are committed to ensuring that these new universities, as South Africa’s first new institutions of higher learning since 1994, become an enduring source of pride, both nationally and provincially. They must be able to attract the best academics in South Africa, the continent and the world. The hallmark of these new universities must be academic excellence underpinned by quality leadership.

The process to establish the new universities has involved in-depth consultation and collaboration. It was recognized from the beginning of the process that we had no ready-made model to follow when developing these new universities for our democracy. We needed to find a way to ensure that as the new institutions were established in terms of the Higher Education Act, my Department could provide the kind of support that would enable them to develop and grow over time into viable and sustainable
universities, able to attract students and academics, and productively take their pride of place within South Africa’s higher education, knowledge production and innovation system.

Establishing a new university is no easy task. A university as an institution is not simply the buildings. Nor is it simply the people: the managers, administrators, researchers, academics and students who populate it. Nor is it simply the nature and type academic programmes and quality of curricula offered. It necessarily includes all these ingredients, but most significantly, it also involves the way people do things: how they carry out their work; the ethos and ethics of the institution and its community. In established institutions these practices are developed and refined over long periods of time, often through hard learned lessons. Strong institutions have very well worked out, tried and tested, policies and practices that guide and govern their operations and ensure stability and success. As we establish new universities that must operate within a global knowledge economy and be truly 21st Century institutions, we need to take from the best practices of the past and the present, as well as envision the future. We cannot simply establish a university in name, without providing it with the collective wisdom of the system, coded in an in an easily accessible set of documents.

This volume represents the wisdom of higher education. It is a set of guidelines and a framework for establishing the governance, management and administrative policies and practices, as well as the distribution and exercise of authority and accountability, for a new university in South Africa that will live up to our expectations. The guidelines have been developed by a team of high level experts in higher education and represent the excellent practice and experience of the sector in SA and internationally.

What we find here is a set of comprehensive and integrated policies and procedures designed specifically for the establishment of new universities for our democracy. The guidelines are broad in scope and deal with, among other areas of work: Institutional governance; the Office of the Registrar; Student governance; Academic programme; Human resources; Information and communication technology (ICT); Finance; Library and information sciences; and Facilities management. This will serve as a guideline and framework for the new universities to develop their systems and practices that will enable high quality teaching and learning, well designed academic programmes, and productive research and community engagement activities.

I will hand over the guidelines to the newly constituted Interim Councils of each university, so that they may use them to move quickly towards the full establishment and operationalisation of their
individual institutions. I would like the Councils to see these as living documents; policies that provide a good start and set the tone for our aspirations in establishing the new universities. Over time I am sure these will be refined and developed to take on the full character of the new institutions as staff and students begin populating them and give them their substance.

I pledge my department’s full support in working with the Interim Councils on the long and exciting journey ahead towards the full establishment and sustained development of these new universities.

Dr B. E. Nzimande, MP
Minister of Higher Education and Training
December 2012
CHAPTER 1: INTRODUCTION
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**CHAPTER 1: INTRODUCTION**

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1. INTRODUCTION

1.1. Background

On 25 March 2010, in his budget vote speech for the year 2010/11, the Minister of Higher Education and Training, Dr Blade Nzimande announced the establishment of two task teams to explore appropriate models for new universities in Mpumalanga and the Northern Cape. On 31 May 2011, the Minister reiterated in his budget vote speech for the year 2011/12 that the task team’s work towards making recommendations for the establishment of new universities in Mpumalanga and the Northern Cape was continuing, and that the reports were due at the end of July 2011. He also announced that an amount of R300 million had been allocated over the MTEF (2011/12 – 2013/14) to support the establishment of the new universities.

The task teams were set up under the leadership of Professor Cheryl de la Rey (Vice Chancellor of the University of Pretoria) and Professor Thandwa Mthembu (Vice Chancellor of Central University of Technology) who chaired the Northern Cape and Mpumalanga task teams respectively. The task teams interacted on key issues related to the establishment of the universities in the two provinces. The task teams were requested to undertake the following activities and to make recommendations with regard to: appropriate higher education provisioning models for the two provinces; the roles, functions and responsibilities of higher education institutions operating in the two provinces and their relationship to the NIHEs; consultations with stakeholders; economic, social, legal and political trends and events that impact on the establishment of post-school institutions; potential threats, opportunities, or changes for establishing universities; and models including plans on governance and management structures, academic architecture, finance, infrastructure needs, staffing, student support services, information technology requirements. The task teams were requested to produce reports including the aforementioned details with recommendations.

A general overview of national strategic plans revealed: a shortage of graduates and skills shortages experienced in the country which hampers economic growth; a low participation rate in Higher Education in South Africa when compared to other middle-level income countries; the extent of young people not in employment, not in education, and not in training (the NEET) and the fact that
existing universities in South Africa are unable to absorb more students with their existing capacity (human and physical). These factors indicate a clear need for the expansion of the higher education and training system, including the need to build more institutions that offer higher education programmes.

Economic development in both the Northern Cape as well as the Mpumalanga Provinces is hampered by a critical shortage of high level skills in critical economic sectors. The extent of current participation in and presence of higher education activities in the two provinces indicate a need for the provision of post school opportunities including higher education in the provinces, especially in Mpumalanga where a viable university with a medium term enrolment of at least 15 000 students is foreseen, and in the Northern Cape with a short term enrolment of at least 5000.

Greater efficiencies in the school system could increase the proportion of NSC certificate students with admission to Higher Education studies in both provinces, which could result in a dramatic increase in the absolute numbers wishing to enter Higher Education in the two provinces.

The extent of current participation in higher education in both provinces provides a strong basis for the establishment of new post school institutions in the provinces. The two provinces are the only ones that do not have universities with seats of learning in the province, and in view of the need for expanding the capacity of the university system it would make sense to choose these provinces for the establishment of new universities. It is important however to note that universities are national institutions and that their viability need not be restricted to the potential intake from their immediate provinces but that they could attract substantial numbers of students from other provinces as well as foreign students should they be able to offer programmes in niche areas or should they offer unique programmes and opportunities. This will be important if they are to be viable universities of choice in the future.

The two provinces are hampered by restricted economic development opportunities and poverty, especially the Northern Cape, and the establishment of universities or other appropriate post school institutions in these provinces could make a contribution to prosperity and economic development and contribute significantly to the alleviation of skills shortages in the provinces. Various FET
Colleges are functioning within these provinces and a strong articulation with these universities is envisaged. Stakeholder consultations indicate strong support for the establishment of universities in both provinces and a considerable amount of excitement and expectation.

i. The Northern Cape Province

The Northern Cape is the largest province (approximately 30% of the country) with the smallest population (less than 2%) in South Africa. The vision for the province is to build a prosperous, sustainable and growing provincial economy to reduce poverty and improve social development. The province has comparative advantages in mining, agriculture, community services, transport and communication relative to the rest of South Africa. The Northern Cape Provincial Growth and Development Strategy has identified a number of prospects for growth in agriculture, agro-processing, mining and mineral processing, tourism, energy and science and technology.

The province represents a rich source of information on the development of human settlements in South Africa. The history of human settlement such as the Khoi San dates back millions of years based on the discovery of early hominid remains.

The province has also been catapulted to the foreground of modern science. It is home to the Southern African Large Telescope (SALT), the largest facility of its type in the southern hemisphere and one of the top 10 facilities in the world. The facility enables astronomers to investigate the earliest galaxies, the birth and death of stars, and the scale and age of the universe.

More recently, South Africa and Australia were jointly awarded the bid to host a R14.5 billion Square Kilometre Array (SKA) radio telescope. It will be one of the largest scientific research facilities in the world and positions South Africa to become a major international hub for astronomy and cutting-edge technology. The benefits of the SKA to the Northern Cape include installation of a 10Gbps cable that will give communities better broadband access, expansion of educational resources in the area and access to science and engineering bursaries from undergraduate to post-doctoral level that will promote education and training.

The following fields of study and qualification types have been preliminarily identified as pertinent to the university in the Northern Cape, based on the provincial growth and development strategy, consultations with stakeholders during the feasibility study process, and early discussions with experts:
• Information technology and computer sciences with possible areas of specialisation on systems administration, networking and LAN/WAN or Web management;
• Engineering and applied sciences with a possible focus on manufacturing, diamond technology, renewable or alternative energy;
• Agriculture with a focus on agro processing, agricultural business technology and agriculture mechanisation and food science and technology;
• Management studies with a possible focus on business management / hospitality management / tourism management;
• Health sciences with an initial focus on nursing; and
• Humanities with areas of specialisation in teacher education, indigenous languages, heritage studies and art.

It is envisioned that the university should be comprehensive institution but should adopt a phased approach to instituting the undergraduate programmes identified above. It should offer a programme mix of technical, vocational, professional and academic disciplines and qualification types should include Higher Certificates, Advanced Certificates, Diplomas and Bachelor’s degrees. The university in the Northern Cape should develop at least two postgraduate centres of excellence, with consideration being given to:

• **Physical science** – astronomy;
• **Applied sciences** – renewable energy, low carbon energy, hydrology, water resource management and climate variability.

**ii. The Mpumalanga Province**

The Mpumalanga Province covers 6.3% of the country and is home to 7.2% of the South African population. Its economy makes the fifth largest contribution to the national economy and the province is a substantial role-player in the national mining and utilities, manufacturing, transport and community services sectors. Efforts to create employment are based on infrastructure development, climate change and the green economy, agriculture and agro-processing, rural development, tourism, business services, and, in the public sector, a focus on health, education, combating crime, expansion in public works, a youth development programme and community.
The agricultural sector is the largest user of land, covering approximately 68% of the province. Other primary land use is for mining, industry, forestry, ecotourism, private game farming and nature conservation. Forestry and agriculture have caused increasing degradation of natural vegetation and ecosystems on the Mpumalanga Highveld and the expansion of mining operations is likely to add further pressure and to pose a serious threat to water quality in pristine catchments. The demand for land will increase, requiring greater measures to regulate and balance priorities for economic growth with land requirements for population growth and the preservation of the environment.

Preliminary investigations suggest that the following fields of study and qualification types are pertinent:

- Agriculture with areas of specialisation in natural resource management, nature conservation, plant and animal sciences, forestry and wood sciences and technology as well as wildlife management;
- Engineering specialising in industrial and manufacturing, agricultural, chemical and computer systems engineering;
- Health Sciences and related clinical sciences with a strong linkage to the Nursing college and other health professions;
- Computer science focusing on programming, information science and data processing and business system analysis;
- Management, economics and finance fields with areas of specialisation in logistics management, local government; and
- Teacher education with an initial focus on foundation phase teaching.

The university in the Mpumalanga should also develop at least two postgraduate centres of excellence, with consideration being given to:

- Applied science – agricultural sciences, specifically linked to sub-tropical fruit, biodiversity and ecosystem management; and
- Human development, family studies and rural and sustainable development.

Both task team reports indicated that it is very important to ensure that a strong main campus is created with a new ethos and strong culture, even though the institutions might grow into multi-campus universities. It is also important that both new institutions be established as unique and sought after institutions through the delivery of identifiable niche programmes. While the existing
higher education activities in the provinces and provincial development needs should provide a basis from which the new universities can be developed, if these are to be institutions of choice, they must each develop specific niche areas of excellence that will need to be identified and resourced. The provisioning of sufficient student housing is essential for the viability and success of the establishment of both new institutions.

Considerable progress has been made in terms of the situation analyses in the two Provinces, the clear establishment of the need for universities in the provinces, the type of universities that need to be developed, possibilities of development as well as ideas around niche areas which will attract students from other provinces as well as foreign students. Stakeholder consultations were held in the case of both provinces as further consultations needed to be undertaken to ensure broader participation of stakeholders. These consultations is continuous and proceeded in parallel to other legislative and legal processes required in order to streamline processes and to avoid unnecessary delays of the establishment of the Universities.

In order to develop as a fully-fledged higher education institution, much work needs to be done with regard to the Programme Qualification Mix (PQM) and other establishment requirements. Therefore a phased approach for the establishment of a new institution is recommended. Substantial technical work needs to be done with regard to the establishment of a new university including: final decisions with regard to the sites of delivery for the establishment of a multi campus institution, and the identification and acquisition of the land for this establishment; appropriate and expanded PQM, informing the academic plans for the new university, must be developed in order to development a fully-fledged master plans for the physical infrastructure; as well as the future cost of infrastructure development and; funding for further developments need to be secured;

The universities should aim to have in place the necessary requirements for their first intake in 2014, even if these are initially in conjunction with an existing institution and only in a limited range of programmes. Institutional Operational Plans will also have to be developed and the funding needs determined for operational costs for the first five years of the establishment of the universities.
1.2. Purpose of these guidelines

It may be easiest to start by saying what these guidelines are not. It is not a manual, a set of prescriptions, or a ‘cookbook’. Rather, its purpose is to map out the fundamentals of government and management principals within a higher education institution as well as the generic tasks and processes that an institution will have to deal with on the way to creating a new entity. Although the issues will differ in some areas, there are processes that form a common platform of all institutions and these guidelines apply equally to any new institution.

One reason for producing these guidelines is to provide governance and management support and information at an early stage in the development process and in response to assurances given by the Ministry. A second reason is to outline generic and essential issues to ensure that effort is not duplicated especially in light of the fact that there will be more than one new institution established.

How these guidelines are taken up and used is, for the most part, a matter of choice by the Interim council and the interim management body. In most instances, the guidelines may serve as a useful document against which to measure the implementation process. There will almost certainly be occasions when an institution has to make decisions that are dependent on their own particular circumstances or in relation to their specific vision and mission. In these instances, the guidelines will, at a minimum, try to highlight what needs to be attended to.

The guidelines also provides to the new institution a framework against which to assess the need for technical support, including requests for financial support from the DHET, and for DHET to have a broad set of approved policies and processes against which to assess and monitor the progress.

In the process of developing a new institution there will be a need to constantly reiterate the larger purpose of the institution – as a reminder that the objective is to create an institution that is strong, resilient and better able to offer their students high quality academic programmes and enhanced opportunities for success. Demanding as the development process will be, it is vitally important that an institution protect the academic integrity of its operations during the period of growth. Neither the interests of the institution nor those of students will be well served if academics and administrators are drawn into other activities in ways that detract from the quality of what is offered to students, or from research productivity.
A further consideration is that while these guidelines should not swamp readers with levels of detail that are overwhelming and indigestible, they must at the very least provide sufficient detail for the new institution not to have to redesign the wheel. The authors have endeavoured to create draft policies and processes that, with minor changes, are able to be approved and implemented – subject of course to continuous refinement as the institution gains its feet.

It is hoped that the guidelines will be as responsive as possible to the varying needs of different developmental conditions. In part this will be achieved by using a hyperlinked electronic version to which material can be added, altered or removed as befits each situation. Primarily they are to assist the institution in “getting going” as quickly as possible.

i. **Policy Goals and Objectives**

It is imperative that the new institution firmly locates its development planning processes within the framework of the goals and objectives as outlined in the National Plan for Higher Education. Although initially it is likely that a focus on the structural dimensions of the institution is unavoidable, institutions must guard against this becoming the over-riding focus and should ensure that the broader goals and objectives linked to the teaching and research mandate are addressed in parallel to the structural issues.

ii. **Structure of the Guidelines**

The guidelines have been simply structured in terms of each identifiable “functionality” that occurs within higher education institutions. Each “functionality” is given its own Chapter. The content of each of these chapters has been put together by acknowledged professionals and experts in that function with many years of experience within higher education in South Africa.

The policies and processes contained in these guidelines have not been developed from the beginning but have rather been sourced (and then edited or added to) from current institutions where they appear to be working well.

Further, they have been designed in such a way as to be ready for the Interim Council and eventually for Council consideration in policy format and with policy numbers and tracking
histories. It is envisaged that these guidelines will provide a solid foundation for a new university to start functioning immediately.
HIGHER EDUCATION ACT, 1997 (ACT No. 101 OF 1997)

1.3. STANDARD INSTITUTIONAL STATUTE

Government Gazette No. 23065, Government Notice No. 377 of 27 March 2002

As amended/corrected by

Government Gazette No. 23448, Government Notice No. 724 of 23 May 2002
Government Gazette No. 25698, Government Notice No. 1647 of 7 November 2003


SCHEDULE

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1. APPLICATION

Application

1. The Standard Institutional Statute applies to every public higher education institution that has not made an institutional Statute until such time as the council of such public higher education institution makes its own institutional Statute under section 32 of the Higher Education Act, 1997 (Act No. 101 of 1997), as amended.

2. DEFINITIONS

Definitions

2. In this Statute any word or expression to which a meaning has been assigned by the Higher Education Act, 1997 (Act No. 101 of 1997), as amended, has the meaning so assigned to it, and unless the context otherwise indicates:

"academic employee" means any person appointed to teach or to do research at the institution and any other employee designated as such by the council of the institution;
"Act" means the Higher Education Act, 1997 (Act No. 101 of 1997), as amended;
"chancellor" means the person contemplated in paragraph 5;
"convocation" means the convocation contemplated in paragraph 44;
"council" means the governing body of the institution contemplated in paragraph 9;
"days" includes Saturdays, Sundays and public holidays;
"diplomate" means a person who has obtained a diploma of an institution;
"donor" means a person, body or entity who has made a donation, which, in the opinion of the council warrants that person, body or entity being recognised as a donor as contemplated in paragraph 61;
"employee" means an academic employee or a non-academic employee of the institution;
"employer" means the council of an institution;
"entity" means any organisation, forum or body and includes any organisational structure provided for in the Act or determined by the council;
"functions" include powers and duties and vice versa;
"graduate" means a person who has obtained a degree of an institution;
"institution" means a public institution contemplated in section 20 of the Act;
"institutional forum" means the institutional forum contemplated in paragraph 32 of this Statute and section 31 of the Act;

"interim council" means the interim council appointed by the Minister as contemplated in section 20(6), 21(3A) and 23(5) of the Act;

"management" means senior management as well as management as contemplated in paragraph 48(1) of this Statute;

"Minister" means the Minister of Education;

"month" means calendar month;

"non-academic employee" means any employee who is not an academic employee;

"office bearer" means a functionary provided for in the Act or determined by the council;

"professor" means an academic employee who has been given the title of professor by the institution or by another institution, but does not include an emeritus, associate or assistant professor;

"qualification" means a certificate, a diploma or a degree;

"representative employees' organisation" means an organisation which consists of employees, excluding members of the management of the institution, formally associated together and organised in a staff association or trade union for the purpose of regulating relations between themselves and the institution and which is recognised by the council on such conditions as have been negotiated between the council and the employee organisation, which has been reduced to writing in the collective or recognition agreement;

"rules" mean rules made by the institution as contemplated in section 32 of the Act;

"seat of the institution" for the purposes of paragraph 3 of this Statute and section 65A of the Act means the physical location of the institution set out in the notice contemplated in section 20(1), 21(1) or 23(1) of the Act;

"senate" means the body responsible for academic matters contemplated in paragraph 21;

"senior management" means senior management as contemplated in paragraph 48(2) of this Statute;

"SRC" means the students’ representative council of the institution contemplated in paragraph 36;

"student" means a person registered for a qualification at the institution;

"sufficiently representative" means representation by a representative employees' organisation, which is sufficient, as determined by the particular structure to which the representation applies.
3. **INSTITUTION**

**Name, seat and powers**

3. (1) The institution has the name set out in the notice contemplated in section 20(1), 21(1) or 23(1) of the Act unless such name has been changed in terms of section 65(1) of the Act.

(2) The institution has the seat as set out in the notice contemplated in section 20(1), 21(1) or 23(1) of the Act.

(3) The institution is a juristic person, as contemplated in section 20(4) of the Act.

(4) Notwithstanding subparagraph (3), the institution may not, without the concurrence of the Minister, dispose of or alienate in any manner, any immovable property acquired with the financial assistance of the State or grant to any person any real right therein or servitude.

(5) The institution may confer degrees and honorary degrees and award diplomas and certificates in its own name as contemplated in section 65B and 65C of the Act.

**Constitution of institution**

4. (1) The institution consists of –

(a) the chancellor;

(b) the council;

(c) the senate;

(d) the principal, within the meaning of section 30 of the Act;

(e) two or more officers, as the council may determine, each of whom is called vice-principal, or such other title as the council may determine;

(f) one or more registrars as determined by the council;

(g) the SRC;

(h) the institutional forum;

(i) the faculties, the departments, the schools and such other academic structures of the institution as may be determined by the council;

(j) the academic employees of the institution;

(k) the non-academic employees of the institution;

(l) the students of the institution;

(m) the convocation of the institution; and

(n) such other offices, bodies or structures as may be established by the council.

(2) No vacancy in any of the offices contemplated in subparagraph (1) nor any deficiency in the numbers or defect in the composition of the bodies or structures contemplated in subparagraph
(1) impairs or affects the existence of the institution as a juristic person or any function conferred by the Act or this Statute upon the institution.

4. CHANCELLOR

Functions of chancellor

5. (1) The chancellor is the titular head of the institution [and confers all degrees and award all diplomas and certificates in the name of the institution].

(2) The chancellor [performs such other functions as assigned to him or her by the council, or in his or her absence the person appointed by the interim council or the council as the case may be to act on behalf of the chancellor, presides at all congregations of the institution and, in the name of the institution, confers all degrees and awards all diplomas and certificates.

Paragraph 5 amended by paragraph 2 of Government Gazette No. 25698, Government Notice No. 1647 of 7 November 2003

Election and appointment of chancellor

6. (1) The chancellor is elected by the council in the following manner -

(a) The chairperson of the council determines the date on which a meeting of the council is to be held for the purpose of electing a chancellor;

(b) the secretary to council gives due notice to the members of the council of the date, time of and venue for the meeting contemplated in subparagraph (1)(a);

(c) the secretary to the council invites the members of the council and the members of the institutional forum to submit nominations for the office of the chancellor;

(d) the nominations contemplated in subparagraph (1)(c) must reach the secretary to the council at least 20 working days before the meeting contemplated in subparagraph (1)(a);

(e) the nominations contemplated in subparagraph (1)(c) must be in writing and must include the nominee’s written consent and complete curriculum vitae;

(f) the secretary to the council must, within five working days after the closing date for nominations, inform members of the council and the institutional forum in writing of the nominations received;

(g) a special meeting of the institutional forum must be held before the meeting contemplated in subparagraph (1)(a) for purposes of considering the nominations
and advising the council on the appointment of a candidate to the office of chancellor;

(h) the chancellor is elected by secret ballot and a majority of the members present at the meeting contemplated in subparagraph (1)(a);

(i) if no candidate receives a majority of votes, successive rounds of voting are held;

(j) in each successive round of voting the candidate receiving the fewest votes is eliminated as a candidate.

(2) After the council has elected a chancellor, the name of the chancellor is announced by the chairperson of the council

**Term of office of chancellor**

7. (1) The chancellor holds office for a period of four years, unless he or she resigns or is removed from office in accordance with subparagraph (5).

(2) A person may not be elected for more than two consecutive terms of office.

(3) If the chancellor is unable, for any reason, to perform the functions of his or her office, or if the office of chancellor becomes vacant, the principal or the acting principal performs the functions of the chancellor.

(4) The term of office of the chancellor terminates in the event of -

(a) death or incapacity;

(b) resignation; or

(c) removal from office by the council.

(5) The chancellor may only be removed from office by the council by means of a resolution passed by at least two-thirds of the members of the council and then only after the chancellor has been given the opportunity to answer to the reasons provided by the council for the removal there from.

5. COUNCIL

**Functions of council**

8. (1) Subject to the Act and this Statute the council governs the institution.

(2) Without derogating from the generality of subparagraph (1), the council -

(a) makes Rules for the institution;

(b) establishes the council committees and determines the composition and functions of each committee;
(c) establishes, in consultation with the senate, joint committees of the council and the senate to perform functions which are common to the council and the senate;

(d) appoints all employees of the institution, but, in the case of academic employees of the institution, it may do so only after consultation with the senate;

(e) determines the student admission policy of the institution, after consultation with the senate;

(f) determines, with the approval of the senate, the entrance requirements in respect of particular higher education programmes, the number of students who may be admitted for a particular higher education programme and the manner of their selection, and the minimum requirements for readmission to study at the institution;

(g) may, with the approval of the senate, refuse readmission to a student who fails to satisfy the minimum requirements for readmission; and

(h) determines and provides student support services after consultation with the SRC.

(3) Without derogating from the generality of subparagraph (1), the council -

(a) makes the institutional Statute and any amendments thereto;

(b) appoints the senior management, as defined, of the institution;

(c) determines conditions of service, the disciplinary provisions and the privileges and functions of its employees, and may, in the manner set out in the disciplinary Rules, suspend or dismiss any employee of the institution;

(d) may order an employee whom it has suspended to refrain from being on any premises under the control of the institution and to refrain from participating in any of the institution’s activities or issue such other conditions as it may deem necessary;

(e) determines the language policy of the institution, after consultation with the senate;

(f) determines, after consultation with the senate, which academic structures are required and the functions of each structure, in order to ensure efficient governance;

(g) determines tuition fees, accommodation fees and any other fees payable by students as well as accommodation fees payable by employees;

(h) approves the annual budget of the institution;
may conclude a loan or overdraft agreement, subject to the proviso that the approval of the Minister is required whenever the aggregate of existing borrowings plus the new contemplated borrowing exceeds 5 per cent of the average income of the institution received during the two years immediately preceding such agreement;

(j) may enter into an agreement for the construction of a permanent building or other immovable infra-structural development, the purchasing of immovable property or the long term lease of immovable property, subject to the proviso that the approval of the Minister is required if the value of such development or property exceeds five per cent of the average income of the institution received during the two years immediately preceding the agreement;

(4) Subject to section 68 of the Act, the council may delegate any of the functions referred to in subparagraph (2), but the council may not delegate any of the functions referred to in subparagraph (3).

(5) The council is not divested of responsibility for the performance of any function delegated or assigned under subparagraph (4).

Composition of council

9. (1) The council, as contemplated in section 27 of the Act, consists of -

(a) the principal;
(b) not more than two vice-principals;
(c) five persons appointed by the Minister;
(d) two members of the senate elected by the senate;
(e) two academic employees of the institution elected by the academic employees;
(f) two students, elected by the SRC;
(g) two non-academic employees elected by the non-academic employees;
(h) three members of the convocation [elected by the convocation];
(i) ten members with a broad spectrum of competencies in the fields of education, business, finance, law, marketing, information technology and human resource management appointed by the interim council;
(j) such members as co-opted by the council.

(2) At least 60 per cent of the members of the council must be persons who are not employed by, or students of the institution and regard must be had to the racial and gender representation on the council.
(3) The council members must have knowledge and experience relevant to the objects and governance of the institution.

(4) Except as provided in subparagraphs (1)(a), (b), (d), (e), (f), and (g) -

(a) no student or employee of the institution and no other person in receipt of regular remuneration from the institution is eligible for appointment or nomination for election or election as a member of the council;

(b) a member of the council who becomes a student or an employee of the institution or who enters into a contract with the institution in terms of which he or she is to receive regular remuneration from the institution must forthwith vacate his or her seat on the council.

Paragraph 9 amended by paragraph 3 of Government Gazette No. 25698, Government Notice No. 1647 of 7 November 2003

Election of council members

10. (1) Members of the council are elected in the manner determined by the interim council.

(2) If the council resigns as contemplated in paragraph 12(3), all members of council are elected in the manner determined by the administrator referred to in section 41A of the Act.

Term of office of members of council

11. (1) Student members of the council remain members of the council for the term of office determined by the SRC when they are elected, provided that membership ceases automatically when a student member ceases to be a registered student or a member of the SRC.

(2) The term of office of members of the council who are not students or employees of the institution, is four years.

(3) Notwithstanding subparagraph (2), at the first meeting of the council it must be decided by lot which eight of the members of the council who are not students or employees of the institution hold office for a period of three years.

(4) The term of office of members of the council who are employees of the institution, except that of the principal and the vice-principals, is three years.

(5) Notwithstanding subparagraph (4), at the first meeting of the council it must be decided by lot which four [eight] of the members of the council who are employees of the institution, except the principal and the vice-principals, hold office for a period of two years.
Subparagraph (5) corrected by Government Gazette No. 23448, Government Notice No. 724 of 23 May 2002

(6) A member may serve more than one term of office as a council member.

Termination of membership and filling of vacancies

12. (1) A member of the council’s term of office terminates if -
   (a) he or she tenders a written resignation;
   (b) the Minister, or entity who appointed or elected the member to the council terminates the membership in writing, at any time before the expiry of the member’s term of office;
   (c) he or she is absent from three consecutive meetings without leave of the council;
   (d) he or she is declared insolvent and the majority of council members disapproves the member’s continuation;
   (e) he or she is removed from an office of trust by a court of law or is convicted of an offence for which the sentence is imprisonment without the option of a fine; and
   (f) he or she, in the majority opinion of the council, is seen to be incapacitated.

(2) The council has power to suspend, take disciplinary action or terminate a members’ membership.

(3) If 75 per cent or more of the members of the council resign, the council is deemed to have resigned as contemplated in section 27(8) of the Act.

(4) If the council resigns as contemplated in subparagraph (3) a new council must be constituted in terms of this Statute.

Election of chairperson and vice-chairperson of council and term of office

13. (1) The chairperson and the vice-chairperson of the council must not be elected from members contemplated in paragraph 9(1)(a), (b), (d), (e), (f), and (g).

(2) The chairperson and the vice-chairperson of the council are elected for a period of two years.

(3) The chairperson and the vice-chairperson are eligible for re-election.

(4) Nominations for the office of the chairperson and the vice-chairperson of the council must be in writing and be directed to the secretary to the council.

(5) If more than one candidate is nominated, voting is by secret ballot.

(6) Each member of the council has only one vote during a ballot and no proxy is allowed.

(7) A majority of all members present elects the chairperson and the vice-chairperson.
Whenever a vacancy occurs in the office of the chairperson or the vice-chairperson, the provisions of subparagraph (4) to (7) apply with the necessary changes to the filling of such vacancy.

A person who fills a vacancy in terms of subparagraph (8) holds office until the end of the predecessors’ term.

Secretary to council

14. (1) The secretary to the council is the registrar as contemplated in section 26(4)(b) of the Act.

(2) The secretary acts as an electoral officer.

(3) The secretary attends all meetings and keeps all relevant documents of the council.

Meetings of council

15. (1) The council has at least four ordinary meetings during each academic year.

(2) Notice of any motion for consideration at the next ordinary meeting must be in writing and must be lodged with the secretary at least 21 days before the date determined by the council for such meeting, provided that any matter of an urgent nature may, without prior notice, by consent of the chairperson and a majority of the members present, be considered at such meeting.

(3) At least 14 days prior to the date of an ordinary meeting, the secretary gives due notice to each member of all the matters to be dealt with at such meeting and states the time and place of such meeting.

(4) A special meeting may be called at any time by the chairperson.

(5) A special meeting must be called by the chairperson at the request in writing of at least five members, the objective of such meeting clearly stated in the request, provided that at least seven days notice of a special meeting is given.

(6) No business other than that which the special meeting was called for may be transacted at such meeting.

(7) An emergency meeting may be called by the chairperson, or in his or her absence, by the principal at any time, provided that members are given at least 24 hours notice of such meeting.

(8) Notice of an emergency meeting may be given in any manner convenient under the circumstances.

(9) The object of an emergency meeting must be stated to members and no business other than that stated may be transacted at such meeting.
Council meeting procedures

16. (1) The council members must participate in the deliberations of the council in the best interest of the institution.

(2) Except where otherwise provided in this Statute, all acts or matters authorised or required to be done or decided by the council or its committees and all questions that may come before it are done or decided by the majority of the members present at any meeting, provided that the number present at any meeting is at least one half plus one of the total number of members of the council or its committees holding office on the date of such meeting.

(3) In the absence of the chairperson and the vice-chairperson of the council, the members present elect one of their members to preside at such meeting.

(4) The first act of an ordinary meeting, after being constituted, is to read and confirm by the signature of the chairperson the minutes of the last preceding ordinary meeting and of any special meeting subsequently held, provided that the meeting may consider the minutes as read if a copy thereof was previously sent to every member of the council, provided further that objections to the minutes of a meeting are raised and decided before confirmation of the minutes.

(5) A member of the council may not, without the consent of the meeting, speak more than once to a motion or to any amendment and the mover of any motion or any amendment has the right of reply.

(6) Every motion or an amendment must be seconded and, if so directed by the chairperson, must be in writing.

(7) A motion or an amendment seconded as contemplated in subparagraph (6), may not be withdrawn except with the consent of the meeting.

(8) The chairperson has, on any matter, a deliberative vote and, in the event of an equality of votes, also a casting vote.

(9) If so decided by the meeting, the number of members voting for or against any motion must be recorded in the minutes, and at the request of any member the chairperson must direct that the vote of such member be likewise recorded.

(10) When a majority of the members of the council reaches agreement on a matter referred to them by letter or electronic means by the chairperson, without convening a meeting, and conveys such resolution by letter or electronic means, such resolution is equivalent to a resolution of the council and must be recorded in the minutes of the next succeeding ordinary meeting.

(11) The views of a member of the council who is unable to attend a meeting may be submitted to the meeting in writing but may not count as a vote of such member.
(12) The ruling of the chairperson on a point of order or procedure is binding unless immediately challenged by a member, in which event such ruling must be submitted without discussion to the meeting whose decision is final.

Conflict of interest of council members
17. (1) A member of council may not have a conflict of interest with the institution.
(2) A member of council who has a direct or indirect financial, personal or other interest in any matter to be discussed at a meeting and which entails or may entail a conflict or possible conflict of interest must, before or during such meeting, declare the interest.
(3) Any person may, in writing, inform the chairperson of a meeting, before a meeting, of a conflict or possible conflict of interest of a council member of which such person may be aware.
(4) The member is obliged to excuse him or herself from the meeting during the discussion of the matter and the voting thereon.

Committees of council
18. (1) The council appoints -
(a) an executive committee;
(b) an audit committee;
(c) a finance committee;
(d) an employment conditions committee;
(e) a planning and resource committee;
(f) a council membership committee; and
(g) such other committees as may be required.
(2) The composition and functions of the committees are determined by the council.
(3) At least 50 per cent of the members of a committee must be persons who are not employees or students of the institution.
(4) The chairperson of a committee may not be an employee or a student of the institution.

Minutes of council and committee meetings
19. (1) The secretary to the council keeps the minutes of each meeting of the council and includes such minutes in the agenda of the next council meeting when the agenda is sent out in terms of paragraph 15(3).
(2) The minutes of all committee meetings must be included in the agenda of the next ordinary meeting of the council following the respective committee meetings.

Drafting, amending or rescinding Statute

20. (1) No motion to draft, amend or rescind a statute or a rule is of force and effect unless adopted by at least 75 per cent of all members present at the meeting, provided that such meeting is constituted by at least one half plus one of the total number of members.

(2) Any motion to draft, amend or rescind a statute or a rule must be in accordance with the provisions of section 32(2) of the Act.

6. SENATE

Functions of senate

21. (1) Subject to the Act, the senate is accountable to the council for all the teaching, learning, research and academic functions of the institution and all other functions delegated or assigned to it by the council.

(2) Without derogating from the generality of subparagraph (1) the organisation and superintendence of instruction and examinations, and of lectures and classes, vest in the senate and the senate -

(a) if delegated to do so by resolution of council, may make or amend any Rule relating to the curriculum for, or to the obtaining of, any degree, diploma, certificate or other qualification, but may do so only after consulting the relevant faculty board;

(b) if delegated to do so by resolution of the council, may make or amend any Rule relating to the manner in which students are to be examined;

(c) determines what standard of proficiency is required to be attained in any mode of assessment that may be used in order to satisfy the requirements for the obtaining of each degree, diploma, certificate or other qualification;

(d) advise the council on disciplinary measures and Rules concerning students;

(e) may make recommendations to the council regarding the faculty to which each academic department, school or other academic structure belongs;

(f) may make recommendations to the council regarding the establishment and disestablishment of faculties, academic departments, schools and other academic structures;
(g) determines, in accordance with any relevant deed or gift, and after consultation with the principal, the conditions applicable to any scholarships and other academic prizes;

(h) determines the persons to whom scholarships and academic prizes are awarded;

(i) may establish committees to perform any of its functions, may appoint persons who are not members of the senate as members of such committees and may for this purpose deem a single person to be a committee;

(j) determines the functions of its committees as well as the procedure of meetings of these committees;

(k) may make standing orders on procedures and delegation of powers for the better carrying out of its functions;

(l) may delegate its functions; and

(m) must take note of any action taken by a committee in exercising its delegated powers or functions when such committee reports its actions to the next meeting of the senate.

(3) The senate submits to the council -

(a) such reports upon its work as may be required by the council;

(b) recommendations on matters referred to it by the council; and

(c) recommendations on any other matter affecting the institution as the senate considers useful.

(4) The senate may, in terms of the Rules, cancel the registration of a student in all or one or more of the courses for which the student is registered in that year if in the opinion of the senate the academic achievement of the student is such that the student may not at the end of the year obtain credit in such course or courses, as the case may be.

**Senate membership**

22. (1) Members of the senate must participate in the deliberations of the senate in the best interest of the institution.

(2) Failure to act in the best interest of the institution or behaviour that brings the institution into disrepute may result in the removal from the senate following due process.

(3) If it is alleged that a member is not acting in the best interest of the institution or has engaged in conduct that brings or tends to bring the institution into disrepute and at least one-third of the members of the senate at any meeting resolve that steps should be taken against that person, the senate must instruct that a hearing by an *ad hoc* committee of senate take place.
If the committee finds that the member has failed to act in the best interest of the institution or has behaved in a manner that brings the institution into disrepute then the committee may recommend that the member be removed from the senate.

The member may be removed from the senate if at least two-thirds of the members of the senate present at any meeting vote for his or her removal.

Composition of senate

23. (1) The senate, subject to the provisions of the Act, consists of -
   (a) the principal;
   (b) the vice-principal or vice-principals;
   (c) the registrar or registrars;
   (d) all deans;
   (e) all heads of academic department;
   (f) all professors;
   (g) the director of the library;
   (h) the director of research;
   (i) two representatives of the student representative council elected by the SRC;
   (j) a non-academic employee from each faculty elected by the non-academic employees of each faculty;
   (k) an academic employee from each faculty elected by the academic employees of each faculty;
   (l) two members of council designated by the council, provided that no person specified in subparagraphs 9(1)(a), (b), (d), (e), (f), and (g) is eligible for designation under this subparagraph; and
   (m) such additional members as approved by the senate.

(2) The majority of senate members must be academic employees.

(3) The manner of election of members is as determined by each constituency.

Term of office of senate members

24. (1) Members appointed in terms of paragraph 23(a), (b), (c), (d), (e), (f), (g) and (h) hold office for as long as they are employed by the institution in that capacity.

(2) Members appointed in terms of paragraph 23(j), (k), (l), and (m) hold office for a period determined by the senate.
(3) The term of office for student members is determined by the SRC, provided that membership automatically lapses when a student ceases to be a registered student or member of the SRC.

(4) Where a member who has been elected or appointed dies, resigns or vacates office for any reason including the expiry of his or her term of office, the secretary to the senate must notify the authority or body that has appointed or elected such member of the vacancy, and must, if in the opinion of the chairperson to the senate this is reasonably practicable, request such authority or body to appoint or elect a successor.

(5) The successor holds office for the unexpired term of office of the predecessor unless the successor is appointed or elected because his or her predecessor’s term of office has expired.

Chairperson, vice-chairperson and secretary to senate

25. (1) The principal is the chairperson of the senate as contemplated by section 26 (4)(a) of the Act.

(2) The vice-chairperson of the senate is the vice-principal designated by the senate as such.

(3) The secretary of the senate is the registrar designated by the senate as such.

(4) The chairperson presides at the meetings of the senate and the meetings of the sub-committees of the senate if the senate considers it appropriate for him or her to do so.

(5) The chairperson performs such other functions as the senate may determine.

(6) In the absence of the chairperson, the provisions of subparagraph (4) apply to the vice-chairperson.

(7) The vice-chairperson performs such other functions as the senate may determine.

(8) The secretary performs those functions assigned to him or her by the senate.

(9) If both the chairperson and the vice-chairperson are absent, the senate elects from among its members, a chairperson for the meeting concerned.

Senate meeting procedure

26. The procedure applicable to the council meetings is applicable with the necessary changes to the meetings of the senate.

Committees of senate

27. (1) The senate appoints -

(a) an executive committee; and

(b) such other committees as may be required.
(2) The composition and functions of the committees are determined by the senate.

Joint committees of council and senate
28. The council, in consultation with the senate, appoints such joint committees of the council and the senate as may be necessary for the performance of particular tasks.

7. FACULTY BOARD

Functions of faculty board
29. Faculty boards are appointed by the senate to regulate the activities of the respective faculties of the institution.

Composition of faculty board
30. The composition of a faculty board is as determined by the senate.

Meeting procedure of faculty board
31. The council’s meeting procedures are applicable with the necessary changes to meetings of the faculty board.

8. INSTITUTIONAL FORUM

Function of institutional forum
32. (1) The institutional forum advises the council on issues affecting the institution, including

(a) the implementation of the Act and the national policy on higher education;
(b) race and gender equity policies;
(c) the selection of candidates for senior management positions;
(d) codes of conduct, mediation and dispute resolution procedures;
(e) fostering of an institutional culture which promotes tolerance and respect for fundamental human rights and creates an appropriate environment for teaching, research and learning; and
(f) the language policy of the institution.

(2) The institutional forum performs such other functions as determined by the council.
Composition of institutional forum

33. (1) The institutional forum consists of -
   (a) two members of the council who are not employees or students of the institution;
   (b) two members from management;
   (c) two members of the senate;
   (d) two members representing the academic employees;
   (e) two members representing the non-academic employees;
   (f) two members from each sufficiently representative employees’ organisation;
   (f) two students designated by the SRC; and
   (g) one or more members co-opted by the institutional forum for the specific purpose of assisting the institutional forum in respect of any specific project.

(2) Nomination of representatives must be transparent and democratic and each constituency must follow the procedure within its own constituency and submit the names of its representatives to the registrar.

(3) The term of office of members is as determined by each constituency.

(4) Paragraph 12 applies, with the necessary changes, to the termination of membership of the members of the institutional forum.

Office-bearers of institutional forum

34. The institutional forum elects from among its members a chairperson, a deputy chairperson and a secretary.

Meetings and meeting procedure of institutional forum

35. (1) The number of meetings is as decided by the institutional forum.

(2) Fifty per cent plus one of members form a quorum.

(3) The meeting procedures are as determined by the institutional forum.

9. STUDENT REPRESENTATIVE COUNCIL (SRC)

Functions of SRC

36. (1) The students of the institution are represented in matters that may affect such students by the SRC.

(2) The matters contemplated in subparagraph (1) include -
liaison with the council, the senate, the management, the general public, other institutions, students’ representative councils of other institutions, national or international student organisations, unions and news media;

(b) being the umbrella organisation for all student committees, clubs, councils and societies, granting or withdrawing recognition of such student committees, clubs, councils and societies as it deems appropriate;

(c) the co-ordination and supervision of the use of students' facilities and all matters pertaining thereto, in conjunction with the institution management;

(d) the convening and conducting of all authorised meetings of the student body and to be the managing body in all general referenda and petitions organised by the students within the Rules;

(e) the appointment of such office-bearers and establishing of such committees as it deems necessary;

(f) the organisation and promotion of extramural activities among students;

(g) keeping account of all moneys paid over to it by the council and any other moneys which may accrue to it in its capacity as representative of the students; also to allocate or disburse such funds for use by students, and to make grants to approved student clubs, committees, societies and councils;

(h) the responsibility for the preservation of order at student functions, and the ensuring of good conduct at other approved meetings of students;

(i) the co-ordination of student involvement in all community projects initiated by it;

(j) the responsibility for all student publications;

(k) the recommendation to the council of Rules to determine the conduct of its affairs;

(l) the final decision making in all matters falling within its jurisdiction; and

(m) such additional functions and privileges as may be specifically conferred upon it by the council.

Composition of SRC

37. (1) Only registered students are eligible to serve on the SRC.

(2) The SRC, as contemplated in section 35 of the Act, must be representative of the student body and consists of two students from each faculty elected by the students of each specific faculty.

(3) The election of SRC members must be democratic and transparent;
Notwithstanding subparagraph (2), the SRC composition in the case of a merger of institutions is as determined by the interim council.

Paragraph 37 amended by paragraph 4 of Government Gazette No. 25698, Government Notice No. 1647 of 7 November 2003

Office-bearers of SRC

38. (1) The SRC elects from among its members a president to act as chairperson and a deputy president to act as deputy chairperson.

(2) The functions of other office bearers and the election of such office-bearers are as determined by the SRC.

(3) The composition of the SRC may not be repealed or amended except after consultation with the SRC.

Term of office of SRC members

39. The term of office of the members of the SRC is one year.

Privileges

40. The privileges of members of the SRC are as determined by the council, after consultation with the SRC.

Meetings of SRC

41. The number of meetings, the quorum at a meeting and the meeting procedures are determined by the constitution of the SRC as approved by the council.

SRC committees

42. (1) The SRC must establish a disciplinary committee responsible for the discipline of any members of the SRC and members of the student structures affiliated to the SRC.

(2) The SRC may establish such other committees as may be required.

General meeting

43. (1) The SRC must convene at least one general meeting of students per semester.

(2) A general meeting may also be requested by at least 1000 signatories petitioning the SRC.
(3) Meetings may not disrupt academic activities unless the principal has granted prior permission.

10. CONVOCATION

Membership of convocation

44. (1) The convocation consists of the principal, the vice-principal, the registrars, academic employees as set out in subparagraph (2) and all persons who are or become graduates or diplomats of the institution and such other persons as the council may determine.

(2) Academic employees on the permanent staff of the institution, professors emeriti and other retired academic employees are members of the convocation.

(3) The fact that the name of a person appears on the convocation roll is on face value proof of him or her being a member of the convocation, and of him or her being entitled to vote.

(4) The names of new graduates and diplomates of the institution are deemed to have been inscribed in the convocation roll after degrees have been conferred or diplomas have been awarded, but members so registered are required to furnish their addresses to the secretary and to notify him or her of any change of address.

(5) For purposes of the election of council members the convocation is deemed closed from the latest date on which ballot papers are issued until the date of the election, both days inclusive.

Office-bearers of convocation

45. (1) The convocation, at its first meeting, elects from among its members a president to act as chairperson at all its meetings who holds office for a period of three years from the meeting at which he or she is elected.

(2) Whenever the office of president becomes vacant, the principal acts as president until a successor is elected at the following meeting of the convocation for a period of three years.

Meetings of convocation

46. (1) The president or, if the office of the president is vacant, the principal convenes a meeting of the convocation annually and notice of such meeting must be given at least four weeks prior to the date of the meeting.

(2) A member who wishes to raise any matter at such meeting must submit written motions in regard to the said matter to the registrar or the president at least two weeks before the date of the meeting.
(3) An extraordinary meeting of the convocation may be convened by the president or the principal if and when required.

(4) An extraordinary meeting of the convocation must be convened by the president or, if the office of president is vacant, by the principal, upon a written request signed by at least 25 members containing the matters for consideration in the form of separate motions.

(5) An extraordinary meeting as contemplated in subparagraph (4) must be held within two months after receipt of the request.

Meeting procedures of convocation

47. (1) Fifty members constitute a quorum at a meeting of the convocation, provided that, if no quorum is present the meeting may adjourn and an extraordinary meeting may be convened with at least seven days notice, at which the members present constitute a quorum.

(2) Notwithstanding the absence of a quorum at an annual meeting, such meeting may proceed to elect office bearers and to dispose of other formal matters, but no motions may be submitted at such meeting.

(3) After its constitution, by reading the notice in terms of which it was convened, a meeting commences with the reading and confirmation, by the signature of the chairperson, of the minutes of the previous ordinary meeting and of all subsequent extraordinary meetings.

(4) Any objection to such minutes must be raised and determined prior to their confirmation.

(5) A member may not, without the permission of the meeting speak more than once on a motion or amendment thereof, but the mover of the motion or amendment may reply.

(6) All matters are decided by a majority of the members present.

(7) In addition to his or her ordinary vote, the chairperson has a casting vote in the event of an equality of votes.

(8) If a meeting so resolves, the number of votes in favour of or against a motion must be recorded in the minutes, and, at the request of a member, the chairperson must further direct that the vote of such member be likewise recorded.

(9) A motion or amendment thereof must be seconded, and if the chairperson directs, such motion or amendment must be in writing.

(10) A motion or amendment may not be withdrawn without the permission of the meeting.

(11) The chairperson may permit the discussion of a matter of which notice was not duly given, provided such discussion is unopposed.
(12) The ruling of the chairperson on a point of order of procedure is binding, unless immediately challenged by a member, in which event such ruling must be submitted without discussion to the meeting, whose decision is final.

(13) A copy of the resolutions of the convocation, and a statement on such other matters as the convocation may determine, duly certified by the chairperson and secretary are submitted to the chairperson of the council for the information of the council and to the principal for the information of the senate.

Subparagraph (14) deleted by paragraph 5 of Government Gazette No. 25698, Government Notice No. 1647 of 7 November 2003

11. MANAGEMENT AND SENIOR MANAGEMENT

Management and senior management

48. (1) Management means, for the purpose of section 31(2)(a) of the Act, senior management as well as management as determined by the council.

(2) Senior management means, for the purpose of section 31(1)(a)(iii) of the Act, the principal, the vice-principal or the vice-principals, the registrar or the registrars, the deans of faculties and the administrative positions equivalent to the positions of the deans of faculties.

Principal

49. (1) The principal is the chief executive officer of the institution.

Functions of principal

50. (1) The principal is responsible for the day-to-day management and administration of the institution and has all the powers necessary to perform these functions.

(2) The principal reports to the council.

(3) By way of his or her office the principal is a member of all the committees of the council and the senate.

(4) The council may assign additional functions, and grant additional powers and privileges to the principal.

(5) When the principal is absent or unable to carry the duties, the vice-principal designated by the council takes over or the council may appoint an acting principal.
Appointment of principal
51. Subject to section 31(1) of the Act, the advertising of the post, the invitation for nomination of candidates, the search for suitable candidates, the criteria for the short-listing of candidates and the interviewing and appointment processes are in the manner determined by the council.

Term of office of principal
52. The principal is appointed by the council for such period as agreed upon in his or her contract.

Vice-principal and registrar
53. The vice-principal or the vice-principals and the registrar or registrars are responsible for assisting the principal in the management and administration of the institution.

12. EMPLOYEES

Appointment
54. Subject to section 34 of the Act, the council appoints employees according to the staffing policies of the institution as determined in the Rules.

Conditions of employment
55. The conditions of employment, including the determination and review of salaries of employees and all other forms of remuneration is approved by the council according to the institution’s policy as determined in the Rules which may be amended from time to time by the council.

Evaluation
56. All employees of the institution are subject to continuous evaluation in the performance of their duties.

Employees discipline
57. Every employee is subject to a disciplinary code, a disciplinary procedure and a grievance procedure for employees, as approved by the council and determined in the Rules, which serve as an integral part of every employee’s conditions of service.
Representative employees’ organisation

58. Agreements with representative employees’ organisations may, with reference to salary and related negotiations and according to the relevant labour legislation, be entered into by the management and recommended to the council for approval.

13. STUDENTS

Admission and registration of students

59. (1) A person may be permitted by the council to register as a student only if he or she satisfies the legal requirements, if any, for admission to study at the institution and, further, satisfies any other requirements for admission that may be determined by the council and laid down in the Rules.

(2) The requirements for admission of a student to faculties are set out in the Rules and may be changed by the council after consultation with the senate.

(3) A student is registered for one year or for such shorter period as the council may determine in general or in a particular case.

(4) In order for a student to renew his or her registration after the expiry of the period contemplated in subparagraph (3), the student is required to comply with any conditions set by the council.

(5) The council may refuse to allow the renewal of registration if a student fails to meet the conditions contemplated in subparagraph (4).

(6) The conditions contemplated in subparagraph (4) may include the payment of outstanding fees.

Student discipline

60. (1) The disciplinary measures and discipline provisions applicable to the students are set out in the Rules, and may be changed by the council after consultation with the senate and the SRC.

(2) (a) The principal may, from time to time, amend monetary penalties.

(b) Such amended penalties must be placed before the council at the next ordinary meeting of the council

(3) If the council should alter or set aside any such amendment, its validity up to the time of alteration or setting aside by the council is not affected.
14. DONORS

Donors
61. (1) The institution may receive moneys and equipment of any sort from donors to assist the institution in providing quality education.
   (2) The institution may recognise and register certain donors as determined in the Rules.

15. TRANSITIONAL PROVISIONS

Transitional provisions
62. (1) Once the council is established in terms of this standard Statute the interim council must dissolve.
   (2) The council established in paragraph 9 takes over the governance of the institution in terms of the Act.
   (3) In the case of a merger of two or more public institutions -
       (a) all academic programmes offered by such institutions before the merger, continue to be offered under the same rules by the new institution, until such programmes and rules are amended by the council;
       (b) the new institution awards degrees, diplomas and certificates to a student that qualifies for such qualification, in its own name, but such degrees, diplomas or certificates must also reflect the name of the institution where the student has initially registered for the programme;
       (c) all contracts of employment and collective agreements that existed at the institutions before the merger are transferred to the new institution;
       (d) the disciplinary code and rules that existed at the institutions before the merger are transferred to the new institution and students must comply with the specific disciplinary code and rules of the institution where he or she had entered the programme, until amended by the council.
1.4. THE DRAFT STATUTE OF THE UNIVERSITY OF XXXXX

The Council of the University of xxx has, after consultation with relevant stakeholders, made the Statute set out in the Schedule hereto in accordance with section 32 of the Higher Education Act, 1997 (Act No. 101 of 1997), as amended, which is, in terms of the provisions of section 33(1) of the said Act, hereby published with the approval of the Minister of Higher Education and Training, and which comes into operation on the date of its publication.

SCHEDULE

To introduce a new Statute for the University of xxx to give effect to any law relating to the University and to promote the effective and responsible management and governance of the University, in respect of matters not expressly prescribed by any law.
PREAMBLE

WHEREAS the University of xxx has been established in terms of a notice issued by the Minister of Higher Education and Training in terms of Section 20 of the Higher Education Act, 1997 (Act 101 of 1997), as amended,

And

WHEREAS it is necessary to provide for the governance and management of the University in compliance with the provisions of the Higher Education Act, 1997 (Act 101 of 1997), as amended, in respect of matters not expressly prescribed by the Act or any other law,

THEREFORE the council of the University has made this Statute as contemplated in section 32(1)(a) of the said Act, to ensure the effective and efficient governance and management of the University with the view to achieve its goals and objectives.
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DEFINITIONS

Definitions

1. In this Statute any word or expression to which a meaning has been assigned by the Higher Education Act, 1997 (Act No. 101 of 1997), as amended, has the meaning so assigned to it, and unless the context otherwise indicates –

“Act” means the Higher Education Act, 1997 (Act No. 101 of 1997), as amended;

“academic employee” means any person appointed by the council to a teaching or research post at the University and any other employee designated as such by the council;

“academic year” means that portion of a calendar year approved by council on the recommendation of senate, for the academic activities of the University;

“body of donors” means the body established by the council as contemplated in paragraph 77(3);

“campus head” means the executive manager of a campus where the University has more than one campus, irrespective of the applicable job title, who is accountable to the Vice-Chancellor, or his or her delegate;

“chancellor” means the person elected in accordance with paragraph 5;

“charter” means a set of approved Rules describing the composition, manner of election, terms of reference and functioning, procedure of meetings and dissolution of a committee of council or senate or a joint committee;

“community service” as contemplated in paragraph 18(1) includes community engagement howsoever executed, in terms of the University’s mission approved by the council from time to time;

“congregation” means a meeting convened by the University as contemplated in paragraph 75(1);
“constitution of the SRC” means the Rules pertaining to student governance approved by the council after consultation with the SRC;

“convocation” means the structure established in accordance with paragraph 49;

“council” means the structure established in accordance with paragraph 7;

“days” include Saturdays, Sundays and public holidays;

“dean” means a person appointed in accordance with paragraph 66 and the Rules;

“department” in the context of the composition of the University, means an academic department established by the council on recommendation of the senate and with the approval of the state department responsible for tertiary education or its subsidiaries, if required;

“Department” in the context of the state department responsible for tertiary education, means the Department of Higher Education and Training or its successor in title;

“deputy vice-chancellor(s)” means the person(s) appointed as vice-principal(s) in accordance with section 26(2)(d) read with section 27(4)(b) of the Act, paragraph 61 and the Rules;

“diplomate” means a person upon whom a diploma has been conferred by an accredited institution;

“donor” means a person, body or entity contemplated in paragraph 77, who has made a donation(s) to the University of the minimum value determined by council from time to time;

“due notice” means written notice of a meeting within the prescribed time, providing the agenda, time and place of the meeting and, where applicable, how to get sight of relevant additional information pertaining to the meeting, irrespective of the method used to convey the notice to the addressees;

“employee” means an academic and or a non-academic employee of the University contemplated in paragraph 67, depending on the context;
“executive management committee” means the committee established in accordance with paragraph 58(1);

“functionaries of the council” means all persons who exercise functions of the council in terms of delegated authority;

“functions” includes powers and duties;

“graduate” means a person upon whom a degree has been conferred by an accredited institution;

“head of department” means the head of an academic department of the University as contemplated in paragraph 20(1)(f);

“institutional forum” means the body established in accordance with paragraph 29;

“Labour union” means a registered trade union in accordance with sections 95 to 97 of the Labour Relations Act, Act No. 66 of 1995, as amended;

“learning site(s)” means the campuses and other learning sites of the University established by council in accordance with the Rules, after consultation with senate and with the approval of the Minister;

“management of the University” for the purposes of section 31(2)(a) of the Act, means the vice-chancellor, the deputy vice-chancellor(s), the registrar and any other employee appointed by council to the management;

“month” means a calendar month;

“Minister” means the minister responsible for tertiary education;

“non-academic employee” means a person, other than an academic employee, appointed by the council to perform an administrative or support function;
“paragraph(s)” and “subparagraphs” mean the paragraphs and subparagraphs of this Statute;

“professor” means an academic employee or any other person who has been given the status and title of professor by the University, but does not include an emeritus, adjunct, associate or assistant professor, or a reader;

“qualification” means a formal recognition and certification of a learning achievement approved by senate, council and the Department;

“registrar” means the person appointed as registrar of the University as contemplated in section 26(4)(b) of the Act and paragraph 64;

“Rules” means the legal rules of the University contemplated in paragraphs 7(2)(a) and 78, approved by council in terms of section 32(1)(b) of the Act;

“semester” means one half of the academic year of the University;

“senate” means the structure established in accordance with paragraph 18;

“SRC” and “Students Representative Council” means the structure contemplated in paragraph 42, established in accordance with the Rules approved by council;

“student” means any person registered at the University, full-time or part-time, for a degree, diploma, or certificate approved by senate, council and the Department, as applicable, provided that a person so registered or enrolled who is also a full-time or part-time employee of the University is not a student for the purpose of membership of the council, the senate or the SRC;

“seat of the University”, for the purposes of section 65A of the Act and paragraph 2(3), means the physical location of the University described in the said paragraph;

“senior management of the University” for the purposes of section 31(1)(a)(iii) of the Act and paragraphs 7(3)(c) and 67(3), means the vice-chancellor, the deputy vice-chancellor(s), the registrar and any other employee appointed by council to the senior management of the University;
“University” means the University of xxx;

“urgent matter” means a matter, which, if not addressed before the next ordinary or special meeting of council or senate, could cause irreversible harm or prejudice to the University, its employees or students;

“vice-chancellor” means the person appointed as the principal of the University as contemplated in section 26(2)(c) of the Act, or any other person appointed by the council in that capacity, regardless of his or her title;

“written notice” means any notice in writing and includes any notice sent as contemplated by the Electronic Communications and Transactions Act, 2002 (Act No. 25 of 2002), or any act that amends or replaces it.

UNIVERSITY

Name, status, physical location and powers of University

2. (1) The name of the University is xxx.

(2) The University of xxx is a public higher education institution established in terms of the Act and is a juristic person, as contemplated in section 20(4) of the Act, that may confer degrees and honorary degrees and award diplomas and certificates in its own name, as contemplated in section 65B and 65C of the Act.

(3) The seat of the xxx is in the geographic area of the xxx local authority, with:

(a) its official street address at: xxxx; and

(b) its official postal address as: xxx.

(4) Notwithstanding subparagraph (2), the University may not, without the concurrence of the Minister, dispose of or alienate in any manner, any immovable
property acquired with the financial assistance of the State or grant to any person any real right therein or servitude.

(5) The University functions in accordance with the Act, the Statute and the Rules approved by the council.

Constitution of the University

3. (1) The University consists of –

(a) Staff and students:
   (i) the academic employees;
   (ii) the non-academic employees;
   (iii) the students.

(b) Its property and assets:
   (i) the immovable and spatial property and infrastructure;
   (ii) the movable property and assets;
   (iii) the intangible property and rights thereto.

(c) The following structures and bodies:
   (i) the council;
   (ii) the senate;
   (iii) the faculties, departments and support divisions;
   (iv) the SRC;
   (v) the institutional forum;
   (vi) the student support structure contemplated in section 27(3) of the Act and paragraph 7(2)(i);
   (vii) the convocation;
   (viii) other structures and bodies established by the council in accordance with this Statute and the Rules.

(d) The following office bearers:
(i) the chancellor;
(ii) the vice-chancellor;
(iii) the deputy vice-chancellor contemplated in section 26(2)(d) of
the Act, and other deputy vice-chancellors;
(iv) the registrar contemplated in section 26(4)(b) of the Act, and
other registrars;
(v) the deans and deputy deans;
(vi) the heads of departments and divisions.

(2) No vacancy in any of the offices contemplated in subparagraph (1) nor any deficiency
in the numbers or defect in the composition of the bodies or structures contemplated in
subparagraph (1) impairs or affects the existence of the University as a juristic person
or any function conferred by the Act or this Statute upon the University.

CHANCELLOR

Functions of chancellor

(1) The chancellor is the titular head of the University, with no executive
powers, and confers all degrees and awards all diplomas and
certificates in the name of the University.

(2) The chancellor performs such other functions as are assigned to him or her by the
council.

(3) The chancellor must at all times embody the aspirations of the
University and actively advance the interests of the University.

Election and appointment of chancellor

5. (1) The chancellor is elected by the council in the following manner:
(a) The chairperson of the council, after consultation with the vice-chancellor, or, in the absence of the chairperson of council, the vice-chancellor determines the date on which a meeting of the council is to be held for the purpose of electing a chancellor, provided that such meeting must be held within 90 days after the office of chancellor becomes vacant.

(b) the secretary to council gives due notice to the members of the council of the date, time of and venue for the meeting contemplated in subparagraph (a);

(c) the secretary to the council invites the members of the council and other University structures in terms of paragraph 3(1) to submit nominations for the office of the chancellor;

(d) the nominations contemplated in subparagraph (c) must reach the secretary to the council at least 20 working days before the meeting contemplated in subparagraph (a);

(e) the nominations contemplated in subparagraph (c) must be in writing and must include the nominee's written consent and complete curriculum vitae;

(f) the secretary to the council must, within five working days after the closing date for nominations, inform members of the council in writing of the nominations received;

(g) the chancellor is elected by secret ballot by the majority of the members present at the meeting contemplated in subparagraph (a);

(h) if no candidate receives a majority of votes, successive rounds of voting are held;

(i) in each successive round of voting, the candidate receiving the fewest votes is eliminated as a candidate.

(2) After the council has elected a chancellor, the name of the chancellor is announced by the chairperson of the council.

Term of office of chancellor
6. (1) The chancellor holds office for a period of four years, unless he or she resigns or is removed from office in accordance with subparagraph (5).

(2) A person may not be elected for more than two consecutive terms of office.

(3) If the chancellor is unable, for any reason, to perform the functions of his or her office, or if the office of chancellor becomes vacant, the vice-chancellor or the acting vice-chancellor performs the functions of the chancellor, until the vacancy is filled.

(4) The term of office of the chancellor terminates in the event of –

   (a) death or incapacity;

   (b) resignation; or

   (c) removal from office by the council.

(5) The chancellor may only be removed from office by the council by means of a resolution passed by at least two-thirds of the members of the council present at a meeting on account of misconduct, incapacity to carry out his or her official functions, or on account of any other reason which the council deems justifiable.

(6) The resolution contemplated in subparagraph (5) may not be passed without prior notice to the chancellor of the pending motion for his or her removal and the reasons for it, and providing him or her with a reasonable opportunity to reply.

COUNCIL

Functions of council
7. (1) Subject to the Act, any other legislation and this Statute, the council governs the University.

(2) Without derogating from the generality of subparagraph (1), the council has the powers and functions contemplated in subparagraphs (a) to (l) and may, in accordance with section 68 of the Act, delegate or assign to other University structures, the vice-chancellor or any other employee of the University, any of the powers and functions to –

(a) make Rules for the University, provided that, subject to the provisions of paragraph 43(1), the Council may not alter the composition of the SRC or the SRC constitution without consultation with the SRC;

(b) establish the council committees, determine the functions and composition of such committees, including appointing persons who are not members of the Council as members of such committees, deem a single person as a committee, and set the procedural requirements for each committee;

(c) monitor and, if required, take appropriate steps to intervene in actions taken by a committee, contemplated in subparagraph (b), in exercising its delegated powers or functions;

(d) establish such joint committees with the senate, as may be required to prepare and submit proposals to the Minister for the extension of delivery sites or adopting of academic or training programmes in new fields of learning and training in consultation with the senate, in accordance with the Act, other legislative provisions and the Rules, without otherwise limiting the generality of paragraph 25;

(e) appoint employees of the University subject to paragraph 68, provided that, in the case of academic employees, it may do so only after consultation with the senate;

(f) determine the language policy of the University, in concurrence with the senate;

(g) determine conditions of service, the disciplinary provisions and the privileges and functions of the University's employees;
(h) determine, after consultation with the senate, the academic structures of the University and the status and functions of each structure;

(i) determine and provide student support services, after-consultation with the SRC;

(j) suspend or dismiss any employee of the University in the manner prescribed in the disciplinary Rules;

(k) order an employee whom it has suspended to refrain from being on any premises under the control of the University and to refrain from participating in any of the University's activities, or issue such other conditions as it may deem necessary; and

(l) establish legal entities in terms of the applicable legislation for the benefit of the University.

(3) Without derogating from the generality of subparagraph (1), the council has the powers and functions contemplated in subparagraphs (a) to (l), provided, in accordance with section 68 of the Act, that the council may not delegate or assign to other University structures, the vice-chancellor or any other employee of the University, any of the powers and functions to –

(a) make the institutional Statute and any amendments thereto;

(b) draft and adopt the University’s vision, mission and values and monitor the realisation thereof;

(c) appoint the senior management of the University, subject to obtaining the advice of the institutional forum in accordance with paragraph 29(1)(c);

(d) determine, in consultation with senate, the student admission policy of the University;

(e) determine, in concurrence with the senate, the entrance
requirements in respect of particular programmes, the number of students who may be admitted for a particular programme and the manner of their selection, and the minimum requirements for readmission to study at the University;

(f) refuse, in concurrence with the senate, readmission to a student who fails to satisfy the minimum requirements for readmission;

(g) determine, after consultation with the SRC, the tuition fees, accommodation fees or any other fees payable by students;

(h) approve the annual financial statements and budget of the University;

(i) conclude a loan or an overdraft agreement, subject to the approval of the Minister, when required;

(j) enter into an agreement for the construction of a permanent building or other immovable infrastructural development, the purchasing of immovable property or the long-term lease of immovable property, subject to the approval of the minister when required;

(k) repeal or amend the composition of the senate, after having consulted the senate;

(l) make, repeal or amend any Rules relating to the academic functions of the University, provided that it is done in concurrence with the senate.

(4) The council remains accountable for the performance of any function delegated or assigned in terms of subparagraph (2).

Composition of council
8. (1) The council, as contemplated in section 27 of the Act, consists of not more than 22 members, made up of –

(a) The Vice-Chancellor;

(b) Not more than two Deputy Vice-Chancellors, who shall be the Deputy Vice-Chancellors responsible for teaching and research respectively, provided that in the event of these responsibilities vesting in a single person, the second Deputy Vice-Chancellor shall be designated by the Vice-Chancellor from the ranks of the remaining incumbents;

(c) Not more than five persons appointed by the Minister, who may not be employees or students of the University;

(d) Not more than two members of Senate elected by the senate, in accordance with the Rules;

(e) One non-senate academic employee elected by the non-senate academic employees, in accordance with the Rules;

(f) Not more than two students elected by the SRC, in accordance with the Rules;

(g) Not more than two non-academic employees elected by the non-academic employees, in accordance with the Rules;

(h) Not more than two members of the convocation, who may not be employees or students of the University, elected by the convocation, in accordance with the Rules;

(i) Not more than two members from the donors, who are not employees or students of the University, elected by the donors in accordance with the Rules;
(j) Not more than three members who are not employees or students of the University appointed by the council on the basis of their experience and expertise.

(2) At least 60 per cent of the members of the council must be persons who are not employees or students of the University.

(3) When members are elected to or appointed on council, the body entitled to elect or appoint shall do so with sensitivity for the race and gender profile of council.

(4) A council member or a member of a committee of council -

a) must be a person with knowledge and experience relevant to the objects and governance of the University;

(b) must participate in the deliberations of the council in the best interests of the University;

(c) must before he or she assumes office, declare any business, commercial or financial activities undertaken for financial gain that may raise a conflict or a possible conflict of interests with the University;

(d) may not place himself or herself under any financial or other obligation to any individual or organisation that might seek to influence the performance of any function of the council; and

(e) may not –

   (i) have a conflict of interests with the University;

   (ii) have a direct or indirect financial, personal or other interest in any matter to be discussed at a meeting and which entails or may
entail a conflict or possible conflict of interests with the University; and must,

(iii) before the meeting and in writing, inform the chairperson of that meeting of that conflict or possible conflict of interests.

(4) Except as provided in subparagraphs (1)(a), (b), (d), (e), (f) and (g) -

(a) no student or employee of the University and no other person in receipt of regular remuneration from the University is eligible for appointment or nomination for election or election as a member of the council; and

(b) a member of council who becomes a student or an employee of the University or who enters into a contract with the University in terms of which he or she is to receive regular remuneration from the University must forthwith vacate his or her seat on the council.

(5) The manner of appointment or election of candidates for the offices mentioned in subparagraphs (1)(d), (e), (f), (g), (h), (i) and (j) is provided for in the Rules.

Term of office of members of the council

9. (1) The term of office of members of the council is four years, except in the case of –

(a) members referred to in paragraph 8(1)(a) and (b), who serve by virtue of their offices and remain members of the council for as long as they occupy their offices;

(b) members referred to in paragraph 8(1)(d), (e), and (f) whose term of office is two years;
(c) members referred to in paragraph 8(1) (h) and (i), whose term of office is three years;

(d) members referred to in paragraph 8(1)(f), elected by the students' representative council, whose term of office is one year from the date of their election, with the proviso that membership ceases automatically when a student member ceases to be a student.

(2) The membership of a member who is elected from among the ranks of a specific interest group or organisation lapses upon termination of his or her association with that interest group or organisation.

(3) Any member may serve as a member of the council for a maximum of two terms, provided that no student may serve as a member of the council for a term exceeding one academic year.

(4) If a vacancy arises in the council, it is filled in the same manner as the manner in which it was filled originally.

(5) A new member of the council, appointed or elected in terms of subparagraph (4) in a vacancy occurring before the expiry of the term of office concerned, is appointed or elected for the unexpired term of office of the member being replaced.

Termination of membership and filling of vacancies

10. (1) A member of the council's term of office terminates if –

(a) he or she tenders a written resignation;

(b) the Minister, or entity who appointed or elected the member to the council, terminates the membership in writing, at any time before the expiry of the member's term of office;
(c) he or she is absent from three consecutive meetings without leave of the council;

(d) he or she is declared insolvent and the majority of council members disapproves the member's continuation;

(e) he or she is removed from an office of trust by a court of law or is convicted of an offence which, in the opinion of the majority of the council renders the member not fit and proper;

(f) he or she, in the majority opinion of the council, is seen to be incapacitated; and

(g) the member of the council who was not an employee or a student of the University is appointed an employee or becomes a student of the University.

(2) (a) The council has the power to suspend any member from attending a meeting, or disqualify a member as a member of the council or a committee of the council, if such member conducts him- or herself in a manner that is or may not be in the best interests of the University, or that brings or may bring the council or the University into disrepute in any situation where he or she is identifiable as a member of the council, after the council has followed due process in terms of the Rules.

(b) If at least one-third of the members of the council at any meeting resolve that alleged conduct as contemplated in subparagraph (a) be investigated, the council must instruct that a hearing by an ad hoc committee of council take place.

(c) If the committee contemplated in subparagraph (b) finds that the affected member failed to act in the best interests of the University or has behaved in a manner that brings or may bring the University
into disrepute, then the committee may recommend that the member be removed from the council.

(d) If the committee contemplated in subparagraph (c) recommends that the affected member be removed from the council, and at least two-thirds of the members of council present at any meeting vote for his or her removal, such member will cease to be a member of council.

(3) In the event of a vacancy through death or otherwise, as contemplated in subparagraphs (1) and (2), the secretary to the council notifies the vacancy to the constituency that appointed or elected such member, requesting such constituency to appoint or elect a successor.

(4) If 75 (seventy five) per cent or more of the members of the council resign, the council is deemed to have resigned, as contemplated in section 27(8) of the Act.

(5) If the council resigns, as contemplated in subparagraph (4), a new council must be constituted in terms of this Statute.

Chairperson and deputy chairperson of council and their terms of office

11. (1) The chairperson and the deputy chairperson of the council may not be elected from the members who are employees or students of the University.

(2) (a) The chairperson presides at meetings of the council and the executive committee of the council;

(b) The council determines any further functions of the chairperson.

(3) (a) The deputy chairperson presides at meetings of the council and the executive committee of the council in the absence of the chairperson;
(b) The deputy chairperson performs such other functions as the council may determine.

(4) The chairperson and the deputy chairperson of the council are elected to their respective offices for a period of two years.

(5) The chairperson and the deputy chairperson are eligible for re-election for a maximum of two terms.

(6) Nominations for the office of the chairperson and the deputy chairperson of the council must be in writing and be directed to the secretary to the council.

(7) If more than one candidate is nominated, voting is by secret ballot.

(8) Each member of the council has only one vote during a ballot and no proxy is allowed.

(9) A majority of all members present elects the chairperson and the deputy chairperson.

(10) Whenever a vacancy occurs in the office of the chairperson or the deputy chairperson, the provisions of subparagraph (6) to (9) apply, with the necessary changes, to the filling of such vacancy.

(11) A person who fills a vacancy in terms of subparagraph (10) holds office until the end of the predecessor’s term.

Secretary of council

12. (1) The secretary of council is the registrar in accordance with section 26(4)(b) of the Act, who ensures compliance with this Statute, relevant legislation and national higher education and training policies, as well as the policies and Rules of the University.

(2) The registrar may participate in the discussions of the council but may not vote.
(3) The secretary acts as an electoral officer in all matters pertaining to council.

(4) The secretary attends all meetings and keeps all relevant documents of the council.

(5) The registrar may appoint an employee of the University to assist him or her.

Meetings of the council

13. (1) The council has at least three ordinary meetings during each academic year.

(2) Notice of any motion for consideration at the next ordinary meeting must be in writing and must be lodged with the secretary at least 21 days before the date determined by the council for such meeting, provided that any matter of an urgent nature may, without prior notice, by consent of the chairperson and a majority of the members present, be considered at such meeting.

(3) At least 14 days prior to the date of an ordinary meeting, the secretary gives due notice to each member of all the matters to be dealt with at such meeting and states the time and place of such meeting.

(4) A special meeting may be called at any time by the chairperson, provided that at least 7 (seven) days notice of a special meeting is given, and further provided that the chairperson or, in his or her absence the vice-chancellor, may reduce the period of notice to 24 (twenty four) hours if circumstances require, in which instance notice may be given in any manner convenient under the circumstances.

(5) The chairperson must call a special meeting at the written request of at least five members, the objective of such meeting clearly stated in the request.

(6) No business other than that which the special meeting was called for may be transacted at such meeting, irrespective of the notice period.
(7) Whenever, in terms of a provision of this Statute, a quorum of a majority of votes for any purpose is required and the actual number required at a meeting results in a numerical fraction, the next greater number shall be the applicable number to constitute the required quorum or majority.

(8) An unintentional failure or omission to give notice in terms of a provision of this Statute to any person entitled to receive such notice or to send the minutes of any meeting to any person entitled to receive such minutes does not invalidate the proceedings in respect of which such notice is given or minutes are sent.

Council meeting procedures

14. (1) Any person may, in writing, inform the chairperson of a meeting of the council or a committee of the council, before the meeting, of a conflict of interests of a member of the council with the University, in terms of subparagraphs 8(4)(d) or (e) of which such person may be aware.

(2) A member referred to in paragraph 8(4) (e) and subparagraph (1) is obliged to recuse himself or herself from the meeting during the discussion of the matter and the voting thereon.

(3) The quorum required for a meeting of council or its committees to be properly convened, is that at least one half plus one (50% plus one) of the total number of members of the council or its committees, holding office on the date of such meeting are present at the start of the meeting, and further provided that a majority of the members present at the start of the meeting are persons who are not employees or students of the University.

(4) No properly convened meeting of council or its committees is voided if a sufficient number of members end their participation in the meeting in any way at all after the meeting had started, thereby leaving the meeting without the quorum contemplated in subparagraph (3), and the meeting may proceed with and conclude its business.
(5) Except where otherwise provided in this Statute, all acts or matters authorised or required to be done or decided by the council or its committees and all questions that may come before it are done or decided by the majority of the members present at any meeting.

(6) In the absence of the chairperson and the deputy chairperson of the council, the members present elect one of their members to preside at such meeting, provided that a majority of such members are not employees or students of the University.

(7) The first act of an ordinary meeting, after being constituted, is to read and confirm by the signature of the chairperson the minutes of the last preceding ordinary meeting and of any special meeting subsequently held, provided that the meeting may consider the minutes as read if a copy thereof was previously sent to every member of the council, provided further that objections to the minutes of a meeting are raised and decided before confirmation of the minutes.

(8) A member of the council may not, without the consent of the chairperson, speak more than once to a motion or to any amendment and the mover of any motion or any amendment has the right to reply.

(9) Every motion or amendment must be seconded and, if so directed by the chairperson, must be in writing.

(10) A motion or an amendment seconded as contemplated in subparagraph (9), may not be withdrawn except with the consent of the meeting.

(11) The chairperson has, on any matter, a deliberative vote and may exercise, in the event of an equality of votes, also a casting vote.

(12) If so decided by the meeting, the number of members voting for or against any motion must be recorded in the minutes, and at the request of any member the chairperson must direct that the vote of such member be likewise recorded.

(13) When a majority of the members of the council reaches agreement on a matter referred to them by letter or electronic means by the chairperson, without convening a
meeting, and conveys such resolution by letter or electronic means, such resolution is equivalent to a resolution of the council and must be recorded in the minutes of the next succeeding ordinary meeting.

(14) The views of a member of the council unable to attend a meeting may be submitted to the meeting in writing but may not count as a vote of such member.

(15) A point of order may be raised when a member is of the opinion that-

(a) there is a deviation from the matter under discussion;

(b) a member uses insulting or repulsive language; or

(c) discussions are contrary to procedural Rules.

(16) The ruling of the chairperson on a point of order or procedure is binding unless immediately challenged by a member, in which event such ruling must be submitted without discussion to the meeting, whose decision is final.

Conflict of interests of council members, committee members and functionaries

15. (1) The council makes Rules to deal with a conflict of interests or possible conflicts of interest that a member of the council, any member of a committee of the council and all other persons who exercise delegated functions of the council may have with the University, in terms of section 27(7A), (7B), (7C), (7D) and (7E) of the Act, as amended:

(7A) Any person may, in writing, inform the chairperson of a meeting, before the meeting, of a conflict of interests or possible conflict of interests of a member of the council with the University of which such person may be aware;

(7B) A member referred to in subsections (7)(e) and (7A) is obliged to recuse himself or herself from the meeting during the discussion of the matter and the voting thereon;
(7C) A committee of the council with delegated functions in terms of section 68(2) of the Act may not take a decision on a matter considered by it if any member of the committee has a conflict of interests contemplated in this section;

(7D) A member of the council or a member of a committee of the council who contravenes section 27(7)(c), (d) (e), (7A) or (7B), after council has followed due process, may be: suspended from attending a meeting; or disqualified as a member of the council or a member of a committee of the council;

(7E) The council must, having regard to the provisions of section 27(9) and (7A) to (7D) and section 34 of the Act and after consultation with the institutional forum, adopt a code of conduct to which all the members of the council, all the members of committees of the council and all other persons who exercise functions of the council in terms of delegated authority must subscribe; and determine Rules and procedures in terms of section 32(1)(b) of the Act for an annual declaration:

(i) by each member of the council, each member of a council committee and each person who exercises functions of the council in terms of delegated authority;

(ii) of his or her financial interests and fiduciary roles, the latter to include but not be limited to offices, directorships of companies, membership of close corporations and trusteeships held; and

(iii) of the financial interests and fiduciary roles of the members of his or her immediate family.

(2) The council introduces a register in which the annual declaration of interests of each member of the council, council committees and all functionaries of the council, in terms of section 27(7E)(b) of the Act are recorded, in accordance with the Rules.

Executive and other committees of council

16. (1) The council appoints –
(a) an executive committee;

(b) an audit and risk committee;

(c) a finance committee;

(d) a remuneration committee;

(e) an employment conditions committee;

(f) a planning and resource committee;

(g) a governance and council membership committee; and

(h) such other committees and sub-committees as may be required.

(2) The council may if it deems fit, combine any two or more of the committees contemplated in subparagraph (1) above, and may deem a single person to be a committee.

(3) The composition, functions and functioning of the committees are determined by the council in the charter of each committee, as contemplated in section 29(4) of the Act.

(4) A majority of the members of a committee must be persons who are not employees or students of the University.

(5) The chairperson of a committee may not be an employee or a student of the University.

(6) The meeting procedures for council meetings in terms of paragraph 14 apply, with the necessary changes, to meetings of committees of the council, provided that a committee of the council with delegated functions in terms of
section 27(7C) of the Act and paragraph 16(3) may not take a decision on a matter considered by it if any member of the committee has a conflict of interests contemplated in paragraph 8(4)(c), (d) or (e).

Minutes of council and committee meetings

17. (1) The secretary to the council keeps the minutes of each meeting of the council and includes such minutes in the agenda of the next council meeting when the agenda is sent out in terms of paragraph 13(3).

(2) The minutes of all committee meetings must be included in the agenda of the next ordinary meeting of the council following the respective committee meetings.

SENATE

Functions of the senate

18.(1) Subject to the Act, the senate is accountable to the council for all the teaching, learning, research, community service and academic functions of the University and all other functions delegated or assigned to it by the council.

(2) Without derogating from the generality of subparagraph (1), the organisation and superintendence of instructions and examinations, and of lectures and classes vest in the senate and the senate –

(a) may make or amend any Rule relating to the curriculum for any degree, diploma, certificate or other qualification, or to the obtaining of any degree, diploma, certificate or other qualification, but may do so only after consulting the relevant faculty board;

(b) may make or amend any Rule relating to the manner in which students are to be examined;
(c) determines what standard of proficiency is required to be attained in any mode of assessment that may be used in order to satisfy the requirements for the obtaining of each degree, diploma, certificate or other qualification;

(d) advises the council on disciplinary measures and Rules concerning students;

(e) may make recommendations to the council regarding the faculty to which each academic department or other academic structure belongs;

(f) may make recommendations to the council regarding the establishment and disestablishment of faculties, academic departments and other academic structures;

(g) determines, in accordance with any relevant deed or gift, and after consultation with the vice-chancellor, the conditions applicable to any scholarships and other academic prizes;

(h) determines the persons to whom scholarships and academic prizes are awarded;

(i) may establish committees to perform any of its functions, may appoint persons who are not members of the senate as members of such committees and may deem a single person to be a committee;

(j) determines the functions and composition of its committees, provided that the vice-chancellor is an official member of all senate committees;

(k) may make standing orders on procedures and delegation of powers to improve the carrying out of its functions;

(l) may delegate its functions, but remains accountable for the performance of all its functions;

(m) must take note of any action taken by a committee in exercising its delegated powers or functions, when such committee reports its actions to the next meeting of the senate.
The senate submits to the council –

(a) advice on the language policy of the University, in terms of section 27(2) of the Act;

(b) advice on the admission policy and Rules of the University, in terms of section 37(1) of the Act;

(c) approval of entrance requirements to specific programmes, the number and manner of selection of students admitted per academic programme, minimum requirements for readmission to study and refusal of readmission for failure to satisfy the minimum requirements for readmission, in terms of section 37(4) of the Act;

(d) such reports on its work as may be required by the council;

(e) recommendations on matters referred to it by the council;

(f) recommendations on any other matter affecting the University that the senate may consider useful.

The senate may, in terms of the Rules, cancel the registration of a student in all or one or more of the courses for which the student is registered in that year if, in the opinion of the senate, the academic achievement of the student is such that the student may not at the end of the relevant academic year obtain credit in such course or courses, as the case may be.

The senate must enhance and protect the integrity and quality of the academic project at the University, and may to that end cancel and withdraw any qualification, award or recognition granted by the University in error, in terms of paragraph 75(9), or obtained by fraudulent or dishonest means, in terms of paragraph 75(10), and may further do what is required to attain this goal.
Senate membership and termination thereof

19. (1) Members of the senate must participate in the deliberations of the senate in the best interests of the University.

(2) The provisions of paragraphs 10(1)(c) and 10 (2) with respect to the termination of membership of council members apply to members of senate and senate committees, with the necessary changes.

Composition of senate

20. (1) The senate, subject to the provisions of the Act, may consist of –

(a) the vice-chancellor;

(b) the deputy vice-chancellor(s);

(c) the registrar;

(d) the deans;

(e) the full professors of the University;

(f) heads of department of the University;

(g) the head of the library;

(h) the head of research;

(i) the head of quality promotion;
(j) the head of higher education development and support;

(k) the campus heads, in the case where the University has more than one campus;

(l) two representatives of the SRC, elected by the SRC, in accordance with the Rules;

(m) not more than two members of the council who are not employees or students of the University, elected by the council;

(n) such additional members as are approved by the senate on the recommendation of the executive committee of senate.

(2) The majority of senate members must be academic employees.

(3) The persons contemplated in paragraph 20(1)(a) to (m) are appointed in their official capacity as members of the senate.

**Term of office of senate members**

21. (1) Members appointed in terms of paragraph 20(1)(a), (b), (c), (d), (e), (f), (g), (h), (i), (j), (k) and (n) hold office for as long as they are employed by the University in that capacity.

(2) Members appointed in terms of paragraph in 20(1)(l) hold office for a period of one year, provided that membership ceases automatically when that member ceases to be a member of the student representative council.

(3) The membership of a member who is elected from among the ranks of a specific structure, interest group or organisation lapses upon termination of his or her membership or association with that structure, interest group or organisation.
(4) If a vacancy arises in the senate, it is filled in the same manner as in which it was filled originally.

(5) The successor contemplated in subparagraph (4) holds office for a full term of office.

(6) Any member may serve as a member of the senate for more than one term, provided that a student may not serve as a member of the senate for more than two terms.

Chairperson, deputy chairperson and secretary of senate

22. (1) The vice-chancellor is the chairperson of the senate, as contemplated in section 26(4)(a) of the Act.

(2) The deputy chairperson of the senate is the deputy vice-chancellor elected by the senate as such.

(3) The registrar is the secretary to the senate.

(4) The chairperson presides at the meetings of the senate and the meetings of the committees of the senate if senate considers it appropriate for him or her to do so.

(5) The chairperson performs such other functions as the senate may determine.

(6) In the absence of the chairperson, the provisions of subparagraph (4) apply to the deputy chairperson.

(7) The deputy chairperson performs such other functions as the senate may determine.

(8) Without limiting the provisions in paragraph 12(1), the secretary performs those functions assigned to him or her by the senate.
(9) If both the chairperson and the deputy chairperson are absent, the senate elects from among its members a chairperson for the meeting concerned.

**Senate and committees’ meeting procedures**

23. The sequence, types of meeting and meeting procedures applicable to council meetings in terms of paragraphs 13 and 14 apply, with the necessary changes, to the meetings of the senate and senate committees.

**Executive committee and other committees of the senate**

24. (1) The executive committee of senate consists of –

(a) the vice-chancellor, who is the chairperson;

(b) the deputy vice chancellors;

(c) the campus heads, if applicable;

(d) the registrar;

(e) the deans;

(f) such other members of the senate as the senate may determine, provided that the majority of the members must be academic employees.

(2) The executive committee of the senate-

(a) unless determined otherwise by the senate, makes

(b) ensures overall co-ordination of academic matters;

(c) ensures that policy decisions of the senate are implemented;
(d) ensures that academic standards, as prescribed by senate are maintained;

(e) makes decisions within its mandate, in accordance with its delegated powers; and

(f) performs such other functions, including advisory functions, as may be determined by the senate.

(3) The executive committee of the senate has plenary powers to act on behalf of the senate between senate meetings, provided that any such resolution of the committee is ratified by the senate at its next meeting.

(4) In the absence of the vice-chancellor from any of the meetings of the executive committee of the senate, the deputy vice-chancellor contemplated in paragraph 22(2) presides at such meeting.

(5) In the absence of both the vice-chancellor and the deputy vice-chancellor, the provisions of paragraph 22(9) apply with the necessary changes.

Joint committees of the council and senate

25. The council may, in consultation with the senate, establish such joint committees of the council and the senate as may be necessary for the performance of particular tasks.

FACULTY BOARD

Functions of faculty board

26. The function of a faculty board is to regulate the activities of the faculty in line with the policies and Rules of the University.

Composition of faculty board
27. (1) Each faculty must establish a faculty board, that may at most consist of-

(a) the dean of the faculty, who is the chairperson;

(b) the associate dean of the faculty, if such position exists;

(c) the heads of departments of the faculty;

(d) all professors of the faculty;

(e) one non-professorial academic employee from each department in the faculty, elected by the departments;

(f) the directors or heads of schools, institutes, centres of excellence and centres of service delivery in that faculty;

(g) the faculty research officer;

(h) an assistant registrar, designated by the Registrar;

(i) the faculty administrator, without voting rights;

(j) one academic manager from each campus, where applicable, designated by the campus head;

(k) the relevant campus head(s), or their proxies;

(l) not more than two students registered in that faculty, designated from such students by the SRC, in terms of the Rules;

(m) not more than two postgraduate students in that faculty, elected by such postgraduate students, in terms of the Rules;
such other members as may be decided by the faculty board, in terms of the Rules.

(2) The composition of a particular faculty board is determined by the senate.

Meeting procedures of faculty board

28. The council's meetings and meeting procedures in terms paragraphs 13 and 14 are applicable, with the necessary changes, to meetings of the faculty board.

INSTITUTIONAL FORUM

Function of institutional forum

29. The institutional forum must -

(1) advise the council on issues affecting the University, including –

(a) the implementation of the Act and national policies on higher education;

(b) race and gender equity policies;

(c) the selection of candidates for senior management positions;

(d) codes of conduct, mediation and dispute-resolution procedures;

(e) fostering of an institutional culture which promotes tolerance and

(2) the institutional forum performs such other functions as determined by the council.

Composition of institutional forum

30. (1) The institutional forum consists of –
(a) two representatives of the management, elected by the Executive Management Committee of the University;

(b) the employment and equity officer;

(c) two representatives of the council who are not employees or students of the University, elected by the council;

(d) two representatives of the senate, elected by the senate;

(e) one non-academic employee representing each of the learning sites of the University, elected by the non-academic employees of the relevant learning site;

(f) one academic employee, not being a member of the senate, representing each of the learning sites of the University, elected by the academic employees of the relevant learning site;

(g) not more than two voting representatives of each recognised labour union at the University, elected by such labour union;

(h) two representatives of the student support council, elected by the student support council;

(i) two representatives of the convocation who are not employees or students of the University, elected by the convocation;

(j) two representatives of the students' representative council, elected by the central SRC;

(k) one person with a disability, who must be an employee or student of the University, elected by the disabled employees and students of the University;

(l) one or more members co-opted by the institutional forum for the specific purpose of assisting the institutional forum in respect of any specific project.
Election and term of office of members of institutional forum

31. (1) Nomination and election of members must be transparent and democratic and each constituency must follow the procedure within its own constituency and submit the names of its designate(s) or representatives to the registrar in writing before such member takes a seat in the institutional forum.

(2) The term of office of a member or members of the institutional forum:

(i) contemplated in paragraph 30(1)(a), (c) and (i) is three years;

(ii) contemplated in paragraph 30(1)(j) is one year;

(iii) contemplated in paragraph 30(1)(a) and (b) who is a member of the institutional forum by virtue of their office, remains a member of the institutional forum for as long as they hold their office, or is replaced by the body having elected them.

(3) Members are eligible for re-election, provided that the members contemplated in paragraph 30(1)(j) may not be elected for more than two terms.

(4) Paragraph 10(1), (2) and (3) apply, with the necessary changes, to the termination of membership of the members of the institutional forum.

Office-bearers of institutional forum

32. (1) The institutional forum elects from among its members a chairperson and deputy chairperson.

(2) The chairperson and the deputy chairperson hold their respective offices for a period of two years.
Meetings and meeting procedures of institutional forum

33. (1) The institutional forum must have at least three ordinary meetings during each academic year.

(2) Fifty per cent plus one of the members constitute a quorum.

(3) The provisions applicable to council meetings and meeting procedures in accordance with paragraphs 13 and 14, are applicable, with the necessary changes, to meetings of the institutional forum.

Committees of institutional forum

34. The institutional forum may appoint committees as required, may deem a single person to be a committee and determine the functions of such committees.

STUDENT SUPPORT COUNCIL

Functions

35. (1) Subject to the provisions of section 27(3) of the Act, the student support council advises the council on the policy for student support services.

(2) The student support council discusses any other matters referred to it by the council and advises the council on such matters.
The student support council may consist of –

(a) the vice-chancellor;

(b) one or more of the deputy vice-chancellors, designated by the vice-chancellor;

(c) the registrar;

(d) the chief financial officer;

(e) The head of academic student support, who may designate specific persons to attend as required;

(f) the head of student affairs and residence operations;

(g) the campus heads, or their designates, if applicable;

(h) two members of the council who are not employees or students of the University, designated by the council;

(i) two members of the senate, elected by the senate;

(j) two students from each of the learning sites of the University, elected by the relevant local SRC, in terms of the Rules;

(k) Such further members as are co-opted from time to time.

The manner of election or designation of members contemplated in subparagraphs (1)(h), (i) and (j) is provided for in the Rules.

Term of office

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37. (1) The members contemplated in paragraph 36(1)(a) to (f), who serve by virtue of their offices, remain members of the student support council for as long as they hold their offices.

(2) The members from the council and senate are elected for period of two years, or for such shorter period as they are members of the council or senate.

(3) The student members are elected by the students' representative council for a period of one academic year, provided that membership lapses automatically if a student member ceases to be a student.

38. The provisions of paragraph 21(4), (5), (6), and (7) apply, with the necessary changes, to the student support council.

Chairperson, vice-chairperson and secretary

39. (1) The vice-chancellor is the chairperson of the student support council.

(2) The deputy deputy-chancellor responsible for student affairs is the deputy-chairperson of the student support council.

(3) The registrar is the secretary of the student support council, provided that he/she may designate an employee to assist in this regard.

(4) The provisions of paragraph 22 apply, with the necessary changes, with regard to the functions of the chairperson, deputy-chairperson and the secretary.

Meetings

40. The Rules applicable to the meetings and meetings procedures of council and council committees in terms of paragraphs 13 and 14 are applicable, with the necessary changes, to the meetings of the student services council.
Committees of the student support council

41. The provisions of paragraph 40 apply to committees of the student support council, with the necessary changes.

STUDENTS' REPRESENTATIVE COUNCIL (SRC)

Functions of SRC

42. (1) The students of the University are represented by the SRC in matters that may affect such students, in accordance with the Act and subject to the authority of the council, in terms of this Statute and the Rules constituting the SRC constitution.

(2) The matters contemplated in subparagraph (1) include –

(a) exercising its powers and functions by using such powers as are delegated to it by the council;

(b) liaising with the council, the senate, the management, the general public, other institutions, students' representative councils of other institutions and national or international student organizations;

(c) being the umbrella organisation for all student committees, clubs, councils and societies, granting or withdrawing recognition of such student committees, clubs, councils and societies in terms of the Rules;

(d) the coordination and supervision of the use of students' facilities and all matters pertaining thereto, in conjunction with the University management;

(e) the convening and conducting of all authorised meetings of the student body and being the managing body in all general referenda and petitions organised by the students in accordance with the Rules;
(f) the appointment of such office-bearers and establishing of such committees as it deems necessary;

(g) the organisation and promotion of extramural activities among students;

(h) keeping account of all moneys paid over to it by the council, and any other moneys which may accrue to it in its capacity as representative of the students; also allocating or disbursing such funds for use by students, and making grants to approved student clubs, committees, societies and councils;

(i) the responsibility for the preservation of order at student functions, and the ensuring of good conduct at other approved meetings of students;

(j) the coordination of student involvement in all community projects initiated by the student representative council;

(k) the responsibility for all student publications, in accordance with the Rules;

(l) the recommendation to the council of Rules to determine the conduct of its affairs;

(m) the final decision-making in all matters falling within its jurisdiction; and

(n) such additional functions and privileges as may be specifically conferred upon it by the council.

(3) The SRC, as contemplated in section 35 of the Act, must be representative of the student body in terms of faculties and learning sites of the University.

(4) The SRC is not a juristic person and it is not a bearer of its own rights.
(5) Only registered students of good academic standing are eligible to serve on the SRC, in accordance with the Rules.

(6) The election of SRC members must be democratic and transparent, in accordance with the Rules.

Composition of SRC

43. (1) The composition of the SRC, as contemplated in section 35 of the Act, is determined by the council in the Rules, after consultation with the SRC.

(2) Where the SRC fails to operate for any reason whatsoever or where the SRC membership has been reduced to less than a number stipulated in the SRC constitution, the Council may determine whether –

(a) to hold a new SRC election; or

(b) to create a transitional SRC to continue in office until the next SRC elections would ordinarily be held, or such earlier period as it may determine.

(3) A transitional SRC consists of such members as set out in the SRC Constitution.

(4) A transitional SRC constituted in terms of subparagraph (2)(b) administers the affairs of the SRC until the election of a new SRC.
**Term of office of SRC**

44. (1) Subject to paragraph 43(4), the term of office of members of the SRC is one year.

(2) A student may not serve as a member of the SRC for more than two terms.

**Privileges of members of SRC**

45. The privileges of members of the SRC are determined by the council, after consultation with the SRC.

**Constitution and meetings of SRC**

46. (1) The number of meetings, the quorum at a meeting and the meeting procedures are determined by the constitution of the SRC, as approved by the council, on the recommendation of the student support council.

(2) The constitution of the SRC will have no legal force and effect unless such constitution, or amendments thereto, is approved by the council.

**Committees of SRC**

47. (1) The SRC must, subject to the student disciplinary Rules, establish a disciplinary committee responsible for the discipline of any members of the SRC and members of the student structures affiliated to the SRC.

(2) The SRC may establish such other committees as determined by the SRC constitution.

**General meeting of students**

48. (1) The SRC must convene at least one general meeting of students per semester.
(2) A general meeting may be requested in writing, signed by at least five hundred bona fide students.

(3) Meetings may not conflict with academic activities unless the vice-chancellor or his or her delegate has granted prior permission, subject to such conditions as the vice-chancellor or his or her delegate may impose.

CONVOCATION

Membership of convocation

49. (1) The convocation consists of the vice-chancellor, the deputy vice-chancellors, the registrar, academic employees, as set out in subparagraph (2), and all persons who are or become graduates or diplomates of the University and such other persons as the council may determine.

(2) Academic employees on the permanent staff of the University, professors emeriti and other retired academic employees who were employed by the University for at least five years prior to retirement, are members of the convocation.

(3) The fact that the name of a person appears on the convocation roll is, on face value, proof of him or her being a member of the convocation, and of him or her being entitled to vote.

(4) The names of new graduates and diplomates of the University are deemed to have been inscribed in the convocation roll after degrees have been conferred or diplomas have been awarded, but members so registered are required to furnish their addresses to the secretary and to notify him or her of any change of address before their membership to remain current.

(5) For the purpose of the election of council members the convocation roll is deemed closed from the last date on which ballot papers are issued until the date of the election, both days inclusive.
Office-bearers and committees of convocation

50. (1) The convocation, at its first meeting, elects from among its members a president to act as chairperson at all its meetings, who holds office for a period of three years from the date of the meeting at which he or she is elected.

(2) Whenever the office of president becomes vacant, the vice-chancellor acts as president until a successor is elected for a period of three years, at the next meeting of the convocation.

(3) The convocation establishes an executive committee and such other committees as it may deem necessary to perform its functions.

(4) The executive committee of the convocation is composed of the president, deputy-president and treasurer, elected by the convocation, the vice-chancellor ex officio and the registrar, who is the secretary of the convocation.

(5) The executive committee has the right of co-option, and meets at least once per annum.

Meetings of convocation

51. (1) The president, or if the office of the president is vacant, the vice-chancellor, may convene a meeting of the convocation annually or as often as required, and notice of such meeting must be given at least four weeks prior to the date of the meeting, by any means reasonably available, including electronic means.

(2) A member who wishes to raise any matter at such meeting must submit a written motion with regard to the said matter to the registrar or the president at least two weeks before the date of the meeting.

(3) An extraordinary meeting of the convocation may be convened by the president or the vice-chancellor if and when required.
(4) An extraordinary meeting of the convocation must be convened by the president or, if the office of president is vacant, by the vice-chancellor, upon a request in writing, signed by at least 25 members, containing the matters for consideration in the form of separate motions.

(5) An extraordinary meeting as contemplated in subparagraph (4) must be held within two months after receipt of the request.

Meeting procedures of convocation

52. (1) Fifty members constitute a quorum at a meeting of the convocation, provided that, if no quorum is present, the meeting may adjourn and an extraordinary meeting may be convened with at least seven days' notice, at which the members present will constitute a quorum.

(2) Notwithstanding the absence of a quorum at the start of an annual meeting, such meeting may proceed to elect office bearers and to dispose of other formal matters, but no motions may be submitted at such meeting.

(3) After its constitution, by reading the notice in terms of which it was convened, a meeting commences with the reading and confirmation, by the signature of the chairperson, of the minutes of the previous ordinary meeting and of all subsequent extraordinary meetings.

(4) Any objection to such minutes must be raised and determined prior to their confirmation.

(5) A member may not, without the permission of the meeting, speak more than once on a motion or amendment thereof, but the mover of the motion or amendment may reply.

(6) All matters are decided by a majority of the members present.

(7) In addition to his or her ordinary vote, the chairperson has a casting vote in the event of an equality of votes.
(8) When a majority of the members of the convocation reaches agreement on a matter referred to them by letter or electronic means by the chairperson, without convening a meeting, and conveys such resolution by letter or electronic means, such resolution is equivalent to a resolution of the council and must be recorded in the minutes of the next succeeding ordinary meeting.

(9) If a meeting so resolves, the number of votes in favour of or against a motion must be recorded in the minutes, and, at the request of a member, the chairperson must further direct that the vote of such member be likewise recorded.

(10) A motion or amendment thereof must be seconded, and if the chairperson so directs, such motion or amendment must be in writing.

(11) A motion or amendment may not be withdrawn without the permission of the meeting.

(12) The chairperson may permit the discussion of a matter of which notice was not duly given, provided such discussion is unopposed.

(13) The ruling of the chairperson on a point of order of procedure is binding, unless immediately challenged by a member, in which event such ruling must be submitted without discussion to the meeting, whose decision is final.

(14) A copy of the resolutions of the convocation, and a statement on such other matters as the convocation may determine, duly certified by the chairperson and secretary, are submitted to the chairperson of the council for the information of the council, and to the vice-chancellor for the information of the senate.

(15) The election of members of the convocation to the council is in the manner as determined in the Rules.

MANAGEMENT AND SENIOR MANAGEMENT
VICE-CHANCELLOR

53. The vice-chancellor is the chief executive officer of the University.

Functions of vice-chancellor

54. (1) The vice-chancellor is responsible for the day-to-day management and administration of the University and has all the powers necessary to perform these functions, subject to the provisions of paragraph 22..

(2) The vice-chancellor is the academic, administrative and managerial head of the University.

(3) The vice-chancellor reports to the council.

(4) By way of his or her office, the vice-chancellor is a member of all the committees of the council and the senate.

(5) The council may delegate its powers, assign additional functions, and grant additional powers and privileges to the vice-chancellor.

(6) When the vice-chancellor is absent or unable to carry out his or her duties, the deputy vice-chancellor designated by the council takes over, or the council may appoint an acting vice-chancellor.

(7) The vice-chancellor may delegate his or her powers without abdicating his or her responsibilities to any employee.

(8) Subject to the Rules and policies, an acting vice-chancellor has the same powers, privileges and functions as the vice-chancellor.

Appointment and term of office of vice-chancellor
55. (1) The council, after consultation with the senate and the institutional forum on the selection of candidates, appoints the vice-chancellor for a period of not more than five (5) years.

(2) Subject to section 31(1) of the Act, the advertising of the post, the invitation for nomination of candidates, the search for suitable candidates, the criteria for the short-listing of candidates and the interviewing, selection and appointment processes are in the manner determined in the Rules.

Vacation of office of vice-chancellor

56. (1) The term of office of the vice-chancellor terminates before its expiry if the incumbent dies, resigns from office or is discharged from office in a manner prescribed in the Rules.

(2) A vice-chancellor whose term of office expires by effluxion of time may be appointed for one further term.

(3) If the office of the vice-chancellor becomes vacant, the registrar notifies the members of the council of such fact in writing.

(4) A successor is appointed in terms of paragraph 55.

Discipline of vice-chancellor

57. The vice-chancellor is subject to the Rules for staff discipline.

EXECUTIVE MANAGEMENT COMMITTEE

Functions of the executive management committee
(1) The vice-chancellor may establish an executive management committee to assist him or her in the day-to-day management and administration of the University.

(2) The executive management committee takes decisions in accordance with the applicable legislation as well as this Statute and the Rules.

Composition of the executive management committee

(1) The executive management committee consists of –

(a) the vice-chancellor;

(b) the deputy vice-chancellors;

(c) the registrar;

(d) the campus heads, if applicable;

(e) the members of the senior management responsible for human resources, finances and facilities management; and

(f) any other employee designated by the vice-chancellor.

(2) The executive management committee may, from time to time, co-opt any employee for a particular purpose.

Chairperson and meetings of executive management committee

(1) The vice-chancellor is the chairperson of the executive management committee.

(2) The vice-chancellor convenes meetings of the executive management committee and determines the business on the agenda.

(3) The meeting procedures of the Council applies to the meetings of the executive management committee, with the necessary changes.
DEPUTY VICE-CHANCELLORS

Functions

61. (1) The council may appoint one or more deputy vice-chancellors as contemplated in section 26(2) of the Act.

(2) The deputy vice-chancellors support the vice-chancellor in the management and administration of the University.

(3) The deputy vice-chancellors are responsible for the execution of the functions designated to them by the vice-chancellor.

Appointment, term of office, vacation of office and filling of vacancy

62. The appointment, term of office, vacation of office and filling of vacancies of deputy vice-chancellors are in the manner determined in the Rules.

Discipline of deputy vice-chancellors

63. The deputy vice-chancellors are subject to the Rules for staff discipline.

REGISTRAR

64. (1) The council appoints a registrar who will act as the electoral officer and secretary to the council, senate, student support council and the convocation.

(2) The registrar supports the vice-chancellor in the management and administration of the University.
(3) The registrar ensures that the University complies with the Statute, relevant legislation, national higher education policies and the policies and Rules of the University.

(4) The registrar is the electoral officer of the institutional forum.

(5) The appointment, term of office, vacation of office and filling of vacancies of the registrar is in the manner determined in the Rules.

(6) The registrar is subject to the Rules for staff discipline.

EXECUTIVE DIRECTORS

65. (1) The council may appoint one or more executive directors, to whom the council or the vice-chancellor may assign specific managerial and administrative functions.

(2) An executive director is accountable to the vice-chancellor or to the relevant deputy vice-chancellor.

(3) In the temporary absence of an executive director, the vice-chancellor or the relevant deputy vice-chancellor designates another person to perform the functions of the office.

(4) An executive director is subject to the Rules for staff discipline.

(5) A chief financial officer is subject to the Rules for staff discipline.

(6) The appointment, term of office, vacation of office and filling of vacancies of an executive director is in the manner determined in the Rules.

DEANS
66. (1) The vice-chancellor must appoint a dean for every faculty, to take responsibility, among other tasks, for the management and administration of the faculty.

(2) A dean is accountable to the relevant deputy vice-chancellor.

(3) In the temporary absence of the dean, the vice-chancellor designates another person to perform the functions of the office.

(4) A dean is subject to the Rules for staff discipline.

(5) The appointment, term of office, vacation of office and filling of vacancies of a dean are in the manner determined in the Rules.

EMPLOYEES

Appointment and conflicts of interest

67. (1) The council appoints employees according to the staffing policies of the University, as determined in the Rules.

(2) Notwithstanding subparagraph (1), academic employees are appointed after consultation with the senate.

(3) With the exception of the appointment of the senior management, the council delegates its powers, as stipulated in subparagraph (1), to the vice-chancellor.

(4) An employee must in writing, before he or she assumes office:

(a) declare any business that may raise a conflict or possible conflict of interests with the University;
(b) notify the University of any conflict of interests before the University procures any goods or services from the employee or an organization in which the employee holds an interest.

(c) An employee may not conduct business directly or indirectly with the University that entails or may entail a conflict of interests with the University unless the council is of the opinion that –

(i) The goods, products or services in question are unique;

(ii) The supplier is a sole provider; and

(iii) It is in the best interests of the University.

(iv) No employee may contract on behalf of the University with himself or herself or any entity in which he or she has a direct or indirect financial or personal interest.

(5) Contracting referred to in subparagraph (4)(d) relates to conduct that is aimed at receiving any direct or indirect personal gain that does not form part of the employment relationship contemplated in subparagraph (1).

Conditions of employment

68. (1) The conditions of employment, including the determination and review of salaries of employees and all other forms of remuneration, and any changes made to such conditions of employment, must be approved by the council after consultation with the employees in accordance with the University's policy or amendments thereof from time to time, as determined in the Rules and in terms of the applicable labour legislation.

(2) The University may enter into collective agreements about salaries and related conditions of service with recognised labour unions, in accordance with relevant labour legislation, in terms of the Rules
Evaluation

69. All employees of the University are subject to continuous evaluation in the performance of their duties in terms of the policies and Rules of the University.

Employees' discipline

70. Every employee is subject to a disciplinary code, a disciplinary procedure and a grievance procedure for employees, as approved by the council and determined in the Rules, which serve as an integral part of every employee's conditions of service.

Labour unions

71. (1) Management shall recommend to the council, for approval, the terms and conditions for the recognition of registered labour unions in terms of the relevant legislation.

(2) A recognition agreement entered into between the University and a registered labour union contemplated in subparagraph (1) may periodically be reviewed and revised by the University in its sole discretion, in terms of the Rules, and such revised recognition agreement becomes binding upon approval thereof by the council.

STUDENTS

Admission and registration of students

72. (1) A person may be permitted by the council to register as a student only if he or she satisfies the legal requirements, if any, for admission to study at the University and, further, satisfies any other requirements for admission to a specific programme that may be determined by the council and laid down in the Rules.

(2) The requirements for admission of a student to any faculty are set out in the Rules and may be changed by the council after consultation with the senate.
(3) A student is registered for one year or for such shorter period as the council may determine in general or in a particular case.

(4) In order for a student to renew his or her registration after the expiry of the period contemplated in subparagraph (3), the student is required to comply with any conditions set by the council.

(5) The council may refuse to allow the renewal of registration if a student fails to meet the conditions contemplated in subparagraph (4).

(6) The conditions contemplated in subparagraph (4) may include the payment of outstanding fees.

(7) A student subjects himself or herself to the Rules when he or she signs the official application and registration forms.

**Discipline of students**

73. (1) The disciplinary measures and disciplinary provisions applicable to the students are set out in the Rules, and may be changed by the council after consultation with the senate, the student support council and the SRC.

(2) (a) The vice-chancellor may, from time to time, amend monetary penalties.

(b) Such amended penalties must be placed before the council at the next ordinary meeting of the council.

(3) If the council should alter or set aside any such amendment, its validity up to the time of alteration or setting aside by the council is not affected.

**DEGREES, DIPLOMAS AND CERTIFICATES**

**Authority**
74. The University has the power to confer degrees and award diplomas and certificates, subject to the relevant legislation, this Statute and the Rules.

**Conferment, award and cancellation**

75. (1) A congregation of the University is convened for the purpose of conferring degrees and awarding diplomas and certificates.

(2) (a) A congregation is convened in the manner prescribed by the council in the Rules;

(b) The council delegates its authority, as contemplated insubparagraph (a), to the vice-chancellor.

(3) A congregation is chaired by the chancellor or his or her delegate.

(4) A degree may be conferred and a diploma or certificate awarded in the absence of a graduate or diplomate or posthumously.

(5) A person is not entitled to the privileges of a degree, diploma or certificate until such degree, diploma or certificate has been conferred or awarded by the University at a congregation.

(6) An official certificate confirming the conferment of a degree or the awarding of a diploma or certificate is issued once only, and this occurs at an official congregation of the University.

(7) If a student has satisfied the requirements for a degree, diploma or certificate and such degree, diploma or certificate has not yet been conferred or awarded, or if an official certificate has been lost, a document may be issued at the written request of the student, stating that the student has satisfied all the requirements for the degree, diploma or certificate and that it will be conferred or awarded on a certain date, or that it was conferred or awarded on a previous date.
(8) In order to satisfy the requirements for the conferment of a degree, diploma, certificate or other qualification, a student must satisfy the requirements of the academic programme for that degree, diploma, certificate or other qualification, as prescribed in the Rules.

(9) The senate may withdraw the conferment of any degree, diploma, certificate or other qualification if any such degree, diploma, certificate or other qualification was conferred in error.

(10) The senate may cancel, withdraw and demand summary return of all certificates, records and copies thereof that may have been issued in respect of such cancelled qualification, with regard to any completed qualification – without limiting the generality of the foregoing:

(a) if it is proven that the requirements for admission to or for completion of the qualification were not satisfied before the qualification was granted or conferred; or

(b) that the student or someone on his or her behalf had acted dishonestly or fraudulently in any way with regard to admission, completing the learning or research programme or any aspect thereof, or any assessment with a view to meeting the requirements for the qualification; and

(c) may take such further steps as it deems fit to ensure that the integrity and quality of the University’s qualifications and the academic reputation of the University, is sustained.

Honorary degrees

76. (1) The University may, without attendance and examination, confer an honorary degree of doctor in any faculty on any person who has rendered a distinguished service in the advancement of any branch of learning or technology, or upon any person the University deems worthy of obtaining such a degree.

(2) The conferment of an honorary degree on a person does not entitle that person to practise any profession on the grounds of that honorary degree.
(3) The criteria and procedures for conferring an honorary degree are determined in the Rules.

DONORS AND DONATIONS

77. (1) The University may receive moneys and equipment of any kind from donors to assist the University in providing quality education.

(2) The University may recognise and register certain donors, as determined in the Rules.

(3) The University may establish a body consisting mainly of donors recognised as such by the University in terms of the Rules, and the council may to that end make policy and put the necessary processes and structures in place to ensure that such body of donors operate to the benefit of the University.

(4) The registrar ensures that all recognized donors of the University are entered into the list of registered donors and that the list be kept current.
GENERAL PROVISIONS

Rules

78. The Rules made by the council have legal force.

Drafting, amending or rescinding the Statute

79. (1) No motion to approve, amend or rescind any provisions of this Statute is of force and effect unless it is adopted by at least 75 per cent of all members present at a meeting of the council.

(2) No motion to approve, amend or rescind any provision of this Statute is of force and effect without a written notice of at least fourteen days, unless 75 per cent of all the members of council present vote in favour of dispensing with such a notice.

(3) Any motion to approve, amend or rescind the Statute or a Rule must be in accordance with the provisions of section 32(2) of the Act.

Statute rescinded

80. (1) The Standard Institutional Statute, 2002, published in Government Gazette No. 23065 of 27 March 2002, is hereby replaced by this Statute with effect from the date on which this Statute comes into operation.

(2) Notwithstanding subparagraph (1), any structure of the University within the meaning of the Act, which existed prior to the publication of this Statute, continues to exist and function in terms of this Statute until the day when each new structure reconstituted in terms of this Statute becomes functional.

Transitional provisions
81. (1) Anything done under any provision of the Standard Institutional Statute published in Government Gazette No. 23065 of 27 March 2002 before this Statute came into operation is deemed to have been done under the corresponding provision of this Statute.

(2) Any existing Rules which were in force at the commencement of this Statute continue to apply until replaced by any provision of this Statute or any Rule that may be made in terms of this Statute.
CHAPTER 2: FRAMEWORK FOR MANAGEMENT AND IMPLEMENTATION OF A NEW UNIVERSITY
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1. FRAMEWORK FOR MANAGEMENT AND IMPLEMENTATION

1.1. Roles and Responsibilities of the Ministry of Higher Education and Training

The role of the Ministry of Higher Education and Training (DHET) in the implementation process lies in the provision of financial and technical support and strategic guidance, and in monitoring the implementation process at institutional level for a certain period of time to be determined by the Minister. Managing the operational side of the new university and implementing the foundations of these guidelines to support the effective functioning of the institution is the responsibility of the new university. The Ministry will provide technical support and strategic guidance wherever possible and on request from the universities. Funding and financial support needs to be provided until such time that the new institution has become viable and self-sustainable.

The management of the new University is also at liberty to call in external assistance to help them with aspects for which they lack expertise or capacity, and which fall beyond the scope of assistance that the Ministry may be able to render. Reimbursement for such external professional assistance will be available on application, subject to the request meeting the conditions stipulated in the section of the guidelines entitled Financial Support. The Management of the new University should consult this section and ensure that they have met all the necessary requirements, including written agreements with the Ministry, before engaging the services of external parties.

The type of technical assistance that can be provided by the DHET or external professionals is set out below

i. Academic and research issues
ii. Information systems
iii. Infrastructure development and facility management
iv. Human resource policies and procedures, staffing and industrial relations
v. Administrative and financial matters, including properties and services administration
vi. Legislation and legal matters
vii. Governance, management and decision-making issues
viii. Student support and administration  
ix. Communication and branding aspects  
x. Strategic direction of the new institution

The senior management of the University Branch will have an oversight function which will oversee the development process and monitor the management of implementation processes. The following lies within their ambit:

xi. Provide an initial input towards the strategic direction and envisaged development of the new institution;

xii. Provide and co-ordinate the provision of technical support to the new university;

xiii. Assist the new university with identifying specialised expertise to assist in the process of establishment and development;

xiv. Assess and make recommendations on requests from the new university for financial assistance in terms of the Ministry’s framework for financial support, including requests to employ independent consultants to carry out specific tasks in relation to the establishment of functions and systems such as library, information and communication systems, management information system, student administration and governance, cooperative education, e-learning, building and estates, organisational development, etc.;

xv. Monitor the management of the development process, including meeting regularly with the new university and evaluating quarterly progress reports submitted by the university;

xvi. Respond to queries and concerns from key constituencies and stakeholders relating to the development of the new institution, including compiling a database of challenges and issues raised and how it can be addressed;

xvii. Engage with other government departments e.g. Department of Science and Technology, business and industry regarding support, investments, human capital development and service delivery.

xviii. Submit regular progress reports to the Minister of Higher Education and Training.

1.2. Roles and Responsibilities of the University
The new university is itself responsible for implementation within the policy, planning and legislative frameworks set out in Chapter 1 of these guidelines. In the context of the principles of inclusivity and stakeholder participation, the process should be consultative and inclusive through using the existing governance structures established for this purpose, particularly senates, student representative councils and university forums, where these have been established.

The responsibility for driving the project, however, rests with the university leadership, who must ensure that the process is not brought to a halt over issues where there are high levels of contestation. In situations where it seems that conflict cannot be internally resolved, university should consider seeking assistance from the DHET, or bringing in external facilitators to enable movement and progress to be mediated and sustained.

Because of the complexity of this project, and the myriad activities that may be simultaneously embarked upon, it is of vital importance that a sense of the whole and the relationship between the parts is maintained. This kind of coherence can best be achieved through the development of a preliminary vision for the new university, good leadership, adequate organisational support, methodological clarity, and clearly allocated roles, responsibilities and lines of accountability.

i. Developing a Preliminary Vision and Mission

The new university should develop a preliminary vision and mission for the new university as soon as possible. Almost every aspect of the growth of the new university will flow from the initial identification of the character, qualities, attributes, values, ethos and trajectory that the new university should possess. The projected new identity can be a powerful symbolic mechanism for renewal around which staff and students coalesce and to establish the culture of the new institution.

It will not be possible, however, to develop a final vision and mission during the early stages of development as this has to grow on the foundations of the new university and may be dependent on processes, such as the academic PQM, that may only be finalised well into the growth phase, and the involvement of various constituencies and structures within the new institution, which needs to be established in due time. The mission of the university is understood as the roles and functions it should be performing that embody or give expression to its values. As this is dependent on an accurate assessment of the capacities, strengths, potential and challenges of the new university, it is likely that it can only be fully developed at a later stage. On the other hand, many universities have
produced new vision statements in the recent past and there are probably high levels of commonality in the basic values and principles that they espouse and would like to carry into the future. If a new university built onto this a sense of the new strengths they will achieve, at least a preliminary vision and mission can be developed that is realistic and provides the direction needed to inform those processes that will lay the foundations for the new university. This need not take very long. The broad vision and mission should in fact be formulated as quickly as possible to inform the strategic direction and development path of the new institution captured as strategic goals and objectives within the Institutional Operating plan.

ii. Other Components of a New University

Other aspects of the new university should be formulated in conjunction with the preliminary vision for the new university and again, should be driven at the highest levels by the university leadership, and approved by the governance structures of the university. At a minimum, the plan should address all the areas identified in these guidelines and identify the key personnel (such as IT directors and human resources management, etc.) who will be charged with responsibility for co-ordinating and managing activities in these areas. In the guidelines, the areas requiring attention have been conceptualised in terms of overarching fields and underpinning services that spread across the whole university, and other areas with a more contained, defined ambit.

iii. Managing the Development and Implementation process

Whatever approach is adopted, it is probable that, as soon as human resource availability permits, management will probably have to set up task teams to do the work in the areas identified in these guidelines.

These task teams should be given clear terms of reference, work briefs and timelines for the completion of each stage of their allocated tasks. Co-ordinating the activities of these task teams, ensuring that tasks are tackled in the appropriate order, and that work is done in relation to the established overall timeframes, should be the responsibility of the Vice Chancellor in the beginning. When it comes to the development of plans, the task teams will not be able to work independently of one another as there will be many areas of overlap where decisions made in one area (such as IT) may be dependent on decisions made in another. Ensuring congruence in the progress of the task teams should be the responsibility, initially of the Vice Chancellor.
A possible approach, again dependent on the size and shape of the new university, well suited to handling the complexities of the issues, is to view the development of the university as a project. This allows for high level planning, identification of key decisions that must be taken and critical issues addressed, identification of key stakeholder groups for consultation, appropriate sequencing of actions and decisions, and the allocation of responsibilities and reporting lines. It also allows for the overall project to be broken down into a number of sub-projects (to which task teams would be appointed) with clearly identified work-streams. Work-streams can be managed as a series of interlocking projects with clear timelines, sets of objectives, sequences of activities, reporting and accountability relationships and assessment procedures. This enables a clear assessment of when each work-stream, and each stage within work-streams, can be embarked upon. The correct sequencing of plans, decisions and actions in the implementation plan is important to ensure compliance with general legal requirements at different stages of the process, and to ensure an internal operational fit. It is imperative that cohesion and integration of processes are kept in mind. For example, the provision of an IT platform is not possible until decisions have been made about how data systems are to be reconciled, and libraries cannot be configured until there is clarity about the nature and location of the academic units of the new university. But even where one sequence of actions is dependent on the completion or partial completion of another, it will at least be possible to embark on planning for future actions. This project should be managed by an experienced and capable Strategic Planning Unit.

iv. Institutional Operating Plan

All new universities will be required to submit to the Ministry an ‘institutional operating plan’ (IOP) no later than twelve months following the date of the university’s formation. Much of the information generated by other aspects of these guidelines will be needed to formulate this operating plan.

The IOP must contain details including the effect of academic and institutional structuring on academic and financial projections, and on the operating and capital budgets for the first five years. Assumptions/bases on which the line items of income and expenditure have been estimated must be included.
As a general rule it will be necessary for the IOP for the university to include operational budgets that demonstrate the achievement of at least a ‘break even’ position within five years of the date of the university’s formation and indications that such financial viability is sustainable in the long term. The auditors of the new university will be expected to comment on this aspect on the completion of their first audit.

The development of a satisfactory university IOP is a pre-requisite for the release of any funding until such time that the University generates subsidy and is included in the funding framework for higher education. It is also a pre-requisite of provision of any additional funding for example reimbursement of expenditures incurred to ensure that the university is operationally financially viable. The submission of an IOP is also a pre-requisite for reimbursements for any major extension/alteration to property, plant and equipment essential for the operational activities of the university.

1.3. Requirements for a university’s institutional operating plan

i. Introduction

An IOP is an instrument that is intended to help a university decide upon, and subsequently make adjustments to, the direction that the new institution will take over the next three to five years. It is also intended to help the Ministry to assess whether the progress envisaged for the new university are realistic and will result in academically and financially viable and sustainable outcomes. The operating plan will consist, in effect, of a number of financial projections based on different scenarios that are developed in relation to the preliminary vision and mission for the new university. This might relate to the expansion of the footprint to other delivery sites. The scenarios will enable the university to plot out the anticipated financial outcomes of pursuing particular strategies or options, and this will assist them in making a ‘best case’ choice. Each scenario will also be plotted against the baseline scenario as when the institution has been promulgated consisting of the financial projection for the new university over the three to five years of its existence, drawn up on the basis of the existing situation, its vision and mission
Any new university is required to produce an IOP for the new university, for the short-term future of three to five years. The plan must be submitted to the Ministry for approval within a year following the date of its formation.

The development of a satisfactory IOP is a prerequisite for the provision of financial support from the Ministry for capitalisation, reimbursement of expenditures incurred to ensure that the new university is operationally financially viable and for any major development/extension/alteration to property, plant and equipment essential for the operational activities of the university.

The following section outlines the requirements and recommended process for producing an IOP.

2. Requirements and Process

- Developing a vision, mission, goals, targets and strategies for the new university

New universities should, as soon as possible, produce a preliminary vision and mission statement and list the goals and targets to be realised in the short term and strategies that will be set in place to give effect to this vision and mission. This document should be based on current realities and, in general terms, it should indicate the means whereby the new university is to be moved into the desired position within a five-year time scale.

An operating plan should then be developed for the new university, which corresponds to the above document. This plan should take as its starting point the programme and qualification profile of the new university (see Chapter 4 on guidelines for Academic Planning and setting up PQM profiles), the current levels of student enrolment and existing resources. These resources (personnel, goods and services and infrastructure) should be separately identified. The staffing component must show separately (i) the academic staff complement and (ii) the support staff complement at respective levels of employment. In addition, outsourced services must be separately identified as well as the components of upkeep and maintenance of the physical infrastructure.

- Developing an initial one year scenario
A new university should produce an initial financial estimation for the new university based on the baseline (i.e. before introducing any significant changes) projected over the first twelve months of its existence. The financial projections must be based on realisable estimates for the planned period, including taking into account ‘normal’ changes that can be anticipated (e.g., salary increases, inflation, etc.).

This initial one year scenario should be organised and constructed in terms of the following categories:

- Capital projects, individually described;
- Primary activities, separated into appropriate sub-groups such as faculties, departments, and special projects;
- Support services and secondary activities, separated into sub-groups based on the university’s organogram.
- Operational budget

**Financial presentation**

The initial scenario must conclude with a realistic financial 'budget' that is in accordance with the budget format approved by the university's finance committee. This must show separately, the income and expenditure from primary activities, that is, instruction and research, and expected income from other sources and related expenditure, suitably grouped. A separate budget for items of 'capital expenditure' and their financing must also be included.

**Evaluation of initial scenario**

The initial scenario must be looked at in terms of the prospects for continuity. The capacity of the new university must be assessed in terms of what its on-going operations would be, in both primary and support areas. The prospects for growth or changes in all areas of primary activity must likewise be considered and assessed. Similarly, sources of income, for example, state earmarked funding, tuition and residence fees, and third stream income must be examined in terms of future expectations. Any income not resulting from primary activities must be identified by source and anticipated amount. On the expenditure side the consequences of monetary inflation should be determined and estimated.
• **Developing further scenarios**

Based on the initial baseline scenario, further projections (hereafter referred to as change scenarios) should be prepared incorporating changes that can be anticipated or that will result from conscious decisions and actions to give effect to the new university’s vision, mission, goals and targets. For each change scenario, the changes that may be implemented realistically – and agreed to within the university - should be described in non-financial terms (e.g., changes to staff complement, additional equipment and infrastructure, planned growth etc.) and in financial terms (i.e. the financial consequences and outcomes of effecting these changes).

As for the *initial* scenario, the change scenarios should be constructed in the form outlined in section 1.3.ii in relation to the following categories:

- Capital projects, individually described
- Primary activities, separated into appropriate sub-groups, e.g. faculties, departments, special projects;
- Support services, separated into sub-groups based on the university organogram.
- Estimated five year financial plan

3. **Documenting the changes**

For each change scenario, the area and extent of changes must be documented. These changes must be plotted against the initial *baseline* scenario and expressed, in the first instance, in non-financial terms. In this regard, the following points should be noted:

- The area and extent of changes in each area of discrete activity and services must be identified. This includes primary activities (e.g. teaching and learning, research, outreach, etc.); and support (e.g. academic support and administration, student services, general administration, estates and buildings, as well as all outsourced activities).
• All components of the changes to the university infrastructure must be identified, for example, development and changes in property, plant and equipment as well as all systems supporting the operations of the new university.

• The extent of change must be expressed in suitably constructed scenarios each of which should encompass a particular vision for the new university.

• Key assumptions and risks should be identified and, where appropriate, quantified.

For each change scenario, the non-financial consequence of an agreed set of changes must be converted to financial terms and incorporated into the scenario document.

• **Financial presentation**

As in the case of the initial scenario, each change scenario must conclude with a realistic five year financial budget and plan in a format that is in accordance with that approved by the university's finance committee. This must show separately, the income and expenditure from primary activities, that is, instruction and research, and income from other sources and related expenditure suitably grouped. A separate budget for items of capital expenditure and the financing of such must also be included.

4. **The time window**

Each change scenario prepared must at a minimum cover a five-year time window. That is, it should minimally cover three discrete financial periods, starting from year one of the new university. The financial projections must be prepared separately for each financial year.

• **Presentation of change scenarios**

In the light of the assessments made and in accordance with decisions taken, the change scenarios should be documented in the same financial and non-financial format as indicated in section 2.3.1 above. This document must also highlight the proposed changes, using the initial scenario as the baseline and its respective headings as the point of departure. In each case where a change has been
proposed, the implications for other activities and the estimated financial consequences for all activities must be determined and documented. For example, the consequences of proposed changes resulting from a decision to increase student enrolments in the natural sciences must be assessed throughout all areas of related activity.

Each change scenario must show operating income and expenditure estimates and include a separate section comprising 'capital projects', that is, acquisitions, construction or extensions to property, plant or equipment. The financial consequences of each project should be estimated, and the means for financing each project clearly spelt out.

Each scenario should reflect three positions based on expectations and estimates that are considered to be (i) optimistic, (ii) realistic, and (iii) pessimistic.

5. Submission to the Ministry

One scenario should be selected and recommended by the university as the preferred scenario, which it considers best meets the new mission and vision of the new university. This scenario should also be one that presents a sustainable financial position for the university into the immediate future of three to five years (see macro-budget guidelines in Table 1 below)

The preferred scenario should then form the main thrust of the plan with the other scenarios shown as appendices for discussion with the Ministry.

The text of the plan, on which this scenario is based, must be accurately descriptive of the nature of the operations of the university in terms of governance, management, administration, infrastructure and primary and support activities.

Numeric data, including the presentation of the financial budgets in the normal format, should include graphic and diagrammatic formats to assist in the interpretation of the results. In all cases where estimates and projections have been made in data included in the plan, the bases for these must be included in each instance.
In this regard, it should be noted that this section contains the headings of a set of 10 tables which universities must submit as part of their operating plan proposals. These tables will be used when the university’s academic programme offerings and its student and staff projections are analysed.

6. Approval of the university’s institutional operating plan

The interim council or new council must formally approve the documented IOP before it is submitted to the Ministry. The Ministry will engage the university on its submission as part of its assessment of the financial viability of the new university.

Table 1: Prudent Macro Budget Structure Guidelines for Universities

(Based on data extracted from years 1999 and 2001 Financial Data Returns)

Acceptable Ranges of Percentages of Recurrent Total Expenditure from Recurrent Unrestricted Income

<table>
<thead>
<tr>
<th>UNIVERSITY</th>
<th>Percentage Range</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personnel</td>
<td>57.5% - 63.0%</td>
</tr>
<tr>
<td>Goods &amp; Services (incl. Bursaries &amp; Bad debts)</td>
<td>32.0% - 29.0%</td>
</tr>
<tr>
<td>Finance Costs</td>
<td>3.0% - 2.5%</td>
</tr>
<tr>
<td>Depreciation</td>
<td>6.5% - 4.5%</td>
</tr>
<tr>
<td>Surplus</td>
<td>1.0% - 1.0%</td>
</tr>
<tr>
<td><strong>TOTALS</strong></td>
<td><strong>100%</strong></td>
</tr>
</tbody>
</table>

Small variations, of one or two percentage points, between the different components will, of necessity, occur, e.g. extent of 'outsourced services'. The aggregate will always be 100% as all budgeted recurrent expenditure is to be covered and a small recurrent surplus provided for.
The budget amount available for non-recurrent expenditure items is likely to be determined after the operating recurrent budget has been drafted. If no non-recurrent income can be anticipated and there are no amounts that can be transferred from available reserves, the essential non-recurrent expenditure will have to be provided for by reducing certain items of initially budgeted recurrent expenditure.

Generally the proportion of aggregate expenditure (including the budgeted amount for non-recurrent expenditure) to total unrestricted income would be a number of percentage points below the total in order to generate surpluses that can be accumulated to cover contingencies and situations in the future when a deficit budget is inevitable.

Restricted income is encumbered in that its expenditure depends on the conditions on which it was provided. Preparing separate expenditure budgets for such income depends wholly on the extent to which such receipts can accurately be projected into the future.

**ACADEMIC PROGRAMME, STUDENT AND STAFF DATA REQUIRED**

The IOP in this section should contain a set of 10 table headings which universities must submit as part of their operating plan proposals. These tables will be used when the university’s academic programme offerings and its student and staff projections are analysed. These tables are divided into the following 4 sections:

**Section A: Academic Programmes**

List the contact programmes which the new university are offering in 2014 and wishes to offer in 2015-2019 in Table 1, and Table 2 the distance programme. The tables should in the first place offer a consolidated picture of those programme offerings of the new university which the new university will offer. The tables should indicate which new programmes are proposed to be phased in within an identified academic year. Planning for the new university should at this stage include expansions into new fields of study or the offering of new qualifications. This will need to be proposed through the development of a Business plan and submitted to the DHET as a separate document.
Section B: Student Enrolments 2014-2019

Tables 3 and 4 must reflect broad summaries of actual and projected student enrolments. The actual enrolments requested are consolidated totals for the new university for 2015-2019. The projected totals give a realistic picture of what student enrolment changes could occur in the new university during 2015-19.

Section C: Head Count Enrolments In 2014

Tables 5 and 6 must reflect more detailed projections of what the new university’s head count enrolments of contact and distance students could be in 2019. These projections, which must obviously be consistent with those in Section B above, are intended to show what contact and distance enrolments in 2019 could be, broken down by first-order CESM category and qualification type.

Section D: FTE Student Enrolments In 2014

Tables 7 and 8 are like the two tables in the previous section. They provide more detailed projections of the new university’s enrolments, but deal with FTE rather than head count data. Different projections for 2019 are requested for FTE contact and distance students.

Section E: Staff

Tables 9 and 10 must reflect broad summaries of actual and projected staff numbers. The projected totals must give as realistic a picture as possible of what staff changes could occur in the new university during 2015-19.
CHAPTER 3: INTERIM COUNCIL, COUNCIL AND GOVERNANCE
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1. INTRODUCTION

It is common knowledge that many South African higher education institutions are currently facing huge challenges with regard to governance and management. This compelled the Minister of Higher Education and Training (Minister) to intervene and appoint Administrators to a number of institutions with a view to restoring good governance and management. The success of higher education institutions to a large extent rests on accountable and effective governance and management.

i. Challenge for New Universities

The above reality applies equally to the establishment of new universities. The challenge, however, is to ensure good governance and management while the governance and management structures of the new institutions themselves are being established. A vacuum in governance and management at any stage during the process of establishing the new institutions may result in fruitless expenditure and an undermining of the core functions of the institutions from the outset.

Executing governance and management responsibilities within the envisioned environment of newly established institutions would also assume a special approach and flexibility with regard to compliance with accepted governance and management principles and practices. Compliance with the governance principles embedded in the various King Reports would for instance be strongly facilitated by the competencies and skills of the members of the Interim Council and the Council’s preparedness to seek technical and professional advice externally.

Another example would be the execution of the duty of the Interim Council as contemplated in section 20 (11) of the Higher Education Act, 1997, as amended (Act). Any decision of the Interim Council which may affect the right of any structure may only be taken after consultation with that structure. Reality is that the Interim Council and Interim Management Body will from the outset be required to take decisions affecting structures that are not yet established.

ii. Smooth Transition
The statutory framework applicable to the establishment of new institutions provides for the initial appointment of interim governance and management structures. In the interest of continuity and growth, appointments in the respective capacities should be done with a view to ensuring optimal and relevant competency and skills capacity and a smooth transition from one set of governance and management structures to the next.

The continued effective and efficient functioning of the institution is paramount. To ensure continuity the Interim Council should develop the conditions of service of members of the Interim Management Body such that the Council constituted in accordance with the Standard Institutional Statute would acquire an option to extend the appointment of incumbents beyond the term of the Interim Council. Care should however be taken not to create expectations with incumbents that would compromise the position of the Council procedurally or otherwise.

### iii. The Mandate and Focus of Interim Councils

It goes without saying that the Interim Councils of the newly established institutions need to comply with the prescripts of the Act. These are described in section 20 (6) and (9) to (11) of the Act and pertain to the governance of the institution, appointing members of the Interim Management Body and the co-option of a certain number of such members on the Interim Council (without voting rights), ensuring the constitution of a Council in accordance with the provisions of the Standard Institutional Statute and to ensure that such other structures as may be determined in the Standard Institutional Statute are constituted and appropriately consulted.

Without limiting the general governance responsibilities of the Interim Council or providing a conclusive list of the responsibilities of the Interim Council as contemplated in the Act, the Interim Council should focus on the following:

- Developing and approving a Code of Conduct for the Interim Council and the Interim Management Body;
- Establishing appropriate Interim Council Committees and developing Council delegations;
- Developing and approving an interim management model and structure;
• Developing appropriate processes and procedures for the selection and appointment of members of the Interim Management Body;
• Appointing the members of the Interim Management Body;
• Developing and approving the annual budget of the institution;
• Developing and approving a staff establishment for the institution and policies and procedures with regard to the recruitment and appointment of staff;
• Determining conditions of service for employees;
• Deciding on a disciplinary code and rules for students and employees;
• Developing a physical and infrastructure master plan for the institution;
• Planning and providing facilities and infrastructure as needed in accordance with institutional priorities and needs;
• Developing policies and procedures with regard to the various core and support functions and operations of the institution;
• Planning and developing the processes, procedures and timeframes for the appointment of a Council in accordance with the Standard Institutional Statute;
• Taking appropriate steps to constitute the Senate, the Institutional Forum and other structures and electing and appointing officials as contemplated in the Standard Institutional Statute, as and when appropriate;
• Taking appropriate steps to constitute a student services body and a student and residence governance dispensation in accordance with the Act and the Standard Institutional Statute;
• Developing a provisional admissions policy;
• Agreeing on the fee structure and terms of payment;
• Deciding on criteria and processes for financial aid and student loans; and
• Determining the provisional language policy of the institution in consultation with the Senate, when established.

It would also serve the Interim Council and its successor in title well if it would develop, in concert with the Interim Management, an institutional operational plan with predetermined objectives and strategies. The Interim Council shall be assisted in this regard by a risk profile of the institution, institutional strategic aspirations and priorities, and a medium term scenario with regard to resource provision and mobilisation.
Executing its mandate successfully within the statutory time allowed for the existence of the Interim Council would require of the Interim Council to remain focussed, be disposed of appropriate competencies and skills and properly advised and supported by the Interim Management Body, the Department of Higher Education and Training and/or external advisors.

Different from the recent experience of the sector with regard to mergers, the Interim Council of a newly established institution is not burdened with the naming and the categorisation of the institution and the concomitant processes. In accordance with the Act the notice by the Minister in terms of section 20(1) and (3) must, inter alia, determine the type and name of the institution. Aforementioned are potentially contentious issues and are of great importance as they determine at a very early stage already the identity and positioning of the institution.
NEW UNIVERSITY POLICY

2. APPOINTMENT AND FUNCTION OF INTERIM COUNCIL

POLICY REFERENCE: G001

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2.1. Appointment and function of the interim council

In terms of the Higher Education Act, 1997, as amended (Act), the Minister of Higher Education and Training (Minister) may, after consulting the Council for Higher Education, by notice in the Gazette and from money appropriated for this purpose by Parliament, establish a university, technikon or college. Every public higher education institution established, deemed to have been established or declared as a public higher education institution under the Act, is a juristic person.

The Minister must establish an Interim Council for a period not exceeding six months, to perform the functions relating to the governance of the institution, except the making of an institutional statute. The Minister may extend the initial period once for a further period not exceeding six months.

The members of the Interim Council are appointed by the Minister and consist of-

i. the Chairperson; and

ii. four other members.

The Interim Council must co-opt three members of the interim management appointed by the Interim Council. These co-opted members have no voting powers.
Apart from performing the functions relating to the governance of the institution, the Interim Council must in particular-

i. appoint an interim body to manage the day-to-day activities of the institution;

ii. ensure that a council is constituted in terms of the Standard Institutional Statute contemplated in section 33(3) of the Act; and

iii. ensure that such other structures as may be determined in the Standard Institutional Statute contemplated in section 33(3) of the Act are constituted.

2.2. Competency and skills profile: interim council

Due to the scarce and sometimes unique combination of skills required as well as the size and term of office of the Interim Council, the Council will be obliged to secure access to appropriate external expertise and experience. The capacities and skills within the Departments of Higher Education and Training and of Science and Technology and the tertiary education sector in general, should be available to assist the newly established institutions.

The competency and skills profile of the interim Council should also be supplemented through the competency profiles developed for the management portfolios of the members of the Interim Management Body.

Based on the role and function of the Interim Council to effect the establishment and governance of the newly established university, an ideal competency and skills profile for the Council could include the following:

Chairperson:

i. Appropriate public profile and stature in education, business or public office with experience and knowledge of governance at board level;

ii. The ability to represent the institution in the public domain;

iii. Strong and inspiring leadership qualities and the ability to provide focused leadership to the Interim Council and the Interim Management Body;

iv. Sound human relations;

v. One or more of the competencies and skills specified for members of the Interim Board;
vi. Sound knowledge and understanding of the current higher education dispensation and envisaged future developments; and

vii. A high level understanding of the human resource provision needs of the country within the knowledge and technology driven economy and the role of the newly established institutions in this regard.

Members of the Interim Council:

i. High level knowledge of and experience in governance and management;

ii. Knowledge of and experience in human resource provision, development and management, especially within the higher education environment;

iii. Knowledge of and experience in facilities and infrastructure planning, provision and management, especially within the tertiary education environment;

iv. High level knowledge of academic, administrative and financial models and procedures applicable to higher education institutions;

v. Knowledge of and experience in the audit and risk function, preferably within a tertiary education institution;

vi. Knowledge of the development and implementation of investment policies and strategies;

vii. High level knowledge of the core functions of a tertiary institution and the strategic planning and management thereof;

viii. Knowledge of the student affairs (including student housing and food provision) function;

ix. High level understanding of and commitment to transformational imperatives for the higher education sector; and

x. Project and change management skills.
NEW UNIVERSITY POLICY

3. CODE OF CONDUCT AND RELATED GUIDELINES: INTERIM COUNCIL AND COUNCIL

POLICY CODE & NUMBER: G 002

Name of Originator | C de Beer | Name of VC
--- | --- | ---
Approved by QC | Approved by Legal Div
Policy code and number | G 002 | Approved by Registrar
Date sent to VC | Approved by VC
Date sent to Council | Approved by Council

3.1. Preamble

WHEREAS upholding the principles of good and corruption free governance are essential in a public institution such as the New University; and

WHEREAS the Minister of Higher Education and Training subscribes to such principles as an integral part of the value framework of the New University; and

WHEREAS the Minister of Higher Education and Training expects members of the Interim Council to embrace the said value framework for the New University; and

WHEREAS the Minister of Higher Education and Training and the Department of Higher Education and Training, with due observance of the relevant legal frameworks and the expectations of stakeholders developed and approved this Code of Conduct with a view to guiding members of the Interim Council in conceptualising the essence of the value framework envisaged for the New University;

THE INTERIM COUNCIL of the New University herewith adopts this Code of Conduct for its members with the expectation that members of the Interim Council will sign and subscribe to the values encapsulated therein.
3.2. Definitions

Unless the context indicates otherwise –


“blood relative” means a child, a parent, a brother, a sister, a cousin, an uncle, an aunt, a nephew, a niece and includes kinship through adoption;

“business association” means any business association, formal or informal, which involves a member of the Interim Council or an employee of the University;

“conflict” means any situation in which an individual or corporation (private, public) is in a position to exploit a professional or official capacity in some way for their personal or corporate benefit;

“employee” means a person in the employ of the New University;

“Management” means the Interim Management Body appointed by the Interim Council as contemplated in section 20(10)(a) of the Act;

“family friend” means a person with whom an employee or his blood relatives have a relationship that is of such a nature that disclosing the relationship is justified where the member of the Interim Council acts on behalf of the University;

“gift” means any item, service, or benefit with a monetary value and includes (but is not limited to) money, food, a vacation, any form of recreation, accommodation, discount on any goods or service, “kickbacks” or “spotter’s fees”;

“husband or wife” means a spouse in a marriage concluded in accordance with common or indigenous law and includes partners in a cohabitation or similar relationship;

“immediate family” means a husband or wife, a blood relative and a relative by marriage;
“interest or involvement” means an interest or involvement as owner, director, shareholder, partner, member, manager, trustee, beneficiary, administrative officer, adviser, consultant, agent, staff member in any enterprise, association or other formal or informal business relationship or venture;

“Interim Council” means the Interim Council appointed by the Minister of Higher Education and Training for the newly established university in terms of section 20 (6) of the Higher Education Act, 1997, as amended;

“person” includes a company, co-operative, close corporation, trust, partnership, one-person business and any other entity, formal or informal, used to conduct business;

“relative by marriage” means the husband or wife of a blood relative;

“University” means the New University.

3.3. Context and application

i. This Code applies to members of the Interim Council, committees of the Interim Council and all other persons who exercise functions of the Interim Council in terms of delegated authority.

ii. In accordance with the Higher Education Act, 1997, as amended, the Interim Council of the University performs the functions relating to the governance of the institution which would inter alia also include a general supervisory role in respect of academic and operational matters, institutional policy and strategy.

iii. The aim of this Code is to give effect to the mandate of the Interim Council and to assist the Interim Council, its committees and members, in the execution of their responsibilities through an institutional value framework and sound governance and business practices.

iv. It is expected of members of the Interim Council to subscribe to this Code when they assume their positions on the Interim Council.
v. The behaviour expected of members of the Interim Council in terms of this Code does not amend or replace the behaviour expected of them by any law (see clause 13 below), but is supplementary thereto.

vi. The Chairperson of the Interim Council and individual members of the Interim Council are jointly and separately authorised by the Interim Council and the Minister of Higher Education and Training to monitor compliance with this Code.

vii. The Chairperson of the Interim Council, and in his/her absence, the Acting Chairperson of the Interim Council (or when the Chairperson or Acting Chairperson is implicated, the Minister), must take any action sanctioned by this Code and applicable legislation against members of the Interim Council and/or its committees contravening the provisions of the Code and applicable legislation.

3.4. General principles

i. Members of the Interim Council shall always act in good faith and in the best interest of the New University.

ii. The behaviour referred to in clause 3.1 above compels members of the Council to:

- participate in the deliberations of the Interim Council in the best interest of the University;
- command the knowledge and experience relevant to the objects and governance of the University;
- declare, before assuming office, any business, commercial or financial activities undertaken for financial gain that may raise a conflict or a possible conflict of interest with the University and should such activities arise after assuming office, declare such as soon as possible as determined in this Code and applicable legislation;
refrain from placing themselves under any financial or other obligation to any individual or organisation that might seek to influence the performance of any function of the Interim Council or its committees;

prevent situations where a conflict of interest with the University could arise and, should a conflict develop, to declare such in accordance with this Code and applicable legislation;

inform, before a meeting of the Interim Council or of a committee of the Interim Council, and in writing, the Chairperson of the meeting of any direct or indirect financial, personal or other interest in any matter to be discussed at a meeting (of the Council or any of its committees with delegated functions) and which entails or may entail a conflict or possible conflict of interest with the University and to recuse themselves from the meeting (of the Council or committee of Council with delegated functions) during the discussion of the matter and the voting thereon. A committee of Council with delegated functions may not take a decision on a matter considered by it if any member of the committee has a conflict of interest as contemplated in this Code or any applicable legislation;

refrain from soliciting, accepting or receiving any benefit other than benefits they are entitled to in accordance with the remuneration and benefits for members of the Interim Council.

prevent any relationship with a student, or group of students, that constitutes an undue or unsolicited interference in the business or operations of the University or results in an unprofessional relationship, of whatever nature, with a student or group of students, or constitutes a contravention of the provisions of any Act.

3.5. Appointment and promotion of employees

i. Decisions on the appointment and promotion of employees and related matters shall be made objectively by the Interim Council, delegated Council committees, the Interim Management Body appointed to manage the day-to-day activities of the institution (see section 20(10)(a) of the Act) and any other authorised official with due observance of the key performance outputs associated with a particular appointment or promotion.
ii. Members of the Interim Council and Interim Council committees shall commit themselves to upholding the principles of good governance and natural justice and to comply with legislative prescripts in all decisions affecting employees, prospective employees and Service Providers.

iii. The chairperson of a Selection Committee and the designated Human Resources Officer shall alert members of a Committee to the provisions of applicable legislation, the Statute, the Rules and any other policy guideline of the University and shall monitor the activities of the Committee with the view to ensuring full compliance therewith.

iv. A member of a Selection Committee must recuse him/herself from the Committee if a candidate appearing before the Committee qualifies in accordance with this Code as a husband or wife, blood relative, relative by marriage or family friend.

v. All documents, information and discussions pertaining to the functioning and decisions of a Selection Committee shall be treated as confidential.

vi. It is not permitted to appoint or to promote a person qualifying in accordance with this Code as a husband, wife, blood relative, or relative by marriage to a position where such a person will become the subordinate or superior of an employee, save where this relationship is disclosed in writing to the Chairperson of the Interim Council or the Council committee with delegated authority and the responsible Chairperson explicitly approves such appointment or promotion.

vii. Where the appointment or promotion contemplated in clause 4.6 above, would result in financial reporting between such individuals, no appointment may be made, unless the Audit and Risk Committee of the Council has explicitly approved appropriate measures to reduce the risks associated with such an appointment.

viii. A member of a Selection Committee must disclose, before the start of a session, any business association or other relationship which he or she has with a candidate, after which the chairperson of a Selection Committee shall decide whether the member should recuse him/herself or not. The Chairperson will be guided in this decision by the provisions of this
Code, the provisions of applicable legislation, general legal principles and practice, and principles of good governance.

ix. Members of Selection Committees must confirm in writing that a candidate does not qualify as a husband, wife, blood relative, relative by marriage or family friend of the member, as contemplated in this Code, and that the member of the Committee does not have a business association or other relationship with the candidate.

x. A member of a Selection Committee must withdraw from a Committee if he/she is involved in a disciplinary hearing or grievance procedure with a candidate, in whichever capacity, which at the time of the appointment or promotion is still incomplete or unresolved.

3.6. Policy on conflict of interest

i. The University shall not enter into a business relationship, especially any purchasing contract, with a member of the Interim Council, or his/her immediate family.

ii. Acquisitions from a business or entity, directly or indirectly, in which a member of the Interim Council has a direct or indirect interest are prohibited, unless full disclosure of the interest takes place to the Chairperson of the Interim Council or the Chairperson of a committee of the Interim Council with delegated authority, as applicable, and the relevant decision-making authority at the University before the acquisition takes place. The Chairperson of the Interim Council or the relevant committee of the Interim Council, will ascertain whether the planned acquisition would impact negatively on the University’s subscription to the value framework imbedded in this Code and/or undermine principles of good governance and/or constitute a breach of University policy and/or constitute a contravention of statutory provisions, in which case the acquisition shall not be allowed.

iii. Members of the Interim Council must act in the best interest of the University when representing the University in consultations and negotiations with current or prospective clients, suppliers, contractors or consultants.
iv. A member of the Interim Council should prevent any situation where his/her personal interest raises, or may raise, a conflict of interest with the University, or where such interest has or may have an impact on the ability of the member of the Interim Council to act objectively and without preference and in the best interest of the University.

v. When a conflict of interest exists, or develops, a member of the Interim Council must recuse him/herself from the relevant decision-making process and, in the instance of existing relationships, declare such conflict without delay. The University may decide to take appropriate steps to end existing relationships should it be of the opinion that the continuation thereof will constitute a breach of this Code or non-compliance with the provisions of any Act, the Statute, the Rules or policy of the University.

3.7. Compliance with procurement and related policies

i. The Procurement Policy of the University as approved by the Interim Council and related constitutional and legislative provisions must be adhered to (see clause 13 below).

ii. Members of the Interim Council are not allowed to participate in or influence the procurement processes of the University.

iii. Members of the Interim Council and employees involved in any relationship, as contemplated in this Code or any legislative provision, with a person or entity with whom the University has entered or contemplate to enter into a contract or business relationship, must declare this interest annually or, as necessary, in between, in the format prescribed by the Interim Council.

3.8. Policy relating to gifts and donations

i. A gift or donation to the University may be received on behalf of the University by the Chairperson of the Interim Council or with his or her approval by a member of the Interim Council or a member of the Interim Management Body. Gifts and donations must be handed
over to the University as soon as possible and recorded in the Gifts Register of the University kept in the office of the member of the Interim Management Body responsible for finances.

ii. Where the University receives a gift or donation all the terms and conditions attached to the gift or donation must be declared by the donor and the involved member of the Interim Council or Interim Management Body.

iii. If acceptance of a gift or donation could be prejudicial to the good name of the University or compromise its value framework or the ability of the University, members of the Interim Council or any of its officials to decide objectively on University matters, it must be refused.

iv. No gift or donation (including a cash donation of any monetary value) may be accepted by a member of the Interim Council in a private capacity from any former, current or prospective supplier, subcontractor, consultant or student of the University unless declared by the member in advance and approved by the Chairperson of the Interim Council (and in the case of the Chairperson of the Interim Council, the Minister). The Chairperson of the Interim Council (or the Minister) shall not approve such a gift or donation if the perception may arise that the gift or donation will or might lead to preferential treatment for such supplier, subcontractor, consultant or student.

v. The provisions of clause 7.4 above are also applicable to a gift or donation from a current or prospective supplier, subcontractor, consultant or student of the University to the husband or wife, blood relative, relative by marriage or family friend of an employee or to an entity in which a member of the Interim Council has an interest or involvement.

vi. A gift to a member of the Interim Council must, before final acceptance, be disclosed on the prescribed form and submitted to the Chairperson of the Interim Council (or the Minister) for approval.

vii. The Chairperson of the Interim Council shall consult with the Interim Management Body before approving the acceptance of gifts and donations to the University, provided that the acceptance of gifts and donations with terms and conditions attached to them or which
would result in additional workload for employees or require additional support and infrastructure must be supported by the Interim Management Body.

viii. The receipt of a sponsorship, endowment or donation from any supplier, subcontractor or consultant by a member of the Interim Council on behalf of a third party is, with the necessary changes, governed by the provisions of this Code.

3.9. **Improper influence and bribery**

i. Members of the Interim Council may not bribe or improperly influence, or attempt to influence any person in a decision-making position regarding University matters.

ii. A member of the Interim Council may not create the impression that he/she has the power to influence procedures and decisions with regard to the appointment or promotion of employees, admission of students, the conferment/awarding of degrees or diplomas, the procurement of services, the concluding of contracts, the awarding of tenders or any other related matter.

iii. Members of the Interim Council may not extort a bribe from an employee or any other person for whatever purpose.

iv. Members of the Interim Council must report to the Chairperson of the Interim Council, without delay, any attempt by a person to bribe or to improperly influence him or her.

3.10. **Dissemination of information**

i. A member of the Interim Council may not impart or divulge, without the permission of the Chairperson of the Interim Council, confidential information such as, but not limited to, business strategies, pending contracts, procurement of services, research results and access restricted information about students and employees to any person or entity not entitled to such information.
ii. Members of the Interim Council may not use University information for own personal gain.

iii. It is incumbent on the University to inform members of the Interim Council appropriately of the Rules and policies of the University and on members of the Interim Council to acquaint themselves with the contents thereof. Members of the Interim Council could be requested to indicate in writing whether they subscribe to the Rules and policies.

3.11. Dispute resolution

i. Any member of the Interim Council who is dissatisfied with the outcome of any application or request in terms of this Code, may submit a presentation to the Minister for a revision of the outcome.

ii. The decision of the Minister on the matter will be binding.

3.12. Breach

i. Breach of applicable provisions of this Code by members of the Interim Council may, after the Interim Council has followed due process:

   ii. lead to a decision of the Interim Council requesting the resignation of such a member;

   iii. in the instance of a breach of clause 3.4 ii, suspension from attending a meeting, or disqualification as a member of the Interim Council or a member of a committee of the Interim Council; and/or

   iv. any other appropriate action by the Interim Council or any individual required by law.

v. Failure on the part of the University to take appropriate steps against a member of the Interim Council for the breach or alleged breach of the provisions of the Code shall not be interpreted as an endorsement of such breach or a waiver of rights.
vi. Any practice contrary to the provisions of this Code must upon discovery thereof be terminated immediately.

3.13. Procedures for declarations

i. Each member of the Interim Council, each member of a committee of the Interim Council and each person who exercises functions of the Interim Council in terms of delegated authority, must declare their conflicts of interest as contemplated in this Code and applicable legislation annually, or, as necessary, in between.

ii. The Interim Council shall determine rules and procedures for the regular declaration of interests by its members.

3.14. Statutory provisions

i. The provisions of this Code must be read with the provisions of the Constitution, other relevant legislation and the Statute which have precedence over the Code.

ii. *Annexure A* to this Code, which forms an integral part thereof, contains *extracts* from the Constitution and relevant legislation. The aim with this annexure is to bring these provisions (without excluding others) specifically to the attention of members of the Interim Council.

3.15. Date of commencement

This Code will come into effect on the date of approval by the Interim Council. This date of commencement will, however, have no effect on the commencement dates of any legislation or policy guideline.
CONFIRMATION

Member of the Interim Council

I……………………………………………………. wish to confirm that I have read the provisions of this Code and that I, in my capacity as a member of the Interim Council, subscribe to the value framework embedded in this Code.

------------------                                               ----------------
SIGNATURE                                                DATE
ANNEXURE A

1. The Constitution

1.1 The Constitution of the Republic of South Africa, 1996, as amended (“the Constitution”), is the supreme law of South Africa taking precedence over all other acts and legislation.

1.2 Section 217 of the Constitution provides that, “(1) When an organ of state in the national, provincial or local sphere of government, or any other institution identified in national legislation, contracts for goods or services, it must do so in accordance with a system which is equitable, transparent, competitive and cost-effective”.

2. The Higher Education Act

2.1 The Higher Education Laws Amendment Act, 2011 was published in the Government Gazette of 14 December 2011. Section 27 of the existing Higher Education Act, 1997 (HE Act) is amended as follows by substituting section 27(7) with the following:

“A member of a council –

(a) must be a person with knowledge and experience relevant to the objects and governance of the public higher education institution concerned;

(b) must participate in the deliberations of the council in the best interests of the public higher education institution concerned;

(c) must, before he or she assumes office, declare any business, commercial or financial activities undertaken for financial gain that may raise a possible conflict of interest with the public higher education institution concerned;

(d) may not place himself or herself under any financial or other obligation to any individual or organisation that might seek to influence the performance or any function of the council; and

(e) (i) may not have a conflict of interest with the public higher education institution concerned;

(ii) may not have a direct or indirect financial, personal or other interest in any matter to be discussed at a meeting and which entails or may entail a conflict or possible conflict of interest with the public higher education institution concerned;
(iii) must, before the meeting and in writing, inform the chairperson of that meeting of that conflict or possible conflict of interest;...”

2.2 The language used in subparagraphs (c) to (e) (i) to (iii) is peremptory, namely “must”, “may not” and “is obliged”. Members of Council and Council Committees do not have discretion in this regard. Any interest as envisaged in this section must in accordance with the ordinary and grammatical meaning of the words of the Act, be declared as stipulated.

2.3 Section 34 of the HE Act (‘Appointment and conditions of service of employees of public higher education institutions’) is amended by way of insertion of the addition of subsections (4) and (5):

“(4) An employee must in writing-

(a) before he or she assumes office, declare any business that may raise a conflict or possible conflict of interest with the public higher education institution concerned; and

(b) notify the public higher institution concerned of any conflict or possible conflict of interest before such public higher education institution procures any goods or services from the employee or an organisation within which the employee holds an interest.

(5) An employee may not conduct business directly or indirectly with the public higher education institution at which he or she is employed that entails or may entail a conflict of interest with the public higher education institution unless the council of such public higher education institution is of the opinion that –

(a) the goods, product or service in question are unique;

(b) the supplier is a sole provider; and/or

(c) it is in the best interest of the institution.

(6) An employee may not on behalf of that public higher education institution contract with himself or herself or any entity in which he or she has a direct or indirect financial or personal interest.

(7) Contracting referred [to] in subsection (6) relates to conduct that is aimed at receiving any direct or indirect personal gain that does not form part of the employment relationship contemplated in subsection (1).”

3. PRECCA
3.1 Prevention and Combating of Corrupt Activities Act No 12 of 2004 ("PRECCA") predominantly deals with the offence of corruption. The general offence of corruption is detailed in Section 3 of PRECCA. In essence the general offence of corruption includes three elements, namely, a giver, an acceptor and a gratification.

3.2 Section 1 of PRECCA defines “gratification” as:

“(a) money, whether in cash or otherwise;
(b) any donation, gift, loan, fee, reward, valuable security, property or interest in property or any description, whether movable or immovable, or any other similar advantage
(c) the avoidance of a loss, liability, penalty, forfeiture, punishment or other disadvantage;
(d) any office, status, honour, employment, contract of employment or services, any agreement to give employment or render services in any capacity and residential or holiday accommodation;
(e) any payment, release, discharge or liquidation of any loan, obligation or other liability, whether in whole or in part;
(f) any forbearance to demand any money or money's worth or valuable thing;
(g) any other service or favour or advantage of any description, including protection from any penalty or disability incurred or apprehended or from any action or proceedings of a disciplinary, civil or criminal nature, whether or not already instituted, and includes the exercise or the forbearance from the exercise of any right or any official power or duty;
(h) any right or privilege;
(i) any real or pretended aid, vote, consent, influence or abstention from voting; or
(j) any valuable consideration or benefit of any kind, including any discount, commission, rebate, bonus, deduction or percentage”.

3.3 Section 3 of PRECCA defines corruption as, “Any person who directly or indirectly-

(a) accepts or agrees or offers to accept any gratification from any other person, whether for the benefit of himself or herself or for the benefit of another person; or
(b) gives or agrees or offers to give to any other person any gratification, whether for the benefit of that other person or for the benefit of another person, in order to act, personally or by influencing another person so to act, in a manner-

(i) that amounts to the-

(aa) illegal, dishonest, unauthorised, incomplete, or biased; or
misuse or selling of information or material acquired in the course of the exercise, carrying out or performance of any powers, duties or functions arising out of a constitutional, statutory, contractual or any other legal obligation;

(ii) that amounts to-

(aa) the abuse of a position of authority;

(bb) a breach of trust; or

(cc) the violation of a legal duty or a set of rules.

(iii) designed to achieve an unjustified result; or

(iv) that amounts to any other unauthorised or improper inducement to do or not to do anything.

is guilty of the offence of corruption”.

3.4 Section 3 of PRECCA sets out the circumstances in terms of which a person or body would be guilty of the offence of corruption. By way of summary, a person or body is guilty of the offence of corruption where the giving and/or accepting of the gratification inter alia amounts to any “unauthorised or improper inducement to do or not to do anything”.

3.5 Section 12 of PRECCA deals with corrupt activities relating to contract and provides, inter alia, that, “Any person who, directly or indirectly-

(a) accepts or agrees or offers to accept any gratification from any other person, whether for the benefit of himself or herself or for the benefit of that other person or of another person; or

(b) gives or agrees or offers to give to any other person any gratification, whether for the benefit of that other person or for the benefit of another person.

(i) in order to improperly influence in any way-

(aa) the promotion, execution or procurement of any contract with a public body, private organisation, corporate body or any other organisation or institution; or

(bb) the fixing of the price, consideration or other moneys stipulated or otherwise provided for in any such contract; or

(ii) as a reward for acting as contemplated in paragraph (a).

is guilty of the offence of corrupt activities relating to contracts”.

3.6 Section 17 of PRECCA deals with offences relating to acquisition of private interests in a contract or agreement with a public body. It provides that:
“(1) Any public officer who, subject to subsection (2), acquires or holds a private interest in any contract, agreement or investment emanating from or connected with the public body in which he or she is employed or which is made on account of that public body, is guilty of an offence.

(2) Subsection (1) does not apply to:

(a) a public officer who acquires or holds such interest as a shareholder of a listed company;

(b) a public officer, whose conditions of employment do not prohibit him or her from acquiring or holding such interest; or

(c) in the case of a tender process, a public officer who acquires a contract, agreement or investment through a tender process and whose conditions of employment do not prohibit him or her from acquiring or holding such interest and who acquires or holds such interest through an independent tender process”.

3.7 Section 34 of PRECCA places a statutory reporting obligation on any person who holds a position of authority who knows, or who reasonably ought to have known or suspected that any other person has committed an act of corruption or committed theft, fraud, extortion, forgery or uttering involving an amount of R100,000 (one hundred thousand rand) or more, to report such knowledge or suspicion to the South African Police Service. Failure to report constitutes a criminal offence and carries a penalty of a fine or imprisonment not exceeding 10 years.

4. PFMA

4.1 The Public Finance Management Act, No 1 of 1999, as amended (“PFMA”), has been enacted to regulate financial management in the national and provincial government.

4.2 The following definitions provided for in Section 1 the PFMA are relevant:

“accounting officer” means a person mentioned in section 36;

“accounting authority” means a body or person mentioned in section 49;

“fruitless and wasteful expenditure” means expenditure which was made in vain and would have been avoided had reasonable care been exercised;

“irregular expenditure” means expenditure, other than unauthorised expenditure, incurred in contravention of or that is not in accordance with a requirement of any applicable legislation, including:
(a) this Act; or
(b) the State Tender Board Act, 1968 (Act No. 86 of 1968), or any regulations made in terms of that Act; or
(c) any provincial legislation providing for procurement procedures in that provincial government.

“overspending”-
(a) in relation to a vote, means when expenditure under the vote exceeds the amount appropriated for that vote; or
(b) in relation to a main division within a vote, means when expenditure under the main division exceeds the amount appropriated for that main division, subject to section 43.

“unauthorised expenditure” means:
(a) overspending of a vote or a main division within a vote; and
(b) expenditure not in accordance with the purpose of a vote or, in the case of a main division, not in accordance with the purpose of the main division.

4.3 Section 3 of the PFMA provides that, “(1) This Act, to the extent indicated in the Act, applies to:
(a) departments; and
(b) public entities listed in schedule 2 or 3.”

4.4 Section 49 of the PFMA provides that, “(1) Every public entity must have an authority which must be accountable for the purposes of this Act.
(2) If the public entity-
(a) has a board or other controlling body, that board or controlling body is the accounting authority for that entity; or
(b) does not have a controlling body, the chief executive officer the other person in charge of the public entity is the accounting authority for that public entity unless specific legislation applicable to that public entity designates another person as the accounting authority.”

4.5 Section 50 of the PFMA provides that, “(1) The accounting authority for a public entity must:
(a) exercise the duty of utmost care to ensure reasonable protection of the assets and records of the public entity;
(b) act with fidelity, honesty, integrity and in the best interests of the public entity in managing the financial affairs of the public entity;
(c) on request, disclose to the executive authority responsible for that public entity or the legislature to which the public entity is accountable, all immaterial facts, including those reasonable discoverable, which in any way may influence the decisions or actions of the executive authority or that legislature; and

(d) seek, within the sphere of influence of that accounting authority, to prevent any prejudice to the financial interests of the state.

(2) A member of an accounting authority or, if the accounting authority is not a board or other body, the individual who is the accounting authority, may not-

(a) act in a way that is inconsistent with the responsibilities assigned to an accounting authority in terms of this Act; or

(b) use the position or privileges of, or confidential information obtained as, accounting authority or a member of an accounting authority, for personal gain or to improperly benefit another person.

(3) A member of an accounting authority must—

(a) disclose to the accounting authority any direct or indirect personal or private business interest that that member or any spouse, partner or close family member may have in any matter before the accounting authority; and

(b) withdraw from the proceedings of the accounting authority when that matter is considered, unless the accounting authority decides that the member’s direct or indirect interest in the matter is trivial or irrelevant”.

4.6 Section 51 of the PFMA provides that, “(l) An accounting authority for a public entity:

(a) must ensure that that public entity has and maintains-

(i) effective, efficient and transparent systems of financial and risk management and internal control;

(ii) a system of internal audit under the control and direction of an audit committee complying with and operating in accordance with regulations and instructions prescribed in terms of sections 76 and 77;

(iii) an appropriate procurement and provisioning system which is fair, equitable, transparent, competitive and cost-effective; and

(iv) a system for properly evaluating all major capital projects prior to a final decision on the project.

(b) must take effective and appropriate steps to-
(i) collect all revenue due to the public entity concerned; and
(ii) prevent irregular expenditure, fruitless and wasteful expenditure, losses resulting from criminal conduct, and expenditure not complying with the operational policies of the public entity; and
(iii) manage available working capital efficiently and economically;

(c) is responsible for the management, including the safeguarding, of the assets and for the management of the revenue, expenditure and liabilities of the public entity;

(d) must comply with any tax, levy, duty, pension and audit commitments as may be required by legislation;

(e) must take effective and appropriate disciplinary steps against any employee of the public entity who—
(i) contravenes or fails to comply with a provision of this Act;
(ii) commits an act which undermines the financial management and internal control system of the public entity; or
(iii) makes or permits an irregular expenditure or fruitless and wasteful expenditure;

(f) is responsible for the submission by the public entity of all reports, returns, notices and other information to Parliament or the relevant provincial legislature and to the relevant executive authority or treasury, as may be required by this Act;

(g) must promptly inform the National Treasury on any new entity which that public entity intends to establish or in the establishment of which it takes the initiative, and allow the National Treasury a reasonable time to submit its decision prior to formal establishment; and

(h) must comply, and ensure compliance by the public entity, with the provisions of this Act and any other legislation applicable to the public entity.

(2) If an accounting authority is unable to comply with any of the responsibilities determined for an accounting authority in this Part, the accounting authority must promptly report the inability, together with reasons, to the relevant executive authority and treasury.”

4.7 Section 56 of the PFMA provides that, “(1) The accounting authority for a public entity may:
(a) in writing delegate any of the powers entrusted or delegated to the accounting authority in terms of this Act, to an official in that public entity; or

(b) instruct any official in that public entity, to perform any of the duties assigned to the accounting authority in terms of this Act.

(2) A delegation or instruction to an official in terms of subsection (1):

(a) is subject to any limitations and conditions the accounting authority may impose;

(b) may either be to a specific individual or to the holder of a specific post in the relevant public entity; and

(d) does not divest the accounting officer of the responsibility concerning the exercise of the delegated power or the performance of the assigned duty.

(3) The accounting authority may confirm, vary or revoke any decision taken by an official as a result of a delegation or instruction in terms of subsection (1), subject to any rights that may have become vested as a consequence of the decision”.

4.8 Section 57 of the PFMA provides that, “An official in a public entity—

(a) must ensure that the system of financial management and internal control established for that public entity is carried out within the area of responsibility of that official;

(b) is responsible for the effective, efficient, economical and transparent use of financial and other resources within that official’s area of responsibility;

(c) must take effective and appropriate steps to prevent, within that official’s area of responsibility, any irregular expenditure and fruitless and wasteful expenditure and any under collection of revenue due;

(d) must comply with the provisions of this Act to the extent applicable to that official, including any delegations and instructions in terms of section 56; and

(e) is responsible for the management, including the safe-guarding, of the assets and the management of the liabilities within that official’s area of responsibility”.

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4. DECLARATION OF INTEREST BY MEMBERS OF COUNCIL

4.1. Context

i. In accordance with the provisions of the Higher Education Act, 1997 as amended, the Code of Conduct for members of the Interim Council and the principles of sound, transparent and accountable governance members of the Interim Council are required to declare their interests in writing in a manner prescribed by the Interim Council.

ii. Members of the Interim Council are therefore obliged to declare their interest in accordance with the above statutory and policy frameworks with regard to the following:

- Financial interests and fiduciary roles, the latter to include but not limited to offices, directorships of companies, memberships of close corporations and trusteeships;
- The financial interests and fiduciary roles of the members of his or her immediate family;
- Membership of other councils and management bodies; and
- Involvement in businesses or enterprises providing services or goods to the University, or conducting business with the University.

iii. Each member of the Interim Council must complete the attached prescribed form, which must be submitted at or as soon as possible after his/her first meeting of the Interim Council and regularly thereafter as required.
iv. The completed forms shall be kept on file by the Secretariat of the Interim Council and shall constitute the University’s Register of Interests.
DECLARATION OF INTERESTS

FULL NAMES: .............................................................................................................................................
ID: ........................................................................................................................................................
BUSINESS ADDRESS: ............................................................................................................................... 
RESIDENTIAL ADDRESS: ........................................................................................................................... 
..............................................................................................................................................................
Tel (W): .............................................................. Tel (H): .................................................................

With due knowledge and consideration of the provisions of the Higher Education Act, 1997 as amended, the Statute and the Code of Conduct for members of the Interim Council, I declare my interests as set out below. I herewith confirm that the information provided below is, to the best of my knowledge, accurate and complete.

............................................................... .................................................................
SIGNATURE DATE

..............................................................................................................................................................
SCHEDULE

1. Financial interests and fiduciary roles (see paragraph 2.1 above)

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<tr>
<th>NAME OF COMPANY/ENTERPRISE</th>
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2. Membership of other councils and management bodies (see paragraph 2.3 above)

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3. Involvement in businesses or enterprises conducting business with the University (see paragraph 2.4 above)

__________________________________________________________________________
__________________________________________________________________________
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4. The financial interests and fiduciary roles of immediate family (see paragraph 2.2 above)
5. CHARTER OF THE EXECUTIVE COMMITTEE OF COUNCIL

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<th>Name of Originator</th>
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<th>Name of VC</th>
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5.1. Role of the executive committee of the interim council

The New University was established by the Minister of Higher Education and Training in terms of section 20 of the Higher Education Act, 1997, as amended. An Interim Council was established by the Minister for the New University to perform the functions relating to the governance of the institution.

Executing its governance and other responsibilities, contemplated in sections 20(6) and 20(10) of the Act respectively, in accordance with accepted principles of good governance and management necessitates the Interim Council to establish an Executive Committee that may perform the functions of the Interim Council with regard to urgent matters and matters delegated to the Executive Committee by the Interim Council.

5.2. Powers of the executive committee

i. The Executive Committee of the Interim Council executes the powers invested in it by the Interim Council;
ii. When the Interim Council is not in session, the Executive Committee assumes the authority of the Interim Council and may perform the functions of the Interim Council with regard to urgent matters;

iii. “Urgent matter” means a matter, which, if not addressed before the next ordinary or special meeting of the Interim Council, could cause irreversible harm or prejudice to the University, its employees or students;

iv. The Executive Committee reports regularly to the Interim Council on its decisions and actions, provided that all decisions and actions taken by the Executive Committee in terms of subparagraph 2.2 shall be submitted to the next meeting of the Interim Council for ratification. Any other decision, action or recommendation of the Executive Committee may be ratified, amended or rejected by the Interim Council;

v. The Executive Committee considers all recommendations of the committees of the Interim Council, the Interim Management Body and the structures constituted by the Interim Council as contemplated in the Standard Institutional Statute (when constituted) before submitting them, with its recommendations, to the Interim Council. The Executive Committee may refer any matter back to any Interim Council committee, the Interim Management Body or the structures constituted by the Interim Council. The Executive Committee may refer any matter which it deems necessary to said committees, Interim Management Body or structures. Matters requiring the urgent attention of Council, as determined by the Interim Vice-Chancellor, may be submitted to the Interim Council directly; and

vi. The Executive Committee deals with any other matter delegated to it by the Interim Council. The Executive Committee may further delegate the authority granted to it by the Interim Council to a committee of the Interim Council, to the Interim Vice-Chancellor or to an individual, except in cases where the Act, the Standard Institutional Statute or the Rules prescribes differently or the Interim Council has explicitly ruled against further delegation.
5.3. Composition of the executive committee of the interim council, procedures and meetings

i. The Executive Committee of the Interim Council comprises the Chairperson of the Interim Council, one other member of the Interim Council designated by the Interim Council and the Interim Vice-Chancellor;

ii. The Executive Committee meets monthly on a date determined by the Chairperson of the Interim Council;

iii. The Chairperson of the Executive Committee or the Interim Vice-Chancellor is entitled to call an extraordinary meeting of the Executive Committee;

iv. The provisions with regard to agendas, minutes of meetings and procedures for meetings as they apply to the Interim Council will apply with the necessary changes to the Executive Committee. The quorum for the meetings of the Executive Committee is two (2) members; and

v. In addition to standard meeting procedures, video conferencing as well as other generally accepted electronic methods of communication which will facilitate meaningful participation by all members may be used. Members participating in the meeting through electronic methods of communication are deemed present at the meeting.

5.4. Term of office

The term of office of the members of the Executive Committee coincides with the term of office of the Interim Council.
5.5. Definition

In this Charter the term “University” includes the following: any substructure of the University as well as any other body or entity functioning under the auspices of the University.

5.6. Status

The Charter of the Executive Committee has the status of Rules of the New University.
6. CHARTER OF THE AUDIT AND RISK COMMITTEE OF COUNCIL

POLICY CODE & NUMBER: G 011

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6.1. Role of the audit and risk committee

i. The Audit and Risk Committee is a committee of the Interim Council of the New University established by the Minister of Higher Education and Training in terms of section 20 of the Higher Education Act, 1997, as amended. The Interim Council was established to perform the functions relating to the governance of the institution. Executing its governance responsibilities in accordance with accepted principles of good governance necessitates the Interim Council to establish an Audit and Risk Committee.

ii. The primary role of the Audit and Risk Committee is to

- ensure that the Interim Management Body of the University contemplated in section 20(10) takes proper steps to safeguard the assets of the University;

- ensure that the accounts of the University are continually kept up to date in order to provide a reasonable reflection of the University’s financial and cash flow position, as well as its income and expenditure;
• ensure that business risks are continually assessed and that effective internal control systems are developed and implemented so as to minimise material risks and prevent losses;

• establish an effective communication channel between the Interim Council, Interim Management, the Internal Audit Function and the External Auditors;

• ensure on behalf of the Interim Council, that the Interim Management of the University has a proper risk management framework in place for managing significant risks facing the University;

• review the risk management process and the significant risks facing the University;

• report to the Interim Council on its risk management responsibilities; and

• comply with the provisions of section 41 of the Higher Education Act, 1997, as amended.

6.2. Purpose of the audit and risk management committee

The primary purpose of the Audit and Risk Committee is to assist the Interim Council in discharging its duties relating to the safeguarding of assets, the operation of adequate systems, control processes and the preparation of accurate financial reporting and statements in compliance with all legal requirements and accounting standards. The Committee should also ensure that the Interim Management has a proper risk management framework in place to continually assess business risks and develops and implements effective internal control systems to minimise material risks and prevent losses and to ensure that the University acts with integrity in respect of financial transactions and reports.

6.3. Powers

i. The Audit and Risk Committee has the power to interview executive members, employees and advisors of the University, to liaise directly with internal and external auditors and,
where necessary, to investigate any matter without encroaching on the management processes of the University or becoming involved in the day-to-day management of the University.

ii. Any of the persons mentioned in paragraph i above may request interviews with the Audit and Risk Committee.

iii. The Audit and Risk Committee has unrestricted access to records and information and is empowered to obtain, with the prior permission of the Interim Council, the resources required for the execution of its mandate.

6.4. Responsibility

The Audit and Risk Committee is responsible for the following:

i. Internal control system, financial control, accounting systems and reporting
   • assessment of the financial annual report before it is submitted to the Interim Council for approval, with a view to determining whether sound accounting practices were observed and whether the statements comply with the requirements set in the Higher Education Act, 1997, as amended, and accounting standards;

   • assessing the appropriateness of the accounting policies applied in the preparation of the annual financial statements;

   • assessing abnormal items and the disclosure thereof;

   • assessing material adjustments that have to be made as a result of the audit;

   • assessing whether, within the financial environment, the University has complied with all statutory requirements, specifically section 41 of the Higher Education Act, 1997, as amended;
• evaluating internal control systems so as to ensure that business and financial risks are attended to in all material respects; and

• assessing the policies and procedures instituted by the Interim Management to ensure that accounting systems and control measures function effectively.

ii. Internal audit function

• approving an internal audit planning memorandum, including the scope of the internal audit and estimated costs, before the internal audit commences;
• evaluating all material issues on which the internal auditor reports;
• evaluating management reports and comments, as well as the steps taken by the Interim Management to rectify the situation;
• ensuring proper co-ordination between the external and internal audit functions;
• assessing the adequacy of the manner in which the internal audit function is performed and ensuring that adequate resources are made available to the internal audit function; and
• ensuring that the internal audit function is an integral part of management processes and that it functions independently of Interim Management.

iii. External auditors

• making recommendations to the Interim Council on the appointment or dismissal of external auditors;

• ensuring that the appointment of the external auditors complies with all relevant legislation applicable to the appointment of external auditors;

• determining the nature and scope of any non-audit services which the external auditor may provide to the University including the pre-approval of any contracts for the provision of such non-audit services;

• approving the audit planning memorandum, including the scope of the audit and estimated auditing costs, before the audit commences;

• discussing problems or findings disclosed by interim or final audits;
• evaluating Management reports and comments, as well as the steps taken by the Interim Management to rectify the situation; and

• evaluating the audit report on the financial statements and any material irregularities on which the auditor should report in terms of the Auditing Professions Act, 2005.

iv. Risk management

• reviewing the risk management maturity of the University, the status of the risk management activities and the significant risk facing the University;

• reviewing and assessing the quality, integrity and reliability of the University’s risk management strategy and policies;

• providing an independent and objective oversight and review of the information presented by the Interim Management on corporate accountability and specifically associated risk;

• reviewing management reports detailing the adequacy and overall effectiveness of the University’s risk management function and its implementation by the Interim Management.

• reviewing and evaluating the register of key risks, estimated costs of significant losses, whether risk losses are consistent with the risk profile of the University, material changes to the risk profile of the University, the risk bearing capacity of the University and information technology risks; and

• reviewing the risk identification and measurement methodologies utilised by the University.

v. Monitoring compliance with statutory requirements by the University

• 4.5.1 Assessing all transactions that do not form part of the University’s normal operational activities and may have a material impact on the University;

• Assessing compliance with the relevant statutory requirements of regulating authorities; and

• Assessing the financial implications of any legal proceedings in which the University is involved beyond the ordinary course of its business.
vi. Monitoring observance of the University’s codes of conduct

- Monitoring, in conjunction with the Interim Management, observance of business ethics, corporate conduct and codes of conduct.

vii. Other

- Executing any tasks assigned to the Committee by the Interim Council.

6.5. Composition of the audit and risk committee, election of chairperson and quorum requirements

The Audit and Risk Committee is composed as follows:

- A minimum of two (2) members of the Interim Council appointed by the Interim Council who possess expertise in auditing and financial and risk management and who are not in the employ of the University.

- At least one external member who is a registered practicing accountant with appropriate experience in auditing and financial and risk management.

i. The Chairperson of the committee is appointed by the Interim Council from the members of the Interim Council on the committee who are not in the employ of the University;

ii. Two (2) members of the committee constitute a quorum;

iii. The Interim Vice-Chancellor and the member of the Interim Management responsible for financial matters attend the meetings of the Audit and Risk Committee at standing invitation;

iv. At the invitation of the Chairperson of the Audit and Risk Committee, the External and the Internal Auditors may attend meetings of the Committee; and
v. The Chairperson of the Audit and Risk Committee may request members of the Interim Management to attend meetings by invitation.

6.6. Term of office

The term of office of the members of the Audit and Risk Committee coincides with the term of office of the Interim Council.

6.7. Meetings

i. Meetings should be held at least three times a year;
ii. The Interim Council appoints a Secretary for the Audit and Risk Committee. Proper minutes must be kept;
iii. The Interim Council must be furnished with a report on the activities and decisions of the Committee; and
iv. The Audit and Risk Committee determines its own procedures with due observance of generally accepted norms of fair administrative process. In addition to standard meeting procedures, video conferencing as well as other generally accepted electronic methods of communication which will facilitate meaningful participation by all members may be used.
v. Members participating in the meeting through electronic methods of communication are deemed to be present at the meeting.

6.8. Definition

In this charter the term “University” includes the following: any substructure of the University as well as any other body functioning under the auspices of the University.
6.9. Status

The Charter of the Audit and Risk Committee of Council has the status of Institutional Rules of the New University as contemplated in section 29(4) of the Higher Education Act, 1997, as amended.
7. CHARTER OF THE HUMAN RESOURCES COMMITTEE OF COUNCIL

POLICY CODE & NUMBER: G 012

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7.1. Role of the human resource committee of the interim council

i. The New University was established by the Minister of Higher Education and Training in terms of section 20 of the Higher Education Act, 1997, as amended. An Interim Council was established by the Minister for the New University to perform the functions relating to the governance of the institution.

ii. Executing its governance and other responsibilities, contemplated in sections 20(6) and 20(10) of the Act respectively, in accordance with accepted principles of good governance and management necessitates the Interim Council to establish a Human Resource Committee and to delegate certain functions to the Committee.

iii. Apart from the functions related to the governance of the University the Interim Council must:

- appoint an interim body to manage the day-to-day activities of the institution;

- ensure that such other structures as may be determined in the Standard Institutional Statute contemplated in section 33(3) of the Act are constituted.
7.2. Powers and duties of the human resource committee

i. The Interim Council delegates to the Human Resource Committee, subject to the provisions of the Act and the Standard Institutional Statute, the power to perform the following functions on its behalf:

- makes recommendations to the Interim Council concerning the remuneration of Interim Council members for confirmation or review by the Interim Council;
- appoints certain employees of the University on behalf of the Interim Council in accordance with the requirements and regulations of the University and current labour law practices, provided that no academic employee of the University may be appointed without prior consultation with the Senate (when established) or a committee of the Senate;
- develops the general conditions of service, disciplinary provisions, privileges,
- key performance areas and outputs of employees in accordance with the University’s requirements and current labour law for the approval of the Interim Council;
- determines, on behalf of the Interim Council and in terms of current labour law, salary adjustments for employees if and when necessary in accordance with market trends and affordability;
- approves when necessary, on behalf of the Interim Council and in terms of current labour law, the following:

  o the individual remuneration of members of the Interim Management Body and other senior members, including performance bonuses of the Interim Management Body and other senior members as recommended by the Interim Vice-Chancellor with due regard to market trends, the contribution made by these employees to the success of the University and affordability;

  o the remuneration of the Interim Vice-Chancellor including performance bonuses with due regard to market trends, the contribution made by the Interim Vice-Chancellor to the success of the University and affordability, and
o the guidelines for performance appraisal and performance-based remuneration of employees with due regard to the University’s strategic objectives, market trends and affordability;

ii. has the power to, in line with the University’s strategic objectives, award on an ad hoc basis, on behalf of the Interim Council and on the Interim Vice-Chancellor’s recommendation, bonuses to a member or members of the Interim Management Body or any other member of staff for outstanding services rendered;

iii. is responsible for taking reasonable measures to ensure that the University employ people who will be able to deliver on the vision and mission of the University and to introduce reasonable measures to ensure that the University retains key staff;

iv. creates new posts and approves the re-grading and transfer of existing posts;

v. appoints an acting Interim Vice-Chancellor when the Interim Vice-Chancellor is absent for more than one month. The Interim Vice-Chancellor may recommend a member of the Interim Management Body to the Human Resource Committee;

vi. develops the disciplinary measures and procedures applicable to employees for approval by the Interim Council;

vii. develops all codes of conduct and regulations applicable to staff, including codes of conduct and regulations relating to ethical, business, teaching and research practices, outside work and after-hours work, and joint appointments with other institutions for the approval of the Interim Council;

viii. is responsible for taking reasonable measures to ensure that institutional succession planning is in place (where appropriate) and to continuously review the institutional staff development programmes to meet the development needs of the staff;

ix. is responsible for monitoring the implementation of the University’s Employment Equity Plan; and
x. reports to the Interim Council on the activities of the Committee, provided that the remuneration of individual employees shall not be disclosed to co-opted members of the Interim Council contemplated in section 20(9) of the Act who are not entitled to such information in the execution of their responsibilities as members of the Interim Management Body.

7.3. Composition of the human resource committee, procedures and meetings

i. The Human Resource Committee consists of at least the following members:

- A member of the Interim Council who is knowledgeable and has experience of HR matters at board level, who will act as the chairperson of the Committee. If there is no such person on the Interim Council, the Interim Council may appoint a suitably qualified external person to the Committee. The Chairperson of the committee may not be an employee of the University;

- The Chairperson of the Interim Council;

- A member of the Interim Council (excluding co-opted members); and

- At least one additional external member who is not an employee of the University and who has knowledge and experience of Human Resource matters, preferably within the tertiary education environment.

ii. The Interim Vice-Chancellor shall not be a formal member of the Human Resource Committee, but attends the meetings of the Committee at standing invitation;

iii. Three (3) members of the Human Resources Committee of the Interim Council constitute a quorum;

iv. The Human Resource Committee of the Interim Council determines its own procedures for meetings with due regard to the generally accepted norms of fair administrative process. In
addition to standard meeting procedures, video conferencing as well as other generally accepted electronic methods of communication which will facilitate meaningful participation by all members may be used. Members participating in the meeting through electronic methods of communication are deemed to be present at the meeting;

v. The Interim Council appoints the secretariat for the committee, who could be a member of staff. Proper minutes must be kept; and

vi. Meetings should be held at least every quarter or at the request of the Chairperson of the Committee or the Interim Vice-Chancellor.

7.4. Delegation to the interim vice-chancellor and other office holders

The Human Resource Committee may, with the approval of the Interim Council, delegate its authority to an individual or a committee, provided that this is permitted by the HEA and/or Institutional Statute.

7.5. Term of office

The members of the committee are appointed for the term of office of the Interim Council.

7.6. Definition

In this Charter the word “University” includes the following: any substructure of the University as well as any other body functioning under the auspices of the University.

7.7. Status

The Charter of the Human Resource Committee of the Interim Council has the status of Rules.
8. CHARTER OF THE INVESTMENT COMMITTEE OF COUNCIL

POLICY CODE & NUMBER: G 013

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8.1. Purpose

The New University was established by the Minister of Higher Education and Training in terms of section 20 of the Higher Education Act, 1997, as amended. An Interim Council was established by the Minister for the New University to perform the functions relating to the governance of the institution. Executing its governance responsibilities in accordance with accepted principles of good governance necessitates the Interim Council to establish an Investment Committee.

8.2. Mandate

The Investment Committee is charged with overseeing the investment matters of the University. The Committee convenes quarterly to consider the performance of the University’s investment portfolio for the preceding three months, to determine investment policy and strategy and to ensure proper alignment between the investment strategy and the cash flow and other financial needs of the University.
8.3. Composition and functioning

i. The Investment Committee comprises the following members:

- A Chairperson appointed by the Interim Council from the members of the Interim Council (co-opted members excluded);
- The Chairperson of the Interim Council;
- At least one external member with experience and expertise in financial and investment matters appointed by the Interim Council;
- The Interim Vice-Chancellor;
- The member of the Interim Management Body responsible for finance; and
- Members of the Interim Management Body nominated by the Interim Vice-Chancellor.

ii. The quorum of the Committee is three (3) members, provided that at least one member of the Interim Council must be in attendance;

iii. The Investment Committee functions at a strategic level. The Committee concentrates on the development of policy and strategy, whereas the execution thereof is the responsibility of the Interim Vice-Chancellor supported by the relevant member of the Interim Management Body responsible for finance;

iv. The Interim Council of the University must be furnished regularly with a report on the activities and decisions of the Committee;

v. The Investment Committee determines its own procedures with due regard to the generally accepted norms of fair administrative process. In addition to standard meeting procedures, video conferencing as well as other generally accepted electronic methods of communication which will facilitate meaningful participation by all members may be used. Members
participating in the meeting through electronic methods of communication are deemed to be present at the meeting;

vi. The Interim Council appoints a secretariat for the committee. Proper minutes must be kept; and

vii. In view of the fact that urgent investment decisions might be required from time to time and continuous monitoring of the investment performance is essential, the Investment Committee may appoint a Management Committee from its ranks to supervise the daily management of the investment portfolio.

8.4. The management committee

8.4.1. Composition

i. The Management Committee of the Investment Committee comprises the following members:

- The member of the Interim Management Body responsible for finance (Chairperson);

- One member of the Interim Council on the Committee (appointed by the Investment Committee); and

- The Interim Vice-Chancellor.

8.4.2. Duties and responsibilities

i. The Management Committee supervises the daily management of the investment portfolio. The following matters are therefore the responsibility of the Management Committee:

- facilitating the meetings of the Investment Committee;
• convening the Investment Committee when necessary (arrangement of ordinary and extraordinary meetings);

• preparing the agenda for Investment Committee meetings;

• monitoring the investment climate and economic factors that affect the investment climate and advise the Interim Management Body and the Investment Committee of appropriate action;

• monitoring the investment results of the fund managers and the various investment portfolios;

• monitoring the investment results of the in-house treasury division;

• formulating proposals for consideration by the Investment Committee;

• verifying the format of reports to be submitted to the Investment Committee;

• providing feedback to the Investment Committee on the results of the managed portfolios and the fund managers;

• preparing the minutes of the Investment Committee meetings;

• supervising and managing the activities of the consultant(s) appointed by the Investment Committee; and

• executing decisions taken by the Investment Committee.

8.5. Delegated authority

i. The Interim Council and the Investment Committee delegate to the Interim Vice-Chancellor the authority to perform the following functions, which authority may be further delegated:
ii. 5.1 Investment of surplus short-term current funds (investments up to 365 days) within

iii. the parameters defined by the Investment Committee;

iv. Consideration of the applications received from financial institutions to be added to the list of institutions at which the University makes short-term investments (must be submitted to the Investment Committee for approval);

v. Management of the Investment Reserve Fund within the parameters defined by the Investment Committee;

vi. Payment of monthly management fees as well as performance related fees to Consultants and Investment Managers; and

vii. Signing of agreements and security documents that the Investment Committee has pre-approved.

8.6. Frequency of meetings

i. The Management Committee meets monthly during the period February to November, provided that the Chairperson has the discretion to schedule fewer or more meetings if, in his/her opinion, it is justified by the circumstances; and

ii. The quorum for a meeting of the Management Committee comprises the Chairperson and one other member of the Committee.

8.7. Term of office

i. The term of office of members of the Committee coincides with that of the Interim Council.
8.8. Status

i. The Charter of the Investment Committee of the Interim Council has the status of Rules of the New University.
9. CHARTER OF THE FACILITIES PLANNING AND INFRASTRUCTURE COMMITTEE OF COUNCIL

POLICY CODE & NUMBER: G 014

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9.1. Role of the facilities planning and infrastructure committee of the interim council

i. The New University was established by the Minister of Higher Education and Training in terms of section 20 of the Higher Education Act, 1997, as amended. An Interim Council was established by the Minister for the New University to perform the functions relating to the governance of the institution.

ii. Executing its governance and other responsibilities, contemplated in sections 20(6) and 20(10) of the Act respectively, especially its responsibility to provide and plan appropriate facilities and infrastructure for the newly established institution necessitates the Interim Council to establish a Facilities Planning and Infrastructure Committee and to delegate certain functions to the Committee, subject to the provisions of the Higher Education Act, 1997, as amended (Act), and the Standard Institutional Statute.

iii. In accordance with the Act, newly established institutions may not, without the concurrence of the Minister, dispose of or alienate in any manner, any immovable property acquired with
the financial assistance of the State or grant to any person any real right therein or servitude thereon.

iv. The Interim Council may not, in accordance with the Act and the Standard Institutional Statute, delegate the function to enter into an agreement for the construction of a permanent building or other immovable infra-structural development, the purchasing of immovable property or the long term lease of immovable property. The Interim Council is also obliged to seek the approval of the Minister if the value of such development or property exceeds five per cent of the average income of the institution received during the two years immediately preceding the agreement.

9.2. Powers and duties of the facilities planning and infrastructure committee

i. The Interim Council delegates to the Facilities Planning and Infrastructure Committee the power to
   • develop a campus master plan for facilities and infrastructure, with implementation strategies, priorities and financing models for approval by the Interim Council or its successor in title;
   • advise the Interim Council on the acquisition and integration of facilities and infrastructure;
   and
   • with the approval of the Interim Council and in accordance with the procurement policies of the University, select, appoint, brief and supervise consultants and contractors.

9.3. Composition of the facilities planning and infrastructure committee, procedures and meetings

i. The Facilities Planning and Infrastructure Committee consists of at least the following members:
• A member of the Interim Council who is knowledgeable and has experience of facilities planning and/or infrastructure provision, who will act as the Chairperson of the Committee. If there is no such person on the Interim Council, the Interim Council may appoint a suitably qualified external person to the Committee;

• The Chairperson of the Interim Council;

• A member of the Interim Council (excluding co-opted members); and

• At least one additional external member who is not an employee of the University and who has knowledge and experience of facilities planning and infrastructure provision, preferably within the tertiary education environment;

ii. The Interim Vice-Chancellor and the member(s) of the Interim Management Body responsible for facilities planning and infrastructure shall not be formal members of the Facilities Planning and Infrastructure Committee, but attend the meetings of the Committee at standing invitation;

iii. Three (3) members of the Facilities Planning and Infrastructure Committee of the Interim Council constitute a quorum;

iv. The Facilities Planning and Infrastructure Committee of the Interim Council determines its own procedures for meetings with due regard to the generally accepted norms of fair administrative process. In addition to standard meeting procedures, video conferencing as well as other generally accepted electronic methods of communication which will facilitate meaningful participation by all members may be used. Members participating in the meeting through electronic methods of communication are deemed to be present at the meeting;

v. The Interim Council appoints the secretariat for the committee, who could be a member of staff. Proper minutes must be kept; and

vi. Meetings should be held at least every quarter or at the request of the Chairperson of the Committee or the Interim Vice-Chancellor.
9.4. Delegation to the interim vice-chancellor and other office holders

The Facilities Planning and Infrastructure Committee may, with the approval of the Interim Council, delegate its authority to the Interim Vice-Chancellor or a member of the Interim Management Body.

9.5. Term of office

The members of the committee are appointed for the term of office of the Interim Council.

9.6. Definition

In this Charter the word “University” includes the following: any substructure of the University as well as any other body functioning under the auspices of the University.

9.7. Status

The Charter of the Facilities Planning and Infrastructure Committee of the Interim Council has the status of Rules.
NEW UNIVERSITY POLICY

10. DELEGATION FRAMEWORK: COMMITTEES OF COUNCIL AND THE INTERIM VICE CHANCELLOR

POLICY CODE & NUMBER: G 020

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10.1. Introduction and context

i. With the view to performing the functions related to the governance of the University it is essential for the Interim Council to delegate certain of its functions to its committees and to members of the Interim Management Body. The authority to delegate its functions, subject to the explicit prescripts of the Act and the Standard Institutional Statute in this regard, is derived from section 68 (2) of the Higher Education Act, 1997, as amended, read with sections 1 (definition of Council) and 20 (1), (6) and (10).

iii. The delegation framework below represents the approved delegation of authority by the Interim Council to Interim Council committees and the Interim Vice-Chancellor.

iii. It is implicit in these delegations that committees and managers act at all times within the provisions of the Constitution, the Higher Education Act any other relevant legislation, the Standard Institutional Statute, the Rules, Codes of Conduct, policies and procedures of the University.
10.2. General provisions

i. The University aspires to uphold the principles of good governance and the codes and principles embedded in the King III Report on Codes of Governance in South Africa, 2009.

ii. The Interim Council must perform the functions relating to the governance of the institution, but is not allowed to make an institutional statute and to dispose of or alienate in any manner, any immovable property acquired with the financial assistance of the State or grant to any person any real right therein or servitude thereon without the concurrence of the Minister (see section 20 (5) and (6) of the Act).

iii. In terms of paragraph 8 (4) of the Standard Institutional Statute the Interim Council may not delegate any of the functions referred to in subparagraph 8 (3) of the Standard Institutional Statute. These functions include the following:

- Appointing senior management;
- Determining the conditions of service, the disciplinary provisions and the privileges and functions of its employees;
- Suspending or dismissing any employee of the institution;
- Ordering an employee whom it has suspended to refrain from being on any premises under the control of the institution and to refrain from participating in any of the institution’s activities or issuing such other conditions as may be appropriate;
- Determining the language policy of the institution;
- Determining the academic structures and the functions of each structure, in order to ensure efficient governance;
- Determining the tuition fees, accommodation fees and any other fees payable by students as well as accommodation fees payable by employees;
- Approving the annual budget of the institution;
- Concluding of a loan or overdraft agreement, subject to the proviso that the approval of the Minister is required whenever the aggregate of existing borrowings plus the new contemplated borrowing exceeds 5 per cent of the average income of the institution received during the two years immediately preceding such agreement;
• Entering into an agreement for the construction of a permanent building or other immovable infra-structural development, the purchasing of immovable property or the long term lease of immovable property, subject to the proviso that the approval of the Minister is required if the value of such development or property exceeds five per cent of the average income of the institution received during the two years immediately preceding the agreement.

iv. The Interim Vice-Chancellor may, in consultation with the Interim Council, formulate further delegations to staff, subject to the approved delegation framework of the Interim Council and its committees. Such delegations must be submitted to the Interim Council for approval. The Interim Vice-Chancellor may not delegate his or her authority when the Interim Council or a committee of Council has explicitly ruled otherwise.

v. Any delegation changing the University’s Rules, policy or procedure shall be null and void.

vi. The Interim Vice-Chancellor is accountable to the Interim Council and reports to the Executive Committee, the Human Resources Committee, the Audit Committee and the Investment Committee on the matters delegated to these committees at the times and in the manner determined by the said committees.

vii. Under special circumstances, the Interim Council may approve a special delegation to a committee or employee(s) where the Interim Vice-Chancellor is absent, incapacitated or where the position of the Interim Vice-Chancellor is vacant.

viii. In exercising their delegated authority, committees of the Interim Council and the Interim Vice-Chancellor must ensure that

• proposed expenditures are within the approved budget or otherwise approved by the Interim Council;
• expenditures are within the approved business activities and the mandate of the University and the delegated authority of the committee or the Interim Vice-Chancellor, as appropriate;
• expenditures do not relate to the committee’s or the Interim Vice-Chancellor’s own expenditures;

• policies and procedures of the University are adhered to; and

• the University receives value for money when services or goods are procured.

ix. The principle of obtaining another signatory, or the “one-up” principle, will apply throughout in all matters where expenditures are incurred by an individual on University business or where any item needs to be written off (see the note below on expenditure by the Interim Vice-Chancellor).

x. Action taken on any matter that is not covered by the delegations must be authorised by the Interim Council or by an appropriate delegated authority.

10.3. The interim vice-chancellor

i. In accordance with good governance principles it is apposite for the Interim Council to:

• grant the Interim Vice-Chancellor the authority he/she requires for achieving the strategic objectives of the University;

• authorise the Interim Vice-Chancellor to manage the University in terms of the approved personnel, capital and operational budgets;

• provide the Interim Vice-Chancellor with guidelines on the following matters and authorise him/her to perform the following:

  o management of the budgets;
• procurement of funds (per project or in general);

• acquisition, maintenance and alienation of assets of the University;

• entering into contracts;

• instituting or defending legal proceedings;

• establishment of businesses either by way of co-operation agreements or by way of officially recognised business entities;

• after consultation with the Senate (when constituted), provide guidelines on the following and authorise the Interim Vice-Chancellor to manage the following:

  • the organisation of and structures pertaining to teaching and learning, research and community engagement at the University, including the establishment, organisation and dissolution of faculties, departments, institutes, research units and centres;

  • organised student activities, including student services and student discipline; and

  • academic dress and the procedures pertaining to graduation ceremonies.

• provide guidelines and authorise the Interim Vice-Chancellor to perform the functions necessary to:

  • appoint employees of the University in accordance with the policies and requirements of the University and in terms of applicable labour law, provided that no academic employee of the University may be appointed without consulting the Senate or a committee of the Senate;
o develop the conditions of service of employees in accordance with the policy as well as the needs of the University and in terms of applicable labour law for approval by the Interim Council; and

o develop and prepare codes of conduct and regulations applicable to staff, including codes of conduct and regulations relating to ethical business, teaching and research practices, outside and after-hours work for approval by the Interim Council.

10.4. Delegation framework

Against the backdrop of the above the Interim Council delegates the following, with the authority to finalise matters, to the respective Council committees and the Interim Vice-Chancellor on the terms and conditions as set out below:

Legend

C        Interim Council
ECC      Executive Committee of the Interim Council
HRC      Human Resources Committee of the Interim Council
AC       Audit Committee of the Interim Council
VC       Interim Vice-Chancellor
D        Can be delegated
ND       Cannot be delegated

Legal services

Contracts entered into to give effect to the Operational and Capital Budgets
The negotiation and signing of all contracts entered into to give effect to the budgets. This includes contracts for the purchase and sale of goods, lease agreements and contracts for the letting and hiring of work, all donations, grants and similar contracts as well as third stream research and consulting contracts.

Where the liability of the University per contract amounts to more than R6 million, the authority cannot be delegated and the approval of the Executive Committee must be obtained by the Interim Vice-Chancellor.

The negotiation and signing of contracts for which no provision has been made in the capital or operational budgets.

Where the liability of the University per contract amounts to more than R1 million, the authority cannot be delegated and the approval of the Executive Committee must be obtained.

The Interim Vice-Chancellor must report to the Executive Committee all expenditure not provided for in the budget.
Note: The authority to enter into agreements includes the authority to amend existing contracts, and to cancel and/or replace them with new agreements subject to the policies of the University.

All donations, grants and similar contracts from which the University derives income are deemed to be within budget. The same apply to third stream research and consulting contracts where all the expenses of the University are defrayed from the income flowing from the contracts.

This delegation is subject to section 20 (6) of the Act and paragraph 8 (3) and (4) of the Standard Institutional Statute.

| The Purchase and Sale of Land, Real Rights, the Purchase and Sale of Movable Assets, Lease Agreements, Letting of Movable Assets, Use of University Assets |
|---|---|---|
| The purchase and sale of land, the registration of real rights against University property and the entering into long-term lease agreements for which provision has been made in the operational plan of the University. | ND |  |
| The purchase and sale of land, the registration of real rights against University property and the entering into long-term lease agreements for which no provision has been made in the capital and/or operational budgets of the University. | ND |  |
Note: The purchase and sale of land, the registration of real rights against University property and entering into long-term lease agreements are subject to Ministerial concurrence as provided for in the Act and the Standard Institutional Statute, as applicable.

The authority to negotiate and enter into a short-term lease agreement where the rent payable is less than R6 million per annum (if within the operational budget).

The authority to secure and protect the property of the University in accordance with the policies of the University.

The authority to regulate and manage the use of the movable assets of the University by students, staff and third parties.

The authority to alienate, at a reasonable price, movable property, obsolete or otherwise, in accordance with the policies of the University.

The authority to enter into agreements including the authority to amend existing contracts and to cancel and/or replace them with new agreements (except the contracts pertaining to immovable property, long term lease agreements, etc. as described above).
The authority to Institute, Defend, Settle or Discontinue Legal Proceedings in the Magistrates’ Court or Courts with similar Status (including Arbitration)

<table>
<thead>
<tr>
<th>Description</th>
<th>ECC</th>
<th>HRC</th>
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</thead>
<tbody>
<tr>
<td>The authority to institute, defend, settle or discontinue legal proceedings in the Magistrate’s Court or a court with similar status on behalf of the University, irrespective of the cause of action.</td>
<td></td>
<td></td>
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<td>N</td>
</tr>
<tr>
<td>The authority to choose or appoint an arbitrator or mediator on behalf of the University.</td>
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</tbody>
</table>

**Note:** The Interim Vice-Chancellor reports to the Executive Committee on all court cases that have a material effect on the operations or reputation of the University.

The authority to Institute, Defend, Settle or Discontinue Legal Proceedings in the High Court or a Court with similar Status (including Arbitration)

<table>
<thead>
<tr>
<th>Description</th>
<th>ECC</th>
<th>HRC</th>
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</thead>
<tbody>
<tr>
<td>The authority to institute, to defend, to settle or to discontinue legal proceedings in the High Court or a court with a similar status on behalf of the University.</td>
<td></td>
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<td>N</td>
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<tr>
<td>The authority to choose or appoint an arbitrator or mediator on behalf of the University.</td>
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</tbody>
</table>

**Note:** The Interim Vice-Chancellor reports to the Executive Committee on all court cases that have a material effect on the operations or reputation of the University.
The authority to Institute, Defend, Settle or Discontinue Legal Proceedings in Labour Law Cases

<table>
<thead>
<tr>
<th>The authority to institute, to defend, to settle or to discontinue labour law proceedings, including disputes arising from collective agreements.</th>
<th>ECC</th>
<th>HRC</th>
<th>AC</th>
<th>VC</th>
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<tr>
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</table>

The authority to choose or appoint an arbitrator or mediator on behalf of the University.

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<th>ECC</th>
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</tbody>
</table>

**Note:** The Interim Vice-Chancellor reports to the Executive Committee on all court cases that have a material effect on the operations or reputation of the University.

Establishment of Trusts, the establishment and/or take-over of Companies or other forms of enterprise in accordance with the Business Plan(s) of the University

<table>
<thead>
<tr>
<th>The authority to establish a trust, establish or take over a company or other business in South Africa or elsewhere in accordance with the approved business plans of the University.</th>
<th>ECC</th>
<th>HRC</th>
<th>AC</th>
<th>VC</th>
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<tbody>
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</tbody>
</table>
The authority to approve the establishment of companies, trusts and other businesses, appointment of directors and trustees and commercialisation of intellectual property, in as far as it is in accordance with the vision, mission and strategic intent of the University.

<table>
<thead>
<tr>
<th>Establishment of a trust or establishment or take-over of a company or other enterprise which does not occur in terms of the provisions of the approved business plans of University.</th>
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</table>

**Negotiation of and Entry into Recognition Agreements**

The authority to enter into, to amend and/or cancel recognition and collective agreements with unions.

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<thead>
<tr>
<th>The authority to enter into, to amend and/or cancel recognition and collective agreements with unions.</th>
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</table>

**Note:** Where a new recognition and/or collective agreement is entered into or where an existing recognition and/or collective agreement is substantially amended, the Interim Vice-Chancellor must acquire the approval of the Human Resources Committee.

<table>
<thead>
<tr>
<th>Note: Where a new recognition and/or collective agreement is entered into or where an existing recognition and/or collective agreement is substantially amended, the Interim Vice-Chancellor must acquire the approval of the Human Resources Committee.</th>
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<tbody>
<tr>
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<th>ECC</th>
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<tr>
<th>Note: Where a new recognition and/or collective agreement is entered into or where an existing recognition and/or collective agreement is substantially amended, the Interim Vice-Chancellor must acquire the approval of the Human Resources Committee.</th>
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<tbody>
<tr>
<td>ND</td>
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</tbody>
</table>
Appointment of Legal and other Advisors to provide Legal and other Advice to the University or to act on behalf of the University

The authority to appoint legal and other advisors to provide legal and other advice to the University or to act on behalf of the University, including the determination of the terms and conditions on which the legal and other advisors are appointed, as well as the amendment or termination of their mandate.

Disciplinary powers: Staff and Students in accordance with Policy and Procedure

Execute the disciplinary powers of the Interim Council with regard to staff (except dismissal, suspension and related matters) and students (except expulsion), including the institution, continuation or discontinuation of disciplinary steps in accordance with approved policies and procedures.

The authority to dismiss staff in accordance with approved policies and procedures.

The authority to terminate a student’s further association with the University in accordance with approved policies and procedures.
Approval of New Regulations, Amendment of Existing Regulations and Policy documents

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The authority to approve new regulations and policies and/or amend or repeal existing regulations and policies.

Note: The Interim Council may request that any new or amended regulations be submitted to the Human Resources Committee, the Audit Committee or the Investment Committee, where appropriate.

Protection of Immaterial Property

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</table>

The authority to institute action regarding the use, conservation, protection, commercialisation or, in specific cases and after expert advice has been obtained, alienation at a reasonable price of the University’s immaterial property rights.

Protection of Staff, Students and Visitors

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</table>
The authority to take reasonable steps on behalf of the University for the protection of staff, students and visitors as well as their assets.

### Entry into Joint Ventures and receipt of Donations

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<thead>
<tr>
<th>Authority</th>
<th>ECC</th>
<th>HRC</th>
<th>AC</th>
<th>VC</th>
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</thead>
<tbody>
<tr>
<td>The authority to enter into joint ventures on behalf of the University in accordance with the policies of the University and to amend and/or terminate existing joint ventures.</td>
<td>ND</td>
<td></td>
<td></td>
<td>N D</td>
</tr>
<tr>
<td>Note: Where the liability of the University in terms of any joint venture amounts to more than R6 million, the Interim Vice-Chancellor must acquire the approval of the Executive Committee.</td>
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<tr>
<td>The authority to make rules on behalf of the University with regard to the receipt of donations and grants and to enforce the said rules.</td>
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### Insurance

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213
<table>
<thead>
<tr>
<th>Authority</th>
<th>Details</th>
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</thead>
<tbody>
<tr>
<td>D</td>
<td>The authority to insure, on behalf of the Interim Council, the assets, staff and students of the University where it is deemed fit to do so and the authorisation to sign the said insurance policies on behalf of the University.</td>
</tr>
<tr>
<td>D</td>
<td>The authority to amend, supplement or cancel the existing insurance cover, in accordance with the policies of the University.</td>
</tr>
<tr>
<td>D</td>
<td>The authority to appoint a broker or brokers and to decide from which company or companies insurance cover should be obtained.</td>
</tr>
<tr>
<td>D</td>
<td>The authority to decide, in consultation with the Executive Committee, whether the University should make use of self-insurance (including the level of self-insurance) and to make all arrangements in this regard.</td>
</tr>
<tr>
<td>N D</td>
<td>The authority, after consultation with the Human Resources Committee and the Executive Committee, to insure the lives of certain key members of staff of the University where it is deemed appropriate and the signing of such insurance policies on behalf of the University.</td>
</tr>
</tbody>
</table>
Correspondence, Indemnification and Security

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<tbody>
<tr>
<td>The authority to sign external correspondence on behalf of the University.</td>
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</tr>
<tr>
<td>The authority to indemnify, on behalf of the University, a third party against losses or damages or to guarantee the obligations of a person or to act as surety for the proper performance or to furnish security in accordance with the policies of the University, up to and including an amount of R6 million.</td>
<td></td>
<td></td>
<td>N</td>
<td>ND</td>
</tr>
<tr>
<td>For indemnifications exceeding R6 million.</td>
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<tr>
<td>Note: The Interim Vice-Chancellor must inform the Executive Committee of such suretyship or other forms of security.</td>
<td></td>
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<tr>
<td>The authority to waive, in the normal course of business, possible common law and statutory remedies, rights or powers that the University may have.</td>
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</table>

ACADEMIC ADMINISTRATION

Conferment and awarding of Degrees, Diplomas, Certificates, Honorary Degrees, Medals and Prizes
The authority to perform all actions relating to the conferring of degrees, the issuing of diplomas and certificates, honorary awards and prizes, provided that such actions are performed in accordance with the policies and procedures that apply at the University from time to time.

**Note:** In the case of honorary degrees and other honorary awards, the Interim Council must approve the candidates to be honoured in this manner.

<table>
<thead>
<tr>
<th>Introduction of New Courses and Qualifications</th>
</tr>
</thead>
</table>

The authority to introduce new qualifications, programmes, subjects and modules, provided that actions are taken in accordance with the policies and procedures that apply at the University from time to time (specifically with regard to the consultation of Senate and Faculty Boards).
### Admission

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</table>

The authority to regulate the admission of students in general (and, where appropriate, admission to faculties or specific programmes in faculties), provided that actions in this regard are in accordance with the policies and procedures that apply at the University from time to time, specifically with regard to the consultation of Senate and Faculty Boards.

### Rules, Regulations and Assessment

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</table>

The authority to make academic rules and regulations, the assessment and evaluation of academic programmes, courses, subjects and/or modules, provided that actions in this regard are in accordance with the policies and procedures that apply at the University from time to time, specifically with regard to the consultation of the Senate and the Faculty Boards.
### Bursaries, Loans, Tuition and Other Fees

<table>
<thead>
<tr>
<th>Activity</th>
<th>ECC</th>
<th>HRC</th>
<th>AC</th>
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</tr>
</thead>
<tbody>
<tr>
<td>The determination of tuition fees, accommodation fees and any other fees payable by students as well as accommodation fees payable by staff.</td>
<td></td>
<td></td>
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<td>ND</td>
</tr>
<tr>
<td>The authority to make and approve rules for the payment of tuition fees or of reduced tuition fees in general or in the case of individual students or, with reference to a specific category of students, in accordance with the policies of the University.</td>
<td></td>
<td>D</td>
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</tr>
<tr>
<td>The awarding of bursaries and loans to students and the authorisation to award bursaries and loans to students in accordance with the University’s policies and procedures.</td>
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</table>

### Reporting

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<tr>
<th>Activity</th>
<th>ECC</th>
<th>HRC</th>
<th>AC</th>
<th>VC</th>
</tr>
</thead>
<tbody>
<tr>
<td>The authorisation to report to the Minister of Higher Education &amp; Training on academic activities of the University and the signing of any documents in this regard.</td>
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</table>
**HUMAN RESOURCES**

**Appointment, Duties and Deployment of Staff**

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<tbody>
<tr>
<td>The approval of new positions.</td>
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<td></td>
</tr>
<tr>
<td>The permission to fill approved vacancies.</td>
<td></td>
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<td>D</td>
</tr>
<tr>
<td>The authority to advertise externally and internally for the appointment of staff according to the University's needs, on a full-time, part-time or contract basis, provided that no academic employee of the University shall be appointed permanently without prior consultation of the Senate or a committee of the Senate.</td>
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</tbody>
</table>

**Note:** With regard to the advertising of vacancies and the appointment of staff, all actions must be performed in accordance with the Rules, policies, regulations and procedures that apply at the University from time to time.
The authority to appoint staff at designated levels and the authority to determine the duties and conditions of service of staff in accordance with the needs of the University and in accordance with the policies of the University, as well as the specific sector in the University where the member of staff should be deployed is delegated as follows:

<table>
<thead>
<tr>
<th>Members of the Interim Management Body</th>
<th>ND</th>
<th>ND</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professors and associate professors</td>
<td>ND</td>
<td>ND</td>
</tr>
<tr>
<td>Head of department (academic)</td>
<td>ND</td>
<td>ND</td>
</tr>
<tr>
<td>Head of department (support)</td>
<td>ND</td>
<td>ND</td>
</tr>
<tr>
<td>Peromnes post level 4 and higher (support staff)</td>
<td>ND</td>
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<tr>
<td>Other</td>
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</tbody>
</table>

This authority includes the authority to amend the job description and conditions of service of members of staff or to redeploy a member or members of staff.

**Note:** The above-mentioned powers must be exercised with due observance of the provisions of the Act and other legislative provisions, The Standard Institutional Statute, the Rules and the delegation framework (see Annexure B) as approved by the Interim Council.
The authority to approve a salary and benefit dispensation that exceeds the existing staff remuneration guidelines and practices, provided that the additional expenditure associated with such a dispensation had been approved in the budget, and provided further that the Chairperson of the Human Resources Committee report appropriately on the matter at the next meeting of the Interim Council.

Deviations in remuneration and benefits of individual members of staff exceeding 10% of the approved remuneration packages and benefits.

Any deviation of 10% or less may be approved by the Interim Vice-Chancellor, with a written report of such instances to the Human Resources Committee at its next meeting.

The authority to accept resignations with a full or reduced notice period; the power to allow staff to retire pre-maturely; the power to offer voluntary severance packages to staff; or to retrench staff in accordance with the operational requirements of the University in accordance with the provisions of applicable labour law.
## Appointment of Contractors

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</table>

The authority to appoint contractors on behalf of the Council in accordance with the University’s needs, and in accordance with the University’s policies and procedures. The authority includes the amendment and/or termination of any agreement with any contractor.

## Sick, Maternity, Special, Study, Research and Unpaid Leave

<table>
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</table>

The authority to carry out all actions relating to the granting and administration of leave, which includes the payment of money in lieu of leave and the appointment of temporary staff in accordance with the policy of the University.
The authority to approve new regulations and procedures, or to amend existing regulations and procedures not having the status of Institutional Rules and policy, is delegated to the relevant Council committees and the Interim Vice-Chancellor as follows:

<table>
<thead>
<tr>
<th>Financial and institutional</th>
<th>ND</th>
</tr>
</thead>
<tbody>
<tr>
<td>Human resources</td>
<td>ND</td>
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<tr>
<td>Audit and risk</td>
<td>ND</td>
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<tr>
<td>Academic and administration</td>
<td>ND</td>
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</tbody>
</table>

Institutional Rules and policy, regardless of its financial implications, must be approved by the Council.

**Note**: Where proposed new Rules, or policy, or amendments to Rules or policy, impacts on the mandate of Council committees and/or the Interim Vice-Chancellor, such policy proposals must be submitted to the Interim Council via the relevant committee and/or the Interim Vice-Chancellor.
### Training of Staff, Courses, Conferences and External Meetings

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<tbody>
<tr>
<td>The authority to regulate further education and training in the University, the attendance of courses, conferences and external meetings, as well as all related financial matters.</td>
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<tr>
<td>The authority to make rules in terms of which bursaries are granted to staff, including bursaries that are granted to staff to study in an approved field of study at another university.</td>
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### Overtime Compensation

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<tr>
<td>The authority to regulate overtime and to manage all related financial matters.</td>
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**Note:** The authority in respect of overtime and overtime remuneration must be exercised within the confines of applicable labour law.
### Transport

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<tbody>
<tr>
<td>The authority to regulate the use of official transport by staff and students.</td>
<td></td>
<td></td>
<td></td>
<td>D</td>
</tr>
<tr>
<td>The authority to lay down rules for the use of own transport by a member of staff where the latter has to perform duties in the normal course of business. This includes all financial matters related to the use of transport.</td>
<td></td>
<td></td>
<td></td>
<td>D</td>
</tr>
</tbody>
</table>

### Group Schemes, Pension and Provident Funds

<table>
<thead>
<tr>
<th></th>
<th>ECC</th>
<th>HRC</th>
<th>AC</th>
<th>WC</th>
</tr>
</thead>
<tbody>
<tr>
<td>The authority to enter into agreements where benefits are obtained for staff of the University on a group basis or for the University or provision is made for benefits. The authority includes the authority to amend and/or cancel agreements. In this regard the following must be taken into consideration: the existing rights of staff, labour law and other statutory provisions relating to funds of this nature.</td>
<td></td>
<td></td>
<td></td>
<td>D</td>
</tr>
</tbody>
</table>

### Travel and Subsistence
The authority to regulate travel and subsistence arrangements of staff where they travel in their official capacity to act on behalf of the University.

**Investments**

The authority to invest short-term current funds (investment up to 365 days) within the parameters defined by the Investment Committee.

The authority to consider the applications received from financial institutions to be added to the list of Institutions at which the University makes short-term investments (must be submitted to the Investment Committee for approval).

The authority to manage the Investment Reserve Fund within the parameters defined by the Investment Committee.

The authority to sign agreements and securities that the Investment Committee has pre-approved.
The authority to appoint Investment Managers in accordance with the decisions and the guidelines of the Investment Committee.

The authority to appoint, on the recommendation of the Investment Committee, Investment Consultants to assist the Committee.

The authority to invest the funds of the University in different asset classes in accordance with the Statement of Investment Principles and the approved Investment Strategy.

Finance and administration

Note: The authority delegated in accordance with this section must be exercised with due observance of the limitations and procedural prescripts as contained in the provisions of the Higher Education Act, 1997, as amended, other relevant legislation, the Standard Institutional Statute, the Rules, the policies of the University and the limitations imbedded in the Delegation Framework (see Annexure A) as approved by the Interim Council. Any approval in excess of the amounts stipulated in the Delegation Framework (Finance) must be obtained from the Executive Committee.

The approval of the annual consolidated budget of the University.
<table>
<thead>
<tr>
<th>The conclusion of overdraft agreements subject to the approval of the Minister, when required (see paragraph 8 (3) and (4) of the Standard Institutional Statute).</th>
<th>ND</th>
</tr>
</thead>
<tbody>
<tr>
<td>The authority to use approved overdraft facilities in general or for a particular project.</td>
<td>ND</td>
</tr>
<tr>
<td>The authority to compile an annual capital, operational, personnel, and research budget for submission to the Executive Committee and the Interim Council for consideration/approval.</td>
<td>D</td>
</tr>
<tr>
<td>Consideration of the annual consolidated budget of the University with the view to recommending its approval, amendment or rejection to the Interim Council.</td>
<td>ND</td>
</tr>
</tbody>
</table>
The authority to incur expenses on behalf of the Interim Council within the budget as follows (recommended and co-signed by an immediate subordinate or responsible manager and accompanied by duly approved order(s) and invoice(s) as applicable):

<table>
<thead>
<tr>
<th>Description</th>
<th>Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>Orders up to R6 million per order/per project</td>
<td>ND</td>
</tr>
<tr>
<td>Orders R6 million and more</td>
<td>D</td>
</tr>
<tr>
<td>Maintenance and construction up to R6 million per invoice/transaction</td>
<td>ND</td>
</tr>
<tr>
<td>Maintenance and construction R6 million and more</td>
<td>D</td>
</tr>
<tr>
<td>Movable assets up to R2 million per invoice/transaction</td>
<td>ND</td>
</tr>
<tr>
<td>Movable assets R2 million and more</td>
<td>D</td>
</tr>
<tr>
<td>Utility contracts, monthly statutory returns &amp; annual subscriptions up to R6 million per invoice/transaction</td>
<td>ND</td>
</tr>
<tr>
<td>Utility contracts etc. R6 million and more</td>
<td>D</td>
</tr>
<tr>
<td>Other operational expenditure and claims up to R2 million per invoice/transaction</td>
<td>ND</td>
</tr>
<tr>
<td>Other operational expenditure etc. R2 million or more</td>
<td>D</td>
</tr>
<tr>
<td>Payments (accompanied by duly approved order(s) and invoice(s)) up to R6 million per requisition</td>
<td>ND</td>
</tr>
<tr>
<td>Payments R6 million or more</td>
<td>D</td>
</tr>
</tbody>
</table>
Capital and operational expenses outside the budget are dealt with as set out above (see Legal Services above) while staff and research expenditure that exceed the budget may not be incurred by the Interim Vice-Chancellor. The approval of the Executive Committee must be obtained.

<table>
<thead>
<tr>
<th>Authority Description</th>
<th>Approval Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>The authority to market the University and all related actions in this regard.</td>
<td>D</td>
</tr>
<tr>
<td>The authority to appoint bankers for the University or for some of the operational units of the University, and to open a bank account or bank accounts at such institution(s).</td>
<td>D</td>
</tr>
<tr>
<td>The authority to appoint, in consultation with the Audit Committee, an external audit firm.</td>
<td>ND</td>
</tr>
<tr>
<td>The authority to approve the audit-planning memorandum as submitted.</td>
<td>D</td>
</tr>
<tr>
<td>The authority to pay the interim as well as final audit accounts after the completion of the annual audit.</td>
<td>D</td>
</tr>
<tr>
<td>The authority to appoint an audit firm to perform the internal audit function of the University.</td>
<td>ND</td>
</tr>
<tr>
<td>The authority, in accordance with the policy of the University, to invest funds in the name of the University.</td>
<td>D</td>
</tr>
<tr>
<td>The authority to write off bad debts in accordance with the policy and procedure of the University. The Interim Vice-Chancellor must report regularly to the Executive Committee on the state of affairs at the University.</td>
<td>D</td>
</tr>
<tr>
<td>Authority</td>
<td></td>
</tr>
<tr>
<td>--------------------------------------------------------------------------</td>
<td>---</td>
</tr>
<tr>
<td>The authority to sign, deliver, receive and negotiate negotiable</td>
<td></td>
</tr>
<tr>
<td>instruments on behalf of the University.</td>
<td></td>
</tr>
<tr>
<td>The authority to pay the University’s creditors where the said creditors</td>
<td></td>
</tr>
<tr>
<td>are entitled to payment, <em>inter alia</em> where there is a valid order</td>
<td></td>
</tr>
<tr>
<td>(where applicable), proof that the purchased goods where received</td>
<td></td>
</tr>
<tr>
<td>(where applicable) and/or a proper invoice has been provided.</td>
<td></td>
</tr>
<tr>
<td>The authority to determine when the monies owed by debtors of the</td>
<td></td>
</tr>
<tr>
<td>University must be paid to the University, the manner in which payments</td>
<td></td>
</tr>
<tr>
<td>must be effected and to make an arrangement to ensure that the monies</td>
<td></td>
</tr>
<tr>
<td>are in fact collected.</td>
<td></td>
</tr>
<tr>
<td>The authority to enter into agreements with third parties to collect</td>
<td></td>
</tr>
<tr>
<td>monies owed to the University on behalf of the University. The latter</td>
<td></td>
</tr>
<tr>
<td>includes the sale of the University’s book debts at a discount.</td>
<td></td>
</tr>
<tr>
<td>The authority to regulate the manner in which cash should be dealt with.</td>
<td></td>
</tr>
<tr>
<td>The authority to regulate the payment of salaries and specifically</td>
<td></td>
</tr>
<tr>
<td>which types of deductions against the salary of a member of staff are</td>
<td></td>
</tr>
<tr>
<td>permissible.</td>
<td></td>
</tr>
<tr>
<td>The authority to lay down policy on the documentation of the</td>
<td></td>
</tr>
<tr>
<td>financial transactions of the University.</td>
<td></td>
</tr>
</tbody>
</table>
The authority to report to the Minister of Higher Education & Training on the financial transactions of the University as required in the Higher Education Act, 1997 and to report to other functionaries as required in other statutory measures and to sign any documents in this regard.

Donations, grants and similar contracts from which the University derives income are deemed to be within budget. The same applies to third stream research and consulting contracts where all the expenses of the University are defrayed from the income flowing from the contracts.

**Note:** Approval of expenditure not covered in this section of the Delegation Framework, must be obtained from the Executive Committee before any expenses are being incurred.

**STUDENTS**

The authority to determine and approve, after consultation with Senate, the criteria and procedure with regard to the admission and re-admission of students to the University (and particular programmes) and University controlled residences.
The authority to regulate the in-care, pre-care and after-care of students of the University (which includes rules relating to the placement of students in residences, residence life, residence activities, student culture, student projects, student life in general, student media and student sport and recreation).

<table>
<thead>
<tr>
<th>RECORDS AND COMPUTER ACCESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>The storage of and access to all records of the University including academic and financial records (irrespective of whether these records have been stored on computer) as well as the activities of and access to the Archives.</td>
</tr>
<tr>
<td>The authority to regulate access to and the use of the University’s mainframe systems, campus computer network, intranet and access to and the use of the internet through the University’s systems.</td>
</tr>
</tbody>
</table>
**Note:** The Interim Vice-Chancellor reports to the Audit Committee on all aspects of the records of the University.

### COMMUNITY SERVICE AND RESEARCH

<table>
<thead>
<tr>
<th>Management functions relating to community service performed by the University or in the name of the University in accordance with the policies of the University. This includes in-service learning.</th>
<th>C</th>
<th>ECC</th>
<th>HRC</th>
<th>AC</th>
<th>VC</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>D</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Management functions relating to the operational aspects of research within the University, including contract research.</th>
<th>C</th>
<th>ECC</th>
<th>HRC</th>
<th>AC</th>
<th>VC</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>D</td>
</tr>
</tbody>
</table>

### OCCUPATIONAL HEALTH

<table>
<thead>
<tr>
<th>All matters to which the Occupational Health and Safety Act, 1993 applies.</th>
<th>C</th>
<th>ECC</th>
<th>HRC</th>
<th>AC</th>
<th>VC</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>D</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>All matters to which the National Road Traffic Act, 93 of 1996 applies.</th>
<th>C</th>
<th>ECC</th>
<th>HRC</th>
<th>AC</th>
<th>VC</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>D</td>
</tr>
</tbody>
</table>

**NOTE:**
FINANCIAL EXPENDITURE OF THE INTERIM VICE-CHANCELLOR

1. Payments due to the Interim Vice-Chancellor in terms of his/her conditions of service and applicable policy, must be co-signed by the Chairperson of the Interim Council or the Chief Financial Officer (when appointed), provided that any amount exceeding the maximum amount allowed in terms of the delegated authority of the Chief Financial Officer with regard to seminars, training programmes and workshops (R100 000), entertainment (R50 000), or the policy (and allowance framework) with regard to the maximum amounts payable for accommodation, travel, subsistence, car hire and airfares, must be approved by the Chairperson of the Interim Council.

2. The delegation of the Chief Financial Officer is confined to the approval of expenditure related to the performing of official tasks by the Interim Vice-Chancellor.

3. Foreign visits of the Interim Vice-Chancellor and associated expenditure may only be approved by the Chairperson of the Interim Council.
11. MANAGERIAL AND ADMINISTRATIVE DELEGATIONS

POLICY CODE & NUMBER: G 021

<table>
<thead>
<tr>
<th>Name of Originator</th>
<th>C de Beer</th>
<th>Name of VC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approved by QC</td>
<td></td>
<td>Approved by Legal Div</td>
</tr>
<tr>
<td>Policy code and number</td>
<td>G 021</td>
<td>Approved by Registrar</td>
</tr>
<tr>
<td>Date sent to VC</td>
<td></td>
<td>Approved by VC</td>
</tr>
<tr>
<td>Date sent to Council</td>
<td></td>
<td>Approved by Council</td>
</tr>
</tbody>
</table>

11.1. Interim Vice-Chancellor

i. The Interim Vice-Chancellor signs all documents pertaining to the transactions and actions authorised in the Act, the Rules and this framework.

ii. The Interim Vice-Chancellor performs any other managerial and administrative tasks delegated to him/her or associated with the responsibilities of the Interim Vice-Chancellor.

iii. The Interim Vice-Chancellor may, subject to the provisions of the Act, the Rules and the approved delegation frameworks of the Interim Council, delegate his/her managerial and administrative tasks to any other member of staff. This includes but is not limited to the

- Signing of letters on behalf of the University;
- Signing of contracts and agreements on behalf of the University;
- Approval, after consultation with staff and the recognised labour union, of the working hours of staff;
• Approval of vacation, sick, special and any other form of leave;

• Confirmation or extension of individual probationary periods, after due process and in accordance with policy and labour practice;

• Acceptance of the resignations of staff;

• Approval of overtime in accordance with University policy and relevant legislative provisions;

• Approval, or otherwise, of requests in accordance with University policy to perform outside work;

• Approval of permanent and contract appointments, as well as the secondment, transfer and promotion of staff, subject to the provisions of the Act, the Statute and the approved delegation framework of Council; and

• Approval of the appointment of acting Heads of Departments, Divisions and Units for periods not exceeding three months.

d. The Interim Vice-Chancellor may appoint persons to replace members of staff (excluding members of the Interim Management Body) in their absence.

v. The Interim Vice-Chancellor may delegate to members of staff the authority to perform management and administrative tasks on behalf of the Interim Vice-Chancellor, and subject to conditions the Interim Vice-Chancellor may determine, to further delegate their tasks, provided that members of staff remain accountable to the Interim Vice-Chancellor and their line managers respectively in accordance with their job descriptions and their performance output agreements.
11.2 Members of the Interim Management Body

Members of the Interim Management Body shall perform the managerial and administrative tasks associated with the responsibilities of their respective portfolios (see the organogram of the University and the relevant job descriptions) in accordance with their job descriptions and performance output agreements, as well as the tasks delegated to them by the Interim Vice-Chancellor in accordance with the Act, the Standard Institutional Statute, the Rules and the approved delegation frameworks of the Interim Council.
NEW UNIVERSITY POLICY

12. COUNCIL APPROVED FINANCIAL DELEGATIONS
   BY THE VICE CHANCELLOR

POLICY CODE & NUMBER: G 022

<table>
<thead>
<tr>
<th>Name of Originator</th>
<th>C de Beer</th>
<th>Name of VC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approved by QC</td>
<td></td>
<td>Approved by Legal Div</td>
</tr>
<tr>
<td>Policy code and number</td>
<td>G 022</td>
<td>Approved by Registrar</td>
</tr>
<tr>
<td>Date sent to VC</td>
<td></td>
<td>Approved by VC</td>
</tr>
<tr>
<td>Date sent to Council</td>
<td></td>
<td>Approved by Council</td>
</tr>
</tbody>
</table>

Please Note:

i. This set of delegations is based on a particular management model.

ii. As the model would differ from institution to institution, the framework will have to be adjusted appropriately.

iii. Newly established institutions will be faced with unique challenges as their management models will not be populated fully from the outset.

iv. The amounts inserted in the framework are descriptive and would ultimately depend on the decision of Council and the management approach and the size of the institution.

v. The Framework is submitted to the New University as an example.
12.1 General provisions

i. This Framework has the status of Institutional Rules, and amendments or additions thereto must be approved by the Council.

ii. The Framework contains detail of the financial delegations by the Vice-Chancellor to Executive Management and other Senior Members of Staff.

iii. Line managers must, in consultation with his or her immediate supervisor, formulate further delegations to staff, subject to the approved delegation frameworks of the Council, its committees and the Vice-Chancellor. Such delegations must be submitted to the Vice-Chancellor for approval. Any delegation changing the University Rules, policy or procedure shall be null and void.

iv. The financial delegations of the Vice-Chancellor only apply to expenditure within Council approved budget provisions.

v. This Framework does not override any provision of the financial policy of the University, especially with regard to:

- the “one-up” principle;
- the co-signing of documents;
- procurement processes;
- the maximum amounts payable for conferences, workshops and entertainment;
- the allowance framework with regard to accommodation, travel, subsistence, car hire and airfares; and
- the transfer of funds within approved budget categories and items.
vi. It is not permitted for any employee to authorise financial payments to him/herself. Such payments must be signed by an authorised supervisor and, should the amount exceeds the authority of such a supervisor, approval of the next higher level of authority must be obtained.

vii. The Council and the Vice-Chancellor, respectively, reserves the right to, without prior notice, withdraw or reduce the extent of delegated authority, or decide on a reduced authority for employees functioning in an acting capacity.

12.2 Financial expenditure of the interim vice-chancellor

i. Payments due to the Interim Vice-Chancellor in terms of his/her conditions of service and applicable policy, must be co-signed by the Chairperson of the Interim Council or the Chief Financial Officer (when appointed), provided that any amount exceeding the maximum amount allowed in terms of the delegated authority of the Chief Financial Officer with regard to seminars, training programmes and workshops (R100 000), entertainment (R50 000), or the policy (and allowance framework) with regard to the maximum amounts payable for accommodation, travel, subsistence, car hire and airfares, must be approved by the Chairperson of the Interim Council.

ii. The delegation of the Chief Financial Officer is confined to the approval of expenditure related to the performing of official tasks by the Interim Vice-Chancellor.

iii. Foreign visits of the Interim Vice-Chancellor and associated expenditure may only be approved by the Chairperson of the Interim Council.
12.3 Council approved financial delegations from the vice-chancellor to executive management, senior members of staff and the bid adjudication committee

Subject to the Delegation Framework of Council to Committees and the Vice-Chancellor, the General Financial Policy of the University and the provisions set out in the Preamble to this Delegation Framework, the following delegations by the Vice-Chancellor (unless explicitly indicated otherwise, relating to the respective portfolios of the officials mentioned) are herewith approved by Council:

<table>
<thead>
<tr>
<th>POSITION</th>
<th>ORDERS</th>
<th>INVOICES</th>
<th>PAYMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(Quotations and Tenders)</td>
<td>IMMOBILE ASSETS (Maintenance and construction, excluding acquisition or sale of property)</td>
<td>MOVABLE ASSETS (Including consumables and equipment)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>BID ADJUDICATION COMMITTEE (BAC)</strong></td>
<td><strong>DEPUTY VCs (RESEARCH &amp; INNOVATION) (TEACHING &amp; LEARNING)</strong></td>
<td><strong>Entertainment, Conferences, Seminars and Training Sessions)</strong></td>
<td></td>
</tr>
<tr>
<td>------------------------------------</td>
<td>---------------------------------------------------------------</td>
<td>---------------------------------------------------------------</td>
<td></td>
</tr>
<tr>
<td>RECOMMEND to the Vice-Chancellor awards from R200 000 up to R6 million and to the Executive Committee of the Council from R6 million and more (per project/contract/transaction).</td>
<td>Up to R 500 000 per order/ per project (Co-sign with Chief Executive Officer) N/A (Co-sign invoices between R2 million and R3 million with the Chief Financial Officer) Up to R100,000 per invoice/transaction Up to R 500 000 per invoice/transaction (Co-sign invoices between R2 million and R3 million with the Chief Financial Officer) Up to R250,000 per invoice/transaction Up to R 500 000 per requisition (Co-sign payments between R2 million and R3 million with the Chief Financial Officer)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>DEPUTY VC (DESIGNATED BY THE VICE-CHANCELLOR)</td>
<td>Up to R3 million in the absence of the Chief Financial Officer (With co-signature of another Deputy Vice-Chancellor or the Registrar, as applicable, for amounts between R2 million and R3 million)</td>
<td>Up to R500,000 in the absence of the Chief Financial Officer</td>
<td>Up to R3 million in the absence of the Chief Financial Officer (With co-signature of another Deputy Vice-Chancellor or the Registrar, as applicable, for amounts between R2 million and R3 million)</td>
</tr>
<tr>
<td>REGISTRAR, EXECUTIVE DIRECTORS</td>
<td>Up to R200 000 per order/pe r project (Registrar co-signs invoices between R2 million and R3 million with the Chief Financial Officer in the absence of the Deputy Vice-Chancellor or the Registrar, as applicable, for amounts between R2 million and R3 million)</td>
<td>N/A (Registrar co-signs invoices between R2 million and R3 million with the Chief Financial Officer in the absence of the Deputy Vice-Chancellor or the Registrar, as applicable, for amounts between R2 million and R3 million)</td>
<td>Up to R100,000 per invoice/transaction</td>
</tr>
<tr>
<td>CHIEF FINANCIAL</td>
<td>Up to R3 million per invoice/transaction (With co-signature of a</td>
<td>Up to R500 000 per invoice/transaction</td>
<td>Up to R3 million per invoice/transaction</td>
</tr>
<tr>
<td>----------------</td>
<td>---------------------------------------------------------------</td>
<td>----------------------------------------</td>
<td>------------------------------------------</td>
</tr>
</tbody>
</table>

Sign with the Chief Financial Officer in the absence of the Deputy Vice-Chancellors)
<p>| OFFICER per order/project | Deputy Vice-Chancellor or the Registrar, as applicable, for amounts between R2 million and R3 million | (With co-signature of a Deputy Vice-Chancellor or the Registrar, as applicable, for amounts between R2 million and R3 million) | (With co-signature of a Deputy Vice-Chancellor or the Registrar, as applicable, for amounts between R2 million and R3 million) |
| DEANS | Up to R100 000 per order/project | N/A | Up to R100 000 per invoice/transaction | Up to R50 000 per invoice/transaction | Up to R50 000 per event/invoice/transaction | Up to R100 000 per requisition |
| DIRECTOR FINANCE | Up to R300 000 per order/project | Up to R300 000 per invoice/transaction | Up to R100 000 per invoice/transaction | Up to R300 000 per invoice/transaction | Up to R300 000 per event/invoice/transaction | Up to R300 000 per requisition (Advances and letters of credit above R100 000 to be co-authorised by the Chief Financial Officer) |
| SUPPLY CHAIN MANAGER | Up to R50 000 per order/ | N/A | Up to R25 000 per invoice/transaction | Up to R150 000 per invoice/transaction | Up to R5 000 per event/invoice/transaction | N/A |</p>
<table>
<thead>
<tr>
<th>Role</th>
<th>Up to R300 000 per invoice/transaction (With the co-signature of the Director Finance between R100 000 and R300 000)</th>
<th>Up to R100 000 per invoice/transaction (With the co-signature of the Director Finance between R100 000 and R300 000)</th>
<th>Up to R300 000 per invoice/transaction (With the co-signature of the Director Finance between R100 000 and R300 000)</th>
<th>Up to R50,000 per event/invoice/transaction</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>DIRECTOR: PP&amp;W</td>
<td>Up to R200 000 per order/invoice/transaction (With the co-signature of the Director Finance)</td>
<td>Up to R50 000 per invoice/transaction (With the co-signature of the Director Finance)</td>
<td>Up to R200 000 per invoice/transaction (With the co-signature of the Director Finance)</td>
<td>Up to R50 000 per event/invoice/transaction</td>
<td></td>
</tr>
<tr>
<td>DEAN OF STUDENTS</td>
<td>Up to R200 000 per order/invoice/transaction (With the co-signature of the Director Finance)</td>
<td>Up to R50 000 per invoice/transaction (With the co-signature of the Director Finance)</td>
<td>Up to R200 000 per invoice/transaction (With the co-signature of the Director Finance)</td>
<td>Up to R50 000 per event/invoice/transaction</td>
<td></td>
</tr>
<tr>
<td>HEAD STUDENT HOUSING</td>
<td>Up to R50 000 per order/project (Up to R75 000 in the absence of the Dean of Students)</td>
<td>N/A (Up to R75 000 per invoice/transaction in the absence of the Dean of Students)</td>
<td>N/A (Up to R75 000 per invoice/transaction in the absence of the Dean of Students)</td>
<td>Up to R5 000 per event/invoice/transaction</td>
<td>N/A</td>
</tr>
<tr>
<td>UNIVERSITY LIBRIRIAN</td>
<td>Up to R200 000 per order/per project (With the co-signature of the Director Finance between R75 000 and R200 000)</td>
<td>N/A</td>
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13. DELEGATION AND PROCEDURE FRAMEWORK: STAFF MATTERS

POLICY CODE & NUMBER: G 024

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<th>C de Beer</th>
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13.1 Context

i. This Delegation and Procedure Framework (Framework) deals with staff matters and must be interpreted subject to the provisions of the Higher Education Act, 1997, as amended, the Standard Institutional Statute and the Rules of the University. It describes the delegated authority of the Human Resource Committee (HRC) of the Interim Council (IC) and of the Interim Vice-Chancellor (IVC) with regard to the creation of new posts, the filling of vacancies and the appointment and promotion of staff.

ii. This Framework is not applicable to the creation or filling of vacancies, or the appointment or promotion of members of the Interim Management Body (IMB) (including the IVC). These processes are regulated separately.

iii. The aim with this Framework is to:
   - regulate the delegation of authority to the HRC and the IVC with regard to staff matters;
   - clarify certain concomitant procedural matters;
• expedite the process for the approval of new posts and the permission for the filling of vacancies; and
• ensure compliance with the prescripts of the Higher Education Act, 1997, as amended (Act), with regard to the appointment of academic staff.

13.2 Filling of vacancies and the creation of new posts

Approval of Posts

i. Approval for the creation of new posts on the staff establishment of the University must be acquired from the HRC before implementation.

ii. Approval for the filling of vacancies (academic and support) is given by the IVC, assisted by members of the IMB, provided that any deviation from the Council approved organogram or staff establishment, or any approval leading to expenditure (especially recurring expenditure) not approved in the budget, must be submitted to the HRC for approval before implementation.

iii. The Line Managers (LM) could be requested to motivate the request for the filling or creation of posts at a meeting of the HRC or the IVC, as applicable.

iv. Permission for the filling of vacancies or the creation of new posts may only be given if it is clear that the filling/creation is essential in terms of the immediate operational needs of the University, that it fits in with the existing or envisaged academic offering and that it supports the envisaged model and configuration of the support services. The IC’s approved staff establishment, current staffing levels and the financial implications (especially recurring expenditure) of the request have to be considered in full.

Meetings

v. In order to facilitate the meeting at which the requests to fill a vacancy or to create a new post have to be considered, it will be expected of the LM to submit appropriate documentation at least five days before the date of the meeting.

vi. Meetings to consider the filling of vacancies and the creation of new posts take place as necessary.
Temporary appointments

vii. The provisions of clause ii to iv above are not applicable to requests for the filling of posts appearing on the IC’s approved staff establishment (and fully budgeted for on an annual basis) that are earmarked for the temporary appointment of students and junior staff members in identified categories. Requests for the filling of vacancies in such posts are dealt with by the relevant LM.

viii. All requests to fill posts on the Council approved staff establishment for which full provision has already been made in the budget, on a temporary basis, must from the outset be submitted to the IVC for approval, with due observance of relevant appointment procedures. The member of the IMB responsible for human resources must see to it that the extension of term appointments takes place in such a manner that it does not create expectations with staff of further extensions.

ix. Requests for the filling of posts, on a temporary basis as a result of the death, retirement or unforeseen resignation of staff are dealt with by the relevant LM with the understanding that such filling is necessary on the grounds of urgent operational needs of the University and with the understanding, furthermore, that said appointment shall not exceed an initial term of more than six months. Requests for the further extension of such appointments on a temporary basis have to be submitted to the IVC, who may grant a further extension of a maximum of six months subject to appropriate conditions. Any further extension must comply with the provisions.

13.3 Appointment and promotion of staff

Delegations

i. As far as the appointment and promotion of staff is concerned, the following delegations and concomitant processes are hereby confirmed by the IC.

ii. With due observance of the statutory obligation of the IC to perform the functions relating to the governance of the University and, in particular, to appoint an interim body to manage the day-to-day activities of the University and to ensure that such structures as may be determined in the Standard Institutional Statute are constituted, the IC herewith, subject to the provisions
of the Act and the Rules (especially the Rules with regard to the appointment of members of the IMB), delegates the responsibility to appoint members of staff to the HRC and the IVC, as applicable.

iii. The final approval of the appointment and promotion of staff at the level of Associate Professor and higher (academic staff) and Peromnes post level 4 and higher (support staff), which includes the appointment as head of department of an academic or support department, vests in the HRC. As far as all other post levels are concerned, the authority to finalise appointments and promotions rests with the IVC, who finalises the appointments with due observance of applicable post requirements.

iv. The HRC shall consist of the HRC as constituted in accordance with the Charter of the Human Resource Committee of the Interim Council. The HRC may

- after the constitution of the Senate co-opt no more than two members of Senate with at least the status of Associate Professor to assist the committee with the appointment and promotion of academic staff;
- appoint no more than two external experts with appropriate knowledge and status to advise the committee on the appointment and promotion of staff; and
- allow a representative of a recognised labour union and a representative of the Student Representative Council (SRC), when constituted, to attend meetings as observers.

The IVC may

v. co-opt no more than two members of staff with appropriate knowledge and status to assist him or her with the appointment and promotion of staff; and

vi. allow a representative of a recognised labour union and a representative of the SRC, when constituted, to attend meetings as observers.

vii. Should compliance with the prescripts for the composition of a committee in a particular instance prove to be impossible due to the unavailability of suitably qualified staff to fill the prescribed positions, the Chairperson of the HRC or the IVC, as applicable, may authorise appropriate deviations. Such deviations must be recorded in writing and reported to the HRC as soon as possible. Committees must be race and gender representative as far as possible.

viii. The IVC may further delegate his or her authority in terms of clause 3.2 and 3.3 to other officials of the University, subject to the provisions of the Rules and this Framework. Such further delegations by the IVC must be submitted to the HRC for approval. It is expected of
the IVC and other officials executing delegated authority to report on the execution of said delegations on a regular basis.

Procedure

ix. The HRC and the IVC, as the case may be, must consult with the Senate (when constituted) or a committee of Senate (when constituted) with regard to the appointment and promotion of academic staff.

x. Staff affected by the decisions of the HRC, the IVC and other delegated officials could, in writing, request a review of the decision by the delegating authority. Reasons for the request must be furnished.

xi. The IVC may, in instances where the final approval of the appointment or promotion of staff vests in the HRC, submit written comments or recommendations to the Committee with a view to facilitating the finalisation of the appointment or promotion.

xii. The HRC, the IVC and delegated officials may request further evidence or documentation, and/or that further discussions be held with a view to finalising an appointment or promotion.

Meetings

xiii. Meetings for the consideration of appointments or promotions by the HRC or the IVC may be combined with meetings during which the filling of vacancies or the creation of new posts are considered.

xiv. With a view to the consideration of candidates for appointment or promotions, the following documentation has to be submitted to the HRC and the IVC, as applicable:

- A comprehensive CV of the candidate;
- A self-evaluation by the candidate;
- In the case of promotion, a motivation by the LM that either supports or does not support the promotion, with due consideration of the core outputs related to the post;
- In the case of promotion to or appointment of academic staff as Senior Lecturer or higher and in the absence of an NRF rating, an external reference of an expert in the relevant discipline that provides the HRC or the IVC, as applicable, with an evaluation of the academic status or capability of the candidate;
- In the case of appointment of administrative and support staff on post level 8 or higher, a reference by an expert regarding the expertise of the candidate in that particular field;
• Appropriate reports of the external references that were consulted, in the case of appointments; and
• In the instance of the appointment and/or the promotion of candidates by the HRC, the written comments or recommendations of the IVC, as contemplated in clause xii.

xv. The HRC and the IVC respectively meet with a view to the consideration of promotions on times that have been scheduled in advance for this purpose.

xvi. With a view to the filling of approved vacancies, the HRC or the IVC or the delegated officials, as the case may be, meet to compile a short list from the list of candidates (applicants) for a particular post in accordance with the (advertised) requirements for the post, and subsequent thereto to conduct the necessary interviews with candidates on the short list. When compiling the short list the presence of co-opted and external members is not a requirement.

xvii. The secretarial and logistic support for the meetings is the responsibility of the IVC.

Temporary appointments

xviii. As far as the appointment of temporary staff and the appointment of junior staff and students in identified posts are concerned (see clauses 2.7 and 2.9), such appointments are dealt with by the LM in consultation with other members of the Department/Division/Unit. A member of the recognised labour union that enjoys observer status may be invited to attend the meeting.
### 14. RULES PERTAINING TO THE APPOINTMENT OF THE INTERIM MANAGEMENT BODY

**POLICY CODE & NUMBER: G 030**

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#### 14.1 Legislative framework and context

In terms of section 20 of the Higher Education Act, 1997, as amended, the Minister of Higher Education and Training may establish a university, technikon or college after consultation with the Council for Higher Education.

In terms of the Act the Minister must establish an Interim Council for a newly established institution to perform the functions relating to the governance of the institution.

Apart from the above functions the Interim Council must in particular-

- appoint an interim body to manage the day-to-day activities of the institution;
- ensure that a council is constituted in terms of the Standard Institutional Statute contemplated in section 33(3) of the Act; and
- ensure that such other structures as may be determined in the Standard Institutional Statute contemplated in section 33(3) of the Act are constituted.

It is further enacted that any decision of the Interim Council which may affect the right of any structure of the University may only be taken after consultation with such structure.
The initial term of office of the Interim Council may not exceed six (6) months and may be extended by the Minister once for a further six (6) months.

From the above prescripts it is obvious that the Interim Council must appoint the Interim Management Body as soon as possible after its constitution to be able to execute its mandate within the prescribed term of office.

It would be incumbent on the Interim Council to develop and approve at its first meeting an interim management model and structure to guide the Council in recruiting and appointing the members of the Interim Management Body.

The Rules for the recruitment and appointment of staff described in this document were developed on the premise that the Interim Council would approve a management structure that would provide for an Interim Vice-Chancellor and an approved number of other key members, constituting the Interim Management Body. Without anticipating the structure as such it is submitted that the Interim Management Body should include competencies and skills pertaining to the core functions of a university (teaching and learning, research and community engagement, with the emphasis depending on the nature and scope of the institution), compliance and academic administration, student affairs (including student life, governance, support, development, accommodation and food provision), human resource provision and development, facilities and infrastructure provision and development and financial management (including knowledge of the audit and risk management function).

It is also assumed that the appointment of the (first) Interim Management Body will precede the constitution of any structure (other than perhaps the Interim Management Body) of the University, which would render the internal consultative obligation of the Interim Council impracticable. Should circumstances however necessitate the appointment of members of the Interim Management Body after the constitution of the Senate, the Institutional Forum and the Student Representative Council, the consultative procedures will have to be incorporated by the Interim Council as part of all the appointment procedures.

The aim with these Rules is to guide the Interim Council through the processes required to appoint the Interim Management Body expeditiously with due observance of legislative prescripts and good governance principles and in a transparent and consultative manner.
14.2 Recruitment and appointment: interim vice-chancellor

14.2.1 Introduction

As every public higher institution established under the Act is a juristic person and clear leadership with regard to the execution of the day-to-day responsibilities relating to management and administration is required, the Interim Council decided to appoint an Interim Vice-Chancellor for the University to head and lead the Interim Management Body as contemplated in section 20(10)(a) of the Act.

The Interim Vice-Chancellor will *ex officio* serve as the chief executive and accounting officer of the University, and is accountable to the Interim Council for the management and administration of the institution. The term of office of the Interim Vice-Chancellor will be determined by the Interim Council but will terminate with the appointment of a Vice-Chancellor for the University by the Council constituted in accordance with paragraph 8 to 20 of the Standard Institutional Statute.

The Interim Council has decided to adopt the following *principles* with regard to the functions, appointment and term of office of the Interim Vice-Chancellor:

14.2.2 Functions of the interim vice-chancellor

i. The Interim Vice-Chancellor is responsible for the management and administration of the University and has, subject to the provisions of subparagraph 3, all the powers necessary to perform these functions;

ii. The Interim Vice-Chancellor is responsible for discipline at the University;

iii. The Interim Council shall delegate to the Interim Vice-Chancellor all the powers necessary to perform his or her functions;

iv. The Interim Vice-Chancellor may in turn, subject to the Rules and the approved delegation frameworks of the Council, delegate functions to other employees or the chairperson of any committee;

v. The Interim Vice-Chancellor reports to the Interim Council;

vi. The Interim Vice-Chancellor is, subject to the Rules, *ex officio* a member of all the committees of the Interim Council and the Senate;

vii. The Interim Council may assign additional functions, and grant additional powers and privileges to the Interim Vice-Chancellor as contemplated in section 68(2) of the Act; and
viii. When the Interim Vice-Chancellor is absent or unable to carry out his or her functions, he or she may, subject to the Rules and in consultation with the Chairperson of the Interim Council, delegate all or part of his or her functions to another employee(s).

14.2.3 Appointment and term of office of the interim vice-chancellor

Appointment

i. The Interim Council shall, subject to the Rules and section 31(1) of the Act, appoint the Interim Vice-Chancellor; and

ii. Should the post of Interim Vice-Chancellor become vacant, the advertising of the post, the invitation for nominations of and applications by candidates, the search for suitable candidates, the applicable criteria for the short-listing of candidates and the interviewing and appointment processes take place in the manner determined by the Interim Council and the Rules of the University, subject to section 31(1) of the Act.

Term of office

i. The Interim Vice-Chancellor is appointed by the Interim Council for a period not exceeding the date of the commencement of the term of office of the Vice-Chancellor appointed by the Council constituted in accordance with sections 8 to 20 of the Standard Institutional Statute; and

ii. The term of Office of the Interim Vice-Chancellor is terminated in the event of-

iii. passage of time;

iv. death or incapacity;

v. resignation; or

vi. removal from office in accordance with the Rules or any other reason recognised by law. Before the Interim Vice-Chancellor is removed from office, he or she shall be afforded a reasonable opportunity to answer to the reasons provided by the Interim Council for such removal.

Recruitment

Although the recruitment of the Interim Vice-chancellor through advertising the position in the public media would under normal circumstances be part of a recruitment strategy, it might not to
be a practicable option due to the limited term of office of the Interim Council. This option is nevertheless provided for in the Rules.

**Advertisement**

i. With the view to appointing an Interim Vice-Chancellor for the University the Interim Council or a delegated Committee of the Interim Council, shall place an advertisement in the national and international press. In addition to the customary exposition of the duties and responsibilities of the Interim Vice-Chancellor and the requirements for appointment to the position, the advertisement should also contain an exposition of the required documentation and a reference to the applicable Appointment Regulation and Procedure.

ii. Candidates should submit their applications to the Chairperson of the Interim Council or the Chairperson of the delegated Committee of the Interim Council, as the case may be, by no later than 12:00 on the closing date stated in the advertisement.

Applications must be accompanied by –

- a full *curriculum vitae* as well as;
- an abbreviated (no more than two pages) *curriculum vitae*;
- the candidate’s declaration of intent;
- the names and contact details of at least three referees (provided that the University reserves the right to appoint and consult its own referees); and
- an indication in writing by the candidate that he or she accepts the recruitment and selection process of the University.

**Recruitment Agency**

Besides the external advertising of the position of Interim Vice-Chancellor, a search campaign, which may include the use of external recruitment agencies, can be undertaken at any stage under the direction of the Interim Council or a delegated committee of the Interim Council. The names of the candidates thus recruited accompanied by the requisite documentation must be submitted to the Chairperson of the Interim Council or the delegated Committee of the Interim Council, as the case may be, on the date determined, provided that the procedure must, with the necessary changes, be followed.
14.2.4 Consideration of candidates

Selection Panel (SP)

The Selection Panel (SP) shall consist of-

i. The Chairperson of the Interim Council (Chairperson) and the members of the Interim Council;

ii. The Director-General (or his or her representative) of the Department of Higher Education and Training; and

iii. At least two external persons with expertise and experience at the level of executive management (preferably at the level of Vice-Chancellor) at a higher education institution.

The quorum for the meeting of the SP is three members of the Interim Council (including the Chairperson), one representative from the Department of Higher Education and Training and one external expert.

Initial consideration

i. A meeting of the SP shall be convened as soon as possible after the closing date for applications and nominations, in accordance with the timeframe for the implementation and finalisation of the appointment process approved by the Chairperson of the Interim Council (see clause 7 below);

ii. The SP shall consider all the candidates for appointment in accordance with the requirements for appointment as advertised on account of their *curricula vitae* and declaration of intent;

iii. The full *curriculum vitae* and declaration of intent of each candidate will be made available to the SP;

iv. The SP shall compile a short list of possible candidates with a view to inviting the short-listed candidates to be interviewed by the SP;

v. The SP is entitled (but not obliged) to request all candidates on the short list to submit themselves to competency assessment to be conducted by a qualified service provider operating in the employment field. The said service provider is to be appointed by the SP or a committee designated by the Interim Council. The report or other formal documentation of
the assessment is confidential and will only be available to members of the SP. All documentation in this regard must be destroyed after the appointment process has been finalised;

vi. In the event that the SP is of the opinion that none of the applicants should be short-listed;
   • the appointment process must commence de novo as soon as practicable, while appropriate transitional measures must, in accordance with the circumstances, be instituted pending the finalisation of the process; or
   • the SP could make a recommendation to the Interim Council on an appropriate alternative process to proceed with the appointment.

Second consideration

i. A second consideration of the short listed candidates by the SP takes place by means of interviews with the candidates short-listed;

ii. Before candidates on the short-list are interviewed, the Chairperson of the SP will take appropriate steps to confirm all the candidates’ qualifications and to solicit appropriate referee reports;

iii. A meeting of the SP must be convened as soon as possible after the short-list of candidates had been compiled with the view to conducting interviews with all the candidates short listed;

iv. The SP shall consider the full curriculum vitae, declaration of intent and the referee reports in respect of each candidate on the short-list and the report of the qualified service provider (if applicable).

v. After the interviews with the candidates, the members of the SP shall make a substantiated decision regarding the suitability for appointment of the candidates. Should the SP be of the opinion that more than one candidate is suitable for appointment in accordance with the advertised requirements the candidates may be rated in order of preference. In the event that no candidate obtains an absolute majority of the votes of the members of the SP present at the meeting in accordance with the voting procedures described in clause vi below, no appointment shall be made.

vi. The members of the SP shall cast their votes by way of closed ballot. In the event that no candidate enjoys the support of the majority of the SP members who are present at the meeting during a first or subsequent round of voting, the candidate with the least number of votes in a specific round is eliminated. Where there is a tie between two candidates for the least number of votes, the SP votes in a separate round on which of the candidates proceeds to
the next round. The candidate receiving a simple majority of the votes goes through to the next round. The process is repeated until one candidate enjoys the support of an absolute majority of the members of the SP present at the meeting; provided that where only one candidate remains and is unable to obtain an absolute majority of the votes of the members of the SP present at the meeting, no appointment shall be made and the provisions set out in clause Initial Consideration vi above shall apply;

vii. The Chairperson of the SP is compelled to make prior arrangements with an independent firm of auditors to supervise the voting process and to tally the votes;

viii. After voting, the Chairperson of the SP shall announce the results of the ballot to the SP and adjourn the meeting;

ix. Immediately after the Chairperson has adjourned the SP, the Interim Council shall meet to-

- Confirm the appointment of the Interim Vice-Chancellor;
- Confirm the term of office of the Interim Vice-Chancellor in accordance with the Rules;
- Determine the conditions of service, privileges, responsibilities of the Interim Vice-Chancellor; and
- Subject to University policy, the academic status and title of the Interim Vice-Chancellor;

OR

- Determine an appropriate process to proceed with the appointment.

tax. The position of Interim Vice-Chancellor shall be offered to the candidate who enjoys the support of the majority of the members of the SP present at the meeting; and

xi. Where the preferred candidate does not accept the offer of appointment, the position may be offered to the next candidate in accordance with the order of preference, if applicable. In the absence of such an order of preference, no appointment shall be made and the provisions set out above shall apply.
14.3 Recruitment and appointment: members of the interim management body

14.3.1 Term of office

i. The term of office of members of the Interim Management Body will be determined by the Interim Council, provided that the term of office of a member may not exceed the date of the commencement of the term of office of members of the Management Team appointed by the Council constituted in accordance with sections 8 to 20 of the Standard Institutional Statute.

ii. The term of Office of a member of the Interim Management Body is terminated in the event of-
   - passage of time;
   - death or incapacity;
   - resignation; or
   - removal from office in accordance with the Rules or any other reason recognised by law.
   Before the member is removed from office, he or she shall be afforded a reasonable opportunity to answer to the reasons provided by the Interim Council for such removal.

14.3.2 Duties and responsibilities

i. Members of the Interim Management Body (IMB) assist the Interim Vice-Chancellor (IVC) in the management and administration of the University. The University consists of the following campuses …………..;

ii. Members of the IMB have the powers and duties conferred upon them by the Interim Council, the Rules and the Conditions of Service of staff of the University. The Interim Council may in addition assign specific responsibilities and duties to members of the IMB, after consultation with the IVC;
iii. The detailed portfolios of members of the IMB are determined by the IVC in accordance with
the structure approved by the Interim Council, the Rules and the Conditions of Service of
Staff; and

iv. The IVC could delegate authority to members of the IMB, including authority delegated by
the Interim Council to the IVC with the approval of the Interim Council. The IVC however
remains accountable to the Interim Council and its Committees as determined in the charters
of the respective committees.

14.3.3 Nature of appointment

i. Members of the IMB are appointed full time on a fixed term contract with a term of office
determined by Council in accordance with the Rules;

ii. The final approval of the appointment of members of the IMB rests with the Interim Council;
and

iii. The Interim Council determines, in consultation with the IVC, the conditions of service and
privileges of members of the IMB.

14.3.4 Appointment procedure

General

i. The procedure as set out below is applicable to the filling of approved positions in the IMB,
excluding the appointment of members in an acting capacity;

ii. Positions are filled in accordance with the structure (organogram and management model) as
approved by the Interim Council or a committee of the Interim Council with appropriate
delegated authority; and

iii. The IVC shall determine, in accordance with the approved organogram and management
model, the responsibilities associated with the post.
**Advertisement**

i. With the view to appointing a person to the IMB the IVC, acting on the instructions of the Interim Council or a delegated committee of the Interim Council, advertises the position externally in the national and international press. The advertisement should at least contain a framework of the responsibilities associated with the vacancy, specify the minimum requirements for the position and the documentation applicants have to submit with their applications;

ii. Candidates should submit their applications to the IVC or the Chairperson of the delegated Committee of the Interim Council, as the case may be, by no later than 12:00 on the closing date stated in the advertisement. Candidates must confirm in writing that they accept the recruitment and selection process of the University; and

iii. Applications must be accompanied by a full as well as an abbreviated (not more than two pages) *curriculum vitae*, a self-evaluation by the applicant of his/her suitability for appointment, the applicant’s vision for the portfolio as well as the names and contact details of at least three referees. The University however reserves the right to consult its own referees.

**Recruitment agencies**

Besides internal and external advertising, a search campaign, which may involve external recruitment agencies, can be undertaken under the supervision of the Interim Council committee with delegated authority or the IVC, depending on the decision of the Interim Council. Candidates thus recruited will be requested to submit their applications, accompanied by the requisite documentation, at a date determined in accordance with clause 7 below. This procedure may be followed at any stage before or after the closing date for applications, provided that the procedure described above, with the necessary changes, shall be followed.
14.4 Initial consideration by the selection panel (sp): short listing of candidates

i. A meeting of the SP shall convene as soon as possible after completion of the processes described above in accordance with the approved time frame. All the documentation submitted by the applicants shall be made available to the SP;

ii. The SP shall compile a short list of candidates in accordance with the requirements for the post as advertised with a view to inviting the short-listed candidates for interviews;

iii. Should the SP be of the opinion that none of the applicants should be short-listed, the appointment process shall commence de novo as soon as practicable and/or the Interim Council or its committee with delegated authority, in consultation with the IVC, while appropriate transitional measures required by prevailing circumstances remain in force.

14.4.1 Competency assessment

The SP is entitled (but not obliged) to request all candidates on the short list to submit themselves to competency assessment to be conducted by qualified service providers operating in the employment field. Said service providers are to be appointed by the IVC in consultation with The Chairperson of the Interim Council or a committee of the Interim Council with appropriate delegated authority. The report or other formal documentation of the assessment is confidential and will only be made available to the Chairperson of the SP. All documentation in this regard must be destroyed after the appointment process is finalised.

14.5 Consideration by the institutional forum: pronouncement on the suitability for appointment of all candidates short-listed (applicable only after constitution of this structure)

i. The full curriculum vitae and vision for the portfolio of each candidate on the short-list for the vacant position shall be made available to members of the Institutional Forum;
ii. The Institutional Forum makes a pronouncement in accordance with the advertised requirements for appointment on the suitability for appointment of each candidate on the short-list at a formal meeting of the Forum;

iii. A candidate shall be deemed to be suitable for appointment by the Institutional Forum if 50% plus 1 of the members present at the meeting vote in favour of a specific candidate’s suitability;

iv. Voting shall be conducted by means of a closed ballot under supervision of an independent firm of auditors;

v. The auditors count the votes in the presence of two members of the Institutional Forum nominated by the Forum representing more than one constituency; and

vi. The ballot papers and the record of the votes in the Institutional Forum shall be sealed and furnished to the Chairperson of the SP by the Chairperson of the Forum, after announcing the outcome of the voting to the Forum.

vii. Consideration by senate: pronouncement on the suitability for appointment of candidates on the short-list for positions on the IMB with academic or academic administrative responsibilities (typically the interim DVCs and interim Registrar) (Applicable only after constitution of this structure)

• The full *curriculum vitae* and vision for the portfolio of each candidate on the short-list shall be made available to members of Senate;

• Senate makes a pronouncement in accordance with the advertised requirements for appointment on the suitability for appointment of each candidate on the short-list at a formal meeting of Senate;

• A candidate shall be deemed to be suitable for appointment by Senate if 50% plus 1 of the members present vote in favour of a specific applicant’s suitability;
• Voting shall be conducted by means of a closed ballot under supervision of an independent firm of auditors. The auditors count the votes in the presence of two members of Senate, nominated by Senate; and

• The ballot papers and the record of the votes in Senate shall be sealed and furnished to the Chairperson of the SP by the Chairperson of Senate, after announcing the outcome of the voting to Senate.

viii. The Chairperson of the SP may, after consultation with the IVC, request candidates short-listed for the positions on the IMB with academic or academic administrative responsibilities to make a short presentation to members of Senate before Senate is requested to vote on the suitability for appointment of candidates. The Chairperson of Senate could (but is not obliged to) allow time for questions and answers (Applicable only after constitution of this structure);

ix. When the appointment of a member of the IMB with responsibilities for student affairs is considered, the IVC may consult the Student Representative Council (SRC) and student leadership in general on the suitability for appointment of the candidates short-listed by the SP as he/she deems fit. The IVC shall report the view of the student community to the SP through his/her recommendation to the SP (Applicable only after constitution of this structure);

14.5.1 Second consideration by the selection panel (sp): interviews with short-listed candidates

i. A meeting of the SP shall be convened as soon as possible after the voting by the Institutional Forum, the Senate and the Faculty Board, as applicable, in accordance with the approved time frame;

ii. The SP shall at this meeting conduct interviews with all the candidates short-listed;
iii. The SP shall consider the full *curriculum vitae* and self-evaluation of the candidates for appointment in the post, the candidate’s vision for the portfolio, the referee reports as well as the voting by the Institutional Forum, the Senate and the Faculty Board as applicable. Where a report from a qualified service provider was requested, the Chairperson of the SP shares a brief summary of the findings and recommendations of the Service Provider as prepared by the Provider on a confidential basis with members of the SP;

iv. Before deciding on the appointment of a candidate the SP shall also consider the recommendation of the IVC on the suitability for appointment of short-listed candidates; and

v. After the interviews have been concluded the SP shall decide on the suitability of the candidates interviewed for appointment. Should the SP be of the opinion that more than one candidate could be considered for appointment, candidates must be placed in order of preference.

### 14.6 Competencies to finalise the appointment

i. The decision of the SP could consist of the following:

- To make an offer to only one of the candidates on the short-list; or

- To offer the position to identified candidates on the short-list in accordance with an order of preference; or

- Not to make an appointment. In this instance the appointment process as set out in these Rules commence as soon as practicable, while appropriate transition measures, in accordance with the circumstances, remain in force pending the finalisation of the process.

ii. Members of the SP shall cast their votes by way of closed ballot;
iii. Only candidates enjoying the support of the majority of the members of the SP present may be considered for appointment. This is also applicable when the SP compiles the order of preference;

iv. In the event that no candidate enjoys the support of a majority of the members of the SP present at the meeting during the first or subsequent round of voting, the candidate with the least number of votes in a specific round is eliminated. The process is repeated until one candidate enjoys the support of the majority of the members of the SP present, provided that where only one candidate remains and is unable to obtain the majority of the votes of the members present, the SP shall recommend to the Interim Council that no candidate on the short list be appointed;

v. If the votes are tied between two candidates, the Chairperson of the SP shall in all instances cast the deciding vote;

vi. Voting takes place under the supervision of an independent firm of auditors appointed by the Interim Council;

vii. The decision of the SP serves as a recommendation to the Interim Council who may ratify the decision, refer the matter back to the SP for further consideration or take any other appropriate decision. The Interim Council may consult with the IVC or any other stakeholder grouping before a final decision is taken, provided that, when the SP does not recommend the appointment of any of the short listed candidates and the Interim Council wishes to consider the appointment of a candidate short-listed or wishes to consider any other candidate, the prescribed or recommended consultation with the Senate, Institutional Forum or SRC, as appropriate, must/may be followed (only when applicable). The outcome of the selection and appointment process is only made public after formal announcement of the decision of the Interim Council by the Chairperson of the Interim Council; and
viii. The Interim Council, in consultation with the IVC, determines, subject to the Rules, the term of office, the conditions of service, duties and functions and the academic status and title (where applicable) of the candidate who has been offered a position.

14.7 Selection panel (SP)

i. The SP shall consist of the following:

- The Chairperson of the Human Resources Committee of the Interim Council or, in his/her absence, another member of the Committee appointed by the Chairperson of the Committee (Chairperson)
- Members of the Interim Council serving on the Human Resource Committee
- The IVC
- The DVCs (when appointed)
- One member of the academic staff with at least the academic rank of associate Professor (when appointed)
- Two external members with appropriate status and experience in Higher Education
- One representative from the recognised Labour Union with observer status (if applicable)
- Two members from the SRC with observer status (when constituted)

ii. The quorum of the SP is -

- the Chairperson of the Committee or his her representative
- one member of the Interim Council serving on the Human Resource Committee
- the IVC and
- one external member.

iii. Internal members of the SP as well as members with observer status will be involved in the (1) recruitment and advertising, (2) evaluation and short listing, (3) interviewing, (4) selection and appointment of candidates;

iv. External members shall be included in the (1) interviewing (2) selection and appointment of candidates;
v. Members of the SP with observer status could be allowed by the Chairperson to ask questions and to advise the Panel; and

vi. The deliberations and the outcome of the voting in the SP are confidential and all members, including those with observer status, will be required to commit to the confidentiality of the proceedings in writing. Any announcement whether private or public of the outcome of the selection and appointment process by the SP or its members is not allowed.

14.8 Verification of qualifications and reference checking

Before candidates on the short list are interviewed, the University will take appropriate steps to confirm the candidates’ qualifications and to request referee reports. The University reserves the right to consult referees it deems appropriate.

14.9 Participation of members of the interim council and nominees in proceedings

i. The Code of Conduct for members of the Interim Council will apply to all members of the SP with regard to proceedings at which candidates are discussed and/or voted for in accordance with this procedure; and

ii. In the event that a member of the SP representing a particular constituency has to recuse him or herself, the said constituency shall be entitled to appoint a substitute. In the case of an external member having to recuse him or herself, or not being able to attend, the Interim Council must appoint another person with the required expertise and experience.

14.10. Participation of candidates in proceedings

i. Applicants who are members of Senate and/or the Institutional Forum must withdraw from the proceedings of said bodies when voting on the suitability for appointment of candidates takes place; and
ii. In the event that a candidate represents an interest group on the Senate or Institutional Forum said structure shall be entitled to appoint a substitute.

14.11. Time frame

i. The Chairperson of the Interim Council shall, in consultation with members of the Interim Council, be responsible for setting a time frame with a view to the implementation and finalisation of the appointment of the Interim Vice-Chancellor; and

ii. The Chairperson of the Interim Council or the IVC (when appointed) in consultation with the Chairperson of the Interim Council, shall be responsible for setting a time frame with a view to the implementation and finalisation of the appointment of members of the Interim Management Body.

14.12 Acting appointments and filling of casual vacancies

i. Should any of the positions on the IMB become vacant, the Interim Council, (after consultation with the IVC should a vacancy of an ordinary member on the IMB arise), is entitled but not obliged to make an acting appointment;

ii. The responsibilities and benefits of the acting officials as well as the duration of the appointment will be determined by the Interim Council in accordance with applicable University policy; and

iii. The filling of vacancies on the IMB takes place in accordance with the Rules.
NEW UNIVERSITY POLICY

15. MANAGING AND PREVENTING ACTS OF PLAGIARISM

POLICY REFERENCE: G 035

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15.1 Policy statement

The university is responsible for developing and promoting academic integrity and improving trust in scholarly work, and for preventing plagiarism in educational and research material. This Policy articulates the university’s resolve to take a firm position against all acts of plagiarism and sets out the processes and procedures that will create awareness of plagiarism issues, monitor all acts of plagiarism and will enable transgressions to be acted upon in a uniform manner across the Institution.

SECTION A: POLICY

15.2 Purpose and rationale

Plagiarism constitutes a breach of academic integrity and compromises and undermines the values and processes by which knowledge is created, shared and evaluated. Such breach not only casts suspicion upon the integrity of the individuals involved, but also damages the reputation of the academic community. The university therefore has a responsibility to uphold academic integrity and to promote trust in scholarly work undertaken at the Institution and to prevent plagiarism within the Institution.
This Policy and Procedures on Managing and Preventing Acts of Plagiarism (“the Policy”) articulates the university’s resolve to promote academic integrity and to take a firm position against all acts of plagiarism. Its purpose is to establish consistent guidelines and procedures on how plagiarism at the university can be monitored and prevented at undergraduate, postgraduate and research levels in order to enhance academic integrity and ethical behaviour from the onset of a student’s and a researcher’s academic career.

The Policy’s premise is that acts of plagiarism do not necessarily stem from dishonesty and therefore adopts a nuanced approach that allows for formative, corrective and punitive approaches depending upon the particular circumstances. Accordingly, it sets out processes and procedures for creating awareness of plagiarism issues, for educating and monitoring, and for acting upon transgressions in a uniform manner across the Institution. Effective policy implementation will also enhance the university’s image as a quality academic institution.

The Policy is necessary for the following reasons:

- To get a shared and clear understanding of the nature of plagiarism
- To emphasise the need to educate the university community about plagiarism and its impact on them and the Institution
- To provide for monitoring, detection and prevention mechanisms and processes
- To establish uniform procedures for dealing with instances of plagiarism that comply with the principles of natural justice
- To contribute to academic integrity within the Institution
- To improve the quality of research at the university
- To augment the attributes of the university’s graduates
- To enhance the university’s academic reputation

The Policy should be read together with institutional codes of conduct, the Research Ethics Policy, the Disciplinary Codes for staff and students, and the Postgraduate Handbook. Referencing conventions within a particular academic discipline should also be considered.
15.3 Scope

This Policy applies to all persons who perform academic and administrative work at or on behalf of the university, where such work can reasonably be seen to be associated with the university and where the act of plagiarism has impacted or has the potential to impact upon the university’s academic and administrative reputation and/or standing. Without limiting its scope, the Policy has particular relevance to the conduct of academic and administrative staff, academic assistants and tutors, research fellows and associates, staff of entities affiliated or associated with the Institution, and undergraduate and postgraduate students.

15.4 Definitions

Category A Transgressions
First-time, minor infringements, often associated more with incorrect citation and referencing. Such instances usually stem from ignorance or lack of academic maturity and are seldom intentional. Such cases are usually restricted to undergraduate students in their first or second years of study.

Category B Transgressions
(a) Repeated Category A offences, or to relatively minor offences at a more senior academic level than second year; (b) first-time, more serious offences, irrespective of a student's year of study, where the offence would not attract a penalty of more than the loss of a Duly Performed (DP) certificate; (c) first-time minor offences perpetrated by postgraduate students; or (d) first-time minor offences perpetrated by members of staff. Category B offences are not necessarily committed intentionally.

Category C Transgressions
Major, serious infringements by students or staff; in circumstances where they acted intentionally or negligently.

Ethics
A set of principles of correct conduct, in this instance, in the academic environment of teaching and learning and research. It involves morality and specific moral choices to be made by a student, lecturer or researcher. Ethics are reflected in rules and standards directing the actions and conduct
of a person or the members of the university.

**Plagiarism**

Plagiarism is the act of submitting or presenting work, study material, assignments, research work or inventions of someone else, irrespective of its source, as one’s own creation; in some instances, even where credit or acknowledgement is given to the original source.¹ Plagiarism where a researcher makes use of his or her own previously-published work, without proper reference to the original work, is called self-plagiarism. (Note that fault is not part of the definition. A person’s intention, negligence or innocence is not relevant to determining whether conduct constitutes plagiarism.²)

**Plagiarism Detection**

Processes and procedures used to identify acts of plagiarism with the assistance of relevant detection tools such as anti-plagiarism software.

**Plagiarism Prevention**

Steps that reduce acts of plagiarism through education, creation of awareness, prevention and monitoring.

**Postgraduate student**

A student registered to do a postgraduate diploma, or an Honours, Master’s or doctoral degree, irrespective of whether it is a coursework or research qualification.

**Researcher**

A person who researches at the university and/or who produces research output in the name of or under the auspices of the university, irrespective of whether he or she is a staff member or student

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¹ Examples of conduct that may fall within the definition include:
- Using the direct words of another without using quotation marks (even where the passage is referenced)
- Unacknowledged copying of a sentence or two of text; or copying more extensive blocks of text
- Syndication of a single piece of work by more than one student (except where the assignment task is a legitimate group assignment)
- Borrowing and using another person’s assignment (with or without his or her knowledge and permission)
- Submitting an entire essay from another person or from the Internet; or infringing copyright

² However, these factors become material when determining the nature of any remedial or punitive action.
and could include Research Fellows, research associates, collaborators, co-authors and external supervisors of postgraduate students.

**Undergraduate student**
A student who is not a postgraduate student.

### 15.5 Guiding principles and values

The following principles govern the university’s approach to the identification and management of plagiarism and will inform any decisions and processes taken to ensure compliance with this Policy:

viii. The university has a responsibility to uphold academic integrity and to promote trust in scholarly work undertaken at the Institution.

ix. Academic activity within the Institution shall be conducted with scholarly integrity and excellence. Plagiarism constitutes a breach of academic integrity and compromises and undermines the values and processes by which knowledge is created, shared and evaluated.

x. Instances of plagiarism cast suspicion not only upon the integrity of the individuals involved, but also upon the reputation of the university and its academic community.

xi. Plagiarism is not only an issue in the academic sphere. The principles apply equally for ensuring that administrative work is conducted with integrity.

xii. Acts of plagiarism do not necessarily stem from dishonesty. In a society where preparation for academic endeavour is inadequate, different levels of academic maturity should be recognized and policies and rules should cater for such different situations by taking into account, in appropriate instances, possible lack of awareness of applicable standards and inadequate academic preparation in respect of the referencing protocols.

xiii. In a learning institution, the obligation for creating awareness and educating students about plagiarism and its impact on them and the institution is paramount. Although plagiarism
prevention is a group effort, academic staff members have a particular obligation to in this regard.

xiv. Plagiarism cases are not all the same and circumstances may dictate that ostensibly the same conduct should be treated differently. For example, a violation of academic integrity by a staff member or a postgraduate student may amount to no more than an academic misdemeanour in the first assignment of a first-year student; work submitted in the course of supervision is not a finished product and provides opportunity for education and remedial action; repeated offences would attract more serious responses; and disciplinary conventions might dictate that what constitutes plagiarism in one discipline does not attract the same reprobation in another.

xv. A nuanced developmental approach should be adopted in formulating remedial action and it must at all times be borne in mind that in a learning environment space should be made to accommodate mistakes and/or breaches of rules. Inculcating self-discipline should take precedence over imposing discipline upon another and a formative or corrective approach to remedial action should always be considered in the first instance. Punitive action should normally be reserved for serious and/or repeated violations, or where a person’s academic maturity would give rise to higher standards having been set.

xvi. The precepts of the Constitution and the principles of natural justice must govern procedures for acting upon transgressions. Accordingly, rules and the consequences of their breach must be certain, clear and known to the alleged transgressor; and compliance and remedial standards and procedures shall be uniform, transparent and evenly applied.

xvii. Compliance oversight should be conducted in a spirit of promoting research endeavours and the dissemination of results.

15.6 Structures for overseeing compliance of this policy

i. The university’s research ethics oversight structures comprise the following:

- Senate
• The university Research Ethics Committee (UREC).
• Faculty Boards
• Faculty Research Ethics Committees (FRECs)
• Committees and Tribunals constituted in term of this clause

ii. The structures mentioned in Clause 5.1 operate as a collective and any of them may, without derogating from their overall responsibilities, perform certain of their functions and obligations through other committees, or special ad hoc committees or tribunals set up for specific purposes.

iii. The committees established to implement this Policy have discretion to deviate from strict application of the relevant ethical guidelines where exceptional circumstances or common sense dictate, provided that the basic principles underlying this Policy are not compromised.

iv. It is important to note that Senate and the committees that oversee plagiarism focus primarily on research conducted at the university and the degrees and/or programmes that the university offers. They have the usual powers associated with dealing with academic matters. Where findings may impact upon contractual relations between the university and the person involved, additional processes in terms of the appropriate codes would have to be instituted. Such processes cannot, however, override or supplant the conclusions reached regarding issues of academic integrity.

v. Senate has overall oversight in respect of research integrity, but may delegate this function, in terms of this and other policies,\(^3\) to the Research Ethics Committee (UREC) and other committees that are accountable to that Committee (eg. Faculty Research Ethics Committees (FRECs)).

vi. The university Research Ethics Committee (UREC) implements, oversees and monitors research integrity at the university, including plagiarism, and shall

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\(^3\) For example, the Research Ethics Policy.
• Provide guidance on the interpretation and implementation of this Policy
• Receive faculty reports regarding Category A and B plagiarism in their faculties
• Act upon Category C transgressions
• Constitute ad hoc Plagiarism Tribunals to deal with specific instances
• Where necessary and/or appropriate, constitute ad hoc Plagiarism Tribunals to deal with specific instances
• Annually report to Senate on matters concerning plagiarism
• Periodically review the content and the implementation of this Policy

vii. **Departmental Plagiarism Committees** are committees constituted by Heads of Department to oversee and implement this Policy within a department, and to deal with Category A transgressions. The membership will vary according to the size and needs of the Department.

viii. **Faculty Research Ethics Committees** (FRECs) oversee and implement this Policy within faculties, receive departmental reports regarding Category A plagiarism cases and act upon Category B transgressions. They may constitute ad hoc Faculty Plagiarism Tribunals to deal with specific instances.

ix. Senate shall nominate two members from each faculty, who shall be academics, to serve on the **Senate Plagiarism Panel**. Panel members may from time to time be called upon to serve on tribunals constituted to deal with Category C transgressions or appeals from Faculty Plagiarism Tribunals.

x. In instances of Category C transgressions, the Chairperson of the UREC shall constitute a **Plagiarism Tribunal** to deal with the matter. In such instances the Plagiarism Tribunal shall comprise three members: The UREC Chairperson and two members drawn from the Senate Plagiarism Panel, one of whom shall be a member of the faculty in which the alleged plagiarism occurred and the other from another faculty.

xi. A Plagiarism Tribunal may also be constituted to adjudicate appeals in respect of Faculty tribunal decisions. In such instances the membership of the Plagiarism Tribunal shall be
drawn entirely from the Senate Plagiarism Panel, with one member from the faculty involved and two from other faculties.

xii. The Plagiarism Tribunal shall report its findings to Senate via the UREC.

xiii. A person who has been found guilty of a Category C transgression, may appeal the Plagiarism Tribunal’s decision. In such instances a Plagiarism Appeals Tribunal shall be constituted comprising the Vice-Chancellor or a Deputy Vice-Chancellor as the Chairperson and two members of the Senate Plagiarism Panel who were not part of the original decision. The Plagiarism Appeals Tribunal shall report its findings to Senate via the UREC. Subject to the overriding authority of Senate, its decisions shall be final and no further appeals shall be entertained.

xiv. In instances of Category A transgressions involving staff, the Plagiarism Tribunal, alternatively the UREC, may, in addition to taking action in respect of the academic transgression, refer the matter to the Executive Director, Human Resources for possible disciplinary action in terms of the Staff Disciplinary Code.

15.7. Roles and responsibilities

i. Academic staff

Academic staff members are responsible for creating awareness and for putting preventative measures in place
All lecturers must be able to use and apply programs used to detect plagiarism
Departmental Heads must report acts of plagiarism to the Deans of Faculties and the Deans will ensure that the Plagiarism Policy and procedures are duly implemented
Supervisors of postgraduate students and their research work are expected to follow the university policy on postgraduate supervisory practice and should, when reviewing drafts of students’ work, be vigilant in identifying potential plagiarism; and insist on students attending workshops that will familiarize them with best practice and the use of plagiarism detection software and databases.

ii. Students
During the first two years of study students must follow orientation and awareness programmes to educate them about plagiarism.

All postgraduate students should follow the procedure to check scholarly work for possible plagiarism whereafter a Plagiarism Declaration Form (Annexure B) must be completed.

iii. **Academic support**

The Library and Information Services Division, the Academic Development Unit and the Information Communication Technology Division will co-operate to ensure availability of orientation sessions and programmes, as well as software licensing and maintenance of approved detection programmes.

iv. **Faculty and Departmental Plagiarism Monitoring and Prevention**

FRECs are responsible for overseeing and coordinating awareness and preventative activities within their faculties and shall liaise with the designated persons in each department to ensure that appropriate steps are taken to implement this Policy.

Deans and Heads of Department must ensure that staff members are aware of the contents of the Policy and academic staff members are in turn obliged to educate their students in respect of their responsibilities in terms of this Policy.

At the beginning of each academic year Heads of Department should identify staff members who will oversee and implement this Policy in their departments, particularly regarding awareness training and taking preventative measures, and who will be available to assist other staff in dealing with Category A cases, and identifying Category B cases for referral to the FREC or Category C cases for referral to the UREC.

15.8. **Dealing with plagiarism**

i. **Awareness and training**

- Staff and students must be made aware of plagiarism and its consequences and the importance that the university attaches to the detection and prevention of plagiarism. The educational role is an on-going and shared one and it is incumbent upon University and
faculty managers, Heads of Department, lecturers, supervisors and tutors to make a concerted and sustained effort to make the university community aware of their obligations.

- Departments and academic staff must appreciate the importance of their roles in assisting students to acquire the academic discourse and their responsibility for taking active steps to provide students with an explanation as to why and how sources are used and cited in building academic integrity. In addition, because the nature of referencing and plagiarism is usually context-specific, departments, in collaboration with institutional support structures such as the Research Office, the Academic Development Unit and the Library and Information Services, are responsible for ensuring that students fully understand the nature of legitimate academic practice, of what constitutes illegitimate practice, and the potential consequences of such conduct, in that particular discipline.

- It is particularly important that students are alerted to the nature of plagiarism, are informed that it constitutes a serious offence, and are informed about the disciplinary procedures that are in place for dealing with suspected cases. Such information should not only be provided to them at the beginning of their studies, but there should be constant reminders afterwards.

- Without limiting the nature of any educational programme that the UREC or any other body or person might wish to follow, the following specific tasks should be undertaken:
  - The Research Office and Library staff shall conduct regular plagiarism workshops for staff and students
  - Faculty Research Ethics Committees shall supplement the university workshops with faculty-specific programmes
  - Departments shall expose students to the concept and the consequences, and train them on the citation, referencing and presentation conventions applicable to their disciplines.
  - Departments are encouraged to refer students and staff to the useful information literacy- and plagiarism prevention workshops provided by the Library.
  - The topic must be covered during departmental induction activities for new students. Such training could occur either in lectures or during the regular tutorial programme or in specialised sessions designed for this purpose. Students are alerted to the nature of plagiarism, are informed that it constitutes a serious offence, and are informed about the disciplinary procedures that are in place for dealing with suspected cases.
  - Such training should not occur at the first-year level only, but must be reinforced at each subsequent level, including postgraduate levels.
o Faculty and departmental student handbooks and study guides must contain information on plagiarism and its consequences, and how material from such sources as books, articles, the Internet and the work of other students, may and may not be used in the preparation of assignments, dissertations, publications and theses. Guidelines as to the extent of the loss of marks and other penalties for plagiarism (where such are appropriate) should be agreed by departments and should be made available to the students in hand-outs and study guides.

o All postgraduate students must attend at least one workshop on plagiarism and the contents of this Policy during the course of their studies towards a postgraduate degree, which shall become a prerequisite (DP requirement) for obtaining a postgraduate degree.

o In addition, supervisors must ensure that postgraduate students are aware of their obligations and responsibilities, and the supervision meeting minutes must record the fact that the supervisor has counselled the candidate in this regard.

ii. Preventative measures

• The university will purchase the rights to use acceptable and lawful text-matching, similarity-checking software, or to use an internet-based text-matching database to assist staff and students in cross-checking material and identifying situations where submitted material matches previously-submitted material or previously-published sources.

• Members of staff are compelled, in terms of their professional commitment to best academic practice, to be on the lookout for cases of plagiarism, and to deal with any such cases in accordance with this Policy and its procedures. Staff should be open to various detection and monitoring approaches.

• Monitoring and detection material should not be used only to detect possible plagiarism in final products. In line with the developmental and educational objectives of this Policy, such mechanisms should also serve to assist staff and student authors to improve their writing and referencing skills and to prevent instances of plagiarism in the final product.

• In compliance with this principle of promoting academic integrity, all postgraduate material submitted for final examination must be accompanied by a statement not only that the material constitutes the author's original work, but preferably also that it had been subjected
to the university’s text-matching and/or similarity-checking procedures to confirm that the work is original.

iii. Punitive measures

- The principle of legality, a standard principle underpinning punitive action, must be applied in all cases. In terms of this principle, a person should not be sanctioned in respect of rules that did not exist at the time the conduct was perpetrated, or that are not known to that person. It is therefore important, before punitive steps are taken, that the entire University community, staff and students, are made aware of this Policy, the plagiarism concept and the consequences of committing an act of plagiarism.

- In compliance with the principles of natural justice, punitive action must be uniform, consistent, impartial and equitable in their application. In addition, given the academic nature of the offence, punitive action should have a strong developmental focus, while not ignoring the other disciplinary objectives of punishment, which are to reprimand and discipline the individual, to regulate that person’s behaviour and the behaviour of the university community generally, and to deter the person and others from engaging in such conduct in future.

- In line with this Policy’s objectives, a gradual, incremental approach to punishing acts of plagiarism should normally be followed, determined by the nature of the offending conduct and the academic maturity of the individual involved.

15.9. Specific instances involving staff and/or researchers

i. Introduction

- Although the concepts of plagiarism, plagiarism prevention and referencing are sometimes not well understood by staff, such knowledge is an inherent requirement of an academic staff member’s job. It is therefore incumbent upon all academic staff members to become acquainted with this Policy and the obligations it imposes upon them in it. Ignorance of the nature and content of an inherent job requirement cannot constitute an excuse. Staff members are therefore encouraged to acquaint themselves regarding plagiarism and to attend training events that the university offers from time to time. Academic staff members
have an additional responsibility to ensure that their conduct serves as model academic behaviour for their students.

- As far as the members of the academic staff are concerned, it is important that staff themselves have the opportunity to be trained about plagiarism.
- Plagiarism perpetrated by staff in lecturing and research material shall ordinarily constitute either a Category B or C offence.

ii. Supervisors

- Supervisors are ordinarily not principal investigators of postgraduate candidates’ research and so would not be primary authors of a mini-dissertation, dissertation or thesis. It is therefore unlikely that a supervisor would be held responsible for a candidate’s plagiarism in a thesis that has been submitted for assessment.
- However, should a candidate and a supervisor subsequently publish thesis material, at which stage the plagiarism is revealed, then the supervisor may attract responsibility as a co-author in respect of that output. This matter is dealt with below.

iii. Members of a research group or team

- Members of a research group or a research team who are not cited as authors of a document will not be responsible for any plagiarized material that is contained in that document. As authors, they may attract responsibility, applying the rules set out below.

iv. Co-authors

- Instances arise where staff members are co-authors, with fellow employees, outside persons or students whom they have supervised, of work containing plagiarised material.
- All co-authors are presumed to be jointly responsible for the published material; in other words, each is responsible for the entire content of the publication, even those parts which they did not write themselves. Unless they can show that they were not at fault in any way in publishing the plagiarised work, they will be held to have perpetrated the plagiarism as if they were the principal author of that part of the work.
• It is therefore important to assess the co-author’s role in preparing and presenting the published output. A person who wrote the offending section will normally be accountable for what he or she wrote.
• In instances of an author who did not write the piece, the question arises as to whether or not he or she had been negligent; in other words, whether the person met or had acted below the standard of a reasonable co-author. A reasonable co-author would not checked every word against every document available on the Internet, for example, or use plagiarism tracking facilities to verify the words that a co-author had written; but such a person must be alert to the possibility, depending upon the academic maturity and experience of the co-author, of plagiarism violations and should recognise obvious instances. Crucial to the enquiry would be nature of the steps that the co-author took to prevent the risk of plagiarism occurring in the document. If reasonable preventative action was taken, even if such action did not succeed in preventing the plagiarism, the co-author cannot be said to have been negligent and therefore at fault.

SECTION B: PROCEDURES

15.10. Dealing with transgressions at undergraduate level

Although plagiarism constitutes unacceptable academic conduct, each instance should be considered on its merits in order to assess the appropriate remedial or punitive action. The concepts of plagiarism, plagiarism prevention and referencing are often not well understood by many students so, irrespective of the severity of a case, all instances plagiarism should be with sensitively; and developmental remedial action such as counselling and education should always be considered as a preferable first step, rather than simply imposing sanctions.

It is also important that students are alerted to the nature of plagiarism, are informed that it constitutes a serious offence, and are informed about the disciplinary procedures that are in place for dealing with suspected cases. Such information should not only be provided to them at the beginning of their studies, but there should be constant reminders afterwards.
15.11. Dealing with category a transgressions at undergraduate level

i. Category A transgressions constitute first time, minor infringements, and are usually handled by the staff member/lecturer who detects the offence, usually in conjunction with the lecturer in charge of the course, or the course coordinator.

ii. In cases where the student is new to the university, and/or where it is apparent that the student has committed such plagiarism because of a lack of understanding of what is required, the student should usually:

- Be counselled by the staff member concerned: the problem should be explained, the correct practice should be encouraged, and the student should be warned of the serious consequences of committing plagiarism again.
- The student may be required to get more training on plagiarism prevention and referencing techniques. This practice would reflect the importance of our educative role as far as plagiarism is concerned.
- In some cases it might be appropriate to ask the student to re-do the work to demonstrate that he or she has learnt from the experience.
- Additionally, if it is appropriate, a mark penalty could be imposed.

15.12. Dealing with category b transgressions at undergraduate level

i. Category B transgressions relate to repeated offences of a minor nature, or to relatively minor offences at a more senior academic level than first year, or to first time, more serious offences, where the offence would not attract a penalty of more than the loss of a Duly Performed (DP) certificate.

ii. Where a member of staff is uncertain as to whether an alleged case of plagiarism constitutes a Category A or B offence:
• This matter should be discussed with the Head of Department and/or members of the departmental plagiarism structures, and a decision should be taken that is consistent with previous practice in the department.
• In large departments, Heads of Department may delegate this role to a senior member of staff.
• If a category B offence is detected, the matter must be referred to the Head of Department or nominee, who must refer the matter to the relevant FREC for a hearing.
• The administrative and hearing processes should be compatible with the principles and processes set out in Clause 12 in respect of Category C transactions.

iii. Should a student be dissatisfied with the outcome of a hearing, he or she may appeal the decision by submitting a written document to the UREC Chairperson in which the grounds of appeal and reasons therefor are set out. The UREC Chairperson shall then constitute a Plagiarism Tribunal as envisaged in Clause 5.10 above.

15.13. Dealing with category C transgressions

i. This rubric sets out the procedures applicable to Category C transgression generally, irrespective of whether the alleged plagiarism was committed by an undergraduate or postgraduate student, or by a staff member or researcher. Adherence to these guidelines, with necessary adaptations to suit the nature of the cases involved, would normally ensure that the principles of natural justice are complied with.

ii. Where the Departmental Plagiarism Committee identifies a case that it considers serious enough to constitute a Category C case, it must refer the matter to the Head of Department, who in turn is responsible for reporting the matter to the Chairperson of the UREC and also notify the Chairperson of the relevant FREC. The Head of Department must include with the correspondence copies of the offending material and the sources from whence the plagiarism is alleged to have occurred (both suitably marked).
iii. The Chairperson of the UREC shall constitute a Plagiarism Tribunal and establish a time slot for the hearing. A person charged with a Category C offence must be given full written particulars of the allegation against him or her:

- The evidence should include the document with the allegedly plagiarised passages (suitably marked) and documentary evidence of the original source material (suitably marked);
- The person must be informed of the time and the place of the hearing in the written particulars
- The hearing must take place as soon as is reasonably possible, but not later than ten (10) working days after the matter is referred to the UREC Chairperson
- The person charged with having committed plagiarism, as well as any witnesses should be invited to attend the hearing;
- A student who is charged may be assisted by another student, or by a staff member or by a legal practitioner. A staff member, researcher or graduate/diplomate may be assisted by another staff member or by a legal practitioner. If a legal practitioner acts for the person charged, this will be at that person’s own expense

iv. The hearing must be conducted according to the requirements of natural justice. Under no circumstances may the hearing occur, and a decision be made, without the person having been afforded an opportunity to attend, and to state his or her case. If the person does not appear, the Tribunal should adjourn to ascertain where the person is, and why he or she did not attend the hearing. Where the person has failed to attend a hearing without proper reason, the person, if a student, may be reported to the university Public Protection Services (PSD hereafter), and if a staff member, to the Executive Director, Human Resources, for failing to comply with a lawful instruction.

v. Persons will not be able to put off the inevitable by non-attendance. If the person fails to attend for a second time without prior excuse, the matter may continue in his or her absence;

vi. The Head of Department in which the alleged transgression occurred, or a designated representative will normally present the evidence on behalf of the university, and the person charged (or his or her representative) and members of the Tribunal will have the right to question any person(s) who presents evidence;
vii. The person charged with the alleged transgression (or his or her representative) will have the opportunity to present evidence and the departmental representative and Tribunal members will have the right to ask questions of any person(s) who presents such evidence;

viii. After all the evidence has been presented, both parties shall be given an opportunity to make a statement and Tribunal members will have the right to ask questions of them.

ix. The Tribunal should then consider its decision. The standard of proof is on a balance of probabilities.

x. If the Tribunal finds that there was no plagiarism transgression, the matter is referred back to the lecturer and/or course coordinator for processing in the normal way.

xi. If the Tribunal finds that a person has committed plagiarism, he or she should be re-called and be given an opportunity to make a statement in mitigation of penalty. If necessary, the Tribunal members may ask questions of the person or his or her representative at this stage.

xii. The Tribunal should then adjourn to consider a suitable sanction.

xiii. In matters involving students, the Tribunal may:

- Exclude a student from the university, either permanently or for a specific period; provided that if permanent exclusion is considered to be the appropriate sanction, the matter must be referred to the Vice-Chancellor for confirmation.
- Withdraw a student’s Duly Performed certificate
- Reduce the mark awarded to a student, or award a mark of zero
- Order that a student should redo the work to the satisfaction of the Head of Department and/or lecturer
- Issue a written warning to a student
- Impose any other appropriate sanction or a combination of the above sanctions

xiv. In matters involving graduates, diplomats or awardees of other qualifications, the Tribunal may conclude that the qualification that had been awarded be revoked, in which event the matter must be referred to Senate and Council for confirmation.

xv. In matters involving staff and/or researchers, the Tribunal may:

xvi. Refer the matter to the Executive Director, Human Resources for possible disciplinary action

xvii. Direct that offending teaching material be revised to the satisfaction of the relevant Head of Department and Dean of Faculty
xviii. Direct that the transgression be acknowledged and that the research output and scholarly record be corrected, and it may indicate the specific corrective steps that need to be undertaken.

xix. Impose any other appropriate sanction, or a combination of the above sanctions.

xx. The Tribunal may suspend any penalty, either wholly or in part, usually with remedial and/or developmental conditions attached. (It should be remembered, however, that Category C cases, especially those at postgraduate level or staff transgressions, usually merit severe censure.)

xxi. Once the hearing process is complete, the Tribunal must within five (5) days of the hearing:

xxii. Provide the person with written reasons for its decision, both in regard to its finding and in regard to the penalty imposed.

xxiii. Provide the relevant academic Head of Department and Dean of Faculty with a copy of the findings.

xxiv. Provide the Research Office with a copy of the findings for record-keeping purposes.

xxv. Provide a report together with a copy of the findings to the Chairperson of the UREC for presentation to the UREC, and where appropriate, for onward submission to Senate and Council.

xxvi. The UREC shall consider the report and findings and, depending upon the severity of the case and the sanction imposed, decide whether or not the matter should also be referred to the Registrar’s Division for endorsement of the student’s academic record; or to the Director, Human Resources, to be placed on the staff member’s personal file.

xxvii. Should the person be dissatisfied with the Tribunal’s decision and or sanction, he or she may appeal the decision by submitting a written document to the UREC Chairperson in which the grounds of appeal and reasons therefor are set out. The UREC Chairperson shall then constitute a Plagiarism Appeals Tribunal as envisaged in Clause 5.13 above.

xxviii. Where a referred to either the Vice-Chancellor or to Council for confirmation, regard must be had to the Tribunal’s report as well as any report that the Dean of the relevant Faculty may wish to submit. No other evidence and/or documentation shall be considered. In the event of a revocation of a qualification, Council shall also have regard to Senate’s recommendation as to the appropriate sanction. Should the Vice-Chancellor or Council determine that permanent exclusion or revocation of the qualification is not an appropriate sanction, the matter shall be referred to the same Tribunal that imposed the sanction with an instruction to consider an appropriate alternative sanction, and report its revised decision to the UREC and Senate. The Registrar will be responsible for communicating this information.
to the persons involved. Where a qualification has been revoked, the Registrar must take the necessary administrative steps to, including the recall of the degree parchment and its destruction.

15.14. DEALING WITH PLAGIARISM TRANSGRESSIONS AT POSTGRADUATE LEVEL PRIOR TO GRADUATION

i. Procedures applicable before submission for assessment

In line with a developmental approach, preventative and remedial action should be taken in respect of any draft work (either course work or research work) that a student presents before the stage of submission of the work for examination. Such remedial action may take the form of counselling or attending a workshop on plagiarism, or preferably, both. This provision applies even in respect of final drafts.

The nature of the counselling should be such that the candidate understands why the conduct in question amounts to plagiarism and what other forms of conduct might constitute plagiarism, and the candidate should be warned of the consequences of plagiarism and that should any further plagiarism be revealed in drafts or final products submitted subsequently, disciplinary action could be taken against the candidate. In such an event, the normal procedures applicable to Categories B and C will apply.

ii. Procedures applicable on or after submission for assessment

- All postgraduate work submitted for assessment in the form of assignments, mini-dissertations, dissertations and theses must be accompanied by a declaration by the author(s) that the submitted work is the authors(s) original work and that it has not been plagiarized. (See Annexure B.)
- Where an examiner or assessor of material identifies acts of plagiarism, that examiner or assessor should provide a report indicating the nature and extent of potential plagiarism.
- The principles and procedures set out in Clause 7 above shall apply equally to postgraduate students, with the necessary changes; provided that any specific principles and procedures mentioned in this Clause shall take precedence.
Honours or Course-work Master’s material

- In the case of assignments or material submitted as part of an Honours or Master’s course work programme, the Head of Department must determine the category in which the alleged transgression falls and implement the appropriate steps. Where the Head of Department is directly involved as a supervisor/examiner, the Dean of the Faculty, or a senior member of the Department nominated by the Dean, should perform this task. Given the academic seniority of such students, such transgressions would seldom fall within Category A and should normally be either Category B or C offences.
- Allegations of plagiarism in a postgraduate research paper or mini-dissertation should be treated as a Category C offence.

Master’s dissertations and Doctoral theses

For allegations of plagiarism in Master’s dissertations and Doctoral theses, the following procedure should be adopted:

- On discovery of a possible plagiarism transgression, the matter must be referred to the Head of Department, whose task it is to collate the relevant evidence (which may include a report from one or more examiners) and to refer the allegation of plagiarism to the Chairperson of the UREC and also notify the Chairperson of the relevant FREC. Where the Head of Department or the Dean is directly involved as a supervisor/examiner, the Deputy Dean, or a senior member of the Faculty nominated by the Dean, should perform this task.
- The process described in Clause 10 shall apply equally to these matters, with the necessary changes.
- If the Tribunal finds that there is no case of plagiarism, the matter must then be referred back to the Head of Department (or appropriate nominee) for that person to process the matter in the normal way.

iii. Procedures applicable after the award of a degree, diploma or certificate

- This clause applies to all certificates, diplomas and degrees that the university awards.
• Should it transpire, after a degree, diploma or certificate has been awarded, that plagiarism normally falling within Categories B or C might possibly have occurred in material that had been submitted for assessment in the course of obtaining that qualification, the matter must be referred to the Head of Department and Dean of Faculty, whose task it is to collate the relevant evidence and to refer the allegation of plagiarism to the Chairperson of the UREC and also notify the Chairperson of the relevant FREC.

• The process described in Clause 10 shall apply to these matters.

15.14. **Dealing with plagiarism involving staff and/or researchers**

Plagiarism perpetrated by staff in lecturing and research material shall ordinarily constitute either a Category B or C offence.

All allegations of plagiarism involving staff and researchers must be referred to the Dean of the relevant Faculty, whose task it is to collate the relevant evidence and to refer the allegation of plagiarism to the Chairperson of the UREC.

The UREC Chairperson shall then constitute a Plagiarism Tribunal as envisaged in Clause 5.10 above.

15.15. **Record-keeping and reporting**

i. All academic departments shall keep records of all cases of plagiarism that have occurred in their departments.

ii. Each department shall ensure that

• The names of students involved in Category A cases
• The plagiarism findings of category B and C cases and copies of documents associated with the cases are reported and/or delivered to the Research Office immediately upon finalization of such cases.

iii. Plagiarism Tribunals and Plagiarism Appeals Tribunals shall similarly report their findings to the Research Office.

iv. The Registrar shall inform the Research Office of any decisions of Senate and Council regarding plagiarism matters.

v. The Research Office shall record all cases on a database set up for this purpose.

vi. This database may be accessed by Heads of Department (or their authorised nominees) to allow departments to ascertain whether a student has committed serious plagiarism before.

vii. In February of each year, the Research Office shall compile a report, to be submitted to UREC and thereafter, Senate, on incidences of Category B and C plagiarism across the university in the previous academic year.

viii. In appropriate instances, the Registrar’s Division and the Executive Director, Human Resources, shall endorse student academic records and staff personal files and maintain the records on file.

15.16. Implementation and oversight responsibilities

i. The project owner of this Policy is the Deputy Vice-Chancellor, Research and Innovation, who shall ensure that the Policy is presented for revision and review at the appropriate time.
ii. Oversight and implementation of this Policy vests in the UREC and the FRECs, but Senate has overarching oversight responsibility.

iii. Management and administration of this Policy and rests with the Office of the Deputy Vice-Chancellor, Research and Innovation and the Research Office.

15.17. Policy review

i. Council shall review the Policy on a three-yearly cycle.

ii. On recommendation of the Research Ethics Committee, Senate may review and amend Section B at any time, in which event the amendments take effect on the date of the Senate approval.

iii. The Policy owner may review or amend annexures that contain or illustrate forms or documents for effective administration and/or management at any time.

iv. All persons affected by the Policy must be notified of any amendments.

v. Nothing in this clause shall prevent Council from reviewing this Policy at any time prior to the stipulated three-year cycle, in which event a new cycle shall commence from the date of such review.

15.18. Acknowledgements and references

This document draws from similar policies developed at Rhodes University, Fort Hare and the University of Zululand all of which were authored by Professor Rob Midgely current DVC Research at the University of Zululand.
ANNEXURE A:

ORIGINALITY DECLARATION (ASSIGNMENTS AND PROJECTS)

Departments may adapt the template provided below to suit their academic needs.

ORIGINALITY DECLARATION

Name:

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Department:

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Title of Work submitted:

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1. The material that I am submitting together with this declaration is the product of my own work, or my group’s own unique group effort.

2. I understand that my research must be accurately referenced. I have followed the rules and conventions concerning referencing, citation and the use of quotations as set out in the Departmental and/or Faculty Handbooks.

3. I know that plagiarism means taking and using the ideas, writings, works or inventions of another as if they were one’s own. I know that plagiarism not only includes verbatim copying, but also the extensive use of another person’s ideas without proper acknowledgement (which includes the proper use of quotation marks). I know that plagiarism covers this sort of use of material found in textual sources and from the Internet.
4. I know that the university has a Plagiarism Policy and that the university considers plagiarism to be a serious academic offence.

5. I acknowledge that plagiarism is wrong. I also acknowledge that copying someone else’s work, or part of it, or taking material from the Internet, is wrong, and that submitting identical work to others constitutes a form of plagiarism. I know that persons who do so may be disciplined.

6. I understand further that if I allow someone to copy my work with the intention of passing it off as their own work, I would be party to that person’s unacceptable conduct. I have not allowed, nor will I in the future allow, anyone to copy my work with the intention of passing it off as their own work.

Signed ........................................... Date

..............................................
ANNEXURE B:

ORIGINALITY DECLARATION (MINI-DISSERTATIONS, DISSERTATIONS AND THESES)

ORIGINALITY DECLARATION

I acknowledge that I have read and understood the university's policies and rules applicable to postgraduate research, and I certify that I have, to the best of my knowledge and belief, complied with their requirements.

I declare that this mini-dissertation/dissertation/ thesis is, save for the supervisory guidance received, the product of my own work and effort. I have, to the best of my knowledge and belief, acknowledged all sources of information in line with normal academic conventions.

I further certify that this mini-dissertation/dissertation/ thesis is original, and that the material has not been submitted, either in whole or in part, for a degree at this or any other university. (Where the work is a continuation or progression of research that was submitted for another degree, e.g. an Honours project or a Master’s dissertation this must be stated clearly, the name of the work must be provided, and an explanation must be given regarding the extent of the current work’s originality.)

I have/have not subjected the document to the university’s text-matching and/or similarity-checking procedures. (One could indicate that this process applied only to some chapters or that it occurred during the course of the research and not in respect of the final product.)

Signature: ………………………………………………………………………………………………

Print Name: ……………………………………………………………………………………………

Date: ………………………………………………………………………………………………

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NOTE: The structures of an institution are entirely dependent on its shape, size and financial stability. At all times during the growth and development of a new institution, cost/benefit analysis are required to determine the path that should be followed between own staff and outsourced functions. Initially it is strongly suggested that all operational functions other than those directly concerned with Students, Teaching and Learning, Research and Community engagement are outsourced until the institution is sufficiently settled to carry those functions internally – both from a management and a cost point of view.

There are obviously some posts which, from a leadership and management perspective, are required to be filled from an early stage of the planning process.
16. EXECUTIVE STRUCTURES

Vertical functional and cross-cutting responsibilities of executives
(see in general: Bartlett & Ghosal “Matrix management: Not a structure, a frame of mind” Harvard Business Review; Burns & Wholey “Adoption and abandonment of matrix management programs…” Academy of Management Journal)

16.1 Organisational manifestation

The organisational manifestation of the vertical and cross-cutting responsibilities of executives at tertiary education institutions depends largely on the management approach of the Vice-Chancellor and the institutional capacities vested in the Office of the Vice-Chancellor.

i. Vertical and cross-cutting responsibilities

The vertical functional responsibilities of executives usually manifest through line responsibilities for identified support departments, required to execute cross-cutting and institution-wide responsibilities. The actual manifestation in this regard, however, depends largely on the management philosophy and size of the institution, the competencies of an incumbent and the sustainability of the institution. As the line manager of a support service, executive’s institutional leadership role is no different from that of any other Senior Manager.

ii. Cross-cutting and institution-wide responsibilities of executives, in particular those of DVCs, became increasingly important and influential as the reality dawned on institutions that Vice-Chancellors find it exceedingly difficult to provide the diverse disciplinary and high level technical leadership required to ensure the sustainability of the institution and enhanced levels of operational integration and efficiency due to the competitiveness, complexity and sophistication of the core functions of the institution. Emerging as a leading academic institution also depends on the ability of the institution to remodel the drivers of institutional processes, such as planning, resource allocation, infrastructure development and renewal, provision of campus services, etc. to dominantly reflect academic imperatives and priorities.
A migration away from the traditional formal hierarchical structure is also necessitated by the need for a quick institutional response to foci and priorities imposed on institutions by contextual realities, through national imperatives and the strategic aspirations of the institution itself. Easy examples are

- The quest for comprehensive institutional quality and renewal strategies; and
- A holistic institutional approach and strategy with regard to student governance, support, success, accommodation and the quality of student life.
- Cross-cutting responsibilities are executed through a matrix management approach, which is underpinned by the need of the institution to:
  - Supplement its strict vertical functional model with formalised institutional leadership amongst peers;
  - Function through networks of personal relationships, horizontal communication and accountability channels; and
  - Utilise customised institutional management vehicles.

Team-oriented and often project-driven arrangements promoting coordinated, multidisciplinary activity across functional areas, broad participation in decision-making and the sharing of knowledge have become key components of a management approach responding to contemporary challenges within the tertiary environment.

The leadership role and empowerment of executives, in particular in cross-cutting, multidisciplinary and team-oriented activities impacting on the core functions of the University and the quality of the academic enterprise, are critical in creating this institutional ability.

### iii. Matrix management approach: key success factors

Recognising cross-cutting and institutional responsibilities of DVCs with regard to undergraduate teaching and learning, postgraduate studies and research, is firmly embedded in tertiary education institutions. The practice to formalise and focus cross-cutting and institution-wide responsibilities transcending the above is more recent. This manifestation is dynamic and informed by the needs and priorities of the institution.
With due observance of the complexities surrounding the matrix management model itself, such as parallel reporting relationships, multiple information channels and overlapping responsibilities, a well-developed operational protocol must be developed and agreed, to steer clear of known pitfalls associated with the matrix management approach. Equally important would be the ability to capture individual capabilities, to broaden individual perspectives and to integrate individual thinking and activities into the institutional agenda. Identification with institutional goals is also indispensable.

A key performance output for executives with cross-cutting and institution-wide responsibilities is to develop policy frameworks and institutional plans and strategies, which embody and articulate objectives for the institution within their respective mandates, aligned with the strategic objectives of the institution. These executives will be assisted in the development and execution of the respective institutional plans by appropriately focused and resourced support structures, institutional teams and other senior managers.

iv. Menu of Cross-cutting responsibilities at the University

Determinants of cross-cutting and institution-wide responsibilities are, firstly, the inherent nature of the responsibility and, secondly, institutional needs and priorities. There is therefore no complete or final list, or ideal combination.

Whether these responsibilities vest in the portfolios of executives (and its institutional combinations), are determined by the management approach and preferences of the Vice-Chancellor as well as imminent institutional challenges.

It is recommended that the following typical cross-cutting, multidisciplinary and team-oriented functions should be recognised in developing the appropriate executive structures for the university:

- Undergraduate teaching and learning;
- Student academic development and support;
- Student leadership development, governance and services;
- Community engagement;
- Continuing education;
- Postgraduate teaching and research;
• Institutional quality assurance;
• Risk identification and management;
• Staff development;
• Institutional renewal (including transformation, employment equity, improvement plans and restructuring);
• Institutional research and planning (including academic and physical planning);
• Internationalisation;
• Corporate communication and marketing;
• Institutional advancement;
• Infrastructure development and provision (including facilities management, campus services and accommodation);
• Resource mobilisation and allocation (including financial planning and preparation of budgets);
• Information and communication technology services;
• Institutional compliance; and
• Operational integration and efficiency.

16.2 Deputy Vice Chancellors: Institutional perspectives

DVCs function at the same level and report to the Vice-Chancellor.

Although the titles of the DVCs may reflect their main cross-cutting and institution-wide responsibilities, it remains the prerogative of the Vice-Chancellor to revise, within acceptable principles of labour law and workload norms, the portfolios and responsibilities of DVCs. It should also be noted that it remains the prerogative of the Vice-Chancellor to retain direct line authority for certain cross-cutting responsibilities, or to allocate responsibilities to other Senior Managers, depending on institutional priorities, strategies and the capacity of the Office of the Vice-Chancellor.

It is also apposite to alert the institution to the peculiarities of a hybrid model incorporating principles of a matrix structure within the university environment.
The position of faculty deans in particular, needs to be clarified from the outset. Literature clearly indicates that the successful implementation of the principles of a matrix model hinges on a clear institutional protocol with regard to the inevitable multiple reporting lines, overlapping of responsibilities and the mandate and functioning of committees and project teams. Faculty deans are accountable to the Vice-Chancellor for the functioning of the faculty as a whole, while reporting to the respective DVCs on cross-cutting and institution-wide responsibilities. The accountability of faculty deans to focus, direct and align the activities of faculties holistically and institutionally (preferably by way of faculty plans), may be accommodated through a model whereby one of the DVCs would be assigned this cross-cutting responsibility by the Vice-Chancellor. A similar need may also exist with regard to support functions (again preferably by way of support services plans) and operations in general, which could also be covered through such an assignment.

The normative model of a university provides for three positions of DVC – DVC (Teaching and Learning) and DVC (Research and Innovation) with the following cross-cutting and institutional-wide responsibilities forming part of their respective portfolios:

- Undergraduate teaching and learning;
- Student academic development and support;
- Community engagement;
- Continuing education;
- Postgraduate teaching and research; and
- Academic staff development.

The third post at this level – DVC Operations – normally has the following institution wide responsibilities which all have a cross-cutting component in terms of effectively and efficiently providing the environmental support for the first two portfolios to perform at the desired levels:

- Institutional renewal (including transformation, improvement plans and restructuring);
- Institutional quality assurance inclusive of internal processes such as procurement;
- Institutional research and planning (including academic and physical planning);
- Risk identification and management;
- Infrastructure development and provision (including facilities management, campus services and DHET infrastructure development programmes);
• Information and communication technology services, and
• Operational integration and efficiency.

The additional DVC will be supported in the execution of his/her cross-cutting responsibilities by appropriate support services departments or units, some of which need to be capacitated or established. The DVC will have vertical functional (line) responsibility for some of these support departments or units.

The matrix protocol would however oblige all faculties and support departments to fully co-operate with a view to executing cross-cutting responsibilities. This would require strong, informed and co-operative leadership from both the deans of faculties and support departments and units.

16.3 Executive Directors at the University: Institutional perspectives

Executive Directors should be members of Senior Management. They function at the same level and report to the Vice-Chancellor.

With the DVCs and the Registrar, they take vertical functional responsibility for support departments in accordance with the management prerogatives of the Vice-Chancellor. Firmly embedded is the allocation of academic support functions to DVCs and academic administrative, compliance and legal functions to the Registrar. Significant institutional variants exist with regard to the balance of support functions, depending on the management philosophy and size of the institution, the competencies of incumbents and the availability of resources.

It was pointed out above that key components of a contemporary management approach necessitate the facility for team-oriented and project-driven arrangements promoting coordinated, multidisciplinary activity across functional areas, broad participation in decision-making and the sharing of knowledge. The need to provide a quick response to national priorities, contextual realities and imminent institutional challenges not only necessitate a migration towards a hybrid model in which the strict vertical functions approach is supplemented with formalised institutional leadership amongst peers, but also a dynamic approach with regard to the composition of cross-
cutting and institution-wide responsibilities and the institutional prominence and manifestation thereof.

i. **Executive Director Student Affairs**

Given the importance of the whole concept of students and student life within an institution, it is important this aspect be managed at an executive level which reports directly to the Vice Chancellor.

This portfolio will encompass the vertical functional and cross-cutting, institutional-wide responsibilities with regard to student governance, support, success, accommodation and the quality of student life.

ii. **Executive Director Finance**

Cross-cutting and institutional-wide responsibilities for:

- financial management (inclusive of financial accounting and financial management);
- budgeting;
- the HEMIS office;
- internal audit and procurement.

iii. **Executive Director Human Resources**

Cross-cutting and institutional-wide responsibilities for:

- Staff recruitment;
- Staff retention;
- Benefits administration;
- Staff Development;
- Industrial relations;
- Administration of performance and other incentive systems;
• Staff planning and
• Information systems on institutional health.

A division of portfolios on the lines above will also determine the functional structure and organogram of the institution.
CHAPTER 4: ACADEMIC PLANNING FOR TEACHING AND LEARNING, RESEARCH AND COMMUNITY ENGAGEMENT
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1. GUIDELINES FORMULATED FOR THE TWO NEW INSTITUTIONS IN THIS REPORT.

A large number of guidelines for the two new institutions were formulated in this report. Strictly speaking these guidelines are best understood within the context of the accompanying discussion and analysis which give an explanation and a motivation for the guidelines given in the report. Without this context these guidelines could be open to some misinterpretation. Nevertheless in order to obtain a ‘bird’s eye view’ of these guidelines they are listed here in the order in which they appear.

**Guideline 1:** The two new universities should initially concentrate on their teaching and learning endeavours and once these have reached a satisfactory level of development they can determine their roles with respect to research and community engagement and the relative emphasis to be placed on these latter two functions within their institutions more precisely.

**Guideline 2:** The new universities should initially concentrate on developing a suite of high quality academic programmes together with recruiting lecturers who are equipped to teach these academic programmes. All the other the other services and provisions necessary for a comprehensive and high quality teaching and learning function, should be developed as soon as possible thereafter, mainly though adapting already existing best practice models at existing universities in South Africa.

**Guideline 3:** Academic programmes form the prime factor in defining an institution’s identity and ethos and are derived from the university’s overall strategic vision and mission and its more specific academic knowledge orientation. The new universities will thus have to do first things first and start with the development of the requisite institutional strategic plans and thereafter the development of derived institutional academic plans. Nevertheless it is accepted that initial strategic and academic plans for these two institutions will take the form of initial ‘make do’ plans and cover only the most basic aspects of such plans. As the institutions grow and develop, the initial strategic and academic plans can be expanded appropriately.

**Guideline 4:** Given the many immediate challenges facing the two new institutions, interim strategic plans which should attempt to cover items (i)- (v) on p 11, should be developed, even if
these items possibly with the exception of item (iii) which may require more concerted analysis and investigation, are covered very briefly only.

**Guideline 5:** The development of a limited and interim academic plan for each of the new institutions is all that can reasonably be done against the background of the many immediate other challenges facing the two institutions in their establishment phase. If possible such an interim academic plan should at least cover items (i)-(iv) set out below. Initial academic programme niche areas could be derived from the respective Task Team Reports, provided that they are linked appropriately to the broad knowledge fields identified as part of the interim strategic plan. These initial academic programme niche areas should govern the development of the PQMs of the two institutions, the development of appropriate academic structures, the internal allocation of funds for academic purposes, the appointment of academic staff, and eventually the research and community engagement agendas of the two universities.

**Guideline 6:** The Interim VC and/or Interim Deputy VC should assume direct responsibility for the development of interim strategic and academic plans for the institution which, at this stage only, should not attempt to be based on extensive consultation within and outside of the institution. These interim plans should be formally approved by the Interim Council.

**Guideline 7:** The new universities should establish some form of academic planning capacity and HEMIS capacity as soon as possible as the beginnings of the eventual establishment of a broader institutional research and planning function.

**Guideline 8:** The new institutions should not attempt to develop the policies, processes and operational arrangements on Levels 1-3 in respect of quality assurance of academic programmes from first principles, but acquire these from an existing institution and use them as a basis for their initial quality assurance activities. From this basis they in due course can develop their own policies, processes and practices as required by their specific institutional contexts.

**Guideline 9:** A stepwise approach towards developing institutional PQMs is suggested for the two institutions. Step 1 consists of selecting a few academic programme theme areas and developing some certificate, higher certificate, diploma and first bachelor’s degree programmes by means of acquiring similar programmes which have already been accredited by the HEQC from other institutions. Once these have been suitably ‘contextualised’, Step 2 consists of doing this for the
remaining academic programme theme areas. Step 3 consists of selecting a few academic programme theme areas for the development of post graduate study starting with some lower post graduate academic programmes similarly acquired from some other institutions, then supplementing these with some intermediate post graduate programmes, and finally possibly adding some advanced post graduate studies in these selected academic programme themes or even in a sub selection of them.

**Guideline 10:** New academic programmes should be approved in terms of the steps set out with regard to interim positions and structures or proxies for such interim structures as described in the report with the proviso that an Interim Senate must be in place to recommend a new academic programme to the Interim Council for approval. The constitution and composition of the Interim Senate may differ from that of the eventual and substantive Senate.

**Guideline 11:** The DHET, the two new institutions and the HEQC should hold urgent discussions on the effect on the two new institutions of the amendment of the HEQF, the HEQF re-alignment process, and a new accreditation framework as well as a possible special arrangement for fast tracking programme accreditation applications for the two new institutions.

**Guideline 12:** The two new institutions should first put all their energy into establishing a set of high quality undergraduate academic programmes. Thereafter they could start developing some honours level academic programmes in carefully selected academic programme themes. Once these have been established it would make sense for them to enter into collaborative agreements with some established institutions on preparing for the offering of masters and doctoral study in even more carefully selected academic programme themes linked to the main research themes to be pursued. Once a steady output of masters and doctoral graduates in the selected academic programme themes has been achieved a viable research plan can be developed.

**Guideline 13:** Once a full strategic plan and a full academic plan have been compiled and the two institutions have established viable advanced post graduate academic programmes resulting in masters and doctoral graduates who can support on-going research endeavours at their institutions, comprehensive research plans along the lines outlined above should be developed by the institution’s Research and Publications Committee or an ad hoc committee of Senate constituted specifically for this purpose.
**Guideline 14:** Despite its indisputable importance for the two new universities, strategically aligned and effective community engagement unfortunately has to await the development of an institutional strategic plan, an institutional academic plan, and an institutional research plan. Any community engagement activities have to be anchored in these three plans if they wish to remain activities within the knowledge functions of a university and not simply represent the delivery of social services on behalf of government.

**Guideline 15:** The new institutions should not consider setting any additional admission requirements for any academic programme over and above the stipulated minimum requirements until they are able to analyse success and throughput rates of a first cohort of students in the relevant academic programmes.

**Guideline 16:** The new institutions should participate in HESA’s National Benchmark Testing system as soon as is practically possible. These results should primarily be used to offer students more customized learning support rather than as a means of excluding students from study at the two new institutions. In addition the new institutions should enhance access to higher education by offering some of their undergraduate academic programmes in extended as well as non-extended form.

**Guideline 17:** The two new institutions should institute a variety of measures aimed at assisting Grade 12 learners at schools in their vicinity to obtain university admission. In addition they should institute the necessary programmes and interventions to assist learners already in possession of an NSC and NCV who do not meet university admission requirements to do so. In both these cases they should attempt to source best practice models from existing universities in order to avoid ‘inventing the wheel all over again’.

**Guideline 18:** The two new institutions should not attempt to establish a full set of student support services immediately but rather prioritise the services to be established during the first 2-3 years and those to be established thereafter. A possible order of establishment could be: Student health services first, next viable computer literacy programmes, then study and personal counselling services, followed by measures for improving the reading and writing abilities of students. After 2-3 years appropriate foundation programmes for assisting learners already in possession of a Grade 12 certificate but who do not meet the institution’s admission requirements, life and career counselling
services, student mentorship programmes, and initiatives to make student residences learning environments rather than mere places of lodging can be initiated.

**Guideline 19:** It is vital that the new institutions ‘hit the ground running’ with regard to the administration and disbursement to students of financial aid funds received from NSFAS and any private donors. Avoidable problems and difficulties in this regard could seriously undermine the acceptance of these institutions in their constituent communities as viable alternatives to existing universities. To this end the new universities must establish a Financial Aid Office as soon as possible and simply take over the financial aid policies, systems and processes of an existing university which has a sound track record in this respect. In addition initially special arrangements may have to be made with NSFAS in order to minimise any delays in the payments of financial aid funds to the new institutions.

**Guideline 20:** As a kick off the new institutions should obtain the tuition fees of academic programmes similar to theirs at a number of universities in South Africa and after eliminating any ‘outlier’ values, calculate the average tuition fee value and thereafter seek to reduce that by a further percentage in order to advance access for students. Once time permits it should establish a structured approach towards the setting of tuition fees based on fundamental points of departure as outlined in the report.
2. INTRODUCTION

This report forms part of broader set of reports concerned with the establishment of new universities in Mpumalanga and the Northern Cape. It focuses on some planning requirements regarding a university’s three core functions of teaching and learning, research and community engagement academic programmes. In particular attention is paid to planning in respect of academic programmes being the core constituent of the teaching and learning function of these new institutions.

The main purpose and goal of this report is to assist the two new institutions in establishing the required policy, process and practice frameworks for ensuring high quality teaching and learning through well designed relevant and responsive academic programmes which form the basis for their respective research and community engagement activities. In addition some guidelines on initiating their research and community engagement functions are also given.

The report covers the following issues:

In Section 2 of the report the central role of academic programmes in the teaching and learning functions of the institutions is highlighted.

Section 3 covers some aspects of academic planning while Section 4 covers issues of importance in developing the initial academic programme profile (commonly referred to as the programme and qualification mix or PQM) of an institution.

In Section 5 internal institutional academic programme development and approval processes are outlined while Section 6 covers external requirements concerning PQM approval, academic programme accreditation by the Council on Higher Education’s (CHE) Higher Education Quality Committee (HEQC), and the registration of qualifications by the South African Qualifications Authority(SAQA).

Section 7 touches on the main challenges facing these two new institutions in the field of research while Section 8 does this in relation to community engagement.
In Section 9 issues relating to the admission of students for studying at these institutions as well as some ways of facilitating access for students to higher education studies at the two new universities is discussed.

Section 10 briefly covers some crucial student support services, primarily from the point of view of teaching and learning, while Section 11 sets out some guidelines for establishing fee structures for students.
3. ACADEMIC PROGRAMMES AND TEACHING AND LEARNING

3.1 Core functions of universities

According to the White Paper: A Programme for the Transformation of Higher Education (1997) higher education and thus institutions of higher education should have the following purposes:

- To meet the learning needs and aspirations of individuals through the development of their intellectual abilities and aptitudes throughout their lives;
- To address the development needs of society and provide the labour market, in a knowledge-driven and knowledge-dependent society, with the ever-changing high-level competencies and expertise necessary for the growth and prosperity of a modern economy;
- To contribute to the socialisation of enlightened, responsible and constructively critical citizens; and
- To contribute to the creation, sharing and evaluation of knowledge.

These goals are commonly pursued by universities through teaching and learning, research and community engagement as the three core functions of a university. Differences occur between universities in the emphasis placed on each of these core functions. A primarily teaching oriented institution would tend to place its major emphasis on its teaching and learning function while having a comparably lesser emphasis on research and community engagement. A research oriented university would tend to place a major emphasis on its research function with a comparably lesser emphasis on the two other functions. A community oriented university would tend to emphasise the importance of teaching and learning as well as of research as a basis for its strong emphasis on community engagement.

Obviously no university can be engaged in only one of its three core functions in an exclusive manner as they are all inter-related. All universities are thus characterised by all three these core functions while being distinguished from one another in their relative emphasis on each of the three core functions.
New universities such as the ones in Mpumalanga and the Northern Cape would, as a rule, start off with a pre-dominant emphasis on teaching and learning. This is due to a number of factors:

- Students are admitted to undergraduate programmes first before they engage in research projects or forms of community engagement;
- Building up the necessary institutional systems and human capacity for supporting and conducting research requires takes a considerable amount of planning and preparation and should flow from an institution’s teaching and learning endeavours, especially on the postgraduate level;
- Viable community engagement projects should flow from an institution’s research and teaching and learning endeavours which thus need to be established first.

Guideline 1: The two new universities should initially concentrate on their teaching and learning endeavours and once these have reached a satisfactory level of development they can determine their roles with respect to research and community engagement and the relative emphasis to be placed on these latter two functions within their institutions more precisely.

### 3.2 The Teaching and Learning Function

The teaching and learning function of a university comprises much more than the actual classroom or lecture hall activities involving a lecturer and students. Central to teaching and learning are the academic programmes followed by students. However, matters such as admission requirements, library and other forms of information support, student evaluation and assessment, assessment of academic programmes and lecturers by students, learning support in the form of study guidance, personal and psychological counselling, tutor and mentor systems, reading and writing assistance, computer literacy programmes, student residences as centres of learning, improving the pedagogical delivery abilities of academic staff, integrating technology mediated learning with physical face-to-face contact learning etc, are all necessary elements of a comprehensive and sound approach to teaching and learning.

Unfortunately it is not possible to list all the elements and services involved in a sound approach to teaching and learning in an order of strict prioritisation apart from the fact that without an academic programme and lecturers who are equipped to teach the academic programme there would be no
point in admitting any students, as there would be nothing to admit them into. While the starting point in the establishing of a teaching and learning function thus is the academic programme and lecturers who are equipped to teach the academic programme, the other matters mentioned above should be planned and established as soon as possible.

It is accepted that at least to some degree customised academic programmes would have to be developed for each of the new universities in line with their vision and mission and strategic and academic plans, as well as their particular institutional context. However, in the case of many of the other services and functions mentioned above, best practice models could be obtained from existing institutions and ‘taken over’, even if only temporarily, while developing home grown measures in due course.

**Guideline 2:** The new universities should initially concentrate on developing a suite of high quality academic programmes together with recruiting lecturers who are equipped to teach these academic programmes. All the other the other services and provisions necessary for a comprehensive and high quality teaching and learning function, should be developed as soon as possible thereafter, mainly though adapting already existing best practice models at existing universities in South Africa.

### 3.3 The role and place of academic programmes in a university

As pointed out already academic programmes are central to the teaching and learning function of a university. However, they are equally central to the strategic role of a university in its immediate constituent community, its region, nationally and even internationally. As will be pointed out in more detail later academic programmes are not simply planned and designed in a vacuum but emanate from the chosen academic thrusts or main academic foci of the institution. These in turn are linked to an institution’s overall academic plan which needless to say has its origin in the university’s overall strategic plan. Academic programmes are thus vital in confirming the institution’s overall strategic vision and mission, and its more specific academic knowledge orientation.

In this way academic programmes are probably the prime factor in establishing integration and cohesion with respect to the institutional identity and ethos of a university. It is therefore not
feasible to make decisions on an academic programme profile in the absence of the overall strategic positioning and the overall academic positioning of an institution.

Guideline 3: Academic programmes form the prime factor in defining an institution’s identity and ethos and are derived from the university’s overall strategic vision and mission and its more specific academic knowledge orientation. The new universities will thus have to do first things first and start with the development of the requisite institutional strategic plans and thereafter the development of derived institutional academic plans. Nevertheless it is accepted that initial strategic and academic plans for these two institutions will take the form of initial ‘make do’ plans and cover only the most basic aspects of such plans. As the institutions grow and develop, the initial strategic and academic plans can be expanded appropriately.

3.4 The Nature and Characteristics of Academic Programmes

Before embarking on a description of the desired characteristics of an academic programme it is necessary to define an academic qualification. According to the Higher Education Qualifications Framework (HEQF) a qualification ‘is the formal recognition and certification of learning achievement by an accredited institution’. The learning achievement is assessed on the basis of the completion of an associated academic programme. Technically it is possible for different academic programmes to lead to the award of the same qualification. For example, an academic programme in the natural sciences emphasising study in the life sciences can lead to the award of a bachelor’s of science degree as could an academic programme emphasising such study in the mathematical sciences. In this case two different academic programmes lead to the same qualification.

Academic programmes do not merely represent a collection of knowledge based modules or subjects put together by a few academic staff members on the basis of historical practice. On the contrary the Higher Education Qualifications Framework (HEQF) specifies the following as essential characteristics of an academic programme leading to the award of a qualification by a university:

- It should represent a purposeful and structured set of learning experiences leading to the award of a qualification;
• It should represent knowledge content and the arrangement of such knowledge which is either mainly discipline based, professionally based, career focused, or trans-inter- or multi-disciplinary in nature;
• It should have clearly defined and recognised entry and exit points;
• It should have a core learning component related to the purpose of the academic programme and in addition may have fundamental and elective components; and
• The arrangement of learning credits should be in line with the programme’s emphasis on core, fundamental and elective components and in line with the National Qualifications Framework’s levels of learning and associated level descriptors for the academic programme.

Depending on the aim and purpose of the academic programme, the design of the programme may make provision for work integrated learning representing planned, monitored and assessed learning as an integrated part of the programme but which is offered in a suitable workplace setting.
4. INSTITUTIONAL ACADEMIC PLANNING

4.1 Introduction

Institutional academic planning occurs on a number of institutional levels such as the broad institutional level in terms of institutional and academic strategy and Senate approval, at faculty or school level in terms of faculty and school development plans, and at the level of academic departments in terms of specific academic programmes forming part their academic profile. In addition most universities have found it necessary to establish a centrally located academic planning function where expert capacity is housed regarding academic programme planning and design and regarding the various steps to be followed in obtaining PQM clearance from the DHET, academic programme accreditation from the HEQC, and the registration of qualifications from SAQA.

4.2 Institutional Strategic Plan

An institutional strategic plan is an indispensable instrument in defining an institution’s identity and ethos as well as its envisaged role in its constituent community and further afield.

It is assumed that institutional strategic plans will be developed for the new institutions which spell out some of the following issues:

i. The institution’s context: The institution’s context in relation to its region, the broader South African society, and the rest of Africa would be set out briefly;

ii. The institutional type: The characteristics of the existing institutional type together with any new emphases anticipated with regard to institutional type;

iii. Knowledge fields or areas: A limited number of knowledge fields and areas which will cut across its three core functions of teaching and learning, research and community engagement;

iv. Desired accomplishments: The University’s vision statement underpinned by a short list of values;

v. Mission: The university’s mission in the form of a short statement supported by some more specific sub statements;
vi. Institutional situation analysis: Competitive advantage, opportunities, and constraints and challenges – both internal as well as external ones;

vii. Strategic objectives and key strategies: A limited number of strategic objectives accompanied by some supporting strategies and a limited list of targets which preferably should be measurable during the 5 year period of the plan; and

viii. Implementation and monitoring: Implementation measures as well as how progress towards achieving the strategic objectives is to be monitored.

An example of possible knowledge areas forming the knowledge framework for the institution’s three core functions is given below:

- Health and wellness;
- Culture, identity, communication and social cohesion;
- Human development, citizenship and leadership, and governance;
- Economic diversification and entrepreneurship;
- Environmental systems and natural resources management; and
- Technological and infrastructural development

These broad knowledge areas are usually determined from an analysis of community needs, regional needs and national needs, specifically with regard to socio-economic growth and development challenges. Identifying a few such broad knowledge areas serves to strengthen an institution’s impact in the fields of the imparting knowledge (teaching and learning), creating or applying knowledge (scholarship and research), and sharing knowledge (community engagement).

Developing such a strategic plan with its concomitant knowledge framework and its mission and vision is obviously dependent on a wide ranging process of internal and external consultation backed up by thorough analysis and research of the institution’s context, its existing stage of development, and relevant challenges, opportunities and constraints. Achieving this as part and parcel of establishing a new university is too much to ask for and the two new institutions will have to settle for interim and ‘make do’ strategic plans as mentioned earlier.

**Guideline 4:** Given the many immediate challenges facing the two new institutions, interim strategic plans which should attempt to cover items (i)- (v) at a minimum, should be developed,
even if these items possibly with the exception of item (iii) which may require more concerted analysis and investigation, covered very briefly only.

In a few years these interim strategic plans can be replaced by substantive strategic plans developed along the lines set out above.

4.3 Institutional Academic Plan

An academic plan is not a stand-alone plan but is derived from a strategic plan and particularly from items (i)-(vi) in the strategic plan mentioned above. In this respect an academic plan is anchored in and derived from an institution’s strategic plan.

Typically an academic plan could encompass the following sections:

i. The institution’s teaching and learning context in relation to its immediate region, the broader South African society, and the rest of Africa;

ii. Academic focus areas: In response to analyses of national, regional and local socio-economic goals and objectives, the institution’s anticipated academic strengths, and the institutional knowledge fields set out in the strategic plan, a limited number of more specific academic programme thrusts or niche areas are defined;

iii. The academic policy context: PQM approvals process, the role and function of the HEQF and of the HEQC regarding the accreditation of programmes, and of SAQA in relation to the registration of qualifications;

iv. Desired teaching and learning accomplishments: Underlying principles governing the university’s approach towards teaching and learning coupled to some broadly desired goals and objectives relating to teaching and learning;

v. Academic strategies and key objectives: More specific teaching and learning related strategies accompanied by supporting measures and a limited list of preferably measurable targets. Academic strategies could address issues such as the role of academic focus areas in shaping programme development and renewal, updating and maintenance of the institution’s PQM, positioning of university in terms of HEQF programme types, achieving specific teaching and learning related goals in respect of student access and student success, etc
vi. Role of supporting policies and processes such as teaching and learning policy, admission policy, academic development policy, assessment policy, policy concerning design of academic programmes, etc.

vii. Implementation and monitoring: Implementation measures as well as how progress towards achieving the academic objectives is to be monitored.

The relationship between the broad knowledge fields identified in an institution’s strategic plan and academic programme thrusts or niche areas can be illustrated by the following example:

Broad institutional knowledge area: Health and wellness

Academic programme niche area: Training of professionals in the fields of nursing and ancillary health professions, social workers and psychologists.

Once again the development of a substantive academic plan as set out above as a prerequisite for establishing academic programmes is too much to ask for during the initial establishment stage of the two new universities. As before a simplified interim and ‘make do’ academic plan will have to be developed to guide the academic programme activities of the two institutions until such time that a more comprehensive academic plan based on appropriate internal and external consultation and thorough research and analysis of the institution’s role regarding teaching and learning, has been developed.

From the Task Team Reports appropriately worded academic programme thrusts linked to the broad knowledge areas of the strategic plan could be developed as a starting point.

- These interim academic programme niche areas should be used to guide the:
- The development of an initial PQM for the institutions;
- The establishment of appropriate academic structures in the form of faculties and departments;
- The allocation of internal funds for academic activities; and
- The appointment of academic staff.
Guideline 5: The development of a limited and interim academic plan for each of the new institutions is all that can reasonably be done against the background of the many immediate other challenges facing the two institutions in their establishment phase. If possible such an interim academic plan should at least cover items (i)-(iv) set out above. Initial academic programme niche areas could be derived from the respective Task Team Reports, provided that they are linked appropriately to the broad knowledge fields identified as part of the interim strategic plan. These initial academic programme niche areas should govern the development of the PQMs of the two institutions, the development of appropriate academic structures, the internal allocation of funds for academic purposes, the appointment of academic staff, and eventually the research and community engagement agendas of the two universities.

4.4 Process for Developing Institutional Academic Plans

The initial development of such a ‘make do’ or interim academic plan for each of the two institutions is likely to be based on a process of limited interaction and consultation within the two institutions. In fact the Interim VC should assume responsibility together with either an Interim Deputy VC or an Interim Academic Planning Officer for the development of very brief interim strategic and academic plans. Even though these plans are interim plans, both need to be formally approved by the Interim Council of the institution.

Guideline 6: The Interim VC and/or Interim Deputy VC should assume direct responsibility for the development of interim strategic and academic plans for the institution which, at this stage only, should not attempt to be based on extensive consultation within and outside of the institution. These interim plans should be formally approved by the Interim Council.

Once a Senate for each of the institutions has been constituted, these two plans should be revised under the auspices of special Senate appointed sub committees. This process should be characterised by extensive consultation within the institution and with stakeholder bodies outside the institutions.
4.5 Organisational Structures and Mechanisms for Supporting Academic Planning

In response to the increasing complexity involved in managing universities, pressures for becoming more efficient and effective, increasingly varied demands made on university services by higher education stakeholders, the requirement of cohesive institutional responses to national higher education goals and challenges as well as the technically complex academic programme policy environment consisting of the DHET’s responsibility to approve PQMs for institutions, the HEQC to accredit academic programmes and SAQA to register qualifications, most universities in South Africa have established institutional planning centres within their institutions.

The designations and functions of such institutional planning centres vary, but as a general rule they would be known as ‘departments or centres for institutional research and planning’. Usually such departments or centres would be responsible for: All information management, both within the institution and system-wide including HEMIS; all strategic, academic, and enrolment planning-the latter obviously in association with faculties or schools and academic departments; analysis of changing higher education policies particularly relating to academic programmes; analyses of institutional structures and organisational units; overseeing the development of any institutional operating plans; evaluating forms of decentralisation and distant campus activity; promoting coordination amongst linked institutional units; and undertaking special institutional investigations, such as assessing partnerships with external stakeholders or with other higher education institutions.

The two new institutions should attempt to establish the beginnings of such planning functions within their institutions as soon as possible by appointing someone with the capacity to undertake academic planning and someone who can be responsible for the institution’s HEMIS information.

The remainder of the functions normally performed within such departments of institutional research and planning can be added later on.

**Guideline 7**: The new universities should establish some form of academic planning capacity and HEMIS capacity as soon as possible to constitute the beginnings of the eventual establishment of a broader institutional research and planning function.
4.6 Quality Assurance and Academic Planning

In some South African universities the quality assurance function is grouped together with that of academic planning. This follows since sound and high quality academic planning supports the achievement and maintenance of high quality academic programmes.

Quality assurance of an institution’s teaching and learning function assumes a number of different functional levels.

The first level is made up of an institutionally determined commitment to quality in teaching and learning. This normally takes the form of a type of code of commitment to quality related matters in teaching and learning. Based on such a commitment a number of institutional policies relating to teaching and learning must be developed and should comply with best practice elsewhere in South Africa. These policies would normally be developed within the context of the HEQC’s national quality assurance policies.

The second level is made up of a summary of the institutional application of various process and other requirements related to academic quality stipulated by the DHET in terms of PQM approval, the HEQC in terms of academic programme accreditation, and SAQA in terms of the registration of qualifications. In addition this documentation includes a setting out of institutional approval processes for academic programmes (see Section 5) and the role of the academic planning and quality assurance offices in this regard.

The third level normally covers some operational matters related to quality assurance such as the use of student feedback in monitoring the quality of academic programmes, the role of a planned and systematic schedule of peer evaluation of academic departments, and the role of training programmes for academic staff related to improved delivery of academic programmes.

It cannot be expected of the new institution to develop the various measures listed above on all three levels from first principles before embarking on the development of new academic programmes as such an approach would have an unacceptably negative effect on the start date for admitting students into academic programmes of the institution.
A pragmatic approach could consist of acquiring existing policies (Level 1 above), process documentation related to the roles of the DHET, HEQC and SAQA in quality assurance (Level 2 above) and documentation relating to operational quality assurance arrangements (Level 3 above) from an existing institution(s) and simply accepting these as a suite of start-up policies, processes and arrangements for quality assurance. These can be amended and placed within a more suitable institutional context as the institution develops and matures.

**Guideline 8:** The new institutions should not attempt to develop the policies, processes and operational arrangements on Levels 1-3 as described above in respect of quality assurance of academic programmes from first principles, but acquire these from an existing institution and use them as a basis for their initial quality assurance activities. From this basis they in due course can develop their own policies, processes and practices as required by their specific institutional contexts.
5. DEVELOPING AN INSTITUTIONAL PQM

An institutional PQM refers to an institution’s menu of academic programmes and associated qualifications. At present every university in South Africa’s PQM is subject to approval by the DHET. The DHET’s evaluation of an institution’s PQM is largely based on whether it is in the broad public interest for an institution to offer the academic programmes contained in the PQM.

This is normally mainly assessed from the point of view whether there is a proven need for the institution concerned to offer a particular academic programme, whether the academic programme is in line with its academic plan and forms a natural extension of its academic profile, whether the offering of the programme would require unjustified additional institutional expenditure, and whether the needs to be met by offering such a programme were not already being met by other academic programmes in the institution or by those of other institutions.

Developing an institutional PQM is not merely an operational exercise but in the first place a strategic one. For this reason an academic plan, even though in interim form, is a pre-requisite for the development of an institutional PQM.

Broadly speaking the development of an institutional PQM must meet the following criteria:

- The PQM must correspond to the university’s stated vision, mission and values.

Every academic programme should demonstrate a strengthening of the university’s vision, mission and values.

- The PQM must give concrete expression to the university’s academic plan.

Academic programmes should be derived from the institution’s academic plan and clearly strengthen the execution of the academic plan.

- The PQM must represent a set of academic programmes corresponding to the university’s existing stage of development.
Academic programmes should not be ‘outdated’ or ‘premature’ in terms of the institution’s developmental stage. Neither should it attempt to offer advanced post graduate studies before it has not established a viable lower and intermediate postgraduate studies programme.

- The PQM must be in line with the university’s capacity provisions in terms of human resources, equipment, and facilities.

Academic programmes should build on an institutional track record and proven strengths in the institution.

Given their stage of institutional development an application of the above criteria could mean the following for the two institutions:

- Initially concentrate on developing a suite of certificate, higher certificate, diploma and a few first bachelor’s degree programmes in a few selected institutional academic programme theme areas;
- Once these academic programme theme areas and the associated academic programmes have been identified, acquire already existing academic programmes as an interim phase, from institutions offering such programmes and which have already been accredited by the HEQC;
- Adapt the acquired academic programmes to reflect the specific socio-economic context of the new institution and its interim strategic plan and its interim academic plan, and embark on the required interim institutional approvals processes (see Section 5);
- Once these interim institutional approval processes have been completed and while the processes for PQM approval by the DHET, and for academic programme accreditation by the HEQC, and the registration of qualifications by SAQA are under way, recruit academic staff for offering these programmes, plan for their inclusion in an institutional time table, plan for acquiring the equipment needed for offering these academic programmes, and plan for the facilities in which these academic programmes will be offered;
- Once academic staff members have been appointed for the various academic programmes in the PQM, the preparation of teaching and learning materials and teaching and learning approaches should commence. At this stage it is unlikely that the institution will have developed a comprehensive teaching and learning policy, an assessment policy, and the full
suite of student support services. All teaching and learning approaches and pedagogical methodologies developed in the interim or acquired from another institution, should be subject to formal revision once such a set of policies has been developed for the institution;

- The above steps are repeated until academic programmes have been developed in all the academic programme theme areas of the institution;
- Once this stage has been reached, consideration can be given to repeating these steps in a few selected academic programme theme areas for a few lower post graduate programmes such as post graduate diplomas and honours degrees;
- Depending on the development of the institution and the availability of suitably qualified staff, this can be followed by the preparation of some intermediate post graduate programmes in the selected academic programme theme areas such as masters degree study, and possibly after that, advanced post graduate study on the doctoral level linked to an emerging research plan; and
- Once this stage has been reached the institution should review all the academic programmes acquired from other institutions and evaluate them in terms of the institution’s strategic plan, its academic plan and its overall teaching and learning approach and related teaching and learning policies, which by this stage would also have been reviewed.

**Guideline 9:** A stepwise approach towards developing institutional PQMs is suggested for the two institutions. Step 1 consists of selecting a few academic programme theme areas and developing some certificate, higher certificate, diploma and first bachelor’s degree programmes by means of acquiring similar programmes which have already been accredited by the HEQC from other institutions. Once these have been suitably ‘contextualised’, Step 2 consists of doing this for the remaining academic programme theme areas. Step 3 consists of selecting a few academic programme theme areas for the development of post graduate study starting with some lower post graduate academic programmes similarly acquired from some other institutions, then supplementing these with some intermediate post graduate programmes, and finally possibly adding some advanced post graduate studies in these selected academic programme themes or even in a sub selection of them.

Once the stage of implementing a PQM on the basis of using academic programmes from other institutions has been completed for all academic programme theme areas and for all academic levels at which the institution intends operating for the immediate future, a process of fundamental review
of all academic programmes in terms of the institution’s fully developed strategic plan, its fully
developed academic plan, and its own teaching and learning policies and processes commences.
6. INSTITUTIONAL ACADEMIC PROGRAMME APPROVAL PROCESSES

The initiative for developing a new academic programme is normally taken within a faculty, school or academic department. In some cases this may be the outcome of requests from business/industry or other external stakeholders for the development of a specific academic programme.

Such an initiative should be launched in close collaboration with the academic planning capacity referred to in Guideline 7 which would be able to assist with regard to the DHET’s PQM approvals process, the HEQC’s academic programme accreditation process, and SAQA’s process for the registration of qualifications.

At the first academic organisational level a new academic programme should be approved by the head of academic department(s) taking responsibility for the academic programme. Thereafter it should be approved by the Faculty Board(s) involved in the offering of the academic programme.

The academic programme is then recommended to Senate from the Faculty Board(s). Senate considers the request for a new academic programme based on a formal recommendation from its Academic Planning Committee. Once Senate has approved the new academic programme, Council takes a final decision on its inclusion in the institution’s academic programme profile.

Clearly all these structures may take some time to put in place in the two new institutions and interim measures will be required as it is important that the development of new academic programmes starts as soon as possible.

The following interim process for the institutional approval of academic programmes could be considered:

- Academic programme is developed by an academic staff member(s) in collaboration with Interim Academic Planning Officer;
- If an Interim Head of Department and/or Interim Dean of Faculty is already in place the programme is approved by either or both of them –if these positions are not yet filled the
most senior academic in the department/ faculty concerned approves the academic programme;

- If an Interim Faculty Board is already in place it recommends the academic programme to the Interim Senate- if an Interim Faculty Board does not yet exist, the academic programme is recommended directly to the Interim Senate;

- The Interim Senate requests an Interim Academic Planning Committee to evaluate the academic programme – if an Interim Academic Planning Committee does not yet exist, the Interim VC as chairperson of Senate requests some academic staff members to act as an ad hoc Academic Planning Committee;

- Once the Interim Senate has approved the academic programme it is considered by the Interim Council for approval.

**Guideline 10:** New academic programmes should be approved in terms of the steps set out with regard to interim positions and structures or proxies for such interim structures with the proviso that an Interim Senate must be in place to recommend a new academic programme to the Interim Council for approval. The constitution and composition of the Interim Senate may differ from that of the eventual and substantive Senate.
7. EXTERNAL ACADEMIC PROGRAMME APPROVAL PROCESSES

As indicated earlier three specific external academic programme approval processes will apply to the two new institutions.

7.1 DHET’s PQM approvals process

Chronologically the DHET’s PQM approvals process represents the first of the three distinct approvals processes. Some of the issues involved in developing an institutional PQM and obtaining DHET’s approval have already been covered in Section 4.

Given the urgency in finalising institutional PQMs for the two institutions it will probably be necessary for DHET to arrange a specific workshop with representatives from the two institutions on any remaining issues related to their PQMs and to develop some or other fast track mechanism for approval of their PQMs.

7.2 HEQC’s Programme Accreditation Approval

Once DHET has approved the inclusion of a specific academic programme as part of the institution’s PQM, formal programme accreditation has to be obtained from the HEQC. This process is largely driven online in terms of the requirements set by the HEQC. The website www.che.ac.za/accreditation/heqconline gives full information regarding the steps to be taken by universities in obtaining accreditation of their academic programmes.

The possible amendment of the HEQF, the implementation of the HEQF, and the possible implementation of a new accreditation framework by the HEQC require specific attention.

- Amendment of the HEQF: In 2011 and in 2012 the CHE spearheaded a process aimed at identifying urgently required amendments to the HEQF as published in 2007. The process did not result in a drastic re-defining of the HEQF although some fairly significant amendments were eventually proposed by the CHE. Unfortunately the Minister of Higher
Education and Training has not made a final decision on the CHE’s proposals yet although it is hoped that this would still occur some-time in 2012. The issue at stake is thus, according to which version of the HEQF must the new institution prepare its academic programmes for accreditation by the HEQC. As matters stand now it would have to be in terms of the HEQF of 2007 but it is highly likely that from 2013 it would be in terms of an HEQF of 2013. In addition if the new institutions use existing academic programmes from other institutions as a basis for their initial academic programmes, these acquired academic programmes will be in terms of the HEQF of 2007.

- Implementation of the HEQF: In 2011 the HEQC published an HEQF Implementation Handbook aimed at assisting higher education institutions in aligning all existing academic programmes to the requirements set out in the HEQF. This process distinguishes between three categories related to the amount of change an academic programme has to undergo in order to meet the HEQF’s requirements. In this regard the HEQC would prefer not to have to cope with too many applications for the accreditation of new academic programmes which is what all the academic programmes of the new institutions will be. In addition some of the academic programmes acquired by the new institutions as a basis for their own academic programmes may be in the process of being re-aligned by the various institutions. Thus while the original academic programme of the institution from which the academic programme was obtained, may have been granted accreditation status by the HEQC a risk, albeit small, may exist that the re-aligned programme may not be granted accreditation, at least not straightaway as some more work to the submitted programme may be required by the HEQC.

- New accreditation framework: In 2012 the HEQC started work on a new accreditation framework for higher education institutions and for their academic programmes. While not radically different from the HEQC’s previous accreditation framework, the new accreditation framework makes provision for institutional as well as academic programme accreditation which was not the case previously. The impact which such a new accreditation framework may have on the two new institutions is not all together clear at this stage and would have to be pursued.
A meaningful way forward would consist of specifically arranged discussions between the DHET, the two new institutions and the HEQC on the three issues raised above as well as a possible special arrangement for fast tracking programme accreditation applications for the two new institutions.

**Guideline 11:** The DHET, the two new institutions and the HEQC should hold urgent discussions on the effect on the two new institutions of the amendment of the HEQF, the HEQF re-alignment process, and a new accreditation framework as well as a possible special arrangement for fast tracking programme accreditation applications for the two new institutions.

**7.3 SAQA’s Requirements for the Registration of Qualifications**

Once the two earlier described approaches have been completed institutions apply to have the qualification associated with an academic programme registered on SAQA’s database of approved South African qualifications. In practice the HEQC does this on behalf of higher education institutions by sending SAQA lists of formally accredited academic programmes once that stage has been reached in the consideration of an application for the accreditation of academic programmes.
8. RESEARCH

As mentioned before universities have three core functions: teaching and learning, research and community engagement. All universities should be involved in all three these core functions but the intensity and extent of their involvement may differ from function to function.

New universities normally concentrate on first establishing a set of responsive, relevant and high quality academic programme at undergraduate level. Once this has been done a new university would start introducing post graduate programmes gradually in selected academic programme theme areas. In quite a few cases new universities would enter into collaborative arrangements with established universities on the offering of research masters and doctoral study before possible considering doing so on their own. A viable research programme is dependent on a steady output of masters and doctoral graduates and should not be introduced before this occurs.

**Guideline 12**: The two new institutions should first put all their energy into establishing a set of high quality undergraduate academic programmes. Thereafter they could start developing some honours level academic programmes in carefully selected academic programme themes. Once these have been established it would make sense for them to enter into collaborative agreements with some established institutions on preparing for the offering of masters and doctoral study in even more carefully selected academic programme themes linked to the main research themes to be pursued. Once a steady output of masters and doctoral graduates in the selected academic programme themes has been achieved a viable research plan can be developed.

By this stage the two universities would probably have developed fully fledged strategic and academic plans and would be ready to move into developing a research plan. As with an academic plan, a research plan is not a stand-alone plan but is derived from the strategic plan and is linked to the academic plan, specifically in relation to the broad knowledge fields identified in the strategic plan and the academic programme themes identified in the academic plan.

The development a 5 year research plan for a university can be undertaken by the Research and Publications Committee of Senate (if already established) or by an ad hoc committee of Senate in which the various academic faculties as well as senior management, normally in the form of the
DVC(Academic and Research) are represented. The conceptual support for this Senate committee should be provided by a Department for Research Development and Administration.

No formalised format for university research plans exists as institutional and local contexts vary too much to adopt some or other standardised form. Generally a research plan should, however, meet the following criteria:

- It should be derived from the institutional strategic plan and be linked to the academic plan;
- It should identify research areas based on the broad knowledge fields of the strategic plan;
- It should be realistic in terms of execution and funding; and
- It should be development as well as output oriented.

Typically a research plan would encompass the following sections:

i. The institution’s context: The institution’s research and scholarship context in relation to its immediate region, the broader South African society, and the rest of Africa;

ii. Strategic research choices: In response to analyses of national, regional and local socio-economic goals and objectives, and the institution’s research strengths, a limited number of research focus areas which are derived from the broad knowledge fields identified in the strategic plan, are identified. In addition different research emphases such as basic and applied research, ‘pure’ research and scholarship etc are applied to the institution;

iii. The research policy context: Research and its role in the higher education funding framework as well as with respect to some of the main NRF supported programmes.

iv. Desired research accomplishments: Broadly defined goals and objectives relating to research which should link up with appropriate goals and objectives in the strategic plan of the university and with the research niche areas identified in Section ii). Some principles underlying the university’s approach to research would normally underpin these goals and objectives.

v. Research objectives and key strategies: More specific research objectives accompanied by a limited number of supporting measures and a list of targets which preferably should be measurable during the 5 year period of the plan. These research measures should address issues such as the linkage of postgraduate education and research, research and regional socio-economic development, research and community service, building research capacity, research incentives etc.
vi. Implementation and monitoring: Some implementation measures as well as detail on how progress towards achieving the research objectives is to be monitored.

**Guideline 13:** Once a full strategic plan and a full academic plan have been compiled and the two institutions have established viable advanced post graduate academic programmes resulting in masters and doctoral graduates who can support on-going research endeavours at their institutions, comprehensive research plans along the lines outlined above should be developed by the institution’s Research and Publications Committee or an ad hoc committee of Senate constituted specifically for this purpose.
9. COMMUNITY ENGAGEMENT

A limited number of universities have an institutional community engagement plan and even fewer have one which is anchored in their strategic plan and linked to their academic and research plans. In most cases community service, despite being classified as a core function represents somewhat of an afterthought. This could, in part, be due to the many different interpretations of community engagement prevalent in South African higher education.

Effective community engagement is first and foremost linked to a university’s research endeavours and then to its academic programmes. This means that any community engagement projects must represent a linkage between community needs and the university’s endeavours in the fields of knowledge creation and the sharing of knowledge. Unfortunately this means that community engagement as a strategic institutional endeavour normally follows after the teaching and learning and research endeavours have been developed and institutionalised more fully.

One way for the two new institutions to approach the development of its community engagement activities is the following:

i. Analyse the community engagement plans of other institutions to obtain an informed understanding of what community engagement means to other universities;

ii. Analyse the broader literature in higher education on the relationship between community engagement and the two other core functions;

iii. Develop a university specific understanding of community engagement and its relation to teaching and learning and to research at the university;

iv. Arrange for a debate at Senate on the emerging institution specific understanding of community engagement and the relationship envisioned between the three core institutional functions;

v. Develop a community engagement plan on the basis of the above analyses and documents along the format of a suitable adaptation of the research plan. This plan must be anchored appropriately in the strategic plan and be linked coherently to the academic and research plans.

vi. Council approves this plan on the basis of a recommendation in this regard from Senate.
**Guideline 14:** Despite its indisputable importance for the two new universities, strategically aligned and effective community engagement unfortunately has to await the development of an institutional strategic plan, an institutional academic plan, and an institutional research plan. Any community engagement activities have to be anchored in these three plans if they wish to remain activities within the knowledge functions of a university and not simply represent the delivery of social services on behalf of government.
**10. ADMISSION REQUIREMENTS**

Minimum admission requirements for certificate and diploma, and for degree studies in terms of the National Senior Certificate (NSC) and the National Certificate (Vocational) Level 4 at South African universities have been formally determined by the Minister of Higher Education and Training. In terms of the Regulations in which these admission requirements were set, and in accordance with the Higher Education Act, Act 101 of 1997, universities are however allowed to set additional admission requirements for specific academic programmes. These additional admission requirements are often set in the case of academic programmes for the professions where intake limits set by Professional Councils leave institutions no choice but to increase admission requirements. In other cases, for example, in academic programmes containing subjects/modules of a quantitative nature, institutions could require a certain minimum achievement level in mathematics.

While a Central Applications and Admissions Information Service is likely to be established in the near future it may be some time before the services to be rendered by this organisation are up and running.

One of the first decisions which the new institutions will have to make regarding their initial academic programme offerings is whether to set additional admission requirements or not for these academic programmes. Additional admission requirements are normally set on the basis of an analysis of student throughputs and successes in subjects/modules forming part of academic programmes. Since the new institutions will not have been able to conduct such analyses until a first cohort of students has passed through these programmes it is suggested that unless there are compelling reasons for doing so, additional admission requirements not be set for the first 3-4 years of the offering of the institution’s academic programmes.

**Guideline 15:** The new institutions should not consider setting any additional admission requirements for any academic programme over and above the stipulated minimum requirements until they are able to analyse success and throughput rates of a first cohort of students in the relevant academic programmes.
Many South African universities have, however, found that the stipulated minimum admission requirements do not constitute an adequate base on which to base admission decisions due to their poor value as predictors of student success. They therefore supplement NSC and NC(V) results of prospective students with the outcomes of Higher Education South Africa’s (HESA’s) National Benchmark Testing results. Using these results (sometimes together with other assessment measures) enable institutions to identify at risk students in advance to their being admitted to the institution.

Such at risk students would then be offered additional learning support, especially during their initial studies in order to assist them in coping with the rigours of more independent learning at a university. Another way of assisting some of these at risk students is to provide for so-called extended academic programmes alongside the usual academic programmes. In an extended academic programme the curriculum is normally spaced over a period of (n+1) years instead of the (n) years for the non-extended academic programme.

Guideline 16: The new institutions should participate in HESA’s National Benchmark Testing system as soon as is practically possible. These results should primarily be used to offer students more customized learning support rather than as a means of excluding students from study at the two new institutions. In addition the new institutions should enhance access to higher education by offering some of their undergraduate academic programmes in extended as well as non-extended form.

The new institutions are set to play a significant role in enhancing access to higher education, particularly for students from disadvantaged communities. One way of fulfilling this role consists of assisting Grade 12 learners in achieving NSC results which allow them admission to higher education. This function can be achieved in a number of ways:

- Institutions can partner with local high schools and offer enrichment classes to learners in subjects such as science and mathematics. These enrichment classes can take a variety of forms being offered either at the schools concerned or at the university itself;
- Institutions can participate in up-skilling programmes of teachers at these local high schools in order to improve their subject knowledge capacity;
• Institutions can, as part of community outreach programmes, involve some of their senior students to engage in mentorship programmes for Grade 12 learners; and
• Some institutions have even started their own type of ‘preparatory school’ in assisting Grade 10-12 learners in meeting their admission requirements.

For learners who have already completed their Grade 12 studies but failed to satisfy their admission requirements the two new institutions could offer so-called ‘foundation programmes’ aimed at enabling such students to improve their Grade 12 results to university admission level.

Guideline 17: The two new institutions should institute a variety of measures aimed at assisting Grade 12 learners at schools in their vicinity to obtain university admission. In addition they should institute the necessary programmes and interventions to assist learners already in possession of an NSC and NC(V) who do not meet university admission requirements to do so. In both these cases they should attempt to source best practice models from existing universities in order to avoid ‘inventing the wheel all over again’.
11. STUDENT SUPPORT SERVICES

Student support services, particularly in relation to teaching and learning, have assumed an increased importance during the past decade or so which has been escalated by the emphasis being placed on ‘access for success’ in higher education during recent years. The CHE, for example, has launched an extensive investigation into the efficacy of measures employed by universities in supporting improved learning achievements by students.

Student support in relation to teaching and learning assumes a variety of forms such as student health clinics, personal, study, life and career counselling and guidance; reading and writing centres, student mentorship programmes, computer literacy, so called foundation programmes, establishing student residences as learning environments rather than mere places of lodging, etc. Setting up a full set of these measures and accompanying structures is not only costly but also time consuming and requires appropriate expert capacity in teaching and learning and in student development.

Obviously the new institutions would do well to study best practice models already in place at other universities in South Africa but ultimately these services have to be rendered by the two new institutions themselves. A definitive prioritisation of these measures does not exist but clearly the two new institutions will have to introduce these measures in some order of priority or preference.

During the first two to 3 years of their existence they should concentrate on establishing student health services first, next they should ensure that viable computer literacy programmes are operational, then they should establish study and personal counselling services, after which measures for improving the reading and writing abilities of students should be established. Once this has been achieved appropriate foundation programmes for assisting learners already in possession of a Grade 12 certificate but who do not meet the institution’s admission requirements, life and career counselling services, student mentorship programmes, and initiatives to make student residences learning environments rather than mere places of lodging, can be initiated.

Guideline 18: The two new institutions should not attempt to establish a full set of student support services immediately but rather prioritise the services to be established during the first 2-3 years and those to be established thereafter. A possible order of establishment could be: Student health services first, next viable computer literacy programmes, then study and personal counselling
services, followed by measures for improving the reading and writing abilities of students. After 2-3 years appropriate foundation programmes for assisting learners already in possession of a Grade 12 certificate but who do not meet the institution’s admission requirements, life and career counselling services, student mentorship programmes, and initiatives to make student residences learning environments rather than mere places of lodging, can be initiated.
12. STUDENT TUITION FEES

At present income from government subsidies, tuition fees, and 3rd stream activities is roughly distributed as follows across the entire higher education system: 40%, 28%, 32%. Obviously institutional distributions vary greatly and in some cases government subsidies make up more than 60% of institutional income and in other cases 3rd stream income makes up to close to 50% of institutional income. Interestingly, however, excluding Unisa, institutional variations in the proportion which tuition fee income makes up of total income tend to be less significant with some having figures of about 25% and others figures of about 32%. Although no definitive national norm exists in this regard, the view is held in many higher education circles, that institutions should lessen the role of tuition fee income in their total income configuration. This is of course easier said than done in a period where government has found it difficult to increase government subsidies to higher education institutions in real terms.

One way of addressing the plight of the many impoverished students either wishing to study at universities or those who are already doing so has been through the much needed strengthening of the National Student Financial Aid Scheme which has offered a real life line to thousands of students who otherwise would have been denied an opportunity to study at a university.

It will therefore be of the utmost importance that the two new institutions ‘hit the ground running’ with operational systems of administering student financial support received from NSFAS as well as that received from private donors. Establishing all the policies, systems and processes for administering student financial aid is notoriously challenging as a many a university can testify. In this case it will be essential that the new institutions simply take over the existing policies, systems and processes of an institution(s) with a sound track record in this respect for a start. These policies, systems and processes can be contextualised within a more appropriate institutional framework later. In addition, initially special arrangements may have to be made with NSFAS in order to minimise any delays in the payments of financial aid funds to the new institutions.

Guideline 20: It is vital that the new institutions ‘hit the ground running’ with regard to the administration and disbursement to students of financial aid funds received from NSFAS and any private donors. Avoidable problems and difficulties in this regard could seriously undermine the acceptance of these institutions in their constituent communities as viable alternatives to existing
universities. To this end the new universities must establish a Financial Aid Office as soon as possible and simply take over the financial aid policies, systems and processes of an existing university which has a sound track record in this respect. In addition, initially special arrangements may have to be made with NSFAS in order to minimise any delays in the payments of financial aid funds to the new institutions.

Concerning the setting of tuition fees universities in South Africa do not seem to have developed a sufficiently uniform approach given the financial challenges faced by so many of our students. Nevertheless the setting of tuition fees should be based on a number of fundamental points of departure.

- Tuition fees should not be set as a means of balancing institutional budgets but should approximate a portion of the real costs of offering the various academic programmes as closely as possible;
- Annual tuition fee increases should be based on a framework of factors to be taken into account each year which has been agreed with the Student Representative Council, once established. Such a framework could include factors such as general price inflation, institutional specific price inflation, increases in staff salaries, intake limits set by professional councils for specific academic programmes, additional services introduced to assist students, average household income of families in the constituent communities of the institutions etc.;
- Annual tuition fee increases should be the subject of consultation between the institution and the SRC which should precede institutional budget preparations; and
- Proven efforts by the institution to supplement NSFAS funds with additional donor funding for supporting financially needy but academically deserving students.

Tuition fees should, with some exceptions, reflect an appropriate portion of the real cost of offering a specific academic programme as closely as possible. Doing so, however, requires that an institution has a fairly accurate assessment of the cost of each academic programme it offers. In institutions which have established activity based costing this can be done but not without some effort. Another alternative is to estimate the unit costs of each academic programme and within each academic programme, the cost of each year of study. This requires implementing a form of unit cost calculation for academic programmes which in itself is do-able if some assumptions are made.
regarding institutional costs, departmental costs (as a proxy for programme costs) and academic salaries per academic programme. Unfortunately it is likely to take the two new institutions a number of years before they would be ready to develop all the cost classification systems for following a unit cost approach for academic programmes.

A pragmatic approach would probably consist of the following:

- For each academic programme included in their initial PQMs, obtain the tuition fees per academic programme from a number of other, preferably comparable, institutions offering the same academic programme;
- Eliminate (or use a very much lower weighting) any tuition fees that are deemed not appropriate to be included in a sample of comparable fees and calculate the average tuition fee; and
- If possible reduce this average by a certain percentage to make up for the fact that the two new institutions do not yet have to support such sophisticated institutional systems and infrastructure as some of those included in the sample do.

This approach assumes that tuition fees could differ between the various academic programmes. This is the approach followed by most universities on the basis that the real cost of offering different academic programmes differs from case to case as well as the fact that future earnings of graduates differ from programme to programme. In some cases institutions allow market factors to play a stronger role. In the field of business and commerce in particular, many institutions actually set higher tuition fees than real costs would dictate, partly in an effort to regulate an over-supply of applications better.

**Guideline 20:** As a kick off the new institutions should obtain the tuition fees of academic programmes similar to theirs at a number of universities in South Africa and after eliminating any ‘outlier’ values, calculate the average tuition fee value and thereafter seek to reduce that by a further percentage in order to advance access for students. Once time permits it should establish a structured approach towards the setting of tuition fees based on fundamental points of departure as outlined above.
CHAPTER 5: OFFICE OF THE REGISTRAR,
STUDENT ADMISSIONS AND COMMITTEE MANAGEMENT
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NEW UNIVERSITY POLICY

1. LEGISLATION IMPACTING ON A UNIVERSITY

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The following list of legislation is not exhaustive. However, it provides a list of the legislated framework within which a new university needs to plan its operations.

1. Adult Basic Education and Training Act
2. Access to Information Act
3. Agricultural legislation
4. Allied Health Professions Act
5. Anatomy Act
6. Animal Health Act
7. Architectural Profession Act
8. Archives Act
9. Arms and Ammunition Act
10. Arts Culture and Heritage Act
11. Basic Conditions of Employment Act
13. Boxing and Wrestling Control Act
14. Children’s Act
15. Close Corporations Act
16. Combustible Materials Act
17. Companies Act
18. Competition Act
19. Constitution of the Republic of South Africa
20. Consumer Protection Act
21. Copyright Act
22. Criminal Procedure Act
23. Debt Collectors Act
24. Disaster Management Act
25. Education and Training Act
26. Electoral Act
27. Electronic Communications and Transactions Act
28. Employment Equity Act
29. Engineering Professions Act
30. Examination and Assessment Act
31. Finance Act
32. Financial Advisory and Intermediary Services Act
33. Firearms Control Act
34. Fresh Produce Act
35. Fund-raising Act
36. Further Education and Training Colleges Act
37. Further Education and Training Act
38. General and Further Education and Training Quality Assurance Act
39. Genetically Modified Organisms Act
40. Geosciences Act
41. Hazardous Substances Act
42. Health Act
43. Health Professions Act
44. Heraldry Act
45. Higher Education Act
46. Historic Collections Act
47. Historical Monuments Act
48. Home Loan and Mortgage Disclosure Act
49. Hospitals Act
50. Human Rights Act
51. Human Rights Commission Act
52. Identification Act
53. Immigration Act
54. Income Tax Act
55. Independent Broadcasting Authority Act
56. Information, Communications and Technology Act
57. Intellectual Property legislation
58. Intelligence Services Act
59. Interpretation Act
60. Justices of the Peace and Commissioners of Oaths Act
61. Labour Relations Act
62. Landlord and Tenant legislation
63. Landscape Architectural Profession Act
64. Legal Aid Act
65. Library and Information Services Act
66. Liquor Products Act
67. Maintenance Act (deductions)
68. Meat Safety Act
69. Media Act
70. Medical Schemes Act
71. Medical, Dental and Supplementary Health Services Professions Act
72. Medicines and Related Substances Act
73. Mental Health Care Act
74. Museums and Collections Act
75. National Archives of South Africa Act
76. National Education Policy Act
77. National Environmental Management Act
78. National Environmental Management: Biodiversity Act
79. National Heritage Resources Act
80. National Nuclear Regulator Act
81. National Qualifications Framework Act
82. National Road Traffic Act
83. National Scientific Professions Act
84. National Student Financial Aid Scheme Act
85. National Small Business Act
86. National Sport and Recreation Act
87. National Veld and Forest Fire Act
88. Natural Sciences Act
89. Non-Profit Organizations Act
90. National Students Financial Aid Services Act
91. Nuclear Energy Act
92. Occupational, Health and Safety Act
93. Patents Act
94. Pension Funds Act
95. Pensions Act
96. Performers Protection Act
97. Pharmacy Act
98. Preferential Procurement Policy Framework Act
99. Planning Profession Act
100. Postal Services Act
101. Private Security Industry Regulation Act
102. Project and Construction Management Professions Act
103. Promotion of Access to Information Act
104. Promotion of Administrative Justice Act
105. Promotion of Equality and Prevention of Unfair Discrimination Act
106. Property Values Profession Act
107. Protected Disclosures Act
108. Protection of Personal Information Bill/Act
109. Provincial Road Traffic Act
110. Provincial Public Passenger Road Transport Act (if any)
111. Provincial Tourism Act
112. Public Finance Management Act
113. Public Liabilities Act
114. Publications Act
115. Quantity Surveying Profession Act
116. Recognition of Customary Marriages Act
117. Revenue Laws Act
118. Safety at Sports and Recreation Events Act
119. Schools Act
120. Skills Development Act
121. Skills Development Levies Act
122. South African Qualifications Authority Act
123. South African Schools Act
124. Subdivision of Agricultural Land Act
125. Telecommunications Act
126. The National Library of South Africa Act
127. Town and Regional Planning Act
128. Trade Marks Act
129. Traditional Health Practitioners Act
130. Unemployment Insurance Act
131. Unemployment Insurance Contributions Act
132. Universities Act
133. Usury Act
134. Value-Added Tax Act
135. Veterinary and Para-Veterinary Professions Act
136. Waste Disposal Act
137. Water Usage Act
138. Workmen's Compensation Act
139. World Heritage legislation
NEW UNIVERSITY POLICY

2. COMMITTEE PROCEDURES

POLICY REFERENCE: RO 02

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i. Common Law of Meetings

The University uses the Common Law of meetings to govern its meeting practices and procedures. Where there is a need to deviate from these norms for a particular committee, the remit of that committee defines the approved variances.

ii. Composition of Committees

Key governance committees are composed while bearing in mind the needs for appropriate stakeholder representation, equity and efficiency. Standing committees are structured with attention to the principle that the size of a committee determines how effectively its processes operate. The size of a committee determines the extent to which the view of each individual member counts. Practice shows that the bigger the membership of a committee, the more passive participants there are. The size guidelines are as follows and define the type of structure selected:

- 2-12 people  Committee/Task Group
- 13-30 people  Council/Board
- 31-50 people  Forum
- 51-100 people  Seminar
- 101+ people  Parliament/Senate
iii. Quorum

Unless defined differently in a committee’s remit, a majority of the voting members of a committee shall be a quorum to transact business, that is 50% of current membership plus 1 member. A smaller number may meet and adjourn to some other time or until a quorum is obtained, if this provision is included in the committee’s remit. The committee may conduct any meeting by conference telephone call or other communication equipment by means of which all persons participating in the meeting can communicate with each other.

Where there are vacancies in categories of membership the number of individuals required for a quorum reduces proportionately. Where a member present, in addition to the member’s own vote, exercises a proxy granted to that person by another committee member, the quorum is affected by having an additional member ‘present’ for the relevant agenda item or items.

iv. Proxy

The granting of a proxy only occurs in such committees where the remit of the structure provides for this right and for the item/s stipulated by the absent member. Proxies may be limited to one or more or all items on an agenda. Proxy rights are normally effective only in committees that are critical in governance structures. This is so as to help ensure smooth decision-making and thereby avoid unnecessary procedural delays.

v. Voting

Voting is seldom used in university decision-making structures. The principle of seeking sufficient consensus is the norm. When a structure is obliged to use a vote to resolve a matter, voting is usually by a show of hands. However, should any one member request a secret ballot on any issue, voting may be run electronically or by written ballot. In the latter case, two scrutineers (identified prior to the vote), tally the results and report back through the Chairperson.
Where the number of positive and negative votes is equal, the chairperson has an additional casting vote. An abstention from voting has no effect on the outcome but is counted as an exercised vote. When a particular decision requires a predetermined percentage of votes that is either less or greater than 50% plus 1, an abstention counts as a neutral vote, but adds to the total number of votes cast.

vi. Membership

The University Statute, published in terms of the Higher Education Act, determines the form and functions of the statutory structures of the Council, Senate and Institutional Forum. Normally, the Students Representative Council and the Convocation are structured by constitutions and electoral procedures approved by the Council of the University, in terms of enabling clauses of the Statute. The constituent membership of these structures strives to achieve stakeholder representation, and demographic and gender diversity. Where a committee requires individuals who have specific knowledge or expertise to be present “By Invitation” at meetings or for parts of meetings, their presence will be thus recorded, and they will have no voting rights. “Observers” will be handled similarly. Those supporting the proceedings and recording the debates and decisions will be listed in the Minutes as being “In Attendance”.

vii. King III Practices

The Governance of the University, especially in respect of the Council and the Senate, should strive to achieve the governance principles, set out in King III as they appertain to not for profit governance, and their roles and responsibilities in seeking to ensure the sustainability of the University by ethical and transparent financial management, audit practices and risk management. The annual reporting of the University should espouse these principles and assess the sustainability of the University in terms of its finances, its social responsibilities and environmental consciousness.

viii. Confidentiality

Before assuming office in the Council, Senate, Institutional Forum, Convocation or SRC, each member must voluntarily sign a confidentiality agreement with the University regarding the strategic and other confidential information about the University, its employees or students that a
member may have access to in the course of their duties. Prior to considering such matters on the formal agenda of a meeting, the Chairperson should remind members of this obligation.

ix. Stakeholder Representation and Role in Meetings

Committees within a university often comprise members drawn as representatives from a particular category of staff, students, government or corporate stakeholder groups. The constituency or category from which a member originates may nominate, elect or appoint the individual to serve on a university committee. When participating in the work of such a committee, the member brings to bear the interests and background of the stakeholder from which the member originates; however, when acting within the business activities of the committee, the member is expected to act in terms of the best interests of the University when exercising a vote, in keeping with the remit of the committee.

x. Conflict of Interest

Responsible membership of any committee requires that all members must annually make a declaration of their current business and financial interests and/or other membership/s of other entities or organizations, in order to ensure that any possible conflict of interest is made known to all members of the relevant committee. Good practice at governance committee meetings is to request all members to declare any potential conflict of interest regarding the items appearing on the agenda. Unless the committee agrees otherwise, the member with a declared conflict of interest should voluntarily excuse themselves from the meeting while the item is under consideration. Where a member, who has a declared or undeclared conflict of interest regarding an agenda item, does not do excuse herself or himself, the person chairing the meeting shall recuse the member in question.

xi. Schedule of meetings

An annual schedule of meetings for the next academic year is included in the University almanac and published in the University Calendar after approval by the Executive Committee of Council. The date of any meeting may only be altered by vote of the committee in question or by order of the
chairperson of the committee; any meeting may be omitted by vote of the committee members, or by order of the chair thereof, where it appears that the amount and nature of the business to be presented is not sufficient to justify a meeting. The principles that will guide the chairperson of a committee about altering the date of a scheduled meeting are shaped by realities such as the following –

- there have been too many apologies for a quorum to be achieved;
- the vice-chairperson is unable to take the chair where exigencies in the commitments of the chairperson’s diary compel her/his absence
- the number of apologies from members result in external members forming a minority and University representatives a majority in committees, such as Council, where the superior ratio of external to internal members is ought to be maintained.

xii. Special and emergency meetings

Special meetings may be called whenever deemed necessary by the chair or any three members of the committee (in the case of the Senate it shall be ten members) by giving at least 48 hours’ notice thereof by mail, email, facsimile or telephone to each member of the committee. In such notice, the object and general character of the special business to be transacted at such meeting shall be stated. For a meeting held in the event of a *bona fide* emergency, notice shall be given as soon as practicable but in any event prior to the holding of such meeting.

xiii. Regular meetings

The members of statutory committees shall be notified by mail and receive documents, that will serve before the committee, not later than seven work-days prior to any regular meeting.

xiv. Statutory structures meeting in “executive session” (*in camera*)

When the Council meets in executive session all matters discussed in that session are strictly confidential and shall not be shared with others outside those assembled in the executive session. The one exception would be to share information with absent board members or officers. Such
discussions occur in the absence of all those in attendance either by invitation or ex officio: they are recused before the discussion occurs. The minutes of this part of a meeting are in high-level summary form, normally capturing only the outcome, rather than how the conclusion was reached.

xv. Motions and amendments

The practice is to have a member propose a motion for possible adoption or rejection. The proposer is normally expected to craft the precise wording of the proposal. For a motion to be considered another member is expected to second the motion. In doing so, each is entitled to argue why the motion should be approved. The chairperson then opens the floor for those who wish to debate the motion. The proposer and the person who seconds the motion are invited to respond to the debate before the question is put to the meeting.

In the course of debate, other members may seek to amend the motion under consideration. Should a member propose an amendment and there is another member, who seconds the amended motion, debate is allowed in terms of the amendment. The practice is then to vote on the amendment to the motion. Should the amendment of the motion be adopted, the amended motion is then put to the committee for a decision. If this altered motion is rejected, the original unaltered original motion is considered.

Sometimes more than one amendment is proposed. Each amendment is handled in the same way (from the most recent proposal in sequence), until a decision about the original proposal or any of its amended forms is adopted.

If there is no second for a proposal, that proposal falls away. If the proposer and the second of the original motion accept any, or some, or all of the amendments, the amended version of the original motion becomes the question. Amendments not accepted by the initial proposer are dealt with seriatim as described above.

xvi. The role of the chairperson in handling a proposal

When no member of a committee puts a proposed wording forward for the committee to consider, the onus rests with the chairperson to summarize the tentative proposal that appears to have
emerged for consideration. The summary put to the committee requires another member to support the motion by seconding the proposal.
3. LANGUAGE POLICY

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3.1. Background

The University has been established in response to the need for the expansion of quality higher education provision in South Africa and in particular in the this Province. It is a university duly established under the Higher Education Act No 101 of 1997. In terms of this Act, the Council is obligated to adopt and publish the Language Policy of the University.

Given the commitment of this University to the pursuit of academic excellence in the provision of quality, cutting-edge learning programmes, a critical issue is how to ensure that the academic credibility of this institution and the competitiveness of its graduates rapidly gains credence. The choice of the institutional language and the medium of instruction play a cardinal role in achieving such status.

For the University to perform an appropriate role in responding to the nation's language policy, the resources of the institution need to be mobilized from its inception, both to enhance the language competencies of staff and students and, more importantly, to contribute to the development of one of South Africa's official languages.

The Mpumalanga Province has selected siSwati, isiNdebele, English and Afrikaans of the official languages as the focus of its language policy.
The Northern Cape Province has selected four of the official languages as the focus of its language policy. In alphabetical order they are: Afrikaans, English, Setswana and isiXhosa.

There are areas in all provinces in which one South African official language predominates over others. In the country as a whole there are many languages in use. The University's most meaningful contribution therefore will be to seek to develop capacity in the current predominant language of universal academic communication and record. However, there is recognition that critical written and verbal communications will need to be made available upon request in any of the country’s official languages. This intention is reflected in the University’s language policy. Communicative capacity in other African languages will be encouraged, but the development of competence in them will not be regarded as a direct University responsibility.

- **Language Policy**

The medium of education at the University is English, except in programmes involving the learning of other languages. The language of work at the University is English. The language of record at the University is also English.

In a country with a multi-lingual policy, this requires adoption of a responsible position in relation to supporting students and staff whose main language is not English.

The South African promotion of multi-lingualism requires a vast commitment to the core issue of encouraging the recognition of all of our nation’s linguistic diversity. The University undertakes to ensure that all of our staff and students will be assisted to ensure comprehensive understanding of all critical communications.

The University resolves, within a fifteen-year period, to ensure that all academic staff members have academic proficiency in the language of education, and also communicative competence in an indigenous South African language.

The University commits itself to assist support staff where appropriate to achieve spoken and written competence in English and one South African, African language, appropriate to the needs of their work.
• **Policy on translation and interpretation**

Translation and interpretation services will be extended beyond the focus language to include the official languages of this Province.

In situations relating to the discussion of contracts, the University will provide interpretation services where necessary.

Key documents will be translated into the official languages of the province. (For example, contractual components of application and registration forms, acknowledgements of debt, loan agreement, rules and regulations).

**3.2. Purpose of the policy**

The University shall strive to develop in its personnel and students a deep understanding of how the rich diversity of our nation’s languages and cultures combine to enrich us as a people. The University commits itself to creating learning opportunities for employees and students to undertake self-study programmes that facilitate capacity to unlock the opportunities that we have to learn from and with one another.

**3.3. Policy implementation**

The University commits itself to:

- capacity development that ensures enhanced capacity of English communication
- the provision of teaching and learning environments which are conducive to creating better communicative understanding about disciplinary core terms
- the identification of students and employees, who may require particular support and language learning or enhancement opportunities to facilitate the quality of the respective learning or teaching capacities
- review our language practices regularly.
3.4. **What will be used to gauge the success of the policy**

The University recognizes the disparate quality of language breadth and depth that prevails between the official languages of the country and in particular in the province in which we are situated. The success of the University in responding to these variations will be gauged by the regular use of institutional climate surveys aimed at determining the sense of language accommodation and support. The following on-going processes will be embedded in the teaching and learning practices of the University:

- The University will continue to enhance its teaching and learning practices by ensuring that all programmes of study identify and teach the significance of key disciplinary jargon terms as a core component of the early content exposure.
- Students admitted to the University will receive educational support that provides equal opportunities and reading and listening comprehension development aimed at facilitating academic success.
- As the University offers its programmes through the medium of English. Special support will be created to assist those whose home language is not English.

### i. **What are the success measurements**

Essentially they are as follows:

- The annual and longitudinal analysis of reading and listening comprehension norms within teaching input units by year of study and by qualification;
- The annual and longitudinal analysis of course pass rates in the range of language categories by module and by qualification;
- The annual, careful and thorough analysis of external examiners’ moderation reports by module and overall departmental reflection, particularly in respect of language competencies.
ii. Resource consequences of the policy

The University will establish the necessary IT infrastructure and capacity for developing the reports required to analyse the data pertaining to student language and comprehension performance.

iii. Period of implementation

In the first five years, the University will support:

The research and development of communicative language proficiency courses and materials for adults to acquire basic interpersonal communicative competence in the focus language. The courses will begin with the development of language for basic, social purposes. The courses will next focus on either community themes (e.g. AIDS) or thematically pertinent language for the purposes of specific academic disciplines. Finally, they will develop capacity in multi-disciplinary contexts.

3.5. Policy review

i. Review procedure

[State the steps to be taken for reviewing the policy e.g. which committees consider the results of the monitoring, and the timeframe for doing so]

The Language Policy must be reviewed after the first three years of implementation and followed by reviews every five years thereafter.

ii. Responsibility

[State the person i.e. position (e.g. a DVC) or structure (e.g. office or committee) accountable for:

- Implementation

[State person or entity]
• Monitoring

[State person or entity]

• Review and revision

[State person or entity]

iii. Associated documentation

[State title and document number of other associated documentation e.g. document of motivation, if it is not included elsewhere in this document]

iv. Other pertinent matters

[Use this section to state other matters or issues which are important for the policy but which cannot be fitted elsewhere in the policy protocol]
NEW UNIVERSITY POLICY

4. ADMISSIONS POLICY

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4.1. Background

The University has been established in response to the need for easier local access to higher education by residents of this Province and by the national strategic need to expand the number of leading higher education institutions. It is a university duly established under the Higher Education Act No 101 of 1997. In terms of this Act, the Council is obligated to adopt and publish the Admissions Policy of the University.

This University is committed to the pursuit of academic excellence in the provision of quality, cutting-edge learning programmes. These programmes are focused on meeting the human development needs of the Province, the nation and also those international students who seek to register at this institution. The Admissions Policy is shaped by the Constitution of South Africa and its entrenched human rights.

Through this Admissions Policy diversity is celebrated. The student body is consciously shaped by this principle. We constitute our student body without regard to gender, class, colour, gender, sexual orientation or creed. We strive to achieve a demographic balance that matches that of South Africa, while being particularly conscious of the need for redress in the designated categories defined in our nation’s legislative framework.
The present national secondary schooling system continues to provide unequal educational opportunities. It fails to prepare all potential university students equally with the attributes and skills of learning necessary for higher education success. Poverty, prejudice, and under-resourced teaching and learning environments in many schools continue to militate against ready access to University and present obstacles to achievement in the early years of higher education learning.

4.2. Policy

The University is committed to principles of equity in shaping our student body and in producing comparable academic success by all of the component categories of membership. Consequently, the undergraduate admissions processes are designed to discriminate fairly. For this reason, the University has embedded access principles that are not reliant only on success in school-leaving examinations, for identifying potential students from scholastically disadvantaged groups and socio-economically deprived backgrounds.

4.3. Purpose of the policy

The University shall strive to admit only students for whom the University has adequate resources including space, library material, computing facilities, or special academic support when needed. The University commits itself to advising students who are unable to fund their own studies of the opportunities available, and the attendant risks and obligations of accepting loans or employment bursaries. Where there are limitations on financial aid availability for qualifying students, these will also be made explicit.

4.4. Definitions

If necessary, terms used elsewhere in the policy statement should be defined here; a common understanding of terms used is important]
4.5. Policy implementation

The University commits itself to:

- Fair and transparent admission practices
- the provision of teaching and learning environments which are conducive to success
- the identification of students, who may not necessarily qualify for automatic admission, but who are adjudged to have the potential to succeed at University
- the regular review of our admission practices.

This may require flexible practices of enrolment and varied equity targets in specific programmes. Where use is made of any additional assessment processes to inform admissions decisions, these practices will conform to the relevant statutory and professional standards and norms.

i. What will be used to gauge the success of the policy

The University also accepts responsibility for compensating in as far as this is practicable for preparatory inequities. The success of the University in preparing all of its admitted students will be gauged by the following on-going processes embedded in the teaching and learning practices of the University:

- The University will continue to enhance its teaching and learning practices as part of its commitment to academic excellence and quality research in the programmes offered.
- Students admitted to the University will receive educational support that provides equal opportunities for academic success.
- The University offers its programmes through the medium of English. Special support will be created to assist those whose home language is not English.
- The University commits itself to conducting regular reviews of curricula, programmes, and androgogy, to make sure that these take account of this Admission Policy.

ii. What are the success measurements

The success measurements will be those applied in South Africa. Essentially they are as follows:
• The annual and longitudinal analysis of teaching input units by year of study and by qualification;
• The annual and longitudinal analysis of course pass rates by module and by qualification;
• The longitudinal analysis of qualification throughput units;
• The annual careful and thorough analysis of external examiners moderation reports by module and overall departmental performance plus faculty attainments collectively by qualification.

### iii. Resource consequences of the policy

The University will establish the necessary IT infrastructure and capacity for developing the reports required to analyse the data pertaining to student performance. These performance reports must also be linked to admission classifications to determine the efficacy of the admission criteria implemented. The result must be the annual evaluation of the pertaining admission criteria, and, where required, adjustments based on the input performance in the first year of study.

### 4.6. Policy review

#### i. Review procedure

[State the steps to be taken for reviewing the policy e.g. which committees consider the results of the monitoring, and the timeframe for doing so]

The Admission Policy must be reviewed after the first year of implementation. The second review will be three years later, followed by reviews every five years thereafter.

#### ii. Responsibility

[State the person i.e. position (e.g. a DVC) or structure (e.g. office or committee) accountable for:

• Implementation

 [State person or entity]
• Monitoring
  [State person or entity]

• Review and revision
  [State person or entity]

iii. Associated documentation

  [State title and document number of other associated documentation e.g. document of motivation, if it is not included elsewhere in this document]

iv. Other pertinent matters

  [Use this section to state other matters or issues which are important for the policy but which cannot be fitted elsewhere in the policy protocol]
NEW UNIVERSITY POLICY

5. RETENTION AND DESTRUCTION OF DOCUMENTS

<table>
<thead>
<tr>
<th>Name of Originator</th>
<th>DS</th>
<th>Name of VC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approved by QC</td>
<td>Approved by Legal Div</td>
<td></td>
</tr>
<tr>
<td>Policy code and number</td>
<td>RO 05</td>
<td>Approved by Registrar</td>
</tr>
<tr>
<td>Date sent to VC</td>
<td>Approved by VC</td>
<td></td>
</tr>
<tr>
<td>Date sent to Council</td>
<td>Approved by Council</td>
<td></td>
</tr>
</tbody>
</table>

5.1. Background

The University has been established in response to the need for easier local access to higher education by residents of this Province and by the national strategic need to expand the number of leading higher education institutions. It is a university duly established under the Higher Education Act No 101 of 1997.

From the outset the University will have clear documentation policies.

The University is a public institution. It is obligated by legislation to put effective policies and control measures in place in order to ensure good management. In addition, the Council and management must seek to ensure that good corporate management is practised. It also intends to implement best practice, as recommended in the King III Guidelines on best practices and good governance, as far as this is practicable.
5.2. Policy

The University is committed to the implementation of good practice in adopting appropriate procedures for the retention and destruction of documents, both those that are produced in hard copy and electronic forms. It will be underpinned by documented and retained records of the authorization for the destruction of such documents.

Before permitting destruction of records, cognizance will be taken of the possible historical value of each document as well as any circumstance where exceptions should apply. Any such factor may lead to retention of documents despite the expiry of a legal requirement for its retention.

5.3. Purpose of the policy

Legislation prescribes the periods for which particular documents must be retained.

This policy, its procedures and guidelines, are based on the legal requirements and identify the periods for which certain types of documents have to be kept, either in hard copy or electronically, as applicable. Documents, not mentioned in this guideline, must be treated in accordance with comparable good practice. (See Appendix A: Document Retention Periods.)

The destruction of documents must be authorized in a responsible manner. Approval for the destruction of documents must only occur if the requisite Approval for the Destruction of Documents form has been appropriately completed. (See Appendix B)

5.4. Scope

This policy applies to the retention of all documents relating to the operations of the University. The policy must, where applicable, be read in juxtaposition with the Council approved policy and procedures relating to the Delegation of Powers and defined categories of signatories.

i. Document destruction and exceptions
The senior line manager responsible for the retention of each of the defined categories of documentation must ensure the on-going process of identifying the records, which have met the required retention period, and oversee their destruction. Destruction of financial and personnel-related documents must be accomplished by shredding. Notwithstanding the normal document destruction schedule of the University, document destruction will be suspended immediately in circumstances where:

- the information has been subpoenaed in a civil or criminal case, or is the subject of an information request letter from a government agency, or
- the information relates to civil or criminal litigation against the University, or a subsidiary, that is either pending, imminent or contemplated, or
- destruction of the information would impede, obstruct or influence the administration of any matter within the jurisdiction of the government, where such matter is pending, imminent or contemplated, or.
- the University’s legal adviser places a “legal hold” on any document for any reason.

Destruction is reinstated upon conclusion of the investigation or legal matter, but only after consultation between the Registrar and the University’s legal advisers.

**ii. Resource consequences of the policy**

Records need to be retained in storage that complies with best practice. Ideally the filing space for records must have automatic dry powder fire extinguisher systems in place. There also needs to be provision for a fire-proof safe that can contain critical documents, such as property deeds, which need essential preservation.

When creating archival space for historically important documents the control of environmental factors of humidity and temperature regulation need to be accommodated *de novo.*

**5.5. Policy review**

**i. Review procedure**
A review, of the efficacy and efficiency of the University in implementing this policy, will be conducted at the end of the fourth year of each cycle of five years for which it has been approved. This will facilitate adaptations for consideration and approval by Council during the fifth year for implementation in the next cycle.

ii. Responsibility

[State the person i.e. position (e.g. a DVC) or structure (e.g. office or committee) accountable for:

- **Implementation**
  [State person or entity]

- **Monitoring**
  [State person or entity]

- **Review and revision**
  [State person or entity]

iii. Associated documentation

[State title and document number of other associated documentation e.g. document of motivation, if it is not included elsewhere in this document]

iv. Other pertinent matters

[Use this section to state other matters or issues which are important for the policy but which cannot be fitted elsewhere in the policy protocol]
APPENDIX A

Document Retention Periods

i. FINANCIAL RECORDS:

The following retention periods are prescribed.

<table>
<thead>
<tr>
<th>General bookkeeping:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>General ledger</td>
<td>15 years</td>
</tr>
<tr>
<td>Subledgers</td>
<td>15 years</td>
</tr>
<tr>
<td>Supporting documentation, such as invoices, vouchers, et cetera.</td>
<td>5 years</td>
</tr>
<tr>
<td>Bank deposit books or slips</td>
<td>5 years</td>
</tr>
<tr>
<td>Instructions to the bank</td>
<td>5 years</td>
</tr>
<tr>
<td>All reconciliations</td>
<td>5 years</td>
</tr>
<tr>
<td>Bank statements</td>
<td>5 years</td>
</tr>
<tr>
<td>Tax assessments, related documents, et cetera</td>
<td>5 years</td>
</tr>
<tr>
<td>Foreign currency payments</td>
<td>6 years</td>
</tr>
<tr>
<td>Dividend and interest lists</td>
<td>12 years</td>
</tr>
<tr>
<td>Invoice books</td>
<td>15 years</td>
</tr>
<tr>
<td>Financial statements</td>
<td>15 years</td>
</tr>
<tr>
<td>Financial statements – working papers</td>
<td>5 years</td>
</tr>
<tr>
<td>Journals and supporting documentation.</td>
<td>15 years</td>
</tr>
<tr>
<td>Petty cash books</td>
<td>15 years</td>
</tr>
<tr>
<td>Receipt books</td>
<td>5 years</td>
</tr>
<tr>
<td>Electronic Fund Transfer documents</td>
<td>5 years</td>
</tr>
<tr>
<td>Schedules that support accounting records</td>
<td>15 years</td>
</tr>
</tbody>
</table>

Purchases:

Orders                                           | 5 years |
Goods received notices                           | 5 years |
Requisition books                                | 5 years |

Creditors:
<table>
<thead>
<tr>
<th>Category</th>
<th>Retention Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Debit notes</td>
<td>7 years</td>
</tr>
<tr>
<td>Credit notes</td>
<td>7 years</td>
</tr>
<tr>
<td>Creditors invoices and statements</td>
<td>5 years</td>
</tr>
<tr>
<td>Cheques</td>
<td>7 years</td>
</tr>
<tr>
<td><strong>Debtors:</strong></td>
<td></td>
</tr>
<tr>
<td>Debtor statements</td>
<td>5 years</td>
</tr>
<tr>
<td>Invoices</td>
<td>5 years</td>
</tr>
<tr>
<td>VAT Records</td>
<td>5 years</td>
</tr>
<tr>
<td><strong>Salaries:</strong></td>
<td></td>
</tr>
<tr>
<td>Statement of payments</td>
<td>5 years</td>
</tr>
<tr>
<td>Payment slips</td>
<td>5 years</td>
</tr>
<tr>
<td>Garnishee records</td>
<td>5 years</td>
</tr>
<tr>
<td><strong>Fixed assets:</strong></td>
<td></td>
</tr>
<tr>
<td>Purchases of fixed assets</td>
<td>Until asset is sold or written off</td>
</tr>
<tr>
<td>Fixed asset registers</td>
<td>15 years</td>
</tr>
<tr>
<td><strong>Inventory:</strong></td>
<td></td>
</tr>
<tr>
<td>Inventory registers</td>
<td>15 years</td>
</tr>
<tr>
<td><strong>Agreements and contracts</strong></td>
<td></td>
</tr>
<tr>
<td>Written agreements or contracts (after completion date)</td>
<td>5 years</td>
</tr>
<tr>
<td>Rental agreements (after completion date)</td>
<td>5 years</td>
</tr>
<tr>
<td>Licencing agreements (after expiry date)</td>
<td>5 years</td>
</tr>
<tr>
<td>Agreements of historical importance</td>
<td>Permanent</td>
</tr>
<tr>
<td>Debt – dependent on the type of debt (Act no. 68 of 1969)</td>
<td>6/15/30 years</td>
</tr>
<tr>
<td>Warranties/sureties and Guarantees (after end date)</td>
<td>5 years</td>
</tr>
</tbody>
</table>
ii. HUMAN RESOURCES AND LABOUR RELATIONS:

Employee relations are governed by a range of legislation, including the Basic Conditions of Employment Act and the Labour Relations Act.

The Basic Conditions of Employment Act (No. 75 of 1997) states that various documents, relating to employees, should be kept for future reference.

<table>
<thead>
<tr>
<th>Category</th>
<th>Retention Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Deceased employees</td>
<td>1 year after death</td>
</tr>
<tr>
<td>Rationalised employees</td>
<td>10 years</td>
</tr>
<tr>
<td>Normal resignations – Part time employees</td>
<td>5 years</td>
</tr>
<tr>
<td>Normal resignations – Permanent employees</td>
<td>10 years</td>
</tr>
<tr>
<td>Files of deans and higher level employees (for historic purposes)</td>
<td>Permanent</td>
</tr>
<tr>
<td>Work Injury Incident books and Records</td>
<td>3 years</td>
</tr>
<tr>
<td>Unsuccessful work applications</td>
<td>2 years after application</td>
</tr>
<tr>
<td>Retired personnel (not mentioned in earlier categories)</td>
<td>1 year after death</td>
</tr>
<tr>
<td>Personnel injured at work</td>
<td>1 year after death</td>
</tr>
<tr>
<td>Leave records</td>
<td>Retain on employee file</td>
</tr>
<tr>
<td>Termination Agreements</td>
<td>Permanent</td>
</tr>
</tbody>
</table>

The Labour Relations Act (No. 66 of 1995) applies to employees, employers, trade unions and employers’ organizations and provides a framework where the parties can collectively bargain regarding remuneration, basic conditions of service and other matters of importance.

Various records relating to the structures created in terms of this Act have to be kept for future reference.

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Retention Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employer must keep prescribed details of any strike, lock-out or protest action involving its employees</td>
<td>Indefinite</td>
</tr>
<tr>
<td>Employers should keep records for each employee specifying the nature of any disciplinary transgressions, the actions taken by the employer and the reasons for the actions</td>
<td>Indefinite</td>
</tr>
</tbody>
</table>
iii. **PENSION RECORDS:**

<table>
<thead>
<tr>
<th>Record Type</th>
<th>Retention Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Actuarial valuation reports</td>
<td>15 years</td>
</tr>
<tr>
<td>Contribution records</td>
<td>5 years</td>
</tr>
<tr>
<td>Investment records</td>
<td>5 years</td>
</tr>
<tr>
<td>Life, group, and spouse insurance, et cetera (after final end-date of benefits)</td>
<td>5 years</td>
</tr>
<tr>
<td>Minutes of pension members meetings</td>
<td>Permanent</td>
</tr>
<tr>
<td>Minutes of pension fund trustees meetings</td>
<td>Permanent</td>
</tr>
<tr>
<td>Pension fund records</td>
<td>15 years</td>
</tr>
<tr>
<td>Pension fund rules</td>
<td>Permanent</td>
</tr>
<tr>
<td>Record of past pensioners (from end-date of benefit)</td>
<td>5 years</td>
</tr>
</tbody>
</table>

iv. **STUDENT RECORDS:**

Student records must be retained for the following periods:

<table>
<thead>
<tr>
<th>Record Type</th>
<th>Retention Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Students that are no longer registered</td>
<td>Permanent</td>
</tr>
<tr>
<td>Students who applied, but who are not registered.</td>
<td>3 years after application</td>
</tr>
<tr>
<td>Students’ Tuition Fees accounts paid up</td>
<td>5 years</td>
</tr>
<tr>
<td>Students’ Tuition Fees accounts in debt</td>
<td>Until paid <em>or</em> to 20 years</td>
</tr>
<tr>
<td>Examination results</td>
<td>Permanent</td>
</tr>
</tbody>
</table>

v. **MAINTENANCE:**

<table>
<thead>
<tr>
<th>Record Type</th>
<th>Retention Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Job requisitions</td>
<td>4 years</td>
</tr>
<tr>
<td>Job orders</td>
<td>4 years</td>
</tr>
</tbody>
</table>

vi. **HEALTH AND SAFETY**

The Compensation for Occupational Injuries and Diseases Act (No. 130 of 1993) provides for compensation for disablement caused by occupational injuries or diseases sustained or contracted by employees in the course of their employment or for death from these injuries at their place of work.
The Act requires that certain records relating to the compensation payments should be retained as follows:

| Registers, records or reproduction of the payments, time worked, payment for piece work and overtime, and other prescribed particulars of all the employees. | 4 years |

The **Occupational Health and Safety Act (No. 85 of 1993)** was enacted to provide for the health and safety of employees at work and for persons using plant and machinery, as well as for personnel involved in other hazardous employment conditions. Certain documents have to be kept based on the related Administrative Regulations.

| The Health and Safety Committee shall keep record of each recommendation made to an employer in terms of issues affecting the health of employees and of any report made to an inspector in terms of the recommendation | 3 years |
| Records of incidents reported at work (Annexure 1 of the General Administration Regulations, 2003) | 3 years |
| Records of assessments and air monitoring, and the asbestos inventory (Asbestos Regulations, 2001) | Minimum of 40 years |
| Medical surveillance records (Asbestos Regulations, 2001) | Minimum of 40 years |
| Records of risk assessments and air monitoring results (Hazardous Biological Agents Regulations) | 40 years |
| Medical surveillance records (Hazardous Biological Agents Regulations) | 40 years |
| Records of assessments and air monitoring (Hazardous Chemical Substances Regulations, 1995) | 30 years |
| Medical surveillance records (Hazardous Chemical Substance Regulations, 1995) | 30 years |
| Records of assessments and air monitoring (Lead Regulations, 2001) | 40 years |
| Medical surveillance records (Lead Regulations, 2001) | 40 years |
| All records of assessments and noise monitoring (Noise-induced Hearing Loss Regulations, 2003) | 40 years |
| All medical surveillance records, including the baseline | 40 years |
vii. ELECTRONIC COMMUNICATION AND RECORDS

The **Electronic Communication and Transaction Act, No. 25 of 2005**, regulates electronic communication and to prohibit the abuse of information. There are certain principles stated for the electronic collection of personal information and also the timeframe that this information must be kept.

<table>
<thead>
<tr>
<th>Personal information and the purpose for which the data was collected</th>
<th>Retain for as long as information is used and for at least 1 year thereafter</th>
</tr>
</thead>
<tbody>
<tr>
<td>A record of any third party to whom the information was disclosed</td>
<td>Retain for as long as information is used and for at least 1 year thereafter</td>
</tr>
<tr>
<td>All personal data which has become obsolete</td>
<td>Destroy</td>
</tr>
</tbody>
</table>

Electronic documents must be retained as if they were paper documents. Therefore, any electronic files that fall into one of the document types in this schedule must be maintained for the appropriate amount of time. If a user has sufficient reason to keep an e-mail message, the message should be printed in hard copy and kept in the appropriate file or moved to an “archive” computer file folder. Backup and recovery methods must be tested on a regular basis.

viii. TAX

The **Income Tax Act, No. 58 of 1962**, is the act governing all the laws relating to income taxes and donations, and the **Value Added Tax Act, No. 89 of 1991**, provides for the taxation of the supply of goods and services as well as the importation of goods. These acts provide specific time periods that documents must be retained.
<table>
<thead>
<tr>
<th>Records kept by person who has rendered a tax return including:</th>
<th>5 years</th>
</tr>
</thead>
<tbody>
<tr>
<td>• ledgers</td>
<td></td>
</tr>
<tr>
<td>• cash books</td>
<td></td>
</tr>
<tr>
<td>• journals</td>
<td></td>
</tr>
<tr>
<td>• cheque books</td>
<td></td>
</tr>
<tr>
<td>• bank statements</td>
<td></td>
</tr>
<tr>
<td>• deposit slips</td>
<td></td>
</tr>
<tr>
<td>• paid cheques</td>
<td></td>
</tr>
<tr>
<td>• invoices</td>
<td></td>
</tr>
<tr>
<td>• stock lists</td>
<td></td>
</tr>
<tr>
<td>• other books of accounts</td>
<td></td>
</tr>
<tr>
<td>• - electronic representations of information</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Records relating to taxable capital gain or assessed capital loss (from date return received from Commissioner):</th>
<th>5 years</th>
</tr>
</thead>
<tbody>
<tr>
<td>• agreement for acquisition, disposal or lease of asset</td>
<td></td>
</tr>
<tr>
<td>• details of asset transferred into a trust</td>
<td></td>
</tr>
<tr>
<td>• copies of valuations used in determining the taxable capital gain or assessed capital loss</td>
<td></td>
</tr>
<tr>
<td>• invoices or other evidence of payment records such as bank statements and paid cheques relating to any costs claimed in respect of the acquisition, improvement or disposal of any asset</td>
<td></td>
</tr>
<tr>
<td>• details supporting the proportional use of an asset for both private and business purposes</td>
<td></td>
</tr>
<tr>
<td>• details of any continuous absence of more than 6 months</td>
<td></td>
</tr>
<tr>
<td>• from a primary residence, as contemplated in the Eighth Schedule</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Documents relating to where objection and appeal is lodged</th>
<th>Until an appeal or objection is final</th>
</tr>
</thead>
</table>

**Value added tax**
Vendors are obliged to keep the following records:

- Record of all goods and services
- The rate of tax applicable to the supply and the suppliers or their agents
- Invoices
- Tax invoices
- Credit notes
- Debit notes
- Bank statements
- Deposit slips
- Stock lists
- Paid cheques

<table>
<thead>
<tr>
<th>Records of importation of goods and documents</th>
<th>5 years</th>
</tr>
</thead>
<tbody>
<tr>
<td>bill of entry</td>
<td></td>
</tr>
<tr>
<td>documents prescribed by <strong>Custom and Excise Act</strong></td>
<td></td>
</tr>
<tr>
<td>receipt for payment of import tax</td>
<td></td>
</tr>
</tbody>
</table>

Vendors should keep the following information:

- charts and codes of accounts
- accounting instruction manual
- system and IT program documentation which describes the accounting system used in the various accounting periods.

<table>
<thead>
<tr>
<th>Documentary proof substantiating the zero rating of supplies</th>
<th>5 years</th>
</tr>
</thead>
</table>

The documents relating to Income Tax must be retained in their original form or electronic format as prescribed by the Commissioner.

The documents relating to VAT shall be kept in either a book form for a period of 5 years after the completion of the last entry in the book or in another form for a period of 5 years after the completion of the last transactions to which they relate.
ix. GOVERNANCE RECORDS

<table>
<thead>
<tr>
<th>Category</th>
<th>Retention</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Council and Senate Records</strong></td>
<td></td>
</tr>
<tr>
<td>Annual Reports to Department</td>
<td>Permanent</td>
</tr>
<tr>
<td>of Higher Education &amp; Training</td>
<td></td>
</tr>
<tr>
<td>The Private Act and Statutes</td>
<td>Permanent</td>
</tr>
<tr>
<td>pertaining to the University</td>
<td></td>
</tr>
<tr>
<td>Minutes of Council and Council</td>
<td>Permanent</td>
</tr>
<tr>
<td>Committee meetings</td>
<td></td>
</tr>
<tr>
<td>Minutes of Senate and Senate</td>
<td>Permanent</td>
</tr>
<tr>
<td>Committee meetings</td>
<td></td>
</tr>
<tr>
<td>Council and Senate Approved</td>
<td>Permanent by dates</td>
</tr>
<tr>
<td>Policies</td>
<td></td>
</tr>
<tr>
<td>Rules approved by Council</td>
<td>Permanent</td>
</tr>
<tr>
<td>Construction Developments</td>
<td>Permanent</td>
</tr>
<tr>
<td>approved by Council</td>
<td></td>
</tr>
<tr>
<td>Fixed Asset Records</td>
<td>Permanent</td>
</tr>
<tr>
<td>Correspondence (general)</td>
<td>3 years</td>
</tr>
<tr>
<td><strong>Accounting and Corporate Tax</strong></td>
<td></td>
</tr>
<tr>
<td>Records</td>
<td></td>
</tr>
<tr>
<td>Annual Audited Financial</td>
<td>Permanent</td>
</tr>
<tr>
<td>Statements</td>
<td></td>
</tr>
<tr>
<td>Depreciation Schedules</td>
<td>5 years</td>
</tr>
<tr>
<td><strong>Donor and Grant Records</strong></td>
<td></td>
</tr>
<tr>
<td>Donor Records and Acknowledgment Letters</td>
<td>7 years</td>
</tr>
<tr>
<td>Grant Applications and Contracts after completion</td>
<td>7 years</td>
</tr>
<tr>
<td><strong>Legal and Insurance Records</strong></td>
<td></td>
</tr>
<tr>
<td>Valuation Appraisals</td>
<td>Permanent</td>
</tr>
<tr>
<td>Copyright Registrations</td>
<td>Permanent</td>
</tr>
<tr>
<td>Insurance Policies</td>
<td>Permanent</td>
</tr>
<tr>
<td>Property Deeds and Documents</td>
<td>Permanent</td>
</tr>
<tr>
<td>Stocks, Shares and Mortgage</td>
<td>Permanent</td>
</tr>
<tr>
<td>Bond Records</td>
<td></td>
</tr>
<tr>
<td>Company Registrations and</td>
<td>Permanent</td>
</tr>
<tr>
<td>Shareholdings</td>
<td></td>
</tr>
<tr>
<td>Trademark Registrations</td>
<td>Permanent</td>
</tr>
<tr>
<td>Leases after expiration</td>
<td>5 years</td>
</tr>
<tr>
<td>General Contracts after</td>
<td>3 years</td>
</tr>
<tr>
<td>termination</td>
<td></td>
</tr>
</tbody>
</table>
APPENDIX B

Approval Form for the Destruction of Documents

1. Kindly take note that a record may only be destroyed if the record has passed the approved UFS retention period and the record is not required for any administrative, archival, business, financial, audit or litigation purposes.

2. Kindly ensure that the form has been completed in full and has been

SECTION A
TO BE COMPLETED BY THE REQUESTER

Name and surname of requester: _______________________________________

Kindly indicate from which Section/Department/Unit/Faculty this request is originating:

___________________________________________________________________

___________________________________________________________________

___________________________________________________________________

Personnel number of requester: _______________________________________

Telephone number of requester: _______________________________________

Description of the records to be destroyed:

☐ Rules  ☐ Contracts  ☐ Correspondence

☐ Policy documents  ☐ Other

___________________________________________________________________

___________________________________________________________________

___________________________________________________________________

Reason for the proposed destruction of a record:
Permission is **granted/not granted** for the destruction of the records mentioned in Section A. (Delete what is not applicable.)

**If permission is granted:**

It is confirmed that these records have exceeded the retention period and are, to the best of my knowledge, no longer required for historical, business or administrative purposes. Furthermore these records are, to the best of my knowledge, not required for any financial, audit or litigation purposes whatsoever.

**If permission is not granted, the reasons are:**

________________________________________

SECTION C:

TO BE COMPLETED BY THE HEAD OF THE REGISTRY

I certify that these records **meet/do not meet** all the requirements for destruction of a record and I **support/do not support** the request for the destruction of the record. (Delete what is not applicable.)
Reason/s for decision:

___________________________________________________________________

___________________________________________________________________

___________________________________________________________________

Signature: ______________________________   Date:  _____________________

Permission is **granted/not granted** for the destruction of the records mentioned in Section A. (Delete what is not applicable.)

Reason for decision:

___________________________________________________________________

___________________________________________________________________

___________________________________________________________________

Signature: ______________________________   Date:  _____________________

SECTION D:
TO BE COMPLETED BY THE REGISTRAR

Permission is **granted/not granted** for the destruction of the records mentioned in Section A. (Delete what is not applicable.)

Reason for decision:

___________________________________________________________________

___________________________________________________________________

___________________________________________________________________

Signature: ______________________________   Date:  _____________________

SECTION E:
TO BE COMPLETED BY THE OFFICIAL WHO DESTROYS THE RECORD

Name of the official:  ___________________________________________________

Personnel number:  ___________________________

Date of destruction:  __________________________

Manner of destruction for example shredding, deleting of electronic records, etc:

___________________________________________________________________

___________________________________________________________________

___________________________________________________________________

405
NEW UNIVERSITY POLICY

6. INTERNATIONAL STUDENT POLICY

POLICY REFERENCE: RO 06

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6.1. Background

The University has been established in response to the need for greater access to higher education by residents of this Province and by the national strategic need to expand the number of leading higher education institutions. It is a university duly established under the Higher Education Act No 101 of 1997.

The Department of Higher Education and Training intends this University to operate at the cutting edge and to be an institution that attracts quality academic personnel and the highest calibre of students. For this to be a reality, the internationalisation of the education offered by the University is critical. In the composition of the academic personnel and in the constitution of the student body there must be appropriate proportional levels of international representation.

Internationalisation entails structuring the focus of the University to provide an experience for the students that prepares them for the emerging world reality, in which students need to compete and function in a way that is not parochial but is based on a future that requires trans-border insights, understanding and competitive capacities. To this end a learning environment that provides a space for a range of world views to be represented needs to be fostered. This can best be achieved by using those who work and study at the university and whose origins lie outside of South Africa’s borders to enrich the perspectives available during the learning processes.
6.2. Policy

The University is committed to principles that celebrate the value added by having learners and academics on campus that come from widely divergent backgrounds. The University seeks to broaden its population until those on campus include people who speak between 50 and 75 different home languages. The University will also foster recognition of the privilege that derives from the interaction of such people in creating the crucible of learning that results from international interactions.

Those who are mobile outside of South Africa will be used to create successful Study Abroad at Home programmes for those unable to travel to other countries. The academic curricula will from the outset be shaped to meet the needs of both local and international students.

The University is committed to operating within the legal framework created for legitimate involvement by international students and academics. The University regards itself bound by the unanimously endorsed *Code of Ethical Practice in the Provision of Education to International Students by South African Higher Education Institutions*. (See Annexure A.)

6.3. Policy implementation

The University commits itself to:

- The admission of students who strive for the attainment of academic excellence regardless of their nationality
- The recruitment of international students but not at the expense of South African applicants
- The provision of internationally benchmarked support services for international students that facilitate their orientation, pastoral care, mentorship and academic progress
- The provision of integrated housing for local and international students in an environment that endorses and enforces tolerance
- The creation of an academic culture that demonstrates respect for all regardless of origin and eschews xenophobia.
i. **Resource consequences of the policy**

The attraction of quality international students depends upon providing cutting edge learning facilities including laboratories, research commons in well-equipped libraries, quality learning spaces, and residential accommodation that is designed to meet the expectations of international students. The ICT facilities must from the beginning recognize the importance of the modes of learning that they provide and their use must be seminal to the academic project.

6.4. **Policy review**

i. **Review procedure**

An external review, of the efficacy and efficiency of the University in implementing this policy, will be conducted at the end of the fourth year of each cycle of five years for which it has been approved. At least one international reviewer must be part of the review process. The review report must serve before the Senate for consideration.

ii. **Responsibility**

[State the person i.e. position (e.g. a DVC) or structure (e.g. office or committee) accountable for:

- **Implementation**
  [State person or entity]

- **Monitoring**
  [State person or entity]

- **Review and revision**
  [State person or entity]

iii. **Associated documentation**
iv. **Other pertinent matters**

[Use this section to state other matters or issues which are important for the policy but which cannot be fitted elsewhere in the policy protocol]
7. CODE OF ETHICAL PRACTICE IN THE PROVISION OF EDUCATION TO INTERNATIONAL STUDENTS BY SOUTH AFRICAN HIGHER EDUCATION INSTITUTIONS.

Signatories to Code of Ethical Practice in the Provision of Education to International Students by South African Higher Education Institutions

South African Universities / Technikons

7.1. Preamble

i. The South African Universities and Technikons have formulated this Code to ensure that the potential benefits of the provision of education to international students who choose to study in South Africa are fully realised for both the students and host institutions.

ii. The offering of fee bearing courses for international students by South African higher education institutions brings with it the ethical business commitment that value for money is provided. Furthermore, it must be recognized that by accepting a place, international students have taken a major step in their lives; they may leave their home countries for long periods, travel considerable distances and undertake considerable expense. The Code has been formulated with these basic considerations in mind.

iii. The broad principles enunciated in the Code apply equally to formal award courses and to non-formal courses offered by all higher education institutions.

iv. The signatories believe that it is essential for all institutions offering courses to international students to make a conscious commitment to the Code and to adopt consistent and caring procedures in the recruitment, reception, education and welfare of international students.

v. Guidelines, to be read in conjunction with the Code, have been formulated to outline recommended procedures for South African higher education institutions offering courses to international students. The Guidelines provide a checklist to ensure that their practices are consistent with the Code.

vi. The signatories have also formulated guidelines in respect of fees refunds for international students. These guidelines have been adopted with a view to standardising fees refunds across
the higher education system and are to apply to all international students irrespective of who pays the fees.

vii. The CHE will be requested to establish a Committee which has, amongst other tasks, responsibility for:

- monitoring and reviewing the Code and Guidelines, and recommending, where necessary, amendments to the Code and Guidelines;
- supporting the publicising of the Code both overseas and in South Africa; 1.7.3. acting as an advisory group to the CHE where cases of questionable ethical practice are brought to the attention of the CHE after all institutional avenues of redress have been exhausted; and providing recommendations to the CHE concerning any remedial action that should be taken;
- acting as an advisory group to the CHE where cases of questionable ethical practice are brought to the attention of the CHE after all institutional avenues of redress have been exhausted; and providing recommendations to the CHE concerning any remedial action that should be taken.

viii. A list of the institutions which have agreed to abide by the Code and associated guidelines is provided at the start of this document.

7.2. The Code

i. The marketing of education services overseas should be consistent with the maintenance of academic standards in South African institutions, and the safeguarding of the interests of both South African and international students. The international student programme is one component of South Africa's educational exchange activities, the general objectives of which are educational and cultural as well as economic.

ii. South African higher education should be promoted accurately and honestly in terms of its quality, its standing and its availability.

iii. Each institution should have a clearly enunciated policy with respect to the promotion and marketing of its education services overseas.

iv. Higher education institutions should acknowledge the need for good practice to ensure fairness in the promotion and marketing of educational services overseas with regard to:

- inter-institutional relations;
- the interests of both local and international students;
• the perceived quality of South African education; and
• the cultural and educational relationships between South Africa and other countries.

v. Differences between South African higher education institutions should be portrayed in a comprehensive, comprehensible and accurate way so as to project a cooperative marketing image to the target countries. No false or misleading comparisons will be drawn with any other provider.

vi. Selection criteria for international students should be such as to maintain the institution's academic standards and to encourage a high success rate.

vii. South African institutions should recognize their on-going responsibilities for the education and welfare of international students. Institutions should ensure that the academic programmes, support services and learning environment offered to international students will encourage them to have a positive attitude about South African education and South Africa when they return home at the conclusion of their studies.

viii. Institutions should establish an appropriate infrastructure to be the focal point for all enquiries and to ensure both the effective implementation of the institution's international student programme and the provision of all necessary support services.

ix. Institutions should provide to prospective international students accurate and comprehensive information on the institution, admission requirements and procedures, the courses available, tuition and living costs, living conditions, accommodation and other services. Advertisements and promotional literature should not include misleading or ambiguous statements about the nature of the course, or its costs.

x. Staff members working with international students and representing South African institutions outside the country should be carefully selected and be:

• sympathetic and clear communicators with a thorough knowledge of their own institutions’ courses and procedures and of the South African education system generally;

• sensitive to the culture and customs of the target country, and aware of its historical and political background and educational systems; and

• knowledgeable, experienced and competent in the administration of student policy and in face-to-face dealings with students.
xi. To the extent that it is relevant, the spirit of this Code also is intended to apply to institutions and their national and international partner institutions which offer courses through twinning arrangements, exchange agreements, distance education or other modes.

**Guidelines for Higher Education Institutions Offering Courses for International Students**

The following guidelines, to be read in conjunction with the preceding Code of Ethical Practice in the Provision of Education to International Students by South African Higher Education Institutions, outline recommended procedures for South African higher education institutions offering courses to international students. Institutions should use the guidelines as a checklist to ensure that their practices are consistent with the Code of Ethical Practice.

i. **Institutional Infrastructure**

Depending on its nature, size, and the extent of its involvement with international students, each institution should identify appropriate contact officers and appropriate units to be responsible for all matters relating to the implementation of the institution's international student programme in particular:

- enquiries relating to international student programmes;
- the efficient administration of admission procedures;
- arrival, accommodation and orientation arrangements for new students;
- the organisation of appropriate English language and academic bridging programmes;
- the on-going social, cultural and other welfare needs;
- liaison with local groups for international student welfare;
- the monitoring and review of the performance and graduation rates of international students; and
- post-course advice to international students to assist in any necessary readjustments prior
to their return to their home country, including appropriate 'aftercare'.

To enable staff to carry out effectively the tasks for which they are allocated responsibility, institutions should make every effort to:

- ensure that all staff involved with international students are competent to deal with the students' special circumstances;
- develop training programmes appropriate to the different levels of involvement and responsibility among staff; and
- ensure, through the relevant academic department, that for higher degree research students, adequate supervision and facilities will be available for the duration of candidature.

ii. Promotion

Institutions should ensure that South African Diplomatic Missions and other appropriate education agencies overseas are fully cognizant of their involvement in promoting and marketing education, and that such involvement meets all official aspects of participating that will result in good, positive practices in the country concerned.

Institutions should ensure that their promotions and advertisements are honest, do not include misleading or ambiguous statements about the nature of the course and that statements about the comparative merits of other courses and institutions are not unfair, misleading or malicious.

iii. Promotional and Recruitment Visits

Promotional and recruitment visits by institutional representatives should be planned with the maximum possible coordination between institutions.

Institutions should ensure that:

- adequate notice is given to South African Diplomatic Missions and appropriate educational
agencies together with appropriate consultation as necessary;

- accommodation is appropriate for promotional exercises which attract large crowds;

- people undertaking visits abroad are familiar with educational systems and membership requirements of professional bodies; and

- adequate and relevant information materials are prepared for distribution.

iv. Agents

- Before entering into contractual arrangements with agents, institutions should make every reasonable effort to ensure their complete satisfaction that the agents are competent, well informed, reputable and will act at all times in the best interests of applicants and the institution.

- Agency agreements involving fees paid by institutions and by potential students should be carefully scrutinised.

- The relevant South African Diplomatic Mission should be kept informed of any relationships with agents an institution may have. The Mission should be advised in the event of any misrepresentation by agents.

- Institutions should ensure that their relationships with agents comply with local laws and regulations.

v. Information for and Counselling of Students

Institutions should provide to prospective students accurate information covering the following issues:

**Academic Matters**

- the institution's educational goals and current activities;

- course summaries for the degrees, diplomas and certificates offered, and length of
courses;

- registration and/or accreditation status of courses by professional associations and other relevant associated bodies;
- methods of study and assessment;
- admission requirements, prerequisites, application and acceptance procedures;
- credit transfer;
- English language requirements; and
- relevant dates, including academic terms or semesters, registration and dates for withdrawal without financial penalty.

Living Arrangements

- geographic location and climate;
- accommodation options;
- living costs; and
- social customs and mores.

Legal Requirements and Entitlements

- conditions of entry and stay in South Africa;
- employment regulations; and
- mandatory healthcare insurance and healthcare arrangements.

Fees and Refunds

- cost of courses and other compulsory charges;
- method of payment;
• policy on increases to fees;
• procedures for dealing with exceptional cases related to the payment or refund of fees; and
• procedures for cancellation of enrolment and obtaining refund of fees together with details of financial and academic penalties which may result from cancellation.

Services

• support services available to all students of the institution;
• support services specific to international students; and
• grievance procedures available for international students.

vi. Admission

• Institutions should have standards and procedures to ensure students have every chance of success and are capable of benefitting from the course.

• Institutions should publish the selection criteria for admission, including specific criteria for particular courses and for international students.

• Institutions should be satisfied that candidates selected for admission are suitably qualified academically.

• Candidates for admission should be competent in English. Institutions should have clear, well established guidelines on their English language requirements.

• Institutions should facilitate swift responses to enquiries and applications and ensure that all necessary documentation is sent at the earliest possible time.

• Before admitting international students to postgraduate research degree programmes institutions should clarify the proposed research area with the student and provide a firm written undertaking to provide appropriate supervision and facilities for the duration of the project and make appropriate arrangements for access to ancillary support (laboratory, computing and library facilities). The nature of supervision and facilities should be communicated to the student in the offer of candidature.
vii. Pre-Arrival Information

- In the period before international students arrive at the institution, institutions should provide easily understood, up-to-date, accurate and professionally presented information covering such issues as:
  - names and telephone numbers of relevant staff to contact in the event of problems on arrival in South Africa;
  - cost of living;
  - accommodation;
  - clothing and food;
  - payment of fees;
  - travel arrangements from point of arrival in South Africa to the institution;
  - information to meet specific needs, e.g. legal, medical, dental, and social security;
  - work prospects and casual employment; and
  - contact names for further information.

viii. Arrival and Orientation

In order to ensure that new international students are able quickly and effectively to settle in with minimal problems, institutions should:

- where appropriate, arrange for the students to be met on arrival at point of entry into the city or centre in which the institution is located;
- provide suitable orientation programmes which will seek to reinforce material already provided in written form; and
• where necessary, make appropriate arrangements for temporary accommodation for the students.

ix. Student Support Welfare

Institutions should encourage a supportive environment. Institutions should develop appropriate support services, including professional counselling services, which will:

• promote the successful adjustment by international students to life and study in South Africa;
• assist students to resolve problems which could impede successful completion of their study programmes; and
• endeavour to ensure that students return home with a positive image of South Africa and its educational opportunities.

Support services should include:

• adequate provision of:
  • advice (including advice on personal budgeting, accommodation, medical insurance and the availability of healthcare services);
  • on-arrival orientation and related assistance;
  • additional assistance with the English language;
  • additional assistance with study skills;
  • the organisation of activities which enable international students to experience South African culture and mix with South Africans;
  • the promotion of on-campus international student networks and organisations to assist new arrivals; and
  • local community involvement to provide social support; and
• the development of resource directories to meet specific needs, e.g. accommodation, medical, dental and legal.

x. Return Home

It should be assumed that all international students returning home can do so without any difficulty and therefore institutions should:

• be sensitive to the circumstances the student will encounter upon return;

• provide advice and assistance where possible on reorientation; and

• encourage the 'alumni association' concept and maintain an 'aftercare' programme.

• provide assistance and guidance with transferring credits to home institutions when appropriate.

Guidelines for Fee Refunds: International Students

The signatories have adopted the following guidelines in respect of fees refunds for international students. These guidelines are, as far as possible, to be implemented by higher education institutions and are to apply to all international students irrespective of who pays the fees.

i. Total Refunds

In the event that an offer of a place is withdrawn or the institution is unable to provide the course, all tuition fees paid for the semester are fully refundable, unless the offer was made on the basis of incorrect or incomplete information being supplied by the applicant/student in which case the institution reserves the right to retain up to 10% of the fee for one semester.

A student who fails to meet degree/diploma progression rules and who is thus not permitted to re-enrol will be eligible for a refund of fees paid for the next phase of the course, if payment has been received in advance of notification of exclusion.

A notice of withdrawal due to exceptional circumstances (see iii.1 below) may be accepted as grounds for a total refund of tuition fees paid less deductions for foreign exchange transactions.


ii. Partial Refunds

(Note: The guidelines for partial refunds apply equally to commencing students and continuing students).

Where a student after accepting an offer of a place, gives a minimum of four weeks written notice before the commencement of the semester of an inability to undertake the course, all tuition fees paid are refundable less an administrative fee of up to 10%.

Where a student gives less than four weeks written notice before the commencement of the semester of an inability to undertake the course, all tuition fees paid are refundable less 50% (including an administrative fee of up to 10%).

Where a student withdraws from a course within the first two teaching weeks of a semester, all tuition fees are refundable less 50% (including an administrative fee of up to 10%).

iii. Grounds for Refunds

A notice of withdrawal due to exceptional circumstances, including:

- inability to obtain a study permit;
- illness or disability;
- death of the student or a close family member (parent, sibling, spouse or child); or
- a political, civil or natural event which prevents full payment of fees may be accepted as grounds for either a total or partial refund of fees, subject to the provision of acceptable documentary evidence in support of the application for a refund.

iv. Fees Refunds related to International Students who obtain Permanent Resident Status in South Africa

If the student has already paid the tuition fees applying to international students for the semester, a partial refund of these fees as determined by the institution will be payable to the student if the student has obtained Permanent Resident status by the start of that semester; and
If the student obtains Permanent Resident status after the start of a semester, the student will be classified as an international student for the remainder of that semester. The student will be liable to pay the tuition fees applying to international students for that semester. From the following semester, the student will be classified as a Permanent Resident and will be liable to pay the subsidized fee.

v. Agreements between Institutions and International Students regarding Fees Refunds

Institutions should ensure that there is a signed agreement between the institution and each international student to accept the institution's stated fees refunds policy.

vi. Payment of Refunds

Where there is a written agreement between the institution and the international student regarding the institution's fees refund policy, the terms of that agreement will apply to the payment of refunds.

Where there is no such written agreement between the institution and the international student, payment of refunds should be made as follows:

- where the institution defaults, within two weeks after the date of withdrawal of the offer of a place or notification that the institution is unable to provide the course; and
- where the student defaults, within six weeks after receiving a written claim from the institution in accordance with these guidelines.

Refunds should be reimbursed in the same currency as the fees were originally paid less exchange costs and will be made in the student's home country except in exceptional circumstances.

vii. Appeals Process related to Fees Refunds

Institutions should ensure that there is a clearly defined appeals process related to the refund of fees, whereby the institution's decisions regarding fees refunds can be appealed if the student
believes that the institution has not honoured its stated fees refund policy or not all of the relevant information has been taken into account.
NEW UNIVERSITY POLICY

8. OUTSOURCING LEGAL SERVICES

POLICY REFERENCE: RO 07

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8.1. Background

Any University has the need for legal advice and legal services. As a juridical person the University, once established by publication of a proclamation or promulgation in a Government Gazette, can sue or be sued. The University therefore needs to ensure that its practices and actions are legally sound. Furthermore the University becomes the custodian of tax-payers funding allocated to it by the government and funds paid to it by students or their sponsors, for the services that the University undertakes to deliver.

To protect itself as well as the other contracting party or parties the University needs to have soundly drafted contracts, agreements or memorandums of understanding. Its rules, procedures, documents and undertakings need to measure up to sound legal requirements and criteria. In the early stages of its operations, the University is unlikely to be able to afford its own Legal Office and personnel. Consequently the University needs to seek to appoint an appropriate legal firm or firms as needed to deliver legal advice and services on an outsourced basis.

8.2. Procurement of legal services
In towns the size of the planned ones as hosts for the new universities, there are several legal firms that practice law. Depending on the size of the firm, some will focus on a particular aspect of the law (such as deeds, commercial contracts, labour law, or the registration of trade and domain names) while bigger firms may encompass a range of legal expertise. Initially much of the legal advice will be based on the formulation of employment and registration contracts, many of which have been supplied by the advisory task team and ought to stand up to scrutiny without much legal input.

In briefing a law firm, the University ought to rotate between firms that measure up in terms of BBB-EEE expectations. This will generate goodwill towards the University. If after the first year the total expenditure lies between R 500K and R 720K, the University should call for tenders for rendering legal services on a monthly retainer basis. The University needs to draw on the expertise of universities that follow such a practice, for both assistance in formulating the tender requirements and for advice on what are the essential elements of existing awarded tenders.

Consider the advantage of a single large firm (with a range of expertise) for retaining at a flat monthly fee for routine services. You may choose to use the same firm as is used by a university nearest to your own, as such a firm will already be familiar with the higher education sector and the routine services that they are drawn upon for advice.

**8.3. Criteria to consider when retaining a legal services provider**

- Proximity
- Video conferencing capacity
- Range of examples of currently available documents developed as the firm’s own intellectual property
- Valid proposals regarding what occurs when the tendered amounts are exceeded in several consecutive months
- What happens when the services drawn upon, result in payments that are higher than the actual amounts than would have collectively been billed?
- The quality of work submitted in illustration of the firm’s capacity
- The range of experience of the senior partner who heads up the service to the University.
8.4. Records regarding contracts and agreements

The norm is to ensure that at least one original copy of a contract signed by all of the contracting parties. These copies are lodged with each of the parties. There should be a fire-proof cabinet in which all original contracts are filed. From the outset a database must be commenced that captures essential information such as:

- the duration of the contract
- whether extensions to the contract can be approved by mutual consent
- dates of reports required in terms of the contract
- deadlines for submission of progress reports
- payment processes.

The date of concluding an agreement must be captured as well as the probable date of destruction of the agreement documentation.

From the outset, the University must embed good practice, whereby those given delegated signatory powers ensure that every contract is stored in the central repository.

The owner of the database must devise quarterly reports on the progress of each project.

8.5. Briefing of legal adviser

Whenever the legal adviser has to be briefed it is wise to have more than one person from the University present, so that there is a witness to the briefing. A file note should be placed on file and sent to the legal firm for confirmation of the steps approved. It is preferable to prepare the heads of a briefing document for lodging with the firm in question. Such a document needs to be read in juxtaposition with the summary of verbal instructions, given during the briefing meeting, to the legal advisory service provider.
8.6. Nature of services

Routine advice required includes:

- Formulating university rules
- Formulating agreements from drafts through to a signed agreement
- Drafting of policies and procedural documents
- Reviewing letters, circulars and other communications that might have legal risks or consequences
- Determining appropriate legal steps when faced with a summons, legal action against an employee or the university, wild-cat strike action, demonstrations, an act of violence, blackmail threats, defamation, bad debt, breach of contract, etc.
- Defining options when facing a legal threat
- Reviews of existing contract forms
- Monitoring new and revised legislation, and ensuring that management is aware of these developments
- Trademark registrations, domain name registrations, filing for patents, and protection of intellectual property

8.7. Management and Governance

One member of the university’s executive team must exercise responsibility as the contact person between the institution and firm or firms contracted for the legal services. At the regular executive meetings, the responsible official briefs the Vice-Chancellor and the other members of any legal matters currently receiving special attention. In particular matters that threaten the name or reputation of the university, or those that entail Routine matters are handled by the official as part line-management responsibility.
LEGAL SERVICES

*The appendices are documents made public by the University of the Free State in 2012 when the process of outsourcing the legal services required by the institution was implemented. The documents form the basis of useful models for possible emulation.*

Appendix A: Request for proposals University of the Fee State – Advert (page 4)

Appendix B: Tender requirements – RFP for legal services to the UFS (page 5)
APPENDIX A

Request for proposals University of the Fee State - Advert

REFERENCE: UFS 2/2012

INVITATION TO BLOEMFONTEIN LAW FIRMS TO SUBMIT PROPOSALS FOR THE PROVISION OF LEGAL SERVICES TO THE UNIVERSITY OF THE FREE STATE

The University of the Free State (UFS) seeks proposals from qualified and experienced Bloemfontein law firms for the provision of legal services to the UFS on a fixed retainer basis.

Proposals must demonstrate the ability of the law firm to comprehensively address the legal needs of the UFS on a cost-effective and efficient basis and must show an understanding of the required scope of work relating to the UFS as an institution of higher education.

Law firms must also show the Black Economic Empowerment profile of the firm as well as the involvement of Black professionals of the firm in the provision of legal services to the UFS.

Interested law firms are requested to submit their proposals in accordance with the requirements and conditions stated in the tender documentation obtainable from:

Room 61, Main Building, University of the Free State, Nelson Mandela Road, Bloemfontein

Firms must provide sufficient detail to allow the UFS to evaluate their proposals and consider whether the firm has the necessary capability, experience, knowledge and capacity to provide a comprehensive solution to the UFS.

CLOSING DATE:
Instructions for the format of proposals can be found in the tender documentation.

Proposal documents must be deposited in the UFS tender box by no later than 12:00 am on the above closing date.
TENDER BOX:

Reception, Provisioning Block, Rectors Ave, University of the Free State, Bloemfontein

Contact person for enquiries:
XXXXXX
APPENDIX B:

Tender requirements – RFP for legal services to the UFS

Tender Requirements

REQUEST FOR PROPOSALS

for the provision of legal services to the University of the Free State

UFS 2/2012

Closing Date: 12:00 a.m. on [insert closing date] at:

Tender box
Reception
Provisioning Block
Rector’s Avenue
University of the Free State
Bloemfontein
Rules of Bidding

All proposals must comply with the rules of bidding and the University of the Free State’s (UFS’s) general conditions of tender, and the UFS reserves the right to reject any and all proposals or portions thereof received in response to the request for proposals (RFP).

The UFS reserves the right to amend, vary, suspend, terminate, temporarily defer or recommence the RFP process or any time frames in terms thereof at its discretion and without prior notice.

The costs of preparing any bid proposal are not reimbursable and the UFS shall not be liable for any costs so incurred by any law firm. The UFS is not bound to accept any proposal or the lowest cost proposal and reserves the right to negotiate price with any preferred law firm.

Law firms warrant by the submission of their proposals that the proposals are true and correct in all respects and do not contain misrepresentations of any kind, that the taxes of the law firm are in order, and that none of the professionals are undergoing corruption- or any criminally related investigations or have any past convictions for fraud or corruption.

The UFS reserves the right to obtain information about other contracts of the law firm referenced in its proposal and reserves the right to contact any referees in a proposal regarding performance on similar contracts or aspects thereof. All information obtained in such a way will be considered in the evaluation of proposals.

No law firm may directly or indirectly offer or give to any person in the employment of the UFS any gift or consideration of any kind as an inducement or reward for any favourable consideration or showing of disfavour to any party in relation to the RFP.

Law firms may not issue any news releases, Internet postings, advertisements, commentary or other form of public communications concerning this RFP without the prior written approval of the UFS.
### 8.8. Invitation

The UFS invites interested Bloemfontein law firms to submit proposals for the provision of legal services to the UFS on a retainer basis. The legal services will be provided to the UFS on a year-on-year basis.

### Introduction

The UFS requests law firms to submit proposals for the provision of an all-encompassing legal service to the UFS. The law firm must be able to provide all the legal support and legal services required by the UFS. The services will be provided on a fixed retainer basis.

In developing their proposals, law firms must be able to demonstrate their understanding of the higher education environment and the legal needs of the UFS as well as the range of legal services required by the UFS to address its needs. Additionally, law firms must list the legal professionals who will be involved in the provision of the services, their demonstrated experience and expertise in servicing clients similar to the UFS, the involvement of black professionals in the provision of services, and the capacity of the firm to manage the legal needs of the UFS.

In particular, law firms must be able to demonstrate their ability to support the UFS with regard to the following range of key disciplines:

- Specialised labour law and labour relations.
- Commercial and corporate law.
- Contract drafting, negotiation and development.
- Administrative and higher education law.
- Intellectual property law.
- Procurement law.
- Contract management.
- General litigation and urgent applications.
- Student affairs.

*(No preference implied by order of listing.)*
Ultimately, the legal solution proposed by law firms must be comprehensive enough to address all the divergent legal needs of the UFS; it must be effective and responsive and capable of providing the UFS with value for money.
8.9. Bid Proposals

In their proposals for the provision of legal services to the UFS, law firms must address the following aspects:

i. An understanding of the scope of the work and the range of services required must be demonstrated.

ii. The methodology that will be followed in providing the UFS with legal services in a retainer format and the way in which the firm will provide an effective and responsive legal service must be explained.

iii. Clarity must be provided about which services will be included in the legal retainer format, and the firm’s relevant experience, expertise and capacity in each service area must be highlighted.

iv. The proposed cost structure of the firm related to the provision of legal services must be set out.

v. Experience in the provision of retainer services to higher education or similar institutions must be indicated, with contactable client references in cases where such services have been rendered during the last five years.

vi. All personnel who will be involved in the provision of legal services must be listed and an exposition of their experience, expertise, gender and racial composition must be given.

vii. A corporate profile of the firm and a profile of the firm’s Black Economic Empowerment status must be provided. A valid BEE verification certificate must be attached to the proposal.

viii. The professional indemnity top-up insurance cover held by the firm must be indicated.

8.11. Cost Structure

The cost structure of a bidding firm must be realistic compared to the scope of the services that will be provided to the UFS. The way in which the cost structure has been formulated and will be invoiced to the UFS must be explained.

The UFS requires a fixed price cost structure that provides value for money and is inclusive of all disbursements. Any exclusions from the fixed price proposal of the law firm must be clearly indicated and motivated in the proposal.
8.12. Management

The UFS will establish appropriate instruction and communication channels between it and the appointed law firm for the issuing of instructions, invoices and reports.

8.13. Submission of Proposals

Proposals must be submitted to the UFS on or before 12:00 a.m. on [insert closing date] via the tender box at the following address:

Tender box, Reception, Provisioning Block, Rector’s Avenue, University of the Free State, Bloemfontein.

An extension of the above-mentioned closing date and time will only be granted in cases where the UFS, at its sole discretion, deems such an extension to be appropriate.

No proposal received by facsimile, telegram, telex, e-mail or other similar format will be accepted as a validly submitted proposal.

A submission shall be late if it is received by the UFS at any time after the closing date and time as indicated above. A late submission shall be clearly marked as late and shall not be received for consideration by the UFS.

Law firms are required to submit a complete response to this RFP and bids are required to remain valid for a period of 180 days from the closing date of the RFP.

The proposal formulation must be clear and concise and must provide sufficient information and detail to enable the UFS to evaluate the proposal against the stated requirements of the UFS. The firm must not provide unnecessary details that do not add value and detract from the ability of the UFS to effectively evaluate and understand the proposal.

Proposals are to be submitted in a sealed envelope/package clearly marked and inscribed as follows:
8.14. **Evaluation**

The UFS will evaluate the proposals according to the following criteria:

(a) Skills and experience.

(b) Methodology.

(c) Track record.

(d) Range of legal services offered.

(e) Personnel.

(f) Black Economic Empowerment.

(g) Cost structure.

(h) Professional indemnity.

8.15. **Appointment**

The UFS will notify the successful bidding firm of its selection in writing and finalise the appointment. The UFS reserves the right not to provide reasons for non-acceptance of proposals. The UFS will not enter into correspondence related to this topic.
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1. INTRODUCTION

Traditionally the finance function of a university consists of the following:

1) General Ledger and sub systems – all transactions in the university are processed through the accounting system which results, ultimately, in a general ledger. This function is administered by the Financial Accountant (usually called the Director Finance) usually through the Financial Accountant.

2) Budget and management accounts – a budget must be compiled annually and subsequently, management accounts must be produced on a monthly basis and all variances analysed and reported to management. This function is administered by the Management Accountant.

3) Assets – the property, plant and equipment (fixed assets) must be controlled and maintained and the fixed asset register (FAR) must be maintained and reconciled on a regular (monthly) basis. This person, usually at the level of Head of Department, reports to the Director Finance (see 1 above). This function includes bar coding new assets, assisting with the capex budget, conducting regular physical checks of assets, updating the FAR, reconciling the FAR monthly, ensuring correctness and completeness of FAR and updating the depreciation calculation per cost centre monthly, assisting in the disposal of obsolete assets in terms of the asset disposal policy, annual review of useful lives of assets and recommendation for the valuation of fully depreciated assets.

4) Creditors – on a regular basis (at least monthly) the amounts owing by the university (creditors) must be processed and prepared for payment by the accounts department. This is usually done by a separate section referred to as the Creditors Department and headed by a Senior Creditors Clerk/Creditors Supervisor who usually reports to the Director Finance. This department agrees the invoices received to purchase order and goods received notes, compares the invoices to statements received from creditors, reconciles the amounts reflected in the accounting system with the creditors’ statements and recommends an amount for payment.
5) Cash Books – on a regular basis (often daily, but at least monthly) the amounts reflected in
the accounting system in respect of banking transactions needs to be compared to the
information reflected in the banking system – this is known as reconciliation. This task is
usually performed by a cash book clerk who reports to the Financial Accountant.

6) Payroll – this function can reside within HR at some institutions but, as it usually involves
the moving around of large sums of money, is better suited in the financial function where
these kinds of disciplines are every day functions. The payroll department should be headed
up by a senior payroll clerk, someone with extensive payroll experience. It is absolutely
critical that monthly controls and reconciliations are performed in this function. It is
recommended that the senior payroll person report direct to the Executive Director Finance

7) Student Debtors – this function is usually headed up by a senior debtors clerk who reports to
the financial accountant. The role involves ensuring the correctness of the debtors book,
reconciling to the general ledger at least monthly, processing transactions to the debtors
accounts (receipts, fee adjustments, etc) and interfacing with the key customer of the
university i.e. the student

8) Financial Aid Bureau – this department is usually headed by a senior Financial Aid Officer
reporting to the Executive Director Finance. This Department liaises with NSFAS, the
DHET and various bursars to ensure that as many financially and academically deserving
students as possible are assisted in accessing a place in the university – timeously and
expeditiously. Obtaining signed loan agreement forms and allocating the NSFAS and other
bursar amounts are critical functions of this department. Reconciling amounts received and
amounts allocated on a regular (at least monthly) basis are also critical functions of this
department. A high degree of numeracy and customer relationship management are
imperative for staff in this department.

9) Supply Chain Management (SCM) – usually headed by a Chief Buyer reporting to the
Executive Director Finance. This function is responsible for processing requisitions for
procurement, obtaining quotes in accordance with the delegation of authority document and
issuing purchase orders. First priority is the obtaining of quality goods and services with
price being a secondary criterion. The head of SCM is often also responsible for the stores
function which includes receiving, issuing and controlling of stores with regular (at least monthly) reconciliation of stores to the general ledger

10) Audit – whilst the internal and external (year-end) audit functions are generally performed by external parties, the role that the finance department generally plays in these is significant and the finance department must always be ready to assist these expensive external resources. Internal audit is usually based on the annual risk assessment, whilst external audit is governed by the Higher Education act and accompanying Regulations.

In most universities the structure would look something like the following:

1) Executive Director Finance/Chief Director Finance
   - Financial Accountant/Director Finance
   - Management Accountant
   - Senior Financial Aid Officer
   - Supply Chain Management
   - Payroll
   - PA

2) Financial Accountant/Director Finance
   - Head of assets
   - Senior creditors clerk
   - Cash book clerk
   - Senior debtors clerk
   - Cashiers

3) Management Accountant
   - Budget clerks
   - Accounts clerks

4) Senior Financial Aid Officer
   - Financial aid clerks
5) Head of Supply Chain Management
   - Buyers
   - Head of stores
   
6) Head of Payroll
   - Payroll clerks
NEW UNIVERSITY POLICY

2. BUDGET POLICY, PROCESS, MANAGEMENT OF CAPITAL

<table>
<thead>
<tr>
<th>Name of Originator</th>
<th>PS</th>
<th>Name of VC</th>
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</thead>
<tbody>
<tr>
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<td>PS</td>
<td>Approved by Legal Div</td>
</tr>
<tr>
<td>Policy code and number</td>
<td>F005</td>
<td>Approved by Registrar</td>
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<td>Date sent to VC</td>
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<td>Date sent to Council</td>
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POLICY REFERENCE: F005

2.1. Summary:

The budget process will be conducted on the following basis:

a) All departments, academic and overhead, to capture their budgets on-line. Budget Unit Managers to assign permissions to capturers where needed.

b) All departments to budget for their income, where applicable, plus all expenditure exclusive of personnel expenses. HR will collate the personnel expenses and this will be forwarded to the departments before it is uploaded. Additional personnel costs must be forwarded to HR and finance for submission to Executive Management.

c) Certain expenses are budgeted centrally e.g. audit fees, legal fees, depreciation etc. This includes strategic projects determined by the Executive Management.

d) The subsidy will be calculated per department and will be circulated to the relevant departments for input into the budget. All components of the subsidy, as per the DHET subsidy formula, will be calculated per department. For example, research development figures in the subsidy will be kept separate and allocated to the research department.

e) As a guideline, the non payroll expenditure should not exceed the prior year’s projected actual figure by more than 5%. Any increase over the recommended 5% will have to be motivated and
it will have to show clearly how this increased expenditure correlates with the strategic thrusts of the institution.

f) Certain expenditure will ultimately be centrally controlled e.g. overseas travel, staff training etc. All academic overseas conference attendance will be controlled by a Conference Committee comprising of academics and Chaired by the DVC Academic. The HR department will control staff training for the institution. This is to ensure that full recovery of all applicable expenditure from the Skills Development Levy Fund.

g) Minor works requests should be forwarded to Facility management and this should be in line with the institutional physical planning imperatives.

h) Repairs and maintenance must not be compromised in the budget. At least 3% of replacement value of infrastructure should be set aside for repairs and maintenance annually.

i) One person per department should be identified as the capturer. This is not through a desire to be exclusive, rather it is a control imperative i.e. if changes etc. are conducted by one person, keeping an audit trail is much more effective. There have been times when a figure captured by one person was changed by another which lead to confusion. It is the budget unit managers’ responsibility to ensure that the correct budget has been loaded.

j) Capital expenditure is also budgeted on-line. For every capex request, a full detailed motivation must be typed in the relevant field. Just because an item is budgeted and the final budget is approved, does not imply that the item can automatically be purchased. At the time of purchase each item is considered on its merits and is subject to the normal governance structures (signing authorities) and procurement policies of the institution. “It was budgeted for”, does not constitute a satisfactory motivation at the time of purchase request. All Replacement and Renewal PC’s requests should be forwarded to the IT department for evaluation.

As a general rule of thumb, the Capex budget should not exceed the depreciation budget – this attempts to align expenditure in respect of assets with cash flow. This rule applies for replacement assets. Where expansion is envisaged, the assets for such expansion must either be financed form the DHET Infrastructure Expenditure Forecast funding (IEF), or the expansion must generate sufficient additional income to cover the increased requirement for assets.
k) Once all budgets are captured, the overall institutional budget will be compiled and, hopefully, there will be no shortfall. Thereafter, each department will sit with a committee to be nominated by the Executive Management. which will include, but is not limited to, representation from Council, Unions, Students and other stakeholders requested by the Executive Management.

l) The budget is the department’s budget. It is not the Executives’ budget or that of the Finance Department. The institution needs each department to take control over their financial affairs and to “own” the process. In the New Year, each department will be required to monitor their performance against budget. This can be done by checking the on-line system. The budget and actual figures will be reflected there. On a monthly basis, significant variance from budget will have to be explained by the departments to the relevant Executive Management committee.

2.2. Process:

A budgetary process for a university will comprise at least 3 phases – Payroll, Operating expenditure and Capital expenditure.

Departments are advised to observe the following procedure during budget preparation:

a. Give priority to Strategic Objectives.
   i. Given that there is an approved Strategic Plan, ensure that the plans expressed therein are adequately budgeted for.
   ii. Departments are urged to give priority to strategic objectives for the year, and must therefore align their budgets accordingly.

b. Payroll Budget.
   i. Departments must base their payroll budgets on approved staff establishments,
   ii. Give consideration to the existing benefits, and
   iii. Ensure that payroll budgets are reconciled and verified well between the Budget Office, HR and the respective Departments.

c. Operations and Maintenance.
   i. Prepare operations and maintenance budget following a zero base budgeting procedure.

d. Capital budget.
   i. Departments must prepare capital budgets for individual departments and distinguish between new items and, replacement items. Once again, in order to cater for the
provisions in the Strategic Plan, it is imperative that the university remains technologically up to date to ensure that the Teaching and Learning that takes place ensures that a graduated student is relevant when they reach the workplace – and this requires a constant re-evaluation of the capex needs.

e. The programme to be followed is attached:-

<table>
<thead>
<tr>
<th>DATE</th>
<th>ACTIVITY</th>
<th>NOTES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mid August</td>
<td>All Departments - meeting to outline the process.</td>
<td>Finance</td>
</tr>
<tr>
<td>Mid to late August</td>
<td>Preparation of budgets by departments</td>
<td>All departments</td>
</tr>
<tr>
<td>By beginning of Sept</td>
<td>Consolidation of submissions</td>
<td>Finance</td>
</tr>
<tr>
<td>By mid Sept</td>
<td>Review of first draft</td>
<td>Finance</td>
</tr>
<tr>
<td>By mid Sept</td>
<td>Discussion of draft budget</td>
<td>All departments</td>
</tr>
<tr>
<td>By end Sept</td>
<td>Consideration and revision of submissions</td>
<td>Finance</td>
</tr>
<tr>
<td>First week of Oct</td>
<td>Presentation to Budget Committee - approval</td>
<td>All departments</td>
</tr>
<tr>
<td>Mid Oct</td>
<td>Presentation to Executive Management – approval</td>
<td>All departments</td>
</tr>
<tr>
<td>By end Oct</td>
<td>Presentation to Finance Committee</td>
<td>All department</td>
</tr>
<tr>
<td>By mid Nov</td>
<td>Approval by Finance Committee</td>
<td>All departments</td>
</tr>
<tr>
<td>Lat Council meeting of year</td>
<td>Approval and adoption by council</td>
<td>All departments</td>
</tr>
</tbody>
</table>
Submissions must reach the Budget office on or before specified dates. Further information may be obtained on enquiry from the Budget office at Ext: university
2.3. Procedures of the Management of capital assets

Approved by Council on:

2.3.1. Preamble

The purpose of the following procedures on the Management of Capital Assets is to provide details of how to acquire, manage, maintain and dispose of and/or change asset ownership by way of transfer, sale, donation, scrapping, and cannibalisation or by way of depreciation and theft. These procedures will apply to all staff members at the university involved in the acquisition, management, maintenance and disposal of university assets.

2.3.2. Types of Capital Assets

Capital assets are items that have a useful life of at least two years. They are permanent in nature, are tangible, and are held for purposes other than investment or re-sale. There are six types of capital assets: (I) Moveable Equipment; (ii) Fixed Equipment; (iii) Buildings; (iv) Building Components; (v) Land; and (vi) Improvements other than Buildings:

2.3.2.1. Moveable Equipment

This type of equipment is neither permanently affixed to nor is it part of a building. Some moveable equipment consists of more than one component (e.g., a computer, keyboard, mouse, and monitor). The assembled components may be considered one item and can be recorded as a single capital asset.

2.3.2.2. Fixed Equipment

This type of equipment is permanently fixed to a building but is separate from the building itself. Examples of fixed equipment are light fixtures, wall-to-wall carpeting, raised computer flooring, water fountains, fire control apparatus, laboratory benches, fume hoods, auditorium seats, and built-in display cabinets.

2.3.2.3. Buildings
These are roofed structures used for the permanent or temporary shelter of persons, animals, plants, or equipment.

2.3.2.4. **Building Components**

These are items designed and installed as an integral part of a structure. Building components differ from fixed equipment in that they are not separate from the building structure. Examples of building components are plumbing, electrical systems, elevators, boilers and heating, ventilation, air-conditioning systems; etc. Each type of component has different useful lives and depreciated rates.

2.3.2.5. **Land**

Land is the solid part of the earth’s surface whether it is improved or not improved.

2.3.2.6. **Improvements other than Buildings**

Improvements other than buildings are modifications to outside areas. Examples include sidewalks, parking lots, outdoor benches, fences, yard lighting and signs.

2.3.3. **Capital Asset Valuation**

For purposes of evaluation, capital assets of the university will be separated into six categories, based upon how they were acquired.

2.3.3.1. **Purchased Assets**

To determine the value of an asset, the Asset Manager must include the purchase price, transportation costs, installation costs, value received from a trade-in, and any other direct expenses incurred by the university including VAT in obtaining the asset.

2.3.3.2. **Special Rules for Grants and Contracts**

Assets that are accounted for under a grant or contract must comply with all contractual obligations set out in the agreement.

2.3.3.3. **Donated Assets / Gift-in-kind**
The value recorded by the university for a donated asset is the market value of the asset when it is given. To determine the market value of the asset, use must be made of the appraisal price, the selling price of an equivalent item to educational institutions, and/or other relevant information.

The university will issue a S18(A) Tax Certificate as an official acknowledgement of receipt of a donated asset or gift-in-kind.

The asset controller might need to include transportation and installation costs when valuing the donated asset.

2.3.3.4. *Leased Assets*

These are assets purchased under a capital lease:

i. Assets purchased under a lease (financial lease) must be capitalized when the asset is placed in use;

ii. All capital leases must be valued at the current market value and should not include any interest; and

iii. If the current market value is not known, use may be made of a present value calculation based on the monthly payments to determine the cost minus imputed interest.

2.3.3.5. *Fabricated Equipment*

The value of a fabricated asset is determined by the total of the costs associated with the construction of the asset. Costs include:

i. Original invoice prices paid for the components;

ii. All shipping, handling, in-transit insurance, and storage charges related to the delivery and installation of the asset components;

iii. All costs associated with installation of the asset, including site preparation;
iv. All costs of testing;

v. All books, manuals, and training necessary for the operation of the asset; and

2.3.3.6. **Service charges.**

To value a fabricated capital asset properly, a unique project account number must be established at the beginning of the construction period. This account will help to track all the costs associated with the fabrication.

2.3.4. **Constructed buildings and Improvements/Renovations**

The value of an asset includes the total amount paid plus VAT for acquiring or improving the asset, such as labour; materials; architectural and design fees; charges by brokers; agents; notaries; building permits; inspections; and filing costs. Also included are the costs of utilities during construction and landscaping related to the building:

i. All university-owned facilities that are permanent structures must be recorded as capital assets;

ii. Any alteration or renovation of an existing facility that adds usable square footage or facility space, or extends the facility’s useful life, must be recorded as a capital asset, regardless of cost; and

iii. Building components (as defined) must be recorded separately as sub assets of the main building asset.

2.3.5. **Acquisition of Assets other than buildings**

i. The university is a member of the Purchasing Consortium South Africa (PURCO). Various national and regional contracts for goods and services are available to the university. The university considers it expedient to make use of these contracts wherever possible.
ii. All purchase orders for assets, will be placed through the university’s Assets, Acquisition and Management Department;

iii. It is the responsibility of the person making the requisition to provide all relevant details and specifications and to follow the prescribed procedure for purchasing;

iv. Only those requisitions bearing the signature of the Head of Department or in his/her absence, the Vice-Principal: Administration will be processed. Any requisition that is unsigned and/or is signed on behalf of the designated signatory (“pp”) shall not be accepted;

v. 4.4 The purchasing officer acquires assets on an accrual basis, that is, funds are removed from the relevant Vote on order and not on delivery of the equipment. Such funds will be kept as a commitment in a pending account until delivery;

vi. 4.5 The Head: Assets, Acquisition and Management Department or the Purchasing Manager delegates, but oversees the process of sourcing for suitable suppliers, evaluating their competence, negotiating terms and conditions, including warranties. The process will be controlled by quotation system and/or PURCO assistance, excluding VAT:

vii. If the value is greater than R250 000, the tender process will be invoked

viii. Normally, if the value is less than R250 000, the Assets, Acquisition and Management department will merely process the procurement against the Purco contracts and/or quotation system whereby

   ▪ the HoD will authorize up to R10 000;
   ▪ the Dean will authorize up to R20 000;
   ▪ the Relevant Executive Management Officer will authorize up to R50 000; and
   ▪ the Vice-Chancellor and Principal will authorize between R50 001 and R250 000;

ix. The requisitioning party is free to obtain initial quotations from suitable suppliers, but will not, under any circumstances, place an official university order; and
2.3.6. Recording a Capital Asset in the Fixed Asset Register

Because accounting transactions do not provide all the information needed to ensure adequate control of the university’s capital assets, all capital asset acquisitions will be reported to the Assets, Acquisition and Management Department;

Following is a list of general information items required for all assets:

i. The Code of the department with responsibility for the asset. It may or may not be the code in the account numbers used for the acquisition;

ii. The Code of the official building or the location of the asset. If the code is not known, use will be made of the official name of the facility, e.g. Faculty of Management Sciences;

iii. The room number that must agree with the Facilities Space Inventory e.g. Office: Dean’s Secretary - Management Sciences;

iv. The Vote and amount; the account number(s) used for the acquisition of the item and the amount charged to each account;

v. The description of the asset;

vi. The Manufacturer’s details;

vii. The Model number. Please use the manufacturer’s designations;

viii. The Serial number;

ix. The Acquisition month and year;

x. The Purchase order number must be assigned by the Purchasing Department. The purchase order number is matched to other files; therefore, it is important that it be recorded exactly; and

xi. The initiator’s name and phone number.
2.3.7. New Equipment Record

This record will indicate:

i. If the asset was given to the department by an outside source;

ii. If the asset was leased;

iii. The month and year of expiry; and

iv. If the asset is available for shared use and whether it is available for use by other departments on a temporary basis.

2.3.8. Tagging of Assets

i. All new moveable assets will be tagged by the Assets, Acquisition and Management Department to identify ownership and for the annual physical inventory process; and

ii. Bar code tags will be affixed to all new moveable capital assets. The bar code tag is a unique number and code that will allow staff to scan the assets electronically with lasers in order to update inventory records.

iii. Once final disposal of any tagged capital asset has been determined, the tag(s) will be removed before disposing of the asset. Tag numbers will then be expunged from the current records and the tags will be disposed of.

2.3.9. Transferring Equipment to another university department

All capital assets that are no longer in use by the original user will be returned to the Assets, Acquisition and Management Department and that movement of each capital asset will be recorded in accordance with the university’s Disposal of Capital Assets Policy so that the university recording system does not lose track of such a capital asset:
i. On a regular basis, either quarterly or half-yearly, the Head: Assets, Acquisition and Management Department will provide via the intranet, the university community with a list of capital assets whose value and useful life has been identified to exceed the capitalization threshold; inviting interested parties to view them and fill in requests for transferring desired assets to their departments;

ii. Requests for transferring desired assets will be submitted within 2 weeks of the general announcement being made:

   ii.i. In the event of more than one person requesting the capital asset, the departments concerned will supply a motivation to the Head: Assets, Acquisition and Management Department who will submit it to the Executive Management Committee for adjudication and final decision, based on the motivations received;

   ii.ii. In the event of only one person requesting the capital asset, the Head: Assets, Acquisition and Management Department will recommend to Vice-Principal: Administration the transfer; and

   ii.iii. In the event of nobody requesting the capital asset, such a capital asset becomes a target for disposal.

iii. The transfer of assets from one department to another requires the approval of the Head: Assets, Acquisition and Management Department who must record it on a pre-numbered asset transfer form after completing it;

iv. The transfer form will include the signatures of the Heads of Departments receiving and transferring the asset. The new location of the asset will be recorded on the transfer form;

v. Both departments will keep copies of the transfer form(s) and update their Departmental Inventory Lists accordingly; and

vi. The Head: Assets, Acquisition and Management Department, will make the necessary adjustment in the Asset Register.
2.3.10. Conducting Physical Inventory Checks

i. The policy on inventory control of capital assets will be established so that the university will:

   i.i. Account more precisely for the use of public funds on capital expenditures on assets;

   i.ii. Provide a database of information to be used as a basis for insurance coverage thereby enabling the determination of replacements in the event of a fire, accident, or theft;

   i.iii. Provide to facilities and departments and administrative units, a current record of capital assets within their area of responsibility and control and/or capital assets available for sharing; and

   i.iv. Provide a deterrent against theft or unauthorized use of inventory assets.

i. Identified Inventory teams headed by an inventory controller will perform a bi-annual physical inventory of all moveable assets. The purpose of the physical inventory check is to verify the existence and condition of equipment and to ensure the accuracy of the university’s accounting records;

ii. The Assets, Acquisition and Management Department will provide a schedule indicating when each department will be due for an inventory check. Departments/Units are required to indicate in good time the unsuitability of the time set for the inventory check, and at the same time indicate a suitable date;

iii. The basis of the inventory reports is the Equipment System, which will be maintained by the Assets, Acquisition and Management Department. Accurate information from this system is dependent upon proper completion of the appropriate forms for additions and equipment relocation to other departments;

iv. To maintain the accuracy of these listings, Departments/Units will communicate all changes to the Assets, Acquisition and Management Department throughout the year. The physical inventory check will reveal discrepancies between recorded data and physical assets and provide an opportunity to make corrections;
2.3.10.1. Instructions for departments that have bar-coded their entire inventory:

i. The Assets, Acquisition and Management Department will perform a physical inventory check using a bar code scanner;

ii. After the scanning is complete, the Assets, Acquisition and Management Department will match the scanned file with the university’s records and indicate discrepancies;

iii. During the inspection of equipment, Inventory teams/Inventory controller will note the following:

   iii.i. Items found on the floor but not on the list, will be returned to the Assets, Acquisition and Management Department with the inventory list;

   iii.ii. Items appearing on the inventory list and that have since been disposed of; will be identified on the list as such. The list will include value received, disposition date, and method of disposal:

   o A person with the appropriate transaction authority must have approved disposal and noted it in the inventory; and

iv. Indicate any corrections regarding location, description, status, condition, etc. and provide supporting documentation required for changes such as disposals, cost, transfers, etc.

2.3.11. Theft of Assets

11.1 All missing assets will be reported to the Campus Protection Services who in turn will report to the South African Police Services (SAPS) within 24 hours;

11.2 The Department of Assets, Acquisition and Management will be informed in writing of the theft, giving details of the assets as well as case reference numbers. This department will in
turn institute a formal insurance claim and advise the Finance department to create a “Receivable” account for the claim;

11.3 Once the insurance has approved the claim, quotations for replacement will be obtained through the Assets, Acquisition and Management Department;

11.4 The Asset Register will be updated indicating first the loss and, on replacement, the new item and the relevant features thereof;

11.5 Approval to expunge the lost item from the Asset Register will be sought from the Head: Assets, Acquisition and Management; and

11.6 The Head of Assets, Acquisition and Management will submit to the office of the Vice-Principal: Administration, a quarterly report reflecting statistics on lost assets and detailing the circumstances related to the loss of each item. This report will be tabled at the Risk Committee.

2.3.12. Before Disposing of Capital Assets

12.1 Disposal of moveable assets will occur when the assets have become obsolete, damaged, unserviceable or redundant. Disposal of assets will include the following processes:

12.1.1 Disposal by auction, private sale, sale to staff, disposal by means of closed tender, trade-in, donation, and dismantling for parts;

12.1.2 Capital assets identified as being for disposal will be disposed of within one month of the original announcement being made on the intranet;

12.1.3 The assets department will document the capital assets for disposal and such capital assets will be inspected by the Head: Assets, Acquisition and Management Department who will establish a reserve price for the capital assets. This reserve price will be documented by Head: Assets, Acquisition and Management Department and given to the Vice-Principal: Administration for noting and approval. The reserve price will be used to ensure that capital assets are not disposed of at prices detrimental to the university. The reserve price will be
known only to the Head: Assets, Acquisition and Management Department and the Vice-
Principal: Administration;

12.2 The departmental head will communicate in writing plans to dispose of a capital asset, to the
Head: Assets, Acquisition and Management Department before its final disposal. For
Academic departments, the Dean of the Faculty countersigns this notice. The notice of
disposal will include:

12.2.1 The bar code number or the item number;
12.2.2 The estimated current market value;
12.2.3 How the market value was determined. In the case of capital assets, the Department of
Assets, Acquisition and Management will approach a supplier and/or other party who is
qualified to arrive at a realistic value for the item;

12.2.4 Reason for disposal; there must be proof that the asset is obsolete, redundant or irreparable;

12.2.5 The recommended method for removal from the university (i.e. sale, transfer or donation to
another organization, scrap, or use for parts); and

12.3 The Head: Assets, Acquisition and Management, will convene a meeting of a formally
constituted Disposal Committee. This committee will determine the best way in which to
effect the disposal.

12.3.1 All persons involved in the disposal will be responsible for applying the level of transaction
authority used to purchase the asset. The disposal form requires a signature of approval.

12.4 The Head: Assets, Acquisition and Management Department now prepares, a general
announcement to staff inviting closed tenders for the items available for sale. The notice will
specify a date and time for the closure of bids. This notice will give a brief description of the
capital asset and identify it by means of a “lot” number. Where the capital asset concerned
has a serial number, this number will form part of the description. This is for security
purposes so that when the capital asset is removed from the premises, the security
department can properly establish its identity;
12.5 The closed tenders will be in sealed envelopes and dropped off in a box in the Assets, Acquisition and Management Department. The envelope will clearly state the “lot” number that the staff member is bidding for and the amount offered for the capital asset:

12.5.1 The Head: Assets, Acquisition and Management Department and 2 other independent members of staff who have no interest in any of the “lots” will open the bids and record all the offers received against each item. All 3 members of this disposal committee will sign the document as evidence of this procedure having been properly performed;

12.5.2 The highest bidder wins the bid only if the reserve price established in point 12.1.3 above, has been exceeded;

12.5.3 In the event that the reserve price has not been met, the capital asset is not sold to staff;

12.5.4 Staff will be immediately informed of their successful bid and within 48 hours will pay the amount only at the university Bankers and submit proof of payment to Head: Assets, Acquisition and Management Department who will then release the capital asset to the staff member concerned. The capital asset will be removed from the premises on the same day;

12.6 All capital assets sold are sold “voetstoots”. Staff member who bought the item will be responsible for the transporting thereof off the premises;

12.7 In the event of a capital asset not being sold to a staff member, see 12.5.2 above, the Head: Assets, Acquisition and Management Department will prepare a list and an advertisement will be placed in a local newspaper inviting tenders on exactly the same basis as above. Sections 12.4; 12.5; 12.5.1; 12.5.3 and 12.5.4 will be repeated with the exception that the highest bidder wins even if it is below the reserve price and below the highest price offered by a staff member;

12.8 All proceeds from the sale of capital assets revert to the central budget and are not credited to the original capital asset owner;

12.9 In the event that, after all of this the capital asset remains in the university’s possession, then it will be scrapped. A scrap merchant will be contacted to come and remove such a capital
asset from the university’s premises. Under no circumstances will anyone from the university be allowed to physically dump a capital asset.

2.3.13. Procedure for Disposing of Capital Assets

When disposing of capital Assets, the following steps shall be followed:

13.1 Remove all tags and official university seals or indicia before disposal;

13.2 Physically remove items that are approved for disposal. When necessary, move them to a temporary storage location within your department’s buildings; and

13.3 Include only items that have been formally approved for disposal.

2.3.14. Monthly Reconciliation

The Fixed Asset Register shall be reconciled to the General Ledger control accounts on a monthly basis

2.3.15. Building valuation

15.1 Buildings must be formally re-valued at least every three years and the insurers advised of the increase in value

15.2 For the 2 years in between formal valuations, a recognised building escalation index from a reputable valuator can be used to update the building valuations for insurance purposes
**Definitions**

These definitions apply to the terms as they are used in this procedures document:

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accumulated Depreciation</td>
<td>The total depreciation expense for an asset since acquisition.</td>
</tr>
<tr>
<td>Acquisition Cost Value</td>
<td>Value of an asset at the time it is acquired. May be the invoice prior or, if donated, the fair market value. Costs incurred to place the asset into use are also included e. g. freight, installation.</td>
</tr>
<tr>
<td>Additions</td>
<td>Acquisition of new assets, or modifications to existing assets that increases the useful life or the service potential of these existing assets. Examples include installation of a central air conditioning system in an office.</td>
</tr>
<tr>
<td>Bar Code Number</td>
<td>This number appears on a bar code tag that has been affixed to assets to assist in the annual physical inventory of equipment.</td>
</tr>
<tr>
<td>Book Value</td>
<td>The difference between the acquisition cost and accumulated depreciation. At the time of acquisition, the book value equals an acquisition cost or, an in market value at the time it was donated.</td>
</tr>
<tr>
<td>Building</td>
<td>Roofed facilities intended for the permanent or temporary shelter of persons, animals, plants, or equipment.</td>
</tr>
<tr>
<td>Capital Asset</td>
<td>An item that is permanent in nature, having a life of at least two years, is tangible, must work as an independent unit and is held for purposes other than investment or re-sale. There are six types of capital assets: (i) movable equipment, (ii) fixed equipment, (iii) buildings, (iv) building components, (v) land, and (vi) improvements other than buildings.</td>
</tr>
<tr>
<td>Depreciation</td>
<td>A method for allocating the cost of buildings and equipment over time. Generally accepted accounting principles dictate that the value of capital assets must be written off as an expense over the life of the asset as an indirect cost.</td>
</tr>
<tr>
<td>Disposal</td>
<td>Final status of an asset (e.g. sale, scrap, donation, transfer to another university, etc.) when it is removed from the</td>
</tr>
<tr>
<td>Term</td>
<td>Description</td>
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<td>-------------------------------------------</td>
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</tr>
<tr>
<td>Expenses</td>
<td>A charge incurred for the current fiscal period.</td>
</tr>
<tr>
<td>Fabricated Equipment</td>
<td>Equipment built on site, not purchased in final form.</td>
</tr>
<tr>
<td>Fixed Equipment</td>
<td>Equipment permanently affixed to a building but separate from the building itself. Examples include light fixtures, wall-to-wall carpeting and raised flooring.</td>
</tr>
<tr>
<td>Gift-in-Kind</td>
<td>A donation to the university, of a tangible or intangible asset other than cash or securities. The gift can be something consumable such as office equipment or supplies, or something with a longer duration, such as books, artwork, or copyright interests.</td>
</tr>
<tr>
<td>Improvement Other Than Building</td>
<td>Modification other than repairs to an outside area, including sidewalks, parking lots, outdoor benches, and fences.</td>
</tr>
<tr>
<td>Inventory Item Number</td>
<td>A sequential number generated by the Capital Asset System that is unique to each item of equipment.</td>
</tr>
<tr>
<td>Land</td>
<td>The solid part of the earth’s surface whether improved or unimproved.</td>
</tr>
<tr>
<td>Library Materials</td>
<td>Books, journals, bound periodicals and microfilms purchased for and catalogued in university libraries.</td>
</tr>
<tr>
<td>Maintenance</td>
<td>Activities related to routine repairs (recurring or preventive) to building and other structures.</td>
</tr>
<tr>
<td>Cost Price</td>
<td>The cost to acquire an item in its current conditions through an arm’s-length transaction. Also referred to as fair market value.</td>
</tr>
<tr>
<td>Movable Equipment</td>
<td>An item that is not permanently affixed to or is part of a building. Examples include computers, fax machines, and printers.</td>
</tr>
<tr>
<td>Obsolescence</td>
<td>A factor to consider when determining the disposition of assets. Assets are obsolete when they are no longer useful to the university.</td>
</tr>
<tr>
<td>On-Campus</td>
<td>A location that is university-owned, operated, or affiliated. All university facilities have an official facility code, e.g. Department Codes.</td>
</tr>
<tr>
<td>Software</td>
<td>The entire set of programs, procedures, and related documentation associated with a computer system.</td>
</tr>
<tr>
<td>-------------</td>
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</tr>
<tr>
<td>Life</td>
<td>The period of time over which an asset is useful to the university in performing the function for which it was purchased.</td>
</tr>
</tbody>
</table>
GENERAL LEDGER
3. COST CENTRE MANAGEMENT

3.1. Objective

To ensure procedures and internal controls are in place in the creation of new and closure of defunct cost centres

3.2. Scope

Cost centres can proliferate unless adequate controls are in place to ensure that these are controlled. The indiscriminate opening of cost centres could negate the very reason for their existence i.e. the control of income and expenditure in specifically defined areas

3.3. Additional information

- The accounting software system must allow for a Finance Administrator to have certain select Administration functions that are rigidly controlled and remain inaccessible to anyone else
• Any accounting software system allows for a cost centre “tree” structure which links various cost centres together for financial reporting

3.4. Policy & Procedure

• The creation of new and removal of defunct/dormant cost centres is a critical control function of the finance department
• Any request for a new cost centre must be approved by the relevant HoD with a motivation as to why a new cost centre is required
• Such new cost centre will need to fit into the “Cost Centre Tree” as defined by the finance structure as laid out in the accounting software system. It is critical that the reporting line of this cost centre is properly identified upfront so that the financial reports produced from the system are properly defined
• Only the Finance System Administrator may create new cost centres and only on the express approval of the Executive Director Finance
• Dormant or defunct cost centres may not be deleted from the system as this will create a distortion in the reporting due to the fact that it will not be possible to report accurately on historical figures.
• For dormant/defunct cost centres, the software system must allow for them to made dormant and not accept any further transactions against them, but they must not be removed from the cost centre tree as they will still be required from the point of view of reporting on the history
NEW UNIVERSITY POLICY

4. REIMBURSEMENTS AND MILEAGE CLAIMS

POLICY REFERENCE: F015

<table>
<thead>
<tr>
<th>Name of Originator</th>
<th>PS</th>
<th>Name of VC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approved by QC</td>
<td></td>
<td>Approved by Legal Div</td>
</tr>
<tr>
<td>Policy code and number</td>
<td>F015</td>
<td>Approved by Registrar</td>
</tr>
<tr>
<td>Date sent to VC</td>
<td></td>
<td>Approved by VC</td>
</tr>
<tr>
<td>Date sent to Council</td>
<td></td>
<td>Approved by Council</td>
</tr>
</tbody>
</table>

4.1. Objective

The purpose of the policy is to:

- set out the conditions and authorisation required for reimbursements.
- clarify the process and related responsibilities.
- clearly define who is entitled to claim mileage that will be paid from the university funds, the conditions and rates applicable;

4.2. Scope

Includes all requests/claims for reimbursements and mileage that are paid for by university funds.

Applicable to All university staff, students, organisations, committee members, associated parties, authorised to submit claims for reimbursements or who are authorised to use privately owned vehicles on university business, including research.

4.3. Additional information

Related policies:-

- Funds deposited at or held by the university
• Cell phone
• Mileage claims
• Subsistence & Travel
• Advances

4.4. Policy

Reimbursements may only be claimed where authorised expenditure has been incurred for a university purpose, including a purpose associated with a university contract. Expenditure refers to all kinds of costs incurred, e.g. entertainment, purchase of books, stationery.

Specific approval is required for reimbursements relating to:

• Connectivity via ADSL/3G

The maximum reimbursement for ADSL/3G usage, supported by appropriate documentation, is R500 per month.

The Executive Director of Finance must authorise all exceptions on the motivation of the HOD. Completion of form “Request for Exception to Finance Policy” is required (see attachment A). A copy of this authorisation must accompany every claim submitted.

Reimbursements for recurrent expenditure related to working from home, or whilst travelling, must be approved by the fund holder and HOD, or one authority level higher if the same person, prior to the initial claim. When approving the recurrent expenditure, consideration must be given to the business needs, as well as the productivity of the claimant.

• Telephone calls (landline and cell phone)

The telephone bill must be itemised and signed as to the business usage, or a signed statement included as to the nature of the pre-paid airtime being reimbursed. Cell phone reimbursements will not be permitted for anyone who has a cell phone allowance.
Reimbursements for recurrent expenditure must be approved by the fund holder and HOD, or one authority level higher if the same person, prior to the initial claim. When approving the recurrent expenditure, consideration must be given to the business needs, as well as the productivity of the claimant.

- **University staff tuition rate**

All university staff and family eligible for the university staff tuition rate, must pay the university staff tuition rate. Due to tax consequences, these amounts cannot be reimbursed either from the university or from ring-fenced funds. No journals may be processed between funds for the university staff tuition rate. The Executive Directors of Finance and HR must authorise all exceptions on the motivation of the HOD. This will only be considered if this is an explicit requirement of the job, and full motivation is provided. The required form must be completed if this is required, see attachment A, “Request for Exception to Finance Policy”. The successful applicant will be required to sign a Bursary Agreement.

- **Airport parking and taxis**

Per the S&T policy, airport parking and taxi costs to/from the airport are included in the S&T allowance. For local travel, however, if the S&T allowance is insufficient to cover these costs, then these can be claimed as a reimbursement on return. The reimbursement for airport parking or taxi costs to/from the airport is subject to a maximum of R400/person, based on actual receipts.

i. All staff members requesting reimbursements must have a staff number.

ii. Reimbursements to staff will be paid via the payroll as a non-taxable re-imbursement and will be processed with the month-end payroll and appear on the annual IRP 5

iii. Reimbursements for less than R300 should, where practical, be accumulated or paid via petty cash.
iv. All requests for reimbursement must be supported by original supporting documentation stating details of the goods supplied or services rendered, in addition to proof of payment.

v. Where a credit card statement is included as proof of payment, confidential information can be blanked out.

vi. A credit card statement/slip or presented cheque is not acceptable as original supporting documentation required for audit purposes, as it does not include the details of the goods supplied or services rendered.

vii. All requests must be approved by the fund holder as authorised signatory. In addition, where the amount exceeds R1,500, the signature of one authority level higher than the claimant is required (e.g. HOD, Dean, Exec Director, DVC).

viii. For reporting purposes, all reimbursements must be claimed within 2 months, within the same financial year as the expenditure.

4.4. Procedure

For reimbursements to staff/students submit the, see attachment B, required form with all applicable detail and attachments.

A student that is also a staff member has to provide both staff and student numbers.
Fund holder authorisation is required on all claims or requests for reimbursements, and the signature one authority level higher than the claimant is required if the amount exceeds R1,500.

For reimbursements to external parties, the party must invoice the university for reimbursables and submit with all applicable detail and attachments.
A supporting letter signed by the HOD, stating the reason for the payment, must be attached.

4.5. Mileage

4.5.1. Additional information
The mileage claim will not initially be subject to employees’ tax in the month in which it is received by the staff member the university is responsible for ensuring that the full amount received by an employee is reflected on the irp5.

No taxable income will have been earned where the cumulative reimbursement does not exceed 8,000 km per tax year and the rate per kilometre limitation allowed, and no other compensation is paid to the employee.

Related policies:

- funds deposited at or held by the university
- cell phone
- reimbursements
- subsistence & travel
- petty cash

4.5.2. Policy

i. The university rates quoted are the maximum applicable rates per vehicle.

ii. The rate is a fixed rate and does not vary according to the number of passengers.

iii. The rate per kilometre is the applicable rate as published on the SARS website and updated from time to time

iv. Mileage claims will only be paid out at the most economical rates. The lesser of the mileage claim, at applicable rates, or the cost of a return air ticket and/or the hire of a Group A motorcar from the university's approved car rental firm will be paid out. If special circumstances prevail these should be noted on the claim form.

v. Mileage claims for field work, off-campus teaching (that is part of the official course requirements) and any other university business is paid only for travel outside a radius of 20 km from the relevant campus, unless specifically approved by the head of department (hod).

vi. If the job requires regular business travel of distances less than 20km, this can be claimed with the line manager’s explicit authorisation included with the claim.
vii. Travelling between the staff member’s residential address and the principle place of employment, in the normal course of business, is considered private travelling and no claim can be made for such travel. Travel between home and the airport on university business, is included in the

viii. Foreign Subsistence & Travel (S&T) allowance, whereas this can be claimed separately for local business travel.

ix. In the cases where the point of departure is the residential address and the distance from there to the destination is shorter than from there to the principle place of employment, no reimbursement will be made.

x. Mileage is not usually claimed for year-end or any other social functions.

xi. If a staff member receives a travel allowance, then business mileage cannot be reimbursed.

xii. All staff members requesting mileage claims must have a staff number, and payments will be made directly into the relevant bank account.

xiii. Mileage claims for less than R300 should, where practical, be accumulated.

xiv. Mileage claims must not be reimbursed from petty cash due to IRP5 tax reporting requirements.

xv. All mileage claims must be approved by the fund holder as authorised signatory. In addition, where the amount exceeds R1,500, the signature of one authority level higher is required (i.e. HOD, Dean, Executive Director, Deputy Vice Chancellor).

xvi. For reporting purposes, all mileage claims must be claimed within a the next month and within the same financial year as the expenditure.

4.5.3. Procedure

Complete and submit form Attachment C (Mileage Claim). External people wishing to claim mileage for work undertaken for the university must invoice the university

- The fund holder’s signature is required on all claims or requests for mileage claims, and, where the amount exceeds R1,500, a signature one level higher is also required.

- A student that is also a staff member has to provide both staff and student numbers.
• The purchase order and completed form must be submitted to:

The Finance Department, where payment is made directly into a bank account via electronic bank transfer, a remittance advice will be sent to the staff member on or before the day of transfer.
ATTACHMENT A
REQUEST FOR EXCEPTION TO FINANCE POLICY

NOTES
- This form is used to request approval by the Executive Director: Finance for exceptions to finance policies.
- If this request is approved, this signed form must be attached each time the relevant payment request form is submitted.

REQUEST SELECTION: This form accompanies my request for: (Please tick appropriate box)

| ADSL/3G usage > R400pm limit | UCT cell phone contract | Staff payment of tuition fee |

A: APPLICANT DETAILS

<table>
<thead>
<tr>
<th>Surname</th>
<th>Staff number</th>
</tr>
</thead>
<tbody>
<tr>
<td>First name</td>
<td>Title</td>
</tr>
<tr>
<td>Department</td>
<td>Tel. Extension</td>
</tr>
<tr>
<td>Fund number</td>
<td>Cost object</td>
</tr>
<tr>
<td>E-mail address</td>
<td></td>
</tr>
</tbody>
</table>

B: APPLICANT MOTIVATION FOR EXCEPTION TO FINANCE POLICY

Note: Please include all relevant information required on which to base the decision.

I request the Executive Director: Finance to consider an exception to the relevant finance policy on the
grounds noted above.

<table>
<thead>
<tr>
<th>Applicant signature</th>
<th>Date</th>
</tr>
</thead>
</table>

C: AUTHORISATION

*I support the request of this staff member as detailed above.*

<table>
<thead>
<tr>
<th>Fund holder</th>
<th>Name</th>
<th>Date</th>
<th>Ext</th>
<th>Signature</th>
</tr>
</thead>
<tbody>
<tr>
<td>HOD</td>
<td>Name</td>
<td>Date</td>
<td>Ext</td>
<td>Signature</td>
</tr>
<tr>
<td>Faculty FM</td>
<td>Name</td>
<td>Date</td>
<td>Ext</td>
<td>Signature</td>
</tr>
</tbody>
</table>

D: REQUEST APPROVED BY EXECUTIVE DIRECTOR/S OR NOMINEE/S, AS APPLICABLE

*I approve this request as detailed above.*

<table>
<thead>
<tr>
<th>Executive Director: Finance</th>
<th>Signature</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>If nominee, please print name</td>
<td>Signature</td>
<td>Date</td>
</tr>
<tr>
<td>Executive Director: HR <em>(if UCT staff tuition fee)</em></td>
<td>Signature</td>
<td>Date</td>
</tr>
<tr>
<td>If nominee, please print name</td>
<td>Signature</td>
<td>Date</td>
</tr>
</tbody>
</table>
ATTACHMENT B
REIMBURSEMENT

This form is for general reimbursements to the university staff/students. Please use the following forms for specific reimbursements to the university staff/students:

Mileage claims and Subsistence & Travel (S&T) are separate forms attached to those policies.

Send completed form, with purchase order and supporting documentation attached, to: Finance department

<table>
<thead>
<tr>
<th>Name</th>
<th>Department</th>
<th>Staff #</th>
<th>Purchase order #</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Student #</th>
<th>Goods receipt #</th>
</tr>
</thead>
</table>

A student who is also a member of staff is required to provide both staff and student number.

Note:

a) Each reimbursement claim should, where practical, be accumulated to a minimum value of R300.

b) Payments to staff/students for services rendered must be made via the payroll and NOT via a reimbursement.

<table>
<thead>
<tr>
<th>Slip #</th>
<th>Date</th>
<th>Detail of expenditure</th>
<th>GL Acc #</th>
<th>Fund</th>
<th>Cost Object</th>
<th>Amount (R)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
</tbody>
</table>
Total reimbursement:

I confirm that these are valid university business expenses and all details completed above are true and correct.

<table>
<thead>
<tr>
<th>Claimant</th>
<th>Name</th>
<th>Date</th>
<th>Ext</th>
<th>Signature</th>
</tr>
</thead>
</table>

I have checked the details above and approve payment of this claim, taking note b) above into account.

<table>
<thead>
<tr>
<th>Fund holder</th>
<th>Name</th>
<th>Date</th>
<th>Ext</th>
<th>Signature</th>
</tr>
</thead>
</table>

For claims exceeding R1 500, this reimbursement must be approved by one authority level higher than the claimant.

<table>
<thead>
<tr>
<th>HOD/Dean/Exec Director/DVC</th>
<th>Name</th>
<th>Date</th>
<th>Ext</th>
<th>Signature</th>
</tr>
</thead>
</table>

Final check and sign off by Faculty Finance Manager:

I have checked the attached slips. I confirm that this claim is correctly authorised and complies with the Reimbursement policy

<table>
<thead>
<tr>
<th>Faculty/PASS Finance Manager</th>
<th>Name</th>
<th>Date</th>
<th>Ext</th>
<th>Signature</th>
</tr>
</thead>
</table>
ATTACHMENT C
MILEAGE REIMBURSEMENT

This form is ONLY for mileage claimed by staff/students. *The rates applied are effective 1 March 2012.*

**Send completed form, with supporting documentation, if required, to:** Finance department, name of department, staff #, student #.

<table>
<thead>
<tr>
<th>Name</th>
<th>Departmen t</th>
<th>Staff #</th>
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</thead>
<tbody>
<tr>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Student #</th>
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<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

A student who is also a member of staff is required to provide both staff and student numbers.

**Note:**

a) Each reimbursement claim should, where practical, be accumulated to a minimum value of R300.

b) No reimbursement will be made unless approved by the authorised signatories.

c) Mileage reimbursements will be recorded on your IRP5.

d) If you receive a travel allowance, you cannot claim mileage reimbursements.

e) Travelling between home and the university is considered private travel.

f) Travelling between home and the airport is included in the foreign S&T allowance.

g) If electing to drive instead of fly, while on official university business, the total claim may not exceed the cost of an economy class airfare.

Please attach letter of motivation if not complying with this requirement.

<table>
<thead>
<tr>
<th>Date</th>
<th>From</th>
<th>To</th>
<th>Reason for trip</th>
<th>Fund</th>
<th>Cost Object</th>
<th>KMs</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>
## Total distance (KMs)

<table>
<thead>
<tr>
<th>Vehicle make</th>
<th>Registration #</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Rates per km (Please tick)

<table>
<thead>
<tr>
<th>Vehicle Type</th>
<th>Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Motor vehicles (all types)</td>
<td>R3.16</td>
</tr>
</tbody>
</table>

### Total claim: Cost @ rate above x total distance

R

I confirm that I used my own vehicle for the university business and all details completed above are true & correct.

Claimant

<table>
<thead>
<tr>
<th>Name</th>
<th>Date</th>
<th>Ext</th>
<th>Signature</th>
</tr>
</thead>
</table>

I have checked the details above & approve payment of this claim, taking notes d) – g) above into account.

Fund holder

<table>
<thead>
<tr>
<th>Name</th>
<th>Date</th>
<th>Ext</th>
<th>Signature</th>
</tr>
</thead>
</table>

For claims exceeding R1 500, this claim must be approved by one authority level higher than the claimant.

HOD/Dean/Exec Director/DVC

<table>
<thead>
<tr>
<th>Name</th>
<th>Date</th>
<th>Ext</th>
<th>Signature</th>
</tr>
</thead>
</table>

Final check and sign off by Faculty Finance Manager:

This claim has been correctly authorised and complies with the Mileage policy

Faculty Finance Manager

<table>
<thead>
<tr>
<th>Name</th>
<th>Date</th>
<th>Ext</th>
<th>Signature</th>
</tr>
</thead>
</table>
NEW UNIVERSITY POLICY

5. ADVANCES POLICY

POLICY REFERENCE: F020

<table>
<thead>
<tr>
<th>Name of Originator</th>
<th>PS</th>
<th>Name of VC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approved by QC</td>
<td>PS</td>
<td>Approved by Legal Div</td>
</tr>
<tr>
<td>Policy code and number</td>
<td>F020</td>
<td>Approved by Registrar</td>
</tr>
<tr>
<td>Date sent to VC</td>
<td></td>
<td>Approved by VC</td>
</tr>
<tr>
<td>Date sent to Council</td>
<td></td>
<td>Approved by Council</td>
</tr>
</tbody>
</table>

5.1. Objective

The purpose of the policy is to:
- clearly define the procedures related to obtaining and clearing advances;
- set out the conditions and authorisation required to obtain advances; and
- clarify the various related processes and responsibilities.

5.2. Scope

Includes all monies paid from university funds in advance of receipt of the correct supporting documentation. (This covers sundry, fieldwork and travel advances.)

For purposes of this policy, “fieldwork” includes class trips.

Applicable to all university staff, student organisations and committee members applying for an advance.

5.3. Additional Information

There are no tax implications if an advance is cleared with correct supporting documentation within
- 14 days of receipt of money (sundry purposes)
- 14 days from date of return (fieldwork), or
- 14 days from date of return (travel advance).

Should the advance not be cleared within stated time limit, the advance will be converted into an allowance. Allowances are fully taxable and will be reflected on the staff member’s IRP5. Tax will be deducted at the marginal rate from the next salary payment.

Where the advance is to a student, the fund holder will only be given a new advance once the student’s advance is cleared.

Related policies:
- Subsistence & Travel (S&T)
- Mileage claims
- Reimbursements
- Asset register

**5.4. Policy**

Monies provided for as an advance may only be used for official and approved university business. No further advances will be paid where previous advances have not been cleared.

Supporting documents in the form of original receipts are required to clear the advance. All advances, except travel, must be cleared within 14 days.

If not cleared these amounts will be reported as taxable income.

In order to request an advance, a staff member must have a staff number.

Advances will be paid directly into a bank account. No amounts will be paid in cash or by cheque.

Where bank charges are material in relation to the advance, these can be claimed based on supporting documentation.

**5.4.1. Sundry advances**

Common examples of advances for sundry purposes include items on special offer, where credit facilities are not available (supporting documentation: written quote).

If final supporting documentation has been issued, e.g. an invoice, the payment should be processed through the normal creditor payment system.
5.4.2. Fieldwork advances

Advances for fieldwork must be allocated in accordance with faculty fieldwork policies or guidelines.

5.4.3. Travel advances

Travel advances will **not** be paid in cash.

Travel advances must be cleared within 14 days after the return date of the trip.

If not cleared, these amounts will be reported as taxable income.

No further advances will be paid where previous advances have not been cleared.

Before the trip, the full amount of funding received will be treated as an advance, if the applicant requests more than the allowed daily rate.

After the trip, if actual expenditure exceeds the allowance received and the staff member wants to claim the difference, the total amount (allowance plus additions) will be treated as an advance.

Foreign travel payment will normally be made using the exchange rate used by the applicant at the time of completing the application form. If the exchange rate at the time of processing the form is substantially different, then the prevailing rate will be used and the applicant informed.

5.5. Procedure

A - To obtain an advance

B - To clear an advance

A) To obtain an advance

5.5.1. Sundry/Fieldwork advances

Complete form the required form – Attachment A

Obtain signature of fund holder, line manager and Faculty finance manager.

Keep a copy of the form to clear the advance.

Submit SIGNED form, to the Finance Department,
5.5.2. Travel advance

Using the required form Attachment B, complete sections A, C, E & F.
Obtain signature of fund holder, line manager and Faculty finance manager.
Submit SIGNED form, and supporting documentation to the Finance Department

B) To clear an advance

All advances must be cleared by completing the required form, Attachment C (Clearing an advance)
Attachment C is part of the management process of clearing the advance and includes the signatures of the person who took the advance, as well as the HOD.
This is important from an accountability perspective, as there could be tax consequences if not cleared within the stipulated period.
The accountant will process a journal, signed off by the fund holder and finance officer, as the input document for the financial transaction required to clear the advance in the accounting system
All expenses incurred must be summarized per general ledger account code, and must be accompanied by the original invoice or receipt.
Calculate the difference between the actual expenditure and the amount received as an advance.
- If the advance received is greater than the amount to be cleared, please make a deposit at Cashiers Office and attach receipt.
- If the advance received is less than the amount to be cleared, please claim the additional amount on the relevant claim form
Complete the required sections of the form if there is a difference between the actual expenditure and the amount received.

5.5.3. For Sundry/Fieldwork advances

Complete EITHER section C (over-expenditure) or D (unspent monies) on Attachment C within 14 days of your return from the field trip or from receipt of money, and sign.

5.5.4. For Travel advances
Complete EITHER section C (over-expenditure) or D (unspent monies) on Attachment C within 14 days of your return from the field trip or from receipt of money, and sign
Submit journal and supporting documentation to Finance Department,
Ensure all required signatures are obtained before submission.
ATTACHMENT A
REQUEST FOR ADVANCE

For purposes of this form, “fieldwork” includes class trips.

Send completed form with attached receipted purchase order to the Finance Officer at least two weeks before you require the advance.

Please ensure that ALL relevant signatories complete Section B. The Finance Manager must sign off the advance request.

On your return, complete form Attachment C – Clearing of Advance. Please retain slips and invoices, as you will be required to submit these to your finance officer, together with a copy of this form.

- Cash advances will only be made on production of a university staff/student card, and are subject to a limit of R5 000.

- Cash advances greater than R5 000 require motivation from the finance manager and approval from the Accountant specifying the exact date the cash is required. The e-mail approval must be attached to the advance documentation.

A Type of Advance required (Please indicate)  Fieldwork □  Sundry □

<table>
<thead>
<tr>
<th>Amount of Advance requested</th>
<th>R</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reason for Advance:</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Payee:</th>
<th>Dept:</th>
<th>Staff/Student #:</th>
</tr>
</thead>
</table>

If fieldwork, location of fieldtrip:

<table>
<thead>
<tr>
<th>Period of trip:</th>
<th>From:</th>
<th>To:</th>
<th># of Days:</th>
</tr>
</thead>
</table>

If sundry advance, name of store where purchase is to be made (A quote must be attached):

<table>
<thead>
<tr>
<th>Fund:</th>
<th>Cost Object:</th>
</tr>
</thead>
</table>
Purchase Order #: | Goods Receipt #:
---|---

**Instructions for cheque (Only to be completed by students):**

*I confirm that this request for an advance is for valid university business and acknowledge legal responsibility that the money will be spent for the intended purpose. It is my responsibility to clear this advance within 14 days of my return from the trip (fieldwork) or within 14 days from receipt of money (sundry).*

<table>
<thead>
<tr>
<th>Applicant Name:</th>
<th>Signature:</th>
<th>Date:</th>
</tr>
</thead>
</table>

**B  Authorisation for Advance**

*I accept accountability that the money will be spent for the purpose for which it was provided and confirm that it is for official university business. I also acknowledge my accountability for ensuring this advance is cleared within the required period.*

<table>
<thead>
<tr>
<th>Fund Holder Name:</th>
<th>Signature:</th>
<th>Date:</th>
</tr>
</thead>
</table>

*I have checked the details above and approve that this advance be granted.*

<table>
<thead>
<tr>
<th>HOD/Manager Name:</th>
<th>Signature:</th>
<th>Date:</th>
</tr>
</thead>
</table>

*I have checked the financial details and confirm that this advance be processed for payment.*

<table>
<thead>
<tr>
<th>Finance Manager Name:</th>
<th>Signature:</th>
<th>Date:</th>
</tr>
</thead>
</table>

To clear the advance, complete form *Attachment C – Clearing of Advance*

***Caution***

*Should the advance not be cleared within stated time limit, the advance will be converted into an allowance.* Allowances are fully taxable and will be reflected on the staff member’s IRP5. Tax will be deducted at the marginal rate from the next salary payment. Where the advance is to a student, the fund holder will only be able to apply for further advances once the student’s advance is cleared.*
**ATTACHMENT B**

**SUBSISTENCE AND TRAVEL (LOCAL AND ABROAD)**

Send completed form with attached receipted purchase order to your Finance Officer at least **two weeks before you travel**. Complete Section B for allowances OR Section E for advances. **Please ensure that the form has been signed by the fund holder, HOD & Finance Manager in either Sections D or F.**

- All slips for allowances need to be retained for the Receiver of Revenue (SARS)

**DEPARTMENTAL DETAILS (The applicant must complete all details)**

<table>
<thead>
<tr>
<th>Name:</th>
<th>Staff/Student #:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dept:</td>
<td></td>
</tr>
<tr>
<td>Destination:</td>
<td>Fund:</td>
</tr>
<tr>
<td>Purpose:</td>
<td></td>
</tr>
<tr>
<td>Period of absence</td>
<td>No. of days:</td>
</tr>
</tbody>
</table>

| Copy of approved Leave form attached | Business Itinerary attached | Purchase Order attached |

*I confirm that these are valid university business expenses and acknowledge legal responsibility that the money will be spent for the intended purpose*

| Signature: | Date: |
B ALLOWANCE (For subsistence within SARS’ limit – paid in advance)

- For local travel, the allowed MAXIMUM daily rate is **R93.00** for incidental costs only or **R303.00** for meals and incidentals.

- For foreign travel (outside the Republic), the allowed daily rate is determined according to the country in which the staff member will be staying overnight. Please refer to the SARS table on the SARS website

- **The daily rate to be used is at the fund holder’s discretion, subject to availability of funds, but cannot be MORE than the SARS daily rate, without resulting tax consequences.**

<table>
<thead>
<tr>
<th>Country</th>
<th>No. of Days</th>
<th>Currency</th>
<th>Daily Rate</th>
<th>Exchange Rate</th>
<th>Rand Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
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<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**TOTAL**

*Please make a copy of this table on a separate page should more lines be required or if being accompanied by immediate family*

C PRE-PAID EXPENSES (Purchase orders already placed for this trip)

<table>
<thead>
<tr>
<th>Items</th>
<th>Airfare</th>
<th>Accommodation</th>
<th>Conference/Course Fee</th>
<th>Other (Specify)</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fund</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Amount</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

D AUTHORISATION FOR ALLOWANCE

*I authorise the transfer of funds for the above and confirm that all details on this form and attachment, are true and correct.*

<table>
<thead>
<tr>
<th>Fund Holder</th>
<th>Name:</th>
<th>Signature:</th>
<th>Date:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*I have checked the details above, and confirm that this is an authorised business trip.*

<table>
<thead>
<tr>
<th>HOD/Manager</th>
<th>Name:</th>
<th>Signature:</th>
<th>Date:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
I have checked the financial details and confirm that this claim can be processed for payment.

<table>
<thead>
<tr>
<th>Finance Manager</th>
<th>Name:</th>
<th>Signature:</th>
<th>Date:</th>
</tr>
</thead>
</table>

If a travel ADVANCE is required – refer Section E & F on page 2.

E ADVANCE

<table>
<thead>
<tr>
<th>FUNDING</th>
<th>BUDGETED EXPENDITURE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Source</td>
<td>Fund</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>Total funding</td>
<td></td>
</tr>
</tbody>
</table>

F AUTHORISATION FOR ADVANCE

I authorise the transfer of funds for the above and confirm that all details on this form and attachment, are true and correct.

<table>
<thead>
<tr>
<th>Fund Holder</th>
<th>Name:</th>
<th>Signature:</th>
<th>Date:</th>
</tr>
</thead>
</table>

I have checked the details above, and confirm that this is an authorised business trip.

<table>
<thead>
<tr>
<th>HOD/Manager</th>
<th>Name:</th>
<th>Signature:</th>
<th>Date:</th>
</tr>
</thead>
</table>

I have checked the financial details and confirm that this claim can be processed for payment.

<table>
<thead>
<tr>
<th>Faculty/PASS</th>
<th>Name:</th>
<th>Signature:</th>
<th>Date:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Finance Manager</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
On your return, if you have received an advance, you need to complete form Attachment C – Clearing of Advance.

Please retain all slips related to business travel either for

- submission to your Finance Officer in order to clear an advance, or
- personal SARS reporting purposes, if within the S&T daily allowance.

After the trip if actual expenditure exceeds the S&T daily allowance received and the staff member wants to claim the difference, the total amount will be treated as an advance.

- If excess to be claimed is for hotel accommodation alone, then only hotel receipts need to be submitted.
- If the excess to be claimed is not related to accommodation alone, then proof of total expenditure must be submitted.
ATTACHMENT C
CLEARANCE OF ADVANCE

The purpose of this form is to clear the advance that was previously requested.
Submit this form, including the completed expense breakdown table (Section B), together with a copy of either form Attachment A (Advance) or Attachment B (S&T), and all slips and invoices to your Finance Officer.

Caution

Should the advance not be cleared within stated time limit, the advance will be converted into an allowance. Allowances are fully taxable and will be reflected on the staff member’s IRP5. Tax will be deducted at the marginal rate from the next salary payment. Where the advance is to a student, the fund holder will only be given a new advance once the student’s advance is cleared.

Complete Sections A & B, and EITHER Section C (over-expenditure) OR Section D (unspent monies)

A. Details of Advance

<table>
<thead>
<tr>
<th>Payee:</th>
<th>Dept:</th>
<th>Staff/Student #:</th>
</tr>
</thead>
</table>

I have attached the following:

<table>
<thead>
<tr>
<th>Copy of form Attachment A (Advance)</th>
<th>Y</th>
<th>N</th>
<th>I have completed the expense breakdown table</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Copy of form Attachment B (S&amp;T)</td>
<td>Y</td>
<td>N</td>
<td>Slips &amp; Invoices</td>
<td>Y</td>
<td>N</td>
</tr>
</tbody>
</table>

B. Breakdown of expenditure (complete after the trip/purchase)

Mileage rate: R3.16 per km (effective 1 March 2012)

<table>
<thead>
<tr>
<th>No. of Kms</th>
<th>Rate per km</th>
<th>Rand Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>R3.16</td>
<td></td>
</tr>
</tbody>
</table>

Transfer this amount to grid below – Mileage

S&T: max daily rate allowed R303 for meals & incidentals, R93 for incidentals only (effective 1 March 2012)
<table>
<thead>
<tr>
<th>No. of Days</th>
<th>Daily Rate</th>
<th>Rand Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Transfer this amount to grid below – Subsistence (local)</td>
</tr>
</tbody>
</table>

_Sundry: please use the blank lines below, ensuring General Ledger name and Acc # are completed as well._

<table>
<thead>
<tr>
<th>Slip #</th>
<th>Date</th>
<th>Detail of expenditure</th>
<th>GL Name</th>
<th>GL Acc #</th>
<th>Fund</th>
<th>Cost Object</th>
<th>Amount (R)</th>
</tr>
</thead>
<tbody>
<tr>
<td>See above</td>
<td></td>
<td>Mileage</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>See above</td>
<td></td>
<td>Subsistence (local)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Accommodation</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Car hire</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Airfare (local)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Bus transport</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Parking</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Petrol/Diesel</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

_Total expenses_
Complete either Section C or D, and obtain signatures as required.
Original proof of expenditure must be attached in all cases.

**Note**

The Finance Officer must complete a journal to clear the advance.

**C. Over expenditure**

Complete if the total claim exceeds the advance.

For Subsistence & Travel:

If the total claim exceeds the SARS daily allowance and the excess is for hotel accommodation alone, only hotel receipts need to be submitted. For all other excesses, proof of total expenditure must be submitted.

<table>
<thead>
<tr>
<th>Total Actual Expenditure in Rands</th>
<th>Fund</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Advance in Rands</td>
<td>Cost Object</td>
</tr>
<tr>
<td>Claim in Rands</td>
<td></td>
</tr>
</tbody>
</table>

**D. Unspent monies**

Complete if the total claim is less than the advance.

Please deposit cash and attach receipt from university Cashiers Office. No cash should be sent via the internal mail.

<table>
<thead>
<tr>
<th>Receipt No:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Name of cashier:</th>
<th>Signature:</th>
<th>Date:</th>
</tr>
</thead>
</table>

**Note**

If unspent monies returned by EFT, please attach proof of deposit.

**E. Authorisations for advance clearing**
I certify that all expenditure was actually and necessarily disbursed on university business during the stated period.

<table>
<thead>
<tr>
<th>Role</th>
<th>Name:</th>
<th>Signature:</th>
<th>Date:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Recipient of Advance</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fund Holder</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>HOD/Manager</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Finance Manager</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
6. THIRD STREAM INCOME

6.1. Objective

To record how the university deals with third stream income and how it is administered

6.2. Scope

All income other than government grants and subsidies and tuition student accommodation income

6.2.1. Third stream income

Policy and procedure – Third stream income

- All income other than government subsidy and grants and student fee and accommodation income must be advised to the finance department immediately it is known about
- The finance department will generate the necessary invoice and create a debtor for that amount
- It is preferable that the finance department get involved as early as possible in the process so that credit checks can be done on the prospective debtor
- Another reason for the finance department to be involved as early as possible is to assist in the understanding of the potential VAT implications of the transaction. All too often a sponsorship from a third party is misconstrued as income whereas the amount received is...
inclusive of VAT i.e R100 000 received is in fact only worth R87719 in terms of buying power, as the rest is payable to SARS as VAT. This is a point frequently overlooked

- Every supply of goods or services by the university must be reduced to writing and signed for by the prospective debtor
- In almost all instances VAT will need to be charged on these invoices
- The university will charge a levy of 12½% of all third stream income, after the deduction of the VAT, as a levy for the central university coffers. He third stream income could not have been generated were it not for the university and the levy covers overhead costs that are incurred in the generation of this income
- The determination of what to charge for the particular goods or services to be provided must be done between the relevant department and the finance department eg facilities must consult with finance when it comes to setting the amount to be charged for the hire of any facilities, etc
- Sales of old assets are also VAT-able transactions and finance must be involved in the determination of the selling prices
7. CELL PHONE POLICY

7.1. Objective

This policy has been introduced to:

- clearly define who is entitled to a university cell phone and how the costs of purchasing the asset plus ancillary equipment, and the rental and call costs will be met;
- streamline statement administration and payment, and the reimbursement of the costs of business calls; and
- ensure that university policy complies with the requirements of tax legislation and practice.

7.2. Scope

This policy covers the usage of a cell phone by permanent university staff where the regular use of a cell phone is necessary or useful to meet the requirements of the job.

This includes all new cell phone contracts and renewals of existing cell phone contracts entered into by the university.

This policy does not apply to university staff members who occasionally use a cell phone for business purposes and require reimbursement.

7.2.1. Applicable to:

- The Vice Chancellor
• The Senior Leadership Group
• Heads of academic and non-academic departments
• Members of staff nominated by any of the above staff members
• Research staff

7.3. Additional information

In order to comply with tax practice and streamline administration, university pays a cell phone allowance to staff members who regularly use a cell phone to meet the requirements of the job. The amount of the allowance is determined by assessing an individual’s need, and is fully taxable.

Related policies:-
- Funds deposited at or held by university
- Reimbursements

7.4. Policy

• The university will pay a taxable allowance, which may be amended from time to time, towards the university related cell phone costs incurred by the individual. This will be paid monthly via the payroll from a nominated fund.
• The amount of the allowance will be based on an assessment of the needs of the individual and set so that the AFTER TAX amount will cover the cost to the individual of all university related costs.
• Payment of the monthly cell phone statement is the responsibility of the cell phone owner;
• The cell phone contract will be in the name of the staff member who will be solely responsible for all payments to the service provider;
• the university will only support one cell phone allowance per staff member;
• the university reserves the right to remove a participant from this scheme if there is insufficient budget in the nominated fund to meet the cost of monthly allowances;
• the university does not accept any liability for claims, charges or disputes between the service provider and the staff member;
• Recipients of a cell phone allowance must notify their HOD of the cell phone number and must continue to maintain the cell phone rental or air-time/pay-as-you-go contract while in receipt of the allowance;
• Any allowance in excess of the stipulated maximum must be approved by Executive Director: Finance, following a full motivation.

7.5. Categories

**Group A:**

(i) Members of the Senior Leadership Group and
(ii) other senior staff of the university, as approved by a relevant member of the SLG.

**Group B:**
Members of university permanent staff where use of a cell phone is beneficial to university or useful to meet the requirements of the job.

**Group C:**
Academic or research staff where use of a cell phone would be beneficial to their research, and the cost of the allowance can be met from research funds

• Cell phone allowances outlined for Groups A and B are planned and budgeted for as part of the operations of a unit or department and the assessment of the need is done within that context, as for any other activity.
• Cell phone allowances for Group C are allowed in terms of the conditions of the research funds to which the costs are to be charged.

7.6. Exceptions

The Executive Director: Finance must authorise all exceptions on the motivation of the head of the relevant department.
It is recognised that, in certain instances, staff require a cell phone in order to perform their duties, and for various reasons, it best that these phones be contract phones in the name of the university. These phones will be issued either on an ad hoc or permanent basis.

7.6.1.  Ad hoc phones

These are necessary where an activity requires that an individual be contactable on a call-out basis. This will be accommodated by the use of phones held by the department which are allocated to the individual on call-out.

7.6.2.  Permanent phones

These will be issued where it is required that the person performing an activity is contactable and needs to contact others, both within and external to the university, in order to satisfy the requirements of the job, e.g. maintenance workers.

In these cases, line management must, on a regular basis, scrutinise the itemised billing to identify personal usage. The finance manager must ensure that this information is communicated to HR quarterly, where it will be added to the individual’s taxable earnings, and tax deducted.

For these two exceptions only, the purchasing officer will enter into agreements with a cell phone service provider and supplier of cell phones and ancillary equipment on favourable terms. If possible, the agreement should include an insurance contract. Summaries of these agreements can be obtained from the Purchasing Officer.

7.7. Allowances

The allowances paid by the university in respect of the individual categories will be:

- Group A – An allowance of up R1,000 per month as determined by the Dean/Exec Director/HOD/fund holder towards rentals and calls and paid monthly via the Payroll.

- Group B – An allowance, not exceeding R500 per month, as determined by the HOD/fund holder towards rentals and calls and paid monthly via the Payroll from a nominated fund and for an amount agreed by the nominator from Group A.
Group C – An allowance of up to R1,000 per month as determined by the fund holder towards rentals and calls and paid monthly via the payroll from a nominated fund. The conditions must allow for the payment of such an allowance, in addition to approval by the HOD (or where applicable, one signatory up from the position of the applicant).

In all instances where an allowance in excess of the stipulated maximum is deemed to be necessary, this must be fully motivated by the HOD (or where applicable, one signatory up from the position of the applicant), and approved by Executive Director: Finance

7.8. Procedure

1. The participant completes form Attachment A and, after receiving the required approval, forwards it to the Human Resources (HR) Department for payment of the monthly (taxed) allowance via the payroll. The relevant fund (that will pay for the costs) and cost centre must be entered on the form.

2. The HR Department, Payroll section ensures that the monthly allowance is accumulated during a tax year for IRP5 purposes and declared under SARS Code 3712 (Telephone/Cell phone allowance).

3. The participant pays the monthly rental and call statements directly to the service provider.

4. For the exceptions, where a university administered cell phone is required, complete form Attachment A – Reimbursement policy, with a motivation request, and forward to the Executive Director: Finance

Participants must inform the HR department of any cancellation arising from theft, sale, termination of contract, etc. as soon as possible and not later than the 3rd day of the month following the month in which this event occurred.

You will be contacted by your finance manager on an annual basis and required to confirm that you are still using the cell phone for business purposes and that you are maintaining the cell phone rental or air-time/pay-as-you-go contract.
7.8.1. Occasional use of personal cell phones for business reasons

This policy does not apply to staff members who occasionally require the cost of business usage of a personal cell phone to be reimbursed. In these instances, the cell phone statement must be itemised as to the business usage, or a signed statement included as to the nature of the pre-paid airtime being reimbursed. Reimbursements will not be permitted for anyone who has a cell phone allowance.

7.8.2. Use of ADSL/3G connectivity

This policy does not cover the use of ADSL/3G connectivity, as required for business purposes. These costs can be claimed as a reimbursement, supported by the appropriate documentation, up to a maximum of R400 per month.
ATTACHMENT A

CELL PHONE ALLOWANCE

Notes:
- See pages 2 and 3 for help when completing this form.
- All completed forms must be sent to the HR Administrator for your department in Bremner.

PARTICIPANT DETAILS

<table>
<thead>
<tr>
<th>Surname</th>
<th>Staff Number</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>First Name/s</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Department</th>
<th>Cell Number</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Fund Number</th>
<th>Cost Center</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Email Address</th>
<th>Tel. Extension</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Group (tick one)</th>
<th>A</th>
<th>B</th>
<th>C</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

MONTHLY TAXABLE ALLOWANCE

Where an allowance in excess of the stipulated maximum is deemed necessary, this must be fully motivated by the HOD/Dean/ED/DVC and approved by the Executive Director: Finance. A copy of this motivation and approval must be attached to this form.

<table>
<thead>
<tr>
<th>Group A (&lt;R1,000 pm)</th>
<th>R pm</th>
<th>Start Date</th>
<th>End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Group B (&lt;R500 pm)</th>
<th>R pm</th>
<th>Start Date</th>
<th>End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Group C (&lt;R1,000 pm)</td>
<td>R pm</td>
<td>Start Date</td>
<td>End Date</td>
</tr>
<tr>
<td>----------------------</td>
<td>------</td>
<td>------------</td>
<td>----------</td>
</tr>
</tbody>
</table>

**AUTHORITY**

<table>
<thead>
<tr>
<th>PRINT NAME</th>
<th>SIGNATURE</th>
<th>CONTACT NO.</th>
<th>DATE</th>
</tr>
</thead>
</table>

*I request that I be admitted to this group and agree to abide by the conditions, as specified in the Cellphone Policy. I accept that the onus is on me to inform the HR Department of any cancellation arising from theft, sale, termination of contract, etc. as soon as possible after the event.*

Participant

*I approve the admission of this staff member to the Cell Phone Allowance Group as indicated above.*

Fund Holder

HOD

Final authority *(see page 3)*

*I authorise that the above-mentioned staff member, as an exception, be admitted to this Cell Phone Allowance Group.*

ED Finance *(see page 3)*

*I confirm that this allowance has been planned and budgeted for, and in the case of Group C, such expenditure is allowable.*

Area Finance Manager

**PROCESSED BY**

<table>
<thead>
<tr>
<th>PRINT NAME</th>
<th>SIGNATURE</th>
<th>CONTACT NO.</th>
<th>DATE</th>
</tr>
</thead>
</table>

HR Administrator
COMPLETING A CELL PHONE ALLOWANCE FORM

When do I complete this form?
This form is used by employees eligible to participate in the university Cell Phone Policy.

Which category do I fall into?

- **Group A**: (i) Members of the Senior Leadership Group and (ii) other senior staff of the university as approved by a relevant member of the SLG
- **Group B**: Members of the university permanent staff where use of a cell phone is beneficial to the university or useful to meet the requirements of the job
- **Group C**: Academic or research staff where use of a cell phone would be beneficial to their research, and the cost of the allowance can be met from research funds
  - Cell phone allowances outlined for Groups A and B are planned and budgeted for as part of the operations of a unit or department and the assessment of the need is done within that context, as for any other activity.
  - Cell phone allowances for Group C are allowed in terms of the conditions of the research funds to which the costs are to be charged.
Determining the monthly cell phone allowance

- Select either group A, B or C (See above).
- Assess the average business usage on your cell phone (including rentals), over a reasonable period.
- Gross this amount up, by using the marginal rate, to determine a monthly allowance.
- Where an allowance in excess of the stipulated maximum is deemed necessary, a full motivation by the HOD (or where applicable, one signatory up from the position of the applicant), and approved by the Executive Director: Finance, must accompany the form.

Is the cell phone allowance taxable?

- Yes, the allowance is taxable, but the AFTER tax amount will cover the cost to the individual of all the university related costs.

Is the cell phone allowance part of your COE?

- No, this is an additional allowance that does not form part of your COE

How are occasional business cell phone costs reimbursed?

- This policy does not imply that all staff who occasionally require the cost of business usage of a cell phone, be reimbursed via a regular monthly allowance.
- In these instances, the cell phone statement must be itemised as to the business usage, or statement included as to the nature of the pre-paid airtime being reimbursed.
- Cell phone reimbursements with no indication of private / business usage will be rejected for payment by the Finance Department.
- Reimbursements are not permitted for anyone who has a cell phone allowance.

What if I am an exception, and require a university administered cell phone?

It is recognised that, in certain instances, staff require a cell phone in order to perform their duties, and for various reasons, it best that these phones be contract phones in the name of the university. These phones will be issued either on an ad hoc or permanent basis. The Executive Director: Finance must authorise all exceptions on the motivation of the head of the relevant department.

- You will need to complete form Attachment A – Reimbursement Policy.
  -
Where do I send this form?
This form should be sent:

- first to the fund-holder or Head of department (HOD) for approval - or, if you are an HOD, to the relevant Dean or Executive Director who should sign under Final Authority;
- then to the Executive Director: Finance if an exception to the above groups requires approval;
- then to the Area Finance Manager for confirmation, and;
- finally to the relevant HR Administrator.

When do I submit this form?
In time to reach HR Administration, Bremner Building, by the 3rd of the month in which payment of the allowance is to commence

What other forms do I need to complete?
No other forms.
CASH BOOKS AND BANKING
8. CASH BOOKS AND BANKING

8.1. Objective

To ensure procedures and internal controls are in place to correctly handle and deal with issues that affect the recording of transactions in the cash book as a result of events within the banking system.

8.2. Scope

A number of issues affect the accounting for and control over the banking and cash books of a university.

8.3. Policy & Procedure

A. Issue of cheques
B. Cheque requisitions
C. Stop payments and re-issue
D. Direct deposits
E. Stale cheques
F. Bank reconciliation
8.3.1 Issue of cheques

Policy and procedure – Issue of cheques

- As a policy the university should strive to not issue cheques as far as possible. All payments should be made on the basis of electronic funds transfer (EFT).
- There may be rare occasions when cheques need to be issued, but in today’s environment these should be almost non-existent.
- Under no circumstances whatsoever should “Cash cheques” be issued.
- All cheques are to be recorded in a cheque register. Any request that a payment be made by cheque must be accompanied by a detailed motivation as to why an ET cannot be effected and must be approved by the Executive Director Finance prior to the preparation of a cheque.
- If a cheque is issued, it must be captured into the cash book immediately.
- Two signatories (at least one from finance) will be required on every cheque issued and both parties must sign the relevant documentation upon signing the cheque.

8.3.2 Cheque requisitions

Policy and procedure – Cheque requisitions

- As a rule, it is preferable that all payments originate from a purchase order and are processed via the creditors department. However, it may be that certain expenses arise from “non-ordered” sources eg monthly telephone or electricity bills, and may have to follow another payment route. Such payments are recorded on a cheque requisition (even though cheques will not be issued).
- A cheque requisition will be prepared by the person requiring such payment in accordance with the delegation of authority framework. If the amount requested is beyond their limit, it must be forwarded to their supervisor.
- The requisition must be accompanied by an original invoice reflecting the amount so due.
- The requestor must provide the cost centre and account code allocation on the requisition.
- The requisition must be signed by the requestor and their next line supervisor.
- The requisition must be approved by the accountant or Executive Director Finance prior to being loaded for payment.
- The requisition must be signed by the person loading the payment onto the EFT system.
• The requisition must be signed off by both parties releasing the payment (at least one from finance)

8.3.3 Stop payments and re-issue

Policy and procedure – Stop payments and re-issue
• From time to time, in very rare circumstances, it may become necessary to stop a payment that has already been initiated
• This can only be done on the express approval of the Executive Director Finance or their delegated appointee
• The necessary forms must be submitted to the bank immediately
• No re-issue (new payment) may be effected until a satisfactory period, at least 7 working days, has elapsed so as to ensure that the original incorrect payment does not come through the banking system

8.3.4 Direct deposits

Policy and procedure – Direct deposits
• Many payments will come into the university by external persons making direct deposits into the bank account
• It is imperative that the bankers be advised, and their systems be adapted, that deposits may NOT be accepted without a satisfactory reference number. It is not sufficient that the reference field just be populated, the banking system must carry the student number algorithm generator in their system to ensure that the number so captured is, in fact, a valid number
• Where the direct deposit is not in respect of student fees, a relevant invoice number should be recorded.
• Invoices are generated by the finance department only
• Bank statements are to be electronically downloaded daily (see below) and all deposits allocated on a daily basis. This will enable immediate follow up on the rare occasions that the reference cannot be tied up.
• Any direct deposits not identified must be allocated to an “Unallocated income” account and followed up rigorously immediately
8.3.5 Stale cheques

Policy and procedure – Stale cheques

- When conducting the bank reconciliation (see below), a constant watch must be kept on the list of outstanding cheques
- When a cheque has been outstanding for six months, it is no longer valid tender and must be reversed
- The reversal must be approved by the accountant and allocated to the expense account that was debited with the original payment

8.3.6 Bank reconciliation

Policy and procedure – Bank reconciliation

- Bank statements must be downloaded daily and “pushed” into the accounting system for automatic matching of receipts and payments
- All unmatched items must be transferred to an “Unmatched items” account which must be investigated and cleared within 3 working days
- Any items not capable of being matched or cleared must be listed and given to the accountant for resolution and allocation
- Technically, this means that the bank reconciliation is performed daily.
- At the end of each month, the bank recon must be prepared in a format for approval by the Executive Director finance. A list of all uncleared deposits must accompany the recon for approval and the Executive Director Finance must follow up on these items and approve that he/she is satisfied
NEW UNIVERSITY POLICY

9. FUNDS DEPOSITED WITH OR HELD BY THE UNIVERSITY

POLICY REFERENCE: F040

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9.1 Objective

To clarify the ownership of funds deposited with or held in the university, the responsibility for such funds and for what they may be used.

9.2 Scope

Covers ALL monies deposited with or held in the university (whether in an operating or investment fund), or in any bank account in the name of the university or in the name of any department or division of the university.

All bank accounts noted above must be opened by the Executive Director: Finance, who has delegated Council authority.

This policy does not apply to the balances held in university funds for the associated, but legally separate and/or independent bodies.

Applicable to:
All UCT staff members and students, including
9.3 Additional Information

Related policies:
- Financial authority limits
- Reimbursements
- The university policy on private work

9.4 Policy

- Any money deposited with or held in the university or in the university’s name (whether in an operating or investment fund) is the property of the university and the University is responsible for such funds.
- The university funds and accounts may not be used to “park” funds that belong to private bodies or individuals, or to transact private business.
- Monies held in the university funds and accounts remain the property of the university after the death, retirement or resignation of the individual who had decision making rights over such monies. Where applicable, the balance of such funds will revert to the Research Committee to be dealt with as they decide. If, however, the responsible person remains an active member of the university after retirement, the Research Committee, at its sole discretion, may allow this person to continue to have decision rights over these funds, which shall not be unreasonably withheld.
- Money in the university funds and accounts may only be used for the university purposes: university purposes would include paying the university creditors for goods and services, and paying people employed by the university
- The university’s expenditure rules apply to all balances in the university funds and accounts.

9.5 Context

The nature of the monies held by the university (as a public institution) leads us to distinguish between ownership of funds and decision-making rights. Ownership and governance vest with the university, while decision rights may vest in the individual or group for whose use the money was allocated, or to those who manage the activity or purpose for which the money was allocated. This will occur most commonly in the research area.
The utilisation of funds must comply with terms and conditions specified by the grantor, must conform to tax (and other relevant and applicable) law, and must not jeopardise the status of any other process or action of the university, e.g. impact on the tax (or tax-free) status of a research or any other activity, or of the university.

9.6 Procedures Private work

The university funds may not be used for private work transactions. Any payment by a private work client for private work must not be made to the university, but to the person who does the private work. It is important to distinguish private work (work done by an individual or group for a third party) from contract work done by that individual or group for a third party in the name of the university: in the first case payments are made to the individual or group; in the latter, a contract is entered into between the university and the third party and payment is made to the university. There are two reasons for this:

- The money does not belong to the university if it is a private work transaction.
- A client making payment to the university or private work may erroneously conclude that the university accepts responsibility and liability, especially professional liability, for the work done privately by a member of staff in a private capacity. (The university’s professional indemnity insurance cover does not cover the staff member doing private work.)

[Refer the university policy on private work Section 18 Chapter 7]

9.7 Research and extension service contracts

- Contracts of this kind have to be between at least two legal bodies. The contract must therefore be between third parties and the university (faculties, departments, units and institutes are not legal bodies for these purposes).
- Work done at the university in fulfilment of these contracts is the university work and not private work.
- All financial transactions related to such contracts must be operated through one or more the university funds.
- The contract price will sometimes exceed the cost of fulfilling a contract. Any remaining balance constitutes the university funds, available to further the university work at the
discretion, usually, of the person responsible for the contract, or the head of department, subject to the university expenditure rules.

9.8 Cheque payments to the university for non-university work

- If a client erroneously makes a cheque for private work payable to the university, instead of to the individual who did the work, the cheque has to be returned to the client to correct the error. Banks do not accept any changes to cheques.
- In some cases staff doing private work may decide not to charge a fee, but instead ask the client to make a donation to the university, for example for financial aid, or for the university’s endowment fund. In such cases the cheque would correctly be made payable to the university, and the payment will be acknowledged as a donation, the receipt and donations’ voucher being made out in the client/donor’s name.

9.9 Cheques made payable to individual staff

- If a third party contractor (who has a contract with the university), erroneously makes a cheque payable to the university staff member instead of to the university, the staff member may not endorse the cheque to the university. The contractor has to issue a new cheque in the university’s favour. (In addition to being a Bank requirement, cheques payable to the staff members may give rise to tax liabilities on their part, and complicate the university’s VAT position.)
- If a private work contractor correctly makes a cheque payable to a staff member for private work done, he/she may not endorse it to the university in order to reimburse the university for costs incurred. The staff member has to issue a cheque to the university for the required amount. (Currently, the required payment for use of the university facilities and equipment is 15% of the contract amount, unless a cost recovery arrangement is in place.)

(In any of these cases, the South African Revenue Services may regard the payment as having been received by the staff member as taxable income; repayment of this to the university may be claimable as an expense.)
9.10 Acquisitions and assets

All acquisitions made, and any and all assets purchased using the university funds or accounts are and remain the property of the university, including but not limited to computing equipment and software, photographic equipment, communication equipment (all forms of cellular phones) and books. The private use of such equipment may lead to a tax liability in the hands of the user.

9.11 Private acquisitions

Except where specifically approved by the Head of Procurement & Payment Services, the university funds are not to be used for private acquisitions, for example, to buy a fridge by having the university pay for this and then have the staff member repay the university the full amount
NEW UNIVERSITY POLICY

10. HANDLING CASH

POLICY REFERENCE: F045

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10.1 Objective

To ensure procedures and internal controls are in place to prevent the mishandling of University funds and safeguard and protect employees from inappropriate charges of mishandling funds, by defining their responsibilities in the cash handling process.

10.2 Scope

Includes activities at all campuses and all locations at which University business is conducted. It excludes the management of petty cash and activities funded by staff collected cash, such as tea clubs and social events.

"Cash" is defined as coin, currency, cheques and credit card transactions.

Applicable to All the university staff, students, organizations and individuals that are entrusted with the receipt, deposit or reconciliation of cash in any form on behalf of the university

10.3 Additional information

- An awareness of the special precautions is required when handling the more exchangeable forms of money, like cash and uncrossed cheques.
• Staff who are assigned cash handling responsibilities should be appropriately trained and be aware of relevant policies and procedures.
• The insurance rules covering the loss of cash are stringent. To be adequately covered, each HOD has to provide the Insurance office with specific information annually.
• Any monetary loss as a result of non-compliance with this policy is deemed to be gross negligence and could be cause for disciplinary action.

10.4 Policy & Procedure

A. Collecting & receipting
B. Depositing
C. Reconciling & monitoring

In addition to the above:

10.4.1 General guidelines on safeguarding

• Cash must not be sent through the internal mail.
• Administrators not directly involved in the cash handling process (e.g. area finance managers) have the responsibility to periodically evaluate internal procedures to ensure that reasonable controls exist to safeguard cash, and that employees understand and follow them.
• The cash on hand should be “spot-checked” periodically.
• Campus Protection Services must be notified promptly of any losses due to theft. The Internal Audit Office should be notified if misappropriation by an employee is suspected.
• If necessary, insurance cover must be obtained, and excesses set on claims.
• To ensure adequate insurance coverage, the Insurance Office requires annual notification from the HOD of the approximate maximum amount of cash to be held in the department at any time during the year and confirmation that written procedures are in place to ensure the safeguarding of cash.

The HOD has to ensure all policies and procedures are communicated to and implemented by the responsible individual(s), including research staff. The area finance manager has to ensure reasonable controls exist to support the implementation policies.
10.4.2 Collecting & receipting

Policy Collecting & receipting

• All cash received must be recorded in writing on receipt.
• All mail that could contain cash should be opened by a minimum of two people.
• The same person must not be responsible for both receiving and receipting the cash.
• A form of printed receipt must be given for cash received. An email acknowledgement is acceptable.
• Cash must be safeguarded at all times.
• No payment may be made from the cash received.

Procedure Collecting & receipting

• All cash received must be recorded. Depending on the volume and amount of cash received, this may be done by issuing pre numbered receipts to the customer, or by recording the transaction using any method established or approved by the HOD (e.g. in a book).
• For each receipt at least the date, customer, service/product, amount and cheque number (if relevant) must be recorded.
• Records of cash collections must be kept in a safe place separate from the cash.
• The HOD must countersign all void cash receipts or changes to other records.
• Cash collections must be kept in a safe, secure place until they are deposited.
• Locked cash boxes, desk drawers, filing cabinets and safes all provide varying degrees of security. The amount of cash on hand/collected/received will determine the level of security required.
• Combinations or keys to safes and other cash storage facilities should be restricted to the custodian of the cash and a designated backup.
• Cheques received must be made payable to “The University” and not be stale or post-dated

10.4.3 Depositing

Policy Depositing

• Cash must be deposited promptly into an authorised the university account.
• Foreign currency deposited at the university cashiers will be converted at the university rate quoted at that time.
• Exchange rate differences will accumulate against a single general ledger (GL) account to provide for potential currency loss.

Procedure Depositing

A. General

• The amount of cash handled will determine whether cash is deposited daily, weekly or bi-weekly. Where significant, deposits should be made no later than 14:00 on a Friday afternoon. It is the responsibility of the HOD to implement procedures for public holidays, long weekends and other similar periods/breaks.
• The depositor must complete form SD002 - Receipt Requisition - for all deposits (at the university or a commercial bank).
• The cash must be counted and the total recorded in the appropriate space on the form.
• The cash counted must be reconciled to the cash collection records before it is deposited. Any discrepancy must be recorded, followed up and resolved, but not delay the depositing of the cash.
• Cash may be deposited at the university Receipts Cashier. The cash must be counted in the presence of the depositor and a computerised receipt issued for that amount, which must agree to the SD002 form.
• Alternatively, the depositor can make a deposit directly into an authorised the university bank account. It is very important that in this case the deposit slip, together with the completed SD002 form be sent to the Receipts Cashier to be able to allocate the deposit to a the university fund. (The depositor should keep a copy of the deposit slip for his/her records).
• The number and amount of the receipt obtained from the Receipts Cashier or the bank stamped deposit slip must be entered against the total for the cash deposit in the cash record.
• Adequate security measures should be implemented when transporting cash, even within the university grounds, even to the extent of using security services
• In cases where the depositor hands over the cash to someone else to take to the cashiers or the bank, that person, or security company, should sign the SD002 form as evidence of his/her agreement as to the cash received.
B. Foreign currencies

• The general procedures as detailed above apply.

The university currency conversion rate will be calculated by the Finance Department.

10.4.4 Reconciling & monitoring

Policy Reconciling & monitoring

• Receipts and deposits should be reconciled, at least on a monthly basis.
• Adequate separation of duties must exist for cash collecting, depositing and reconciling. [In smaller departments the handling of cash should be separated from the reconciliation.]
• Voided cash receipts should be reviewed on a regular basis.
• A person not involved in the cash handling process should authorise and monitor the process at regular intervals.

Procedure Reconciling & monitoring

• The cash collected should be counted and balanced to the cash record at the end of each day.
• Where relevant, cash should be reconciled prior to handover to another person (e.g. for the next shift or to a backup).
• The person responsible for the reconciliation function must review/check the accuracy of records on a regular basis, including that the totals receipted and deposited agree.
• The cash deposits listed in the monthly financial reports should be reconciled to the department’s records of cash collections.
• A dated and signed record of the reconciliation should be prepared and filed. Any material differences in the reconciliation must be recorded, investigated and resolved.
• If pre-printed the university receipt books are used, the unused books should be kept in a safe place under the control of a person other than those involved in the collecting receipting of cash.
PROCUREMENT
11. TENDER POLICY

POLICY REFERENCE: F050

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11.1 Purpose

The purpose of this Tender Policy is to establish a framework that will ensure that a tender process carried out by the university will:

1. Provide delivery of best value for money in acquisition and tendering of goods and services;

2. Ensure that the procurement system and the tendering process at the university are cost-effective, consistent, fair, equitable, transparent and competitive;

3. Ensure that the procurement system and the tendering process at the university are compliant with the regulatory framework of all relevant legislation and university related policies; and

4. Enable the university to use best practice in the application of ethical standards.

11.2 Scope

This policy applies to all the university faculties, departments, units, sites delivery, business units, staff members, students, contractors/suppliers, which are university service providers, and any other committee mandated to deal with tendering process at the university.
11.3 Definition of concepts

**Approval/Approved** will mean the university’s written recommendation of the tender by the Tender Committee and subsequent Executive Management Committee approval.

**Buyer** will refer to the university, including its own duly authorised representative, successors and assignees.

**Closing Date and Time** will refer to the last day and time set out in the advertisement that tenders may be submitted.

**Contract Content** will refer to the university’s tender conditions and specifications as agreed with the successful tenderer.

**Contract Price or Price** will mean the price quoted by the tenderor and accepted by the university for the execution of the contract.

**Delivery Date** will mean the date as stipulated in the contract for the delivery of goods, rendering of services or completion of projects.

**Goods and/or Services** will refer to the machinery, equipment, apparatus, rental of buildings, materials, services or consultancy/professional services that must be provided in terms of the contract.

**Institution/Institutional** will mean the university.

**The university** will mean the university.

**Specification(s)** will refer to any specifications as drawn up by the university that are provided together with tender documents.

**Tender Address** will mean the address as stipulated in the tender advertisement.
**Tender Committee** will refer to the committee constituted to be a sub-committee of the university’s Standing Committee of Council, the Finance and Remuneration Committee.

**Tender Document(s)** will mean the documents (forms) as prescribed by the Tender Committee, including any other documentation submitted by the tenderer to the university in response to a specific invitation to tender.

**Tender Register** will mean the hard-copy (bound) book in which the details of tenders received are recorded and are signed for by the Head: Assets, Acquisition and Management department or his/her nominee.

**Tenderer** will mean a person who responds to a specific invitation to tender by formally submitting a tender at the designated tender address before the closing date and time, including the tenderer’s personal legal representative, heir, successor and assignees.

**University** will mean the XX university.

**VAT** will mean Value Added Tax.
11.4 Principles

The university will ensure:

i. Equitable treatment of all tenderers with respect to timely submission of bids and fair execution of awards and that tendering function is specification-driven;

ii. To compile all tender documents in English;

iii. That departments requiring a tender process, submits documents at least five (5) working days prior to it being advertised. Tenders will be advertised for a minimum of ten (10) working days before closing date and time;

iv. That tenderers are invited to tender through a tender process using the following limits:
   - The minimum of three (3) quotes will be admissible;
   - The awarding of tenders over R250 000 excluding VAT per purchase, will be advertised on the university Website and local and national newspapers; and
   - Prices of all goods and/or services are quoted in South African currency and are in accordance with VAT legislation;

v. That should the description, specifications or scope of a tender request change before the closing date; such information will be communicated to all potential tenderers by the Head: Assets, Acquisition and Management department. A reasonable time will be allowed to enable all tenderers to rectify their quotes. Should for any reason the closing date for submission of a tender is extended, the Head: Assets, Acquisition and Management department will notify all potential tenderers of the new extended date;

vi. That tenders from preferred service providers will be procured according to purchasing deadlines and the minimum lead period for tenders as advertised;

vii. That tenders are, considered valid for up to ninety (90) days. During this period, a tender may not be withdrawn. The Vice-Principal: Administration may approve the extension of a tender where additional products/service of a homogenous nature are required up to 90
days of such tender approval, provided there is no increase in the original price, except due to an increase in the foreign exchange rates;

viii. That all tenders and sealed quotations are centrally administered and procured on the standard university tender document that describes specific terms and conditions of the university Tender purchases by the Assets, Acquisition and Management department;

ix. That all tender documents are returned to the Head: Assets, Acquisition and Management department, where they will be filed and entered into a tender document flow register;

x. That the Assets, Acquisition and Management department is responsible for purchasing for the university all goods and services, locally as well as internationally;

xi. That all goods and services are acquired within approved unit budget and are subject to approval in terms of the university expenditure and maximum levels of that expenditure authorised by the officers within levels delegated by the university Council and/or Vice-Principal: Administration and/or designate:
   - the HoD will authorize up to R10 000, excluding VAT per tender value;
   - the Dean will authorize up to R20 000, excluding VAT per tender value;
   - the relevant Executive Management Officer will authorize up to R50 000, excluding VAT per tender value;
   - the Vice-Chancellor and Principal will authorize between R50 001 and R250 000, excluding VAT per tender value; and
   - the Tender Committee will approve and award tenders whose value exceed R250 000, excluding VAT per tender value;

xii. That a consistent, uniform application and standard approach is applied with regard to the provision of efficient, economical and ethical use of university resources;

xiii. That the university’s membership with Purco also benefits the university’s tendering process in being fair, effective, efficient, equitable, cost-effective, transparent, open, and competitive;
xiv. That appropriate risk management practices and procedures are in place for procurement, tendering and contracting activities including requirements of accountability, risk identification, assessment and implementation of internal controls; and

xv. To build, maintain and develop the best possible value and appropriate relationships with all the university Service Providers and achieve value for money through the optimum combination of life cycle cost and best quality.

11.5. Scope of the tender committee

At the university, the Tender Committee shall be a Sub-Committee of the Finance Committee. The scope of the Tender Committee will be:

v. To adjudicate on tenders;

vi. To ensure acceptable business practices, competition, and public acceptance of the university’s tendering process;

vii. To ensure that SMME’s and B-BBEE suppliers are, supported to participate fully in the tendering process;

viii. To ensure that a formal scoring system is used in the evaluation process;

ix. To cancel without prejudice to any other remedies the university may have, and at the sole discretion of the university, any contract and/or tender awarded on account of false information furnished by the tenderer in order to secure a tender; and

x. To ensure that all deliberations and outcomes of the tenders are confidential, and communication with tenderers is effected by the Head: Assets, Acquisition and Management department within fourteen (14) days of the date of the final decision by the university Executive Management Committee.
11.6. **Membership of the tender committee**

- The Chairperson of the Finance Committee of Council;
- An external Council Members;
- The Deputy Vice Chancellor: Administration;
- The Senior Director/Director: Finance;
- The Head: Assets, Acquisition and Management (Non-voting);
- The Registrar (Non-voting); and
- The Advisory Member: The Chairperson shall have the option to co-opt an individual, consultant or specialist in the event of him/her requiring additional expertise.

11.7. **Responsibility of the tender committee**

The Tender Committee will be responsible for:

v. Administering the tender process to the value in excess of R250 000 in terms of the Procurement and/or Tender Policy;

vi. Evaluating any deviations in respect of the Procurement and/or Tender Policy and making recommendations to the Executive Management Committee;

vii. Developing administration procedures in respect of the Procurement and/or Tender Policy;

viii. Reporting to the Executive Management Committee;

ix. Appointing the members of a tender working committee from a list of names proposed by the project initiator;

x. Approving the tender specifications prior to advertising of the tender;
xi. Approving the tender evaluation criteria and point allocation process prior to the advertising of the tender;

xii. Considering, the recommendations of a tender working committee regarding a specific tender and making recommendations to the Executive Management Committee; and

In case of emergency, an expense may be approved only if the Vice-Principal: Administration, the Senior Director: Finance and the Vice-Chancellor have approved either by meeting or by round robin and written approval by email or fax before such and award is made. (An emergency will be defined as a situation which, will result in catastrophic service disruption or unnecessary incremental cost to the institution if the contract and/or order is not implemented immediately. This will imply that the approval cannot wait until the next scheduled Tender Committee meeting or the convening of an ad hoc Tender Committee meeting at a suitable time. These instances are, by definition, extremely rare). The decision as well as reasons for taking such actions will serve at the next Tender Committee meeting. The Tender Committee will still consider such contracts and/or order in the normal course of events and make their findings known to the Executive Management.

11.8. Policy context

This policy is informed by the following documents:

- Based Black Economic Empowerment (B-BBEE) Act, 2003 (Act No: 53 of 2003);
- The Competition Act, 1998 (Act No: 89 of 1998);
- The Constitution of the RSA, 1996 (Act No: 108 of 1996);
- Employment Equity Act, 1998 (Act No: 55 of 1998);
- Hazardous Substances Act, 1973 (Act No: 15 of 1973);
- Higher Education Act, 1997 (Act No: 101 of 1997);
- Insolvency Act, 1936 (Act No: 24 of 1936), as amended;
• The King Report II on Corporate Governance for South Africa, 2002;

• The university Code of Conduct for Council Members;

• The university Code of Conduct for Service Providers;

• The university Council’s Delegation of Authority Document;

• The university Procurement and Expenditure Policy;

• Occupational Health and Safety Act, 1993 (Act No: 85 of 1993);

• Preferential Procurement Policy Framework Act (PPPFA), 2000 (Act No: 5 of 2000);

• Prevention and Combating of Corrupt Activities (PRECCA) Act, 2004 (Act No: 12 of 2004);

• Procurement Policy: Unisa, 2009;

• Procurement Policy: Vaal University of Technology, 2009;

• Purchasing and Tender Policy: Stellenbosch University, 2009;
• Promotion of Access to Information Act, 2000, as amended;

• Promotion of Administrative Justice Act, 2000 (Act No: 3 of 2000);

• Protected Disclosures Act, 2000 (Act No: 26 of 2000);

• Public Finance Management Act (PFMA), 1999 (Act No: 1 of 1999), as amended; and

11.9. Custodianship

The Senior Director: Finance will be the custodian for this policy.

11.10. Policy review

This policy will be reviewed as and when required. It may not be changed without the approval of Council, unless a change is immediately necessary due to a change in the laws of the Republic of South Africa.

11.11. Procedures

11.11.1. Submission, receiving and opening tender documents

A fair and transparent tendering process shall be followed for the submission, receiving, opening and processing of tenders:

v. Properly completed tender documents must be submitted in a sealed envelope. The sealed envelope must not contain any documents other than those indicated on the envelope. The tenderer must include applicable information (by means of appropriate documents) substantiating the requirements as set out in the advertisement in order to enable the university to consider and investigate any technical particulars that require clarification in the tender;

vi. The tender number, closing date and time, and a description of the relevant goods and/or services tendered for, must be clearly indicated on the envelope;

vii. Tender documents must be deposited in the tender box, which will be situated at the entrance to the university as stipulated in the advertisement, on or before the stipulated cut-off date and time. The tender box shall not be opened until the set date and time for opening it. Tenders received after the cut-off date and time will not be considered and such documents will not be returned to the tenderer unless a request is received from that particular tenderer who shall bear all costs for such request;
viii. Tender box will have two (2) locks with different keys. One key will be in the custodianship of the Senior Director: Finance department or his/her nominee and the other will be kept by the office of the Vice-Principal: Administration;

ix. The format of all tender documents is standardised. All tender documents must be typed, printed and/or completed in black ink. Any tender document completed in pencil will not be accepted. Use of correction fluid and/or improperly initialled alterations will disqualify a tender;

x. All tender documents, as well as all annexures, must be signed by a properly authorised signatory of the tenderer. The tenderer must confirm that its signatory has the authority of the legal entity to sign the applicable documents, by attaching a certified copy of the relevant resolution of the legal entity;

xi. Tenderers must include adequate or certified documentation indicating that the goods offered comply with the specifications. They must stipulate the country of origin and the name of the manufacturer(s) of the articles offered. They must clearly indicate, in a separate annexure together with applicable substantive documentation, alternative equivalents or substitutable articles that comply with the specifications. Preference will be given to articles bearing the South African National Standards (SANS) stamp. The university will however, retain the right to have the article/articles tested by the SANS at the tenderer’s expense if, according to the university, it has been found that the article/articles offered does/do not comply with the specifications. The test must be carried out before the Tender Committee makes its recommendation;

xii. The tender box will be opened after the advertised cut-off date and time by three (3) people, one from the Assets, Acquisition and Management department, one from the office of the Vice-Principal: Administration and a member of the staff of campus security. At this stage, the number of sealed tenders received will be recorded in a Tender Register and stamped with a time and date stamp. At least two (2) people witnessing this process will confirm this by signing such documents. No further work will take place by then;
xiii. The tender envelopes will be opened by the 2 people mentioned in section 11.1.8 above (excluding campus security), who will compile a list of tenderers into 2 categories:

- Those **conforming** with the requirements of the tender; and

- Those **not conforming** (non-conformance) will be any one under the following conditions, if there will be:

xiv. No valid tax clearance certificate. Tax certificate will be valid for 6 months only after tender closing date;

xv. No official confirmation of BEE status;

xvi. No written confirmation for declaring existence of a conflict of interest;

xvii. No original signed Code of Conduct for Service Providers;

xviii. No provision for the specific supporting documentation requested by that tender; and

xix. No checklist of the requirements pertinent to the specific tender complied and completed by the tender openers for consideration by the full tender committee;

xx. In determining their recommendation of which contractor and/or supplier will be awarded the business, the Tender Committee will ensure:

- That the Institution’s BEE policy has been considered and properly applied. A certificate from a recognized BBEEE rating agency will be most useful in this regard, but will not be the absolute prerequisite;

- That the information regarding possible conflicts of interest by Council members, Executive Management staff and the staff members at the Assets, Acquisition and Management department, and any other possible conflict by any staff, have been considered and recorded in the minutes;
That the full contract has been regarded as one event for the purposes of award i.e. that the contract has not been split into minor components to either avoid the proper authorization channels or to award the business to someone who would otherwise not qualify due to capacity constraints or BEE considerations (e.g. R5 million turnover exclusion) etc;

That where possible, elements of the contract have been extracted for consideration on their own merits e.g. where a building contractor includes items of procurement which could be purchased through the Institutional procurement function and, on which the contractor would normally add a mark-up. Such items should be priced by the Assets, Acquisition and Management department directly and compared with the Contractor’s tendered price. No used or second-hand material will be accepted. Removal of rubble and other building material, on completion of services, will be the responsibility of the Contractor and appropriate provision should be made for this;

That the university’s business is fairly distributed among a number of contractors and that no one contractor is unduly favoured indefinitely;

That the Service Provider is willing to subscribe to the South African frameworks regulating labour and employment issues; and to adopt the university’s Code of Conduct for Service Providers;

That each tenderer accepts that the university subscribes to the principles of Broad-Based Black Economic Empowerment Act 53 of 2003 and the university’s Codes of Conduct; and

That the Executive Management Committee will monitor expenditure on suppliers to ensure adherence to Broad-Based Black Economic Empowerment Act 53 of 2003 and the university’s Codes of Conduct;

xxi. All matters pertaining to the tender after opening the sealed tenders shall remain confidential until the successful tenderer is informed of the outcome. Under no circumstances must the contents and price of one tender be made known to other tenderers. Any university employee
who breaches and/or member of the Tender Committee who breaches this provision will be guilty of gross misconduct and any tenderer breaching confidentiality will be disqualified;

xxii. The university reserves the right to accept, at its sole discretion, any tender in its entirety or only partly, irrespective of whether or not it is the lowest bid;

xxiii. The university will not be liable for any financial expenditure incurred in drawing up the tender, or in respect of any steps taken by the tenderer in drawing up such tender;

xxiv. The university will determine the non-refundable tender fee payable by all tenderers. Such fee will be indicated in the call for tenders;

xxv. The university reserves the right not to award a tender;

- Once a tender has been awarded and the unsuccessful tenderers have been advised, there will be a window period of five (5) days after such notice for an unsuccessful tenderer to appeal the decision. Such an appeal will be made to the Vice-Principal: Academic (a neutral officer) who will make a decision based on the facts or convene a tribunal of relevant parties to assist in the arbitration. Appeals will be considered only if it transpires and can be proved, that a fundamental tenet of the originally submitted tender has been overlooked or misunderstood by the Tender Committee. Under no circumstances will new or changed information be considered during the appeal;

xxvi. The university Executive Management Committee’s decision in awarding a tender is final. The outcome of the tender will be communicated to all participating tenderers. No additional correspondence will be entered into regarding the adjudication process;

xxvii. The office of the Vice-Principal: Administration will maintain a database of contracts awarded and will on a quarterly basis, provide cumulative information regarding contracts awarded during the previous rolling five years period. This database will carry information of the university’s BEE procurement on a global scale, will be utilized as a first source of reference, and will be reportable to the Tender Committee and the Executive Management Committee on a regular (quarterly) basis:
• ICT department will develop specific software for this important activity;

• Sourcing suppliers outside the approved database will be exceptionally considered if:
  o There are insufficient suppliers for a specific product and/or service in the database; and
  o There is sufficient evidence that a supplier listed in the database does not have the capacity to deliver the required product and/or service in the quantity required or within the time required for such delivery;

• In the case of a single/sole contractor or supplier, the onus is on the requesting department to ensure that authentic proof is submitted and that the Head: Assets, Acquisition and Management department will attend to the necessary due diligence in this regard. In any event the approval of a single/sole contractor or supplier will still be subjected to the principles and procedures contained in this Tender Policy;

• Any contractor or supplier will be blacklisted and precluded from any further dealings with the university in instances of obvious window dressing for BEE purposes; and

xxviii. On a quarterly basis, the Tender Committee will be provided with information regarding contractor and/or supplier performance against contracts awarded, in order to assess whether to institute proceedings against a contractor or supplier in respect of poor performance, damage, non-delivery or non-performance and/or a transgression of a Code of Conduct for Service Providers. Such information will assist in detecting whether to use the same contractor or supplier in the future. This information will include the physical aspects of performance as well as the final financial status of the contract. To this end, the office of the Vice-Principal: Administration will have to liaise with the office of Senior Director: Finance regarding contract finalisation;

11.12. Other tender matters

By submitting a tender, the tenderer confirms that he/she is aware of all prescriptions and circumstances pertaining to the tender, and that the goods and/or services offered are as stipulated by the specifications:
11.12.1.  Samples

v.  Where submissions of samples are a requirement of the tender, such samples will be submitted to the Assets, Acquisition and Management department as and when requested. Failure to adhere to this requirement will render the tender invalid;

vi.  Such samples will be retained for the full duration of the contract so that they may be referred to in the event of a dispute;

vii. Tenderers must state clearly whether or not the samples must be returned. Should there be no indication in this regard the samples will be retained without any liability being assumed for them;

viii. Any costs incurred in returning the samples will be for the account of the tenderer; and

ix.  The university will not be held responsible for any loss or damage suffered due to the destruction and/or loss of the samples whilst in the possession of the Assets, Acquisition and Management department.

11.12.1  Inspection Rights

i.  The university retains the right to test or inspect, at any time during the manufacturing process, all goods to be delivered according to a contract to ascertain the quality of the material used as well as the finishing of the products; and

ii.  Such inspection and/or test will be deemed to be merely for the purpose of satisfying the university as to the aforementioned and will in no way relieve the contractor of any obligation in terms of the contract.
11.12.2 Contract and/or Sub-contracting

A contract is entered into only with the tenderer and the contract, or any portion thereof, or any share or interest therein, may not be transferred, assigned or granted to someone else without the specific written permission and conditions of the university.

11.12.3 Interpretation

A contract shall be interpreted in all respects in accordance with South African law and any dispute with a tenderer will be negotiated in South Africa.

11.12.4 Cancellation of Contract

i. The university retains the right to cancel the contract summarily should the tenderer in any way fail to comply with his/her commitments;

ii. The university furthermore reserves the right to cancel the contract should it come to the attention of the university that the successful tenderer is involved in criminal activities, illegal business practices, corruption or other unethical behaviour; and

iii. Any loss incurred as a result of such cancellation shall be recovered from the tenderer.

11.12.5 Sequestration and/or Liquidation

The university has the right to terminate the contract summarily without any legal recourse by the tenderer for any compensation and without prejudice to the right of the university to institute legal proceedings because of one or more of the following events, should:

i. An order be made for the attachment of the tenderer’s estate, whether provisionally or finally, in sequestration;

ii. An application be made for such order;
iii. The tenderer applies for voluntary surrender of estate;

iv. The tenderer commits any act of insolvency as contemplated in Section 8 of the Insolvency Act No: 24 of 1936, as amended;

v. The tenderer terminates business; and

vi. A court order be made for the liquidation of such company and/or close corporation.

11.12.6 Contracting

i. The contracts arising from tenders must incorporate all legal matters and provisions set out in this Policy and must be reviewed by the university's Legal Advisor prior to signing;

ii. All contracts must be signed by a properly authorised signatory of the tenderer. The tenderer must confirm that its signatory has the authority of the legal entity to sign the applicable documents, by attaching a certified copy of the relevant resolution of the legal entity; and

iii. Completion and signature of the Due Diligence Certificate must precede the signing of any contract.

11.12.7 Acceptance of Conditions

i. Failure on the part of the tenderer to sign the tender form, and thus to acknowledge and accept the conditions in writing, or to complete the attached forms, instructions, questionnaires, service provider’s declaration and specifications in all respects, may invalidate the tender;

ii. Tenders must be submitted on the official forms and must comply with the conditions of the tender as stipulated by the university; and

iii. Failure to comply with these requirements or to renounce specifically the tenderer’s own conditions of tender when called upon to do so, will invalidate the tender.
11.13 Evaluation process

11.13.1 Tender Specification and Approval

The tender specifications and advertisements must be drawn up by the project leaders of the specific tenders in consultation with and upon recommendation of the Tender Committee;

Prior to the advertising of the tender the Tender Committee and the university Executive Management Committee must approve the following:

- Tender specifications;
- Proposed advertisement; and
- Evaluation criteria and points allocation; and

The evaluation process must be conducted by the Tender Committee.
INSTRUCTIONS TO PROSPECTIVE TENDERERS

1 Tenderers must submit tenders in sealed envelopes, clearly marked on the outside as follows:

TENDER SUBMISSION

XX University
Address:

TENDER NUMBER: ..............................................................20............... 

CLOSING DATE: ..............................................................20............... 

CLOSING TIME: ..............................................................

SHORT DESCRIPTION OF TENDER:

...........................................................................................................

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..................................................
2 Only tenders deposited in the tender box situated at the entrance to the university as stipulated in the advertisement will be considered. The university will not accept postal submissions or services of the courier companies.

3 The university does not bind itself to accept the lowest or any tender, nor to assign any reason for the rejection of a tender. The university also reserves the right to accept the whole tender or part of a tender in its decision to award a tender.

4 Payments for goods and services shall be made in terms of the agreed terms and conditions, noting that the university currently operates on a thirty (30) day payment cycle and that payments are only made at the end of each month.

5 Qualifying Small Enterprises (QSEs) and Exempted Micro Enterprises (EMEs) may motivate to the university for settlement of invoices within a period of ten (10) to fifteen (15) days to assist in the development of this group of suppliers. This will be subject to payments being within the month end payment cycle and the less than thirty (30) day discount requirements of the university.

6 The signed terms and conditions as set out in the tender document must be clearly set out in the call for tenders, together with the general terms and conditions of purchase.

7 The university deems that a tender is valid for a period of ninety (90) calendar days from the closing date of a tender, unless specified otherwise.

8 Should a supplier provide goods that are not in accordance with the original specifications, the university reserves its right to request remedy in terms of same or reject such goods
without any liability to the university. In addition all costs to determine compliance through any quality or testing agency will be for the account of the defaulting supplier. Tenderers may not under any circumstances and for any reason whatsoever, change specifications or substitute products without consulting the university.

9 All drawings supplied to the tenderer remain the intellectual property of the university and may not be used by suppliers for similar engagement elsewhere without the written approval of the university.

10 Successful contractors, who will undertake on-site contracting, must complete an indemnity or payment agreement before commencing any contract at the university.

11 Tenderers who have not received any notification within thirty (30) days after the tender meeting, should assume that they have not been successful. Successful tenderers will be informed or notified by the Head: Assets, Acquisition and Management department within fourteen (14) days of the date the final decision by the university Executive Management Committee.
Procurement policy – explanatory notes

1) Reporting line

It is recommended that the reporting line of the Tender committee be a sub-committee of Executive Management and not a sub-committee of Fincom. Research indicated that only one institution (DUT) of those polled had it as a sub-committee of Fincom. The large established Universities (e.g. Stellenbosch) form ad hoc committees as the need arises and co-opt specialists from within the institution to provide the necessary technical expertise. After that the results of the tender become subservient to the Procurement policy. It will be very difficult to get external members of the finance committee to attend regular meetings, however frequent or infrequent

2) The value required to go to tender at SA universities ranges from R100k for Opex and R500k for Capex, to R150k for anything to R1 million. It is proposed that in the early stages at the university, as many contracts will have to be re-negotiated, reviewed, implemented from scratch, a limit of R100k be adopted. This is the equivalent spend over the life of that contract. So, for example a 3 year contract at R3000 per month resulting in a total spend of R108000, would fall into this net.

3) As regards who should chair, there are as many answers as there were institutions surveyed. The recommendation here would be that the chair should be a member of Rectorate (not the FD) with no interest in the contract being tendered for. Having 2 or 3 possible chairs to draw from makes sense from a logistics point of view.
4) External members – other than DUT, no other university polled had any external members on their tender committee
5) Quorums tend to be 50% of members.

PROPOSED TERMS OF REFERENCE – TENDER COMMITTEE

1. The Tender Committee is a sub-committee of the Executive Management

2. The Tender Committee’s function is to evaluate all proposed expenditure in excess of R100 000 and make a recommendation to the Executive Management as which contractor/supplier should be awarded the business. The final decision vests with the Executive management unless the value exceeds the Executive Managements’ delegated authority, in which case the delegation document defines he authority required.

   This applies even if there is only one supplier available.

If the final decision of the Executive management is different to the proposal from the Tender Committee, cogent reasons must be given and these reasons documented in the Executive management minutes.

(There are instances where expenditure in excess of R100 000 is incurred in the normal course of business e.g. municipal charges, certain annual business expenses like audit fees, insurance etc. these are signed off on the invoice by the Executive Management member concerned (up to R100 000) and the VC if in excess of R100 000. There are usually contracts or agreements in place for these, however, even these should be re-tendered at least every 3 years. Therefore, by definition, the items that need to serve at the tender committee are those items where a new contract is being negotiated or renewed and/or there is a variation to an existing contract. If there is any doubt, the item should serve at the Tender Committee and that committee will decide whether a tender process is to be implemented or whether the Executive Management member concerned can merely go ahead and sign the invoice).

3. The membership of the Tender committee shall comprise:
   - Chair – Member of the Executive management with no interest in the contract under discussion
   - Executive Director of Finance
   - Representative of the Deans
- Representative of the Unions
- Representative from the Central SRC (two members of the SRC to be nominated although only one shall attend meetings)
- Representative of the Registrar’s office (legal)
- The Management accountant (budget compiler) for budgetary considerations
- The affected party requesting the service/supply. These affected parties will motivate the expense and any specific issues of which the tender committee should be aware e.g. specific technical reasons why a specific supplier must be considered.

(Note: No meeting shall be held in the absence of the both Executive Directors)

4. The secretariat of the tender committee shall be in the office of the Registrar

5. All meetings of the tender committee shall be minuted

6. A quorum shall be 50% of the members in 3 above and, in the event of a dispute the Chair shall have a casting vote

7. Tenders shall be placed in a locked box which shall be situated at the entrance to the university. The box shall have 2 locks with different keys. One key shall be in the custodianship of the Finance department and one in the Registrars department.

8. Two people shall be present at the opening of the box. At that point i.e. at the box, the number of tenders received shall be documented. No further work needs to take place there

9. The tender envelopes are then opened in the presence of at least 3 people, one of who shall be from the secretariat and one from procurement.

10. This group of people shall compile a list of tenderers and such list shall be in 2 sections:
    - Those conforming with the requirements of the tender
    - Those not conforming

    (Non-conformance can be any one of the following:
    - No valid tax clearance certificate – must be valid for 6 months after tender closing date
    - No official confirmation of BEE status
- Written confirmation of no conflicts of interest or, where there is such a conflict, full
details thereof
- Signed Supplier Code of Conduct
- Specific supporting documentation requested it the tender

11. In determining their recommendation of which contractor/supplier to award the business, the
tender Committee shall have regard to the following:
- That the Institution’s BEE policy has been considered and properly applied. A
certificate issued by a reputable rating agency would be most useful in this regard,
but is not an absolute prerequisite. (Note: this policy will form part of the overall
procurement policy still to be finalized within the finance function)
- That the information regarding possible conflicts of interest by Council members,
Executive staff and Operations department and Procurement department staff, (and
any other possible conflicts by any staff), have been considered and recorded in the
minutes.
- That the full contract has been regarded as one event for the purposes of award i.e.
that the contract has not been split into minor components to either avoid the proper
authorization channels or to award the business to someone who would otherwise not
qualify due to capacity constraints or BEE considerations (e.g. R5 million turnover
exclusion) etc.
- That, where possible, elements of the contract have been extracted for consideration
on their own merits e.g. where a building contractor includes items of procurement
which could be purchased through the Institutional procurement function and, on
which the contractor would normally add a mark-up. Such items should be priced by
the Procurement department directly and compared with the contractor’s tendered
price.
- That the Institutions business is fairly distributed among a number of contractors and
that no one contractor is unduly favoured indefinitely.
- The contractor/supplier’s willingness to adopt the institutions “Supplier code of
conduct”.

12. The secretariat shall maintain a database of contracts awarded and shall on a quarterly basis
provide cumulative information regarding contracts awarded during the previous rolling five
year period.
13. The Tender Committee should be provided with information regarding contractor/supplier performance against contracts awarded, in order to assess whether to institute proceedings against a contractor/supplier in respect of poor performance, damage or non-delivery/performance. Such information would assist in detecting whether to use the same contractor/supplier in the future. This information will include the physical aspects of performance as well as the final financial status of the contract. To this end, the Operations department will have to liaise with Finance department regarding contract finalisation.

14. The Tender Committee shall meet at least fortnightly and more often if required.

15. The Tender Committee secretariat shall ensure that documentation for consideration at the tender committee shall be served on the committee at least 3 working days before the meeting. The documentation shall comprise all the necessary information for the committee to make a decision. The BEE status of the proposed contractor/supplier and all the relevant costings must, as a minimum, form part of this documentation – it is not a function of the secretariat to determine the BEE status of any contractor/supplier. They merely summarise information on behalf of the Tender Committee, but all such information must be made available to the committee in order for them to make their own assessments.

16. Minutes of all Tender Committee meetings must be kept. Specifically, decisions regarding awards and the reasons for not awarding to others must be well documented. Any action item on the minutes must be actioned before the next meeting.

17. The Tender Committee must take into account that before a final award can be made, the legal department need to be consulted regarding the contractual elements of the award and the financial department must be consulted regarding the commercial elements.

18. In case of emergency, an expense may be approved only if an Executive Director, the Executive Director Finance and the VC have approved either by meeting or by round robin and written approval by email or fax before such and award is made. (An emergency is defined as a situation which will result in catastrophic service disruption or unnecessary incremental cost to the institution, unless the contract/order is immediately implemented. This would imply that the approval cannot wait until the next scheduled Tender Committee meeting or the convening of an ad hoc Tender Committee meeting at a suitable time. These
instances are, by definition, extremely rare). This must serve at the next Tender Committee meeting together with a reason for such action. The Tender Committee must still consider these contracts in the normal course of events and make their findings known to the Executive Management

19. Any variation in an already approved contract/supply must serve at the tender committee for explanation, consideration and recommendation to Executive Management.

20. Once a tender has been awarded and the unsuccessful tenderers have been advised, there remains a window period of 5 days after such notice for an unsuccessful tenderer to appeal. Such appeal to be made to the Executive Management (or Council, but most likely Executive Management).

Appeals will be considered ONLY if it transpires, and can be proved, that a fundamental tenet of the originally submitted tender has been misunderstood by the Tender Committee. Under no circumstances may new or changed information be considered during the appeal.

21. It may happen that a particular supply is defined as being from a “sole supplier/contractor”. This should occur rarely and must be fully motivated with documentary evidence by the end user. These facts must also be verified by the Procurement department, but the procurement department cannot unilaterally over-rule the finding of the end user. The debate and findings as to whether the supplier/contractor is truly a sole supplier vests with the tender committee in consultation with end user. The debate and resultant findings must be fully documented and included with the minutes of the Tender Committee for future reference and audit purposes.
13. PROCUREMENT AND EXPENDITURE POLICY AND PROCEDURES

POLICY REFERENCE: F060

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Approved by Council on:

13.1 Purpose

The purpose of this Procurement and Expenditure Policy is to establish a framework that will guide the university, in conducting best procurement practices which, are based on the principles of honesty, fairness and integrity through the use of a transparent and a centralised procurement system that will be efficient and cost-effective in providing goods and services that meet the needs of the university.

13.2 Scope

This policy applies to all the university faculties, departments, units, sites delivery, business units, staff members, students, contractors/suppliers, which are university service providers, and any other committee mandated to deal with tendering process at the university. Procurement will cover the acquisition of all goods, capital or otherwise, all services, and works covering capital and operational expenditure, fixed assets and the appointment of consultants.
13.3 Objectives

The objectives of the Procurement and Expenditure Policy at the university will be:

13.3.1 To promote the proficient supply of goods and services through the promotion and application of best procurement practices;

13.3.2 To ensure that the university conducts business with entities that are demonstrably committed to the Broad-Based Black Economic Empowerment Act 53 of 2003, and the university Codes of Conduct;

13.3.3 To set out the rules and authority levels for the acquisition of goods and services;

13.3.4 To ensure that the university’s procurement activities are conducted in a manner that is:
   - Equitable;
   - Fair;
   - Transparent;
   - Competitive; and
   - cost-effective.

13.3.5 To source goods and services of a required quality at the right price from suitably qualified service providers/suppliers with high business ethics;

13.3.6 To meet the procurement needs of the university in a professional manner;

13.3.7 To abide by the university Codes of Conduct and the Policy on Fraud;

13.3.8 To achieve commercial equity targets as determined by Finance and Remuneration Committee of Council; and
13.3.9 To ensure the procurement of goods and services from socially and environmentally responsible suppliers subscribing to core values in the areas of human rights, labour, standards, the environment, and anti-corruption.

13.4 Definition of concepts

**B-BBEE** will mean Broad-Based Black Economic Empowerment as defined in the Broad-Based Black Economic Empowerment Act 53 of 2003.

**Confidential Information** will mean all information of whatsoever nature obtained during the procurement process and in whatsoever form, whether in writing, orally or otherwise, which is revealed during the procurement process.

**Goods and/or Services** will mean tangible goods of a capital nature or goods that are consumed in the operational activities of the university for example the machinery, equipment, apparatus, rental of buildings, materials, etc.

**Institution/Institutional** will mean the university.

**The university** will mean university

**Services** will mean the provision of skills and expertise or all services that involve consultancy and/or professional services that must be provided in terms of the contract.

**University** will mean the university.

**VAT** will mean Value Added Tax.

13.5 Principles

This policy is based on the following principles:
13.5.1 Core Values

The core values of the university form the foundation on which the university performs its business and conducts itself in its procurement activities. They shape the culture, define the character and guide the behaviour as well as the decision-making at the university.

The university will ensure to commit itself to the following core values, which will guide it in decision-making as well as in interactions between its staff, students and Service Providers:

- Respect for the law;
- Honour for the university’s core activities and support services;
- Respect for the university Community and other the university Service Providers;
- Integrity;
- Diligence;
- Efficiency;
- Accountability and responsibility;
- Equitable treatment;
- Uniform application;
- Fairness;
- Openness;
- Transparency;
- Honesty;
- Ethical decision-making; and
- All other positive attributes contributing towards sound ethical standards.

13.5.2 Centralised System

The university uses a system of centralised procurement. All procurement of goods and services will be channelled through the department of Assets, Acquisition and Management by means of a duly authorised requisition or contract. Purchases, which are below R100 will be channelled through the Petty Cash System. The following enabling pillars must be noted:

i. All procurement must be from the university approved suppliers as per the Supplier Application Form or New Vendor Application Form (Annexure "A");
ii. No supplier will be instructed to deliver goods or services before an official order number has been issued by the Assets, Acquisition and Management department or a duly authorised contract has been put in place;

iii. All invoices and delivery notes from suppliers should reflect the official the university order number and VAT number;

iv. Only the Assets, Acquisition and Management department will process or place official orders with suppliers; and

v. The Library Services department will handle its own purchasing of information resources. All other general purchasing including closed and public tenders will follow the process as indicated in this Procurement and Expenditure Policy.

13.5.3 Restrictions on Procurement of Assets

Only assets budgeted for and approved by Council will be purchased.

13.5.4 Ethical Standards and Conflicts of Interests

All procurement transactions and interactions with suppliers, including supplier selection and evaluation, are subject to the provisions outlined in this policy and in the university’s Codes of Conduct, Tender Policy and the Fraud Policy.

13.5.5 Risk Management

Council will ensure that the university establishes and maintains an effective system of risk management for identifying, considering and avoiding material risks in the procurement system.

13.5.6 Declaration of Interest

i. Any person involved in the purchasing, public and closed tender or supplier evaluation process must complete and sign the applicable Declaration of Interest Form (Annexure "B");
ii. Any person with an interest that may affect or could be seen to affect their impartiality should immediately declare the conflict of interest, in writing, withdraw entirely from the process and relinquish all further related duties to his/her line manager; and

iii. Suppliers or their employees may not in any way participate or influence the specifications or standards set for goods and services to be procured. A Declaration of Interest form as attached to the Supplier List Application Form/New Vendor Application Form must be completed by all suppliers.

13.5.7 Confidentiality and accuracy of information

13.5.7.1 The confidentiality of information received in the procurement process should be respected;

13.5.7.2 Specific details of suppliers’ bids must not be divulged, unless it is in accordance with the Promotion of Access to Information Act, 2000 (Act 2 of 2000) and then only through the Department: Legal Services; and

13.5.7.3 All members of the Assets, Acquisition and Management department and all committee members serving on procurement-related committees or attending procurement related meetings must sign the Confidentiality Procurement Process Form (Annexure "C").

13.5.8 Preferential Procurement

The university will ensure to promote, accelerate and support the procurement of goods and services from B-BBEE suppliers in line with the appropriate legislation and its preferential procurement policy.

i. Contract and/or Sub-contracting

A contract will be entered into only with the tenderer and the contract, or any portion thereof, or any share or interest therein, will not be transferred, assigned or granted to someone else without the specific written permission and conditions of the university.
13.5.9 Business gifts and hospitality

No university employee may accept any gift, hospitality or other inducement that may influence them in their decision-making responsibilities, or that may be seen to influence them in their decision-making responsibilities. Any such attempted inducements must immediately be reported to the Vice-Principal: Administration.

13.6 Policy context

This policy is informed by the following documents:

- Broad - Based Black Economic Empowerment (B-BBEE) Act, 2003 (Act No: 53 of 2003);
- The Competition Act, 1998 (Act No: 89 of 1998);
- The Constitution of the RSA, 1996 (Act No: 108 of 1996);
- Employment Equity Act, 1998 (Act No: 55 of 1998);
- Hazardous Substances Act, 1973 (Act No: 15 of 1973);
- Higher Education Act, 1997 (Act No: 101 of 1997);
- Insolvency Act, 1936 (Act No: 24 of 1936), as amended;
- The King Report II on Corporate Governance for South Africa, 2002;
- the university Code of Conduct for Council Members;
- the university Code of Conduct for Service Providers;
- the university Fraud Policy;
- the university Tender Policy;
- Occupational Health and Safety Act, 1993 (Act No: 85 of 1993);
- Preferential Procurement Policy Framework Act (PPPFA), 2000 (Act No: 5 of 2000);
• Prevention and Combating of Corrupt Activities (PRECCA) Act, 2004 (Act No: 12 of 2004);

• Procurement Policy: Unisa, 2009;

• Procurement Policy: Vaal University of Technology, 2009;

• Purchasing and Tender Policy: Stellenbosch University, 2009;

• Promotion of Access to Information Act, 2000, as amended;

• Promotion of Administrative Justice Act, 2000 (Act No: 3 of 2000);

• Protected Disclosures Act, 2000 (Act No: 26 of 2000);

• Public Finance Management Act (PFMA), 1999 (Act No: 1 of 1999), as amended; and


13.7 Custodianship

The Senior Director: Finance will be the custodian for this policy.

13.8 Policy review

This policy will be reviewed as and when required. It may not be changed without the approval of Council, unless a change is immediately necessary due to a change in the laws of the Republic of South Africa. The B-BBEE Rating Form may only be amended through formal changes to this policy.

13.9 Procedures
The university has developed an approval matrix based on different authorisation levels within the institution. This approval matrix underpins this document and forms the overarching philosophy of approval of all categories of spending:

Any application done because of insufficient funds in a Vote to be used, shall be suitably motivated and shall first be authorized by the Dean of the Faculty in case of academic departments, and by the Head of Department in case of the other departments. The Office of the Vice-Principal: Administration shall approve the application before the order is processed;
13.9.1 Requirements for a valid tax invoice:

- the words “Tax invoice” must appear at the top
- the amounts exclusive of VAT, the VAT charged and the amount inclusive of VAT must appear
- the VAT number of the vendor must appear on the invoice
- the invoice must be properly dated
- the university’s name and address and VAT number must appear on the invoice

13.9.2 Operating expenditure:

The approval matrix document has identified levels of authority that are required in order to approve various categories of expenditure;

Furthermore, the institution has devolved the responsibility for the budgeting process to the level where the expenditure takes place i.e. the department. It is a fundamental tenet of management theory that there cannot be responsibility without accountability. Consequently, anyone identified as a signatory in the approvals matrix has the responsibility to ensure that there is budget provision for any procurement envisaged by this policy; and

The university manages departmental finances at a cost centre level i.e. no cost centre should overrun expenditure budgets and the signatory identified in the approvals matrix will be held accountable to ensure that no budget overruns occur. **Note:** Savings in the payroll area of a cost centre may not be used to subsidise overruns in the operating expenditure. (It is recommended that these signatories manage their cost centres at an account line item level i.e. see to it that no account goes over budget. It is accepted that circumstances change and, occasionally, a particular line item may be under budget whilst another may have to go over budget. This is why the university manages at a cost centre level and it is not necessary to deliberately misallocate expenditure – any evidence of deliberate misallocation will be considered a breach of the institutions disciplinary code);

13.9.2.1 **Capex:**

Capital expenditure (Capex) must be budgeted in the normal course of events. The deadline for any non-research capex purchase expenditure will be the end of June of any year. (There is no cut-off for genuine research expenditure approved by the research department).
13.10 List of spend categories

13.10.1 Petty Cash;

13.10.2 Travel Expenditure:

- Local Air fares;
- International Air fares;
- Hotels;
- Use of own motor vehicle;
- Hired cars;

13.10.3 Capex less than R500;

13.10.4 Capex (non IT & N);

13.10.5 Capex (IT & N):

i. Leased:
   - New agreements;
   - Replaced equipment at lease expiry;

v. Non lease; and
vi. Software & licenses;

13.10.6 General Operating Expenses (Requisition based):

- Less than R250 000, no contract;
- Less than R250 000, contract;
- More than R250 000, no contract (see Tender Policy);
- More than R250 000, contract; and
- Purco contracts;
13.10.7 Stores Purchases;
13.10.8 Spend from private work funds;
13.10.9 Spend from designated funds;
13.10.10 Spend from restricted funds (e.g. NRF);

13.10.11 Sundry payments:

- Invoice based (utilities, phone, property rates, etc);
- Staff claims for re-imbursements;
- Student refunds;
- Investment movements;

13.10.12 Payroll related:

- Non-bank account salary payments;
- Council travel allowance;
- Leave encashment;
- Long service awards;
- Repayment of excess salary deductions;
- Monthly payroll pay-over:
  - Third party payments;
  - Tax, Unemployment Insurance Fund, Skills Development Levy;
  - Medical Aid;
  - Pension/Provident Fund;
  - Group Life;
  - Pensioners Medical;
  - Disability;
  - Garnishees to lawyers;
  - Court orders;
  - Banks for bond repayments;
  - Union Fees;
  - Workmen’s Compensation Act;
0  Casual Student Employee;

13.10.13  Workmen’s Compensation Act (WCA) and Compensation for Occupational Injuries and Diseases (COID);

13.10.14  Training/seminars/conferences;

13.10.15  Subscriptions to professional bodies;

13.10.16  Research:
  •  Research Bursaries;
  •  Research Projects;

13.10.17  Faculty Funds;
  (e.g. Short course funds, Spend against faculty third stream income)

13.10.18  Advance payments (e.g. Tourism);

13.10.19  Contract payments;
  13.10.19.1  Monthly building leases;
  13.10.19.2  Leased property monthly expenses (utilities etc);
  13.10.19.3  Annual Insurance and on-going variations;
  13.10.19.4  Corporate Services (Audit fees, banking, etc.);
  13.10.19.5  Catering:
    •  Basic Contract;
    •  Entertainment;

  13.10.19.6  Other general contracts (too numerous to mention including security, garden services, transport, etc.);

13.10.20  Marketing and Communications Department (MCD):
  •  Advertising;
  •  Large Functions;
13.10.21 Foreign Payments:
- Library;
- Other;

13.10.22 Bursaries;

13.10.23 Loan repayments;

13.10.24 Spend in respect of insurance claims;

13.10.25 9Residence expenditure;

13.10.26 Student Affairs; and

13.10.27 Limits of Procurement Signing Authority.

13.11 Procedures for spend categories:

13.11.1 Petty Cash:

13.11.1.1 Petty cash will be utilized to cover only immediate expenditure which must be paid in cash;

13.11.1.2 Any expense which can be paid on invoice will be processed through the normal purchase requisition route;

13.11.1.3 No individual expense that exceeds R100 will be paid from petty cash. Any expense in excess of R100 is not, by definition, petty and another form of procurement will be allowed to cater for these payments;

13.11.1.4 A petty cash book will be maintained and balanced on a regular basis – at least monthly, and re-imbursement for the amount expensed will be made from finance;
13.11.1.5 For every expense listed in the petty cash book there will be a supporting voucher i.e. invoice, till slip, etc; only in exceptional circumstances is it possible to have no supporting voucher e.g. street parking. If there is no slip and no valid reason for there being no slip, there will be no refund;

13.11.1.6 The book will be signed by the HoD (if in faculties) or an authorised official (if non faculty) before re-imbursement can be made;

13.11.1.7 Petty cash floats will not exceed R3000;

13.11.1.8 The petty cash floats will work on an imprest system with replenishments taking place via the cashiers;

13.11.1.9 At no stage will the replenishment required exceed the cash float amount. That will mean that other sources of income would have been utilised to bolster the petty cash. This is not good financial practice and it will not be allowed.

13.11.1.10 Any attempt to utilise extraneous/sundry/miscellaneous cash receipts through the petty cash will be considered to be a breach of the institution’s disciplinary code; and

13.11.1.11 Any cash received in the faculty will be deposited at cashiers by the next working morning. **Note:** It will not be allowed to receive cash anywhere other than at the Universities cashiering station.

**13.11.2 Travel Expenditure:**

Overarching all of this is the institutional travel policy. Previously the university utilised the services of travel agents for all travel. This was indeed suitable when the travel agents were earning commissions and there was not much competition in the airline industry. Now there are at least 5 carriers on the popular local routes with rumours of more to come. Under these circumstances, by booking through an agent one is not guaranteed, in fact usually contrary, the lowest possible fare. The travel agent invariably gives rack prices when much cheaper fares are available on the internet:
13.11.2.1 Local Airfares:

For local travel, the traveller will obtain a quote from the travel agent and then checks online whether a cheaper option is indeed available. In such cases, the traveller may then book online using their own credit card and claim back. An amount of R20 will be reimbursed for bank charges. In the event of a staff member not owning a credit card the travel agent will still be used. Note: It will be noted that different classes of tickets do exist; it may be that when you travel you may find that for various reasons you may want to change your travel arrangements. Some classes of ticket may not allow any changes and you could get stuck somewhere for quite a few hours. The only other option then would be to buy another ticket, which will be likely to negate the benefit;

13.11.2.2 International Airfares:

All airfares for international flights for academics will be routed via a central committee for approval. Non-academic air fares will be approved by the relevant authorised Executive Official. It is recommended that a travel agent is consulted in respect of itineraries, connecting flights etc and given the opportunity to quote. It is possible that a cheaper fare may be found (via Flight Centre for example) but the benefits of having a travel agent look after foreign travel is that it is less likely to encounter problems with the travel arrangements. The agent has a 24 hour helpline if problems are encountered;

13.11.2.3 Hotels:

As a general rule, just because a conference is in a particular hotel does not mean that the delegate must stay in that hotel. For international conferences there are always very good shuttle services between the local hotels and the conference venue. The hotel where the conference is being held is often more expensive. However, sometimes there are special rates for conference delegates. Any requirement to stay in the same hotel as the conference will be accompanied by quotes from other nearby hotels, such quotes to be obtained by the procurement department or the travel agent. The travel agent will advise of the possible hotel venues and provide quotes. These will be attached to the travel request and it is incumbent upon the Executive concerned to make a call as to which hotel to use. (Local and foreign). Normal purchasing procedures will be followed for all travel expenditure;
13.11.2.4 Use of own motor vehicle for travel:

In some instance staff prefer to use their own motor vehicles for travel as opposed to flying. The policy in such circumstances will be to pay the equivalent of 30% of the SAA economy air fare as reimbursement for such travel;

13.11.2.5 Hired cars:

When travelling out of town, a hired car may be required. This requirement needs to be included on the travel requisition and the travel agent will make the necessary arrangements. Only class B vehicles will be ordered. Any upgrade that the university is billed will be for the traveller’s account.

13.11.3 Capex less than R500:

13.11.3.1 The Companies Act, Generally Accepted Accounting Practice(GAAP) and other relevant legislation endorse the practice of writing off assets costing less than R5 000 in the year of purchase i.e. they are not capitalised and depreciated in the normal course of business. The university have decided that this will only apply to assets under R500;

13.11.3.2 The coding for these items will fall under operating expenditure and will not form part of the capex budget;

13.11.3.3 This in no way will diminish the importance of controlling these assets. They will still be recorded in the asset register and given an asset number. Control is important as many of these assets are “desirable” items e.g. digital cameras and, as such, without suitable control, could easily get lost;

13.11.3.4 These assets will be purchased through the normal purchase requisition route subject to the approvals matrix. The requisition will correctly identify the desired goods as assets. The procurement department has managements’ authority to query any allocation they suspect to be wrong or misleading.
13.11.4 Capex (Non IT & Computer Systems):

13.11.4.1 There will be a separate Capex budget which will be compiled at the same time as the operating budget. It is recommended that the total value of the capex budget should not exceed the amount of the amount of the depreciation charge in the income statement as this will ease the cash flow burden;

13.11.4.2 Assets may from time to time be purchased from restricted funds as well as private work funds. Whatever the source of the funds for the asset purchase, the procurement rules in this document will apply to all asset purchases;

13.11.4.3 It must be borne in mind that, just because a particular item appears on the approved capex budget list, it does not mean that Council and/or Management have approved the purchase of said item. Whenever items of a capex nature are requisitioned, a full motivation for the purchase of the item, signed by the HoD, will have to accompany the requisition;

13.11.4.4 Capex items will always be supported by three (3) quotes. In the event of a sole supplier, such evidence of sole suppliership will have to accompany the motivation in writing. The Buyer and the Dean will sign such requisition as evidence of motivation;

13.11.4.5 Upon requisition, it is important that the correct codes be indicated. The Assets, Acquisition and Management department have managements’ authority to query such allocations.

13.11.5 Capex (IT & Computer Systems):

13.11.5.1 Leased Equipment (Standard specification):

- In respect of new equipment which is to be leased (as opposed to renewals of expired leases) the “normal” capex route will be followed. New equipment, by definition, will be part of the capex budget process. Once the process is complete, the ICT department will prepare the purchase documentation and forward it to procurement via requisition for processing.
Generally speaking, in order to ensure standardization of equipment and maintenance contracts, there are contracts with preferred suppliers for hardware purchases and the Assets, Acquisition and Management department will be advised to source the specified equipment from that supplier. Nothing precludes the Assets, Acquisition and Management department from checking whether the prices are, in fact, the best. If they find better prices they will immediately notify the ICT department for assessment whether the other critical issues (e.g. warranty) are in place and, together, they will assess from whom to purchase. Meanwhile, the authorised Finance Official will obtain quotes for leasing rates. On conclusion, ICT department will liaise with the lessor of equipment for financing. The financing schedules will be prepared in accordance with the master rental agreement previously approved by Executive Management and signed by the Senior Director: Finance.;

• In respect of existing equipment which has reached the end of the lease cycle and needs to be replaced, replacement equipment will still fall within the ambit of the capex budget. All equipment will be budgeted for. The lessor will send the ICT department a reminder of equipment due for return and ICT department will respond, giving at least 3 months’ notice. ICT department will then advise Assets, Acquisition and Management department via requisition to place the order for purchasing the replacement equipment. As above, quotes are obtained for leasing rates; schedules are agreed upon between ICT department and the lessor; and the schedules are signed by the authorised Finance Official in accordance with the approved Master Rental Agreement;

13.11.5.2 Non leased hardware, including personal computers and peripherals, printers, servers, multi-functional devices and networking resources:

13.11.5.2.1 All hardware requirements will be motivated via email to the ICT department. Depending on the scope of the requirement, the ICT department will provide one of the following options:

• Personal computer or peripheral
  ICT department will assess the need for the requirement and will make the necessary recommendation.

• Servers
This request could either be project related or an upgrade on existing equipment. ICT department will involve the relevant ICT staff to make recommendations.

- **Printers and multifunctional devices**
  The request will either be to upgrade existing or to purchase new equipment. The ICT department will have records on the existing equipment and assess the viability of the need. ICT department will involve the relevant staff to make recommendations.

- **Networking resources**
  This request will typically be to relocate networking points or to provide network connectivity. The relevant ICT staff will be consulted.

13.11.5.2.2 Once both the ICT department and the requestor have agreed to the hardware purchase, the requestor will complete the purchase requisition signed by the requestor and relevant director and send to the relevant ICT department. ICT department will then generate a requisition for the buying office. The Assets, Acquisition and Management department will not process any hardware purchase requisition that is not signed by authorised ICT Official;

13.11.5.2.3 The Assets, Acquisition and Management department will then process the requisition. If quotes have been obtained, ICT department will counter-approve the preferred quotation;

13.11.5.2.4 Stores will receive the equipment and ICT department will confirm the delivery of an item;

13.11.5.2.5 The equipment (except multi-functional devices) will be configured, installed and supported by the relevant ICT staff that will facilitate the installation and support;

13.11.5.2.6 In future, nominated ICT staff will consult with each department during the budget cycle to assist and advise each department on their budgetary
needs. The authorised Finance Official in conjunction with ICT department will assess whether the equipment is to be leased or not. If it is to be leased, the procedures above will apply.

13.11.5.3 Software & licences:

The university will not condone any unlicensed software on any institutional computer. Failure to adhere to this will result in disciplinary action;

13.11.5.3.1 All software requirements (except ICT related issues) will be motivated via email to ICT department. Depending on the scope of the requirement, ICT department will provide one of the following options:

- **Small sized system**
  ICT department will conduct a market scan of available products to suit the requirements. Presentations will then be arranged by the supplier, with the relevant ICT staff members, including representation from the requestor’s departments.

- **Specialist software**
  An example of this will be software intended for lecturing purposes. Generally, the requestor makes the selection.

- **Large system**
  ICT department will ensure that the project will follow a full-scale project implementation lifecycle;

13.11.5.3.2 Once both the ICT department and the requestor have agreed on software, a pilot will be run to confirm the application integration into the university existing systems and infrastructure. If suitable, the requestor will do the purchase requisition, signed by the requestor, approved by the relevant authorised official, sent to ICT department. ICT department will then generate a requisition for the Assets, Acquisition and Management department. The Assets, Acquisition and Management department will not process any software purchase requisition that is not signed by the authorised ICT Official;
13.11.5.3.3 The Assets, Acquisition and Management department will then process the requisition. If quotes are obtained ICT department will counter-approve the preferred quotation;

13.11.5.3.4 ICT department will receive delivery of the software in the ICT department;

13.11.5.3.5 Installation and support will generally be the responsibility of the requestor, however depending on the type of software and skills required, the ICT department will assist in this regard;

13.11.5.3.6 In future, nominated ICT staff will consult with each department during the budgetary cycle to assist and advise each department with the ICT budgetary needs:

- ICT department will maintain a register of all software licences and their renewal/expiry dates and will ensure that relevant licensing is up to date and that the renewal is properly processed on due date.

### 13.11.6 General Operating Expenses:

Generally speaking, a requisition/internal order is required before expenditure can be incurred. The requestor (and the system) will ensure that there is sufficient budget before preparing the requisition. Also, the requestor will properly allocate the expense on preparing the requisition. Any deliberate attempt to misallocate expenditure either to wrong centre or wrong account codes will be viewed as breach of the disciplinary code:

- Requisitions/internal orders will be routed to the person with the relevant authority in terms of the approval matrix. Under no circumstances will an individual single-handedly request and approve an expense.
- Once approved, the requisition/internal order will be forwarded to the procurement department where any one of the following may transpire:

  - Normal expense less than R250 000, **no contract**;
  - Normal expense less than R250 000, **contract**;
• Normal expense greater than R250 000, **no contract**;
• Normal expense greater than R250 000, **contract**;
• Purco contracts;

**13.11.6.1 Normal expense less than R250 000, no contract:**

For expenditure between R1 000 – R5 000 procurement will obtain **two written quotes**, in excess of R5 000 the Assets, Acquisition and Management department will obtain **three written quotes** and provide information back to the requestor within 2 working days of receipt of the requisition and advise that, unless sound reasons exist for deviation, the lowest price wins the order. For expenditure below R1 000, **one quote** will suffice. If reasons exist to deviate, these will be fully motivated and documented. The order will then be processed.

**13.11.6.2 Normal expense less than R250 000, contract exists:**

Where contracts exist for a particular class of expenditure, then Assets, Acquisition and Management department will merely place the order on the contract supplier. From time to time the prices in the contract will be tested against the market. It is recommended that contracts be in place for all regular expenses i.e. not once off or ad hoc expenditure. Contracts will be reviewed and renegotiated annually.

**13.11.6.3 More than R250 000, no contract:**

Refer to Tender Policy.

**13.11.6.4. Normal expense greater than R250 000, contract exists:**

Even though a contract exists, the tender process; will still be invoked as above.
13.11.6.5. **Purco contracts:**

If less than R250 000 the Assets, Acquisition and Management department will merely order against the Purco contract. If greater than R250 000 the tender process will be invoked and administered with assistance from Purco expertise;

13.11.7. **Stores purchases:**

All replenishments of stores items; are purchased according to the “normal” procurement processes subject to one overriding authorisation i.e. only the authorised Finance Official, or in his/her absence, another member of the Executive Management will authorise requisitions for the replenishment of stores. Where those requisitions then exceed R250 000, a tender process must be invoked.

13.11.8. **Spend from private work funds:**

13.11.8.1. The immediate reaction is “But it’s my money, why should there be any control”. Depending on nature of the expenditure, the institution runs the risk of falling foul of the provisions of the Income Tax Act, and, thus, reserves the right to monitor all expenses against these items;

13.11.8.2. Assets purchased from these funds (e.g. computers etc) are assets of the institution. They will carry the institution asset number. They will be depreciated in the institution’s records in the normal course of events. In the event that a member leaves the university before the asset is fully written off, they will be taxed at the deemed market value of the asset at time of leaving;

13.11.8.3. Conference attendance: These funds will be utilised to cover the costs of a staff member attending conferences. (Refer to the Travel Section). The normal travel purchase rules will apply; and

13.11.8.4. Money will, **never** be paid directly to the employee from private work funds. These will revert to the institution if a staff member leaves a balance.
13.11.9. **Spend from designated funds:**

There are designated funds in the institution. This list will be finalised by the Finance Committee of Council and, ultimately, Council, in due course. The one element of difference in this spending category is that, charges are only made to these funds on the specific authorisation of the Executive Management duly recorded in Executive Management minutes. With the above proviso in place, “normal” procurement procedures as documented elsewhere in this policy; will be adhered to.

13.11.10. **Spend from restricted funds:**

All the spending from these funds is the subject of rigorous external audit and will stand up to the most detailed scrutiny. Normal procurement procedures will apply with one proviso, the requisition will also be approved by the Dean of the faculty concerned (where faculty funds are being spent) and the Head of the Administration section/Research unit.

13.11.11. **Sundry payments:**

13.11.11.1. **Invoice-based e.g. utilities, phone, Rates etc:**

These are monthly charges and are often large amounts, in excess of R50 000 and sometimes in excess of the tender threshold of R250 000, but logically cannot form part of the tender process. **Approval takes place on the face of the invoice.** The only acceptable approval in such cases will be by a member of the Executive Management or their properly delegated alternate. All such invoices relating to property expenditure (e.g. property rates) will go via the facilities department to the relevant member of the Executive Management. [**Note:** Where the expense concerned is against an already approved contract, the contracts manager concerned will sign off that all goods and services have been properly received]. A spreadsheet of such monthly costs must be maintained by Finance to enable:

- A comparison of a month-on-month for these expenses. This comparison will accompany the invoice for approval;
A ready reference for accruals where invoices have not been received by a particular date.

13.11.11.2. **Staff claims for reimbursement:**
These will be claimed on the standard claim form which is updated from time to time. Claims are required to be recorded through payroll and therefore reportable on the IRP5.

13.11.11.2.1. **Subsistence and mileage claims:**
The university will provide for dinner, bed and breakfast in respect of all travel and consequently there will be no requirement for subsistence claims;

13.11.11.2.2. **Reimbursement:**
Reimbursement expenditure (e.g. parking, entertainment, etc) will be claimed on the standard claim form, properly authorised in accordance with the institution’s authority levels together with banking details and submitted to the financial department for processing. All such re-imbursements will be processed electronically to bank accounts but if they are smaller than R100 they will be processed through the university petty cash system.

13.11.11.3. **Student refunds:**

13.11.11.3.1. If there is a credit balance on the student’s fee account, the student will complete an original refund request form (no faxes) – refer to credit balances section in Students; Debtors Administration Policy;

13.11.11.3.2. The student debtors department will confirm the validity of the claim and prepare a batch of refunds to be checked and signed by the senior debtors’ clerk;

13.11.11.3.3. The batch will be forwarded to the finance department for checking and approval by the responsible financial officer before the EFT preparation procedure is invoked;

13.11.11.3.4. If there are cheques (very few), they will be issued and held in the Finance Department until collected and signed for by the student claimant on identification;
13.11.11.4.  **Investment Movements:**
This section is dealt with under the Institution’s Investment Policy.

13.11.12.  **Payroll Related:**
There are a number of HR/Payroll related payments which take place on an ad hoc, but fairly regular basis:

13.11.12.1.  **Non-bank account salary payments:**
In cases where staff members (mostly new appointees) do not have confirmed bank details for electronic banking of salary payments, payment will be withheld until bank details are confirmed;

13.11.12.2.  **Council travel allowance:**
Approval for these rests with the Registrar’s office. Claim forms are received from Council members by the secretariat. A request for payment will be submitted to the Finance Department where payment will be made via EFT. All such requests will be signed by the Registrar or a suitable authorised Official;

13.11.12.3.  **Leave encashment**
Application for Leave encashment will be submitted to H/R Department in December for payment in January. **N/B:** Salary advances are not allowed;

13.11.12.4.  **Long Service Awards:**
The list of awardees will be compiled by the HR department and approved by the Executive Management. The awardees will be notified of the amount due. Any award will be taxed. All cash payments will be processed through the payroll system;

13.11.12.5.  **Repayment of Excess Salary Deductions:**
It can happen that an over deduction is made from a staff member’s salary. This can be due to notification not being timeously received by H/R Payroll. In such cases a refund is due to the staff member. A document will be prepared requesting such refund and will be signed by the authorised Official;
13.11.12.6. **Monthly payroll pay-over:**
The monthly pay-over are generated by the payroll system. A listing is available from the system with a separate page(s) for each pay-over. Each pay-over will be authorised by the authorised Finance Official before processing, via EFT:

13.11.12.6.1. Third party payments;
13.11.12.6.2. Tax, Unemployment Insurance Fund, Skills Development Levy;
13.11.12.6.3. Medical Aid;
13.11.12.6.4. Pension/Provident Fund;
13.11.12.6.5. Group Life;
13.11.12.6.6. Pensioners Medical;
13.11.12.6.7. Disability;
13.11.12.6.8. Garnishees to lawyers;
13.11.12.6.9. Court orders;
13.11.12.6.10. Banks for bond repayments;
13.11.12.6.11. Union Fees;
13.11.12.6.13. **Casual Student Employee:** the university student who is employed either as a Casual Employee or a Student Assistant will be paid via the normal payroll system. The rate of payment; whether hourly, weekly or monthly will be determined by the Finance and Remuneration Committee. If the student has unpaid fees in accordance with student debtors’ control account, fifty per cent (50%) of his/her net income will be paid directly into his/her student’s fees account.

13.11.12.7. **Workmen’s Compensation Act (WCA); Compensation for Occupational Injuries and Diseases (COID):**
The calculation of this annual payment, which is a significant figure, will be done by the finance department, based on information received from payroll. The calculation will be agreed upon and signed off by the authorised Finance Official and returned to the finance department for processing via EFT.

13.11.13. **Training, seminars, conferences:**
All training, seminars and conferences will be split into two components:

- A travel component; and
- A cost related to the training, seminar or conference

All training requests will be channelled through a central committee, the chair of which will be the Vice-Principal: Administration. In respect of the cost of the event, this is no more than a normal procurement issue with one extra proviso. It will go via a requisition to the Assets, Acquisition and Management department for the placement of a purchase order. However, besides the “normal” authorisation in terms of the institutions’ authorisation matrix, these requisitions will also be signed by the training manager within the HR department.

13.11.14. Subscriptions to professional bodies:

The university’s policy in this regard is that the university will only pay the subscription to a professional body on behalf of a staff member if the staff member serves in some capacity on that professional body or if the membership is an inherent requirement of their job. The original invoice plus evidence of the staff member’s involvement with the professional body, approved by the Vice-Principal: Academic (for academic staff) or the Vice-Principal: Administration (for non-academic staff) will accompany the requisition.

13.11.15. Research:

Expenditure in this area encompasses the granting of bursaries for Masters and Doctoral Degrees, spending on NRF approved research projects, spending on THRIP projects and overseas travel to conferences and seminars. Others will include, but are not limited to SANPAD, TESP, WRC, MRC, Plant Bio. All such expenditure will fall within the ambit of this policy except that the additional signature of the Director: Research Unit will be appended on all requests for expenditure;

13.11.15.1. Bursaries (Staff)

These will be awarded in accordance with the institution’s policy and guidelines governing the award of research bursaries;
13.11.15.2. **Spending from research grants**

Generally speaking such spending will fall within the normal procurement policies and procedure. It happens frequently that there is a sole supplier for the research materials – this fact will be given as a motivation together with the request for the expense and approved as such by the Director: Research Unit. Under no circumstances will the researcher commit the institution to a commercial transaction without going through the normal procurement procedures. Funds will be made available after approval by the Research and Publications Committee.

13.11.16. **Faculty Funds:**

All faculty funds will form part of the budgeted income of the faculty/department. These will be kept to an absolute minimum. The very existence of these funds will be fully motivated in writing by the Dean with reasons why these funds will not form part of the institution’s “bottom line”. The fund can only be created in the accounting system if approved by the Vice-Principal: Academic Affairs.

Any spending against these funds will have to be budgeted for, *i.e.* just because there will be additional income does not automatically mean that it must be just spent. If the expense was not part of the original budget, then, any new spending will mean that the department will go over budget, which will be unacceptable. And spending against *third stream income*, so called faculty, will form part of the normal procurement procedures and will be signed by the Dean, irrespective of the amount involved.

13.11.17. **Advance payments:**

Some departments, by nature of their activities require advance funds to cover their future expense. For example, Departments regularly take students on trips and need money for entry fees, lunches, tips and the like. Cash is drawn on a requisition approved by the Dean of the faculty. It is an absolute requirement that a full reckoning of the trip, approved by the Dean, is received in the finance department within 2 working days of the end of the excursion. Failure to do so will result in the advance received being deducted from the responsible individual’s salary.
13.11.18. Contract Payments:

Generally, payments made against contracts are signed off by any member of the Executive Management based on the fact that there is an existing authorised contract in place. There are, however, specific rules relating to committing the institution to a contractual arrangement. In general, all contracts fall under the tender process. Exceptions to this rule are:

13.11.18.1. Building leases:
The general rule is that the institution prefers to own its buildings and leases will only be entered into in exceptional circumstances. A motivation to enter into a new lease will be tabled before the Executive Management (EM). All new building leases will be signed off by the Vice-Principal: Administration after the terms of the lease have been agreed upon between the authorised Finance Official and the Institutional Legal Officer (where the total expenditure over the life of the lease exceeds R250 000, the tender policy must be applied). Note: The same rules, as above, will apply to lease renewals;

13.11.18.2. Leased building costs:
In respect of monthly costs on leased premises, other than rental, for example water, electricity, repairs, etc. – all such costs will be approved by the facilities department for reasonability. (The approval matrix in terms of value of invoice applies).
Any cost in respect of repair or maintenance will be compared with the relevant lease contract to ensure that the cost is, in fact, for the institutions account.
A spreadsheet reflecting the monthly costs of all leases will be maintained in the Finance Department and will accompany every request for payment of any item related to a lease. This will ensure that nothing gets missed and also it will assist in the year-end accrual exercise;

13.11.18.2.1. Annual escalation:
The annual escalation will be signed off by the authorised Finance Official before new rental is paid.

13.11.18.3. Annual insurance:
The annual insurance contract will go out for full tender triennially. This contract will be administered by the authorised Finance Official. There are regular ad hoc insurance requirements
which are channelled through the authorised Finance Official for liaising with the insurers and obtaining specific quotes. No payment will be made for invoices relating to ad hoc services without such a quote.

**13.11.18.4. Corporate Services:**
These include things like external audit, internal audit, banking services, etc and they will all be tendered for in terms of the Tender Policy, on a triennial basis. Payments against these contracts will only be authorised by a member of the Executive Management.

**13.11.18.5. Catering:**

13.11.18.5.1. The basic catering contract will fall into exactly the same category as under “Corporate Services” section above; and

13.11.18.5.2. When departments require services from the caterers in respect of entertainment, this falls outside of the normal contract and the provisions under “Sundry Payments” section above, will apply.

**13.11.18.6. General Contracts:**
All contracts are usually subject to a three-year cycle and will be negotiated in accordance with the Tender Policy. Copies of these contracts must reside within the office of the Vice-Principal: Administration.

All contracts will be managed by the contracts manager in accordance with the terms of the contract and in consultation with the primary users of that contract service. The contracts manager will report to the Vice-Principal: Administration. As part of this exercise, suppliers will be regularly evaluated and such evaluations will form the basis of claims of non-performance against suppliers and will serve as part of the retendering process when the contract comes up for retender.

**13.11.19. Marketing and Communications Department (MCD):**
MCD will organise large functions (e.g. Graduation) at large cost and also arrange for all the advertising expenditure of the institution. Many of these expenses do not conform to the norm of going through an order process and then payment within 30 days of invoice. Frequently Caterers, for example, require payment on C.O.D basis:

13.11.19.1. **Advertising:**
It is proposed that, in respect of advertising, MCD identify as early as possible (say by end February each year) the advertising campaigns to be undertaken in the year. For their campaigns they will have to prepare a detailed budget, aligned to and in conformance with, their departmental budget. This budget will indicate who the suppliers will be. If possible, where the preferred supplier is not a sole provider, then the tender process will be followed at this early stage. The campaign budget, together with quotes or tender committee recommendations (as applicable) will then be signed off by the Executive member concerned and the Vice-Chancellor (VC) and the authorised Finance Official. For each request for payment thereafter, a copy of the approved budget highlighting the specific expense, will accompany the request for payment;

13.11.19.2. **Large Functions:**
A similar process as is under “Advertising” section above, will be followed for functions. By the end of February the department has a good idea of what functions will need to be organised and a budget for these functions, aligned to and in conformance with their departmental budget, will be prepared. Any catering suppliers (and other potential suppliers) will be identified at this point and tender processes will be followed as applicable. For each request for payment thereafter, a copy of the approved budget highlighting the specific expense will accompany the request for payment. In house workshops will call off the basic catering contract. No privately arranged catering will be paid for.

13.11.20. **Foreign Payments:**
All other rules as per these procedures will still be followed, the fact that the payment is in foreign currency merely implies that the ultimate cash flow (payment) will be somewhat different:
13.11.20.1. Library:

Most of the library material is purchased from overseas and usually from one or two major preferred suppliers. As such, the usual tender processes are not followed. At the time of preparing the institutional budget, the library will have to table a detailed budget indicating the supplier, the approximate timing of the payment and the probable amount. This budget will align to and be in conformance with the amounts in the departmental budget approved as part of the institutional budget. This detailed budget will be approved by the Executive Official concerned and the VC and the authorised Finance Official. All subsequent requests for payment will be accompanied by the approved detailed budget together with the invoices for payment. Invoices will still be approved in the usual manner; and

13.11.20.2. Other:

The rules do not change just because a payment is to be made in a foreign currency. Establish under which spend category of this procedure document the expense falls and follow that procedure as laid down. Invoices will still be received. A copy of an email document indicating in the body of the email (i.e. not an invoice attachment) the amount due will not constitute an invoice and the Finance Department will not make payment on such a supporting document;

13.11.20.3. Process

In respect of all foreign payments a requisition with supporting documentation is to be provided and the relevant bank forms will be completed for sign-off by 2 signatories (at least one from finance)

13.11.20.4. Bursaries:

Refer to Financial Aid Bureau Policy and Procedures.

13.11.21. Loan repayments:

Loan repayments are always significant and can be made monthly (e.g. building loans), quarterly (e.g. leases) or ad hoc (e.g. Government loans). The cheque requisition for these will be completed in the finance department and will be signed by the authorised Finance Official. Payment will be released by two other signatories.
13.11.22. **Spend in respect of insurance claims:**

When there is a total loss, any depreciation and an insurance claim is submitted, this usually results in a transfer of funds from the insurer to the institution. This in no way detracts from the fact that this is still procurement and all normal procurement rules will apply to the replacement of the item lost or damaged.

13.11.23. **Residence Expenditure:**

People responsible for the budget of each residence e.g. the houseparent, have little to no control over their budget due to the fact that most of the expenses are generally incurred without their complete involvement or knowledge. It is a fundamental tenet of budgeting theory that accountability and responsibility go hand in hand, so the people ultimately held accountable for the expenses will have the overall responsibility for incurring and approving the expense. Frequently, the Residences Unit requisition services (maintenance and other) are never informed of the quoted prices. Then the service is completed and they are never involved in the sign-off process. Thus, if they are not satisfied with the service, it gets paid anyway and Residences Unit budgets are affected, hence they are held accountable.

Utilities expenses in respect of residences are signed off via the Facilities Department and debited to the Residences Unit. These will have to be properly budgeted for in advance.

13.11.24. **Student Affairs:**

The Student Affairs Department keeps budget for all student affairs sub units including SRC, clubs, etc. These are kept in hardcopy. All expenditure against these budgets will conform to the procedures in this document. Planning is traditionally very bad in this area with expenditure having to be approved at about 16H00 on a Friday. The normal tender process and/or sundry payment approvals will apply to this area as much as to any other segment of the institution. A copy of the hardcopy budget will accompany all such requests for expenditure.

13.11.25. **Limits of Procurement Signing Authority:**

All goods and services are acquired within approved unit budget and are subject to approval in terms of the university expenditure and maximum levels of that expenditure authorised by the
officers within levels delegated by the university Council and/or Vice-Principal: Administration
and/or designate:

- the HoD will authorize up to **R10 000**, excluding VAT;
- the Dean will authorize up to **R20 000**, excluding VAT;
- the relevant Executive Management Officer will authorize up to **R50 000**, excluding VAT;
- the Vice-Chancellor and Principal will authorize between **R50 001** and **R250 000**, excluding VAT; and
- the Tender Committee will approve and award tenders whose value exceed **R250 000**, excluding VAT.
1 GUIDELINES

1.1 The application form as well as questionnaires must be, completed in full and signed by all vendors seeking registration as approved service providers who will be, given an equal opportunity to submit quotations to the university for the supply of goods and services. This process however does not guarantee business with the university. Preference will be, given to the university registered suppliers. Service Providers, who are not yet registered will not be excluded from quoting to the university;

1.2 The application form, must be completed by each interested and qualifying service provider in full, signed and attested by the Commissioner of Oaths;

1.3 All required supporting documentation must bear an original signature and attached to the initial application form. Faxed documents will not be, accepted:

1.4 DOCUMENTATION REQUIRED

Please attach certified copies or original documents of the following documents, as and when required:
1.4.1 Certified copies of Company Registration Documents (Select relevant form of ownership):

1.4.1.1 T.I Sole Proprietor
- Owners’ ID/Passport.

1.4.1.2 Close Corporation
- Member’(s) ID/Passport;
- Certificate of Incorporation (aka CK); and
- Founding Statement.

1.4.1.3 Private Company (PTY) LTD
- Shareholder’s ID/Passport;
- Memorandum & Article of Association or Memorandum of Incorporation;
- Share Certificates; and
- Certificate of Incorporation.

1.4.1.4 Section 21 Company
- Member’(s) ID/Passport;
- Memorandum & Article of Association; and
- Certificate of Incorporation.

1.4.1.5 External Company (Non South African)
- Shareholder’s ID/Passport;
- Certificate of Registration (CM49);
- Details/Register of Directors (CM29); and
- Registered Address in South Africa (CM22).

1.4.2 Valid Original SARS Clearance Certificate
- For a Partnership or Sole Proprietor Letter of Good Standing from SARS must be submitted.
1.4.3 **Creditworthiness Documents** (e.g. Letter from the Bank, Cancelled Cheque).

1.4.4 **Declaration of interest form – Form SBD 4**

1.4.5 **The following Minimum Requirements on Financial Statements will be applicable**

- Public Company Ltd – Minimum one (1) year *latest* Financial Statements and Minimum three (3) years *recent* Financial Statements in case of a Public Tender;
- Private Company (Pty) Ltd – Minimum one (1) year *latest* Financial Statements and Minimum three (3) years *recent* Financial Statements in case of a Public Tender;
- Close Corporation cc - Minimum one (1) year *latest* Financial Statements signed by an Accounting Officer and Minimum three (3) years *recent* Financial Statements signed by an Accounting Officer in case of a Public Tender; and
- Partnership and Sole Proprietor - Minimum one (1) year *latest* Financial Statements signed by an Accounting Officer and Minimum three (3) years *recent* Financial Statements signed by an Accounting Officer in case of a Public Tender.

1.4.6 **If applying for EME Status, attach an audited statement as proof of turnover**;

1.4.7 **Letter of Good Standing from the OHS Commissioner where applicable**;

1.4.8 **Tax Clearance Certificate**

An original valid Tax Clearance Certificate must reflect valid period of a Tax Clearance Certificate, which is twelve (6) months from date of issue;

1.4.9 **BBBEE Certificate**

A BBBEE Certificate must be, provided as proof of certificated supplier profile issued by an approved Rating Agency. The copies of valid identification documents including the SMME Status, HDI Ownership Status, Supplier Classification, and Supplier Grouping (type of firm), must also be attached;

1.4.10 **Certificate of Registration**

The following certified copies of registration must be, attached to the initial submission:
- Contractors Registration Certificate as issued by the Construction Industry Development Board (CIDB);
- Certificate of Registration from The Security Offer’s Board;
- Quality Management System Certificate (QMS), e.g. ISO 9000:2000;
- Environmental Management System, e.g. ISO 14001; and
- Safety Management System e.g. OSHA 18001; and

1.4.11 Declaration of Interest

In the interest of fairness and transparency, disclosure by the prospective and/or registered supplier will be compulsory. This, will be validated by completing and signing the Declaration of Interest Form;

1.5 ATTACHMENTS:

<table>
<thead>
<tr>
<th>Attachment</th>
<th>Yes</th>
<th>No</th>
<th>Expiry Date</th>
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<tbody>
<tr>
<td>Original Tax Clearance Certificate</td>
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<tr>
<td>Company Letterhead</td>
<td>Yes</td>
<td>No</td>
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<tr>
<td>BEE Certificate</td>
<td>Yes</td>
<td>No</td>
<td></td>
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<tr>
<td>Certificate of Incorporation</td>
<td>Yes</td>
<td>No</td>
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<tr>
<td>Certificate of Registration</td>
<td>Yes</td>
<td>No</td>
<td></td>
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<tr>
<td>Declaration of Interest</td>
<td>Yes</td>
<td>No</td>
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<tr>
<td>Declaration and Attestation by the Commissioner of Oaths</td>
<td>Yes</td>
<td>No</td>
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<tr>
<td>CK Documents</td>
<td>Yes</td>
<td>No</td>
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<tr>
<td>Trust Deed/Agreement, Letter of Authority</td>
<td>Yes</td>
<td>No</td>
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<td>Share Certificate</td>
<td>Yes</td>
<td>No</td>
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<td>Grading/Registration</td>
<td>Yes</td>
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<tr>
<td>Certificate of Good Standing</td>
<td>Yes</td>
<td>No</td>
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<tr>
<td>Financial Statements/Confirmation of Annual Turnover</td>
<td>Yes</td>
<td>No</td>
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<tr>
<td>Affidavit Confirming Disability</td>
<td>Yes</td>
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<td></td>
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<tr>
<td>Other</td>
<td>Yes</td>
<td>No</td>
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</tbody>
</table>
1.6 Suppliers who provide incorrect, insufficient or fraudulent information in the application form, will be disqualified from tendering and removed from the university Suppliers Database. Any alterations made by the applicant must be initialled. The use of correcting fluid is prohibited and the use thereof will lead to non-registration of the applicant’s business.

2 TERMS OF REFERENCE FOR REGISTRATION ONTO UNIVERSITY SUPPLIER DATABASE

2.1 Registration
2.1.1 the university is implementing a Vendor Database to ensure that they have sufficient appropriately qualified vendors to provide goods and services as and when required; and

2.1.2 Vendors that wish to register should complete this application.

2.2 Database Register
2.2.1 Vendors that have been registered onto the Database will have the opportunity to bid or quote on the university’s acquisition requirements. Registration onto the Vendor Database does not guarantee business opportunities as all acquisition will be subject to compliance with the registration-criteria and to the university procurement policies; and

2.2.2 the university reserves the right to accept or reject any application without being obliged to give any reasons in this respect. The Service Providers may be advised of the outcome of the application if telephonically requested.

2.3 Maintenance of Database
2.3.1 the university will update vendor information on an on-going basis. Vendors that have registered onto the Database should ensure that they furnish the university with any changes to the status of the information initially provided, as and when the information changes. It is the Service Provider’s responsibility to ensure that the information reflected on the Database is correct and up-to-date at all times.

2.4 Performance and Monitoring
2.4.1 Service Providers that have been registered onto the Database will be continuously monitored for their performance on work awarded to them by the university. This continuous monitoring process will form the basis to evaluate Service Provider’s performance, which will have an impact on future opportunities with the university.

2.5 Confidentiality

2.5.1 All information provided by vendors for registration purposes will remain confidential and will only be of use by the university unless otherwise required by law.

3 SERVICE PROVIDER’S DETAILS

Supplier Name:
........................................................................................................................................

Company / Close Corporation Registered Number: .........................................................

VAT Registration Number (if applicable):
..............................................................................................................................

Income Tax reference Number:
..............................................................................................................................

Web Address:
........................................................................................................................................

e-Mail Address:
........................................................................................................................................

Telephone Number(s):
..............................................................................................................................

Fax Number:
........................................................................................................................................
Toll Free Number:
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Cell Number:
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Number of Full Time Employees:
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Postal Address:          Physical Address:
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Postal Code:  :  Postal Code:
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4 SERVICE PROVIDER’S BANK DETAILS (To be completed by the Bank)

Name of Account Holder: 
........................................................................................................

Account Number: 
........................................................................................................

Name of Bank: 
........................................................................................................

Branch Code: 
........................................................................................................

Type of Account: Current (Cheque) Account / Savings Account / Other

I hereby confirm that the Bank details of the Account Holder indicated above are correct and correspond with those on our records.

Bank Official’s Surname and Initials: 
........................................................................................................

Signature of Bank Official: 
........................................................................................................

Bank Stamp Here


5 MAIN CONTACT PERSON IN YOUR COMPANY:

Name:
........................................................................................................

Position in Company:
........................................................................................................

Cell Number:
........................................................................................................

Fax Number:
........................................................................................................

eMail Address:
........................................................................................................

6 SUPPLIER CLASSIFICATION:  (Please tick the relevant boxes)

<table>
<thead>
<tr>
<th>ISO Listed</th>
<th>Importer</th>
<th>Service</th>
<th>Manufacturer</th>
<th>Repairer</th>
<th>Black Owner</th>
<th>Distributor</th>
<th>Exporter</th>
<th>Sales</th>
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</table>
7 SUPPLIER GROUPING DETAIL:  
Type of Firm: (Please Tick the relevant box)

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<table>
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<tbody>
<tr>
<td>1</td>
<td>Public Company (Ltd)</td>
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<td>2</td>
<td>Private Company (Pty) Ltd</td>
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<td>3</td>
<td>Closed Corporation (cc)</td>
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<td>4</td>
<td>Other (Specify)</td>
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<td>5</td>
<td>Joint Venture</td>
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<td>6</td>
<td>Consortium</td>
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<td>7</td>
<td>Sole Proprietor</td>
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<td>Foreign Company</td>
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<td>Partnership</td>
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<td>10</td>
<td>Trust</td>
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<td>11</td>
<td>Section 21 Company</td>
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<tr>
<td>12</td>
<td>Government/Parastatals</td>
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</tbody>
</table>

8 LIST ALL PARTNERS, PROPRIETORS AND SHAREHOLDERS: (Attach your own list if the space provided is inadequate)

<table>
<thead>
<tr>
<th>Surname &amp; Initials</th>
<th>ID Number</th>
<th>Position Occupied</th>
<th>Citizenship</th>
<th>Gender M/F</th>
<th>Disability Yes/No</th>
<th>Date Ownership</th>
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9 BROAD-BASED BLACK ECONOMIC EMPOWERMENT

Definitions:
9.1 **B-BBEE:** This will mean Broad-Based Black Economic Empowerment as defined in the Broad-Based Black Economic Empowerment Act 53 of 2003 and the Codes of Good Practice

9.2 **BEE Status:** This will mean BEE status of a beneficiary of Enterprise Development Contribution as determined under:
   - Statement 800 for Qualifying Small Enterprises and Exempted Micro Enterprises; and
   - Statement 000 for all other Enterprises.

9.3 **BEE Owned Company:** This will mean Juristic person, having shareholding or similar members interest, that is BEE controlled, in which Black participants enjoy a right to economic interest that is more than 50%.

9.4 **Black South Africans (BSA):** This will mean South African Blacks, Coloureds and Indians who, due to the previous apartheid policy had no franchise in national elections prior to the introduction of the Constitution of the Republic of South Africa, 1996, as defined in the B-BBEEA. A person, who obtained South African citizenship on or after the coming to effect of the Constitution, is deemed not to be a Black Person.

9.5 **EME (Exempt Micro Enterprises):** This will mean enterprises whose annual turnover is less than R5million per year. These enterprises are exempt from any form of BBBEE and are automatically level 4 Contributors. (Proof of turnover to be provided e.g. Audited Financial Statements).

---

Only BEE status certificates from registered/accredited agencies will be considered. Kindly complete the information requested below for verification purposes:

<table>
<thead>
<tr>
<th>PREFERENCE POINT CLAIM</th>
<th></th>
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<tbody>
<tr>
<td>Existing Scorecard</td>
<td></td>
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<tr>
<td>Percentages</td>
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<tr>
<td><strong>SMME Status</strong></td>
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<td><strong>Equity Ownership</strong></td>
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<td><strong>Employment Equity</strong></td>
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<tr>
<td><strong>Skills Development</strong></td>
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<tr>
<td><strong>Enterprise Development</strong></td>
<td></td>
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<tr>
<td><strong>Preferential Procurement</strong></td>
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</tbody>
</table>

**QUESTIONS:**

**EME Status:**

(a) Total annual turnover *(Proof of turnover to be provided e.g. Audited Financial Statements).*  

(b) Total gross asset value *(Fixed Property excluded)*

<table>
<thead>
<tr>
<th><strong>1 Equity Ownership</strong></th>
<th>Percentage of Black individuals that have economic interests in the enterprise</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>2 Management Control</strong></td>
<td>Percentage of Black individuals that reflect genuine decision-making board, executive and operational management</td>
<td>%</td>
</tr>
</tbody>
</table>
| **3 Employment Equity** | (Quantity)  
3.1 Total number of full-time equivalent paid employees  
3.2 Total number of full-time equivalent paid employees that qualify as BSA | (Quantity) |
| **4 Skills Development Levy** | Total amount spent on training of employees at SETA registered training institute | R |
| **5 Preferential Procurement and Enterprise Development** | Total amount invested into other Black empowered enterprises with an annual turnover of at least **R100 000.00**  
5.2 Total annual expenditure on purchases | R |
| 5.3 Total annual expenditure purchased from Black empowered enterprises | R |
| 6 Socio-Economic Development Initiatives | R |
| Grants, support to BSA, etc. |  |
10 SAFETY

10.1 Do you conduct your business in compliance with the requirement of the Occupational Health and Safety Act? (OHS Act No: 85 of 1993)

[Yes / No]

10.2 Are you registered and in good standing with the Compensation Commissioner? (Compensation for Occupational Injuries and Diseases Act No: 130 of 1993)

[Yes / No]

If “Yes”, please attach a copy of a valid letter of Good Standing. Please note that this is compulsory for all maintenance and building contractors. N/B: Failure to provide a valid letter of Good Standing when required will result in your Tender not being considered.

11 CONDITIONS OF PURCHASE

Important Conditions Pertaining To Purchase Orders

11.1 The Seller shall bear the risk of goods being damaged, lost or destroyed until delivery to the university is effected and receipt thereof acknowledged;

11.2 The Seller shall make provision for suitable packing and preservation in all quotations. Unless otherwise stated all packing containers and packing material shall become the property of the university upon delivery;

11.3 Unless otherwise stated, all goods shall be new and of the best quality. Goods shall be subject to approval by the university at all times. The Seller shall not be released from its obligations in respect of suitability of the materials and/or the quality of the goods by reason of the fact that the university made no objection, even though the said goods may have been inspected by the university or by reason of the fact that delivery thereof was taken by or on behalf of the university;

11.4 Should the Seller be unable to fulfil its obligations in terms of the order, it shall advise the university to this effect in writing, in which case the university reserves the right to cancel
the order and to purchase the goods from another supplier. The Seller may be obliged to compensate the university for any differences in cost;

11.5 Inasmuch as delivery of the goods may require the Seller or its authorised agent to enter the university premises, the Seller shall ensure that such precautions as are necessary to protect life and property anywhere on the university premises are taken, and the Seller shall be liable to the university for injury to any person, or damage to university property caused by or incidental upon negligence or default on the part of the Seller or its authorised agent;

11.6 **The university’s order number and VAT number must appear on the delivery note and invoice.** Any invoices and delivery notes without an order number will be ignored and returned to your company. Invoices without order numbers are seen as private agreements with individuals;

11.7 No alteration to an order may be made without the written approval of the university’s Head: Assets, Acquisition and Management department;

11.8 Part deliveries will be accepted only under exceptional circumstances. Payment thereof will be made only when all goods and/or services have been delivered;

11.9 the university reserves the right to cancel any order in the event where the goods or services are not delivered by the agreed date;

11.10 It is a firm the university requirement that all prospective Suppliers must complete a Supplier Application Form in full to be registered on its database;

11.11 All invoices must be forwarded to the address below:
   The University
   Assets, Acquisition and Management department
   P. O. Box
   South Africa
11.12 No deliveries will be accepted outside delivery hours, unless prior arrangements are made with the Head: Assets, Acquisition and Management department who can be contacted at: from Monday to Thursday – 08h00 to 16h00 and Friday – 08h00 to 13h00;

11.13 Should the Seller accept the order, or should the order not be returned within ten (10) days of the date thereof, it shall be assumed that the conditions as set out in the paragraphs above are binding; and

11.14 Payment will be made thirty (30) days after receipt of statement.
13 DECLARATION OF INTEREST BY A SUPPLIER WISHING TO CONDUCT BUSINESS WITH MUT

13.1 Any legal person may make an offer or offers in terms of an invitation to tender or apply to be listed as a Supplier for the university. In view of possible allegations of favouritism, the university requires full disclosure of any relationship the applicant or its employees may have with the university. In light thereof, it is required that the applicant, through the authorised signatory, take an oath in declaring its interest where:

13.1.1 The legal person on whose behalf the application is signed, has a relationship with a person/persons who is/are involved in the evaluation and/or adjudication of the application, or where it is known that such a relationship exists between the person or persons for or on whose behalf the declarant acts and persons who are involved with the evaluation and/or adjudication of the application;

13.1.2 A person or persons in a managerial position of the legal person on whose behalf the application is signed has a relationship (family, friend or other) with another university employer.

13.2 In order to give effect to the above, the following questionnaire must be completed and submitted with the bid:

13.2.1 Are you or any person connected with the Applicant employed by the university? [Yes / No]

If the answer to the question is “Yes”, please state full particulars thereof:

....................................................................................................................................................
....................................................................................................................................................
................................................................................................................................................................
................................................................................................................................................................

13.2.2 Do you, or any person connected with the Applicant, have any relationship (family, friend or other) with a person employed by the university, and who may be involved with the evaluation and/or adjudication of this application?

[Yes / No]

If the answer to the question is “Yes”, please state full particulars thereof:
13.2.3 Are you, or any person connected with the Applicant, aware of any relationship (family, friend or other) between the Applicant and any person employed by the university who may be involved in the evaluation and/or adjudication of this Tender?

[Yes / No]

If the answer to this question is “Yes”, please state full particulars thereof:

..............................................................

..............................................................

............
DECLARATION

I, the undersigned

(NAME) .........................................................................................................................................................

.............

in my capacity as

........................................................................................................................................................................

....... 

-certify that the information furnished on this declaration form is correct. I accept and acknowledge that the university may take further action against me, including removal from the university database and reject this application should this declaration prove to be false.

I take note of the fact that if incorrect information is supplied, the university reserves the right to cancel and/or terminate any order and/or contract previously awarded to the Applicant.

I also acknowledge that the university reserves the right to audit all information supplied above.

........................................................................................................................

.................................................. ........................................

SIGNATURE DATE

........................................................................................................................

........................................................................................................................

NAME OF BIDDER POSITION
### ANNEXURE “B”

#### DECLARATION OF INTEREST FORM

1. No bid will be accepted from persons in the service of the university without signing the relevant Declaration of Interest Form. By “In the service of the university” will mean to be: a member of any of the university’s Committees; a member of the university’s Council; an employee of the university; a student of the university; or a Service Provider at the university.

2. Any person, having a kinship with persons in the service of the university, including a blood relationship, may make an offer or offers in terms of this invitation to bid. In view of possible allegations of favouritism, should the resulting bid, or part thereof, be awarded to persons connected with or related to persons in service of the university, it is required that the bidder or their authorised representative declare their position in relation to the evaluating/adjudicating authority and/or take an oath declaring his/her interest.

3. **In order to give effect to the above, the following questionnaire must be completed and submitted with the bid.**

   3.1 Full Name:
   
   ...........................................................................................................................................

   3.2 Identity Number:

   ...........................................................................................................................................

   3.3 Company Registration Number:

   ...........................................................................................................................................

   3.4 Tax Reference Number:

   ...........................................................................................................................................
3.5 VAT Registration Number:


3.6 Are you presently in the service of the university? **YES / NO**

3.6.1 If so, furnish particulars.


3.7 Have you been in the service of MUT for the past twelve months? **YES / NO**

3.7.1 If so, furnish particulars.


3.8 Do you, have any relationship (family, friend, other) with persons in the service of the university and who may be involved with the evaluation and or adjudication of this bid? **YES / NO**

3.8.1 If so, furnish particulars.


3.9 Are you, aware of any relationship (family, friend, other) between a bidder and any persons in the service of the university who may be involved with the evaluation and or adjudication
of this bid?

YES / NO

3.9.1 If so, furnish particulars

.................................................................

.................

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3.10 Are any of the company’s directors, managers, principal shareholders or stakeholders in service of the university?

YES / NO

3.10.1 If so, furnish particulars.

.................................................................

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3.11 Are any spouse, child or parent of the company’s directors, managers, principal shareholders or stakeholders in service of the university?

YES / NO

3.11.1 If so, furnish particulars.

.................................................................

.................

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.................
CERTIFICATION

I, the undersigned and duly authorised to do so,

(NAME)..............................................................................................................................

on behalf of the enterprise (Name of Enterprise)
........................................................................................................................................
........................................................................................................................................
........................................................................................................................................
certify that the information furnished on this declaration form is correct. I accept that the university may act against me should this declaration prove to be false.

........................................................................................................................................
........................................................................................................................................
SIGNATURE DATE
........................................................................................................................................
........................................................................................................................................
POSITION NAME OF
BIDDER/REPRESENTATIVE
COMMISSIONER OF OATHS:

Name: .............................................................................................................

Signature: .......................................................................................................
ANNEXURE “C”

CONFIDENTIALITY PROCUREMENT PROCESS FORM

1. I, ...................................................................................................................... am an employee of (Name and Surname)

   the university with employee number .............................................................

2. I am a member of

   ..................................................................................................................

   ...........................................,(Name of Committee/Workgroup)

   dealing with the procurement process of the university in terms of the Procurement Policy.

3. Information furnished to me, in my capacity as a member of the committee/workgroup, in the course of the procurement process in respect of the procurement of specific goods or services, will be regarded as confidential and I will maintain and preserve the confidentiality of any confidential information.

4. Confidential information shall not be disclosed, disseminated, or released to any other employee or third party.

5. I understand that the inappropriate use of the confidential information will result in disciplinary action.
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<tr>
<td><strong>Name (Please print)</strong></td>
<td><strong>Signature</strong></td>
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<td><strong>Date</strong></td>
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14. CODE OF CONDUCT FOR SERVICE PROVIDERS

The purpose of the university’s Code of Conduct for Service Providers is to guide and formalize business relationships between the university and Service Providers and to ensure that a professional standard of business practice is achieved. The Code of Conduct for Service Providers describes responsibilities and standards of behaviour required of all service providers in the provision of goods and services to the university. It emphasizes the responsibility of Service Providers to ensure that they act in accordance with the university service requirements and that they exhibit the highest standards of professionalism, honesty, ethical decision-making and trust placed in them by the university.

14.2. Scope

The university’s Code of Conduct for Service Providers applies to all Service Providers at the university and to all relevant the university staff and students.

14.3. Objectives

The objectives of the Code of Conduct for Service Providers at the university are:
14.3.1. To provide a framework for identifying conduct that is ethical, appropriate and acceptable for Service Providers at the university as well as staff and students who deal with them;

14.3.2. To ensure that all Service Providers at the university are aware of the basic values cherished by the university community;

14.3.3. To create a context for ethical use of authority; and

14.3.4. To support all efforts aimed at curbing dishonest and unethical behaviour.

14.4. Definition of concepts

14.4.1. Core Values

The core values of the university form the foundation on which the university performs its business and conducts itself. They shape the culture, define the character and guide the behaviour as well as the decision-making at the university.

The following are some of the core values, which will guide the university in decision-making as well as in interactions between its staff, students and Service Providers:

- Respect for the law;
- Honour for the university’s core activities and support services;
- Respect for the university Community and other the university Service Providers;
- Integrity;
- Diligence;
- Efficiency;
- Accountability and responsibility;
- Honesty;
- Ethical decision-making; and
- All other positive attributes contributing towards sound ethical standards.

14.4.2. Corruption
Corruption will mean the act of offering, giving, soliciting or accepting an inducement or reward which is not lawfully due. It is improper actions or any improper approach or solicitation, either directly or through a nominee, to act in any way which could be to the university’s disadvantage. This will include rewards for corrupt acts which are often indirect, and not necessarily in the form of cash payment.

Corrupt activities will include but not be limited to:

- Exercising preferential treatment in the awarding of tenders or contracting of service providers;
- Manipulating the procurement process;
- Payment for services not rendered or goods not delivered;
- Disclosing confidential information about the university and/or its staff, students and Service Providers for gain;
- Manipulating the value of assets;
- Performing favours for relatives and friends;
- Incorrect or deliberate over-invoicing;
- Averting the legal consequences of unlawful acts or omissions; and
- Avoiding compliance with laws and regulations.

14.4.3. Fraud

Fraud will mean any unlawful and/or dishonest act or omission by which a deliberate misrepresentation is made with the intention to defraud. Such an unlawful and/or dishonest act or omission will cause actual prejudice or will be potentially prejudicial to another, whether or not there is personal benefit to the perpetrator.

14.4.4. Maladministration

Maladministration will mean the act of administering or managing inefficiently or dishonestly. It will describe corrupt behaviour by any individual official or a group of officials whose situational leadership style could be construed as unjust, dishonest, or ineffective.

14.4.5. Service Providers
Service Providers (both long term and short term) will be defined as those Contractors and/or Suppliers who have a service contract directly with the university, are funded through budgets under the control of Council and may or may not have permanent full-time staff in their employ who are paid by them.

14.4.6. Theft

Theft will mean the unlawful and intentional removal of property or money without the owner’s permission with the intention to temporarily or permanently deprive the owner of the benefit thereof.

14.5. Principles

The provisions of this code will constitute minimum and not maximum standards. Service Providers are encouraged to exceed these minimum standards. It is assumed that Service Providers will comply with national and other applicable law and, where the provisions of law and this code address the same subject, will apply that provision which affords the greater protection:

14.5.1. Ethical and Professional Behaviour

Service Providers will conduct themselves honourably, responsibly, ethically and lawfully and will not bring the name of the university into disrepute. They will show professional behaviour at all times during the conduct of their duties. They will organize and provide goods and services efficiently and with minimum disruption. They will avoid unnecessary costs and deliver all services to the best performance standards as agreed upon between the university and themselves.

14.5.2. Co-operation with the university

Service Providers will be professional, polite and will participate in their dealings with the university staff and students at all times. They will co-operate fully with MUT officers who undertake review and verification activities. They will be obliged to:

- Respond honestly to questions;
- Ensure availability of records; and
- Work together with the university officers who conduct approval and verification activities such as gathering information, observation, monitoring, auditing and review.
14.5.3. Competence

Service Providers will be approved on the basis of their competence, professional expertise and willingness to maintain a high level of performance and to support all efforts aimed at curbing dishonest practices. The university will have the right to revoke the approval of a Service Provider if there is evidence of deterioration or incompetence in the Service Provider’s standard of performance; and

14.5.3.1. Drugs and Alcohol:
Service Providers who are proven to be under the influence of alcohol, drugs or other substances, will not be allowed to perform their duties.

14.5.4. False Declarations

Service Providers are prohibited from colluding with the university staff and/or students with the intention to provide false or misleading information. They will be expected to take all measures to maintain the integrity of goods, services and records they provide.

14.5.5. Bribes, Gifts and Benefits

Service Providers will refrain from entertaining actions constituting corruption, fraud, theft and/or maladministration. They will not be allowed to encourage and/or engage in any unlawful act, directly or indirectly, that will influence a decision on providing goods and services and/or on acting according to Service Providers’ normal duties. They will not be allowed to raise any funds under the name of the university.

14.5.6. Discrimination

All those involved in the university business activities will act with fairness and justice to all parties. The university will prohibit unfair discrimination or any form of harassment, whether direct or indirect, against university employees, students and Service Providers.

Service Providers will treat all persons fairly, regardless of race, gender, sex, pregnancy, marital status, family responsibility, ethnic or social origin, colour, sexual orientation, age, disability,
religion, HIV status, conscience, belief, political opinion, culture, language, or birth. They will be expected to understand and accept that affirmative action and/or distinguishing, excluding or preferring any person on the basis of an inherent requirement of a job, is not unfair discrimination.

14.5.7. Conflict of Interest

Service Providers will act as faithful agents of the university. They will avoid conflicts of interest. They will disclose any interest they may have. Examples of conflict of interests will include:

14.5.7.1. Undertaking services and/or businesses for friends and relatives in which friends or family have an interest;

14.5.7.2. Personal beliefs or attitudes that can influence providing goods and services impartially;

14.5.7.3. Personal relationships that go beyond the level of a professional working relationship with people the university/the Service Provider is dealing with;

14.5.7.4. Any financial or other personal interest that can directly or indirectly influence or compromise the Service Provider in performing his/her duties;

14.5.7.5. Disclosing to another organisation or person, sensitive or confidential information gained through employment by the university; and

14.5.7.6. Undertaking other employment that can compromise the integrity of goods and services provided on behalf of the university, e.g. providing opportunities for conflicts of interest, corrupt conduct and misuse of university resources and information.

14.5.8. Confidentiality

Service Providers will treat all information they have obtained while providing a service to the university as confidential. Information that they accessed or collected about the university will be used only for the purpose for which it was originally intended.
Information relating to the university will only be disclosed to other persons with written authority from an authorised university official; if the law requires the disclosure; or when there is reason to believe that the use or disclosure of the information is reasonably necessary for:

14.5.8.1. Reducing or preventing a serious or imminent threat to an individual’s or the public’s life, health or safety;

14.5.8.2. Prevention, detection, investigation, prosecution or punishment of criminal offences and other breaches of the law;

14.5.8.3. Prevention, detection, investigation or remedying of seriously improper conduct or proscribed conduct; and

14.5.8.4. The preparation or conduct of proceedings before any court of law or tribunal.

14.5.9. Dangerous Work Practices

The university will require that Service Providers comply with all Occupational Health and Safety (OHS) regulations and procedures, injury management and workers compensation legislations, including providing compensation insurance coverage for all their employees and developing safe practices and procedures:

14.5.9.1. A safe and hygienic working environment will be provided, bearing in mind prevailing knowledge of the industry and of any specific hazards. Adequate steps will be taken to prevent accidents and injury to health arising out of, associated with, or occurring in the course of work, by eliminating as far as is reasonably practicable, the causes of hazards inherent in the working environment. Occupational health and safety practices will be conducted in accordance with a best practice checklist provided by the university;

14.5.9.2. Regular and recorded health and safety training will be provided, and such training will be repeated for new or re-assigned workers;
14.5.9.3. Access to clean ablution and changing facilities and to potable water, and if required sanitary facilities for food storage, will be provided accordingly;

14.5.9.4. Accommodation, where provided, will be maintained clean, safe and will meet basic needs; and

14.5.9.5. Responsibility for health and safety will be allocated to a senior management representative nominated and/or assigned by the specific Service Provider.

14.5.10. Political Participation

As members of the community, both the university and Service Providers will ensure that any participation in political matters does not conflict with their duties of fulfilling the university’s core activities and rendering support services.

14.5.11. Public Comment

Service Providers will be expected to ensure that public comments they make as private individuals do not appear as official comments on behalf of the university. They will only issue either public or internal statements in an objective and truthful manner. They will be prohibited from issuing statements, criticisms, or arguments that may be construed as derogatory or defamatory to the university and its business activities.

14.5.12. Copyright

Service Providers will be prohibited from reproducing any part of the university publications by any means (including electronic, mechanical, micro-copying, photocopying, recording or otherwise) without prior written permission from the authorised university management official.

14.5.13. Professional Indemnity

The university will require that all its Service Providers administer their own appropriate insurance coverage for their occupation, including professional indemnity and public liability.
14.5.14. **Employment**

14.5.14.1. Service Providers’ part-time, casual and permanent full-time staff in their employ will be paid directly by them in accordance with national employment and remuneration provisions;

14.5.14.2. Minimum wages will be paid in accordance with the Provincial Supplemented Living Level for African households with an average of 4 – 5 persons;

14.5.14.3. Working hours for Service Providers’ employees will be analogous to national regulation working time. They will be a maximum of 45 hours per week, after which overtime will be voluntary and will be paid at overtime rates. A minimum, equivalent to 4 hours remuneration, will be paid in any one day;

14.5.14.4. A night work allowance of 10% of the hourly rate will be paid for hours worked between 18h00 and 06h00; and

14.5.14.5. At least minimum legal maternity leave requirements will be adhered to and the amount paid by the Unemployment Insurance Fund to an individual on maternity leave will be supplemented, so that the individual receives a full basic wage while on maternity leave. Paid paternity leave of at least 7 calendar days will be granted for each confinement.

14.5.15. **Freedom of Association and Collective Bargaining**

14.5.15.1. The right of workers to join or form trades union and to bargain collectively will be recognized;

14.5.15.2. A constructive and open attitude towards the activities of trades union and their organisational activities will be adopted;
14.5.15.3. Worker representatives will not be discriminated against and will be provided with access to the workplace to carry out their representative functions; and

14.5.16. Sets of Reports

Regular monitoring will take place, culminating in an annual report prepared by the Service Provider on adherence to the code of conduct. Workers will be invited annually to comment on adherence to the Code of Conduct and on the Employer Report. Both these sets of reports will be circulated to the university’s Human Resource Committee for comment to Council annually. Random inspections will also take place as appropriate.

14.6. Legal prescripts

This Code of Conduct for Service Providers will operate in conjunction with the relevant legal prescripts including the following:

- Basic Conditions of Employment Act, 1997 (Act no: 75 of 1997);
- Broad Based Black Economic Empowerment Act (BBBEEA);
- Employment Equity Act, 1998 (Act No: 55 of 1998);
- Higher Education Act, 1997 (Act No: 101 of 1997);
- The King Codes of Corporate Governance;
- the university Acceptable Use of Information Computing Technology (ICT) Systems Policy;
- the university Code of Conduct for Council Members;
- the university Fraud Policy;
- the university Procurement and Expenditure Policy;
- the university Tender Policy;
- Preferential Procurement Policy Framework Act (PPPFA), 2000;
- Prevention and Combating of Corrupt Activities Act, 2004;
- Promotion of Access to Information Act, 2000, as amended;
- Public Finance Management Act (PFMA), 1999; and
14.7. **Code of conduct review**

This Code of Conduct will be reviewed when it becomes necessary.
ANNEXURE “A”

SERVICE PROVIDER’S DECLARATION

I/we acknowledge that I/we have been provided with a copy of the Code of Conduct for Service Providers.
I/we have read and agree to comply with the principles, terms and conditions set out in the Code of Conduct for Service Providers.

I/we also understand and am/are aware that any breach of the Code of Conduct for Service Providers will lead the university to take sanction against my/our organisation and/or will result in my/our organisation’s suspension or cancellation of my/our business relationship with the university.

Name of the Service Provider

Address of the Service Provider

Telephone Numbers of the Service Provider

Name of the Service Provider’s Representative
Signed ........................................At ........................................Date  
........................................

the university WITNESS:

______________________________
Name of the university Representative

______________________________
Signature
15. CONTRACT MANAGEMENT

POLICY REFERENCE: F070

<table>
<thead>
<tr>
<th>Name of Originator</th>
<th>PS</th>
<th>Name of VC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approved by QC</td>
<td>PS</td>
<td>Approved by Legal Div</td>
</tr>
<tr>
<td>Policy code and number</td>
<td>F070</td>
<td>Approved by Registrar</td>
</tr>
<tr>
<td>Date sent to VC</td>
<td></td>
<td>Approved by VC</td>
</tr>
<tr>
<td>Date sent to Council</td>
<td></td>
<td>Approved by Council</td>
</tr>
</tbody>
</table>

15.1. Objective

To ensure that contracts are properly managed once they are entered into and that the university receives the services contracted for and consequently, value for money.

15.2. Scope

This covers all contracts for goods and services which the university has concluded.

15.3. Policy & Procedure

15.3.1. Contract management

Policy and procedure – contract management

- As soon as any contract has been concluded in accordance with the procurement policy, such contract must be entered into an electronic contracts register.
- This register must include details of the contract, its start date, duration, end date and details of goods and services to be provided over the duration of the contract period.
• It is the duty of the person responsible for contracts to ensure that the contractor adheres to every aspect of their contract on a daily basis

• In addition, the contracts manager must check the contractor’s invoice every month to ensure that the invoice only covers actual services provided

• An illustrative example would be where a security company has contracted to provide 40 guards a day over 4 different grades. Their monthly invoice will be as per the contract, yet nobody checked during the month how many guards were actually on site and what grades they were. In addition, the contract may state that guards must be properly dressed, but nobody ever checks that the guards are properly attired, even though the contract price has included an amount for uniforms

• In a nutshell, every contract must be managed every month

• The contract manager must sign off the invoices in respect of all contracts before they may be processed for payment
INVENTORY
NEW UNIVERSITY POLICY

16. INVENTORY MANAGEMENT

POLICY REFERENCE: F075

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16.1. Objective

To ensure procedures and internal controls are in place to record the receipt, issuing and control of inventory items so as to assure the integrity of the accounting records and the protection of university assets.

16.2. Scope

Each campus must have a Store where goods are received and from where all goods are issued. Each store will employ staff who are sufficiently trained on the relevant computer systems to properly account for the goods under their control.

16.3. Additional information

- An awareness of the special precautions is required when handling the more exchangeable forms of money, like cash and uncrossed cheques.
- Staff who are assigned cash handling responsibilities should be appropriately trained and be aware of relevant policies and procedures.
- The insurance rules covering the loss of cash are stringent. To be adequately covered, each HOD has to provide the Insurance office with specific information annually.
• Any monetary loss as a result of non-compliance with this policy is deemed to be gross negligence and could be cause for disciplinary action.

16.4. Policy & Procedure

• Receiving
• Issuing
• Controlling & Reconciling

16.4.1 Receiving

Policy and procedure - Receiving
• All goods, whether for stock or for a department, purchased through the procurement process must be physically received at the store and a Goods Received Voucher (GRV) prepared
• The GRV must be entered into the accounting system within 24 hours of receipt of the goods
• This will result in the stock record being updated and the stock being available for issue or, if the goods were purchased for a department, the relevant cost centre being debited
• Where the goods were purchased for a department, the department must be immediately notified of the arrival of the goods
• Stores personnel to inspect all goods against the purchase order for correctness of spec, quality and quantity before signing the delivery note
• Delivery note and GRV to be forwarded to the Creditors department for comparison with the invoice
• In some cases the physical dimension of the goods may be too large for entry into the store and subsequent issue – it may be difficult for stores personnel to handle the goods. In such cases, delivery may be made at the location where the goods are required. In that case, the delivery vehicle should call at the store first and a member of the stores personnel should accompany the vehicle to the ultimate delivery site and check the goods and take the documentation back to the store for immediate processing
• Goods to be placed on shelves in store immediately upon receipt. Where environmental control is required, this immediacy requirement is even more relevant
### 16.4.2 Issuing

**Policy and procedure – Issuing**

- Stores may only be issued on properly authorised stores requisitions – refer to Delegations of Authority policy
- Upon receipt of such requisition, stores personnel must immediately process a Good Issue Note to ensure that the inventory is updated on the system and that the balance is not overstated should another requisition come through the system
- Within a maximum of 4 hours of receiving the stores requisition, stores staff are to remove the goods from the shelves and advise the relevant requisitioner that their goods are available for collection.
- Arrangements can be made for the stores staff to deliver the goods to the requisitioner
- In either case, the stores staff and the requisitioner agree that the goods are correct in terms of spec, quality and quantity and both sign the Goods Issue Note in evidence thereof. Unless the Goods Issue Note is signed by both parties, it will not be considered to be complete

### 16.4.3 Controlling & reconciling

**Policy and procedure – Controlling & reconciling**

- Stores must be kept neat and tidy at all times
- Access to the store must be tightly controlled – only stores staff or properly authorised personnel may enter
- Inventory must be issued on a FIFO basis to ensure that goods do not become too old for issue
- Inventory may only be ordered by the Head of Stores and in accordance with the procurement policy
- Any old or obsolete stock must be disposed of in accordance with the asset disposal policy and only upon the authorisation of the Executive Director Finance
- A process of continuous stock taking must be maintained such that at least 25% of stock by value is counted each month and every line item is counted at least every 3 months. These stock takes must be formal, counted independently by at least different people and must be
balanced with the stock records. Any variances must be reported to the Executive Director Finance on a monthly basis.

- All write offs and write ups of inventory must be approved by the Executive Director Finance

- An annual stock take must be undertaken at the end of December for year-end auditing purposes and the external auditors must be afforded the opportunity to attend the stock take.

- Every month, the stores records must be reconciled to the general ledger and all variances investigated

- Under no circumstances may any journals be processed to the stock control account in the general ledger and such control account should be disabled for this functionality
17. VAT POLICY

POLICY REFERENCE: F080

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17.1 Objective

To register as a VAT vendor and maintain the bi-monthly VAT administration

17.2 Scope

All expenditure attract VAT and the accounting systems must be set up in such a way as to maximise the possible VAT deductions and possibly qualify for regular VAT refunds

17.3 Additional information

As soon as a university reaches the threshold of R1m of VAT-able supplies per annum, it must register as a VAT vendor. Any entity can choose to register for VAT if VAT-able supplies exceed R50 000 and there is an expectation that input VAT will be of such proportion that input will exceed output and the university will qualify for a refund.

VAT is charged on all services provided (i.e. on all income) excluding government subsidy and grants and tuition and accommodation.

The proportion of VAT-able income to non VAT-able income is calculated as the VAT fraction and this fraction is applied to selected input costs to determine the amount payable to or by SARS
It is critical that the accounting records are correctly set up to cater for the correct allocation of the VAT input costs. Errors in this set up can cost the university a lot of money and it is recommended that expert assistance be engaged to assist in this set up.

17.3.1 VAT

Policy and procedure – VAT

- The university should seriously consider registering for VAT if VAT-able supplies do not exceed the threshold of R1m
- When VAT-able supplies do exceed R1m the university has no alternative but to register for VAT
- The accounting system must be set up in such a way so as to maximise the VAT benefit achievable from registering.
- Professional assistance should be sought to set up the cost centre records to maximize the VAT fraction
- Every 2 months the VAT administration requires that returns are submitted to SARS. This can be quite a technical exercise and professional assistance could be sought
18. REGISTRATION AS A PBO AND S18A CERTIFICATES

18.1 Objective

To register as a Public Benefits Organisation (PBO) which would qualify the university to issue S18A certificates to donors to qualify for a tax deduction

18.2 Scope

All donations received by the university in cash or kind could qualify for a tax deduction in the hands of the donor if the university was able to issue S18A certificates

18.3 Registration as a PBO and S18A certificates

18.3.1 Policy and procedure – VAT

- The university should register as a PBO in terms of the Income Tax Act
- When donations are made in cash or kind, the finance department must be notified and they will record the donation in a register
- The finance department will then issue a sequentially numbered S18A certificate and record that in the register of donations
- At year-end a summary of all S18A certificates issued must be compiled and submitted together with the annual tax return
• Where the donation comprises of assets, the approximate value of those assets must be determined and the fixed asset register update accordingly
• Where the donation is cash, a receipt must still be issued as per the cash book policy
DEBTORS
NEW UNIVERSITY POLICY

19. DEBTORS POLICY

POLICY REFERENCE: F090

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19.1 Objective

To ensure that sufficient effort is expended in controlling all amounts owing to the university and that such amounts are paid timeously and correctly

19.2 Scope

This covers all amounts due to the university, including student debt, amounts owing by staff and third party debtors

19.3 Additional information

As a rule, no amounts due to the university should be outstanding for any protracted period as, the longer an amount is outstanding, the easier it is to deem that amount a loan – and the university is not registered as a lender in terms of the National Credit Act

19.4 Policy & Procedure

- Student debtors
- Amounts owing by staff
• Amount owing by third parties

19.4.1. Student debtors

Policy and procedure – Student debtors
• As soon as a student registers, their account is updated with the full amount of fees and accommodation due
• Many student receive financial aid in some form or another and a record of this must be kept against a student’s file in the system
• Any amount not so recorded is therefore due and payable by the student in terms of the terms and conditions of the university as published in the prospectus
• The accounting system should be structured in such a way as to ensure that the student has access to his/her account from anywhere
• On a monthly basis an sms and email statement should be sent to the student
• At least once a quarter, paper statements should be sent to the postal address on record of the person responsible for the student account on record
• The debtor listing must be regularly reviewed and defaulters contacted and counselled
• No student should be allowed to graduate if they have outstanding fees
• The university should develop a formula in conjunction with the auditors to determine how much and on what basis the debtors balance should be impaired for annual financial statement purposes

19.4.2. Amounts owing by staff

Policy and procedure – Amounts owing by staff
• For any number of reasons staff may owe the university monies. These could relate to advances which have not been timeously cleared, overspend on advances, etc
• The staff must be sent a statement at least once a month indicating their indebtedness
• The letter of appointment of staff must be worded in such a way that it is made clear to and agreed by the staff member that any amount due by them may be deducted from the following month’s pay
• Where staff enrol for courses at the university, they are also a student. In such cases the amount due for fees must be deducted from their pay over a 5 month period
19.4.3. Amounts owing by third parties

**Policy and procedure – Amounts owing by third parties**

- Third parties may be indebted to the university for many reasons eg rental of facilities, conference fees, pledges made, sponsorships, donations etc
- In all such cases, an invoice will have been prepared by the finance department and the debtor’s account in the system updated
- Without fail, statements should be sent to all such debtors both electronically and in hard copy, every month
- Any debtor who does not pay within 30 days should be contacted
- Any debtor who does not pay within 60 days should be referred to the Executive Director Finance for further follow up and reporting
20. **STUDENT FEES ADMINISTRATION POLICY**

**POLICY REFERENCE: F095**

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**20.1. Purpose**

The purpose of the Student Fees Administration Policy is to outline the principles that will guide the university in accepting student fees and administering the student fee payment system for the university.

**20.2. Rationale**

Since student fees, the collection of student fees and the administration of the student fee payment system are sensitive matters, it is imperative that the university has in place a policy to guide these processes. Therefore, in administering fees paid to the university in support of student learning activities, the Student Fees Administration Policy seeks to enforce the university’s prescribed regulations and procedures and to ensure that principles guiding payment system of student fees are adhered to.

**20.3. Scope**
The Student Fees Administration Policy will apply to all students of the university and to all staff of the university with responsibilities relating to accepting and administering student fees payable to the university.

20.4. Definition of concepts

Student fees will mean charges prescribed by the university Council to be paid by students in enabling teaching and learning activities and other official university activities. Student fees will normally consist of application fees; acceptance deposit; tuition fees (registration, all charges for classes, tutorials and laboratories, ordinary university examinations, library access, computer systems, facility upkeep and the provision of comfortable student learning experience); compulsory personal accident insurance; the use of general sporting and related facilities; residence fees; transport fees; SRC fees; interest on fees in arrears; and miscellaneous fees and levies.

20.5. Policy principles

The Student Fees Administration Policy is based on the following principles:

20.5.1. In administering the student fee payment system, the university Council will determine the student fee structure, set out rules and conditions of payment of fees, and will reserve the right to alter all fees payable to the university and/or to impose a fees surcharge if circumstances require it, and inform each registered student thereof;

20.5.2. Liability for all student fees will begin as soon as completed application forms are submitted to the university and the prospective student is accepted;

20.5.3. The signing of the application form will establish the legal liability of the student and his/her funder or guardian for the payment of all student fees, as determined by the Council;

20.5.4. Ignorance of fees payable will not provide grounds for avoiding liability for any fees due and payable;
20.5.5. In order for a student to renew his/her registration after the expiry of the study period with the university, he/she will be required to comply with the university’s Admissions Policy and/or all conditions set by the Council, including the payment of outstanding fees;

20.5.6. International Students will be liable to pay full student fees in advance, at least three (3) days before the day of Registration;

20.5.7. In cases where a student’s fees are to be paid in instalments, a student will attach a signed surety form to his/her registration form. A student who, does not have a Commissioner of Oaths certification of the surety’s signature, will be accompanied by the surety/parent/guardian with full identification to the Commissioner of Oaths at registration venue;

20.5.7.1. The following categories of students will be exempt from surety compliance, but will still need to complete the surety form and still be guided by terms and conditions of their funders:

20.5.7.2. Sponsored Students will produce their Sponsor Letter to the Finance department for approval or verification;

20.5.7.3. Employed Students will produce Proof of Employment to the Finance department for verification;

20.5.7.4. Staff and/or Staff Dependents will produce the university’s completed and approved Staff Remission Form to the Finance department for verification;

20.5.7.5. Students with Fee Remission, Council Concessions or Special Arrangements will produce relevant documents issued by the university Financial Aid Bureau and other relevant Departments to the Finance department for verification;

20.5.7.6. Students with NSFAS and other Bursaries will produce relevant letters from the university Financial Aid Bureau for verification;
20.5.7.7. Students who hold Loans will produce their Loan Approval Slips to the Finance department for verification;

20.5.8. Registration fees will be payable in favour of “the university” in advance, by being deposited into the university’s Student Fee Bank Account, at least three (3) days before the day of Registration:

20.5.8.1. For Non-resident students, the registration fee will be equal to or be above the first instalment of the Tuition Fees;

20.5.8.2. For Resident students, the registration fee will be equal to or be above the first instalment of Tuition Fees plus 50% of the Residence Fees;

20.5.9. Any student whose fees are in arrears and/or are not paid by the due dates or who has outstanding fines and levies and/or other accounts due, will be excluded from attendance of classes or from residence, unless satisfactory arrangements have been made with the Registrar and the Director: Finance for the payment of his/her outstanding fee account;

20.5.9.1. A student whose fees are in arrears without any satisfactory arrangement for their payment will not be accepted as a candidate for university examinations and/or will not be issued with certificates of any description or qualification;

20.5.9.2. Graduating students with outstanding fees will not be included in the graduation programme and will thus not be allowed to graduate;

20.5.10. Every method of payment towards fees will be made in favour of “the university”;

20.5.11. All student fees will be deposited into the university’s Student Fee Bank Account. The student’s Registration Number will be used as a compulsory reference on the Bank deposit slip or for any other means of payment. Failure to do so may result
in a delay in crediting the student’s fee account and thus attracts resultant additional charges;

20.5.11.1. Payment will be made in favour of “the university” into the relevant University’s Student Fee Bank Account. Payment will be in the form of: crossed Cheques (preferably Bank Guaranteed Cheques); crossed Postal Orders; crossed Money Orders; Direct Electronic Credit Cards; Direct Electronic Debit Cards; Electronic Funds Transfer (EFT); and Cash Bank Deposits. For cash handling security reasons, only miscellaneous fees for amounts below R100 will be paid directly at the university Cashiers’ hub;

20.5.11.2. Bank Note remittance by post to the university is prohibited;

20.5.11.3. Where a payment is made by cheque or debit order; and then that payment is dishonoured by the bank, a penalty fee of R200 per transaction will be levied;

20.5.12. Fraudulent Promissory Notes will activate a summary deregistration of a student debtor concerned; and

20.5.13. When paying at the university Cashiers, a paying student will obtain an official university receipt to be kept for future reference.

20.6. Responsibility and authority

20.6.1. An individual student of the university will be responsible for: regularly accessing information about his/her fee instalments, honouring prescribed periods for paying applicable fees, and for ensuring that he/she makes every payment against his/her correct student number;

20.6.2. An individual staff member tasked with responsibilities relating to the functions of the Student Fee Administration will be responsible for assisting students with fee information and for verifying validity of any method of student fee payment; and
20.6.3. The **Management of the university** will be responsible for implementing and supporting the functions and principles of the Student Fees Administration Policy.

20.7. **Policy context**

This policy is informed by the following documents:

- Higher Education Act, 1997 (Act No: 101 of 1997);
- The university Admissions Policy, 2009;
- The university Financial Aid Bureau Policy, 2009;
- The university General Regulations for Students, 2010;
- Public Finance Management Act (PFMA), 1999 (Act No: 1 of 1999 as amended);
- Standard Institutional Statute, 2002;
- Student Fees at Durban University of Technology (DUT), 2010;
- Student Fees at Rhodes University, 2010;
- Student Fees at Stellenbosch University, 2010;
- Student Fees at University of Cape Town, 2010; and
- Student Fees at Vaal University of Technology, 2010.

20.8. **Policy review**

This policy will be reviewed every year.
STUDENT FEES
NEW UNIVERSITY POLICY

21. STUDENT FEES

POLICY REFERENCE:

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21.1. Objective

To record the university’s philosophy towards charging student fees and the setting and management thereof

21.2. Scope

Fees charged to students for tuition, accommodation and various levies.

21.3. Policy and procedure – Student fees

- All universities receive income from 3 sources being, government subsidies, student fees and third stream income. Subsidy block grants are fixed and cannot be influenced by university actions in the short term and third stream income can be insignificant and potentially very volatile i.e. susceptible to material variation due to factors outside of the university’s influence

- University expenditure increases annually at least at CPI or more and the cost of providing the service to the students increases annually
• Students are expected to pay towards the cost of their tuition and accommodation; this is not something that the university, burdened with annual increases in costs, can be expected to provide free of charge

• The Council of a university is ultimately responsible for the setting of fees on an annual basis. These amounts are recommended to Council by management after consultation with the relevant SRC

• Students from underprivileged backgrounds can apply to the National Student Financial Aid Scheme (NSFAS) for funding if they are unable to afford the cost of tuition and accommodation.

• The university will manage student fees in accordance with the provisions of the NSFAS Act. A means test will be applied to ascertain whether a student qualifies for funding by NSFAS. Qualifying students will be expected to sign loan agreement forms and, dependent upon their academic performance, up to 40% of the loan may be converted to a bursary

• Qualifying students will usually be funded for their full tuition and accommodation fees, subject to the amount available to the university by NSFAS

• Students are charged the full tuition and accommodation fees upon registration and this amount is reflected as an amount owing on their student debtor record. Students are expected to make regular payments such that their debtor amount is fully repaid before the next academic year

• Students with outstanding debt will not be eligible to register in the next year. Final year students who still owe money may be allowed to attend graduation but will not receive their certificates until their account is paid in full

• In respect of accommodation, the university charges a breakage deposit which will be used to repair damages caused during the student’s occupation. Any amount not so utilised will be refunded to the student on their departure
PAYROLL
NEW UNIVERSITY POLICY

22. PAYROLL

POLICY REFERENCE: F100

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22.1. Objective

To ensure procedures and internal controls are in place to accurately record the payroll and relating entries resulting therefrom

22.2. Scope

There will be one payroll for the university which will be administered within the finance department. Of necessity, there will be a very close link between the finance department and HR insofar as it relates to payroll

22.3. Additional information

Payroll is an area where there are very many additional legal requirements and this function must be resourced by people with a good prior knowledge of payroll administration and the on-going requirements of the Income Tax Act which change regularly. There are very specific statutory deadlines relating to payroll and these must be strictly adhered to in order to avoid unnecessary penalties and interest
22.4. Policy & Procedure

- Basic payroll maintenance
- Monthly reconciliation of gross pay
- Monthly reconciliation of control account and bank account
- Handling of third party payovers
- Taxation of contractors
- EMP 501 reconciliations

22.4.1. Basic Payroll Maintenance

Policy and procedure – Basic payroll maintenance

- The payroll function, as a rule, responds to instructions/advises/notifications from the HR department. New appointments, terminations, changes to medical aid details etc all emanate from the HR department.
- All variations (as above) from month to month are captured in the payroll masterfile and suitably authorised documentary evidence of all changes to the masterfile must be kept on file for auditing purposes.
- A log of all changes to the masterfile must be printed out at least monthly and signed off by both the Executive Director HR and the Executive Director Finance.
- The HR department may not always be aux fait with the requirements of the income tax act. Any change given through by the HR department must be considered from the point of view any effect that the income tax act may have. For example, the granting of allowances (housing, cellphone, travel etc) will have a perks tax effect and must be properly updated against the correct codes in the system. Failure to do so will result in significant penalties and interest for the university. A further example is the re-imbursement of various staff claims; these must be recorded and paid through the payroll system against “non-taxable” codes so as to be correctly reported on the staff member’s IRP 5. All such documentation is to be kept on file for auditing purposes.
- Overtime may only be recorded in the payroll system if it properly documented and authorised.
- A copy of each Cost Centre’s payroll must be sent to the HoD every month and they must sign off that the payroll is correct as regards headcount and such signed copy to the finance.
department every month. It is the duty of the finance department to ensure that these are returned to them

- The value of the gross pay is to be transferred into the salary bank account
- Under no circumstances should the university be making personal deductions from payroll for staff eg personal insurance, cellphone, retirement annuities etc

22.4.2. Reconciliation of gross pay

Policy and procedure – Reconciliation of gross pay

- Every month the movement of gross pay from the prior month must be analysed and reconciled. This will include an analysis of basic pay:
  - New appointments
  - Terminations
  - Properly authorised changes to pay
- In addition, the total paid on various other pay codes must be analysed and reconciled, for example:
  - Overtime
  - Acting allowances
  - Re-imbursement claims
- Changes to allowances over the previous month eg new allowances, termination of allowances, properly authorised changes to previous allowances
- A reconciliation of total gross pay is to be prepared as follows:
  Total gross pay previous month
  Less acting allowances previous month
  Plus acting allowances this month (listing provided)
  Less overtime last month
  Plus overtime this month (listing provided)
  Less re-imbursements last month
  Plus reimbursements this month (listing provided)
  Plus/less changes to other allowances since last month (housing, cellphone, travel etc) (listing provided)
  Result: Gross pay this month
  [Each movement above to be on a schedule for authorisation]
• The reconciliation of gross pay and all related schedules must be signed off by the Executive Director Finance and the Executive Director HR and kept on file for audit purposes

• Some accounting software systems make retrospective changes to the payroll in order to ensure that the tax for the individual is correctly recorded in the right month or the right financial year. Therefore it is imperative that payroll reports reflecting these figures are printed and kept on file for audit purposes. Where retrospective adjustments are made, any reports relating thereto must also be printed out and kept for audit and reconciliation purposes

22.4.3. Reconciliation of control accounts

Policy and procedure – Monthly reconciliation of control accounts and bank accounts

• Most salary systems will automatically charge the gross pay (debit) to a salary control account and the various deductions (credit) to a number of deduction control accounts. The net pay will be charged to the salary bank account

• The payroll run will then charge the relevant cost centres where people work with their total gross pay and clear the salary control account

• The payovers to third parties will be made monthly (see below) and the deduction control accounts will be debited and bank credited

• As a result of these entries, all of the control accounts and the salary bank should, by the 7th of the next month, all have zero balances

• It is incumbent upon the payroll function to ensure that this is, in fact, the case and if it is not, to reconcile the difference and suggest corrective action

• Under no circumstances should any journals be processed to these control accounts and the accounting software system should disable this functionality

• All reconciliations are to be prepared in hard copy and authorised by the Executive Director Finance

22.4.4. Third Party payovers

Policy and procedure – Monthly third party payovers
• The various deductions made from staff salaries must be paid over to the relevant authorities according to their specific timetables. Failure to do so will result in unnecessary penalties and interest being incurred.

• Pension must be paid over by the 7th of every month and it is imperative that the schedule of deductions per person which totals the amount being paid over, must accompany the payment. This is a requirement of the Pension Funds Act. Failure to do both (pay and provide the schedule) will result in the university being reported to the FSB (Financial Services Board).

• Similarly, medical aid deductions must be paid over to the medical aid by the third of the month and the breakdown of the amount being paid per staff member must be provided. Failure to do so will result in staff being denied medical treatment.

• PAYE, UIF and SDL must be paid over to SARS by the 7th of the month.

• All other payovers should be paid over by the 7th of the next month.

22.4.5. Taxation of contractors

Policy and procedure – Taxation of contractors

• This is a complicated area and care must be taken to ensure that there is a full understanding of whether to tax the person at full PAYE rates, the independent contractor rate of a flat 25% or not tax them at all i.e. they provide an invoice.

• Some contractors may provide a valid tax directive from SARS indicating how much they should be taxed.

• The attached pdf flowchart will assist in making this determination.

22.4.6. EMP 501 Reconciliations and issue of IRP 5s

Policy and procedure – EMP 501 reconciliations

• It is a requirement of the income tax act that a full PAYE reconciliation be conducted bi-annually as at August and February each year.

• This reconciliation reflects all amounts deducted for PAYE, UIF and SDL in the monthly payrolls and compares it with actual amounts paid over to SARS monthly.
• The reconciliation should be able to be generated from the system, but needs to be checked in detail by the finance department before submission
• It is a given hat IRP 5 certificates must be prepared annually and submitted to SARS as well as given to the individuals concerned.
• There are deadlines relating to these recons and these deadlines must be adhered to
23. POLICY STATEMENT: HONORARIUM TO COUNCILLORS

23.1. Purpose statement

The purpose of the policy on the payment and reimbursement of Council members is to define the principles and parameters governing the payment of honoraria to Council members for participation in the business of Council and for the reimbursement of any expenses incurred therein. The honoraria serve to recognise, in a modest way, the contribution of Council members to the university as part of service and stewardship to the community.

23.2. Introduction and background

Members of Council of the university may be paid an honorarium and expenses whilst on official university business.

23.3. Definition of terms

External member refers to a member of Council who is not a member of staff or a student of the university, or to an external expert appointed by Council as a member of one of its committees, or to a member of Convocation appointed by Convocation Executive as a member of a Council committee.
**Internal member** refers to a member of Council who is a member of staff or a student of the university.

**Meetings** or **Meetings of Council** refers to all Council meetings, Council committee meetings, Council task team meetings and *ad hoc* meetings convened for official purposes (such as disciplinary hearings, tender adjudication and selection committees). This also includes external meetings (for example, meetings with the Minister or national workshops) if the member is on official university business or representing the university in his/her capacity as a member of Council. The following are not classified as meetings: working sessions by the Chair (for example, to discuss the agenda for an upcoming meeting or to review the minutes), social functions, ceremonial occasions, and funerals, opening of buildings, inauguration of the SRC, workshops or training sessions.

An **Honorarium** is an *ex gratia* payment made to a person for their services in a volunteer capacity or for services for which fees are not traditionally required.

**23.4. Objectives of the policy**

The policy affirms that honoraria are paid to members of Council and clarifies the circumstances under which such honoraria are paid. It also sets out any related expenses which are paid by the university or for which Council members are reimbursed.

**23.5. Scope of the policy**

The policy applies to all members of Council subject to the following:

**Section 6.1:** **Honoraria** are not applicable to internal members. It applies only to external members who have elected to receive such payments;

**Section 6.2:** **Travel and Accommodation** is applicable to all external members who reside outside the Durban area; and

**Section 6.3:** **Reimbursement of Travel Motor Vehicle Costs** is applicable to all external members on Council.
23.6. The policy principles

23.6.1. Honoraria

23.6.1.1 Honoraria are paid to external members as follows. Details of the amounts are contained in the attached schedule of fees (Annexure A):

- External members will receive an honorarium per meeting (the standard honorarium) for attendance at meetings of Council or its committees as defined under 3.3 above;

- The Chair will receive an additional amount per meeting (Council Chair honorarium) for chairing Council meetings and for other associated duties; and

- Councillors chairing Council committees will receive an additional amount per meeting (Committee Chair honorarium) for chairing these meetings and for other associated duties;

23.6.1.2. The standard honorarium is payable when a Council member officiates (is required to deliver an opening or closing address) at a function;

23.6.1.3. When there is no quorum present at a meeting but discussions on the various agenda items take place, Council members present will be compensated as if a meeting had taken place;

23.6.1.4. Honoraria are taxable as per the Income Tax Act;

23.6.1.5. Council members may renounce the receipt of honoraria;

23.6.1.6. Members of Convocation who are not members of Council but are appointed by Convocation to those Council committees whose membership requires a representative of Convocation, are paid the standard honorarium as above;
23.6.1.7. The Vice-Chancellor, in consultation with the Chair of Finance and Remuneration Committee and the Chair of Council, may authorize the payment of the standard honorarium to a member of Council under circumstances not covered above; and

23.6.1.8. The amount stipulated, as set out in the schedule of fees, will be reviewed annually by a committee consisting of the Vice Chancellor, the Chair of the Finance and Remuneration Committee and a member of Council who has renounced the receipt of honoraria.

23.6.2. Travel and accommodation

This applies to external members of Council who normally reside outside the province and fly in to attend meetings:

23.6.2.1. External members of Council will be accommodated to travel by Business Class;

23.6.2.2. External members will be reimbursed for the use of a private motor vehicle for travel between the airport and the member’s home or normal place of work. Parking costs at the airport will be reimbursed on the production of a valid receipt. Should the Council member not have a personal car or be unable to drive, the Registrar may authorise the reimbursement of the cost of a taxi or an airport pick-up service. See also 6.3 below;

23.6.2.3. A “B” category car will be hired for the use of the external member to travel between the airport and the university, from the rental agency at the airport with which the university has an agreement, with the understanding that the university accepts responsibility for the daily charge required for attendance at the meeting and for the first 120 kilometres of travel only; and

23.6.2.4. Should the time of the start or completion of the meeting require that the member stay overnight, accommodation will be arranged and paid for by the
university, including costs of dinner and breakfast if required. Personal telephone calls, liquor, laundry and newspapers are for the account of the member.

23.6.3. Reimbursement of travel motor vehicle costs

23.6.3.1. External members will be reimbursed for the use of a private motor vehicle for travel between the meeting venue and their home or normal place of work; and

23.6.3.2. Reimbursement for the use of a private motor vehicle will be in accordance with the prevailing SARS rates. The university claim form must be completed for all reimbursements and receipts provided for any other expenses that are claimed (such as toll fees or airport parking fees).

23.6.4. Additional remuneration of Council members

23.6.4.1. External Council members are granted free access to the library;

23.6.4.2. External Council members will in principle not be remunerated for additional work; and

23.6.4.3. Highly exceptional ad hoc cases of remuneration for additional work will be determined by the Vice Chancellor, the Chair of Council and Chair of Finance and Remuneration Committee.

23.6.5. Limitation on claims

All claims for reimbursement of expenses incurred, as provided for above, together with any relevant receipts, must be submitted to the Registrar’s office within 6 months of incurring the expense.
23.7. Policy review

This policy and procedures will be reviewed every three years.

23.8. Procedures and guidelines for implementation

The Registrar, as Secretary to Council, is responsible for the implementation of this policy, and in particular for:

23.8.1 the completion and safekeeping of the attendance registers for Council and Council committee meetings;

23.8.2 the compilation and verification of payment schedules for the payment of honoraria to external members;

23.8.3 the submission to the Finance Division of the payment schedules and any claim forms for the reimbursement of expenses claimed, on a quarterly basis in the month following the completion of each quarter;

23.8.4 monitoring adherence to this policy, with any queries to be referred to the Vice Chancellor and Chair of the Finance and Remuneration Committee; and

23.8.5 the submission of the proposed schedule of fees for the ensuing year to Finance and Remuneration Committee on an annual basis for consideration and approval.
ANNEXURE A

COUNCIL HONORARIA SCHEDULE OF FEES 2011

The schedule of fees defines the honoraria and allowances payable to external members of Council and Council committees as set out in the policy on honoraria and reimbursements to the university Councillors (approved by Council on the xx):

<table>
<thead>
<tr>
<th>Honorarium Category</th>
<th>Honorarium Fees</th>
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<tr>
<td>Standard honorarium for Council</td>
<td>R1250</td>
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<tr>
<td>Council Chair honorarium</td>
<td>R2000</td>
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<tr>
<td>Chairing of Sub Committee meetings</td>
<td>R1250</td>
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<tr>
<td>Attendance of Sub Committee meetings</td>
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FRAUD POLICY
NEW UNIVERSITY POLICY

24 FRAUD POLICY

POLICY REFERENCE: F110

Name of Originator | PS | Name of VC
---|---|---
Approved by QC | | Approved by Legal Div
Policy code and number | F110 | Approved by Registrar
Date sent to VC | | Approved by VC
Date sent to Council | | Approved by Council

24.1. Purpose

The purpose of the Policy on Fraud is to provide for the university a framework that outlines what will constitute fraud, theft, corruption and dishonesty; creates a climate conducive to the prevention and detection of irregularities and control breakdown; and outlines the key roles and responsibilities in respect of control implementation, identification, investigation and reporting of these irregularities.

24.2. Rationale

This policy aims to set out the university’s position with regard to fraudulent activity, as well as the reporting and controlling thereof. The university will not tolerate fraud and its concealment. The university values the integrity of its staff, students and Service Providers, and will rely on them to act in an ethical and honest manner at all times. This policy seeks to ensure the prevention, detection and control of fraudulent activities and irregularities that might occur within the university. These would be any actual or suspected act of fraud, theft, corruption, dishonesty and irregularity involving the university staff, students and Service Providers.

24.3. Scope

This policy applies to all the university staff, students and Services Providers.
24.4. Definitions

24.4.1. Core Values

The core values of the university form the foundation on which the university performs its business and conducts itself. They shape the culture, define the character and guide the behaviour as well as the decision-making at the university.

The following are some of the core values which will guide the university in decision-making as well as in interactions between its staff, students and Service Providers:

- Respect for the law;
- Honour for the university’s core activities and support services;
- Respect for the university Community and other the university Service Providers;
- Integrity;
- Diligence;
- Efficiency;
- Accountability and responsibility;
- Honesty;
- Ethical decision-making; and
- All other positive attributes contributing toward sound ethical standards.

Corruption will mean the act of offering, giving, soliciting or accepting an inducement or reward which is not lawfully due. It is improper actions or any improper approach or solicitation, either directly or through a nominee, to act in any way which could be to the university’s disadvantage. This will include rewards for corrupt acts which are often indirect, and not necessarily in the form of cash payment.

Corrupt activities will include but will not be limited to:

- Exercising preferential treatment in the awarding of tenders or contracting of service providers;
- Manipulating the procurement process;
- Payment for services not rendered or goods not delivered;
- Disclosing confidential information about the university and/or its staff, students and Service Providers for gain ;
- Manipulating the value of assets;
- Performing favours for relatives and friends;
- Incorrect or deliberate over-invoicing;
- Averting the legal consequences of unlawful acts or omissions; and
- Avoiding compliance with laws and regulations.

**Fraud** will mean any unlawful and/or dishonest act or omission by which a deliberate misrepresentation is made with the intention to defraud. Such an unlawful and/or dishonest act or omission will cause actual prejudice or will be potentially prejudicial to another, whether or not there is personal benefit to the perpetrator.

**Maladministration** will mean the act of administering or managing inefficiently or dishonestly. It will describe corrupt behaviour by any individual official or a group of officials whose situational leadership style could be construed as unjust, dishonest, or ineffective.

**Service Providers** (both long term and short term) will be defined as those Contractors and/or Suppliers who have a service contract directly with the university, are funded through budgets under the control of Council and may or may not have permanent full-time staff in their employ who are paid by them.

**Theft** will mean the unlawful and intentional removal of property or money without the owner’s permission with the intention to temporarily or permanently deprive the owner of the benefit thereof.

### 24.5. Principles

**24.5.1. All the university staff, students and Service Providers will ensure that they:**

- 24.5.1.1 Do not instigate or participate either actively or passively in fraud or irregular acts;
- 24.5.1.2 Prevent fraud and irregular conduct;
24.5.1.3 Ensure that they understand and operate controls to mitigate against fraud or irregular conduct;

24.5.1.4 Report actual or potential fraud or irregular conduct as soon as they become aware of it, to either their Line Manager, any member of their immediate Management Chain, any member of the Internal Audit, any Dean of the Faculty or HoD, a Fraud Prevention Committee, and/or any other mechanism that the university Management may implement from time to time;

24.5.1.5 Assist in the investigation of any fraud or irregular conduct;

24.5.1.6 Provide affidavits on information within their personal knowledge should they be so required to; and

24.5.1.7 Testify in disciplinary or court proceedings should that be required.

24.5.2. University Management will:

24.5.2.1 Establish and control an institutional Fraud Prevention Committee as may be delegated by Council;

24.5.2.2 Ensure that all staff, students and Service Providers are continuously made aware of this fraud policy;

24.5.2.3 With the assistance of a Fraud Prevention Committee and Internal Audit, ensure that effective controls are put in place, implemented and operated; and that the continuity and effectiveness of these controls is upheld in order to prevent, deter and detect fraud or irregularities;

24.5.2.4 Ensure that a culture of honesty and integrity is established, recognized and upheld at the university;

- Ensure that the culture of the university is in line with the Codes of Conduct of various university stakeholders and with the university’s core values, as enshrined in the university’s Governance Policy;
24.5.2.5 Report all actual or potential fraud or irregularities and breakdowns in control to Internal Auditors as they become aware of these;

24.5.2.6 Work with Internal Audit and Fraud Prevention Committees to ensure that appropriate disciplinary, civil or criminal action is taken when fraud has been detected; and

24.5.2.7 Minimise damage to the university in terms of publicity, assets and staff.

24.5.3. The Fraud Prevention Committee will be responsible for:

24.5.2.8 Ensuring that a fraud strategy has been put in place, is implemented and is continually updated and communicated;

24.5.2.9 Ensuring that mechanisms are in place for staff, students and Service Providers to report fraud and irregularities; and

24.5.2.10 Collating information on reported irregularities;

24.5.2.11 Together with the university Management, the Fraud Prevention Committee will:

- Decide on the appropriate action to be taken with regard to each case of fraud or irregularity;
- Ensure that correctly qualified individuals are used to investigate and implement corrective measures;
- Document the reasons for corrective measures and the results of such actions;
• Ensure that timely, appropriate disciplinary, civil or criminal action that complies with all relevant the university policies and legal requirements is taken against offenders;

• Provide feedback on the case to Line Management on a regular and timeous basis; and

• Review relevant fraud or irregular reports and take action on them, as required.

24.6 Context

This policy on Fraud will be guided by the following documents:

• The university Code of Conduct for Service Providers;
• Prevention and Combating of Corrupt Activities Act, 2004 (Act No: 12 of 2004;
• Public Finance Management Act, 1999 (Act No: 1 of 1999), as amended; and
• South African Medical Research Council, 2006.

24.7 Policy review

This policy will be reviewed every five years.
DEFERRED INCOME
NEW UNIVERSITY POLICY

25. DEFERRED INCOME

POLICY REFERENCE: F115

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25.1. Objective

To ensure procedures and accounting controls are in place to correctly record the treatment of income received for infrastructure or projects.

25.2. Scope

Grants and income received for projects which do not form part of the university’s normal annual income, do not naturally conform to financial accounting in financial years. Grants for infrastructure may be received in one year, but the development of the infrastructure so funded may straddle a number of financial years. In addition, the infrastructure should last many years and only be written off over anything up to 50 years. Income received for projects may also be spent over more than one financial year and accounting for this must be done in such a way so as to match the income with the expenditure over the life of the project and not in the financial year it is received.

25.3. Additional information

- An awareness of the relevant Accounting Standards (AC 134 and IAS 20) is essential.
25.4. Policy

- Infrastructure Grants
- Project Funding
- Controlling & Reconciling

25.4.1. Infrastructure Grants

Policy and procedure – Infrastructure Grant

- From time to time the DHET awards grants to universities to upgrade or create new infrastructure
- These funds should be recorded against deferred income and, preferably, in a separate bank account
- These funds are ring-fenced and may not be utilised for anything other than what they were intended. Any attempt to utilise them for anything else is illegal
- Contracts for infrastructure will be awarded according to the approved tender process
- As cash is utilised on the various infrastructure projects, it must be debited against a Capital Works in progress account
- Once the infrastructure contract is completed, the Capital Works in Progress account is credited and a new asset is created in the fixed asset register
- From this time, the asset will be depreciated according to the university’s depreciation policy
- In accordance with International Accounting Standards, the funds may only be released from deferred income (in the balance sheet) to income (in the Income statement) at the same rate as the infrastructure is reflected as a cost, via depreciation, in the income statement. This means that, for a particular infrastructure project, there will most probably be balance on deferred income for up to 50 years

25.4.2. Project Funding

Policy and procedure – Project Funding

- Various funders, including the DHET and other state funding vehicles (eg THRIP etc), as well as outside funders may request the university to enter into a project which will be funded over period of time, usually spanning over one or more financial year-ends
Upon receipt of any cash, it must be accounted for as deferred income and a separate cost centre opened.

As cash is expended on the project, the expenditure is reflected as a cost in the income statement. It is necessary therefore that the income be released at an equivalent rate from deferred income (in the balance sheet), to income (in the income statement).

All expenditure on such projects must conform with the university procurement processes.

Any amount unspent at year-end is carried forward as a current liability in the balance sheet and should be represented by an equivalent amount in the bank account.

Project funds should never run into debit. If it appears that this may become the case, the Executive Director Finance must report this to the university management who must make a decision on how to deal with the shortfall.

25.4.3. Controlling & reconciling

Policy and procedure – Controlling & reconciling

- The balance on deferred income must be reconciled every month and agreed to the related bank accounts.

- It will be necessary to have separate analyses for:
  a) Deferred income in respect of completed infrastructure projects which have not yet been released to the income statement (this could last 50 years).
  b) Deferred income relating to unspent funds on infrastructure projects in progress. The balance should reflect the original budget for the infrastructure project less the capital work in progress for that project.
  c) Deferred income relating to funded projects which have not yet been spent.

- Once a project is complete, there should be no balance left in deferred income. In the event that there is a balance, the Executive Director Finance must make recommendations to the university management and the Finance Committee of Council for where to transfer this balance. In many externally funded projects, the balance may have to be refunded to the grantor.

- It is generally the case that projects such as these are funded upfront and that money is invested during the time that project is planned and initiated. It is normal, in such cases for the interest on such invested funds to be credited to the project to cater for escalation.
INSURANCE
26. INSURANCE POLICY

26.1. Objective

To ensure that identifiable risks are covered by insurance policies to mitigate any risks that the university may face and to address the claims and administration process involved in the insurance function.

26.2. Scope

Annually a risk assessment exercise will be conducted and based on the results thereof and other information available, the annual renewal of the insurance policy will be conducted by the finance department.

26.3. Additional information

There is a Group Scheme policy for Higher Education co-ordinated by Marsh, the so-called “Terisa” scheme (Tertiary Institutions of South Africa). Most universities participate in this scheme as the premiums are extremely favourable.
26.4. **Policy & Procedure**

- Claims procedure
- Administration of claims
- Motor vehicle claims procedure
- Car rental insurance

### 26.4.1. Claims procedure

**Policy and procedure – Claims procedure**

- As soon as a loss is identified, from whatever cause, the finance department must be notified and a claim lodged with the insurer – there must be no delay
- The person under who was in control of the asset must complete a description of the loss and explain to the best of their ability the cause and circumstances of the loss
- If the loss was through theft or fraud, or the suspicion is theft or fraud, a police case must be opened
- If there was obvious forced entry, this must be properly documented and the police must be summoned to check and report on the incident
- The claim must be lodged with the insurer as soon as humanly possible

### 26.4.2. Administration of claims

**Policy and procedure – Administration of claims**

- Upon notification of a claim the clerk responsible for insurance must complete a claim form and request the opening of a debtor code to record the insurance claim
- Any asset that has become the subject of an insurance claim must be written off and removed from the asset register. The net book value of that asset should be debited to the debtors code opened as above
- Any new asset purchased to replace the lost asset must be allocated to the budget of the department in control of that asset
- Upon receipt of an amount from the insurer, net of any excess payment, the debtor’s code must be credited
• The net balance on the debtor’s code after the finalisation of the claim is to be written off against the cost centre of the person responsible for the original asset

26.4.3. Motor vehicle claims

Policy and procedure – Motor vehicle claims
• Motor vehicle claims are handled similarly to the other claims except that in every instance a police case must be opened
• In the event of an accident, no admission of guilt or culpability must be made, that will come out in the police investigation
• If any death or injury results from the claim event, the necessary claims against the Road Accident Fund must be processed

26.4.4. Car rental insurance

Policy and procedure – car rental insurance
• As a rule, the contract with the university’s insurer should cover losses in respect of rented vehicles as well
TRAVEL POLICY
NEW UNIVERSITY POLICY

27. TRAVEL POLICY

POLICY REFERENCE: F130

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27.1 S & T is claimed for a number of different circumstances and this document will attempt to ensure that all possible circumstances are covered:

- Attend official meetings of the university
- Attend professional seminars as part of the individual’s Continuing Professional Development commitments
- Attend other seminars
  - arranged by the DHET
  - arranged by HESA
  - arranged by other service providers
- To present papers at conference
  - Local
  - International
- To attend conferences
  - Local
  - International
- In respect of funded projects
  - Local
In all these cases S & T is claimable at the rate prescribed by the Income Tax Act

- Locally (which includes Namibia, Lesotho and Swaziland) R per day if the university pays for bed and breakfast only; or R per day if the university covers dinner, bed and breakfast.
- Internationally at a rate per day per country as specified on the SARS website if the university pays for bed and breakfast.
- These amounts will be paid in respect of S&T irrespective of where the amount is budgeted for i.e. if S&T is incurred for a particular funded project and the funder has budgeted for S&T at rates higher than these, then these rates will apply. Where the funder has budgeted at lower rates, then the lower rate applies.

In terms of the income tax act, S&T is only payable per night away. As evidence of time away, all S&T claims MUST be accompanied by original airline boarding passes, otherwise no payment will be made.

S&T is only paid in arrears and the staff member is expected to cover their own costs and claim S&T on their return. On application and prior approval of the line manager, advance payments may be considered.

S&T WILL NOT be paid by cheque. Payments will only be made through the payroll. Staff need not be concerned that they will incur additional income tax. There are codes in the tax tables which render these payments “non-taxable”. However, in terms of the income tax act, it is a requirement that all such payments are made through the payroll and reflected on the employee’s IRP 5.

There are other factors governing the payment of S&T and these fall under the travel policy, but they are repeated here for completeness:
Approval:
A trip may only be undertaken if properly authorised at least two weeks in advance. The authorisation will not be granted if:

- The request is received less than 14 days before the event
- There is no satisfactory motivation by the traveller as to why the trip should be undertaken. The motivation must include a full anticipated financial analysis of the trip (air fare, accommodation, car hire, S&T, conference/seminar fee, other costs etc).
- There is no indication of where the costs are to be paid from. If from the university the traveller must show the current budget state of the relevant line items, including commitments, in order to evidence that there is budget for the trip. If from other sources i.e. project or research funds etc. the traveller must include a page from the contract indicating that the trip is relevant to the business of the contract and that there are sufficient funds in the project to cover this.
- There is insufficient authorisation. As these approvals are meant to be 14 days in advance, there should be sufficient time to ensure that the relevant line manager is available to authorise the trip. In addition, for all conferences, seminars, and research travel, the approval of the head of research must also be on the form.

**Accommodation:**
The university will usually cover bed and breakfast at reasonable rates. Reasonable is a matter of subjectivity, but in an attempt to quantify this, for local travel:

- VC and Executive Management, up to R1500 per night
- Deans and directors, up to R1200 per night
- Other staff, up to R800 per night

For international travel:

- VC and Executive Management, up to $350 per night
- Deans and directors, up to $250 per night
- Other staff, up to $200 per night

**Air travel:**
All air travel will be at economy class rates with the exception of the VC, irrespective of who is paying.
Car hire:
The university will only cover the cost of a class B vehicle, with the exception of the VC, irrespective of who is paying

i. Where meetings are attended off campus, for example certain meetings are held in Johannesburg, the attendee list must be reviewed and carefully considered with the final approval of list of attendees vesting with the VC or his delegated representative. S&T will only be paid for one night for such meetings.

ii. Where the travel is in respect of seminars, conferences, projects or research, in other words everything except official the university meetings, the traveller must present a short synopsis of the time away from office and describe what was achieved and how the university will benefit. Without such a report accompanying the S&T claim, there will be no payment. The S&T will only be paid out if the proper form is completed and signed by the relevant line manager. If the manager is unavailable, then the claim will wait for their eventual return. The reason for this is that the line manager must also sign-off that he/she is satisfied with the content of the report summarising the travel.
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1. INTRODUCTION

‘Universities are people enterprises. The quality of the people working in the higher education sector, the way they work with each other and what they achieve will, over time, mean the difference between institutional success and failure.’ (Matthew Knight – Universities HR Chair and head of Human Resources at the University of Leeds)

The Human Resources (HR) function needs to play many roles - predominantly in developing mechanisms, approaches and processes that will seek out human competence, attract it to that institution, motivate and support productive employees and influence the creation of an environment that will retain those competencies once found and hired.

Whatever the size and shape of the university, all of these processes must take place. However, they need to be focused to take place as a priority within those functions which are core to the university – and it is the demands of these core functions that must drive the strategy, the focus and the size and shape of the HR department.

The academic function is the core function of the university. In determining how and where these processes are to happen, the requirements and demands of the academic function need to inform the strategy and focus of resource competencies. This is not to suggest that no attention is paid to other support functions, for the academic function cannot take place in a vacuum.

Planning for academic resources in the coming year based on student registration trends and current academic staffing levels is essential in determining precisely what academic resources are required in the future. Planning to find them and attract them once it is known exactly what is required, enhances the search process significantly and starts to build HR competencies that look ahead rather than react to the present.

So, in building a HR department, the university needs to initially build a strategy that will satisfy the needs of the university in a proactive and focused manner. Hanging from this strategic approach then are all the other functions which form an integrated and cohesive approach – informed by and designed to fit this strategy - to attracting, motivating, developing and retaining competent resources to and for the university.
As these guidelines are developed to assist the process of starting a new university, initial attention needs to be paid to the question of outsourcing, some if not all, of the HR functions to competent and professional external service providers. Thought needs to be given to even approaching another established university to assist in running basic processes such as payroll, advertising, pension, provident and medical aid funds until such a time as the new university builds sufficient size to make insourcing financial attractive.

The policies contained in this section serve as guidelines only and in many cases may need to be refined to suit the university’s particular circumstances.

The policies are contained in five sections:

- Staff Recruitment;
- Social Policies;
- Staff Development;
- Benefits Administration and
- Industrial Relations.

While the attached policies contain proposed conditions of service, early decisions need to be made with regard to what social benefits are to be offered in terms of Pension, Provident, Medical and Group Life long before any attempts are made to recruit staff that will be employees of the new university.

Similarly, while there is a proposed approach to determining a remuneration structure for the new university, decisions need to be made as to what precisely that structure should be.
STAFF RECRUITMENT
2. APPOINTMENT CATEGORIES AND CONDITIONS OF EMPLOYMENT

2.1 Appointment categories

There are two main categories of employment at the university:

2.1.1. Permanent Appointments and
2.1.2. Fixed Term Appointments

2.1.1 Permanent Appointments

Appointments made to established posts at the university where there are no expectations of short term durations for either financial or operational reasons other than those which could not be foreseen at the time of the appointment.

These appointments will carry all current staff benefits that are applicable at the university which could also subject to change from time to time.
These appointments will have a clear start date, will clearly set out the post title, grade, reporting lines and major functions of the position. The appointment letter will be fundamental and will refer wherever necessary to the consolidated conditions of service which will be attached to the appointment letter and which will also detail the benefits applicable to this category of appointment. It will also be specific in terms of a code of conduct as well as of conflict of interest declarations.

2.1.2 Fixed Term Appointments

This category of employment will cover every type of appointment other than permanent.

There are two main characteristics of this category of appointment:

There will be a clear, measurable and observable event that will determine the end of the fixed term appointment. This event could take the form of a cessation of funds, the completion of a specific measurable project of work, the return of the permanent employee from any form of leave, a firm date etc., and

No Fixed Term Appointment is renewable for the same or similar tasks as the original Fixed Term Appointment, unless the “event” used to act as the end date of the contract does not occur but remains as a real and tangible event in the future. To avoid the additional administration and monitoring this requires, employment could be offered on a Permanent basis with a clause providing for its termination if and when that “event” takes place.

i. Fixed Term Appointments of more than twelve calendar months.

This appointment will attract all of the staff benefits applicable to a permanent appointment. The main reason for this not being a permanent appointment is that there is some legitimate doubt about the continuation of the work after the stated end date/event for which the person has been appointed. This must be clearly described in the employment requisition as well as in the appointment letter.
ii. **Fixed Term Appointments for less than twelve months**

This appointment will not attract any of the staff benefits applicable to a permanent appointment but will attract the basic conditions as contained in the Basic Conditions of Employment Act as amended.

The period of appointment may be anything from one day to 12 months, may be for specific hours per day or specific days per week and may cover any kind of work to be performed.

Whatever the requirements these must be clearly stated in the letter of appointment for this category of employment as will the kind of work and deliverables desired throughout the duration of the appointment.

While this appointment type will not carry any staff benefit applicable to permanent appointments, it will still be expected to comply with the institutional code of conduct and avoidance of any conflict of interest.

The remuneration for this type of appointment will be the equivalent of the total package applicable to the entry point for that grade of appointment reduced to the number of hours, days or months of the appointment appropriate to the work to be carried out.

Further, any person appointed on this type of appointment will be expected to have the competencies, skills and experience to satisfactorily meet the expectations of the university.

iii. **Fixed Term Appointments Students – applicable only to students of the university**

The appointment of students from the university to perform certain functions at the university will be under the same conditions of appointment for Fixed Term Appointments of less than twelve months.

However, there are certain categories of appointment that are specific to full time registered students of the university:
• **Part-time Lecturer**
  This type of appointment may only be offered to students who already at least a Master’s Degree in the discipline for which he or she is appointed, where the part-time work will not interfere with his or her studies and may only teach undergraduates.

• **Student Tutor.**
  This type of appointment is limited to students who have attained an honours degree in the discipline for which they are to be used but used for tutoring only and not for teaching.

• **Student Intern**
  Any student either under or post graduate who can be gainfully employed at the university in the discipline for which he or she is studying in order to gain practical and appropriate experience.

• **Student Assistant**
  Any student used for any type of short term work in order to get a specific job done and for which the student can earn money.

**NOTE:** No student may be employed in any employment category in areas which are sensitive to student information e.g. Student Records, FAB etc.

### 2.2. Rates of pay for each category of student appointment:

All of the above appointments will be based on a pay-per-claim arrangement where each claim must be signed off by the immediate supervisor, the HOD and the Dean or Divisional Head.

Rates of pay will be determined from time to time by the Human Capital Division but will be based on the following:

- **Part-time Lecturer:** The hourly equivalent of the minimum of the scale for a Junior Lecturer.
- **Student Tutor:** The equivalent of 40% of the above scale.
Student Intern: 50% of the rate applicable to a Student Tutor.
Student Assistant: The same as for a Student Intern.

2.3. Permanent academic staff

2.3.1. Definition

A permanent lecturing staff member is appointed on full-time basis in an approved vacant position within the academic structures.

2.3.2. Conditions of appointment

i. An orientation programme,
ii. Continuous in-service training, and
iii. Computer literacy training.

2.3.3 Working hours

See paragraph 9.

2.3.4 Benefits

i. Medical (optional)
ii. Pension
iii. Group life insurance
iv. Service bonus (13th cheque)
v. 100% discount on fees for studies at the university

2.3.5 Leave

See leave policy, paragraph 8.

2.3.6 Notice

A minimum of 1 (one) quarter’s notice must be given.
2.4. Permanent support staff – full-time

2.4.1. Definition

A permanent support staff member is appointed on a full-time basis in an approved vacant position within the support structure.

2.4.2. Conditions of appointment

i. An orientation programme,
ii. Continuous in-service training, and
iii. Computer literacy training.

2.4.3. Working hours

See paragraph 10.

2.4.4. Benefits

i. Medical (optional)
ii. Pension
iii. Group life insurance
iv. Service bonus (13th cheque)
v. 100% discount on fees for studies at the university

2.4.5. Leave

See leave policy, paragraph 9.

2.4.6. Notice

i. Notice of (1) week must be given by either side during the first four (4) weeks of service.
ii. Notice of two (2) weeks must be given by either side after four (4) weeks of service, up to one (1) year.
iii. Notice of one (1) calendar month must be given by either side after the completion of one (1) years’ service.

2.5. Permanent support staff – 5/8th

2.5.1. Definition

A permanent support staff member, who is appointed on a five hour working day basis, in an approved vacant position within the support structure.

2.5.2. Conditions of appointment

i. An orientation programme,
ii. Continuous in-service training, and
iii. Computer literacy training.

2.5.3. Working hours

Five hours per day (5/8th)

2.5.4. Benefits

i. Medical (optional)
ii. Pension
iii. Group life insurance
iv. Service bonus (13th cheque)

2.5.5. Leave

See leave policy, paragraph 8.

2.5.6. Notice

i. Notice of (1) week must be given by either side during the first four (4) weeks of service.
ii. Notice of two (2) weeks must be given by either side after four (4) weeks of service, up to one (1) year.
iii. Notice of one (1) calendar month must be given by either side after the completion of one (1) years’ service.

2.6. **Fixed term lecturing and support staff**

2.6.1. **Definition**

A Fixed Term lecturing staff member is appointed in an approved vacant position/ within budget, for a period of more than 12 months. The appointment should not exceed a total duration of three (3) years. All appointments of this type will receive the same benefits as the Permanent Staff.

2.7. **Fixed term part-time lecturing and support staff**

2.7.1. **Definition**

Fixed Term Part-time lecturing and Support staff are appointed for a period of less than twelve months and for hours of work as specified in the contract of employment. No staff benefits are applicable to this category of employment other than those specified in the Basic Conditions of Employment Act (BCEA) as amended.

The remuneration of this category of employment will be the same as for the minimum of the rank/grade of the appointment as per “Total Cost to Company” remuneration scales.

2.8. **Retention appointments**

2.8.1. **Definition**

Employees who are re-appointed after their retirement are called retention staff. They are appointed temporarily on signing a contract that shall lapse on the end date of the contract. All conditions of service, as applicable to Fixed Term Part Time appointments, shall apply.

The incumbent of a post may, on termination of his/her contract of appointment, either be re-appointed for a further period of any duration from one month to 12 months, or the service of the staff member may be terminated on the date on which the period stipulated in the contract of appointment is reached.
2.8.2. Rules relating to private work

Any staff member may perform outside or private work if he/she has obtained permission to perform such work in terms of the relevant policy (see policy on private work).

2.8.3. Transfers

Staff may, after consultation, be transferred internally subject to the availability of a post and the operational requirements of the department or division concerned.

2.8.4. Retirement age

i. The retirement age of all staff members will be sixty (60) years of age.

ii. The retirement date of support staff will be the last calendar day in the month of which the person reach the age of sixty.

iii. Academic staff members will retire on the last calendar day of the year in which the person reaches the age of sixty.

2.9. Retirement due to ill health

When it becomes apparent to Management that a staff member is no longer capable of performing his/her duties, then that staff member may apply for retirement due ill health according to the rules of the Pension and Group Life Insurance Fund.

2.10. Unemployment insurance fund

The Unemployment Insurance Act, 1966, provides for the insurance of staff who contributes to the Unemployment Insurance Fund. All members of staff, with specific exceptions, are required to contribute at the rate on one per cent of their earnings. The university, as the employer, contributes at the same rate.
2.11. **Annual and sabbatical leave**

i. The leave of all lecturing and support staff (permanent and fixed term for longer than 12 months) will be as set out in the table below. Refer to Section 17 Policy number HR 15 Page 163 of this Chapter for further details on leave.

<table>
<thead>
<tr>
<th>Staff Category</th>
<th>Total leave</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lecturing and Research</td>
<td>25 working days per annum</td>
</tr>
<tr>
<td>Management and Support staff</td>
<td>25 working days per annum</td>
</tr>
<tr>
<td>All other categories of staff</td>
<td>In terms of the BCEA</td>
</tr>
</tbody>
</table>

ii. University vocational leave periods will be considered as working days for all staff.

iii. Academic staff will qualify for sabbatical leave equivalent to 30 working days accumulated per year of completed service up to a maximum of 240 working days subject to iv and v below. This sabbatical leave may be taken in two trenches but not before each trench is preceded by 4 years completed service.

iv. All sabbatical leave must be approved by the senate and the Vice Chancellor prior to any leave being taken for this purpose.

v. Application must be made to the Dean of Faculty for any sabbatical leave and will only be approved on the basis that it will be used for one of the following purposes:

- To complete a Doctorate in the discipline which is approved or
- To complete an appropriate research project/publication/s which will clearly benefit not only the staff member who has applied for the sabbatical, but the school, faculty and the university as well.
2.12. Working hours

The university’s working hours will be structured in the following way:

2.12.1. Academic staff

i. At least 40 working hours per week, including work done at home or at other venues; like marking, preparation, research, student consultation, NSSP’s, etc.

ii. Flexi time approach will be applicable where approved by the Faculty.

iii. Timetable to determine actual hours

iv. Staff are required to spend at least 25 hours per week in the institution. No specific office hours are prescribed but will need faculty sanction before being applicable.

v. A further 8 of these 40 hours may be spent doing private work outside of the university as long as that work, and the application to engage in such work, conforms with the policy on private work as contained in these guidelines.

2.12.2. Support Staff

i. Staff are required to work 40 hours per week.

ii. The core hours are 07:45 – 16:15.

iii. Staff must work 8 hours per day, with breaks conforming to the BCEA as amended.

2.12.3. Overtime

Staff members, from time to time, may be required to work overtime which overtime must carry the appropriate approvals. This request will be given within reasonable time in advance of the actual
work. Overtime will only be on a paid basis for those members of staff entitled to be paid for overtime in terms of the BCEA.

2.13. Pension fund and group life insurance

All permanent staff members of the university are required to be members of the approved Pension Fund and Group Life Assurance Scheme.

The employer’s contribution to these fund and scheme is included in the total remuneration package as dictated by the Remuneration Policy.

2.14. Medical aid scheme

The university require staff members to join any of the approved Medical Aid Schemes. If the spouse or life partner of the staff member, is already a member of a scheme due to his/her employment benefits with another organisation, and is covered by such a benefit the staff member will not be required to join the university scheme.
3. APPOINTMENT AND PROMOTION OF ACADEMIC STAFF

3.1. Introduction

The purpose of this document is to provide policy, procedure and guidelines applicable to the recruitment, selection and promotion of academic staff at the University that:

i. reflect the goals of the University set out in its Vision and Mission statement and in particular its striving to:
   • maintain both international competitiveness and local relevance through continuous innovation;
   • be the University of choice for staff;
   • provide an inclusive and enabling value-driven organizational culture.

ii. support the University’s strategies as revised from time to time

iii. reflect best human resource practice and compliance with labour legislation;

iv. promote the implementation of the University Employment Equity Plan as revised from time to time; and

v. enable decentralization of appropriate levels of responsibility and authority to Faculty management.
This policy applies to:

i. the recruitment, selection, appointment and promotion of all permanent full-time, permanent part time and fixed term contract staff;
ii. the confirmation of permanent appointments;
iii. all academic posts in all Faculties at the University.

It must be noted that where specific post titles are mentioned, that these might not be in place for some time in the case of a new university. Where this is the case, the next post higher than the mentioned post must assume responsibility for that function, role or duty.

3.2. Policy statement

It is the firm position of the management of the university to recruit, select, appoint and promote excellent academic staff at all levels, in order to achieve its strategic goals of international competitiveness and local relevance through continuous innovation. Thus, all vacancies will be advertised internally and externally as a general rule, and the University will recruit as widely as possible. The recruitment, selection and promotion of academic staff must simultaneously advance both diversity and employment equity. The promotion of diversity and the advancement of employment equity are critical performance areas for all managers at the University.

Consistent with these principles the University will:

i. conduct professional recruitment, selection and promotion processes, devoid of unfair discrimination;
ii. treat vacancies as opportunities to appoint or promote persons from designated groups until such time as University employment equity targets have been achieved and the University employee profile is optimally diverse at all levels;
iii. comply with the Employment Equity Act 1998, and particularly the concept of “suitably qualified” as defined in the Act.

It is University policy that candidates appointed on the basis of potential, provided that the minimum requirements have been met, be provided with the support and development necessary to
ensure that outputs meet specified norms for the job and level at which they are appointed, within an agreed reasonable timeframe. The relevant line managers are responsible for ensuring the provision of the necessary support and development opportunities, through the University performance management system and development and training practice.

In keeping with general appointment processes, and given the context of current labour legislation, probationary appointments will not be made. All employees will be subject to a Performance contract in keeping with the Performance Management System and performance in itself will determine the continuation or not of employment with the University.

3.3. Levels of authority

Until such time as the normal academic structures are in place, the Interim Vice Chancellor, together with any other staff appointed to the Executive Management Team, will be the only source for approving the advertising for, interviewing, short-listing, appointment and promotion of all academic permanent and fixed term contract staff within the approved staff establishment and within approved budgets.

This policy will be amended in accordance with the requirements of the HEA and the Institutional Statute as soon as these instruments, the Senate and the Institutional Forum are in place.

Once the posts and functions mentioned below have been authorized and filled, they will carry the following responsibilities;

3.3.1. Deans:

i. ensuring that the outcomes of recruitment, selection and promotion processes support University and Faculty strategy, especially in regard to Employment Equity (EE), when appointing or promoting candidates to Associate Professor and Professor posts;

ii. ensuring that Committee members have the necessary skills to conduct professional recruitment, selection and promotion processes that are devoid of unfair discrimination and fully Employment Equity (EE) compliant;

iii. providing written reasons for decisions on appointment, confirmation and promotion in academic posts up to the level of senior lecturer, to unsuccessful candidates on request;
iv. providing regular reports on appointment, confirmation and promotion in academic posts for quality and risk control purposes

3.3.2. The Director: Human Resources:

i. monitoring compliance with the policy and procedure prescribed in this document;
ii. approval within the general delegation framework approved by Council and the Vice-Chancellor and Principal, of any decision outside the approved HR policy framework up to the level of Senior Lecturer;
iii. providing written reasons for decisions on appointment, confirmation and promotion in academic posts on the level of associate professor and professor, and on appointment of Academic Heads of Department and Directors of Academic Centres, Institutes and Bureaux, to unsuccessful candidates on request;
iv. central monitoring of compliance with HR policies on a continuous basis at his/her discretion, e.g. by means of spot checks.

3.3.3. The Central Human Resources function:

i. provision of policy, procedure and guidelines and specialist support in regard to recruitment, selection and promotion matters;
ii. provision and maintenance of management information relating to recruitment, selection, appointment and promotion, from the human resource database;
iii. provision of the necessary electronic templates to assist line managers to keep records, and comply with human resource policy and procedure as well as current labour legislation and the Employment Equity Plan and strategies;
iv. advice on any of the different steps in the recruitment process;
v. placing of job advertisements in the media and on the University intranet and forwarding applications for vacancies to Heads of Department.
vi. Managing and servicing the full recruitment, selection, appointment and promotion process
3.3.4. Heads of Academic Departments:

i. conducting effective and fair recruitment, selection and promotions processes that comply with University policy and procedure as revised from time to time;

ii. verbally informing unsuccessful internal candidates (this is in addition to the regret letter dispatched by the office of the Faculty Manager);

iii. managing the performance management of newly appointed and promoted candidates;

iv. concluding a performance agreement with newly appointed staff members within 4 weeks of the date of commencement of duties.

3.3.5. Responsibilities for Matters that fall outside Policy and the Approved Budget

Where a recruitment process requires that an approved appointment is paid outside of current remuneration policy in order to secure that appointment, the Vice Chancellor is the only post that may authorize such departure from normal process.

3.4. Policy, criteria and guidelines applicable to the evaluation of teaching, research and community engagement (including service learning and community service)

3.4.1. The Core Functions of Academic Staff Members

The core functions of academic staff members are teaching and research. These functions are closely interlinked and further strengthened by community engagement (including service learning and community service) as a third core function. The functions are embedded in a universal value system that will prepare students for responsible citizenship.

3.4.2. Teaching

The teaching role of an academic staff member is to:

i. be well informed and steeped in the knowledge of his/her field;

ii. inspire and motivate students to learn;
iii. actively guide students and enhance their learning processes;
iv. promote critical thinking, creativity, innovation, leadership and intellectual development;
v. promote scholarship;
vi. evaluate and assess learning processes and student progress and performance;
vii. build and maintain communities of learning and communities of practice.

This role is exercised in a context where student bodies are diverse in terms of *inter alia* race, gender and levels of preparedness for higher education.

Effective teaching is teaching which affords all undergraduate and postgraduate students the opportunity to develop their learning potential and to become critical and innovative thinkers, researchers and practitioners. Teaching should focus on the facilitation of learning in an environment where students can access information in numerous ways. Academic staff members should facilitate students in organizing information and reconfiguring it in order to construct new meanings and deep understanding. Contact sessions should, in the context of outcomes-based education and in contrast to content-based education, be focused on problem solving, reasoning, debate, discussion, group work, practice, facilitating the learning process, etc. Competencies in teaching and knowledge of both learning processes and new advances in teaching and learning are therefore strongly considered in appointment and promotion.

3.4.3. Research

Research is central to the work of institutions of higher learning. Scientific/scholarly investigation in all disciplines is at the very heart of academic life. Therefore together with teaching, the pursuit of knowledge by means of research and the use of research as a vehicle for research training, should be an integral part of every academic staff member’s role at the University. The scholarship of discovery, integration and application forms the backbone of higher learning activities. Leadership to postgraduate students associated with dedicated research programmes, scientifically and ethically sound methodological practices, continuous publication and scientific/scholarly networking are inherent in good research activities.
3.4.4. Community engagement (including service learning and community service)

Teaching and research skills are put to the service of the community. Services can however, only be rendered in those areas that reflect the University’s teaching and research excellence. Where professional services are rendered, this can also serve as experiential learning opportunities for students. The practice is manifested in themes for teaching and research and enriches the tuition program. Involvement in community engagement activities is highly recommended.

3.4.5. Weighting of core functions

Relative weight given to core functions will be determined in accordance with performance output agreements in each department, and will vary from time to time in accordance with Faculty plans. Core functions will always include both teaching and research, and will also include service learning/community service where applicable.

3.4.6. Unique Circumstances

The criteria and guidelines that follow should always be applied taking into account unique circumstances that may exist in certain faculties/schools.

For example, artistry plays an important role in the School of Arts. In conjunction with the usual academic requirements, an additional category, namely artistic output, should play an important role in the consideration of appointments and promotions in the School.

The competencies and qualifications of a staff member ought to be viewed holistically. A leading performing artist for example, may not necessarily have a strong publication record. In such cases the most important basis for evaluation is the status and peer recognition of the artist. This status is based on criteria such as:

i. the frequency and quality of outputs/productions in the areas of published creative writing, drama, public performance/recordings of music, musical compositions/arrangements, visual arts and design;

ii. unsolicited public reviews;

iii. special invitations and high level consultations of the artist.
These, and possibly other circumstances, have to be taken into account when appointments and promotions are considered. Faculties should consider if and what type of unique circumstances exists within that particular faculty and should accordingly make the necessary provisions with regards to the evaluation process.

3.4.7. Applicability

The criteria and guidelines in this section of the document apply to appointments of all permanent full-time, permanent part-time, fixed term full-time and mutatis mutandis, fixed term part-time academic staff members, and to promotion of all permanent full-time and permanent part-time staff members at the University. They also apply and play a role in the performance management process. The requirements set are cumulative and follow a rising performance chart to higher posts. A recommendation for promotion to a higher post thus implies that a candidate fully complies with the expectations of the previous post.

3.5. Components of Evaluation – self-evaluation, peer review and evaluation of teaching by students

The need for evaluation of academics, or potential academics, arises when:

i. existing academic staff members apply for promotion;
ii. line managers of academics conduct performance management;
iii. existing academic staff members apply for vacant academic posts;
iv. external academic candidates, apply for vacant academic posts;
v. external non-academic candidates, apply for vacant academic posts.

Self-evaluation and peer review form the basis of the evaluation of both the research and teaching functions of academic staff members. Evaluation of teaching by students provides an additional dimension to the evaluation of teaching.

3.5.1. Self-evaluation
Self-evaluation requires candidates for appointment or promotion, to prepare a summary and critical assessment of what they consider to be their most important *teaching and research* contributions/outputs in recent years. This provides candidates with an opportunity to highlight, for example:

i. background to their research practice and outputs, important research publications and their significance, and their vision for their future research;

ii. contributions to education innovation, important achievements in their teaching practice and outputs and the impact of their teaching on student performance.


Provision of self-evaluation is required of all University academic staff who seek promotion, or who seek appointment in vacant academic posts, and is recommended in the case of external applicants (academic or non-academic) for vacant academic posts.

### 3.5.2. Peer review

Inclusion of an internal peer review process in the evaluation of academic staff members necessitates a small support structure in faculties, comprising no more than two senior academics and also a person or unit with strong administrative capacity. A new Committee is thus not necessary.

The Human Resources function should provide the administrative capacity.

The roles of this structure are:

- to provide guidelines for selecting peer reviewers;
- to ratify the appointment of peer reviewers;
- to co-ordinate and manage the internal process of peer review.

During the internal peer review process, impartial and relevant peers of good standing, are requested by the Faculty peer review support structure, to review and comment upon the teaching and/or research outputs of candidates.
3.5.3. Evaluation of teaching by students

A formal system by which students may evaluate the teaching they receive, needs to be designed and implemented at both undergraduate and postgraduate levels. Data from the student feedback system would then be supplied to the HOD and Dean on a regular basis.

Student evaluations should be used with caution as they are easily skewed. For example, good teaching practices that stimulate self-directed learning by students could result in negative feedback from students who prefer a more directive approach, whereas highly positive student feedback can result from teaching that is enjoyable to students, but not necessarily effective. Acceptable student evaluations in a context of reasonable pass rates are likely to be better indicators of quality teaching than highly positive student evaluations and pass rates that exceed faculty norms.

3.5.4. Guidelines for Evaluation for Promotion

Early each year, HOD’s request academic staff members who wish to be considered for promotion, to submit the relevant documentation (refer Section 4.6.1) so that the peer review process can be completed by the time the formal promotion process begins later in the year. HOD’s continue to drive the evaluation process until a Faculty Recruitment and Selection Committee meets to consider candidates’ promotability.

Guidance in regard to promotion criteria can be gained by referring to the Framework for the Evaluation of Teaching - Appendix 1, the Criteria for the Evaluation of Research – Appendix 2and the Guidelines for the Evaluation of Creative Production and Outputs - Appendix 9. Reference should also be made to the Minimum Academic Requirements for Appointment and Promotion – Section 4.8. It is however important to note that meeting of the University minimum requirements for a post does not, in and of itself, justify automatic promotion.

3.5.5. Self-evaluation process

It is recommended that academic staff members build teaching portfolios for themselves in which they summarize and give examples of their teaching practices and outputs, as well as their
contributions to education innovation, on an on-going basis. Teaching portfolios are an important information source for their CV’s and the required self-evaluation of teaching outputs.

Academic staff members who wish to be considered for promotion, prepare CV’s containing the relevant information about their research, teaching and community service/service learning outputs. They are required to use the prescribed CV format - (refer Appendix 3).

Candidates should attach to their CV’s, a short self-evaluation of both their teaching and research outputs - (refer Section 4.5.1), critical extracts from their teaching portfolios, and a list of peers who they deem suitable to review their research outputs. Candidates’ immediate research colleagues and co-authors of publications are not normally considered to be suitable reviewers, as they may not have sufficient distance from candidates to express an independent opinion on their research.

3.5.6. Peer review process

Candidates’ CV’s, extracts from their teaching portfolios, their self-evaluations and their list of peer reviewers are submitted to the relevant HOD, who is required to add to this documentation a summative report of the outcomes of evaluations of teaching by students (not the evaluation forms themselves), and the record of work performance according to the University performance management process.

In consultation with academics with relevant subject expertise, the HOD recommends a minimum of 2 (preferably more), peer reviewers of research outputs. If the candidate is seeking recognition of international standing, reviewers must include academics with high international standing. No more than 50% of peer reviewers are chosen from the candidate’s lists and the balance are chosen by the HOD. Recommendations must be ratified / confirmed by the academics on the faculty support structure for the peer review process.

The process by which the HOD identifies peer reviewers should be transparent and structured according to guidelines provided by the academics on the faculty peer review support structure. Suitable reviewers are normally knowledgeable people who are fully familiar with the research area. All must have enough distance from the candidate to express an independent opinion. Candidates’ immediate research colleagues and co-authors of publications would not normally be
considered to be suitable reviewers of research. Candidates may specify persons who they do not wish to review their outputs, but such requests must be accompanied by cogent reasons. HOD’s will often be the only persons suitable to review teaching outputs, at least in the early stages of applying peer review principles to teaching.

The HOD then forwards a copy of the CV and self-evaluation and recommended peer reviewers to the Faculty Manager (or alternative nominated by the Dean), irrespective of whether he or she supports the candidate’s bid for promotion. The academics on the peer review support structure ratify/confirm the list of peer reviewers. Any reservations about the HOD’s recommendations should be discussed with the HOD. The Faculty Manager (or nominated alternative) then forwards candidate’s CV and self-evaluation to the ratified peer reviewers.

The reviewers of research must be specifically asked, via a standard letter, to address the following questions:

i. the quality of the research or equivalent outputs;
ii. the impact of these contributions; and
iii. the national or international standing of the candidate; and
iv. to substantiate their conclusions.

The reviewers of teaching (if reviewers in addition to the HOD have been identified), must be specifically asked, via a standard letter, to address the following questions:

v. the quality of teaching outputs and/or contributions to educational innovation;
vii. the impact of these contributions; and
vii. the national or international standing of the candidate; and
viii. to substantiate their conclusions.

In a separate but parallel process, the candidate’s CV, extracts from teaching portfolios, the self-evaluations and the summative reports of student evaluations, are assessed by the HOD’s, against the promotion criteria and in the context of work performance over the past year. Care is taken not to unnecessarily inflate promotion criteria and to test all criteria for job-relatedness.
If peer reviewers of teaching have not been identified, the HOD also answers the following questions in regard to teaching outputs:

ix. the quality of teaching outputs and/or contributions to educational innovation;

x. the impact of these contributions; and

xi. the national or international standing of the candidate; and

xii. substantiates his/her conclusions.

Candidates are not at this stage invited for personal interviews. HOD’s then indicate in writing why they do, or do not, support the promotion of specific candidates, and forward their reports to the Faculty Manager (or nominated alternative), appending the input documents listed at the beginning of this paragraph.

After consolidating all documentation from the HOD and the peer reviewers for each candidate, the Faculty Manager checks them for completeness, suitability etc, in consultation with the Dean and the academics on the faculty peer review support structure. “Documentation” is now ready to be placed before the Faculty Recruitment and Selection Committee. This Committee will, in turn, assess the “documentation”, interview the candidates and reach consensus about their teaching and research standing, with a view to determining whether they are promotable.

### 3.5.7. Minimum Academic Requirements for Appointment and Promotion

The requirements below are minimum requirements unless otherwise stated. Appointments and promotions will not be considered where the minimum requirements, at least in the fundamental activity areas of teaching, research, and community service (where applicable), have not been achieved. The meeting of the minimum requirements does not, in and of itself, justify automatic appointment or promotion. Appendix 1 - Framework For The Evaluation of Teaching, Appendix 2 - Criteria for the Evaluation of Research and Appendix 9 – Guidelines for the Evaluation of Creative Production and Outputs give detailed guidance when assessing candidates’ appointability or promotability.
Given historical factors, allowances will be made for a slow start when considering the academic records of candidates from designated groups. However, the academic record must evidence improvement as studies progress and be excellent by the final year of undergraduate study.

When assessing the potential of external non-academic candidates who have pursued careers in the private or public sectors, non-academic career achievements should be considered in addition to the normal factors. Attempts should be made to extrapolate postdoctoral outputs to the future, assuming the provision by the University of an optimally supportive research and teaching environment. This approach should receive particular emphasis when assessing the potential of candidates from designated groups.

Table 1: Minimum Academic Requirements for Appointment and Promotion

<table>
<thead>
<tr>
<th>Level</th>
<th>Minimum academic requirements</th>
<th>Academic record</th>
</tr>
</thead>
<tbody>
<tr>
<td>Junior Lecturer</td>
<td>A completed honours or equivalent degree.</td>
<td>The academic record of the candidate must be excellent and must reflect the candidate’s potential to become established as a teacher and researcher of good standing in the particular field.</td>
</tr>
<tr>
<td>Lecturer</td>
<td>A Master’s degree or an equivalent degree of an equally advanced level.</td>
<td>The academic record must be excellent and attest that the candidate is on his/her way to become established as a teacher and researcher of good standing in the particular field, with the potential to develop further.</td>
</tr>
<tr>
<td>Senior Lecturer</td>
<td>A Doctoral degree, or an appropriate professional or other qualification, supported by research publications.</td>
<td>The academic record must reflect sustained high quality performance in the subject area and the potential to maintain it at this level. Teaching and research achievements must be substantiated by high quality outputs. The candidate must show the potential to become established as an</td>
</tr>
<tr>
<td>Level</td>
<td>Minimum academic requirements</td>
<td>Academic record</td>
</tr>
<tr>
<td>-------------</td>
<td>------------------------------------------------------------------------------------------------</td>
<td>---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td></td>
<td>independent researcher within the near future.</td>
<td></td>
</tr>
<tr>
<td>Associate</td>
<td>A Doctoral degree and research publications are normally required. In appropriate cases a professional or other qualification, supported by research publications, could be considered.</td>
<td>The career profile of the candidate reflects sustained high quality performance at the teaching and research levels in the subject area. The candidate must be established as a teacher and researcher, or industry leader in the field with at least some significant local scientific/scholarly recognition and standing. This recognition must be substantiated by high quality outputs.</td>
</tr>
<tr>
<td>Professor</td>
<td>The same as for Associate Professor, but additional academic, professional, management, teaching and research experience are to the benefit of the candidate.</td>
<td>The same as for Associate Professor, but the candidate must have demonstrated that he/she is well established as an innovative teacher and researcher or industry leader in the particular field with substantial local and at least some international scientific/scholarly recognition. This recognition must be substantiated by sustained high quality outputs.</td>
</tr>
</tbody>
</table>

3.5.8. Criteria for the Evaluation of Teaching

*Appendix 1 - Framework for the Evaluation of Teaching* - gives an overview of the criteria for the evaluation of teaching on the different post levels.

3.5.9. Criteria for the Evaluation of Research

*Appendix 2 - Criteria for the Evaluation of Research* - gives an overview of the criteria for the evaluation of research on the different post levels.
3.5.10. Criteria for the Evaluation of Creative Production and Outputs

Refer Appendix 9 – Guidelines for the Evaluation of Creative Production and Outputs.

3.5.11. Measurement of Performance and Excellence

From the above mentioned it is clear that the measurement of performance and excellence is primarily qualitative, with quantitative factors playing a secondary role. The instruments and possible sources of evidence provided in Appendix 1 and 3 provide guidelines with due consideration of the fact that various aspects of excellence should rather be evaluated qualitatively and supplemented by quantitative particulars.

3.6. Criteria and Procedure for Extraordinary and Honorary appointments

3.6.1. Extraordinary Lecturers

Extraordinary Lecturers are appointed on the basis of specialised expertise, in accordance with a predetermined brief, to take part in the academic programme of a Department, on condition that the relevant expertise is not available in the University. The part of the academic programme that an Extraordinary Lecturer presents forms part of the official course content on which examinations are set. Extraordinary Lecturers may also supervise postgraduate students.

The appointment of an Extraordinary Lecturer does not represent replacement help and is an appointment in its own right.

Extraordinary Lecturers are appointed on a part time basis for a term of up to three years at a time, at remuneration arranged by way of negotiation and agreement.

It is highly desirable that the body of Extraordinary Lecturers includes persons from designated groups, as defined by the Employment Equity Act.
3.6.2. Extraordinary Professors

Extraordinary Professors are appointed on the basis of specialised expertise and specific professional and/or expert status in accordance with a predetermined specific brief, to take part in the academic programme of a department, on condition that the relevant expertise is not available in the University. Professors emeriti may also be appointed as Extraordinary Professors. The part of the academic programme that an Extraordinary Professor presents, forms part of the official course content on which examinations are set. Extraordinary Professors may also supervise postgraduate students.

When selecting Extraordinary Professors the emphasis falls on specialised expertise, qualifications, publications as well as status in the relevant profession or field of study.

The appointment of an Extraordinary Professor does not represent replacement help and is an appointment in its own right.

Extraordinary Professors are appointed on a part time basis for a term of up to three years, as determined by the candidate’s involvement in the academic programme, at remuneration arranged by way of negotiation and agreement. The re-appointment of a candidate may, depending on the particular recommendation, be repeated for a period of three years, subject to the approval of the Dean.

It is highly desirable that the body of Extraordinary Professors includes persons from designated groups, as defined by the Employment Equity Act.

3.6.3. Honorary Professors

The purpose of nominating a person in the capacity of Honorary Professor is to honour such person on the grounds of proven academic status, or of status in the community in a specific occupational field.

Honorary Professors are nominated for a period of three years or shorter (if so requested), without remuneration. They are invited to give a small number of specialist lectures or public addresses.
It is highly desirable that the body of Honorary Professors includes persons from designated groups, as defined by the Employment Equity Act.

3.7. Structures

These structures will only be put in place within the new university once the size of that university allows for such structures.

3.7.1. Faculty Peer Review Support Structure

Inclusion of an internal peer review process in the evaluation of academic staff members, necessitates a small support structure in faculties, comprising no more than two senior academics and also a person or unit with strong administrative capacity. A new committee is thus not necessary.

Suitable academics should be members of the Faculty Recruitment and Selection Committee, nominated by the Dean to perform this role. Thus they could include Heads of Schools (in Faculties with Schools) and/or the permanent member of the Faculty Board and his/her alternate. It would be helpful if at least one of these academics had experience of the peer review process and/or exposure to the NRF peer review process. The Executive Committee of a Faculty/School (or some of its members), may also function as the Faculty peer review support structure.

The Office of the Faculty Manager is the ideal unit to provide the administrative capacity to the Faculty peer review support structure. Failing such, the Dean should nominate a suitable alternative.

3.7.2. Faculty Recruitment and Selection Committees

The Office of the Faculty Manager handles the secretariat of the Faculty Recruitment and Selection Committee.

Faculty Managers attend meetings of Faculty Recruitment and Selection Committees as observers, to monitor the human resources processes and to provide appropriate support.
3.8. Ethical considerations

It is expected of any member of a Faculty Recruitment and Selection Committee of the University to withdraw if a candidate for appointment, confirmation of permanent appointment or internal promotion is a blood relation, the spouse, a relation by marriage or a close personal friend of the relevant member of the Committee.

If a candidate for appointment, confirmation of permanent appointment or internal promotion has a business connection with a member of a Faculty Recruitment and Selection Committee of the University, it is expected of the relevant member of the Committee to declare such business connection before the meeting, and for this to be recorded.

3.9. Procedures for inclusion of union representatives on recruitment and selection committees

3.9.1. Rationale

The role of Recruitment and Selection Committees is to reach consensus regarding the appointability and promotability or confirmation of candidates, to support this with reasons that relate properly to the selection criteria, and to report on this. Failing full consensus, any member of the committee may submit a minority report.

The value of such consensus is questionable, if the process by which it is reached does not adhere to good human resource practice or is unfair. It is therefore equally important that there is a mechanism to ensure adherence to fair and professional recruitment and selections practices. Union representatives play a critical role in this regard.

One union member per union/employee organisation, to a maximum of three members, from a pool comprising members of all unions/employee organisations formally recognized by the University, should be present at meetings of short listing and Recruitment and Selection Committees of academic and support staff. The role of the union members shall be to ensure adherence to the prescribed fair procedure. This shall not compromise management prerogative in regard to recruitment and selection of staff (e.g. the prerogative to create or authorize the filling of posts, to develop appropriate job descriptions, to recommend appointment of a candidate etc).
To be able to ensure adherence to the prescribed procedure effectively, union representatives must be:

i. trained in regard to professional and fair recruitment and selection practices;

ii. provided with necessary information in time for them to perform their role at meetings of both short listing and selection committees;

iii. provided with a mechanism to express any dissatisfaction with the Recruitment and Selection Committee’s process at either the short listing or the selection stage.

The process for assigning union representatives to committees and collecting their feedback needs to be impartial and efficient. It should aim to minimize breakdowns in communication. It must not unnecessarily slow down the recruitment and selection process.

3.9.2. Procedure for Selection of Union Representatives

In November each year, the EE Division will request recognized unions and employee organizations to each nominate a pool of their members as representatives on Recruitment and Selection Committees in order to ensure adherence to the prescribed recruitment and selection procedure in the following year. This list of nominees may include the Senior Shop Stewards/Full-time Shop Stewards, as applicable.

When requesting nominations, the EE Division will supply a list of Faculties and Support Departments, so that the pool of representatives can be divided among the Faculties and Support Departments – academic representatives and support staff representatives for each Faculty, and support staff representatives for each Support Department. Union representatives’ contact details (telephone, office address, building and e-mail address) will also be requested at this time. The first union representative on the list for each Faculty/Support Department, will be regarded as the lead representative for that Faculty/Support Department.

The EE Division will ensure that Faculty Managers and HR Officers are notified of the name and contact details of the lead representative for the Faculty or Support Department.

Nominees must:
i. be members of the permanent staff of the University
ii. be paid up members of a recognized union or employee organization
iii. be able to read and understand the applicable documents
iv. be able to understand spoken English and Afrikaans
v. have successfully attended a training course on the University’s *Policy, Procedure and Guidelines applicable to the Recruitment, Selection, Appointment and Promotion of Academic/Support Services staff* (as appropriate).
vi. be directly contactable by telephone and/or e-mail

Since their role is to ensure adherence to prescribed procedure, the job levels of nominated union representatives need not necessarily be higher than that of the vacancy being filled. However, it is desirable that the job level of the representative is equal to that of the vacancy, or at least that there is not too great a difference between the job level of the union representative and that of the vacancy being filled.

It is also preferable that union representatives on Recruitment and Selection Committees for academic staff are themselves academics, and are employed in the relevant Faculty. If, on occasion, this is not practicable, an academic from another Faculty may perform the role, and if this is also not practicable the relevant Senior Shop Steward/Full-time Shop Steward may do so.

As far as possible, union representatives will not be assigned to committees considering appointments, promotions or confirmations in departments in which they are employed.

**3.9.3. Procedure for assigning Union Representatives to the Recruitment and Selection Process**

Communication will in general be done by e-mail. If for any reason a union representative is temporarily disconnected from the e-mail, it is his/her responsibility to notify the **lead** representative for the Faculty/Support Department, and provide an alternative channel of communication. In turn the **lead** representative will notify the relevant HR Officer.

In the case of filling a vacancy, when a job advertisement is placed, the Recruitment Office will inform the relevant **lead** union representatives and the relevant Faculty Manager in Faculties or Human Resources Officer in Support Departments regarding:
i. the nature and level of the vacancy to be filled
ii. the Department in which the vacancy has arisen
iii. whether the vacancy is to be advertised both internally and externally, or only internally,
iv. and supply a copy of the advertisement.

It is the responsibility of the relevant lead union representative to:

i. timeously assign union representatives from the pool, including himself/herself, to the filling of the particular vacancy;
ii. notify the person responsible for setting up meetings of the short listing and Recruitment and Selection Committee (normally the HR Officer) of the assigned union representative;
iii. ensure that union representatives at all times have a supply of the prescribed checklists to facilitate ensuring adherence to prescribed policy and procedure;
iv. track utilization of representatives to ensure that none are being either over or underutilized, and correct over or underutilization in consultation with the EE Division;
v. exercise an option to assign a substitute representative, if notified by the assigned representative that he/she will be unavailable on the required date(s).

In all cases of appointment, promotion or confirmation, it is the responsibility of the person setting up meetings of the short listing and Recruitment and Selection Committee (normally the HR Officer), to:

i. contact the assigned union representative as soon as there is certainty about dates on which the Committee will meet, and supply the relevant date(s);
ii. ensure that relevant documentation is received by the assigned union representative, at least 3 working days before the committee meets;
iii. if hand delivery rather than e-mail delivery is necessary, obtain names and signatures verifying that documentation was received by the union representative, and the relevant dates on which this took place.

If at any stage, no reply is received from the assigned union representative within 36 hours of the date on which the e-mail was sent, and no notification was received in regard to a substitute, the HR Officer may proceed without the presence of a union representative.
It is the responsibility of the assigned union representative if not available on the required date(s), to notify the lead union representative immediately, so that he/she may exercise the option to provide a substitute from the pool of union representatives for the Faculty/Support Department.

3.9.4. Union Representatives’ Performance of their Role

i. Short listing

The union representative will be provided with the prescribed process checklist by the Senior Shop Steward/Full-time Shop Steward (see above).

The union representative will then attend the meeting of the short listing committee and use the checklist to ensure adherence to the prescribed procedure, by placing a tick or a cross next to each item on the checklist as appropriate.

If the union representative is in general satisfied with the degree of adherence to prescribed procedure, up to and including short listing, she/he will indicate this by placing her/his name and signature at the bottom of the checklist.

If the union representative is not satisfied, she/he will raise her/his objection at any stage in the short listing process and attempt to resolve the matter with the short listing committee. Should she/he fail to resolve the objection to the mutual satisfaction of those present, she/he will indicate this by withholding her/his signature, and should also comment on the reasons for her/his dissatisfaction in the spaces provided on the checklist.

At the end of the short listing process, the union representative’s checklist, indicating either satisfaction or dissatisfaction with the degree of adherence to prescribed procedure during the short listing process, will be attached to the report of the short listing committee, and sent to the person responsible for giving final approval to the short list (normally the Dean or Director, but for certain senior posts the relevant member of the Executive).

The Dean/Director or member of the Executive, as appropriate, considers the report of the short listing committee and the union representative’s checklist and, if the union representative has
indicated dissatisfaction with the short listing process, decides whether to proceed to the selection interview, or to temporarily halt the process. If he/she decides to proceed regardless of the dissatisfaction of the union representative, his/her decision and the reasons for this must be communicated in writing to both the short listing committee and the union representative.

Should the union representative find the decision unacceptable, he/she may, in consultation with the relevant union structures, lodge a dispute via the normal dispute procedure.

**ii. Appointment, promotion and confirmation interviews**

The union representative will be provided with the prescribed process checklist by the Senior Shop Steward/Full Time Shop Steward (see above).

The union representative will attend the meeting of the Recruitment and Selection Committee and use the checklist to ensure adherence to the prescribed procedure by placing a tick or a cross next to each item on the checklist as appropriate.

If the union representative is in general satisfied with the degree of adherence to the prescribed selection procedure, she/he will indicate this by placing her/his name and signature at the bottom of the checklist.

If she/he is not satisfied she/he will raise her/his objection at any stage in the process (but preferably not during an interview), and attempt to resolve the matter with the Committee. Should she/he fail to resolve the objection to the mutual satisfaction of those present, she/he will indicate this by withholding her/his signature, and should also comment on the reasons for her/his dissatisfaction in the spaces provided on the checklist.

The union representative may not, in general, participate in the selection interview (e.g. he/she may not in general put questions to the candidates). However the Chairperson has some discretion in this regard, particularly if the union representative raises a valid concern or issue before an interview begins, or if the union representative indicates during an interview that he/she wishes to raise a matter that cannot wait till after the interview (e.g. if a committee member asks a question which bears no relation to the inherent job requirements).
At the end of the selection interview, the union representative’s checklist, indicating either satisfaction or dissatisfaction with the degree of adherence to the prescribed selection interview procedure, will be handed to the Chairperson of the selection committee. It must be attached to the report submitted to the final approval structure.

The final approval structure considers the report of the Recruitment and Selection Committee and the union representative’s checklist and, if the union representative has indicated dissatisfaction with the selection interview process, decides whether to proceed to consideration of the recommendations of the Committee. Should the final approval structure decide to proceed regardless of the dissatisfaction of the union representative, its decision and the reasons for this, must be communicated in writing to both the Chairperson of the Recruitment and Selection Committee and the union representative.

Should the union representative find the decision unacceptable, he/she may, in consultation with the relevant union structures, lodge a dispute via the normal dispute procedure.
APPENDIX 1

Framework for the Evaluation of Teaching

Note: (1) These criteria should serve as guidelines. (2) The competencies listed below are exercised in a context where student bodies are diverse in terms, inter alia, of race, gender and levels of preparedness for higher education.

<table>
<thead>
<tr>
<th>Level</th>
<th>Competencies</th>
<th>Appointment / Promotion criteria</th>
<th>Instruments / Possible sources of evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Junior Lecturer</td>
<td>Generally, applicants for positions at this level will normally have the entry level of the generic teaching competencies. They will be expected to enhance to higher levels of competence once appointed. They should however have the following competencies that are predictors of potential to become a good lecturer:</td>
<td>Communication skills (communicate and make presentations [clearly and audibly] Relate to undergraduate students Maintain discipline in a teaching situation Inspire and motivate students to learn Actively engage students in learning and understanding</td>
<td>Presentation to departmental panel or selection/appointment committee Peer reviews [internal] Track record of student leadership positions Track record as successful tutor and/or teaching assistant Student feedback</td>
</tr>
<tr>
<td>Teaching (learning facilitation)</td>
<td>Subject mastery</td>
<td>Subject knowledge be held in a positive regard</td>
<td>Peer reviews/feedback</td>
</tr>
<tr>
<td>Level</td>
<td>Competencies</td>
<td>Appointment / Promotion criteria</td>
<td>Instruments / Possible sources of evidence</td>
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<td></td>
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<td>by peer students and lecturers in the department</td>
<td>Track record of candidate’s undergraduate and postgraduate performance</td>
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<td></td>
<td>Plan and organise presentations in his/her subject discipline</td>
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<tr>
<td></td>
<td></td>
<td>Determine and use subject specific content for presentations</td>
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</tr>
<tr>
<td></td>
<td>Development of learning materials</td>
<td>Use and adapt hand-outs and other relevant materials for presentations, including ICT materials</td>
<td>Peer reviews/feedback</td>
</tr>
<tr>
<td></td>
<td>Assessment</td>
<td>Use appropriate and educationally sound assessment techniques</td>
<td>Internal examiner reports</td>
</tr>
<tr>
<td></td>
<td>Mentoring and coaching</td>
<td>Support and advice to peers, tutors, assistant lecturers and teaching assistants in terms of specific subject expertise where applicable</td>
<td>Peer reviews/feedback</td>
</tr>
<tr>
<td></td>
<td>Educational professional self-development and</td>
<td>Evaluate own teaching practice</td>
<td>Feedback from tutor coordinators and/or lecturers for whom teaching assistance were provided</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Evaluate own presentations and/or tutoring</td>
<td>Track record as successful tutor and/or teaching assistant</td>
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<td></td>
<td>Track record of student leadership positions</td>
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<td></td>
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<td></td>
<td>Professional development portfolio</td>
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<td></td>
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<td></td>
<td>Demonstrations to peers</td>
</tr>
<tr>
<td>Level</td>
<td>Competencies</td>
<td>Appointment / Promotion criteria</td>
<td>Instruments / Possible sources of evidence</td>
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<tr>
<td></td>
<td>evaluation</td>
<td>Attend teaching development opportunities</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Management and administration</td>
<td>Manage presentation events Manage tutor and/or teaching events where applicable</td>
<td>Administration documentation (own) Successful presentations and/or tutoring events Peer reviews/feedback</td>
</tr>
<tr>
<td>Lecturer</td>
<td>In addition to the competencies set for a junior lecturer, the following competencies and abilities are assessed:</td>
<td>Same as with junior lecturer, but higher level of competence</td>
<td>Results of undergraduate students Deliver a lecture to departmental panel or selection committee Facilitation of e-learning (e.g. Web-material, e-communication, etc)</td>
</tr>
<tr>
<td></td>
<td>Teaching (learning facilitation)</td>
<td>Plan and organise undergraduate learning events Design and develop learning outcomes for modules Determine and use subject specific content for teaching Sound knowledge base and mastery of particular subject discipline</td>
<td>Peer reviews (internal) Study material Examples of assignments and learning tasks Examples of module curricula</td>
</tr>
<tr>
<td>Level</td>
<td>Competencies</td>
<td>Appointment / Promotion criteria</td>
<td>Instruments / Possible sources of evidence</td>
</tr>
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</tr>
</tbody>
</table>
|       | Development of learning materials | Use and adapt learning materials for undergraduate learning events  
Use and adapt educational ICT (Information and Communication Technology) materials and media | Peer reviews (internal)  
Examples of learning materials and media (paper, CD-Rom, web, video, etc) |
|       | Assessment | Plan and conduct assessment events (e.g. assignments, tests and examination papers) for undergraduate students | Exam and test papers  
Assignments  
External examiner reports |
|       | Mentoring and coaching | Collegial support to peers  
Support and advice to peers in terms of specific subject expertise where applicable | Feedback from colleagues  
Peer reviews (internal) |
|       | Educational professional self-development and evaluation | Evaluate own teaching practice  
Evaluate own learning events and modules  
Attend teaching development opportunities | Professional development portfolio  
Demonstrations to peers, especially junior lecturers, of ways to improve teaching practice |
|       | Management and administration | Manage multiple learning events  
Do administration for own teaching practice | Administration documentation  
Successful learning events |
<table>
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<tr>
<th>Level</th>
<th>Competencies</th>
<th>Appointment / Promotion criteria</th>
<th>Instruments / Possible sources of evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Senior Lecturer</td>
<td>In addition to the competence levels and criteria set for lecturer the following abilities are assessed:</td>
<td></td>
<td>Peer reviews (internal)</td>
</tr>
<tr>
<td></td>
<td>Teaching (learning facilitation)</td>
<td>Facilitate multiple learning events using a variety of methodologies</td>
<td>Results of undergraduate and postgraduate students</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Facilitate and supervise postgraduate learning and research. (Note that the level/seniority of postgraduate students that a senior lecturer may supervise will vary depending on specialised subject expertise and unique circumstances within departments.)</td>
<td>Peer reviews (internal)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Education innovation and continuous improvement in teaching and learning</td>
<td>Education innovation examples</td>
</tr>
<tr>
<td></td>
<td>Subject mastery and curriculum development</td>
<td>Plan and organise learning programmes – undergraduate and taught postgraduate</td>
<td>E-learning environments</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Serve on curriculum and programme committees for undergraduate and postgraduate students</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Acknowledged for competence and expertise in particular subject discipline</td>
<td></td>
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<tr>
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<td></td>
<td></td>
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<tr>
<td>Level</td>
<td>Competencies</td>
<td>Appointment / Promotion criteria</td>
<td>Instruments / Possible sources of evidence</td>
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</tbody>
</table>
|       | Development of learning materials | Design and develop learning materials  
Design and develop e-learning environments          | Peer reviews (internal)  
Examples of learning materials and media (paper, CD-Rom, web, video, etc) |
|       | Assessment                   | Develop assessment for learning programmes  
Moderate peers’ and external lecturers’ assessment | Exam and test papers  
Assignments  
Examiner reports (internal)  
Examples of moderated work |
|       | Mentoring and coaching       | Level and complexity of collegial support and expert advice continuously develops and grow with seniority | Feedback from colleagues  
Peer reviews (internal) |
|       | Educational professional self-development | Evaluate learning programmes (own and peers)  
Evaluate teaching practice of peers  
Evaluate learning materials of peers  
Attend and present teaching development opportunities where applicable | Professional development portfolio  
Presentations delivered  
Evaluation reports |
|       | Manage and administration    | Manage a learning programme  
Assist with departmental management and administration | Administration documentation  
Successful learning programmes  
Peer reviews (internal) |
<table>
<thead>
<tr>
<th>Level</th>
<th>Competencies</th>
<th>Appointment / Promotion criteria</th>
<th>Instruments / Possible sources of evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Programme co-ordinator</td>
<td>Feedback of head of department</td>
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</tr>
<tr>
<td>Associate Professor</td>
<td>In addition to the competence levels and criteria set for Senior Lecturer the following abilities are assessed:</td>
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<td></td>
</tr>
<tr>
<td>Teaching (learning facilitation)</td>
<td>Facilitate learning through methodologies selected, designed and integrated from best practices. Supervise postgraduate students up to the doctorate level</td>
<td>Results of undergraduate and postgraduate students Student Feedback Peer reviews (internal and external) Examples of student work that shows critical and creative thinking skills Teaching awards</td>
<td></td>
</tr>
<tr>
<td>Subject mastery and curriculum development</td>
<td>Expert guidance in curriculum development/design activities within particular subject discipline Lead curriculum design teams and programme committees</td>
<td>Peer reviews (internal and external) Study guides Programme curricula Examples of assignments and learning tasks</td>
<td></td>
</tr>
<tr>
<td>Development of learning materials</td>
<td>Lead design and development teams Leadership and expert guidance in the design and development of e-learning environments</td>
<td>Peer reviews (internal and external) Examples of learning materials and media (handbook, CD-Rom publications, web, video, etc)</td>
<td></td>
</tr>
<tr>
<td>Level</td>
<td>Competencies</td>
<td>Appointment / Promotion criteria</td>
<td>Instruments / Possible sources of evidence</td>
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</tr>
<tr>
<td></td>
<td>Assessment</td>
<td>Lead quality assurance activities of assessment practices</td>
<td>Exam and test papers&lt;br&gt;Assignments&lt;br&gt;Examiner reports (internal and external)</td>
</tr>
<tr>
<td></td>
<td>Mentoring and coaching</td>
<td>Level and complexity of collegial support and expert advice continuously develops and grow with seniority</td>
<td>Feedback from colleagues&lt;br&gt;Peer reviews (internal and external)</td>
</tr>
<tr>
<td></td>
<td>Educational professional self-development and evaluation</td>
<td>Participate in internal and external evaluation activities of teaching practices</td>
<td>Evaluation reports&lt;br&gt;Peer reviews (internal and external)</td>
</tr>
<tr>
<td></td>
<td>Management and administration</td>
<td>Manage multiple learning programmes&lt;br&gt;Assist with school management and administration&lt;br&gt;Participate in faculty-wide strategic academic activities</td>
<td>Administration documentation&lt;br&gt;Peer reviews (internal and external)&lt;br&gt;Feedback of faculty line management</td>
</tr>
<tr>
<td>Level</td>
<td>Competencies</td>
<td>Appointment / Promotion criteria</td>
<td>Instruments / Possible sources of evidence</td>
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<tr>
<td>Professor</td>
<td>In addition to the competence levels and criteria set for associate professor the following abilities are assessed with special attention to the innovative contributions of the candidate on a national and/or international level:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Teaching (learning facilitation)</td>
<td>Use a spectrum of educational strategies and approaches. Capabilities must testify of quality and innovation that evolve best practices. Acknowledged for leadership and expertise with regards to teaching methodology. Leading expertise in supervising doctoral students. Guest lecturing on national and/or international level.</td>
<td>Results of undergraduate and postgraduate students. Student feedback. Peer reviews (internal and external). Examples of student work that shows critical and creative thinking skills. Invitations as guest lecturer. Teaching awards (internal and external).</td>
</tr>
<tr>
<td></td>
<td>Subject mastery and curriculum development</td>
<td>Expert guidance in curriculum development/design activities within particular subject discipline. Lead curriculum design teams and programme committees.</td>
<td>Peer reviews (internal and external). Member of national education committees. Programme curricula.</td>
</tr>
<tr>
<td></td>
<td>Development of learning materials</td>
<td>Acknowledged for expert input in design and development teams.</td>
<td>Peer reviews (internal and external). Examples of learning materials and media.</td>
</tr>
<tr>
<td>Level</td>
<td>Competencies</td>
<td>Appointment / Promotion criteria</td>
<td>Instruments / Possible sources of evidence</td>
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</tbody>
</table>
|                          |                                                                               | Acknowledged for expertise in assessment strategies and methodologies within discipline  
Participate and/or lead quality assurance activities of assessment practices                                                                                      | (handbook, CD-Rom, web, video, etc)                                                                                                                                                                                                                                                                                                                                                                                               |
| Assessment               |                                                                               | Exam and test papers  
Assignments  
Examiner reports (internal and external)                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                           |
| Mentoring and coaching   | Level and complexity of collegial support and expert advice continuously develops and grow with seniority | Feedback from colleagues  
Peer reviews (internal and external)                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                                                                           |
| Educational professional self-development and evaluation | Participate in external evaluation activities of teaching practices of other institutions | Professional development portfolio  
Presentations delivered  
Evaluation reports  
Peer reviews (internal and external)                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                           |
| Management and administration | Manage multiple teaching activities within the faculty and/or University  
Assist with faculty-wide management and administration  
Lead faculty-wide strategic academic activities and participate in University-wide strategic   | Administration documentation  
Successful teaching and learning environments within the faculty  
Peer reviews (internal and external)  
Feedback of faculty and university line management                                                                 |                                                                                                                                                                                                                                           |
<table>
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<tr>
<th>Level</th>
<th>Competencies</th>
<th>Appointment / Promotion criteria</th>
<th>Instruments / Possible sources of evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Out-standing</td>
<td>All seven generic teaching competencies apply</td>
<td>The evaluation does not concentrate on detail, but teaching capabilities and competencies are evaluated qualitatively in their totality.</td>
<td></td>
</tr>
<tr>
<td>Performer</td>
<td></td>
<td>Apart from the candidate’s teaching capabilities over the full spectrum of teaching responsibilities, strategies and approaches, the Out-performer continuously demonstrates innovation and leadership in teaching.</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Innovation and leadership is visible in the national and international arena.</td>
<td>Invitations and performances as key note speaker at international conferences. Member of international education committee(s)/association(s)/forms, etc Other institutions use candidates’ curriculum development, assessment and teaching strategies and methods National and/or international teaching awards</td>
</tr>
</tbody>
</table>
## APPENDIX 2

### Criteria for the Evaluation of Research

<table>
<thead>
<tr>
<th>Level</th>
<th>Appointment / Promotion criteria</th>
<th>Instruments / Possible sources of evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Junior Lecturer</td>
<td>Candidates would normally have little if any research experience but they should have an interest in research and be engaged in postgraduate study as an indication of the potential to become researchers.</td>
<td>Engaged in the process of obtaining a postgraduate degree (Masters or Doctoral). Research proposals and progress reports Publications in peer-reviewed journals if relevant.</td>
</tr>
<tr>
<td>Lecturer</td>
<td>Candidates should be involved in research activities. Candidates that are not as yet in possession of a Doctoral or equivalent degree should demonstrate the potential and willingness to obtain a doctoral or equivalent qualification that could launch them on an independent research career within a period of three years of the date of appointment.</td>
<td>Engaged in the process of obtaining a Doctoral or equivalent degree. Participation in the planning and guidance of the research projects of post-graduate research projects of honours and masters students. Research proposals and research progress reports Publications in peer-reviewed journals</td>
</tr>
<tr>
<td>Senior Lecturer</td>
<td>Candidates should have research experience and they should on the basis of the quality of their recent or previous research outputs be able to give a clear indication that they are likely to become established or re-established as such.</td>
<td>Recent publications in peer-reviewed journals. An internal or external process of peer-review that indicates that the candidate is likely to be established in the near future would be a strong recommendation.</td>
</tr>
<tr>
<td>Level</td>
<td>Appointment / Promotion criteria</td>
<td>Instruments / Possible sources of evidence</td>
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<tr>
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<td>independent researchers in their own right in the near future.</td>
<td>Involvement as supervisor or co-supervisor of Master and / or PhD students.</td>
</tr>
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<td>In most cases it is expected that the candidate be in possession of a PhD or equivalent degree.</td>
</tr>
<tr>
<td>Associate Professor</td>
<td>Candidates are identified by their peers as independent established researchers at, at least a national level.</td>
<td>A PhD or equivalent degree</td>
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<td>Internal and / or external system of peer-review that will confirm the status of the candidate as an established researcher or a very promising young researcher.</td>
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<td>The research standing should be demonstrated by a sustained record of recent quality publications in peer-reviewed journals or other equivalent outputs that are considered to be a body of coherent quality work that attest to an on-going engagement within a specific research field.</td>
</tr>
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<td></td>
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<td>Supervisor of completed Masters and on-going Doctoral students.</td>
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<td>The ability to attract independent research funding to support a variety of research projects or a larger research programme.</td>
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<tr>
<td>Level</td>
<td>Appointment / Promotion criteria</td>
<td>Instruments / Possible sources of evidence</td>
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<tr>
<td>Professor</td>
<td>Recognized by their peers as an independent established researchers at a national or international level based on a recent body of quality work that attest to an on-going engagement within the field.</td>
<td>External system of peer-review that will confirm the status of the candidate with respect to the required research competency.</td>
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<td></td>
<td>At least some of the candidate’s peers should indicate that the candidate is internationally recognized for his/her high quality research outputs.</td>
<td>The internal process of peer-review process should only be considered when the external process is not available or suitable. This should be fully motivated.</td>
</tr>
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<td></td>
<td>Young researchers who have held the doctorate for at least a number of years and who have shown exceptional potential in their published doctoral work and in their early post-doctoral careers. This potential should be of such a high standing that the majority of their peers considers such a young candidate to become established as a research leader with considerable international recognition in the near future.</td>
<td>The research standing should be demonstrated by a sustained recent record of productivity in the field that is considered to be a body of coherent quality work that enjoys at least some level of international recognition.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Supervisor of several completed Masters and PhD students.</td>
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<td>The establishment of an independent research programme that is able to attract independent national or international research funding.</td>
</tr>
<tr>
<td>Outstanding Performer</td>
<td>Researchers who are unequivocally recognized by their peers as leading scholars in their field for the high quality and wide ranging impact of their recent and sustained quality research outputs.</td>
<td>External system of peer-review</td>
</tr>
<tr>
<td></td>
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<td>The internal process of peer-review process should only be considered when the external process is not available or suitable. This should be fully motivated.</td>
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<td>Research leadership demonstrated by the establishment of</td>
</tr>
<tr>
<td>Level</td>
<td>Appointment / Promotion criteria</td>
<td>Instruments / Possible sources of evidence</td>
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<td></td>
<td>This also applies to researchers who on the basis of the high quality of their recent research outputs enjoy considerable international recognition by their peers.</td>
<td>an internationally recognized research programme or research focus that is characterized by its quality outputs. When applicable such a programme must be independently financed and may involve other established researchers as well as doctoral and postdoctoral students.</td>
</tr>
</tbody>
</table>
APPENDIX 3

FORMAT OF CURRICULUM VITAE

The University prefers the following CV format. Specific items can be added to or omitted to reflect Faculty specific and/or individual circumstances, but the given numbering should, as far as possible, be followed to facilitate the evaluation process.

Provision of information about race and gender is optional, but will assist the University to report in terms of current Employment Equity legislation.

EVALUATION DATE: (Office use only)

1. BIOGRAPHICAL SKETCH

<table>
<thead>
<tr>
<th>1.1 GENERAL INFORMATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Surname</td>
</tr>
<tr>
<td>First names</td>
</tr>
<tr>
<td>Citizenship</td>
</tr>
<tr>
<td>Place of birth</td>
</tr>
<tr>
<td>Population group</td>
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<tr>
<td>Department</td>
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<td>Direct Telephone</td>
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<thead>
<tr>
<th>Date of appointment</th>
<th>Permanent full-time</th>
<th>Temporary full-time</th>
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</table>

### 1.2 ACADEMIC QUALIFICATIONS OBTAINED

<table>
<thead>
<tr>
<th>Degree/Diploma</th>
<th>Field of study</th>
<th>Higher education institution</th>
<th>Year</th>
<th>Distinctions</th>
</tr>
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<tbody>
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</table>
### 1.3 WORK EXPERIENCE TO DATE

<table>
<thead>
<tr>
<th>Name of employer</th>
<th>Capacity and/or type of work</th>
<th>Period From (mm/yy to mm/yy)</th>
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### 2. TEACHING ACTIVITIES

#### 2.1 Courses presented

<table>
<thead>
<tr>
<th>Course</th>
<th>Level (e.g. second year, Masters)</th>
<th>Self-developed (Yes or No)</th>
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### 2.2 Other education and pedagogic courses presented

<table>
<thead>
<tr>
<th>Course</th>
<th>Year</th>
<th>Institution</th>
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</table>
3. TEACHING OUTPUTS

3.1 Educational publications and products

Provide full details including full titles, names of all the authors, publishers, dates, page numbers etc. Specify your exact contribution to the publications or products. Note that the publications here should be of a didactic nature e.g. articles in educational publications, papers presented at educational conferences, etc. A summary and description of educational products developed can be provided (e.g. study guides, learning materials, multimedia productions (CDs), educational videos, web materials, text books etc.) relevant to university education.

4. OTHER TEACHING CONTRIBUTIONS

4.1 Membership of national and international bodies

List all the teaching associations or societies to which you belong. Name your involvement, e.g. honorary member, founder member, full member, chairman, president, secretary.

4.2 Visits to local and overseas universities as guest professor or lecturer in regard to teaching

Provide details
4.3 Participation in national and international teaching associations, bodies, committees

List all memberships of associations and bodies, as well as teaching committees (e.g. curriculum and assessment committees, teaching review committees, etc) in which you participate. Name the type and extent of participation.
### 5. POSTGRADUATE SUPERVISION

#### 5.1 Supervision or co-supervision of students who have completed degrees

<table>
<thead>
<tr>
<th>Name of student</th>
<th>Degree/Title of dissertation/ thesis and date completed</th>
<th>Supervisor</th>
<th>Co-supervisor(s)</th>
<th>Duration of studies (years)</th>
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#### 5.2 Current post-graduate students

<table>
<thead>
<tr>
<th>Name of student</th>
<th>Degree enrolled for and date of first registration</th>
<th>Project title</th>
<th>Supervisor</th>
<th>Co-supervisor(s)</th>
<th>Year of registration</th>
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</table>
6. RESEARCH FUNDING

6.1 Obtaining research funds *(Optional)*

<table>
<thead>
<tr>
<th>Origin of research funds <em>(e.g. contract research, THRIP, international funding organisations, other(s))</em></th>
<th>Title of research project or programme</th>
<th>Duration</th>
<th>Money allocated (R) <em>(Optional - exact amounts not required)</em></th>
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</tbody>
</table>

7. RESEARCH OUTPUTS

7.1 Publications in peer-reviewed or refereed journals

*Provide full details of each publication, including full titles, names of all the authors, journals, dates, page numbers etc.*
7.2 Books and/or chapters in books

Provide full details, including full titles, names of all the authors, publishers, dates, page numbers etc. Specify your exact contribution to the book e.g. editorial role, co-author

7.3 Published full-length conference papers/keynote addresses

Provide full details of each publication, including full titles, names of all the authors, journals, dates, page numbers etc.

7.4 Non-refereed publications or popular articles

Provide full details of each publication, including full titles, names of all the authors, journals, dates, page numbers etc.
### 7.5 Patents

Provide full details of provisional or full patents

### 7.6 Technical reports

Provide full details.

### 8. OTHER SCHOLARLY RESEARCH-BASED CONTRIBUTIONS

### 8.1 Participation in conferences, workshops and short courses - specify type of contribution

Provide full details of participation in national and international conferences etc

#### 8.1.1 National

#### 8.1.2 International
8.2 Teamwork and collaboration with others:

*Other researchers (national and international)*

*Other research institutions (national and international)*

*Industry*

8.3 Membership in national and international bodies

*List all the scientific associations or societies to which you belong. Name your involvement, e.g. honorary member, founder member, full member, chairman, president, secretary*
8.4 Visits to local and overseas universities or research institutes as guest professor or researcher

Details are required

9. ARTISTIC OUTPUTS (if applicable)

9.1 Provide full details of artistic outputs, including public reviews of work, coordinating reports by experts in the field, publisher, production company etc

10. MANAGEMENT AND ADMINISTRATIVE DUTIES

10.1 List your involvement in departmental activities (e.g. administrative functions), faculty (e.g. Faculty Committees) or other university activities.
11. COMMUNITY SERVICE OR PROFESSIONAL SKILLS

11.1 Outreach projects
   (e.g. project titles, institutions and communities involved, etc.)

11.2 Professional service performed
   (e.g. courses presented, lectures at professional associations/clubs, radio or TV appearances, outside expert or appointment committee, etc.)
11.3 Clinical service
(e.g. full detail of rank/level of joint appointment, level of clinical service rendering responsibilities, university administration and academic responsibilities, CPD involvement, clinical trials involvement, etc.)

11.4 Involvement with other universities/scientific institutions
(e.g. external examiner, editor of journal, advisory council, CSIR, SA Council for Scientific Professions)

11.5 Referee duties
(e.g. journals, dissertations/theses)

12. AWARDS AND SCIENTIFIC/SCHOLARLY RECOGNITION

12.1 Evaluation status as scientist/scholar
(e.g. NRF; first evaluation and date, subsequent evaluations and dates)
12.2 Research awards and prizes

*Full details are required*

12.3 Teaching awards and prizes

*Full details are required*

12.4 Artistic awards and prizes

*Full details required*
APPENDIX 4

Recruitment and selection of ACADEMIC staff

Process steps

Approximate time frame

1. Gain authorization to fill vacancy. Record post and diversity information

2. Constitute the Recruitment and Selection Committee – record composition

3. Review job requirements – record minimum versus recommended requirements

4. Determine the short listing and selection criteria

5. Contact HR Department re advertisement

6. Place advertisement – AND conduct networking / search activities - record
7. Compile the short list of candidates using agreed short listing criteria and consult referees – record (process plus

2-3 weeks

. Determine core interview questions relating to selection criteria

9. Conduct selection interviews – record (process plus

10. Make recommendation to Senior Appointments Committee (Academic)
# 4. STAFF RECRUITMENT AND SELECTION POLICY

## Policy Statement

It is the policy of the University to attract and retain a demographically representative pool of excellent support staff by implementing a fully integrated Talent Acquisition Strategy that provides effective processes, systems and tools for the sourcing, screening, assessing, interviewing and on-boarding of staff with the required skills and competencies to meet current and future institutional needs.

## Definition

- **Appointable** refers to a candidate who meets with the minimum requirements and is assessed as acceptable by a duly constituted Interview Panel;

- **Competencies** refers to the requirements in terms of knowledge, skills and attributes needed to perform the job.

- **Designated groups** refers to black people, women and people with disabilities;
“External advertisement (National)” refers to an advertisement on the University Website (Internet), newspapers, journals or any other appropriate media decided on in consultation with the relevant environment;

“External advertisement (International)” refers to an advertisement on the University Website (Internet) as well as other international websites (which refers to the University Website), international journals or any other appropriate international media decided on in consultation with the relevant environment;

“Fixed-Term Contract” refers to staff whose term of appointment is twelve (12) months or longer with a specified date of termination of employment;

“Head hunting” refers to the identification of candidates through other processes, including identification of candidates by serving staff members and the use of employment agencies, where advertisements have failed to attract suitable candidates;

“HR Representative” refers to any appointed Human Resources official who is delegated to be responsible and drive the selection and recruitment process;

“Internal advertisement” refers to an advertisement on the University Website (Intranet) or an internal circular which is directed to Permanent, Temporary and Part-Time Staff at the University;

“Industry” refers to a business activity directly relevant to the field in which the employee is employed;

“Institution” refers to the University, as duly constituted in terms of the Higher Education Act;

“Merit” means the extent to which a person deserves to be appointed due to the relationship between his/her abilities, aptitude, skills, qualifications, knowledge, experience and the duties and responsibilities according to the requirements of the post.

“Observer” refers to the status awarded to a person or a union member which allows such a member to observe the fairness of proceedings only.
“Permanent staff” refers to staffs who are appointed on a permanent basis by Council, whose appointment shall continue with the institution until retirement unless terminated earlier through ill health, voluntary resignation, retrenchment, dismissal or death.

“Ranking” refers to the process whereby the appointable candidates are placed in order of preference according the results of the assessment by the Panel;

“Relevant qualification” - refers to the required qualification as per the job profile

“Selection” refers to the process of screening, short-listing and interviewing of candidates;

“Sourcing” the way and the tools used by the institution to reach potential candidates with information on job opportunities at University

“Sufficient Consensus” refers to the agreement that must be reached amongst at least two thirds of the members of the Committee;

“Senior Manager” refers to Director, Executive Director, Executive Dean and/or relevant DVC.

“Support staff” refers to staff that are functioning in an administrative/ supportive/ professional/ managerial capacity, supporting the academic function of the institution.

“Talent” refers to the capabilities, qualifications and attributes possessed by new of current staff members which are required to ensure that the organisation has the capacity to achieve its objectives.

4.3 Rules

i. The university is committed to fair, consistent and transparent talent acquisition and retention procedures. The processes should be based on a candidate’s job-specific knowledge, skills, aptitude, qualifications, attitudes and values in line with all relevant labour legislations and organisational policies and strategies.
ii. Whilst attracting staff, preference shall be given to previously disadvantaged candidates who are members of the designated groups.

iii. In all instances, the selection criteria for all jobs shall be objective and related to the inherent requirements of the job and should be consistently be applied to all candidates.

iv. All potential candidates for vacant positions shall be interviewed by an appointed panel as contained in this policy.

v. An external expert may be invited as a panelist where critical and/or complex positions are being filled.

vi. All requisite processes shall be free from bias and discrimination. It is the policy of the university to attract suitably best candidates regardless of their relationships with the staff employed by the university.

vii. Relationships shall neither advantage nor deter the attraction and retention of candidates provided the candidate meets and fulfils the appropriate appointment and professional development criteria.

viii. No individuals shall be employed in positions where the employment would result in close relatives directly reporting to each other or where one will have the responsibility of reviewing and approving employment decisions of the other.

ix. The process will be treated in strict confidence. All committee members shall be expected to sign a confidentiality clause.

x. The University reserves the right to appoint where necessary and not to appoint.
xi. If there is no sufficient consensus amongst the interview committee members, the chairperson on
the interview committee will have the final decision.
4.4. Short-listing

The HR Representative will screen applications and present at least five (5) candidates to the line manager. The line manager and HR Representative will agree and finalise the list of three (3) candidates that will be interviewed.

4.5. Composition of the interview committees.

4.5.1. Technical support staff (Academic Support)

i. Laboratory and Technical Assistants / Junior Technician/Technician (Post level 15-10)

- The Head of Academic Department concerned (Chairperson).
- The Section Head or Programme Coordinator.
- HR Specialist.
- A representative from each union. (Observers)

ii. Senior Technician / Technologist / Senior Technologist (Post level 9-7)

- Executive Dean/Associate Dean (if applicable) of the Faculty concerned (Chairperson)
- The Head of the Academic Department concerned.
- The Section Head or Programme Coordinator.
- HR Specialist.
- A representative from each union. (Observers)

4.5.2. Support staff.


- Head of Department/ Divisional Head/ Campus Director (where applicable) (chairperson).
• Immediate supervisor.
• H.R. Officer.
• A representative from each union. (Observers)

ii. Post level 12-7.

• Head of Department/ Divisional Head/ Campus Director (where applicable) (chairperson).
• Immediate supervisor.
• Senior H.R. Officer.
• A representative from each union. (Observers)

iii. Post level 6

• Executive Director (Chairperson)
• Director/ Head of division/ Campus Director (where applicable)
• H.R Specialist
• A representative from each union. (Observers)

iv. Post level 5

• Deputy Vice-Chancellor. (Chairperson)
• Executive Director
• H.R. Manager.
• A representative from each union. (Observers)

4.5.3. Management staff reporting to the VC.

The appointment procedures for senior management (Post levels 1 to 4) are contained in the chapter on the Interim Council, Council and Governance – Chapter 3 of these guidelines.
4.6. Responsibilities of the Interview Committee

4.6.1. The Chairperson shall:

i. Conduct and be responsible for the meeting proceedings and ensure that the committee is objective in all instances.

ii. The chairperson shall adhere to the rules of this policy at all times

4.6.2. The Committee Members shall:

i. Systematically measure the candidates against the set of explicit job related criteria,

ii. Ensure that all candidates are measured against the same criteria,

iii. Weigh the applicants’ skills, abilities, qualifications and experience against a set explicit job related criteria.

4.6.3. The HR Representative shall

i. In addition to duties in paragraph 6.1.2 above, the HR Representative shall ensure that all records of the proceedings are recorded and signed by the Chairperson and kept safely.

ii. Provide support and advisory role to committee

4.7. Behavioural simulations and assessment

Shortlisted candidates will be subjected to simulations and/or assessment or skills check if so requested by the environment and approved by the Director: Human Resources. Assessments will be conducted by a registered professional.

4.8. Presentations

Shortlisted candidates may be required to make a presentation on a relevant topic.
4.9. Recommendations

The Interview will make a recommendation as to who amongst the shortlisted candidates should be appointed. Where there is minority disagreement this will be recorded as such. Where there are very little differences between two or more of the candidates then the candidates will be listed in order of preference.

These recommendations (under strict terms of confidentiality) will be sent to the HR department for recommendations on the salary and grade and will then serve before the Vice Chancellor for final approval.

Only on this approval will an offer be made to the preferred candidate.

If the preferred candidate rejects the offer, an offer will then be made to the next candidate on the priority list.
5. POLICY ON STAFF INDUCTION

POLICY REFERENCE: HR 04

<table>
<thead>
<tr>
<th>Name of Originator</th>
<th>BN</th>
<th>Name of VC</th>
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<tr>
<td>Approved by QC</td>
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<td>Approved by Legal Div</td>
</tr>
<tr>
<td>Policy code and number</td>
<td>HR 04</td>
<td>Approved by Registrar</td>
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<tr>
<td>Date sent to VC</td>
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<td>Approved by VC</td>
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<td>Date sent to Council</td>
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<td>Approved by Council</td>
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5.1. Preamble

It is the policy of the university to offer new staff members a formal and structured introduction to the university.

5.2. Definitions

Induction is the process of assisting newly appointed staff members to adjust to the new social and working environment, in order to achieve maximum working efficiency.

Skills Development Act, No. 55 of 1998, was promulgated to improve and develop the skills of South Africa’s mainly unskilled labour force and to develop and promote the quality and advancement of education and training in South Africa.

The Skills Development Levies Act, No. 9 of 1999, provides for the imposition of a skills development levy at a rate of 1% of the salary bill of an organisation. It is the responsibility of the Staff Development Unit to administer this process.
The Employment Equity Act, No. 55 of 1998, promotes a fair and just workplace for all staff members. Firstly, prohibiting unfair discrimination in the workplace and secondly, by encouraging the implementation of affirmative action measures to address previous disadvantages.

The South African Qualifications Authority Act, NO. 58 of 1995, provides for the development and implementation of a National Qualifications Framework (NQF). The NQF is a key strategy for human resource development and is aimed at facilitating greater access to learning opportunities of good quality for all South Africans. NQF removes unnecessary constraints to entry and progression within the learning system.

Training, Education & Development Unit refers to the unit that strives to reach the organisation’s aims by bringing the training needs of the individual, their carefully assessed requirements for furthering their careers, and the needs of the organization, into harmony. The staff development unit is referred to as (TEDU).

ETDP/SETA refers to the education and training development practices sector education and training authority.

Human resource development refers to all training practices that lead to the development of the maximum potential of all staff members and enhances better quality, productivity and more job satisfaction.

In terms of the Skills Development Act, employers have to draw up a Work Place Skills Plan (WPSP) in consultation with their staff members. This is a strategic development plan that articulates how the employer intends training and empowering staff members with skills relevant to their workplaces.
5.3. **Scope of application**

This policy is applicable to all permanently and full time fixed term appointees of university.

5.4. **Purpose**

To integrate all employees into the organisational culture of the university and also to familiarize them with activities thereof. The programme is aimed at guiding, training, counselling and evaluating all employees who have newly appointed, promoted, transferred or demoted so that a harmonious working environment is ensured.

5.5. **Policy statement**

The university seeks to ensure that the transition of employees to a new environment is crucial towards ensuring that the employee’s productive are maintain at acceptable organisational standards. The university shall ensure that employees that join the organisation will be made familiar with the way in which the work is expected to be performed and how the organisation functions and also how they should act to fit into the organisation effectively.

5.6. **Policy provisions**

i. The Line Managers have the greatest vested interest in the new staff member and it is therefore their responsibility to make sure that new staff members get all the necessary information regarding the induction programme.

ii. The Head of Department should have a short interview with the staff member on his/her first day to enable them to appreciate the overall function of the department.

iii. The Human Resource Division is responsible for matters such as the contract of employment and conditions of service and the signing of the mentorship agreement.
iv. Each and every new appointed University staff should be provided with a copy of all universities policies and an acknowledgement of receipt should be completed for acceptance. These policies shall be provided in two languages as specified in the Language Policy of Council. (Chapter 5 Policy RO 03 page 12.)

v. The Head of department should nominate someone to fulfil the role of “mentor” and inform the Human resources division of the nomination. The new staff member may refer to this person for further information. The mentor should ideally be a member of the staff member’s work team.

vi. Training, Education & Development Unit (TEDU) is responsible for the presentation of the formal induction programmes. The TED will liaise with organised labour regarding its introduction to new staff members.
SOCIAL POLICIES
6. POLICY ON AFFIRMATIVE ACTION

6.1. Preamble

It is the policy of the university to redress past inequalities by giving preference to suitably qualified persons from designated groups until such time as the university’s employment equity targets or objectives are met.

6.2. Definitions

In this document, unless otherwise indicated –

"affirmative action" means a corrective mechanism that promotes employment equity in terms of the Employment Equity Act, and which serves as a strategic instrument that allows certain underrepresented sections of the university’s teaching, management and support units to be given preferential treatment;

"affirmative action measures" means the following:
the identification and removal of barriers to employment for members of designated groups;
the promotion of diversity in the university’s workplace;
the ensuring of equitable representation of suitably qualified persons in all occupational categories, at all levels at the university; and
the retaining, training and development of staff in designated groups at the university.

“black” means any person of colour, including African, Coloured and Asian persons;

"demographic formula” means a formula based on statistics of the national economically active population and regional economically active population of South Africa, as used by the university in the development of numerical targets in employment equity planning;

“designated employer” means an employer who employs 50 or more staff members;
“designated groups" means blacks, women and persons with disabilities;
“foreign national” means a national from a country other than South Africa, who possesses a work permit to enable him or her to obtain employment in the South African workplace. The Department of Labour is currently working on the guidelines for employers on the employment of foreign nationals;
“non-designated groups” means those groups that are not included in the designated group categories;
“preference categories” means categories of members of designated groups that need special preferential treatment when appointments and promotions are made;
“suitably qualified person” means a person suitably qualified for a job as a result of any one of or a combination of that person’s formal qualifications, prior learning, relevant experience; and potential capacity;
“University” means the new University, as duly constituted in terms of the provisions of the Higher Education Act, 1997 (Act No. 101 of 1997), as amended.

6.3. Scope application

The policy shall be applicable to all appointments of permanent and fixed term staff in the university.
6.4. Purpose

The purpose of this policy is to take the factors of race, colour, religion, sex and national origin into consideration when making appointments, in order to advance the representation of any underrepresented group within the university. This policy shall ensure that qualified people from designated groups have equal opportunities in the workplace.

6.5. Policy statement

The university recognises the need for the university to be adequately represented at all structures including previously disadvantaged individuals within the workplace. The policy shall be used as a tool that ensures that all employees shall receive equal opportunities within the University.

6.6. Policy provisions

i. It is the duty of the university as a designated employer to implement affirmative action measures in order to achieve employment equity goals;

ii. Senior management shall be responsible for the implementation of this policy.

iii. The Performance Management Development System shall be used to monitor the responsibilities of managers referred to in rule ii.

iv. Affirmative action is a total process and should transform the whole organisation to reflect the demographics specified in the approved demographic formula used in the setting of numerical targets for the university.

v. The scope of the university’s affirmative action measures are: recruitment procedures, the advertising of posts, selection criteria, appointments, job classification and grading, remuneration and benefits, terms of employment, job assignments, work environment and facilities, training and development, performance and evaluation systems, promotions, transfers, succession
planning, disciplinary measures, dismissals, corporate culture, and HIV/Aids education and prevention programmes.

vi. Preference should be given, in respect of employment and promotions, to persons in designated groups on the basis that the applicant or person being considered meets at least the minimum specified requirements in terms of qualifications and experience as defined under “suitably qualified person” above.

vii. Factors, such as the overall targets of the university’s workforce profile and the levels of the progress made in achieving the numerical targets in a faculty or department, may determine the order of priority in the preference categories of the affirmative action objectives.

viii. Preferential treatment and numerical goals, excluding quotas, are included as affirmative action measures mentioned under the definitions above.

ix. Any decision pertaining to the management of human resources, e.g. appointments, promotions and transfers, should have, as its point of departure, the demographic profile of the respective faculty, department or directorate.

x. Resources should be made available to make reasonable accommodation for affirmative action initiatives from a strategic perspective.

xi. The development of the potential of staff is a key element of affirmative action in order to – establish a pool of designated persons with relevant skills to occupy identified posts; accelerate development plans for designated individuals; develop task-orientated, on-the-job training sessions as part of in-service training for newly appointed designated staff; create study opportunities and study benefits for designated staff; and enable designated staff to be promoted.

xii. Non-designated groups should not be barred from applying for employment or from eligibility for promotions, but preference should be given to designated groups within the defined “suitably qualified person” definition, as provided.
xiii. Affirmative action should be seen as a strategic intervention with the goal of promoting employment equity and the development of an environment that is conducive to the value of diversity, in terms of the Employment Equity Act, within the university’s environment.

xiv. The university acknowledges that foreign nationals could be appointed in exceptional cases. Appointment may be made on a fixed-term contract in cases such as the following: when a suitable South African candidate could not be recruited and appointed, for sabbatical leave replacements, for succession planning purposes, to provide role models in terms of research, etc., only if numerous fruitless attempts have been made (providing proof of such efforts) to recruit a suitable South African candidate from the designated groups and non-designated groups (see hierarchy of 3.9).

xv. Black foreign nationals are not eligible for "redress" in the context of affirmative action.

xvi. Foreign nationals may be included in the overall workforce profile audit of the University.

xvii. They should not, however, be taken into consideration when targets are developed for the Employment Equity Plan.

xviii. Developmental and in-training posts should, through this policy, be linked to mentorship.

xix. Diversity training shall be provided by the HR Training, Education & Training

6.7. Procedures

The broad overall targets set for the university as well as the targets set within the Faculties / Support Departments should be taken into account when recruiting, promoting and transferring staff members from designated groups.
7. POLICY ON GENDER EQUALITY

7.1. Preamble

It is the policy of university to prevent and protect its staff members from being unfairly discriminated against on the basis of gender, and to promote gender equality and diversity on campus through education.

7.2. Definitions

In this document, unless otherwise indicated –

“gender” means the economic, social and cultural attributes and opportunities associated with being male or female, with relations between the men and women of a family, at the workplace or in the public sphere, and with international society’s understanding of what constitutes appropriate behaviour and characteristics in men and women;

“sex” relates to the biological aspects of male and female;
“gender discrimination” means any distinction, exclusion, restriction or preference on the grounds of sex, gender, pregnancy, family responsibility, sexual orientation or marital state that have the purpose or effect of nullifying or impairing the recognition, enjoyment or exercising, on an equal footing, of human rights and fundamental freedom of expression in the political, economic, social, cultural or any other field of public life;

“gender equality” means the equal use by men and women of socially valued goods, opportunities, resources, and rewards – rights and responsibilities being shared equally, and both men and women having greater freedom of choice to experience the full range of human alternatives – but it does not mean that men and women are the same, but that opportunities and chances in life do not depend on a person’s gender;

“Sexual orientation” describes the direction of an individual’s sexuality, often in relation to their own gender or sex. Common terms for describing sexual orientation include bisexual, heterosexual and homosexual. The term sexual orientation is a legal term and is referred to in anti-discrimination legislation that prohibits discrimination based on homosexuality, heterosexuality and bisexuality.

“The university” means the University of ________, as duly constituted in terms of the provisions of the Higher Education Act, 1997 (Act No. 101 of 1997), as amended; and

“Unfair gender discrimination” means any overt act of gender discrimination that is not reasonable or justifiable, or any distinction, exclusion, restriction or preference that on the surface appears neutral but in application discriminates against individuals or groups.

“Transformation” in terms of organizational culture includes four primary elements of planned change, i.e. altering the culture of the institution by changing select underlying assumptions and institutional behaviours; is deep and pervasive, affecting the whole institution; is intentional; and occurs over time. It is about change in every aspect of university life.

7.3. RULES
i. Every staff member is entitled to the fundamental right of gender equality and human dignity, and nobody should behave in a manner that constitutes gender discrimination. Such behaviour shall constitute a breach of the rights of the persons who are the targets of such discrimination, and shall be deemed to bring the university into disrepute.

ii. The term "gender" refers to the social and cultural rather than the biological aspects of a human being. Gender attributes differ from society to society, change with time, and are shaped by the economy, religion, culture and tradition of a country. It is recognised that both men and women may experience forms of unfair gender discrimination, and that both men and women will benefit from the elimination of gender discrimination.

iii. The goals of equality and transformation, as stated above, are dependent on the active participation of women and the incorporation of the perspectives of women at all levels of decision-making.

iv. No member of staff shall behave in a manner that constitutes unfair gender discrimination.

v. All members of staff are expected to promote gender equality and diversity in the workplace.

vi. Any staff member that behaves in a manner that constitutes unfair gender discrimination will be dealt with in terms of the university’s disciplinary code.

vii. The Directorate of Human Resources shall undertake all orientation of staff in respect of gender equality.

viii. An enabling environment shall be created within the university to overcome the constraints that impede the career mobility of women.

ix. The right of staff members to choose their own sexual orientation shall be respected.
x. Should any staff member feel that he or she has been the victim of gender discrimination, he or she shall have the right to seek redress, without being discriminated against, and, in doing so, should follow the university's Grievance Procedure.

xi. Diversity training shall be provided by the Human Resources Training & Development Unit.

xii. Preferential treatment shall be given, in terms of the Policy on Affirmative Action, to black women, in pursuit of the university’s strategic objectives to implement employment equity.
8. POLICY ON PERSON WITH DISABILITIES IN WORKPLACE

It is the policy of the university to redress, through affirmative action, the past disadvantages experienced by persons with disabilities in the workplace.

8.2. Definitions

"designated groups” means blacks, women and persons with disabilities;

“disability” means a partial or total loss of bodily function or part of the body (physical disability) or a clinically recognised condition or illness that affects a person’s thought processes, judgement and emotions (mental disability);
“handicap” means a disadvantage in respect of a given individual, which has resulted from an impairment or disability that limits or prevents the fulfilment of a role that is normally possible for that individual;

“impairment” means any loss or abnormality of a psychological, a physiological or an anatomical structure or function, whether easily controlled, corrected or lessened (e.g. by wearing spectacles or contact lenses for impaired vision) or being substantially limiting;

"long-term disability" means a disability that has lasted or is likely to persist for at least 12 (twelve) months;

"recurring disability" means a disability that is likely to happen again and is substantially limiting;

“TEDU” means Training, Education & Development Unit

"substantially limiting disability or impairment" means any disability or impairment that, in the absence of the university making reasonable accommodation for such disability or impairment in a staff member, would render the staff member concerned either totally unable to do a job or be significantly limited in doing a job; and

"The university" means the new University of, as duly constituted in terms of the provisions of the Higher Education Act, 1997 (Act No. 101 of 1997), as amended.

8.3. Scope of application

This policy shall be applicable to all University employees and students who are differently abled and rely on the employer to make the facilities accessible based on the different needs.
8.4. Purpose

The University recognises the need to create an environment that is mindful of people with disabilities. The institution is committed to accommodate and create a working environment that caters for people living with disabilities.

8.5. Policy statement

The university is committed to ensure that all buildings and facilities are physically accessible to staff, students and the wider community, and shall make reasonable efforts to accommodate staff with disabilities, not only to give them access to facilities at the university, but also to enable them to participate as much as possible in activities at the university.

An assessment to ascertain whether the effects of any impairment are substantially limiting should consider whether medical treatment or a device would control or correct the impairment in such a manner that those adverse effects are prevented or removed.

The university shall observe confidentiality in matters relating to disabilities and shall have procedures in place to ensure such confidentiality.

8.6. Policy provisions

8.6.1. Access

Since the university is committed to ensure that all buildings and facilities are accessible to staff, students and the wider community, it shall execute an on-going programme of improvements to the physical access of existing buildings and facilities and ensure that new buildings are accessible. Access to buildings and facilities should be in compliance with SABS standards. Funding should be provided from strategic resources.
8.6.2. Disability awareness, training and education

The university aims to promote disability awareness through a programme of disability awareness and training in what is meant by reasonable accommodation.

8.6.3. Grievance procedures

Staff who believes that they have been treated unfairly on the grounds of disability may make use of the university’s Grievance Procedure, which is an accessible, fair and confidential procedure that can be used for the resolution of complaints based on allegations of discrimination on the grounds of disability. Any concerns or matters pertaining to disability discrimination may be referred to the Human Capital Division.

8.6.4. Recruitment

All recruitment and selection processes shall accommodate the needs of persons with disabilities. Persons with disabilities should be encouraged to apply for posts at the university.

8.6.5. Terms of offer and employment

Employment shall be offered to persons with disabilities on the same terms and conditions as those for persons without disabilities.

8.6.6. Promotion, career development, training and all other benefits

Staff with disabilities shall have equal opportunities for promotion and career development.

8.7. Workplace adjustments

Persons with disabilities who require workplace adjustments shall be reasonably accommodated. A person who seeks workplace adjustment should provide substantiated documentation and an assessment made by a medical or other recognised professional specialist that confirms the disability and gives a recommendation on a suitable workplace adjustment to be funded from a strategic resource.
The university is committed to ensure that the workplace accommodates the needs of staff with disabilities by providing adjustments, including –

i. flexible work arrangements
ii. modifications to work premises
iii. changes to job design, work schedules or other work practices
iv. modifications to equipment
v. giving training or other assistance.

8.8. Safety, health and the environment (she)

The university recognises its obligations and responsibilities with regard to SHE, and strives to comply with SHE-related regulations and codes of practice. Since the university is committed to ensure a safe work environment, it shall, therefore, make certain that planning and activities with regard to SHE incorporate the needs of persons with disabilities.

8.9. Employment equity office

Staff and prospective staff members with disabilities may seek advice and assistance from the Employment Equity Office. Equity staff shall assist managers and persons with disabilities to determine how such persons can be reasonably accommodated in the workplace. Any concerns or matters pertaining to disability discrimination may be referred to the Employment Equity Office.

8.10. Procedures

Matters regarding making reasonable accommodation for people with disabilities in the Workplace will be dealt with by Human Resources, upon request, taking into consideration available resources.
NEW UNIVERSITY POLICY

9. POLICY ON SEXUAL HARASSMENT

POLICY REFERENCE: HR 07

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9.1. Preamble

It is the policy of the university to prevent the occurrence of sexual harassment and to effectively manage those that do occur.

9.2. Definitions

Sexual harassment refers to behaviour typically experienced as offensive, by means of which sexual approaches are made within the context of a relationship of equal/unequal power or authority.

Sexual harassment is a form of discrimination on the grounds of gender. It is unwanted and may be experienced as an expression of power, authority and control of a sexual nature. It creates a hostile environment that impedes the individual’s capacity to learn and/or work.

9.3. Scope of application

This shall be applicable to all the university employees irrespective of their type of employment contract.
9.4. Purpose

The purpose for this policy is to take action to deter sexual harassment, to increase awareness that such behaviour is unacceptable and to ensure that complaints are dealt with fairly and promptly.

9.5. Policy statement

The university is committed to providing a work and study environment that is free of any form of unfair discrimination or harassment. This includes any acts or threats that interfere with the performance at work or in study of any individual or group on account of race, gender, sex, pregnancy, marital status, family responsibility, ethnic or social origin, colour, sexual orientation, age, disability, conscience, belief, political opinion, culture, language or birth.

9.6. Policy provisions

9.6.1. General Rules

i. There are divergent perceptions of what constitutes sexual harassment. It ranges from unwelcome sexual attention, sexist or suggestive remarks, bribery/extortion (e.g. positive rewards for sexual favours) to aggressive behaviour, such as attempted or actual rape;

ii. Sexual harassment thus covers a broad spectrum of unwanted behaviour and includes amongst others:

- Verbal forms such as unwelcome enquiries regarding a person’s sex life, telephone calls with a sexual undertone, continuous rude or sexist jokes/remarks, unwelcome requests for dates, remarks about a person’s figure, etc.;
- Non-verbal forms such as gestures with a sexual meaning, leering, continuous unwelcome flirtation, etc.;
- Visual forms such as exhibiting pornographic photos, comics, objects, etc. that create a hostile environment;
- Physical forms such as unwelcome contact through patting, pinching, fondling, kissing, groping, assault, molesting and rape;
• Quid pro quo forms such as sexual bribery (e.g. promising a promotion in return for granting sexual favours) and sexual extortion (e.g. refusal to promote an individual if he/she does not consent to granting sexual favours).

9.6.2 The Victims

Both men and women may be victims of sexual harassment. Sexual harassment may occur equally between members of the same sex as between members of the opposite sex.

9.7 Procedures

Anyone who feels that he or she is the victim of sexual harassment has the right to seek redress without prejudice. The procedure for dealing with complaints has two stages. The first stage is informal and the second is formal.

9.7.1 Informal procedure

A person who has a complaint may try to resolve the problem using the informal procedure. This involves discussion and/or mediation. Any person (student or member of staff) who has been sexually harassed may wish to resolve the problem through discussion: for example, he/she may believe that the harasser is unaware that his/her behaviour is offensive and unacceptable. There will be cases when discussion between the parties will present particular stress and difficulties. In these cases, a person may seek the counsel, mediation and intervention of an appointed counsellor and/or mediator.

In the case of a mediator being appointed, the mediator has ten working days in which to provide help and seek a satisfactory solution. If there has been no resolution to the complainant’s satisfaction within ten working days, the complainant may institute formal proceedings.
9.7.2 Formal procedure

In cases of mediation where the mediator is unable to resolve the complaint within ten (10) working days, the complainant may lodge a written complaint with the Human Resources Division as early as possible. The Executive Director of the Human Resources Division or nominee shall thereupon:

i. Call for a report from the mediator, where mediation was attempted;

ii. Invite the person complained against, if he or she wishes, to state his or her case in writing;

iii. Deal with the matter in terms of university’s disciplinary procedure or

iv. Determine that the matter is of such a nature that it should be referred to a qualified counsellor who will be requested, at the conclusion of the matter, submit a report to the university where the counsellor believes that the person accused of sexual harassment should face disciplinary action.

9.8 Confidentiality

Records and complaints filed, action taken to remedy the problem, the names of those involved, and the outcome, will be maintained by the counsellors and mediators involved. Anonymous complaints will not be acted upon. The rights of complainants and the rights of those being complained against will be protected.

9.9 Rape

In addition to access to the formal procedure (9.7.2), the rape survivor will be managed in accordance with the Rape protocol as stipulated in the HIV institutional policy.
Process flow

1. Complaint lodged*
   - Informal procedure – discussion or mediation within 10

2. Complaint lodged with Directorate: HR
   - Directorate: HR must:
     - Call for report from mediator
     - Invite complainant to state case
     - Deal with matter in disciplinary procedure

CASE NOT RESOLVED

CASE RESOLVE

External Recourse or Collective

CASE NOT RESOLVED

*The complainant may lodge the complaint directly to HR.
10. POLICY ON SMOKING

10.1. Smoking

It is the policy of the university to protect its staff and in this regard to promote the aim of the Tobacco Law which, in accordance with the Constitution, is to protect the democratic values and fundamental rights of citizens by discouraging the use, promotion and advertising of tobacco related products that may cause illnesses and deaths.

The university trusts that with the acceptance of a smoking policy, courteousness, consideration and respect for one another's preferences and needs will largely contribute to preventing interpersonal differences which may arise from smoking in the workplace and thereby promote harmony and productivity.

10.2. Scope of application

This shall be applicable to all the university employees irrespective of their type of employment contract.
10.3. Purpose

The purpose of this policy is to create awareness about the dangers of smoking and how it can be managed so that it does not affect other employees who are not active smokers.

10.4. Policy statement

The legislation that governs smoking will be applied vigorously by the university and staff and visitors found to be contravening this legislation will be prosecuted.

10.5. Policy provision

i. As a general rule, smoking is prohibited inside of all buildings on the premises of the university, except in those designated smoking areas as decided by management;

ii. The designated smoking areas will conform to the regulations of the Tobacco Law;

iii. Non-compliance with this policy will be dealt with in terms of the Disciplinary Code or direct prosecution.

10.6. Restaurants, dining rooms, bars and cafeterias

The general rule that smoking is prohibited except in designated areas also applies to restaurants, dining rooms, bars and cafeterias. Smoking is permitted in these areas only if it is done in the designated smoking areas, provided within the facilities.

10.7. Sports grounds

Smoking is not prohibited on the university’s sports grounds except for enclosed areas that are indicated as non-smoking areas. Smoking is prohibited on pavilions or in seated areas.
10.8. Institutional vehicles

Smoking is prohibited at all times in vehicles belonging to the university.

10.9. Smoking signs

Smoking areas must be indicated with clear, visible signs in accordance with the university’s language policy.
11. POLICY ON UNFAIR DISCRIMINATION

11.1. Unfair discrimination

It is the policy of the university to prevent and protect its staff members from being either directly or indirectly discriminated against on the grounds of race, gender, sex, pregnancy, marital status, family responsibility, ethnic or social origin, colour, sexual orientation, age, disability, religion, HIV status, conscience, belief, political opinion, culture, language and birth.

11.2. Definitions

In this document, unless otherwise indicated –

“fair discrimination” means preferential treatment or affirmative action in human resource practices at the university based on the human rights set out in the Constitution of the Republic of South Africa, 1996, Chapters 2, 9 (5), which, in an era of redress, may be necessary in the pursuit of the broader strategic objectives of the university;

“TEDU” means Training, Education & Development Unit;
"The university" means the University of __________, as duly constituted in terms of the provisions of the Higher Education Act, 1997 (Act No. 101 of 1997), as amended; and

“unfair discrimination”, in general, means any distinction, exclusion, restriction or preference that has the purpose or effect of nullifying or impairing the recognition, enjoyment or exercising, on an equal footing, of human rights and fundamental freedom of expression in the political, economic, social, cultural or any other field of public life; and means, in particular, any of the following forms of discrimination:

- hate speech, including remarks and gestures that impair the human dignity of another person or persons;
- derogatory remarks about a person’s race or cultural observances;
- any distinction, exclusion, restriction or preference that appears to be neutral but, in fact, unfairly discriminates against individuals or group;
- patronising comments based on racist assumptions;
- the negative stereotyping of particular race groups;
- intimidating gestures;
- acts or threats of physical violence or assault; and
- racist jokes or taunts;

11.3. Rules

i. The university is committed to the eradication of all forms of unfair discrimination on and off campus.

ii. Every member of staff is entitled to enjoy the fundamental right to equality, and nobody should behave in a manner that constitutes unfair discrimination. Such behaviour shall constitute a breach of the rights of the persons who are the targets of such discrimination. Furthermore, such behaviour shall be deemed to bring the university into disrepute.

iii. No member of staff shall behave in a manner that constitutes unfair discrimination.
iv. All members of staff are expected to promote equality and tolerance in the workplace.

v. All orientation of staff shall include education on the fundamental rights of staff members.

vi. Should any staff member feel that he or she has been victim of unfair discrimination, he or she has the right to seek redress without victimisation.

vii. Any staff member that behaves in a manner that constitutes unfair discrimination with be dealt with in terms of the university’s disciplinary code.

viii. Diversity training shall be provided by the TEDU.

11.4. Procedures

Refer to the Grievance Procedure of the university – Section 23 Page 266.
STAFF DEVELOPMENT
12. POLICY ON JOB EVALUATION

POLICY REFERENCE: HR 10

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12.1. Preamble

This Policy provides a framework for the management of job evaluation and the grading of posts.

12.2. Definitions

Job Evaluation is the rating of jobs according to a specifically planned procedure in order to determine the relative size and value of each job. Jobs are evaluated using the Peromnes job evaluation system whereby a job is evaluated against the factors stipulated in Peromnes and allocated a grade.

Peromnes is a scientific instrument used to measure the intrinsic value of the job using the 8 factors of the job.

12.3. Scope of application

This Policy is applicable to all permanent posts and fixed term contract posts at the university.
12.4. **Purpose**

The Policy serves to ensure that all job evaluations take place in a uniform and fair manner. The Policy will act as a guide for the evaluation of jobs in terms of the Peromnes job evaluation system.

12.5. **Policy statement**

The university is committed to remunerating its staff through a credible, fair and transparent system using job grading as a mechanism to achieve the value of the job prior to attaching a remuneration scale to the job.

It is the policy of this university, to ensure an unbiased, fair and consistent approach to job evaluation, to use the services of an external evaluator in all cases. It is also noted and recognised that Delloittes is the licensed user of the Peromnes system and that all evaluations must be undertaken using either Delloittes or a service provider with a current licence from Delloittes.

Notwithstanding the above, all requests for a new or re-evaluation done must go through the Manager: Organisational Development (OD Department) as well as a “Standing Committee on Job Evaluation” established for this purpose by the Vice Chancellor.

12.6. **Procedure for conducting job evaluations**

The job grade levels of all posts must be determined by utilizing the approved job evaluation system, namely the Peromnes job evaluation system.

It is the responsibility of the OD Department to ensure that all posts carry a current, accurate and approved Job Profile or Description.

The following procedure applies. In the case of posts P1 to P3 the Manager OD and the standing committee will be replaced by the Executive Director Human Resources and the Human Resources Committee of Council respectively.
12.6.1. New Posts

Each newly created post must be evaluated. Such evaluations can take place on an ad hoc basis when required. Each post must be authorised by the Manager: Organisational Development and the Standing Committee.

12.6.2. Existing Posts

i. Existing posts may be re-evaluated on request from the relevant Director/Dean.

ii. The motivated request plus the updated job description/competency profile, in the prescribed format, must be submitted to the Manager: Organisational Development for approval for re-evaluation.

iii. Submissions for posts to be re-evaluated will be done once per semester. The Manager: Organisational Development shall communicate the dates concerned to the Universities line manager.

iv. The submission for an evaluation or re-evaluation must include the following:

- A completed motivation form (Annexure A).
- The old job description/competency profile (in the case of re-evaluation)
- An updated job description/competency profile in the prescribed format.

v. OD will ascertain that the job description(s) has/have been drawn up in accordance with all prescriptions. Requests received after the due date will be dealt with at the next scheduled evaluation session.

vi. OD will convene the standing committee.
vii. Committee members will each be supplied with a copy of the job description in advance (at least 5 working days prior to the session) in order for them to prepare for the session.

viii. An appropriate person, e.g. the person to whom the job incumbent would report to, or another person with sufficient knowledge of the post to be evaluated, will be invited to address the committee and to answer particular questions pertaining to the tasks of the post.

ix. A confidentiality clause must be signed by all members of the evaluating committee.

x. The approved job profile will then be sent for evaluation to the external evaluator. The external evaluator will send all recommendations directly to the Executive Director Human Resources.

xi. The standing committee will be reconvened to scrutinise the recommendations and to make their recommendations for final consideration and approval to the Executive Committee of the University.

xii. The relevant Director/Dean/Vice Chancellor and incumbent shall be informed in writing of the evaluation outcome within 30 days after the recommendation has been approved by the relevant authority.

12.7. Criteria for the re-evaluation of jobs

The Dean/Director of the position forwarded for re-evaluation must provide proof that the following criteria are met in order for a post to be re-evaluation:

i. The post must not have been evaluated in the past 18 months.

ii. The substantial job content must have changed significantly (40% or more) on the basis of operational requirements

iii. Posts shall be evaluated if:
• a completely new post is created or dormant post that has not been filled for at least twelve (12) months is to be filled and the job content has changed by more than 40%.
• new and substantive functions have been added or removed from the job and the job content has significant changed (40% or more).

12.8. Appeal process

If an incumbent is dissatisfied with the outcome of his/her re-evaluation, an appeal may be made in writing to the Executive Director Human Resources who, after discussion with the Vice Chancellor and the Dean/Director of this post, will provide a final position with regard to the post grade.

If the incumbent remains dissatisfied, he/she may seek whatever relief that may be provided in law.
ANNEXURE A

APPLICATION FORM FOR RE-EVALUATION OF A POST OR EVALUATION OF A NEW POST

Post Title: ..............................................................................................................
Post number: ........................................................................................................
Department: ........................................................................................................
Faculty /Division: .................................................................................................
When was the post last evaluated: ........................................................................

INCUMBENT
Is the old Job Description / Competency Profile attached: ..............................
Is the new Job Description / Competency Profile attached: ..............................
Name of current incumbent: ..................................................................................
Staff number: .......................................................................................................
Staff member’s signature: ....................................................................................
Date: ....................................................................................................................

MOTIVATION FOR RE-EVALUATION (If more space is needed, attach motivation to this form)

LINE MANAGER
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**DEAN/DIRECTOR**

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13. POLICY ON PERFORMANCE MANAGEMENT

13.1. Preamble

Performance-related pay did not begin to feature as a practice in higher education in South Africa until the mid-1990s, when the competitive nature of the higher education sector began to reflect in the salaries paid to senior staff members, and when remuneration committees began to look more holistically at the total cost-to-company of a member of staff, inclusive of the benefits applicable within the institution.

Significant research has been conducted both nationally and internationally into performance Management and Performance Related Rewards. The principles which emerge from this research are as applicable to the higher education sector as to any other sector, with the one proviso that the higher education sector is not a profit oriented industry and the rewards for outstanding performance will be limited to factors of affordability.

The primary purpose of a performance management system is to improve the performance of that organisation. One of the ways to do this is to improve the performance of the staff in that organisation through effectively managing them in areas which fit with the culture and goals of the organisation and measuring their achievements. Managing the performance of staff is therefore a given in any circumstances.
The key to effective management of performance then is “management” itself.

Companies with strong business performance are also companies with strong employee performance management programs. However, a study conducted in the USA by World-at-Work and Sibson Consulting which questioned more than 500 HR professionals, found that the mechanisms used for managing performance in effective and not-so-effective organizations are not that different. The greatest area of difference was found not in the mechanisms but in the level of active leadership support and championing of the performance management process.

Other research reveals similar findings in that Management "buy-in" is critical to the performance management process. If management does not understand the importance and value of the process, it can lead to consistently late or incomplete appraisals, mistrust, and a lack(or avoidance) of honest performance-related discussions. Studies further revealed that the organizations reporting the most impact from performance management are those that have strong leadership support for the programme and give feedback on performance clearly and regularly.

In 2007 Towers Perrin Reward Challenges and Changes Survey collected data from over 600 companies in 21 countries. The survey found that there is a high correlation between effective performance management and its full alignment with business strategy.

Research from the US Institute for Corporate Productivity indicated that there are several well-defined practices that can make performance management an effective process in any organization.

According to the research it is not necessary to have all practices. However, the more practices an organization implements, the more effective the program.

Many of the practices that support performance also positively impact job satisfaction, employee retention and loyalty.

Combining all the accessed research produced a list of elements contained in effective performance management systems that are common to all:
i. System design must make it an easy, efficient, relevant and effective process not only to ensure participation but to ensure achievement of the primary purpose.

ii. Consistent training and retraining of managers and staff in the fundamental elements of effective performance management. Setting objectives, communicating, evaluating performance, giving feedback, managing poor performance and motivating for improved performance.

iii. Individual goals are clearly aligned with institutional goals and methods for measurement are observable.

iv. Individual goals are set and agreed collectively.

v. On-going feedback to ensure goals are still relative and flexibility where required is built into system.

vi. Evaluation process is simple and unambiguous.

vii. More than one source for evaluating and rating performance.

viii. Interventions arising out of the evaluation process are aimed exclusively at improving performance and are not confined to training solutions only.

ix. Performance above expectations is clearly defined.

x. Poor performance is managed to resolution.

xi. Rewards are clearly linked to performance above expectations, and are sufficient to actively encourage and promote superior performance and are relevant to the environment. Recognise and reward departmental/team performance.

xii. Changes in individual, departmental and institutional performance are continually measured and reported in order to refine and improve the system continuously. Institutional performance improves.

xiii. The setting of goals and measuring of performance is driven and championed visibly and continually from the very top of the organisation to the point where it becomes a natural management style.

xiv. Transparency dominates.

It would seem sensible then to use these elements as an appropriate benchmark when introducing a performance management system for the new universities.
13.2. Policy statement

It is the policy of University to evaluate the performance of its employees.

13.3. Definitions

In this document, unless otherwise indicated-

“Annual Performance Evaluation”- refers to the final phase of each performance management cycle where the performance of each employee is assessed and rated.

“Key Performance Area (KPA)”- refers to the broad term used to describe the main outputs, outcomes or activities for a particular position. It is a categorization or summary of tasks and activities.

“Competency”- refers to a term that describes the knowledge, skill, attitudes or behaviour required to perform the KPA’s within a role.

“Objective – (also called goals)” refers to statements about what you hope to achieve over a defined period. Objectives are written in a clear, outcomes based and measurable way. They often begin with action verbs such as increase, reduce, and improve. Objectives must follow the SMART principle,

SMART principle” means S- Specific, M- Measurable, A-Achievable, R- Realistic/Relevant, T-Time-bound/Tangible

“Job description”- refers to written statements that describe the scope, purpose, duties, responsibilities, contribution and outcomes of a position. It includes the required qualifications, knowledge, skills and experience as well as the reporting lines and relationship with other positions in the operational unit.
“Individual Development Plan (IDP)”- refers to the document agreed between line manager and staff member that details the development a staff member requires in order to achieve the requirements of the job.

“Key Performance Indicators/ Outcomes”- refers to the factors or measures to assess the employee’s level of success in achieving predetermined goals or objectives. KPIs are very important so both the individual and his/her line manager are clear on what are the standards of success for the particular objective. Setting out clear outcomes or indicators is very important to prevent disputes during the review period.

“Sources of Evidence or Means of Verification”- refers to the information the staff member and line manager collects to produce proof of the achieved objectives. This can take the form of reports, documentation, tables, and checklists, amongst others. Evidence can also be solicited or unsolicited feedback from clients or colleagues you interact with to achieve the objectives.

“Three Point Rating Scale” refers to

A rating scale is used to determine the individual’s progress in achieving the predetermined objectives. The scale will be as follows

1. Objective not yet achieved (in terms of quantity and/or quality)
2. Objective achieved
3. Objective exceeded (in terms of quantity and/or quality)

“Individual Performance Improvement Plan (IPIP)” means a mandatory document for all staff who are performing below expectation. The plan is usually for a period of 3-6 months and sets out defined objectives over the specified period aimed at improving performance. Failure to meet objectives in the IPIP may ultimately result in disciplinary or incapacity proceedings.

“Performance Agreement” means an agreement between a line manager and an employee about the employee's responsibilities, behaviour, goals and objectives during the performance cycle
“Performance review” – refers to the periodic formal discussions between line manager and employee to monitor progress, resolve problems, adjust targets and identify training or development needs during the annual performance cycle. A mid cycle performance review is compulsory and occurs approximately 6 months after the commencement of the agreement.

“Reviewer” - refers to an alternative to the supervisor, as agreed between supervisor and employee, who assists the line manager in the performance management process.

“Supervisor or Line Manager” – refers to the person to whom the employee directly reports.

13.4. Rules

13.4.1. General Rules

This policy applies to all permanent and fixed term longer than 12 months Academic and Support employees.

13.4.2. Key Objectives of performance Management

i. Foster a high performance workplace culture that improves the University’s overall profile and ranking in the tertiary sector both nationally and internationally

ii. Improve operational efficiency and effectiveness

iii. Establish and maintain high quality standards

iv. Create a clear direction for employees by ensuring that individual and team work is aligned with the strategic efforts and directions of the University;
v. Assist employees to improve performance by providing employees with:

vi. Clarity regarding roles, responsibilities and performance expectations
vii. Rewards and recognition for good performance
viii. Training and development relevant to individual performance areas, professional aspirations and longer term organisational needs.

ix. Provide an equitable and transparent framework for regular and constructive discussions between supervisors and employees about:

x. Future organisational developments, operational plans and their alignment with individual work plans, goals and priorities;
xi. Past performance efforts, giving recognition to significant achievements and defining strategies to address identified performance issues; and
xii. Career aspirations and long term professional development plan.

xiii. Creating a process for determining how high performance should be rewarded, managing performance improvement, and identifying unsatisfactory performance
xiv. Provide a fair and equitable basis for decision making in regard to individual advancement including promotion, probation and succession planning
14. POLICY ON STUDY BENEFIT

14.1. Preamble

It is the policy of the university to exempt its employees and their dependants from paying tuition fees when applying for studies at the university or any other accredited institution, subject to the rules.

14.2. Definitions

In this document, unless otherwise indicated –

“child” means a staff member's own (blood) child, legally adopted child or stepchild;

“dependant” means a person in respect of whom the staff member is legally liable for maintenance and, for the purpose of this policy, refers to the spouse’s own (blood) child or stepchild;

“life partner” means a person with whom the staff member has been living for more than six (6) months, who has been confirmed, by sworn affidavit, to be the life partner of the staff member;
“Marriage” means the state of being united in terms of current legislation;

“Employee” means a person appointed permanently or fixed term contract in excess of 12 months, whose appointment shall continue with the institution until retirement unless terminated earlier through ill-health, voluntary resignation, death or contract termination;

“Sabbatical leave” means leave taken by permanently appointed staff member to complete an approved postgraduate degree, professional qualification, approved research and publication and approved post-doctoral studies or to upgrade competency skills or knowledge relevant to the scope of the employment contract in a professional or industrial setting.

“spouse “ means a staff member’s wife or husband, and, in terms of common-law marriages where there is no marriage certificate, acceptable proof of marriage;

"The university" means the University of ______, as duly constituted in terms of the provisions of the Higher Education Act, 1997 (Act No. 101 of 1997), as amended; and


14.3. Scope of application

The policy shall be applicable to permanent and fixed term contract employees in excess of 12 months of the university.

14.4. Purpose

The purpose of this policy is to financially assist employees and their legitimate dependants and spouses to improve or obtain qualifications so as to assist in positioning them to seek rewarding careers.
14.5. Policy provisions

v. Study benefits shall apply to permanent staff and full time fixed term contracts in excess of 12 months and his or her dependents and spouse to study at this university or at an accredited institution.

vi. The basis on whether an accredited institution will be approved or not is only in the event that this university does not and cannot offer a similar course and will only apply to the member of staff.

vii. Further that this assistance will only cover tuition fees and will not include accommodation, living expenses, books, meals or any other non-tuition related expense.

viii. For a staff member tuition shall be paid at 100% if enrolled with the university or any accredited institution.

ix. For staff dependants (spouse) at 100% tuition if enrolled with this university or any other accredited institution.

x. A staff member shall not be permitted to study during working hours as this will interfere with his/her work commitment.

xi. Bridging courses, Foundation year programmes, Technology Access programmes or any other unsubsidised study programme shall be excluded from these study benefits.

xii. Subjects failed shall be repeated at the staff member's own expense.

xiii. The staff member shall be liable to pay any course/subject cancellation fees with regard to him/her or any of the dependants.
xiv. Application for study benefit is on the initiative of the individual employee supported by the line manager. The completed Individual Development Plan must accompany the completed application form.

xv. The fees will be paid directly to the institution offering the programme.

xvi. Upon completion of studies paid by the university on behalf of member of staff, the employee shall be required to remain with the university for the same number of years that funding was made available to that employee. If the employee leaves the employment of the university they will be required to repay this expense on a pro-rata basis.

xvii. If the employee terminates his/her services with the University before the completion of studies, the employee shall be liable to repay the University the costs incurred for his/her studies and such monies shall be recouped pro-rata.

xviii. The employee must submit proof of successful completion of qualifications to the Human Resources Division.

xix. Should tenure of a temporary full time employer or fixed term contract in excess of 12 moths expire, the dependants of such a staff member shall continue to study for the academic year or semester in which the tenure terminated.

14.6. **Staff members employed in examinations division**

Staff members who are employed in the Examinations Division and other divisions that are involved in the reproduction and handling of question papers and the capturing of examination marks shall not be allowed to study at the university; however, they may study at other institutions and shall be financially assisted in the same way as staff members who study at the University.

All staff members shall submit proof of relationship in respect of the following:
v. His or her own child: birth certificate, which bears the names of the parents, or a sworn affidavit stating relationship.

vi. Stepchild: birth certificate, which bears the names of the parents, as well as the marriage certificate, or a sworn affidavit stating the relationship.

vii. Spouse: marriage certificate or acceptable proof of marriage for a common-law marriage, or a sworn affidavit stating the relationship

14.7. Procedures

v. A staff member applies for study benefits on an official application form obtainable from the Directorate of Human Resources.

vi. The staff member submits the completed application form, accompanied by all the necessary documentation, to the relevant Human Resource Division at least five working days before the date on which the approval is required.

vii. The staff member submits a copy of the results of the last examinations with his or her second and subsequent applications.
15. POLICY ON SUCCESSION PLANNING

15.1. Preamble

It is the policy of the university to identify and support the development of individuals having the potential, capacity and competence to fulfil strategic and key positions to ensure the success of the university in the future.

It is recognised however, that no matter how sophisticated a Succession Planning mechanism is, it cannot by law replace a recruitment and selection process which would be open to all. Succession therefore cannot be guaranteed. It can however position an identified employee in such a way as to ensure that he or she would meet all the criteria for appointment thus increasing the opportunity of being appointed.

15.2. Definitions

In this document, unless otherwise indicated –

"Succession list" means list of people with the potential to fill key identified posts, in the short, medium or long term.
“Key positions” means those positions within the university that have a direct impact on achieving the strategic objectives and the key operations of the institution.

15.3. **Scope of application**

This policy shall apply to all permanent and fixed term contracts in excess of 12 months staff employed by the university.

15.4. **Purpose**

The purpose of this policy is to carefully identify potential staff for development purposes and also to prepare them for position which might be available within the University. Succession planning shall be used as a tool to circumvent the escalating costs of recruitment by employing external candidates.

15.5. **Policy statement**

The University recognises the need for career planning and development by identifying staff who can be mentored towards succession in their careers. This approach is fundamental in grooming employees who understand the organisational culture to senior positions within the organisation.

15.6. **Policy provisions**

v. Succession planning is aimed at identifying, empowering and retaining staff in order to achieve the continuity and success of the institution.

vi. Succession planning is owned by senior management who is fully accountable for its success.

vii. The role of the human resources department is to facilitate the succession planning system.
viii. A Succession Planning Committee per faculty / directorate is to be established to provide oversight to the planning process. Key positions will be identified by Succession Planning Committees and people will be identified and developed to meet the requirements of those positions. The positions targeted will be mainly at management level but may also include those at other levels, as identified by managers.

ix. The progression of individuals will be aligned to individual expectations and preferences for defined career paths against organisation imperatives and re-sourcing requirements. A selection process, in line with the Policy on Appointments, will be used to make appointment decisions to the identified key positions as advertised.

x. The selection process will continue to be open to all suitably qualified people, irrespective of inclusion on succession lists. Succession planning occurs at least on an annual basis, with one review being held immediately following the completion of the University’s annual performance management process.

15.7. Roles

15.7.1. Senior Managers (Deputy Vice Chancellors, Executive Directors/Deans)

v. Establish and constitute the Core Succession Planning Committee.
vi. Establish Succession Planning Committees for their faculties / directorates.

15.7.2. Core Succession Planning Committee

i. Review progress of succession planning candidates.
ii. Develop and monitor the implementation of succession planning strategies for review and approval by Executive Management.
iii. Ensure qualified replacement candidates are identified for key positions in the organization.
15.7.3. Succession Planning Committees

i. Identify key positions. This will include an analysis of planned retirements, predictable turnover, etc.

ii. Establish criteria for each key position.

iii. Evaluate potential succession planning candidates.

iv. Promote/seek to develop diverse succession candidate pools where feasible.

v. Monitor developmental progress of succession planning candidates.

vi. Review and revise candidate development plans as necessary to ensure that all developmental needs are addressed.

vii. Ensure that at least two succession planning candidates exist for each identified position or that appropriate action has been initiated to identify acceptable candidates.

Human Resources Division

i. Facilitate the succession management system.

ii. Provide succession planning candidate information.

iii. Maintain list of succession planning candidates.

iv. Assist Succession Planning Committees in developing strategies to increase diversity of candidate pools.

v. Monitor the selection of succession candidates.
vi. Evaluate the effectiveness of the leadership/succession planning process.

vii. Provide tools to enhance the leadership/succession planning process.

15.8. Procedure

The succession planning process includes the following steps:

i. Establish Succession Planning Committee

The Core Succession Planning Committee will comprise of a representative from senior management, representatives from the academic and support structures, a representative from Human Resources and staff unions where unions are recognised. Each faculty /directorate will also have its own committee comprised of the Head, his/her direct reports, and a representative/s from Human Resources.

ii. Identify Key Positions

The Succession Planning Committees identifies key positions within the faculty / directorate that exert critical influence on organizational activities, operationally and strategically. Failure to fill these positions within a short timeframe would result in the inability to continue institutional strategic objectives.

iii. Establish Criteria for Key Positions

The Succession Planning Committee establish criteria for each key position considering the job profile, institutional goals, strategic challenges that key positions face, and the requisite skills required for success.

iv. Identify Potential Candidates
Managers will nominate employees who are to be considered succession planning candidates for key positions to the Succession Planning Committees via the career-pathing discussion in the performance work plan (Performance Management and Development System (PMDS)). Candidates should demonstrate high potential/ability that will enable them to achieve success at the identified levels. The nomination of the candidates should be based on the objective assessment by using the Performance Management and Development System outcomes. The nomination process should promote a diverse pool of candidates, within the context of Employment Equity. Staff members can also nominate themselves to form part of succession planning pool.

v. Mentor Assignments

Succession planning candidates will be assigned mentors who will guide and assist the candidate with his/her development. Trained Mentors are chosen from those managers who have sufficient knowledge and experience in the key position or occupation group to enable them to oversee candidates' development. Mentors are responsible for offering support and guidance to the succession planning candidate. They enable the candidate to acquire new knowledge, skills, and standards of professional competence.

vi. Candidate Development Plans

Each candidate will have a development plan, jointly developed by the candidate and his/her mentor with input from the candidate's supervisor that reflects the candidate's developmental needs. The candidate's personal development plan may reflect managerial, leadership, operational, and/or other technical needs with an associated timeframe for completion. The development plan will be in the same format as used in the Performance Management and Development process. The mentor will communicate the candidate's progress to the Succession Planning Committee.
vii. Candidate Review/Tracking

The Succession Planning Committees will meet quarterly or as needed to ensure that candidates are progressing in accordance with their developmental plans.
NEW UNIVERSITY POLICY

16. POLICY ON TRANSFERS AND REDEPLOYMENT

PRESIDENT

POLICY REFERENCE: HR 14

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16.1. Preamble

It is the policy of the university to consider the transfer of staff members, at their request, to other posts or campuses, where this would be in the interests of the university and the employee.

16.2. Definitions

“transfer of staff member” means the internal, lateral movement of a staff member, from a faculty/division/department/post to another, with the retention of post level, salary and conditions of service as were applicable before the movement.

16.3. Scope of application

This policy is applicable to permanent and fixed term contracts in excess of 12 months staff.

16.4. Policy provisions

v. A position must be available;
vi. The operational requirements of the university and the personal development of the staff member must be considered when considering a transfer;
vii. Transfers must not be used to avoid dealing with poor performance, unsatisfactory conduct or prejudice;
viii. There must be consultation between the staff member, the existing and the potential line manager of the staff member;
ix. The staff member may not be transferred to a post at a level higher or lower than the incumbent’s current post level;
x. The evaluated post grading shall be maintained;
xii. The post and conditions of service should be spelt out to the staff member, beforehand;
xii. The staff member must meet the requirements and have the ability to perform the tasks and duties of the post;
xiii. Where the request for transfer originated with the institution, the staff member shall have the option to refuse the offer and accept a severance package deal instead;
xiv. In terms of the Labour Relations Act, the following should be borne in mind with regard to transfers:

- staff members may be expected to perform only those duties they and the university have agreed upon according to their service contract;
- the university may not unilaterally change those conditions of service. Only if staff members agree may their duties be changed or they may be transferred to another post;
- a transfer may not be used as a disciplinary measure;
- employment equity.

xv. A transfer may take place only after the university and the incumbent have signed a new service contract, which service contract shall contain all the current and accumulated service benefits of the incumbent.
16.5. Procedures

v. The staff member discusses the possible transfer with his/her current manager, in consultation with the Human Resources Division;

vi. The staff member’s current manager, in consultation with the Human Resources Division, then approaches the prospective line manager;

vii. The staff member formally applies for the transfer through the Human Resources Division, which application should be co-signed by the current manager and the applicant;

viii. The Human Resources Division assists the prospective manager to interview the applicant – assessment may be recommended to identify competencies and gaps depending on the position;

ix. The recommendation is referred to the line manager and Human Resources Division for approval;

x. The Human Resources Division, with the affected managers, advises staff members about the outcome of the process in writing.
* Transfers may also be initiated by the line manager, provided that proper consultation with the staff member takes place.
16.6. Redeployment

16.6.1. Preamble

It is the policy of the university to redeploy, rather than retrench, staff when a post is declared/becomes redundant, in order to retain knowledge and skills, as well as to promote the university’s value as a caring institution.

A redeployment is seen by the courts as a fair alternative to retrenchment, the reduction of staff on account of redundancy (“rationalization”), dismissal based on operational requirements or under specific conditions; on condition that the post and the conditions pertaining to it are spelt out beforehand to the staff member concerned, which staff member shall have the right to refuse or accept the offer.

16.6.2. Definitions

“redeployment” the process of addressing redundancies and imbalances in departmental posts as a result of operational restructuring and/or operational requirements.

“Redundant” means when a post becomes obsolete because of operational requirements;

“Operational Requirements” refers to the definition as contained in the LRA.

16.6.3. Rules of redeployment

v. A suitable position must be available;

vi. The incumbent must meet the minimum requirements of the post;

vii. Preference should be given to redundant staff members for consideration of vacant positions. Should the staff member not accept the offer, the staff member will receive a severance package as determined by the Retrenchment Policy;

viii. The incumbent must have the opportunity to accept the offer of redeployment;

ix. In all cases of redeployment, negotiations with the individual or a representative must take place;
x. A staff member may be redeployed on account of his or her inability to perform well enough because of a lack of qualifications, training or aptitude in doing a specific job (so as to prevent a potentially unfair labour practice from developing);

xi. The following should be borne in mind:
   - The nature and scope of the inability;
   - Possible safety risks for the staff member and his or her colleagues; and
   - The possibility of improving the job performance;

xii. Before considering dismissal, the possibility of redeploying the staff member to a post more suitable to his or her abilities should be borne in mind.

16.6.4. Procedures

v. Identify available and suitable positions through:
   - Determining whether there is a budget for redeployment;
   - Consulting with line managers to determine whether a suitable position is available;

vi. Institute selection procedures, as outlined in the Recruitment and Selection Policy, when more than one incumbent is available;

vii. Conclude the agreement and make the appointment; and

viii. Communicate with unsuccessful candidates if there was more than one considered the position.
HRP analyses staff member’s profile – qualifications, experience,

HR recommends suitable candidates for identified

1. Identify and confirm available and suitable

HR and Line Manager conduct a needs assessment/analysis – budget, etc.

2. Assess staff member’s suitability for

3. Institute Selection Procedure

If 1 candidate, discuss with candidate

If more than 1 candidate, full selection process as per Recruitment and Selection

4. Communicate with candidate

If staff member refuses

If unsuccessful

If successful

5. Conclude Agreement

If unsuccessful

If successful

If staff member refuses

Retrench

Make appointment
BENEFITS ADMINISTRATION
17. POLICY ON LEAVE

17.1. Preamble

It is the policy of the university to grant compulsory leave on an annual basis (see first section in this chapter page 11 for annual and sabbatical leave) and to grant other types of leave, provided for in this policy.

17.2. Definitions

In this document, unless otherwise indicated –

“compulsory leave” means normal annual vacation leave;

“examination leave” means leave granted for an examination, excluding class tests;

“family responsibility leave” means leave taken for any urgent family matter, subject to specific conditions, in terms of the provisions of the Basic Conditions of Employment Act, 1997 (Act No.75 of 1997), as amended; but not limited to;
“**half-day leave**” means vacation leave taken for half a day, i.e. either from 08:00 to 12:00 in the morning or from 12:00 to 16:00 in the afternoon;

“**maternity leave**” means leave taken by a permanent or full time fixed term contract female employee for a certain period before and after the birth or legal adoption of her child;

“**paternity leave**” means leave taken by a permanent or full fixed term contract male employee for a certain period before and after the birth or legal adoption of his child;

“**sick leave**” means leave taken due to illness at full pay or half pay.

“**special leave**” means leave granted to an employee for reasons stipulated in paragraph 3.2.8 of this policy and shall not infringe on the compulsory leave credit.

“**special sick leave**” means leave granted for injuries sustained while on duty;

“**study leave**” means leave granted for formal undergraduate, postgraduate studies;

"**the university**" means the University of , as duly constituted in terms of the provisions of the Higher Education Act, 1997 (Act No. 101 of 1997), as amended; and

“**unpaid leave**” means leave taken when the employee has used up all his or her compulsory, sick and accumulated leave, or unpaid leave taken or absence from work, without permission.

“**union representation leave**” means leave granted to an elected shop steward, to attend formal regional/ national conferences/ seminars/ training, as contained in the recognition agreement of that union.
17.3. **Scope of application**

This policy is applicable to all permanent and fixed term staff appointed by the university.

17.4. **Purpose**

To provide a framework for the granting and administration of all types of leave (except annual and sabbatical leave) and to manage staff absence in accordance with this policy.

17.5. **Policy statement**

The university is committed to providing leave benefits that meet the needs of employees’ and which are sensitive to operational efficiency and financial viability.

17.6. **Policy provisions**

**17.6.1. General rules**

i. All leave granted in terms of this policy will comply at least to the provisions of the Basic Conditions of Employment Act (Act No. 75 of 1997), as amended as well as the Labour Relations Act (Act No. 66 of 1995), as amended, but not limited thereto.

ii. All annual leave shall be taken before the end of the March of the following year. Leave not taken by this time, and where operational reasons would have allowed for leave to have been taken, shall be forfeited.

iii. No encashment of leave is permitted.

iv. All academic and support staff shall apply for leave. The relevant line manager should approve the leave. The approval of leave shall always be within reason, subject to the operational requirements of the University.
v. All leave, except sick leave in case of an emergency, shall be subject to the advance approval of the line manager.

vi. New employees who are appointed during the year shall be entitled to pro rata leave, and employees who resign during the year shall be paid pro rata leave balance that has not been utilised.

vii. No leave may be taken during the last 30 days of service except sick leave. If any leave is taken, it should be approved by the Executive Director: Human Resources.

viii. No employee may leave his or her workplace or be absent from work, unless –

- he or she has applied for leave and that application has been approved;
- he or she has been suspended from employment; or
- he or she is prevented by illness or any other circumstances acceptable to the university, from remaining on duty or reporting for work, having duly contacted his or her line manager about the matter and completed and handed in his or her application for leave on his or her return.

ix. If an employee reports for duty but has to leave the place of work on account of illness, he or she shall be deemed to have been present for the full workday if he or she has completed 50% or more of the required working hours.

x. Notwithstanding any other disciplinary measures that may be instituted against an employee, all unauthorised absences from work shall be deemed to be unpaid leave.

xi. Authorisation of leave must be done by the immediate supervisor and if he/she is not in, the next higher level supervisor must authorise such leave.

xii. An employee who wishes to cancel or resume duty before the expiry of a period of leave granted, shall obtain prior approval in accordance with paragraph viii.
xiii. If an employee attends a course, lecture, meeting, conference or seminar during working hours, for which permission has been granted, the employee is regarded as being on duty and the absence is not recorded as leave.

17.6.2. Rules pertaining to specific leave types

i. Special leave

On condition that official and acceptable documentary proof is submitted to substantiate the specific application, special leave may be considered in respect of permanent and fixed term contract employees, in the following instances:

- This leave can be granted to allow staff members to attend professional work related meetings, conferences and workshops and participate in national and international competitions;
- Where an employee has been subpoenaed to appear as a witness in a court case.
- If an employee is arrested or has to appear in court on a criminal charge and is later acquitted or the charge is withdrawn.
- Where an employee has been suspended from duty pending the outcome of a disciplinary hearing.
- To relocate to a new location. Where an employee has been transferred to another campus far away from his original abode, to warrant relocation.

Employees shall be limited to 5 working days in the normal leave cycle, which leave should be approved by the relevant line manager. In cases where more than 5 working days are required, the employees should submit a memorandum of reasons, accompanied by the relevant line manager’s recommendation, to the relevant Deputy Vice-Chancellor. The decision of the Deputy Vice-Chancellor shall be final.
ii. Half-day leave

Half-day leave consists of either a morning off from 07:30 to 12:00 on a working day, or an afternoon off from 12:00 to 16:00 on a working day;

iii. Unpaid leave

- This rule applies to voluntary unpaid leave.
- Any leave that is taken without complying with the rules given for each particular leave type, or without specific permission having been obtained beforehand, shall be deemed to be unpaid leave.
- The employee concerned shall not receive the salary and other benefit payments that accrued to him or her during the period of absence.
- Unpaid leave has a direct effect on such employee benefits, such as pension and medical aid, even though that employee may continue to pay his or her own contributions.

iv. Sick leave

- All staff are entitled to 120 (one hundred & twenty) calendar days sick leave with full pay in a cycle of three years.
- A further 120 (one hundred & twenty) calendar days may be approved by the Executive Committee on based on adequate medical evidence, on half-pay in a leave cycle of three years.
- A medical certificate is required if an employee has been absent from duty for more than two consecutive days or is absent from duty on a Friday and a Monday or either side of a Public Holiday where this holiday falls during the normal working week. In the event that an employee has been absent due to illness, for a total of 10 non sequential working days in a year, without submitting a medical certificate, any further absences due to illness will be subject to the submission of a medical certificate for any sick leave.
- Employees admitted at rehabilitation centres for substance abuse will use their allocated sick leave to cover their absence.
• The employer has the right to refer an employee to another medical practitioner or specialist of the employer’s choice if there are reasons to doubt the authenticity of the medical certificate as well as the pattern of the sick leave days given to the employee. The university will pay the cost for the consultation.

v. Special sick leave

• Special sick leave may be granted only in the event of injury on duty on approval of council.
• All benefits accruing to the employee shall remain intact during the period of special sick leave.

vi. Maternity leave

• A female employee who adopts an infant (any child younger than 6 (six) months) is entitled to maternity leave. Proof, in the form of adoption documentation will have to accompany the application, in order for maternity leave to be granted under these circumstances.
• A female employee who is employed on a fixed term contract of less than 12 months is not entitled to paid maternity leave.
• A permanent or fixed term contract of more than 12 months female employee will qualify for four months paid leave;

vii. Paternity Leave

• A permanent or fixed term contract of more than 12 months male employee who adopts an infant (any child younger than 6 (six) months) is entitled to paternity leave. Proof, in the form of adoption documentation will have to accompany the application, in order for paternity leave to be granted under these circumstances.
• A permanent or fixed term contract male employee will qualify for two weeks paid Paternity leave.

viii. Family responsibility leave
The university may, on submission of the relevant documentary proof, grant three working days per employee per year in respect of permanent and fixed term contracts in excess of 12 months for any of the following reasons:

- When an employee’s child is born
- When a direct family member is ill (child and spouse included)
- On the death of the employee’s spouse, life partner or child.

Employees may appeal to the Executive Director: Human Capital if the scope as set out herein does not cover a particular situation. The Executive Director: Human Capital will have final decision making powers in this regard.

ix. Examination leave

Paid examination leave shall be granted to permanent and fixed term contracts in excess of 12 months staff subject to the following conditions:

- Leave granted for examinations shall be used strictly for that alone excluding tests and continuous assessments.
- The employee should produce an official timetable of examination dates.
- An employee is entitled to examination leave for everyday that he/she writes an examination. Should an employee write more than one examination paper on the same day, he/she only qualifies for 1 day for writing on the day of the exam. The employee is further entitled to an additional day for study in respect of each examination paper that he/she writes, prior to the examination.
- If, for any reason, an employee fails to write the examination, such leave shall be converted to compulsory leave. Should the employee not have sufficient compulsory or accumulated leave to his or her credit, such leave shall be converted to unpaid leave.
- It is the direct responsibility of the line manager concerned to check the legitimacy of such leave.
x. **Union responsibility leave**

The Labour Relation Act provides that union officials shall be given reasonable time off to perform union duties. Such determination as to the number of days considered to be reasonable shall be determined within the Recognition Agreement for that union. This leave is always subject to operational requirements.

xi. **Leave for any other category of employment**

Any category of employment with the university not covered by the above section will be granted in terms of the Basic Conditions of Employment Act as amended.
18. POLICY ON PRIVATE WORK

18.1. Preamble

It is the policy of the university that fulltime academic staff members may perform private work, as defined in this policy, in a regulated and approved fashion.

18.2. Definitions

Private work: Means any work or service (of whatsoever nature):

i. which falls outside of the contractual obligations of the employee; and

ii. which is undertaken with or without compensation by way of remuneration.

18.3. Policy intent

This policy seeks to:
i. Afford all fulltime academic employees the opportunity to provide expert services to, and to receive payment from, individuals and organizations outside of the University;

ii. Afford, all full time academic employees the opportunity to constantly update and develop greater expertise in her/his subject which updating and development will then benefit the university.

iii. To safeguard the university against staff undertaking private work, which is prejudicial to their contractual obligations to the institution.

18.4. **Policy objectives**

i. To provide an official framework for all fulltime academic employees of the institution to render service for personal reward in respect of private work undertaken in clearly defined and controlled circumstances.

ii. To provide a fairly controlled environment of protection for the core business of the university, namely delivery of excellent tertiary education embracing lecturing, research and community engagement and to ensure probity of personnel conduct in honouring their conditions of employment.

iii. To ensure that the university is protected from any loss arising from abuse of privilege by any fulltime academic staff member who might undertake private work.

iv. To ensure that the university is fully recompensed for the use of its human and other resources.

v. To create an equitable and well managed opportunity for all fulltime academic employees to promote the image of the university beyond its borders whilst undertaking private work strictly within the pertinent policy parameters.
18.5. **Scope of application**

i. This policy applies to all fulltime academic employees in the employ of the university.

ii. This policy applies to all fulltime academic employees performing any other duties internally or externally outside their primary appointment and contractual obligation to the university (i.e. employed as a Senior Lecturer and providing a consultancy service external to the university.)

iii. Official university research contract work is addressed by a separate policy.

18.6. **Principles**

i. No private work may be undertaken by a full-time academic member of staff without prior permission from the Vice-Chancellor or the delegated nominee. In giving this approval, the Vice Chancellor must be in possession of all of the information relevant to the application including business plans, budgets and expected profits and must apply his or her mind as to the advantages to the university and faculty.

ii. Performing private work is a privilege and not a right.

iii. The relevant staff member functioning in terms of this policy shall subscribe to the highest levels of ethical conduct.

iv. The performing of private work must not in any way detract from the quality and quantity of the work required in terms of the staff members’ contractual obligations to the University.

v. The basic considerations taken in granting permission for participation by staff in outside private work or participating in a practice are:

- Service to the Public
- The advancement of employees’ knowledge of their fields of work.
• The flow of benefit to the University and its community.
• The alignment to the academic discipline.

vi. Participation in a private practice by employees of the university shall be considered as private work and will fall within the ambit of this policy.

vii. An employee may not devote more than eight (8) hours per week to private work, without express permission from the Vice-Chancellor. Subject to agreement with Heads of Department, the weekly concession may be aggregated to allow a longer period of time for undertaking private work.

viii. An application by employees to undertake private work is required afresh for each academic year.

ix. An employee undertaking private work shall be required to reimburse the university for the cost of any material, consumables, equipment or facilities used for private work. In the absence of any details for these costs a flat rate of 20% of all profits made will be paid to the university. Payment of these charges should be made to the Finance Department at the end of each term.

x. The applicant is required to acknowledge in writing to his/her client that the contract is a private contract between him/herself and the other contracting party/parties and that the university may not be held liable in any way whatsoever, for any claims in respect of alleged damages or other loss of whatever nature.
18.7. Procedure in seeking permission to undertake private work.

The following procedures must be followed in obtaining permission to carry out Private Work.

i. Application for permission will be made in advance on the prescribed form every academic year. (Appendix A). These forms are obtainable from Human Resources.

ii. The applicant will meet with his/her Head of Department/Unit and prepare a business plan to be approved by both parties.

iii. The form, with the business plan, is then submitted to the relevant Dean or Director.

iv. The Dean, or Director, in consultation with the relevant campus director will make recommendations and submit these to the Vice-Chancellor.

v. Every application shall disclose the project/client and the expected income flowing from the work to be undertaken.

vi. The employee shall maintain a meticulous record of the tasks carried out and the days on which such work was performed.

vii. Such record shall be made available to the Deans or Directors when requested.

Note: Whilst this document sincerely strives to provide a “healthy” governance of the complex issue of “Private Work” by all employees, it is important that, if employees are faced with unusual or complex situations, that these be fully discussed with their Heads of Department to ensure clarification, progress and resolution.
NEW UNIVERSITY POLICY

19. REMUNERATION POLICY

POLICY REFERENCE: HR 17

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Background on Job Evaluation and Remuneration

19.1. Job evaluation

Job Evaluation is a defined process that awards points to each described post function in accordance with the complexity of that function, the impact that function has on the organisation and the degree of skills required to perform that function as evaluated against a set of clearly defined (and measurable) criteria. A hierarchy is then imposed over these points in the form of grades or ranks which reflects the importance of each grade to the organisation relative to each other. This hierarchy is referred to as the grading or ranking structure.

The range of criteria used for evaluation will inevitably reflect minor differences in the points awarded to posts even though those posts fall into the same “value grade” to the institution. So every grade or rank covers a range of points where the points do not overlap into higher or lower grades/ranks – e.g. grade 5 has a range from 142 to 176 points. Grade 4 (a higher grade) has a range of 177 to 211 points and grade 6 has a range of 115 to 141 points.
If all the functions are evaluated correctly, the relationship between posts will be perceived as being fair irrespective of where any one is on that ladder.

The system used by the majority of higher education institutions in South Africa is the Peromnes system where Peromnes Grade 1 (or P1) is equivalent to the Vice Chancellor and Peromnes Grade 18 (or P18) to the lowest graded post in the institution.

In most institutions, the academic staff are not evaluated into these grades but are “ranked” in terms of the post title they have earned. This promotional system within higher education is a strictly defined and protected system where the criteria for promotion to a more senior rank is as clearly defined (if not more so) than the evaluation methodology used in a grading system. The ranks are therefore simply – from lower to higher – Junior Lecturer, Lecturer, Senior Lecturer, Associate Professor, Professor and Senior Professor. This promotional system is managed and quality assured by the academics themselves as opposed to a grading system which is normally only licensed to one or two external organisations which are not necessarily linked to higher education.

In order to protect the perceived and actual fairness of this hierarchy, it is vital that the remuneration attached to each function continues to reflect this hierarchy accurately.

Parameters that will assist in building, assessing or monitoring a fair hierarchy look at the difference between the midpoints of each grade and the range or scale of remuneration that exists within each grade. These parameters have been endorsed by both Higher Education South Africa (HESA) as well as the Department of Higher Education (DHET).

A Job Evaluation Policy and an Academic Promotions Policy are contained in the section on Human Resources – Chapter 8 of these guidelines.

19.2. Remuneration

Remuneration in any organisation is an issue of strategic, tactical and political importance and must allow for conflicting interests to be managed in a manner perceived by all parties as:
i. Equitable in the outcomes it produces.

ii. Effective in achieving its objectives in terms of attraction, retention and motivation of staff.

iii. Efficient in reacting to internal and external demands.

Over the last two decades, increasing emphasis has been placed on implementation of good practices in remuneration governance. This has led, in particular, to the disclosure of executive earnings, structures, mechanisms and people responsible for reviewing and setting these. As a result, organisations have learned to ensure that they are following best practice in terms of their remuneration policies, with the following trends being common:

iv. Entering into performance-based contracts where objectives for executives are intended to achieve a strong performance culture within the organisation. Goals are set by the governing body against specific growth targets in the business plan or operating plan, and are agreed over a two- to three-year time plan with annual benchmarks. The same governing body would be responsible for the review of performance at least every year and, in many cases, twice a year.

v. Structuring executive packages on a total cost-to-company basis, made up of base pay, short-term incentives and long-term share incentives – the latter two linked to performance. Short-term incentives make up between 30% and 60% of total annual remuneration and, the higher the incentive, the greater the motivation for achieving the goals set. Globally, organisations are tending towards performance-based pay being at least 50% of the remuneration package.

vi. Using at least two reliable sources for external benchmarking of organisations in a similar industry, and of similar size and complexity; as well as external advisers.

vii. Ensuring that there is not only external pay equity, but also equity within the organisation, in terms of the different levels of remuneration.
viii. Developing remuneration policies which guide the work of the remuneration reviewing committee.

ix. Disclosure of all executive remuneration packages on an annual basis; as well as disclosure of the structures, and names of people used to review these.

Globally, there is a strong tendency to structure pay as a remuneration package, stated as an overall amount. This is then divided into the following elements:

i. Basic pensionable pay – fixed annually.

ii. Contributions to retirement and medical schemes – fixed annually.

iii. Performance reward – variable dependent on performance and up to a maximum amount as stated in the overall package.

With respect to normative salary structures, and internal payline equity, research indicates that there is significant debate about what constitutes ‘best practice’. Also, there is no single approach to establishing equity in the internal payline, owing mainly to such factors as the current levels of remuneration, organisational affordability and organisational health. For example, in a study of 37 organisations, it was found that there were 19 separate approaches, and that only two of these were common in five of the companies surveyed. These were:

i. Comparison of market benchmarks with internal benchmarks.


Midpoint differentials between grades can range from 3% to 60%, and scales range either side of the grade midpoint from 15% to 40%. However, it is sound remuneration practice in terms of retaining the integrity of the grading system, to build a system with a 20% grade range from
midpoint to maximum and the same for midpoint to minimum. This prevents any serious salary overlap between grades above and below.

Further, the difference between the midpoints of each grade tend to follow the general guidelines of 15% for the unskilled to the semi-skilled categories (Peromnes Grades 18 to 12); 20% for middle and senior management (Peromnes Grades 12 to 5); 25% for executive management (Peromnes Grades 5 to 2); and between 40% and 50% for the difference in midpoints between executive management and the Vice Chancellor. Incorporating these norms into the salary structure goes a long way to ensuring internal equity. The following 2 chart illustrate these parameters:

0 Figure 1: Remuneration Theory
Organisations also need to look at current pay levels, specifically targeted external benchmarking, turnover rates of skilled and scarce staff, and organisational affordability, in determining the ‘best fit’ for their institution.

**19.2.1. Remuneration Practice and South African Higher Education**

South African higher education institutions need to ensure they implement good remuneration practices, such as those indicated above. No detailed research into remuneration practices in South African higher education in earlier periods has been located. However, general experience of the sector suggests that, until the early 1990s, institutions had their own protected territories for student recruitment, while staff recruitment was in principle open to all, using the attractiveness of the institution and opportunities for academics and research, as the major draw card. Where salaries in a particular institution may have been low in comparison with those of other institutions, and where that institution could not afford to increase them substantially, compensation was enhanced by offering increased benefits, such as leave, housing, travel allowances and fee remission.
With the increasing focus on financial viability, institutions began to experience stronger competition. This competition was not limited to student enrolments, but also encompassed the attraction and retention of key staff as well as competition for scarce external funding.

Without any sectoral controls or guidelines over staff remuneration, and with only the DoE’s guideline that total staff costs should fall between 58% and 62% of recurrent unrestricted income, salaries and associated benefits could be designed and redesigned relatively easily to attract staff. Internal procedures facilitated a quick review of salaries as a counter-offer for staff who had been offered a position at another institution. Current disparities illustrate the consequences of this practice. For instance, there are very wide ranges of low and high salaries within a particular academic or administrative rank, with national ranges in remuneration of lecturers, for example, of up to 230%. Annual leave provisions vary between 15 to 54 working days per annum in different institutions, and other benefits are similarly variable.

The Standard Institutional Statute makes provision for a committee of Council to monitor and make recommendations on institutional remuneration. This is a legal requirement and the new university must ensure that appropriate training is given in remuneration practices and management to all members of this sub-committee.

There are two good guidelines for the effective management of staff costs:

i. Staffing costs as a percentage of Council controlled income should be between 58% and 62% - where Council controlled income is the total of government subsidy, student fees and third stream income where this income is not directed at specific chairs or projects and is also available predictably every year.

ii. The costs of Executive Management (Peromnes grades P1 to P4 inclusive) are not higher than 6% of total staffing costs.

19.2.2. External Recruitment Sources and the Effect on Remuneration

Research on remuneration in the higher education sector has strongly indicated that the recruitment of certain categories of staff is limited to (or most successful in) specific sectors. Further, that if
recruitment exercises are aimed specifically at the defined markets where it is more than likely that the sought after skills will be found, then recruitment becomes less expansive, expensive and much more successful.

This is fairly obvious in so far as academic staff are concerned, in that their market is primarily the higher education sector in South Africa and this is the market against which the relative attractiveness of the recruiting institution’s remuneration structures must be benchmarked.

The Support or Administrative staff have two specific markets from which staff may be recruited and to which current staff will go. Senior management with specific technical skills, experience and/or qualifications are nomadic on nature and will seek gainful employment wherever this may exist. Recruitment therefore needs to cover a national base as well as all sectors and should not be limited to higher education only. Remuneration of this category of staff needs to be benchmarked against remuneration in this market.

In so far as the remaining administrative staff are concerned and where the institution is in a major suburban area, recruitment should be limited to that specific geographic area but also covering all sectors. Again, institutional remuneration levels should be benchmarked against remuneration in this market.

19.3. Policy

The university’s reward philosophy strives to enable maximum flexibility in terms of the utilization and reward of the workforce, and to ensure that its remuneration structures are continually reviewed to attract and retain the appropriate level of skills to and within the organization.

It creates an environment conducive to performance through the reward structure by enabling growth and development, and by differentiating appropriately between people through the various reward methods provided and through the reward process, on the basis of their contribution only.
19.3.1. Internal parity

The university endeavors to reward its people fairly and consistently according to their contribution, thereby ensuring that employees of equal value, i.e. equal levels of contribution, are rewarded more or less equally.

To ensure relative fairness between and within grades, the university will adopt the policy that:

Grade’ ranges will not exceed 20% either side of the midpoint for each grade and the differential between the midpoints of grades will not exceed 25% for grades P2 to P5, 20% for grades P7 to P12 and 15% for grades P13 to P16.

19.3.2. External parity

The University reads the market continuously to strategically position itself so as to ensure competitive total package reward within the parameters of affordability - this does not necessarily imply lagging behind the market or leading the market. The company's relative market position will always ensure that it is possible to retain and attract the core competencies (top performers) required for organisational strategy achievement.

To this end, the university has adopted a three-tier remuneration strategy in order to ensure that it competes effectively with the markets from which staff are employed. While recognizing the need to balance an effective reward strategy with financial affordability, the university will structure its remuneration policy around;

* 50th percentile of the National All Sector levels P1 to P8 inclusive for the Executive Management of the University,

* the 50th percentile of the National Academic survey for higher education ranks P5 to P9 and

* the 50th percentile of the immediate geographic All Sectors figures for grades P9 to P18.
To ensure that the data used for comparative purposes is accurate and up to date, the University will enter into partnership with the PwCRemchannel remuneration services.

19.3.3. Remuneration decisions

To ensure consistency in decision making with regard to remuneration, all decisions will be either within the approval already granted by Council or will be put to Council via the Human Resources Committee of Council.

This committee will be responsible for recommending to the Council on remuneration policy and practice within the University, for annual remuneration reviews, for establishing the parameters for annual remuneration increases, and for recommending policy on interim remuneration where necessary.

19.3.4. Open and transparent communication

All information required to make sound and informed decisions in respect of reward is communicated frankly, whilst the confidentiality of individuals' personal reward information is respected.

19.3.5. Elimination of discriminatory practices

All reward policies and practices are free of inequitable distinctions, as discrimination based on race, gender, age and religion is unacceptable. Equitable distinction based on performance is, however, applied.

19.3.6. Total-package approach

The total value of reward is expressed as the total benefit to the individual as well as a cost to the University. All elements of reward, excluding temporary money, and the University contribution to the unemployment insurance fund, workman’s compensation, regional skills levies, medical aid schemes and pension/provident fund are added up, and the total constitutes the total package.
19.3.7. Affordability

In accordance with the University’s business strategy, limits are set in terms of what is affordable in respect of reward and other people management costs. This serves as a guide to what can be spent.

19.3.8. Reward for skills/competencies application

The University rewards the application of skills/competencies as reflected in outputs and results, and does not directly reward the acquisition of skills/competencies or qualifications. The company encourages employees to improve themselves in ways that align with the organisation's needs by providing opportunities to do so, and acknowledges this in various ways. Reference needs to be made to the Qualifications Improvement Policy in the chapter on Human Resources.

19.4. Remuneration model

19.4.1. Factors which influence remuneration

The following factors are taken into account in determining remuneration levels:

i. Job value

Job evaluation is a process whereby the relative worth of various jobs within an organisation is determined objectively, and jobs are ranked so as to make it possible to achieve internal and external parity, by applying a recognized job evaluation system suitable for use in the University.

ii. Market value

In order to achieve external parity, comparisons with specific markets are continuously drawn, thereby comparing individual packages and developing remuneration ranges or scales for the respective job grades. These remuneration scales establish a realistic and competitive price for labour. During the annual review of package scales, a strategic decision is made with regard to the position the University wishes to occupy in respect of the market. During the annual remuneration review exercise remuneration information is made available to enable decision-makers to determine the market-relatedness and internal parity of their subordinates' packages.
iii. Performance/Outputs/Measures

The individual's outputs, measured by the performance management process, carry the most weight in determining individual remuneration levels. Consistently high performance with achievement of outputs over a long term should ensure high remuneration. Employees' potential is also taken into account and is the product of estimated ability as well as competence. Estimated ability refers to conceptual and management skills which have not yet been demonstrated whilst competence refers to knowledge and expertise gained, which can be deduced from previous outputs/experience. These factors will also be considered, but are of a secondary nature in determining individual remuneration levels. Reference needs to be made to the Performance Management Policy in the chapter on Human Resources in these guidelines.

iv. Specific occupation and skills

Where there is a shortage of specific occupations or skills in the University and the market, a market premium in temporary remuneration may be considered to attract and/or retain these skills. This will not be a part of the basic salary, will not be pensionable and will be subject to review annually and to change or removal entirely.
NEW UNIVERSITY POLICY

20. POLICY ON TERMINATION OF SERVICE

PолICY REFERENCE: HR 18

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20.1. Policy on termination of service

It is the policy of the university to follow the official guidelines on termination of service in terms of the provisions of the Basic Conditions of Employment Act, 1997 (Act No. 75 of 1997), as amended, the rules and statutes of the university and the staff member’s conditions of service.

20.2. Definitions

In this document, unless otherwise indicated –

“term” means an academic semester;

“termination of service” means any of the following: resignation, retirement, early retirement, retirement due to ill health, dismissal, death, incapacitation, or retrenchment;

"The university" means the new University, as duly constituted in terms of the provisions of the Higher Education Act, 1997 (Act No. 101 of 1997), as amended.
20.3. **Scope of application**

The policy shall be applicable to all employees of the university.

20.4. **Purpose**

The purpose of this policy is to set guiding principles on what procedure should be followed when staff members terminate their individual contracts with the university.

20.5. **Policy statement**

The University recognises that whilst all efforts can be made to retain staff, it is unavoidable that employees will seek employment elsewhere. The institution shall ensure that the exit process for such employees is smooth and occurs without any hindrances.

20.6. **Policy provisions**

20.6.1. **Notice of termination**

i. Lecturing staff members shall, if required in terms of their conditions of service, give one (1) full term’s written notice of their resignation.

ii. Support staff members shall give one (1) calendar month’s written notice of their resignation.

iii. An employee who has tendered his/her resignation shall not be permitted to withdraw the resignation if the post he/she would have relinquished has already been advertised. However, in such circumstances the employee shall be eligible to re-apply for the post. In the event of a withdrawal of resignation, exclusive authority rests with University Management to make a final determination with regard to the acceptance or rejection of such resignation withdrawal.
iv. Contract staff shall give notice of their resignation in terms of the provisions of the Basic Conditions of Employment Act, 1997, which stipulates that notice of termination should be given as follows:

- One (1) week, if the employee has been employed for four (4) weeks or less.
- Two (2) weeks, if the employee has been employed for more than four (4) weeks, but not more than one (1) year.

v. Notice of termination of service shall, in all cases, be given in writing and signed by both the staff member and the staff member’s line manager.

20.6.2. Leave during notice period

i. Lecturing staff members may not take any leave, except sick leave, during the last quarter of their period of service.

ii. Support staff members may not take any leave, except sick leave, during the last calendar month of their period of service;

iii. In the case of a staff member whose service is terminating, and who, at that stage, has taken more vacation leave than that which he or she is entitled to, the unauthorised leave shall be regarded as leave without pay. The cash value of such leave shall be recovered from the salary due to the staff member on the date of his or her termination of service.

20.7. Rules pertaining to specific types of termination of service

20.7.1. Resignation

In the case of a resignation, the original resignation letter should be accepted by the relevant line manager and forwarded to the Directorate of Human Resources, for processing.
20.7.2. Death

There is a normal termination process after a death has been reported and a death certificate has been handed to Human Capital Division

20.7.3. Desertion

In the event of staff member not reporting for duty, where no approval exists as to any leave of absence and his/her whereabouts are unknown, the University will make every effort to trace him/her and establish the reasons for the absence and whether or not the staff member intends to return to work.

If the whereabouts are unknown and the staff member cannot be traced, it will be assumed that the staff member has absconded and, after a period of 7 working days the necessary disciplinary steps shall be taken in line with the Disciplinary Code.

A missing staff member who returns to work with good reasons for disappearance will be considered by Council for either re-instatement or re-employment, as the case might be. The period of absence from official duties will be deemed to be unpaid leave.

20.7.4. Retirement and early retirement

i. The date of retirement of a support staff employee shall be the last day of the calendar month immediately following the calendar month in which he/she attains the age of 65;

ii. The date of retirement of an academic staff employee shall be the last day of the calendar year in which he/she attains the age of 65;

iii. The University shall give three (3) months’ notice to an employee before he/she reaches the age of 65 years.

iv. On application by the employee, the University may extend the services of such an employee after his/her date of retirement on a fixed term contract basis with appropriate benefits.
v. On reaching the age of 60, a staff member may request early retirement from service of the university by giving three calendar months’ notice in writing, provided it does not impact negatively on the operational requirements of the University and may be agreed upon by mutual consent; provided that the operational requirements does not exceed a period of three months; and provided that in the case of an academic member of staff he/she will continue on a contract basis until the end of the academic year.

vi. Notwithstanding anything to contrary in this section on retirement and early retirement, the university may allow an employee to retire after attaining the age of 55 in terms of the retirement of the applicable pension scheme.

20.7.5. Retirement due to ill health

When it becomes apparent that a staff member is no longer capable of performing his or her duties, then that staff member may apply for retirement due to ill health according to the rules of the Pension and Group Life Insurance Fund. The staff member’s services will be terminated at the end of the month in which the employee was declared permanently unfit.

20.7.6. Dismissal (discharge)

i. The Council may terminate the service of any staff member who is found guilty of misconduct at work, after due process.

ii. Terminations of such nature shall be in accordance with prevailing labour legislation and as set out in the Disciplinary Code and Procedure of the university.

20.7.7. Redundancy

i. The university shall ensure the job security of all staff members, as far as possible;

ii. A reduction in staff numbers based on operational requirements may become necessary. All such terminations shall be made in terms of the provisions of section 189 of the Labour Relations Act, 1995 (Act No. 66 of 1995), as amended, and its impact should be reduced as much as possible.
20.7.8. Incarceration

In the event of staff member being incarcerated after being found guilty of a criminal offence, his or her service contract shall be terminated on the basis of he or she being unable to perform his or her duties.
21. BARGAINING FORUM CONSTITUTION

21.1. Preamble

The establishment of the university’s Bargaining Forum automatically dissolves the Workplace Forum and any other fora that is in existence for the purpose of collective bargaining.

The parties, by this agreement, jointly and severally commit themselves to build and maintain the university to be a viable public higher educational institution and effective organization. In addition, the parties to this Constitution put their commitment on record concerning non-racialism, sufficient representation and appropriately mandated negotiations in good faith and in the best interest of the institution and all its employees.

All recognition and procedural agreements remain in effect in all aspects, except to the extent that they are in conflict with this Constitution, in which event the Constitution takes precedence.

21.2. Definitions

“Bargaining Forum” means the university’s Bargaining Forum established in terms of this Constitution.

“Collective Agreement” means a written and signed agreement concerning terms and conditions of employment or any other matter of mutual interest concluded at the Bargaining Forum by recognized trade union(s) and the university.

“Dispute of Rights” means a dispute over one or more matters as contained in the conditions of employment.
“Employee” means:

   a) any person, excluding an independent contractor, who is an employee of the university and is entitled to receive, any remuneration; and

   b) any other person who in any manner assists in carrying on or conducting the business of university, and “employed “and “employment” have meanings corresponding to that of “employee”

“Employer” means the university represented by its Executive Management Committee and Council.

“LRA” means the Labour Relations Act 66 of 1995, as amended.

“Statutory dispute resolution body” means the Commission for Conciliation, Mediation and Arbitration (CCMA) as provided for in the LRA.

“The university” means the new University.

“Viable” means sound, workable and sustainable if translated into action, including but not limited to a financial or economic sense or interpretation.

21.3. Objectives

The objectives of the Bargaining Forum are to:

i. generally enhance labour peace;

ii. promote a sound relationship between the university as employer and its employees;

iii. serve as the sole Bargaining Forum for the university and its employees as defined in the Recognition and Collective Agreement, unless amended by negotiations for purposes of
sound Labour Relations / Human Resources practices and/or operational functioning of the university;

iv. negotiate on conditions of employment and matters including salary increments.

v. comply with its responsibilities and functions in terms of the LRA and this Constitution and all other relevant legislation;

vi. to conclude, supervise and enforce collective agreements.

21.4. Parties to the bargaining forum

The parties to the Bargaining Forum will be the employer and the recognized trade union (s) within the following definitions:

“Recognised Union” shall mean a Union recognized on the basis of representing at least 40% of all employees within the bargaining unit and with whom a recognition agreement has been established.

“Bargaining Unit” shall mean the categories acknowledged as workforce sectors within the recognition agreement.

21.5. Application for membership of the university BF

A newly recognized union, in as far as it is consistent with the Constitution of the Bargaining Forum, shall become a party to the Bargaining Forum by lodging a signed copy of the Recognition and Procedural Agreement between the said union and the employer with the Secretariat of the Bargaining Forum who shall confirm in writing to the said union that it is now an official party to the Bargaining Forum and place the matter for information purposes on the next Bargaining Forum Agenda.

Such trade union must be registered and recognized in terms of the LRA.
The claimed membership must be verified by the employer. Such membership will be disclosed to the Bargaining Forum.

21.6. Termination

The membership of a trade union to the Bargaining Forum will be terminated:

i. If the trade union notifies the Bargaining Forum of its intention to terminate its membership.

ii. If the trade union is dissolved or wound up in terms of its constitution.

iii. If a union’s membership of the bargaining unit as per clause 4.1.1 and clause 4.1.2 read along with clause 3.3 is less than the prescribed thresholds depending on the recognition basis, the recognition agreement shall lapse and cease to be of any force or effect and terminated, resulting in the automatic termination of its BF membership.

iv. If the recognition agreement is terminated in terms of the Recognition and Procedural Agreement.

21.7. Appointment of representatives

i. The employer may be represented by not more than five (4) mandated representatives.

ii. Each trade union admitted to the Bargaining Forum will be represented by not more than five (4) mandated representatives.

iii. The quorum for a meeting of the Bargaining Forum will consist of the Chairperson and two representatives per party.

iv. The parties to the Bargaining Forum must submit a list of the names of their representatives to the Secretariat within twenty (20) working days of adopting this Constitution. The term of
office for Union representatives shall be one year and each Union shall annually, by no later than 31 January of each year, submit their list of representatives.

v. If a representative vacates his or her seat for whatever reason, the affected party will be given an opportunity to submit a replacement name within fifteen (15) working days from the date of the vacancy.

vi. A party may at any time withdraw any of its representatives by giving at least fifteen (15) working days written notice to the chairperson of the Bargaining Forum.

vii. A representative vacates his or her seat when his or her party’s membership to the Bargaining Forum is terminated.

21.8. Chairpersons of the bargaining forum

i. The Executive Director: Human Resources and Transformation will chair the first meeting of the Bargaining Forum for the purpose of constituting the Bargaining Forum and the appointment of the Chairperson of the Bargaining Forum.

ii. At its first meeting the Bargaining Forum will by consensus agree on the appointment of a Chairperson and two vice-chairpersons. One vice-Chairperson will come from the majority union and the other from management.

iii. The Chairperson of the Bargaining Forum shall be a non-member of the BF with sound knowledge and experience of applicable labour legislation and labour relations, and such person’s costs (if external to the university) will be paid for by the employer.

iv. The Chairperson will hold office for a term of twelve (12) months and may be re-elected for another 12 months to a maximum of 24 months.

v. The Chairperson may be removed if it is proven on a balance of probabilities that he/she has committed gross misconduct and/or by consensus by all parties.
vi. The Chairperson will chair all meetings of the Bargaining Forum, provided that in his/her absence, one of the Vice-Chairpersons will chair the meeting on rotation.
21.9. **The powers and functions of the chairperson**

The Chairperson will: -

i. convene all meetings of the Bargaining Forum;

ii. preside over and conduct all meetings of the Bargaining Forum according to normal meeting procedures provided that in the absence of the Chairperson, the Vice-Chairperson will chair the meetings as decided by the Bargaining Forum on each occasion;

iii. promote compliance by all the parties to the Constitution and collective agreements;

iv. facilitate the effective functioning of the Bargaining Forum and promote consensus between the parties and the conclusion of collective agreements between the parties to the Bargaining Forum;

v. facilitate negotiations and discussions at the Bargaining Forum and promote consensus between the parties and the conclusion of collective agreements between the parties to the Bargaining Forum;

vi. sign the minutes of meetings after approval thereof by the Bargaining Forum;

vii. perform such duties as may be requested of her/him by the Bargaining Forum;

viii. draw up an annual report for submission to the Bargaining Forum of which a copy will be forwarded to the Vice-Chancellor.

ix. The Chairperson will not be entitled to vote on any matter.
The Chairperson and Vice-Chairpersons will not be personally liable for any loss suffered by any person as a result of an act performed or omitted in good faith while performing his or her functions for or on behalf of the Bargaining Forum.

21.10. The secretariat of the bargaining forum

The Secretariat of the Bargaining Forum will be in the office of the Secretariat of the university and provide administrative support to the forum.

The functions of the Secretariat will be to:

i. coordinate, schedule and administer the activities of the Bargaining Forum;

ii. distribute and disseminate all information relevant to the activities of the Bargaining Forum including but not limited to agendas and minutes of meetings;

iii. give notice of meetings of the Bargaining Forum on the instructions of the Chairperson or at the request of any party to the Bargaining Forum.

iv. receive agenda items from the parties to the Bargaining Forum to be distributed five (5) working days before the meeting. The agenda closes within seven (7) day before its distribution.

v. add urgent additional matters to an agenda with the approval of the members of the Bargaining Forum at a meeting;

vi. take minutes, record and provide administrative and liaison support.

21.11. Meetings of the bargaining forum

i. The Bargaining Forum will meet at least twice annually as and when required.
ii. Any party to the Bargaining Forum may in writing request the Executive Director: Human Resources to convene a meeting within a period of ten (10) working days, unless there are compelling extra-ordinary circumstances. The reason for the request with supporting documents must be forwarded to the Executive Director: HR

iii. In the event of a meeting of the Bargaining Forum not having a quorum, the Chairperson may call another meeting within seven (7) working days or earlier depending on the urgency of the request. Such a meeting will be deemed to form a quorum, provided that management is represented, irrespective of the number of members who attend the meeting.

iv. In all instances where the parties are required to vote on procedural matters, voting will be conducted by a show of hands and an ordinary majority vote will prevail.

v. All collective agreements concluded at the Bargaining Forum must be in writing and signed by the parties to the agreement and will be binding on all parties.

vi. A party that does not agree to an agreement may invoke the dispute resolution procedure provided for in this Chapter.

vii. Salary negotiations will be conducted annually from 1 August and the agreement will be implemented in January of the following year.

viii. The Bargaining Forum will hold a special meeting at a date determined by it and during the first quarter of each year.

ix. The following matters will be dealt with at this special meeting referred to in this Chapter:

- the appointment of the Chairperson and the election the Vice-Chairpersons;

- the annual report of the Bargaining Forum shall be compiled by the Chairperson;
• amendments to this Constitution as and when necessary;

• the confirmation of the membership to the Bargaining Forum.

21.12. Working and interest groups

The Bargaining Forum may from time establish working groups or interest groups with a specific mandate and deadlines. Members of such working groups should have sound knowledge, skills and expertise on matters of academic and non-academic interest.

There must be consensus on the appointment of chairpersons of working groups.

The Chairperson of the working group will have the following duties:

i. to regulate the meeting of the working group;

ii. to ensure that regular meetings of the working group are scheduled and due notice given to the representatives of the working group;

iii. to ensure that agendas, minutes and reports are compiled and distributed timeously to all representatives and offices of the trade union members of the Bargaining Forum. Secretarial duties will be provided by a chairperson of the working group with support from the office of the secretariat to the Bargaining Forum;

iv. to ensure that the terms of reference and time frames agreed to be complied with.

v. On completion of its mandate, such working group will report to the Bargaining Forum which will deal with the report as it deems fit.
vi. The Forum may invite any person (internal or external) by mutual agreement to give advice or assistance to the Bargaining Forum on matters under discussion.

21.13. Disputes on the interpretation and/or application of the constitution of the bargaining forum and collective agreements

i. When a dispute arises, terms of reference will be discussed and submitted to the CCMA who will then appoint an independent external person with sound knowledge and experience of labour law and legislation to the secretariat.

ii. A dispute regarding the interpretation and/or application and/or alleged breach of this Constitution and/or collective agreements will be referred to the designated adjudicator in terms hereof.

iii. The party who refers the dispute must serve a copy of the referral on the Secretariat and the Secretariat must then distribute a copy to all the other parties to the Bargaining Forum within seven (7) working days of receipt of the written dispute.

iv. On receipt of a referral of a dispute, the Secretariat must within five (5) working days:

- Appoint the designated adjudicator subject to that member(s) availability to dispose of the dispute within the time frames provided herein; and
- Inform the parties to the Bargaining Forum of the designation in writing.

v. The designated adjudicator must within fourteen (14) working days from the date of referral, attempt to resolve the dispute and issue to appropriate ruling.
vi. The designated adjudicator will in consultation with the relevant parties, establish the procedure to be followed.

vii. The ruling will be final and binding on the parties to the dispute. The costs of the dispute resolution process will be shared equally by the parties to the dispute.

viii. If the referring party elects not to refer the dispute to the designated adjudicator, it may, in its sole discretion, refer such dispute for adjudication by the appropriate statutory dispute resolution body.

21.14. Disputes arising from negotiations on conditions of employment

Disputes of interest between the parties to the Bargaining Forum arising from negotiations and bargaining on issues referred to in clause 3.4 will be referred to the CCMA in terms of the LRA or, by agreement, to a recognized private dispute resolution body or arbiter agreed to between parties to the dispute.

Save where the parties have agreed to refer the dispute to a private dispute resolution body or arbitrator, and should a dispute of interest not be resolved, either party to the dispute may then exercise the right to take such industrial action in terms of the LRA as it may deem necessary.

The Bargaining Forum may agree to conduct an investigation or bilateral talks pending the resolution of the dispute.

21.15. Amendment of the constitution of the bargaining forum

Proposed amendments to the Constitution of the Bargaining Forum may be considered at a meeting called in terms of Section 21.11 of this Chapter, provided that no amendment will be considered unless at least ten (10) working days prior notice of the proposed amendment has been given to the Chairperson and to all the parties to the Bargaining Forum.
The Constitution of the Bargaining Forum may be amended if the employer and $\frac{2}{3}$ of the trade unions members vote in favour of a proposal.
NEW UNIVERSITY POLICY

22. EMPLOYEE DISCIPLINARY PROCEDURE & CODE

POLICY REFERENCE: HR 19

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<thead>
<tr>
<th>Name of Originator</th>
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<th>Name of VC</th>
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22.1. Preamble

The employer, employee’s and unions recognize that the employer has a prerogative to maintain discipline at the workplace, to ensure fair and equitable standards of conduct and performance consistent with the specific requirements of the university and the operational requirements of the employer, to ensure that employees comply with their contractual terms and conditions of employment; and that employees treat university management, colleagues and any other persons having a business relationship with the university with respect and dignity. Management has the right to manage and workers have the right to work.

22.2. Purpose

The purpose of this code is to apply a common and uniform procedure for the management of discipline.

22.3. Scope of application
This disciplinary procedure will apply to all employees without exception and will be regarded as part of the terms and conditions of employment of all employees.

22.4. Principles

i. This Disciplinary Code and Procedure is based on the following principles, namely that:-

- Disciplinary action should be educational and then corrective;

- Punitive action should only be taken when earlier steps have proven ineffective or where the misconduct is of a very serious nature;

- As far as is practicable, similar offences committed in similar circumstances should be treated equitably through the application of similar penalties but each case will be treated on its own merits.

ii. This Disciplinary Code and Procedure will operate in the following three instances:

- Misconduct where the reason for disciplinary action relates to the conduct of the employee in question;

- Incompetence where the reason for disciplinary action relates to the performance of the employee;

- Incapacity based on ill health where the employee is rendered incapable of continuing with the work he / she presently performs usually caused by factors beyond his / her control as per Schedule 8 of the Labour Relations Act.

iii. Although the procedures to be followed may be similar in many respects there are a number of important difference which, if not adhered to, could have serious consequences. It is
therefore of crucial importance to determine the precise nature of the complaint before disciplinary action is instituted.

iv. Each line Manager is responsible for the maintenance of discipline.

v. The disciplinary code will only serve as a guideline and that the offences and penalties listed in the code will not be considered as exhaustive or strictly prescriptive. This policy will be dealt with as per the Labour Relations Act and other relevant legislation.

vi. Discipline against a trade union representative (a shop steward) will not be instituted without first informing and consulting the relevant Trade Union.

vii. Should the alleged transgressor not be present at the disciplinary hearing, and it is established that such absence is without good cause, the proceedings at the hearing will be continued and the chairperson will reach a decision based on the evidence presented at that time.

viii. The disciplinary hearing must be recorded electronically as well as minuted manually.

ix. No disciplinary hearings will be conducted in an adversarial approach.4

x. The university adheres to the application of progressive discipline.5

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4 The chairperson may not participate with the questioning. The chairperson may only ask clarifying questions.

5 Depending on the nature of the misconduct an appropriate sanction will be imposed on the accused. If the accused is on a written warning for a specific offence and the employee commits that same or similar offence again, the appropriate sanction then will become more severe than the initial sanction.
22.5. Disciplinary procedure

22.5.1. Investigation

i. Serious offences / misconduct

All formal investigations of misconduct deemed serious shall be formally investigated upon receipt of the incident(s). Employee Relations should be informed about allegations of misconduct. All investigations will be sanctioned by the Employee Relations Department and approved by the Executive Director: Human Resources and Transformation.

ii. Less serious offences / misconduct

These offences may not need formal investigation but sufficient facts and information which led to such misconduct.

The Labour Relations Department will assist with the administration formulation of charges and to ensure fairness and compliance by advising parties.

iii. Suspension

- The university may suspend the employee on full pay pending the finalization of the investigation. Such suspension would be implemented if the university reasonably believes that the continued presence of the employee during the investigation will prejudice the investigation of the allegations.

- Suspension will also apply in the event where a serious breach of the code has been committed.

- Depending on the nature of the misconduct the university may decide to temporally redeploy / transfer the employee to another environment within the university, until the case has been finalized.
• Before suspending an employee, he / she will be afforded the opportunity to make representations, and based on the representations made a decision will be taken to suspend the employee or not.

• Suspension should not take longer than 90 days. In the event that an investigation is not completed within 90 days, Labour Relations Department must make recommendations on how the matter must proceed. The Labour Relations Department will communicate the progress on the investigation should it take longer than 90 (ninety) days.

• All suspensions will be recommended by the Labour Relations Department and approved by the Executive Director: Human Resources and Transformation.

22.5.2. Delegation of authority

i. Chairperson

The Labour Relations Department shall appoint a trained chairperson who shall be at least a post level higher to the initiator and accused.
In serious cases and cases involving senior members of staff the Labour Relations Department may appoint external chairpersons with full ER training.

ii. Initiator

The employee’s immediate supervisor or any other senior employee will be responsible for this role.

22.6. Disciplinary sanctions

i. Verbal warning – valid for 3 months
ii. Written warning – valid for 6 months
iii. Final Written Warning – valid for 12 months
iv. Suspension without pay for a maximum of 30 days depending on the seriousness of the misconduct.
v. Dismissal

22.7. Acquittal

The chairperson of the disciplinary hearing shall pronounce the acquittal of the employee in the event that that employee was found not guilty on the charges against him / her.

22.8. Withdrawal of charges and allegations

It is the responsibility of the Director: Labour Relations, in consultation with the initiator, to determine the merits of the case and to withdraw the matter in the event there is no substance and inform all parties concerned.

22.9. Timeframes

The Labour Relations Department must ensure that disciplinary hearings are finalized within two months after receiving the final investigation report. Should the disciplinary hearing not be finalized within the prescribed time frames, the Labour Relations Department must provide reasons for the delay.

22.10. Conducting a disciplinary hearing

i. Following the investigation, the Labour Relations Department will record in writing the incident, in the form of a notification to attend a disciplinary hearing. This notice will be given to the employee at least 5 working days to enable him / her to prepare for a disciplinary hearing. It is the responsibility of the employee to collect any documentation relating to the disciplinary hearing and to make it available to the representative of his/her choice.
The notice of the disciplinary hearing will be in the prescribed format and will set out:

- The details and nature of the misconduct with which the employee is being charged;
- The time, date and place of the hearing;
- All disciplinary hearings shall be conducted in English
- The rights of the employee at the hearing.

The rights of the employee are as outlined below:

- Right to be represented
- Right to an interpreter if necessary
- Right to be given sufficient notice to enable him/her to prepare for a disciplinary hearing
- Right to call witnesses
- Right to state his/her case; to defend himself/herself
- Right to question any witnesses
- Right to be notified of the findings of the disciplinary hearing
- Right to mitigating circumstances in the event that the employee is found guilty
- Right to be notified of the sanction in writing

ii. The disciplinary hearing is constituted by the chairperson, the initiator, the employee, the employee’s representative, HR representative and an Interpreter at the employee’s request.

iii. The chairperson must advise the employee of his/her rights in the disciplinary hearing.

iv. The employee must have received the notice to attend the disciplinary hearing at least 5 working days before the commencement of the hearing.

v. The chairperson will enquire from the employee if he/she understand the charges against him/her.

vi. The process of the disciplinary hearing must be explained to the employee.
vii. The chairperson / initiator will read the charges to the employee to plead on.

22.5.1. Employee pleads not guilty:

i. Opening statements will be made by the initiator followed by the employee or his / her representative.

ii. The initiator will lead evidence to prove the alleged misconduct against the employee.

iii. The representative or employee may cross examine the witnesses of the employer to refute the allegations of misconduct.

iv. The initiator may re-examine the witnesses.

v. The employee may testify in person or may call witnesses to testify on his / her behalf.

vi. The initiator may cross-examine the employee’s witnesses after their evidence have been heard.

vii. The representative or employee may re-examine the witnesses.

viii. Both, the initiator and then the employee or his / her representative, have the right to address the chairperson on the closing arguments.

ix. The chairperson will then make a finding on whether or not the employee is guilty or not on the charges against him / her.

x. If the employee is found guilty, mitigating and aggravating circumstances must be submitted to the chairperson to consider.

xi. The chairperson will communicate the appropriate sanction.

xii. Where dismissal is the appropriate sanction, the dismissal must be signed off by the Executive Director: Human Resources and Transformation.

22.5.2. Employee pleads guilty:

i. Opening statements will be made by the initiator followed by the employee or his / her representative.
ii. Both, the initiator and then the employee or his / her representative, have the right to address the chairperson on the closing arguments.

iii. The chairperson will then make a finding on whether or not the employee is guilty or not on the charges against him / her.

iv. If the employee is found guilty, mitigating and aggravating circumstances must be submitted to the chairperson to consider.

v. The chairperson will communicate the appropriate sanction.

vi. Where dismissal is the appropriate sanction, the dismissal must be signed off by the Director: Human Resource.

22.5.3. Appeal

An employee has the right to appeal to the decision of the Committee within three (3) working days from the date that he / she becomes aware of the outcome. An appeal will only be conducted on paper.

Appeal against the decision of the Committee may be lodged on the following grounds:

i. Substantive unfairness (The verdict is not supported by the evidence)

ii. Severity of the sanction

iii. Procedural unfairness

iv. New evidence

v. Inconsistent application

vi. Bias of Chairperson

The Labour Relation Unit will appoint a University official senior to the chairperson who dealt with the initial hearing to handle the appeal process. Where a disciplinary hearing was chaired by an external chairperson Employee Relations shall appoint a competent appeal authority.
The appeal authority shall give his / her outcome within 14 (fourteen) working days from the date that he / she receives the appeal.

22.5.4. External Referral to the CCMA

If the employee is dissatisfied with the outcome of the appeal the employee may refer the matter to the Commission for Conciliation, Mediation and Arbitration. The chairperson must mention this right in his / her decision.
## ANNEXURE B

<table>
<thead>
<tr>
<th>Nature of offence</th>
<th>Category</th>
<th>First offence</th>
<th>Second offence</th>
<th>Third offence</th>
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<tr>
<td>Guideline with regards to action steps of employer</td>
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<tr>
<td><strong>1. Submitting false documentation, information or a CV during application for employment</strong></td>
<td>Serious</td>
<td>Hearing</td>
<td></td>
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</tr>
<tr>
<td><strong>2. Submitting of false information regarding previous misconduct or criminal offences</strong></td>
<td>Serious</td>
<td>Hearing</td>
<td>-</td>
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</tr>
<tr>
<td><strong>3. Intentional or negligent causing of damage to the employer, co-worker or clients of the employer</strong></td>
<td>Serious</td>
<td>Hearing</td>
<td>-</td>
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</tr>
<tr>
<td><strong>4. Assaults a co-employee Fighting in the workplace</strong></td>
<td>Serious</td>
<td>Hearing</td>
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<tr>
<td>5. Dishonesty</td>
<td>Serious</td>
<td>Hearing</td>
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<tr>
<td>6. Sabotage</td>
<td>Serious</td>
<td>Hearing</td>
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<tr>
<td>7. Gross insubordination</td>
<td>Serious</td>
<td>Hearing</td>
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<tr>
<td>8. Sexual harassment</td>
<td>Serious</td>
<td>Hearing</td>
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<tr>
<td>9. Giving false evidence or making of a false statement</td>
<td>Serious</td>
<td>Hearing</td>
<td>-</td>
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</tr>
<tr>
<td>10. Submitting a false medical certificate</td>
<td>Serious</td>
<td>Final written warning or hearing</td>
<td>Hearing</td>
<td>-</td>
</tr>
<tr>
<td><strong>11A. Intimidation and/or incitement of co-employees</strong></td>
<td>Serious</td>
<td>Final written warning or hearing</td>
<td>Hearing</td>
<td>-</td>
</tr>
<tr>
<td><strong>11B. Insulting, abusive, absence or racial language, communication or behaviour towards employers, co-employees or clients.</strong></td>
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<tr>
<td>12. Unauthorized use and/or abuse of telephones or Internet-facilities which results in the irreparable breakdown of the employment relationship</td>
<td>Serious</td>
<td>Hearing</td>
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<tr>
<td><strong>13. Revealing of confidential information to unauthorised persons</strong></td>
<td>Serious</td>
<td>Final written warning or hearing</td>
<td>Hearing</td>
<td>-</td>
</tr>
<tr>
<td><strong>14. Any action detrimental to the interest of the employer</strong></td>
<td>Serious</td>
<td>Final written warning or hearing</td>
<td>Hearing</td>
<td>-</td>
</tr>
<tr>
<td><strong>15. Any conduct affecting the employer/employee relationship detrimentally</strong></td>
<td>Serious</td>
<td>Final written warning or hearing</td>
<td>Hearing</td>
<td>-</td>
</tr>
<tr>
<td><strong>16. Possession of illegal drugs while on duty</strong></td>
<td>Serious</td>
<td>Final written warning or hearing</td>
<td>Hearing</td>
<td>-</td>
</tr>
<tr>
<td><strong>17. Any offence relating to time keeping and clock cards</strong></td>
<td>Serious</td>
<td>Final written warning or hearing</td>
<td>Hearing</td>
<td>-</td>
</tr>
<tr>
<td><strong>18. Effecting false entries in the attendance or other registers</strong></td>
<td>Serious</td>
<td>Final written warning or hearing</td>
<td>Hearing</td>
<td>-</td>
</tr>
<tr>
<td>19.</td>
<td>Intentionally endangering of others’ safety</td>
<td>Serious</td>
<td>Final written warning or hearing</td>
<td>Hearing</td>
</tr>
<tr>
<td>20.</td>
<td>Adopting an insolent attitude towards any superior or employer</td>
<td>Serious</td>
<td>Final written warning or hearing</td>
<td>Hearing</td>
</tr>
<tr>
<td>21.</td>
<td>Poor and sub-standard work</td>
<td>Serious</td>
<td>Written warning or hearing</td>
<td>Final written warning or hearing</td>
</tr>
<tr>
<td>22.</td>
<td>Report for duty while under the influence of liquor or narcotics or use alcohol or other narcotics while on duty</td>
<td>Serious</td>
<td>Written warning or final written warning or hearing</td>
<td>Final written warning or hearing</td>
</tr>
<tr>
<td>23.</td>
<td>Fails or refuse to comply with any lawful instruction</td>
<td>Serious</td>
<td>Written warning or final written warning</td>
<td>Final written warning or hearing</td>
</tr>
<tr>
<td>24.</td>
<td>Failing to report for overtime duties</td>
<td>Serious</td>
<td>Written warning</td>
<td>Final written warning</td>
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<tr>
<td>25.</td>
<td>Neglect of duty</td>
<td>Serious</td>
<td>Written warning</td>
<td>Hearing</td>
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<tr>
<td><strong>26. Causing of damage due to negligence</strong></td>
<td>Serious</td>
<td>Written warning</td>
<td>Final written warning</td>
<td>Hearing</td>
</tr>
<tr>
<td><strong>27. Fails to comply with his/her duties and responsibilities</strong></td>
<td>Serious</td>
<td>Written warning</td>
<td>Final written warning</td>
<td>Hearing</td>
</tr>
<tr>
<td><strong>28. Fails to comply with any provision contained in the policy of the employer</strong></td>
<td>Serious</td>
<td>Written warning</td>
<td>Final written warning</td>
<td>Hearing</td>
</tr>
<tr>
<td><strong>29. Unauthorised use of property belonging to the employer or a client of the employer</strong></td>
<td>Serious</td>
<td>Written warning</td>
<td>Final written warning</td>
<td>Hearing</td>
</tr>
<tr>
<td><strong>30. Abuse of sick leave</strong></td>
<td>Serious</td>
<td>Written warning</td>
<td>Final written warning</td>
<td>Hearing</td>
</tr>
<tr>
<td><strong>31. Misuse of telephones for private purposes</strong></td>
<td>Serious</td>
<td>Written warning</td>
<td>Final written warning</td>
<td>Hearing</td>
</tr>
<tr>
<td><strong>32. Absent from work without good reason/leave or collective absence</strong></td>
<td>Serious</td>
<td>Verbal or written warning</td>
<td>Final written warning</td>
<td>Hearing</td>
</tr>
<tr>
<td><strong>33. Display discourtesy towards any person/client in the execution of his/her duties</strong></td>
<td>Serious</td>
<td>Verbal warning</td>
<td>Written warning</td>
<td>Final written warning or hearing</td>
</tr>
<tr>
<td><strong>34. Pretends to be ill to obtain exemption from duty</strong></td>
<td>Serious</td>
<td>Verbal warning</td>
<td>Written warning</td>
<td>Final written warning or hearing</td>
</tr>
<tr>
<td></td>
<td>Unauthorized use and/or abuse of telephones or Internet-facilities</td>
<td>Less serious</td>
<td>Written warning</td>
<td>Final written warning</td>
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<tr>
<th></th>
<th>Distribution of unauthorized or obscene publications</th>
<th>Less serious</th>
<th>Written warning</th>
<th>Written warning</th>
<th>Hearing</th>
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<tr>
<td>36.</td>
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<tr>
<th></th>
<th>Submitting of false information to obtain family responsibility leave</th>
<th>Less serious</th>
<th>Written warning</th>
<th>Final written warning</th>
<th>Hearing</th>
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<tbody>
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<td>37.</td>
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<th></th>
<th>Sleep while on duty</th>
<th>Depending on merits</th>
<th>Verbal/written warning</th>
<th>Final written warning</th>
<th>Hearing</th>
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<td>38.</td>
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<th></th>
<th>Fails to inform employer of absence and expected date of return</th>
<th>Minor</th>
<th>Verbal warning</th>
<th>Written or final written warning</th>
<th>Final written warning or hearing</th>
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<td>39.</td>
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<th></th>
<th>Failure to return for duty timeously after lunch and tea breaks</th>
<th>Minor</th>
<th>Verbal warning</th>
<th>Written or final written warning</th>
<th>Final written warning or hearing</th>
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<tr>
<th></th>
<th>Indolent and slow work</th>
<th>Minor</th>
<th>Verbal warning</th>
<th>Written or final written warning</th>
<th>Final written warning or hearing</th>
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<td>41.</td>
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<tr>
<th></th>
<th>Failure to produce a medical certificate</th>
<th>Minor</th>
<th>Written warning</th>
<th>Final written warning</th>
<th>Hearing</th>
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<td>42.</td>
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<tr>
<td>43. Reporting late for duty. Absent from workplace. Leave workplace early/without permission</td>
<td>Minor</td>
<td>Verbal or written warning</td>
<td>Final written warning</td>
<td>Hearing</td>
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<tr>
<td>44. Use of dirty and insulting language</td>
<td>Minor</td>
<td>Verbal warning</td>
<td>Written or final written warning</td>
<td>Final written warning or hearing</td>
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</table>

**OCCUPATIONAL HEALTH AND SAFETY OFFENCES/BEROEPSGESONDHEID EN VEILIGHEID OORTREDINGS**

<table>
<thead>
<tr>
<th>1. Intentional or reckless interference with health and safety measures or the serious abuse of health and safety equipment</th>
<th>Serious</th>
<th>Final written warning or hearing</th>
<th>Hearing</th>
<th>Hearing</th>
</tr>
</thead>
<tbody>
<tr>
<td>2. Negligence regarding health and safety, non-compliance with a safety or health measure or with a lawful instruction regarding health and safety or failure to report an incident or unsafe situation</td>
<td>Less serious</td>
<td>Written warning</td>
<td>Written warning or Final written warning</td>
<td>Final written warning or Hearing</td>
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</table>
NEW UNIVERSITY POLICY

23. EMPLOYEE GRIEVANCE PROCEDURE

POLICY REFERENCE: HR 20

<table>
<thead>
<tr>
<th>Name of Originator</th>
<th>BN</th>
<th>Name of VC</th>
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<td>Approved by QC</td>
<td></td>
<td>Approved by Legal Div</td>
</tr>
<tr>
<td>Policy code and number</td>
<td>HR 20</td>
<td>Approved by Registrar</td>
</tr>
<tr>
<td>Date sent to VC</td>
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<td>Approved by VC</td>
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<tr>
<td>Date sent to Council</td>
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<td>Approved by Council</td>
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23.1. Preamble

The aim of a grievance procedure is to create a channel for employees who wish to bring any dissatisfaction that they feel on account of an undesirable experience in the employer-employee relationship (either individually or collectively) to the attention of Management without fear of discrimination, victimization or intimidation. The procedure furthermore consists of steps for finding a solution that would be acceptable to both Management and the staff member(s) involved.

23.2. Purpose

The grievance procedure ensures that grievances are resolved in a constructive manner that is acceptable to both employee and employer at the lowest possible level.

23.3. Scope of application

The grievance procedure is applicable to all employees.
23.4. **Principles**

i. Employees may not at any time be victimised or intimidated for airing grievances concerning seniors, colleagues, subordinates, students or clients.

ii. All grievances must be resolved, without delay, within the normal line of authority, at the lowest possible level.

iii. All written grievances must be reported to the Industrial Relations Department. Status reports should be sent to Industrial Relations Department after each completed stage irrespective whether the matter was resolved or not.

iv. At any stage of the grievance procedure, employees may and are entitled to be represented by a shop steward or another employee, if they should so prefer.

v. University acknowledges the right of employees to refer an unresolved grievance to the CCMA (Commission for Conciliation, Mediation and Arbitration), should the internal dispute resolution mechanisms fail to resolve the grievance.

vi. If a staff member is afraid of being intimidated or victimised by his or her supervisor, he or she has the right to lodge a grievance directly with the Industrial Relations Department.

vii. An aggrieved employee should make an effort to discuss his or her grievance with the persons concerned.

viii. Employees should not use a grievance procedure to try to remedy any substantive issues on conditions of employment, such as salaries, bonuses or leave, or to express unhappiness about the outcome of disciplinary actions; for such matters other procedures are used.
ix. The Industrial Relations Department will grant a staff member an opportunity to air his or her grievance and provide the necessary mechanisms for the resolution of the employee’s unhappiness or complaint.

x. The grievance procedure may not be invoked when there is already a disciplinary process against the employee.

xi. Management, at all levels, should be objective in handling grievances.

xii. Each stage of the grievance procedure is bound by time limits.

xiii. The set periods of time may be altered only if the parties involved mutually agree to it.

xiv. A grievance will be regarded as being resolved only when the employee concerned declares him or herself satisfied or after step 3 of this procedure.

xv. Where possible, line management must deal with grievances, but the Industrial Relations Department should play a facilitating and advisory role.

23.5. Procedure

The following procedure must be followed when a grievance is lodged:

23.5.1. Step 1: verbal complaint

i. Minor complaints and dissatisfactions should be resolved at the lowest possible level in order to prevent them from becoming formal grievances.

ii. Should a staff member feel aggrieved, he or she should discuss the grievance with his or her line manager as soon as possible.
iii. A staff member who wishes to air a grievance must lodge it with his or her immediate supervisor, verbally and on his or her own, or in the presence of his or her representative, within 30 (thirty) days of the onset of the grievance (after the grievance arose).

iv. Within 5 (five) workdays after the grievance was brought to the line manager’s attention, the line manager must grant an interview to the employee or hold a discussion with him or her.

v. The line manager should make a reasonable effort to resolve the grievance within 3 (three) workdays, proposing an acceptable solution based on policy and taking into account the specific circumstances surrounding the grievance.

vi. The supervisor’s decision should be made known to the employee, in writing, within 2 (two) workdays. If the employee is dissatisfied with the result, Step 2 must be followed.

vii. If the grievance is resolved in Step 1, the line manager must provide the Industrial Relations Department with a written report.

23.5.2. Step 2: Written (formal) grievance (Management level)

i. Should the employee be dissatisfied with the solution proposed in Step 1, he or she should lodge a formal grievance in writing with his/her department and copy the Employee Relations Department.

ii. On receipt of the written grievance, the immediate supervisor should, within 4 (four) workdays, arrange a meeting to resolve the grievance; however, if the grievance is not resolved, he or she should refer it to the next level of authority within the next three (3) workdays.

iii. The employee’s line manager and representative should attend and be involved in the resolution of the grievance.
iv. If the employee is still not satisfied with the resolution or recommendations, he or she should refer the matter to the next level.

v. The Industrial Relations Department and the line manager must be notified of the result. They must each receive a copy of the grievance form for their records.

vi. Should the grievance be resolved in Step 2, the resolution must be confirmed in writing. The resolution must be signed by the line manager and the employee concerned.

23.5.3. Step 3: (Senior management level)

i. As a last attempt to resolve the grievance, the employee may apply to senior line management, through the Industrial Relations Department, to settle the grievance.

ii. The grievance procedure must first be followed before such an application may be lodged.

iii. All agreements concluded or decisions made at senior management level, shall be final and binding.

iv. Such agreements or decisions must be written down and signed by all parties involved.

v. The outcome of the application must be made known within 5 (five) workdays of the referral date.

23.6. Procedure for dispute resolution

Should the employee be dissatisfied with the outcome of step 3, he or she has the right to declare a dispute in terms of the Labour Relations Act, Schedule 7 part B. However, if a signed collective agreement exists with the party declaring the dispute, the procedure governing collective agreements should first be followed.
NOTE: All parties dealing with grievances should at all-time keep to the time limits set in the schematic representation. They may, however, mutually agree on extending the set periods of time.
ANNEXURE C

GRIEVANCE FORM

GRIEVANCE PROCEDURE – STEP 2

PART A

To be completed by an EMPLOYEE with a grievance within (5) five workdays after following Step 1 of the procedure.

Name of employee/s: ....................................................  Contact No........................

Grievance against (Employee/s)……………………….. Contact No……………….

Employee Nr.……………… Date Submitted…………………………

Department………………………… Campus…………………………

Grievance (occurrence date): ........................................................................................

Grievance, in short: ........................................................................................................
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Resolution required: .........................................................................................................................
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Signatures:

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EMPLOYEE UNION REPRESENTATIVE

Date submitted .............................

Part B

(If unresolved, refer the matter to be dealt with at the next level within 4 days after Step 2). To be completed by the immediate supervisor within 4 (four) days of the date the grievance was received. The employee is entitled to the assistance of a fellow employee or union official.

Supervisor/head of department or division/director/dean/registrar: 
............................................................................................................................................

Date this form was received ...........................

I investigated the above grievance and found:
............................................................................................................................................
............................................................................................................................................
............................................................................................................................................

Decision or comments made and/or steps taken by supervisor/head of department or division:
Part C

GRIEVANCE PROCEDURE – STEP 3 (conciliation committee)

To be completed by the chairperson within 4 days of the date the grievance was lodged.
Date this grievance was received: ..........................................................................

Date of grievance hearing: .....................................................................................

Conciliation committee:

..........................................................  Chairperson (designation)
..........................................................
..........................................................  Union representative
..........................................................
..........................................................  Employee Relations Official

We have investigated the grievance and tried to resolve the situation. The following decision or comments was/were made and/or steps were taken:

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RESOLVED NOT RESOLVED

Date of decision ..........................  Signed ..................................................

DEPUTY VICE-CHANCELLOR

Copies

Employee .................................  Date received ..............................

Labour Relations Unit  ..................  Date received .............................
Employee/ ...............................................  Date received ........................................
Union representative
CHAPTER 8: LIBRARY INFORMATION SERVICES
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1. INTRODUCTION

This chapter focuses on requirements for the delivery of relevant and effective library and information services at the two new universities in Mpumalanga and the Northern Cape. All the key functions of the library are covered and some policies are suggested for development. Specific recommendations are given in some sections of the chapter whereas in other sections options are provided giving the new institutions the latitude to decide. The chapter covers collection development and management, services and facilities, human resources, information technology as well as budgeting.

1.1. Key roles and functions of the library

The academic library provides a critical support service to the core business of an academic institution and is often referred to as the heart of a university. Its main role is to provide information and related services required for the undertaking of academic and to a lesser extend administrative activities of the institution. Although its main client groups are students and academics, support should also be given to administrators who may need information resources for executing their respective duties. When an academic library functions properly it contributes to the achievement of the teaching, learning and research objectives of a university. The library’s main functions include acquiring information resources, organizing and making them accessible to users. Various services are then offered to facilitate effective timely access as and when they are needed. Such services will include cataloguing, user orientation and training, reference/information use support as well as circulation services.
1.2. Collection development and management

1.2.1. Collection building

The library’s primary responsibility is to provide information by selecting, processing, maintaining and giving access to relevant information resources. Collection building should be guided by the aims and objectives of the institution, sustainability and relevance for academic programmes to be offered. The institutional strategic plan should serve as a frame that guides the library on collection development. This will require that the library develop its own strategic or business plan that is aligned to the universities strategic plan. A Collection Development Policy should be developed that will serve as a framework within which library staff and users handle collection building and maintenance matters. Its development and use will assist in budgeting, prioritizing and overall collection management. The policy should spell out the following issues.

Selection criteria: the policy should give guidance on the issues to be considered when buying material such as relevance, scope, content, currency, timeliness, language and price.

Selection responsibilities: the policy should clearly spell out who is responsible for selecting which resources. A good principle is to give the academic staff primary selection responsibility. Librarians could then assist in identifying and filling collection gaps. Librarians should select working closely with academics to ensure usefulness and relevance. Librarians should be responsible for the selection of reference sources.

Ideally the academic library should not purchase prescribed books (text books) because it is the responsibility of students to buy prescribed texts. The library is responsible for buying supplementary or recommended books. It is expected that the majority of students to be registered at these two new universities will be from poor backgrounds and some may find it difficult to buy prescribed books. Both the prescribed and recommended books should be included in the collection. Prescribed books should be located at the short loan section where limited copies can be circulated to more students than would be the case if they were on open shelves.

Formats of information resources: a library must decide which formats it will cover in its collection and the main guiding factor will be the disciplines to be covered in the academic
programmes to be offered. It is recommended that formats to be covered should include CD, DVD, monographs, government publications, newspapers and e-journals and books.

**Description of programmes** that the collection will cater for in the policy will assist in ensuring that the collection is useful and relevant to institutional needs.

**Duplication:** budgetary and space constraints make it necessary for libraries to determine the number of copies per title that they will allow for purchase. A maximum number of five copies is recommended but space and the budget allocated to the library should be the main guiding factors in determining the maximum number of copies.

**Donations:** newly established libraries often look to donations as one way in which they can quickly increase the size of their collections and may as a result fall into the trap of housing a collection that no one uses and that gives a sense to users that the library collection is irrelevant or useless. A good principle to use when handling donations is to use the same criteria that is used when selecting new books. The donated material must be relevant to programmes and it must be of the appropriate academic level for a university education. Involving relevant academics in determining suitability of items for their programmes will help ensure usefulness of what is received as donated material.

**Weeding:** criteria to be used for weeding and discarding material from the collection should be included in the policy. Some considerations are current relevance, usefulness and appearance (worn-out). The frequency of weeding should be determined on the basis of available space and usefulness of the resource.

**Electronic information resources:** the increase in the number of electronic books and journals and the increasing preference for using these types of resources shown by library users (staff and students) coupled with the complexity of managing these resources make it necessary to include a section on electronic information resources or develop a separate document on guidelines for managing e-resources. Inclusion of a section in the collection development policy may be the best option for the establishment phase of the library. This section of the policy should provide
guidelines to be used for selection of e-resources, handling of new resources as well as their licensing.

**Budgeting overview:** the International Federation of Library Associations (IFLA) recommends the inclusion of this section in the policy. The new institutions should decide on including or leaving it out. If it is included it should serve as a guide when allocating information resources funds to the different type of resources. Information resources budget percentages to be allocated for the various formats such as books, journals and databases could be provided in this section. The allocation of percentages could also be by academic department supported. Since the new universities will be serving students the majority of whom are from poor backgrounds, there is need to allocate a larger percentage of funds to the buying of books when the library is in the early stages of establishment.

### 1.2.2. Access to the collection/ Resource discovery

**i. The Online Public Access Catalogue (OPAC)**

The value of a collection of information resources no matter how good it can be, is lost if it is not accessible to library users. OPAC enables users to identify, get the status of and locate information resources held by the library. The establishment of a catalogue should commence before the libraries of the two new institutions open doors because it is the foundation and basis for the basic functions and services of a library.

The simultaneous use of different standards and guides is required to build a catalogue of internationally accepted standards making it possible for the libraries’ records to feature on OCLC’s World catalogue (WorldCat). The standards to be used are outlined below.

**Resource Description and Access (RDA):** evolved from and replaces AACR2. It has been developed to cater for the current digital environment in which information is produced, distributed, preserved and used.

**Dewey Decimal Classification (DDC):** this classification system is more widely used in the world. It is also used by most university libraries in South Africa. This is the system recommended for the
two new institutions. The benefit of choosing a widely used system is that there will be a large pool of experts to offer support and training when it is needed.

**Library of Congress Subject Headings:** subject headings are added to the catalogue records to make it possible for catalogue users to retrieve items using a subject search.

**Machine Readable Catalogue (MARC):** translates the text of a record to one that can be used in an online catalogue. MARC 21 formed out of USMARCH, UKMARC and CAN/MARC is the recommended MARC for use by the new institutions.

Subscription to *Sabicat* made available by *Sabinet* will make it possible for the new institutions to get support for acquisitions and cataloguing from the resource. Catalogue records can be downloaded from or added to Worldcat. The downloading of records from Worldcat to the local database improves the speed of processing and the quality of catalogue records.

The online catalogue should be kept current and up to date in the following ways:

- The electronic management system that is used for cataloguing should also be used for acquisitions so that items can be seen and tracked by users from the time they are ordered until they are shelved when processing has been completed.
- Any change in the status of items should be captured on the system as soon as possible.
- Stock taking should be undertaken at-least once per annum and the catalogue updated soon after completion of this exercise to ensure that the catalogue reflects as closely as possible the correct holdings of the library.

### ii. Cooperation and Resource Sharing

No library can have all the information resources that its users will need. It is for this reason that libraries need to cooperate and share resources. Libraries have shared resources long before the advent of computers however electronic information systems have made it simple and fast for librarians to cooperate and share resources in order to be better capable of meeting the information needs of users in an efficient manner.
ReQuest: This resource sharing web-based system is provided by Sabinet and is used by South African university libraries. Use of this same system by the new institutions will enable them to be a part of the inter-library loans system used by higher education institutions in South Africa. To use the ReQuest system, libraries must have Sabicat, a resource that is recommended for subscription under OPAC above. The agreement among university libraries is that the local library should provide sufficiently for undergraduates and only use the inter-library loans service to cater for staff and postgraduates.

South African National Site Licensing Consortium (SANLIC): The negotiation of licensing deals for electronic resources is a skill that a few librarians in South Africa have. This coupled with excellent group buying discounts on electronic resource deals negotiated by SANLIC make it a necessity for all university libraries in South Africa to become members of this consortium. The new universities should become members as soon as they are established. Currently all South African Public Universities are members of SANLIC.

Committee of Higher Education Librarians of South Africa (CHELSA) is a Committee of Heads of public university libraries in the country. Its main purpose is to provide visionary transformational leadership for optimal access to information for teaching, learning, research and community engagement in higher education. All public universities in the country are represented in CHELSA. Member libraries have signed a memorandum of understanding that relates to the mutual rendering of certain services with a view to the cost efficient use of resources. The current focus areas of this committee are staff development, information literacy, electronic thesis and dissertation databases and research support.

iii. Considerations relating to collection development and management

- In the early stage of establishment the new universities will have small library collections that may not be adequate for meeting the needs of their undergraduates. This weakness should be minimized by ensuring that core titles in the disciplines offered including prescribed and recommended titles are prioritized for purchase. Secondly, consideration
should be given to approaching universities that have branches in the same province for negotiation on establishing a partnership formalized in the form of a memorandum of agreement or understanding for inter-library lending that may also cater for undergraduates. This will make possible same day delivery of needed books between the partner libraries.

- Current trends indicate the increasing preference for electronic journals by library users. This factor coupled with the challenge of space shortages and the labour intensive exercise of managing print periodicals has led to some libraries phasing out print subscriptions for all titles available in electronic form. Indications are that in the near future most libraries will only subscribe to e-journals. The new institutions should consider subscribing to e-journals only and only use print where an electronic version is not available.

- When selecting information resource suppliers, preference should be given to companies that deliver shelf ready items with MARC records to cut down on staff time and costs.

1.3. Services and facilities

The central concern of academic libraries is timely effective access to required information. Various services are offered which are essentially structured around different approaches to enabling library users to find the information they need. This section will present an outline of services that a university library should have to be able to offer a basic but effective library and information service.

1.3.1. Circulation services

Circulation services are meant for the borrowing of library items by library users and are sometimes referred to as loans services. Material may be located in different sections of the library and have different circulation rules applying to their use. Guiding factors in determining how the collection of information resources could be housed (where to locate, shelve or store which items in the library) should include the strategic objectives of the library developed in line with those of the
institution, the nature of academic programmes offered, the size and anticipated growth of the collection and the information needs of the university community serviced by the library.

Libraries of the new institutions should have at least 3 separate collections even if the temporary accommodation of the library is one room. The collection should be divided into open shelves, reference section, and short loans, sometimes referred to as the reserve section. The open collection has a longer circulation period than short loan material and the reference section would be non-circulating (for use inside the library only).

i. Circulation Policy

A circulation policy should be developed that will provide library staff and users with loan rules. The policy should include rules on the following:

**Loans:** loan rules for each collection by user categories. User categories could be academics, students, administrative staff etc. They should specify the number of items to be borrowed at a time by a specific user category and for how long they can keep it.

**Renewals:** are renewals allowed? If so how long is the renewal period and the number of times renewals will be permitted. Renewal conditions should also be spelled out.

**Recall:** conditions relating to recalling of items before the return due dates

**Fine rates:** different sections of the collection may have different overdue fine rates for items. The same applies to different categories of users where staff fine rates may be higher or lower that those charged to students.

**Replacement charges:** how the lost or damaged items will be charged for (replacement costs).

**Notices:** overdue reminders, recall, blocking notices to be sent to library users. The number of overdue reminders that will be sent before generating a bill should clearly be stated in the policy.
The main guiding factor to be considered when determining the loan quota and period is the size of the collection in relation to student and staff numbers.

Fine rates and disciplinary measures should be attached to the Circulation Policy as appendices as they are reviewed more regularly than the rest of the document. This will help to prevent unnecessary review of the policy when all that is needed is to review fines and or punitive measures. Behavior that is classified as misconduct should be clearly defined and relevant punitive measures stipulated. Misconduct will include unauthorized removal of library items, tearing of pages, and non-return of library items.

ii. Policy on Library Membership

Universities in South Africa are autonomous institutions. Although they are autonomous, they are public institutions financed from public funds. Some of these universities are located in areas where there are no community libraries or where there are community libraries that are grossly under resourced. Members of the community in which the universities are located often look to these university libraries for access to information and sometimes study space. The request for service is also experienced by libraries of universities in urban areas where the community libraries are better resourced.

The universities also have other important stakeholders who are not students or staff such as members of council, alumni, retirees, exchange students etc. There is therefore need to give careful thought to library membership and develop a policy that clearly articulates who may be a member, under which conditions and the services and resources that they may use.

It will not be possible to recommend the different categories and spell out how they should be serviced as a number of factors have to be considered before this policy is developed. Some key factors to be considered by the new institutions should be the following:

- Available library space
- The size of the collection in relation to student numbers
- License agreements for electronic resources
- MOU’s and MOA’s between the university and other bodies or institutions
• Relevant institutional policies for such issues as status of prospective master’s and doctoral students

The policy should clearly stipulate all categories of stakeholders who qualify for membership, and clearly indicate which service they may or may not use. External member categories should include council, other higher education institutions, guest lectures, alumni, exchange students and staff, as well as private members of the community.

iii. Open Shelves

A large percentage of the book collection should be on open shelves where library users can browse and select the items they need.

iv. The Reference Collection

The reference collection is made up of information sources which cannot be read through, but answer specific questions, facts and figures or provide background information on a topic. The collection should not circulate so that it is readily available and easily accessible to as many users as possible. Examples of reference sources are encyclopedias, dictionaries, year-books and directories.

v. Short loans/Reserve collection/ Study Collection

The short loan service is offered behind the counter. All items, books audio-visual material, periodicals, that academics have identified that students must use in their course including the prescribed text books should make up the reserve collection. To make the collection accessible to as many students as possible, the loan period must be short possibly 2 to 3 hours at a time. Overnight and over weekend loans of the items should be allowed for use when the library is closed.

1.3.2. Information/Reference services
Reference services are also referred to as information services. An information desk should be established and located next to the reference collection where librarian assistance to students will be provided from. The service provided is direct personalised support that a student may need. The assistance offered includes answering specific questions, one on one instruction in library use, locating material, using the catalogue, using reference sources and providing brief factual information.

There are various ways in which information service can be offered in addition to in-person consultations. Information services can also be offered via e-mail, phone, online, or chat and text. Starting with the in person approach these other options should be introduced so that library users can select a method that best suit their needs.

The need for this service cannot be over emphasized as most students will be using a library let alone a university library, for the first time.

Information/Reference librarians play a very important role of linking or connecting the user with needed information. They do this in a variety of ways as can be seen from some of the responsibilities they have that are listed below.

- They are liaisons between the library and the academic departments partnering with academics to make sure that the information resources and services required by students are not only available but are relevant to courses offered.
- They market the library resources and services in various ways including taking part in seminars and workshops arranged by academics
- They train library users to enable them to use library resources and services effectively.
- They also conduct searches on behalf of library users and where e-learning platforms are in use, link relevant electronic resources that they have identified to courses.

i. **Information literacy**

Library instruction programmes are aimed at providing knowledge and skills to students to enable them to independently use library collections and services effectively. The overall aim is to develop information literate students who can access and use information effectively for academic success. Due to IT developments, information literacy overlaps with information technology skills but is
distinct and broader. Information technology skills are to some extent integrated with and they support information literacy.

Information literacy programmes should cover a full range of information and knowledge resources. Library instruction should start with orientation of new students soon after registration. The aim of orientation should be to acquaint students with the facilities, resources, and services offered for them to be able to find their way easily in the library.

A comprehensive information literacy programme must be developed. Various options are available for offering information literacy programmes. Libraries of the two new universities should seek to offer the information literacy programme as part of course work, preferably in an interdisciplinary course that all students are expected to take such as English communication skills course or a study/research skills course.

The Committee of Higher Education Librarians in South Africa (CHELSA) has developed Information Literacy Guidelines which are recommended for use by the two new institutions in developing their own programmes. The International Federation of Library Associations (IFLA) has also developed several guidelines that provide a pragmatic framework for librarians who want to develop an information literacy programme. The following aspects could be covered in the information literacy programme:

- Introduction of students to library and information services (orientation)
- Locating and retrieving information in the library
- Evaluating sources
- External and legal issues copyright, plagiarism and referencing systems
- Different formats of information resources and when to use which.

1.3.3. Library Space

The rendering of library and information services in a university requires appropriate facilities that foster study, research and learning making possible the effective use of the library. The growth of digital collections and new student centered teaching and learning approaches that encourage self or independent learning have led to change in the manner in which library space is viewed and used. These changes are affecting patterns of library usage by students and academics.
There are issues to be taken into account when planning space for the delivery of library and information services. Space allocation recommended below should be regarded as minimum space provision required for a university library.

**Housing the collection of information resources:** the print and AV collections require shelving space. As was indicated above, the collection should be divided into a minimum of three sections namely: open shelves, short loans and reference collection. It is anticipated that the collection of print journals will be small if the recommendation for e-only subscription is entertained. A small area may be allocated to a few periodical display shelves where recently received issues of periodical publications that are only available in print are displayed. Bound volumes of these publications could be shelved with the book collection.

**Study space:** The changes in teaching and learning methods mentioned above have resulted in coursework including group projects, presentations and practical tasks. This form of teaching and assessment is increasing. The change should be taken into consideration when planning for study space. Provision should be made for individual as well as collaborative study space. Collaborative study will require group work rooms. Such rooms should be provided with projectors, screens, white boards and PC’s.

A 24 hour study facility should also be provided that will cater for students who may need a quiet place for study when the library is closed. The space to be used for this purpose could be used as a normal library study space during the day but serve the 24/7 purpose when the library closes.

**Computer facilities:** modern libraries are hybrid existing physically and virtually. This change coupled with the increase in the number of information resources made available in electronic form have made provision of a large number of computers with internet access a necessity for libraries. Space should be generously provided for computer workstations. Networked photocopiers and printers should also be provided where students can print if they need to. A few computer workstations should be dedicated for OPAC access. Some space should be made available for library users who prefer to use their own mobile devices laptops, iPads etc. Power and network points should be provided in the area to be set-aside for this purpose. Wireless network access would be the best option and should if possible be provided instead of network cables and points.
**Service space:** the minimum required service space in the public areas will be a loans desk. Depending on how it is positioned in relation to collections it could service users of the short loans collection as well as those from open stacks. If this arrangement is not possible there must be two service desks because users of the short loans collection should not have direct access to the materials. They are to be issued from behind the counter.

**Training facilities:** at least one training facility (room) should be provided for in the allocation of space for library services. If possible the training facility should be located close to the computer workstations reserved for users so that they can use its computers when no training is taking place in the room.

**Guiding principles in space planning and use for libraries**

There are important principles that should be used when planning space for library services in the new institutions. They should be used for the temporary as well as permanent accommodation of library and information services. The following are qualities of good space that were identified by Andrew Mc Donald in The Ten Commandments Revisited:

- **Functionality:** the space should work well for the library able to cater for traditional and electronic services

- **Adaptability:** should be flexible to allow easy re-organisation to accommodate changing needs. There should be few interior brick walls.

- **Accessibility:** the space should be easy to use and it must promote independence. It should also cater for disabled users.

- **Interactive:** the arrangement of service points should promote contact between users and library staff

- **Safe and secure:** people, collections, equipment, data and the building must be safe
1.3.4. Virtual Library

Terms such as digital library and electronic library are often used interchangeably with virtual library. The virtual library is not a single entity and one requires computers and internet connection to access it. The main benefit of a virtual library is that it can be accessed from anywhere and it is accessible 24/7. Modern academic libraries offer their services and resources both physically and in the virtual environment. Some of the services and resources that can be offered on the virtual library are electronic books and journals, reference sources, guides, research tools, inter-library loans, reference service, and circulation self-services such as renewals and bookings.

Libraries of the new institutions should establish a web presence soon after establishment so that they can offer their resources and services on the web. The virtual library will be particularly useful if there is temporary accommodation for library services which may not have sufficient space to cater for students and academics wanting to use the library.

1.3.5. Safety and Security

Library buildings house collections and equipment that could be worth well over a billion Rand. They are also patronised by a large number of people at a time. This calls for careful safety and security planning. It is expected that the University will have health and safety structures as well as a security services. The library should use the services and expertise from these structures to ensure maximum possible security and safety measures are put in place.

A fire and emergency programme should be in place to minimise loss and damage even when the library is housed in a temporary building or structure. Security alarms and close circuit television (CCTV) should be installed to secure the library resources and equipment. Library items should be tagged with security tags and a detector installed at the exit to prevent unauthorised removal of library items.
1.3.6. Considerations for Services and facilities

i. The audio-visual collections of libraries are normally smaller than the print collection. It is recommended that the audio-visual collection be located at short loans. Separating the two collections will require that additional staff be hired to serve two separate sections offering related services that differ only in the format of material housed.

ii. The short loans collection is necessary for all universities that offer undergraduate programmes but its availability at the new institutions is even more crucial because they will, when they start, have small information resources collections. The cooperation of academics in resourcing this section should be sought to make sure that all courses offered are provided for. This will greatly enhance access to limited resources.

iii. It is highly unlikely that it will be possible to offer a comprehensive information literacy programme in the first year or 2 of the establishment of libraries at the new institutions. Library orientation should however be offered as soon as the library starts functioning so that students should be able to find their way easily in the library and be aware of available services and resources.

iv. The collection should be secured as soon as possible. The most commonly used security system that should be acquired by the new institutions is the 3M Detection System. The system has three components; the tattle tape strips, the sensitizer/desensitizer unit and the tattle tape detector. There are two authorized possible suppliers in South Africa and they are CSX Customer Services and Universal Knowledge Software.
1.4. Human Resources.

1.4.1. Organisational Structure

Human resources issues are of strategic importance in delivering efficient and effective library and information services. The increase in information available in digital form and the changing patterns of teaching and learning have led to new demands and expectations as well as change the information seeking behavior of library users. These developments coupled with increased move towards managerialism in leadership and governance of universities has resulted in academic libraries moving their focus away from the technical processes of acquiring, organising and making available information to user support emphasizing access and retrieval of needed information. These developments have led in many university libraries to new posts being created and some posts being reconfigured by changing the job content. Organisational structures have also changed to cater for new needs.

Although there are changes in structures the traditional and basic divisions of academic libraries namely technical services and user services can still be seen. Changes likely to be made on this basic structure are addition of research services (information services), digitisation and IT services. The naming of the divisions differs from one university to the other.

When the libraries of the two new institutions are first established, they will obviously be small and could in the first few years start with only two divisions, technical and user services. Technical services would be responsible for acquisitions and cataloguing (technical processing of library material) and the other, user services, such as circulation and information services including training.

1.4.2. IT Support

IT support should be offered from the central IT department in the early stages of the establishment of the library but if there is a large number of internet workstations for students, an IT technician at junior level could be based at the library but report to the IT department. In general, undergraduate services require librarians and support staff (library assistants) but the new institutions should guard against starting up with a large percentage of support staff as this will pose a problem later when the
library is fully developed. Most university libraries use students for services such as circulation and shelving. Use of students where possible is recommended as it is of benefit to students themselves and the university. Using the services of students is not as costly as hiring full time staff. When planning for human resources careful attention should be given to the use of technology to lower staff costs. The initial investment in equipment such as self-Check may appear to be high but it is in the long term less expensive than hiring additional support staff.

1.4.3. Priority Appointments

Priority should be given to appointing the library director at these new institutions that will steer the establishment of proper library and information services. Most universities give the library director the same status as that of deans and the library reports to the DVC academic. This is the recommended placement of the library on the structures of the new universities.

i. Key Performance Areas of Library Director

The library director is responsible for providing strategic leadership for all library functions ensuring that the library strategy is aligned with that of the institution. The library director advocates for library and information service within the university and beyond the institution. The following are library director’s key responsibilities.

- Planning, policy making, monitoring and evaluation.
- Budgeting and management of budget to ensure the fiduciary expending of finances.
- Fundraising
- Personnel management and development to maximise productivity.
- Development and management of library IT for efficient and effective delivery of library services
- Management and coordination of all library functions including designing and evaluating services
- Library promotion and liaison
- Building infrastructure development and maintenance

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ii. Competency and Skills Profile of Library Director

- Should be able to clearly articulate own vision for the future of the library.
- Must be able to make things happen through others
- Must possess negotiating and network skills
- Ability to fundraise
- Must have hands-on leadership experience of some form (proven leadership abilities)
- Should be able to take initiative
- Must have excellent communication and interpersonal skills.
- Basic financial management skills
- Must be well versed in current and emerging technologies in the delivery of library services
- Must have well developed people management skills
- Should have broad knowledge of print and electronic resources
- Must be able to develop and maintain relationships with academic and administrative staff as well as students.

1.4.4. Representation of the library in university structures

The extent to which library and information services are integrated into the core business determines its relevance, usefulness and effectiveness in supporting the core business. The library should be represented in key relevant structures of the university to ensure that it delivers a service that is relevant and appropriate for the university needs. It is recommended that the library be represented on the following structures if and when they are established

- Senate- full membership
- Academic Planning Committee
- Research and Publications
- School and Faculty Boards
- IT Steering structure/ Committee
• Institution wide teaching and learning committee
• Higher degrees Committee or similar postgraduate structure

i. Senate Library Committee

The library should have full membership of Senate represented by the library director. Senate, being, a key academic structure of a university and the library a key support service of the core business, should oversee, advice and monitor the provision of library and information services. A structure that enables Senate to effectively play this role is the Senate Library Committee, also referred to as the Library Committee at some universities. It is recommended that when Senate is established the Library Committee should be one of its committees. Library matters requiring Council approval would also be recommended to Council by Senate.

ii. Library committee terms of reference

Library committee should:

• Recommend to Senate policies pertaining to library matters.
• Review and advice on planning documents.
• Consider matters concerning short and long term physical planning requirements of library services.
• Consider and recommend library reports including the annual report to senate.
• Evaluate university library facilities, services and collections.
• Advice senate on appropriate measures to ensure that the library provides excellent support to the core business of the institution.

iii. Composition

• Deputy Vice Chancellor (chairperson)
• Director IT services
• Director Finance
• Director Academic Support
• A representative from each school/faculty/college
• Two student representatives
• Secretarial services may be provided from the same structure that provides this service to senate

iv. Library SRC Committee

Students are represented on Senate and on the Library Committee. These structures often do not afford students and library staff a good opportunity to engage meaningfully on library matters. The Library SRC Committee is one structure which could allow the library and student sufficient opportunity to engage on matters of mutual concern. Three students from the SRC responsible for academic matters would be members and the library would be represented by the director and heads of divisions within the library.

1.5. Budgeting and Finance

The Library Director as head is responsible for budgeting and managing financial resources guided by institutional as well as library goals and objectives. Some large universities have the finance function decentralized where there is a finance unit in the library. The main motivating factor in some cases could be the amount of money allocated to the library annually for it to fulfill its functions. Decentralization of the finance function is not cost efficient for small institutions. The new institutions should consider handling library finances in the manner presented below.

i. An annual budget of no less than 5% of the universities total should be allocated to the library annually

ii. In the first few years of the establishment of the new universities, special additional funding should be provided in addition to the normal annual allocation, for purchasing information resources.
iii. The procurement of furniture, office, and IT equipment should be done by the university’s procurement unit however the buying of information resources, that is books, journals audio visuals and electronic resources, should be done at the library. This arrangement is very essential as the procurement of information resources is complex and very different from that of other items such as furniture. Library staff could be granted ordering rights on the ordering system of the institution so that the Finance department can oversee and monitor and offer support if needed to library staff.

iv. The library is likely to use a different system to manage its functions to the one used by the institution. Should the library use a different system to the one used by the institution, some integration between the two systems will be required to avoid manual duplication of finance activities on two systems. When shopping for a library system, it must be checked for this feature.

v. The implication of what is proposed on (iii) above is that the library will have to be consulted for their input or involved when financial policies that affect procurement are developed. This will help ensure that financial policies developed by the institution do not made it difficult or impossible for the library to manage the procurement of information resources.

vi. Should the institution decide to centralize its IT budget, the library’s IT budget should be an exception because the library is normally the largest user of IT equipment and services. The Library Director should be allowed to budget for and manage funds allocated for library IT equipment. Failure to do so may seriously hamper the development of the library as IT is the key driver of library services in our time.

1.6. Information Technology

1.6.1. Library Management System

A library management system is a basic tool without which modern libraries cannot function. It is therefore a basic requirement for university libraries. Procurement of a library management system requires a significant investment of funds. The challenge for libraries when they want to acquire a
library system is usually selecting a system that will best suit their needs. A few librarians have extensive experience in this area because the selection of a system in normally done once and when it is implemented it takes many years and very good reasons to look at another new system. Most librarians will therefore not have the experience of selecting and implementing a library management system.

For any system to be considered for purchase it must have the basic modules used in the management of libraries namely, acquisitions, serials, cataloguing, circulation, OPAC, and management information. The Library and Information Commission of the Council for Museums, Archives and Libraries in the UK has produced a Report on Harmonising the Process of Procuring Library Management Systems. The report presents a comprehensive list of features per module that different types of libraries need. The suggested features per module presented below are based on this report. Only the key features are covered below.

i. **Online Public Access Catalogue (OPAC)**

- Users should have a wide range of options (access points to a catalogue record) when searching the catalogue and the search functions should include Boolean operators
- OPAC must be accessible via the web
- It must have Z39.50 compatibility and multimedia capabilities
- Catalogue related reports and statistics (management information) must be available
- It must have self-service for renewals, bookings, and allow viewing of own record by users.

ii. **Acquisitions**

- The system should be able to generate orders
- It must have electronic data interchange (EDI)
- Invoice processing and claiming
- Reports and statistics
- It should be capable of transmitting orders directly to suppliers
- It must be able to link with the finance system of the institution
iii. Circulation

- The system should be able to handle a number of borrower categories with different borrowing privileges (loan quotas, loan periods, number of renewals permitted etc.)
- It must be able to generate notices (print and e-mail)
- Interfacing with other systems for user records from student administration and human resources should be possible

iv. Serials

- The system should allow barcode check-ins
- Budgetary control with the system should be possible
- The system should provide prediction of issues to make possible reporting and claiming of missing issues.

v. Support and Customer Service

Libraries that have limited staff capacity may not afford to appoint a dedicated systems librarian. The support and customer service provided by the system provider is for such libraries very important for effective implementation, maintenance, and use of the system. Support must be available in the form of online help, manuals, training, help desk, remote diagnosing and solving of problems as well as excellent response times.

vi. Consideration

Procurement of a library management system should be given priority because the library will not be able to function without it. The system should be functional before library doors open for users. It is recommended that the new institutions consider using the Millennium System which is already
in use by university libraries in South Africa. There is already a user group of the system in the country and the pool of support in implementing and using the system is quiet large.

1.6.2. Computer equipment for library users

The need to provide computers for library users was discussed above. The numbers of computers with internet access to be provided will be determined by the available space and the number of registered students. As was indicated when space was discussed above, there is also a need to provide copying and printing facilities for students. The current trend in university libraries in South Africa is to outsource printing services. This may not be an option for the new institutions in the early years of establishment because they will not have large numbers of students to contribute to making the service profitable enough to attract private providers. The new institutions may have to rent or lease photocopiers as well as provide heavy duty printers. A control system that can manage both photocopiers and printers should be obtained that will allow users to use their passwords or student cards to print and copy.
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1. INTRODUCTION

1.1. Background

Government has decided to develop two new universities in the provinces of Mpumalanga and the Northern Cape, the only two provinces that do not yet have a university. Government’s vision is that the planned universities must become institutions of pride, both nationally and provincially and must be able to attract the best academics in South Africa, the continent and the world. The hallmark of these new universities must be academic excellence underpinned by quality leadership.

It is envisaged that both institutions will be comprehensive universities, each with a unique academic focus that will provide qualifications in a range of fields for the development of high level skills for the economy and the personal advancement of the learners. It is envisaged that the main campus seat of each university will be based on a contact mode of learning. However, given the potential of evolving communication technology, future expansion could be through a variety of modes, including diverse combinations of contact, open and distance learning.

The DHET put together a Team of Specialists with a Project Coordinator to develop a set of guidelines for the start-up of the various functions of the two new universities. These guidelines will serve as a benchmark to inform and assist the implementation process of all functions performed under the umbrella of a teaching university. It will create a tried and tested platform from which academic teaching, research and learning can be launched in terms of internationally acceptable academic standards together with the necessary administrative support services. It will also serve to define the user requirements for the business management software solutions.

1.2. Purpose of this document

The purpose of this document is to define the guidelines and user requirement specifications for the ICT Component of the overall Guidelines Document for the new universities.
It needs to be noted that these ICT specifications are generic in nature based on the general functional requirements and operational needs of a university business and no specific technical solutions and/or brands are intended within the specifications.

Where Request for Information (RFI) and Request for Proposal (RFP) specifications have been drafted, it has been done with the following understanding and meaning:

i. RFI’s are issued to determine the availability of products or services in the market place and to screen suppliers to determine if they are capable of meeting the business needs of the university in a specific area. Business can normally not be awarded on a RFI.

ii. RFP’s are used when the functionality is clear but the “how” to achieve that function can be achieved in a variety of ways. It allows the potential supplier to be creative in the approach to the proposed business solution required by the university. This must be understood relative to a RFQ/T (request for quotation / tender) where the technical specification for a specific product solution is well defined. Business can be awarded on a RFP.

It is acknowledged that the RFI’s and RFP’s will have to be adapted to satisfy the procurement policies, processes and formats of the new institutions once these are in place.

Also, since the academic programme mix of the new universities are an unknown at the time of writing this document, it must be noted that specialist ICT hardware and software that may be required by some of the academic programmes are not covered in this document and will have to be addressed once the requirements for these needs are clear. The specification for the network and server infrastructure will however cater for the integration of these additional requirements.

### 1.3. Purpose and Role of ICT

#### 1.3.1. Purpose

The main purpose of Information and Communication Technology (ICT) is to be a business enabler for the various business functions of a university. ICT is a key factor in support of both the academic functions (teaching, learning and research) and the administrative functions (learner
information and administration, finance, human resources, support services, etc.). ICT comprises the basic communications network (voice and text), together with the data network(s) and computer hardware platforms and software systems on which the institution depends and relies on to deliver on its vision, mission and strategic objectives.

1.3.2. Role

It is acknowledged that for any of the primary functions of the Institution to deliver according to its Vision and Mission, the ICT function must deliver according to the key criteria of:

i. **Dependability**: The capacity to provide a service that is constant and seamless in its service to the stakeholders, and earns the confidence of the stakeholders.

ii. **Alignment**: The capacity to understand, appreciate and provide a service that addresses the needs of the stakeholders.

iii. **Innovation**: The capacity to integrate technology and processes creatively in new ways to deliver effective and efficient solutions.

iv. **Cost Effectiveness**: The capacity to source, describe and implement solutions that are appropriate to and sustainable within the budgetary constraints of the Institution.

The role that ICT has to play in achieving Government’s vision of institutions of pride and academic excellence that must be able to attract the best academics, cannot be underestimated. Without a quality ICT infrastructure, systems and services that can deliver in terms of the above criteria, the university will not be able to attract and retain academic staff, learners and other support staff of high quality.

1.4. ICT Governance

ICT governance is an integral part of corporate governance. Its significance is emphasized by the inclusion of ICT governance in a dedicated chapter within King III as well as the publication of the ISO/IEC 38500:2008 standard for the corporate governance of information technology. Both provide specific guidelines for putting the various governance mechanisms in place as well as guidelines for policies and procedures, roles and responsibilities and decision making mechanisms designed to ensure that investments in information technologies and services deliver measurable
value to the business. At the same time it tries to ensure that the risks attributable to the various dependencies on ICT are known and appropriately addressed within an enterprise risk management framework. COBIT provides the governance framework to give effect to and comply with the King III and ISO/IEC 38500 requirements.

1.4.1. ICT Committee
As part of the governance structure for ICT in the new institution an ICT Committee is proposed to perform the oversight and control functions required in terms of the proposed governance framework. A draft composition and terms of reference for such an ICT Committee is proposed in Annexure A to this document. This must be adapted to the specific representation needs and other requirements of the institution.

1.4.2. ICT Policy
A draft ICT policy is attached in Annexure B for adaption and approval by the institution as a starting point for an eventual comprehensive set of policies and procedures for ICT governance at the new institution.

1.5. Resourcing for ICT Operation and Support

1.5.1. Service Areas
Deciding on the structure and staffing levels in an ICT division (with a possible separate management information systems [MIS] division or section in the ICT division) in the new institution is dependent on the choices that must be made between internal and external provisioning of services. Examples of service areas where such choices must be made are:

i. Infrastructural installations (e.g. installation of network cabling);

ii. Operation, management and support of network infrastructure (e.g. switches, routers, firewalls, etc.);

iii. Operation, management and support of key academic ICT infrastructural systems (e.g. library systems, web-based teaching systems, computer laboratories, file and print servers);

iv. Purchase, maintenance and support of desktop and mobile systems;
v. Application and operating system support for desktop and mobile systems;

vi. Operation, management and support of major administrative systems and applications (file and print servers, application systems, backup and DRP, etc.);

vii. Operation, management and support of key communication components (e.g. telephone, messaging, calendar, internet);

viii. Helpdesk(s) and user support;

ix. Documentation and training;

x. Web development and support;

xi. Cloud based service provisioning to be considered in above areas (bandwidth dependent);

xii. Imaging (printing / copying) services and support.

1.5.2. Guidelines and Considerations

When considering internal versus external (outsourced) service provision there are many factors to be taken into account. Some that are going to be generally important are:

i. The availability, effectiveness and efficiency of credible external service provider(s) to meet the various service requirements;

ii. The comparative abilities of internal and external service providers to respond rapidly when required to do so;

iii. The Service Level Management quality and effectiveness;

iv. The requirement for knowledge of the higher education environment and/or the academic enterprise in order to ensure effective service delivery;

v. The ability of the institution to attract and retain staff of the required technical expertise at salaries they are prepared to pay;

vi. Cost effectiveness; some services could be outsourced more cost effectively and vice versa.

vii. Suitability – specific services due to their nature may be more suited to be provided internally depending on the business needs.

viii. The outsourcing of Staff resources requires careful management especially in terms of group dynamics, information confidentiality, and fairness of remuneration where a mix of internal and external resources at the same level is used.
An important consideration is to develop a clear strategy for the provisioning of ICT systems and services in the new institution. For example, it would be appropriate to have a strategy of standardising on a carefully selected subset of hardware, operating systems and application software in order to minimise the variety of technical skills required to a manageable number of areas, to enable more effective user training and support, and to reduce the cost of software licenses and maintenance.

Another strategic decision could be to select hardware and software for which support and skills are readily and competitively available in the market without the need for special skills development. An imaging (printing, copying) strategy for the desktop environment is also important to direct the use of individual desktop printers (cheaper hardware costs, but expensive to use) versus decentralized, but shared multi-functional printing devices (MFDs) that can copy, print and fax. High volume MFDs are more cost effective to operate.

1.5.3. Making the Choice

To obtain answers for the resourcing challenges it will be necessary to draw up a business case for each of the services and/or service areas under consideration and, depending on the business imperatives exposed in the business case analysis, make an informed and/or strategic decision on what option best serves the business requirements.

In the final analyses the objective should be to ensure that from a user perspective, the fact that a particular service is provided by an internal or external service provider should be irrelevant and essentially invisible to the user.

1.6. ICT Staff Resourcing

It is important to note that the more services that are outsourced, the greater the requirement for effective contract management and service level monitoring in respect of external service providers. The importance of ICT for the new universities implies that an ICT division with an appropriate management structure should be established.

1.6.1. ICT Line Management:

The following are considered minimum ICT management roles that must be performed:
i. ICT manager – to take strategic leadership for the establishment of the ICT services infrastructure and support services for the new institution;

ii. ICT infrastructure manager – to take responsibility for contract and service level management related to the hardware and software infrastructure provision and support;

iii. ICT User Support Manager – to take responsibility for the contract and service level management related to end user support services.

iv. Administrative support for the ICT management team.

Depending on the initial size of the new institution, it may be feasible to combine the roles of ICT infrastructure manager and ICT user support manager during the early stages.

It will be the responsibility of the above ICT management team to drive the RFI and RFP procurement processes and to strategise and build the business cases for the ICT resourcing options and be responsible for the implementation thereof.

1.6.2. Other ICT Functions and Roles:

Additional staff resources will be required for ICT functions and roles related to infrastructure and user support, the numbers of which will depend on the initial size of the institution and how it will grow in size and infrastructure over time.

The support functions can be divided into 3 main roles:

i. ICT help desk – to provide first line telephonic support to users, or in the event that problem cannot be telephonically resolved, to log the problem for technical support and keep track of the call until resolved and signed off. The number of help desk stations will depend on number of users in the institution.

ii. ICT support technician – to provide user support for hardware and software related problems that cannot be resolved at the helpdesk, and to do PC installations and repairs when required. A ratio to strive for is one technician per 150 workstation device, but will also depend on geographic distribution of the sites and density of devices per site.

iii. System Engineer – to take responsibility for the system administration and technical support of the server and network infrastructure of the institution. These roles require specialist knowledge for each of the various servers and services required for the full spectrum of needs of a university. The role of data base administrator (DBA) is also considered a system
engineer role. Because of the variety of specialist skills required in this area, outsourcing may be a feasible option for consideration.

Even if extensive use is made of outsourced resources for the support functions and roles referred to above, it is considered good practice to have at least one permanent ICT technical support person for initial problem assessment and liaison with external support resources.

2. GUIDELINES AND REQUIREMENT SPECIFICATION FOR AN INTEGRATED SYSTEM BASED ON A SERVICE ORIENTATED ICT ARCHITECTURE

2.1. Purpose of this Section

The purpose of this section is to define the Enterprise Architecture of an Information Technology System for an Institution of Higher Learning. It is fact that a single vendor cannot provide all the solutions for the range of information technology needs for an institution and hence the need for an Enterprise Architecture that gives a high level view of where all the various products slot into this architecture. This section will define the IT infrastructure including applications and the technology to run these applications and why service oriented solutions are desirable.

2.2. Requirement Specifications

An Enterprise Architecture model must encompass the following aspects of the business:
Although the primary business of an Institution of higher learning is education, training and research, there are other administrative and supporting business processes and services such as acquisition of goods and services, human resource and library management, etc. for which the above view applies. These business functions use and operate on data of the institution for which appropriate applications are required. These applications need technology that enable the application to deliver the functionality required for the business.

Then there is also the need for institutional intelligence which needs to be extracted, evaluated and reviewed by management at all levels to make informed business decisions for the institution.

An enterprise architecture model should include all of these components and ensure that they integrate to support the business needs of the Institution. The following graphic gives a broad based view of an enterprise architecture model for the applications required for an institution of higher learning.
When implementing self-help applications for staff and learners, the delivery mechanism should lean heavily on mobile delivery.

The application systems should all be interfaced to present a single integrated view of all services and functions available in the enterprise architecture. The least complex to achieve this objective is to acquire as many of these applications, functions and services as a fully integrated suite of systems and solutions.

From the perspective of the users of these systems, the following needs to be in place:

i. A workstation with Operating System and Office Automation tools including an internet browser
ii. Email, calendaring and collaboration tools
iii. Managed Internet Access

The technology stack for running these applications should contain the following:
2.3. Service Orientated ICT Architecture

While the above enterprise architectural model describes the high level architectural design for the overall system requirements for an institution of higher learning, the challenge lies in the integration of these systems and their related functionalities. It is good practice to buy as much as possible of the application needs as a single integrated package. This eliminates the need to duplicate objects in different systems. An object occurs as a single instance in the integrated system where all the other systems can access it which ensures better consistency when the data object has to be presented in different applications. The challenge is however that there is just not a single integrated system solution that provides for all the business functional requirements of an institution of higher learning. An examples is the Library Information System (LIS) which is normally not part of an ERP system but needs to integrate with the learner registration system of the ERP solution so that a learner can become automatically and seamlessly, and as close to real time as is reasonably possible, an authorised LIS user after successful registration as a learner. The same automated integration is required for an access control system where access control is allocated (to lab facilities) depending on the academic program that have been registered for. More often than not it will require the development of customized interfaces to satisfy these integration requirements. Applications that conform to and satisfy a service orientated architecture design philosophy lend themselves to easier integrations. According to the definition in Wikipedia, a service-oriented architecture (SOA) is a set of principles and methodologies used in software engineering for
designing and developing software in the form of interoperable services. These services are well-defined business functionalities (services) that are built as software components (discrete pieces of code and/or data structures) with well-defined interfaces in terms of protocols, formats and functionality that can be reused. SOA allows the integration of widely disparate applications for a Web-based environment and the use of multiple implementation platforms. This is why it is important that when web based systems and solutions are considered for selection and implementation, due consideration be given to whether it conforms to the service orientated architecture design principles for ease of integration.

2.4. Guidelines and Considerations

i. Filling the building blocks for the high level integrated ICT architectural design described above will depend on the RFI, RFP and/or RFQ processes for the provision of the ERP, other applications, systems and hardware solutions as described in the relevant sections of this document. When dealing with those sections, the integration requirements and the desirability for selecting solutions that lend it to and support service orientated integration should be duly taken into account.

ii. An important issue that needs to be considered in any Enterprise Architecture is the people, processes and tools required to do their work. Furthermore good IT governance as per KING III section 5 needs to be set in place. ITIL/CoBit provides best practice guidelines for support and related service management and ICT governance.
3. GUIDELINES AND REQUIREMENT SPECIFICATION FOR AN ENTERPRISE RESOURCE PLANNING (ERP) SYSTEM.

3.1. Introduction

To fulfill Government’s vision that the planned new universities must function efficiently and effectively, sound administrative and information systems are required to support the business processes of the two institutions. The academic excellence hallmark of these new universities must be fully supported by an integrated ERP solution that acknowledges the specific requirements of a modern-day university.

Without good administrative support and infrastructure the vision of Government for these universities will not be achieved. A fully integrated ERP system can play a major role towards the effectiveness and efficiencies of the administrative and other business processes within the new universities, and in this way contribute towards the quality and excellence envisaged for the institutions.

3.2. Purpose and scope of Section

The purpose of this section is to describe the business requirements for an integrated ERP solution. Also to provide draft RFI and RFP templates that can be used to initiate the procurement process for an ERP system for the new university.

Once the new institution has decided on the minimum requirements that it intends to implement, a RFI and RFP procurement process should follow. The RFP process, where the requirement specification is based on business process and user functional needs rather than a technical specification for a known solution, will specifically allow for suppliers to be innovative in their proposed solution. This should provide the institution with a variety of options from which to select a solution that best fits the business needs and processes.

Draft RFI and RFP documents are attached in Annexure C and Annexure D respectively and will need customisation to satisfy the procurement policy requirements of the new institution.
3.3. RFI and RFP for an ERP system

A Request for Information (RFI) is a method of soliciting information from different suppliers prior to formally sourcing products or services. It is normally used where there are many potential suppliers, but not enough information is known about them. This process is also used where a possible long list of potential suppliers can be reduced to a short list of those suppliers that are willing and capable of fulfilling the project requirements.

The purpose of the RFI is thus:

i. To collect and compile detail about potential suppliers and their capabilities.
ii. To advise potential suppliers that the university intends to source a solution product or service competitively.
iii. To show that the institution is acting fairly and is including all interested parties.
iv. To gather information in a way that decides the next step.
v. To reduce the workload of the institution in the subsequent evaluation of tender or RFP proposals from possible suppliers.

Business is normally not awarded on the RFI phase and is usually followed by a tender or RFP process.

A Request for Proposal (RFP) is a formal method of inviting detailed and comparable proposals from different suppliers for a defined product or service. It is a comprehensive document that should provide all the required information needed to make an informed purchasing decision. A RFI may be used prior to an RFP if needed. Care should be taken not to duplicate the information gathered during the RFI phase, but to rather build on the information already provided during the RFI phase.

The purpose of the RFP is:

i. To notify suppliers of the intention to buy certain products or services.
ii. To invite suppliers to submit formal proposals for a solution based on the specifications contained in the RFP.
iii. To enable the comparison of the proposals received on an equal basis.
iv. To show that a formal, transparent and fair process is followed without favouring a specific supplier or product.

Business is normally awarded based on the RFP process. It is proposed that in selecting an ERP solution for the new university a process be followed that allows many suppliers to participate in an initial RFI phase, but only a selected few be included in the final and more comprehensive RFP phase after the initial RFI screening. This should ensure transparency of the process, but also limit the amount of work in evaluating detailed proposals from too large a number of possible suppliers.

### 3.4. Requirement Specifications

The ERP solution should ideally consist of a set of fully integrated functionalities covering the following business areas and services:

i. Qualifications and Curriculum Management.
   - Qualifications offered by the institution
   - Subjects taught at the institution
   - Curriculum structuring
   - Online prospectus

ii. Student Administration and Enrolment Management.

The full student life cycle should be supported, including the following business processes:
   - Enquiries from prospective students
   - Applications and admissions
   - Enrolment
   - Performance management (continuous assessment and examinations)
   - Graduation
   - Alumni
   - Student fees
   - Financial Aid including Scholarships, Grants, Bursaries and all processes in support of the National Student Financial Aid Scheme (NSFAS)
iii. Financial Management, including
• Procurement Management
• Accounts Receivable
• Student Debtors (different to standard Accounts Receivable)
• Accounts Payable
• General Ledger
• Budgeting
• Cashier System
• Cashbook
• Asset Management

iv. Human Resource Management, including:
• Recruitment
• Establishment (Post structure hierarchy)
• Leave Management
• Skills Development
• Health and Safety Management
• Staff Performance Management
• Personnel self-service
• Disability Management

v. Payroll Management including
• Pay-Scales and Cost-to-Company Remuneration
• Payroll Calculation
• Electronic Pay Slips
• Tax Table Management

vi. Physical Resource Management
• Residence Management, including placement and fees management
• Timetabling – class and examination timetable generation and optimization
• Building and space management
vii. Statutory reporting requirements for the HE sector, including
   • All HEMIS aspects
   • NSFAS
   • Skills reporting
   • Equity reporting

The above business areas should further be supported by:

viii. Customer Relations Management System (CRM)
   • Marketing / Recruitment
   • Campaign Management
   • Customer Service and Support
   • Appointment Management
   • Analytics and trends

ix. Library Information Services (LIS) Management
   • Acquisitions
   • Authority Control
   • Cataloguing
   • Circulation
   • Inter-Library Lending
   • Inventory
   • Interfacing with materials supply vendors
   • Interfacing with other Library systems
   • Online Public Access Catalogue (OPAC)

Note: LIS requirements are defined as a separate function to the ICT function in the new universities project are being dealt with as a separate assignment, and are not included in RFI and RFP templates for an ERP system.

x. Business Intelligence (BI) and Management Information (MI) functionality
Note: Guidelines and specifications for BI and MIS are dealt with in section 9 of this document and are not included in the RFP template for an ERP system.

RFI and RFP templates for the above business areas (excluding BI, MI and LIS) are provided and are attached as Annexure C and Annexure D respectively. Detail functional specifications are described in the RFP template attached in Annexure D which will serve as criteria when evaluating and selecting a suitable ERP solution for the institution.

3.5. Guidelines and considerations

i. While not part of a traditional ERP solution, the Library is very much part of the resources of a university that integrates with the rest of the enterprise resources and is for that reason included as part of the high level requirement specification for a university ERP solution. It is not anticipated that it can be provided as part of a single integrated ERP solution and will probably have to be a separate specialist solution. LIS requirements are being dealt with as a separate function to the ICT function in the new universities project and the guidelines and specifications are being dealt with as a separate assignment in the project and are thus not included in the RFP specifications for an ERP system. But for information on potential supply options for a LIS a high level functional specification is included in the RFI template for an ERP system.

ii. There is a separate section in this ICT guidelines document dealing with MI, BI and DSS. It is foreseen that BI will not be an immediate need of the new institution, but MIS functionality will be important from the start.

iii. It is not considered wise to select an ERP solution that does not have an established footprint in South Africa. This is to ensure that the support of the product is not at risk and is in fact sustainable.

dii. In the event that the above is acknowledged, consideration must be given whether it justifies the effort of launching a RFI process since the potential suppliers in South Africa are restricted to a limited few which are easy identifiable. The elimination of the RFI process can save time and effort and the procurement process can proceed immediately after the RFP process.
v. Not all of the detailed requirements specified in the RFP may be required by the new university. The RFP will thus need adaption to those requirements and services deemed necessary by the new institution and filter out those aspects of the RFP service specifications not required by the institution e.g. the CRM requirements in the initial stages of the university’s existence.

vi. Serious consideration should be given to share in the knowledge and experiences of the universities using the ERP solutions already in operation in South Africa. This could be valuable for the university in making a more informed choice.

vii. Input should also be obtained from other universities in the design of the various code structures to be used in any ERP system. In this regard lessons learnt at other institutions and pitfalls to be avoided can be of great value to the new institution.

viii. As the new universities will start their operations with limited administrative and support staff resources, a balance must be reached between the implementation of all the ERP components listed in this document versus only those core components that will serve the initial business needs of the universities. In this regard the following suggestions and options are proposed:

- As an alternative to the initial implementation of certain ERP system components consideration should be given to replacing them by outsourced services offered by suppliers. Examples of such components include: timetabling, payroll, providing month-end and year-end financial services, etc. These services can be taken over by the institution once it has been adequately resourced to do so.

- Consideration should be given to the outsourcing of certain implementation functions so as not to delay the commissioning of the ERP system for the first enrolment of students. Examples of such implementation functions are the set up and population of the system code structures.

- The implementation of certain ERP system components should be put on hold until they are actually required for business purposes, e.g. Customer Relations Management (CRM), Alumni, etc., as these components may not be required in the first few years of operations. The added benefit by delaying them is potential saving on license fees.
i. The early implementation of Student and Staff self-service functionality should be given high priority as this will relieve the work load of administrative staff while improving service delivery to staff and learners.

ii. The technical support of the ERP platform should be outsourced to limit the number of highly skilled technical support staff (e.g. UNIX system engineer, DBA function) required for managing and supporting the ERP infrastructure. Cloud computing or system hosting could be options for consideration.

iii. The use of different vendors for the some ERP requirements should also be considered, e.g., Library, CRM and Virtual Learning as these functionalities are normally not part of a standard ERP solution and may require different skills and expertise for implementation than those normally associated with ERP systems.

4. GUIDELINES AND REQUIREMENT SPECIFICATION FOR ADMINISTRATIVE SUPPORT SYSTEMS

4.1. Introduction

It is Government’s vision that the planned universities must become institutions of pride, both nationally and provincially and must be able to attract the best academics in South Africa, the continent and the world. The hallmark of these new universities must be academic excellence underpinned by quality leadership.

It can be confidently stated that without good administrative support and a good administrative support infrastructure the vision of Government will not be realised. Information and communication technology (ICT) tools can play a major role towards the effectiveness and efficiencies of administrative and other business processes within the new institutions, and in this way contribute towards the quality and excellence envisaged for the institutions.

4.2. Purpose and scope of Section

The purpose of this section is to describe the administrative support ICT requirements from a functional perspective and not a product or solution specific perspective. While some of the
requirements are based on the known capabilities of some products and tools, the intent is not to promote any product. Where reference is made to specific products, it is purely for illustrative purposes and not an implied recommendation of the product. Once the new institution has decided on the functions that it wants to implement, a RFI and RFP procurement process should be followed. The RFP process, where the requirement specification is based on the universities functional needs rather than a technical specification for a specific product, will specifically allow for suppliers to be innovative in their proposals which should allow the institution with a variety of options to select a solution that best fits its business needs and requirements.

4.3. Requirement Specifications

4.3.1. Office Administration.
Office administration refers to the day to day activities of communicating between people, internal and external, the creation of documents or other text related material required for and by business processes, and the delivery of services to the various stakeholders of the institution. It includes the academic staff complement in so far as it relates to the above activities. The minimum functional requirements for office administration broadly as follows:

i. Word processing tools for the creation and editing of documents.
ii. A spreadsheet tool for preparing budget and other financial models.
iii. Desktop Printing Management System (PMS). The cost of printing and the impact of printing on the carbon footprint of an institution cannot be ignored and requires management. Hence the need for a PMS facility that will:

- Track and record stats on printing volumes per individual user.
- Be able to assign cost per page per printer or similar device.
- Produce reports on aggregate printing volumes per user per organizational unit that can be used for cost allocation (and cost recovery) purposes.
- Be able to allow printing on a prepaid credit basis and provide for an automated interface for integration with the receipting function of the financial ERP system.
iv. Electronic diary to facilitate electronic appointment and meeting scheduling.

v. Presentation tool for the preparation of electronic presentations.

### 4.3.2. Content Management.

i. Central electronic file storage services. For security and DRP requirements it is mandatory that official electronic documents and files are not stored on desktop devices, but on central file storage facilities where it can be included in central backup and retrieve services.

ii. Electronic document repositories for official documents with search and retrieve capabilities. The following features are required:

   - Unrestricted read only access, typically Institutional Regulatory Code (IRC) repository where all policies are stored and must be accessible for all staff and learners.
   - Restricted access for those users only registered for a particular document repository. Example will be repository for Council resolutions which will be restricted to those with justified access needs.
   - Adding and/or removing rights of documents assigned to specific users according to the responsibilities delegated to them.

iii. Document image management. Universities still receive large volumes of documents in hard copy format which must become part of the official record keeping of the university. Doing the business process analysis and solution design for document imaging processing and routing at this scale is a huge project in its own right and is considered beyond the scope for now. It is only mentioned as a requirement at this stage for the sake of making the content management requirement section as complete as possible.

iv. It may however be feasible to introduce a limited document imaging facility to support the administrative processes for students that have to submit specific documents during the admission and registration processes. Having online images of these documents for control and multiple access purposes can be a huge business enables for improved service delivery.
4.3.3. Collaboration.

i. Joint Document Development.

A document is often created and/or reviewed by more than one person. There is a need for:

- Controlling concurrent use of the document (booking out and in to a shared storage location?).
- Ability to synchronise changes made by multiple users working on the same document.
- Apply versioning control as document is evolving.

ii. Inter-office video conferencing and messaging.

- Desktop to desktop facility

iii. Managed Internet access.

Bandwidth for internet is still a relatively expensive commodity in South Africa. While the educational value of the recreational use of the internet by learners is acknowledged, it cannot be at the expense of wasting a scarce resource which is primarily provided for business purposes (teaching which requires access to the internet as part of the teaching activity of a learner is considered a business purpose). Hence a facility is required that can provide for the following:

- Shaping of traffic according to institution’s needs (allow, disallow certain types of traffic)
- Quality of Service (QoS) to prioritise certain types of traffic.
- Quota management system with quota settings per individual.

4.3.4. Communication and Information Dissemination.

i. Email service for internal communication and communication to external parties. It must be able to support

- Direct integration with the registered users (directory service or single sign-on user administration tool) of the institutional ICT facilities. Whenever a new staff member or new
learner becomes a registered user the mailbox must be automatically created in real time or via a batch mode interface.

- Creation and maintenance of a contacts database.
- Allow the creation of predefined general mailing lists for operational purposes in batch mode. For example to create mail lists for “All Staff”, “All Academic Staff”, “All Administrative Staff” extracted from the HR system.
- The routing of email, which at the discretion of the user is considered an official document, to the content management repository for official record keeping. (Not all email can be considered official, and hence the dependency on user discretion)

ii. Institutional website environment that provides for:

- A design that splits presentation and content
- Easy decentralized content creation and maintenance, but with predefined format and styles to retain same look and feel throughout the different web pages so that departments can create and maintain the content of their own websites.
- Must allow some flexibility for departmental branding.
- Must prevent navigation into dead ends.
- Be able to recognize from which type of device (PC or mobile handheld device) the request is received and adjust presentation of content accordingly.
- An interface to the ERP system for obtaining content from the enterprise database.

iii. Staff and Student Portal.

A portal is a gateway that unifies access to all enterprise information and applications into a single view for a user and also provides access to information that is specific to that user.

- Internal website (Intranet) with basically same characteristics of institutional website.
- Interfaces to ERP and other systems that contain information of the specific user.

iv. Fax services that cater for:
Desktop to fax – outgoing faxes.
Fax to email – incoming faxes.

v. Voice telecommunication services and voice-mail boxes. Is listed for completeness sake, but was put on hold by the new universities task team and will be dealt with at a later stage or by the DHET (refer very last paragraph under 2.3 of workshop document of 17 July 2012).

4.3.5. Business Process Automation.
i. Tool for designing electronic forms. The objective is to reduce paper consumption, eliminate slower manual processes and bottle necks, improve form availability and improve data integrity on the form. Form design tool must be able to:

- Create intelligent form – depending on the selection of certain options, generate appropriate fields and/or sections on the form (customised form on demand).
- Provide for predefined data options (drop down lists) for improved data integrity.
- Perform validity checks on certain fields e.g. forms that require mandatory fields.
- Interface with the ERP system for populating some data fields automatically on the form when appropriate.

ii. Workflow and routing capability is required for:

- The routing and monitoring of the electronic form through the various nodes of the associated business process.
- Raising an alert when a form is delayed at a specific node in the business process for longer than a predetermined time.
- Keep record of the form (in a repository) and the outcomes after completion of the business process.

iii. Interactive Voice Response (IVR) facility. For improved service delivery to the learner client base, a high importance is placed on self-help facilities. The use of IVR is envisaged to be used for making examination results, account balances, etc. available to learners by means of
direct interaction with the IVR system via telephone when access via the web is not possible or available. The IVR must provide for:

- Authentication of an individual.
- Interfacing with the ERP system to obtain the requested information.
- Allow information to be loaded in batch mode for offline (from the ERP system) use when appropriate.

iv. Business process automation also through self-service capabilities of the ERP system using the web and mobile devices.

### 4.4. Guidelines and Considerations

The guidelines and considerations for many of the user requirements mentioned above may overlap and/or duplicate those of the System Infrastructure Specification section later in the document, but they are also mentioned here for the sake of completeness of this section.

i. A fundamental decision that the institutions needs to be make is whether it will adopt a strategy of:

- Using off-the-shelf solutions that are hosted outside the institution which normally can be obtained at a cost and with appropriate service level agreements for technical support; or
- Using off-the-shelf solutions that are hosted inside the institution in which case implementation and technical support becomes an issue to be addressed. Will it be done on an insourced or outsourced basis? or
- Using open source software. While technical support for off-the-shelf products are readily available at a price, technical support for open source solutions may not be that readily available and may leave the institution with little option but to recruit and train their own staff for technical support.

ii. Some institutions are quite successful with a mixed strategy of the above options by for example using externally provided ‘cloud’ email services (e.g. Google mail or Microsoft’s
Live@EDU) while the file and print services are hosted and supported internally. It may be
twise to investigate the experiences at some of these HE institutions to assist in making an
informed decision about which strategy to adopt.

iii. What must be remembered at all times is that technology by itself is not the solution.
Technology is only the tool to facilitate or enable the solution, and the sustainable use of it
depends on the reliable operation of the technology platform on which it operates, or, in the
event of a failure, how soon it can be restored to its operational status. Having appropriate
technical support in place is a prime consideration to mitigate the business risks related to
technology failure.

iv. The user is often the first to become aware or be affected by a technical problem. This
requires an effective process for the reporting, tracking and solving of problems.
Consideration should be given to the establishment of a call desk facility within the ICT
Section to perform these business functions. The ITIL framework provides best practice
guidelines for the establishment and operation of such a service. Outsourcing such a service
should also be investigated.

v. An important factor to take into account when considering external hosting of services is the
cost for the bandwidth required to provide acceptable and affordable response times. While
bandwidth costs in South Africa is on a decline, it is still relatively expensive and may add
considerably to the on-going cost of ownership of the application or solution. The reliability
of bandwidth in some areas in South Africa is also a factor that needs to be taken into account.

vi. It is also important to analyse the costs of the different licensing models for a particular
product or suite of products that may apply. For example in the Microsoft Office suite of
products there are the Office 365 licensing option for using this product on the internet, or the
campus license agreement which offer very competitive pricing for HE institutions or buying
a fixed number of licenses and manage concurrent use by means of license management. It is
advisable to consult and liaise with the relevant providers about their licensing options and
related costs.

vii. It is always advisable to buy as many of the solutions and services as a single integrated suite
of products which will generally ensure easier interoperability and sharing of content. A good
example of this is the Microsoft Office suite of products that integrates well with the
Microsoft SharePoint environment (for document repositories with search and retrieve
facilities) and the Microsoft InfoPath tools (create electronic forms) and the Microsoft routing engine (for business process automation).

viii. The Institutional website is the face of the Institution to the outside world. Prospective learners, parents and other interested parties will access this website to get to know the Institution. The important aspect about an institutional web site is that it must be relevant and remain so over time. To remain relevant it must be seen by the public to be a “live” website reflecting up to date information. This requires maintaining the content of the website on a sustainable basis. Every department normally wants a presence on the website. To maintain such a variety of content is an enormous task and should not to be underestimated. Hence a decentralised approach to content management is suggested where departments have to manage their own web site. Because of the large number of role players involved, the requirement specification call for a design and capability that cater for decentralised maintenance of content so that departments can become responsible for the creation and maintenance of their own content, but within a well-designed structure (templates and style sheets) so that for corporate branding purposes, the look and feel remains consistent throughout the different web pages and navigation does not lead to possible dead ends which could be frustrating for users of the web site. There is some good experience in this regard at some universities from which valuable input and guidance can be obtained in the design and content management of an institutional website.

4.5. Recommendation

There is a lot of knowledge and experience regarding the above choices and considerations in the HE sector in South Africa. Many of them will be prepared to share those experiences with the new institutions. Tried and tested solutions resulting from many years of experience will be invaluable in creating the new universities as institutions of quality and excellence. It is thus advisable that consulting visits are made to a selected few of these older institutions where the service options under consideration are implemented and used so that informed choices can be made by the new institution when the various options are considered.

RFI and RFP specifications were not required for this specific section. Many of the requirements specified in this section will be or should be addressed in the options exercised in the section for infrastructure and software. For those user requirements not covered by the infrastructure and
software section, it is advisable that a RFI / RFP processes only be launched once clarity has been obtained on the options referred to in the guidelines above.
5. GUIDELINES AND REQUIREMENT SPECIFICATION FOR A LEARNING MANAGEMENT SYSTEM (LMS)

5.1. Introduction

It is envisaged by Government that the main campus seat of each university will be based on a contact mode of learning. However, given the potential of evolving communication technology, they also envisaged that future expansion could be through combinations of contact, open and distance learning. This vision requires the establishment of a Virtual Learning Environment (VLE), also referred to as a Learning Management System (LMS) in educational institutions. This is an education and learning environment based on the Web that models conventional real-world education and learning by integrating a set of equivalent virtual concepts for classrooms, classes, homework, tests and the like. A VLE or LMS is the basic component of contemporary distance learning, but can also be integrated with the physical contact learning environment which is then referred to as Blended Learning or Mixed Mode Learning. LMS is the preferred term that will be used in this document.

5.2. Scope

The focus of this section of the document is to describe the functional requirements for a LMS that will deliver on the vision of Government for the new universities which is to use technology based teaching and learning for possible expanding into distance learning. The specifications for connectivity and other institutional infrastructure required for the establishment and implementation of a LMS is beyond the scope of this section of the document.

5.3. Purpose and Role of LMS

The main purpose and functional roles of a LMS platform is to provide for and facilitate the following high level learning and learning management activities:
i. Learning resources content management – creation, storage, access to and use of learning resources.

ii. Curriculum mapping and planning – lesson planning, assessment and personalisation of the learning experience.

iii. Learner engagement and administration – managed access to learner information and resources and tracking of progress and achievement.

iv. Communication and collaboration - emails, notices, online chat, wikis, blogs and social media.

A LMS platform is a reliable, safe and secure environment for online access from anywhere by its registered user base and must accommodate a continuously evolving change of functionality to meet the needs of the online learner. It is normally not designed for a specific course or subject, but is capable of supporting multiple courses over the full range of the academic program, giving a consistent interface to the user.

5.4. Functional Requirement Specifications

A LMS is not expected to be a single product but rather a framework of interoperable systems or tools, even from different suppliers, that integrates seamlessly to deliver a learner centric learning experience via a cohesive user interface with a single entry point. The specific functionality associated with any implementation of a LMS will vary depending upon the needs of the users and available resources to operate and maintain the LMS functionality on a sustainable basis.

Annexure E defines a comprehensive detailed set of LMS functional requirements for a typical distance education entity. While these may be over ambitious for what is envisaged for the new universities, it certainly gives a good indication of what the typical needs are and what it entails to create, operate and use an e-Learning platform.

5.5. Guidelines and Considerations

It is assumed that the new university will over the medium term want to introduce e-Learning activities as part of a mixed mode or blended learning strategy. In this regard the detailed
requirements specifications can serve as a benchmark for selecting a subset of the requirements that will describe the LMS needs of the new university.

The following are some guidelines and considerations to be taken into account when planning to introduce e-Learning at the new university:

i. Guard against introducing e-Learning too early for the new institution.

- E-Learning is not about putting lecture notes online where learners can access them or learners submitting assignments online for teachers. As can be seen from the requirement specifications, e-Learning is about an environment that facilitates the development of structured e-Learning resources, the controlled use and monitoring of e-Learning activities, various collaboration and interaction activities between learner and teacher and/or learner and learner.
- Creating suitable e-Learning resources requires competencies and capabilities that are different from those for preparing traditional teaching material used in a contact situation. It requires specialist training, guidance and assistance for academic staff until they are sufficiently equipped, skilled and competent in the use and operation of the LMS platform. So without the appropriate competent staff resources to launch, drive and support e-Learning initiatives, it will be at risk of failure.

ii. It is not advisable to embark on e-Learning activities during the early stages of the new university and before:

- An e-Learning strategy is in place which should address the role of e-Learning at the institution over time (whether a blended learning strategy will eventually develop into full blown distance e-Learning facility for some academic programmes as envisaged by Government?).
- In the event that e-Learning becomes a strategic objective for the institution, to ensure that the e-Learning support function is adequately resourced to deliver on this strategy.
- A Policy to regulate e-Learning and related activities is approved.
- Consult with other institution to learn from them about best practices for the approach to e-Learning.
iii. Infrastructure considerations.

- As mentioned before, a LMS for e-Learning is not necessarily a single product, but rather a framework of interoperable systems and tools, even from different suppliers, that combine and integrates to form the platform to service the LMS needs. It is thus possible that some of the infrastructure and solutions selected for administrative support such email and other collaboration tools can also be used for LMS purposes. So it will be wise to delay any LMS initiatives until such time when the ICT infrastructure for the new institution are in place and bedded down.

- It is almost inevitable that there will be LMS needs (such as assessment tools) for which LMS specific tools may be required. Some of the options that will have to be considered are whether to purchase off-the-shelf solutions or to use free open source systems (FOSS). There are a number of institutions who are using FOSS tools successfully and it is advisable to consult with several of them before a final selection is made.

- An important consideration when selecting a LMS is the technical support required for the system and how it will be provided (availability and by whom). Support for off-the-shelf products is normally available at a price depending on the service level requirements while support for a FOSS solution may not be readily available and may have to be provided by the institution itself. The resource and training cost, and the retention of the trained resource, needs to be factored in when the business case for the selection and choice of a LMS tool is analysed.

- High availability, reliability and integrity of the LMS platform are prerequisites for creating and maintaining a high level of confidence in the system. When learners become dependent on these technologies for self-paced on-line learning, the facility must be available on an almost 24 x 7 basis which underlines the need for quality hardware and software infrastructure with good technical support.

iv. E-Learning entails a cultural change from traditional contact teaching and will require careful planning and the application of good change management practices to achieve the new state.
• Contact teaching normally happens according to scheduled set times. Electronic interaction between teacher and learners in a self-paced e-learning environment can happen asynchronously on a 24 x 7 basis and learners will have an expectation of getting a response from the teacher within a reasonable time. This will require a different discipline from teaching staff to timeously respond to learners and may threaten existing comfort zones. The e-Learning policy will have to define service levels to be maintained by academic staff that are realistically achievable and sustainable.

• While it is accepted that most academic staff are well equipped to use computers and office tools (email, word processing, presentation slides, etc.), the skills and competencies required for developing proper and good e-Learning material and becoming familiar with using the LMS platform, will require considerable training to become fully competent in this regard. This will have to be factored into the change management programme.

• The readiness of all learners to adapt to the use of a LMS platform is also a factor that needs to be considered. While it is fact that most learners are familiar with mobile cellular devices and hence interaction with text messages it is quite possible that the odd learner is still totally naïve when it comes to the use of electronic communication devices and equipment and will require some basic bridging computer literacy training to equip them to use the LMS platform. It is important that the use of the technology must not be an obstacle for the online learning process of the learner.

• A good approach could be to identify a selected few academic members to prototype and champion the introduction of e-Learning practices into the institution before it is used on a larger scale.
6. GUIDELINES AND REQUIREMENT SPECIFICATION FOR BUSINESS INTELLIGENCE AND DECISION SUPPORT SYSTEMS.

6.1. Introduction

Although the new university will start small with limited number of learners, over time it will grow and produce and store large amounts of data and information in its ERP and other information systems. Imbedded in these data and information sources, if ordered, consolidated and analysed, is valuable knowledge and intelligence that can be unlocked, given appropriate tools, which can help develop new opportunities and strategies for the institution to provide a competitive market advantage and long-term stability.

To extract this kind of business intelligence (BI) requires appropriate BI and data warehousing tools with decision support capabilities. The goal of modern BI deployments is to support better business decision-making and is often referred to as decision support system (DSS).

6.2. Purpose of this Section

The purpose of this section is to:

i. Create a broad understanding for business intelligence (BI) and data warehousing concepts, and the context in which it has been used this section and how it relates to a management information system (MIS).

ii. Define the high level functional requirements for a BI system (which include data warehousing)

iii. Provide guidelines and considerations to be taken into account when planning to implement a BI or DSS solution.
6.3. Understanding BI, Data Warehouse and MIS

Over time organizations collect and store large quantities of data and information in their corporate ERP system and other peripheral operational databases and information systems. **Business intelligence** is the ability for an organization to collect, maintain and organise knowledge derived from these often diverse and disparate sets of information sources. BI uses technologies, processes, and applications to analyse mostly internal structured data and business processes. BI technologies provide historical, current and predictive views of business operations. Common functions of business intelligence technologies are reporting, online analytical processing, analytics, data mining, process mining, complex event processing, business performance management, benchmarking, text mining, predictive analytics and prescriptive analytics to provide knowledge and information in support of decision making at the senior leadership management levels.

BI requires the processing, analysing and organising of very large quantities of data and information. The operational databases which are normally designed for the storing of transaction driven business events are not very effective for the very huge analytical data processing requirements associated with BI. Effective BI processing requires an information repository with data storage structures that are more suitable for BI processing purposes.

A **data warehouse** is a database that can be effectively used for data analysis and reporting for BI purposes. It is a central repository of data which is created by integrating data from multiple disparate sources. Data warehouses store current as well as historical data and are commonly used for creating trending reports such as annual and quarterly comparisons for use by senior management to assist in decision making.

**Management Information System (MIS)** is also about collecting and organising information into reports for use by managers (at all levels).

What is the difference between a MIS and BI system? In a very simplistic manner, a MIS provides information about the operational performance of an organization, often routinely in nature (e.g. periodic budget reports, enrolment stats, etc.) to a manager. A BI system or DSS is about special or specialised reports that may only be generated once and often the kind of report to generate is not known until a requirement for information surfaces. A BI system is an information system that employs BI tools (reporting, data mining and knowledge management) to produce and deliver information to assist senior management with (strategic) decision making.
Another way of expressing the difference between DSS and MIS:

i. MIS focuses on information about operational efficiency (help "do things right")
ii. DSS focuses on information for making effective decisions (help "do the right thing")

It is true that a BI system can fulfill the requirements of a MIS, but not necessarily vice versa.

6.4. Assumption

It is assumed that the senior management of the institution understands the importance of a decision support system utilizing BI and/or MIS to enable them to better manage their institution. Although there is no pre-defined set of metrics to use for this, some standard MIS measurements needs to be put in place which may then grow over time.

6.5. Requirement Specifications

The following are broad functional requirement specifications for a BI system from a usage perspective and not a technical or product specific perspective. It is based on the assumption that there is a need for data to be sourced from multiple disparate information sources and not from a single integrated data information source. Hence the requirement for a BI and decision support solution built on data warehouse technology.

i. A data warehouse solution which provides for the following:

   - Different architectures for storing the different types of data in the data warehouse or data marts.
   - Different tools and applications for the variety of users and levels of database knowledge.

ii. Information sources of which the ERP or business administration system (transaction processing system) will be the main source of information, but supplemented from systems such as a library information system and other peripheral systems. Without proper, good, clean and quality data, or too little data, a BI implementation is of no value since it will deliver inaccurate or invalid BI.
iii. An ETL (Extract, Transform and Load) capability for the need to populate the data warehouse from disparate sources of information. It is briefly described as follows:

- **Extract**: The first part of an ETL process involves extracting the data from the source systems.
- **Transform**: This stage of an ETL process applies to a series of rules or functions to be applied to the extracted data from the source to convert the data ready for loading into the data warehouse.
- **Load**: This stage of an ETL process loads the transformed data into the data warehouse.

Since data warehouses are typically assembled from a variety of data sources with different formats and purposes, the ETL is a key process to bring all the data together in a standard, homogeneous environment on the data warehouse.

iv. An analytical capability that normally contains or provides for the following:

- **Measurement** – program that creates a hierarchy of performance metrics and benchmarking that informs senior management about progress towards business goals (business process management).
- **Analytics** – program that builds quantitative processes for an Institution to arrive at optimal decisions and to perform business knowledge discovery. Frequently involves: data mining, process mining, statistical analysis, predictive analytics, predictive modelling for consideration by senior management.
- **Enterprise reporting** – program that builds a framework for strategic reporting to serve the strategic management of an Institution, not operational (MIS) reporting. Frequently involves data visualization and an executive information system.
- **Collaboration platform** – program that gets different systems to work together through data sharing and electronic data interchange.
- **Knowledge management** – program to make the institution knowledge driven through strategies and practices to identify, create, represent, distribute, and enable the adoption of insights and experiences of people which are true business knowledge.
v. Must have user friendly interfaces that allow for direct end-user access to the data warehouse information sources by people with minimal database expertise.

6.6. Implementing a BI Solution

When implementing a BI solution, it is important to involve the business owners, management, technical and project teams to effectively build a solution that will bring value to the organization as a whole. In order to accomplish this, the following basic steps should be utilized:

**Initiation:** This is the project initiation step. It will normally involve identifying the project background and requirements at a high level. The deliverable for this step will be a Statement of Work (SOW). The high-level requirements are gathered from the RFP and subsequent question and answer sessions.

**Definition:** This is the project definition step where the project is defined in detail and is also sometimes referred to as the solution framing. This involves gathering the details of: the existing systems, users, procedures and other information sources, plus the detailed requirements of the
solution. The deliverable for this phase will be a Requirements document which includes a detailed Bill of Materials which can be used to order the required equipment.

**Detailed Design:** This is the design step. It involves designing the solution at a macro level. The deliverable for this phase will be a Detailed Architecture and Solution Design document, which includes functional, non-functional, logical and physical solution elements. A proven solution methodology to create detailed architecture and design documents should be used. This design will be based on proven solutions and architectural blue prints.

**Install and Configure:** This is where the solution is built and implemented. The analysis completed at the design phase will determine if additional detail is needed for certain elements to implement an adequate solution design for a unique environment, special circumstances or complexity. Additionally, Project Plan Status Reports and System documentation are typical deliverables during this phase. The production build is only completed once full testing is conducted on the configured solution.

### 6.7. Guidelines and Considerations

i. If all of the data sources for a BI solution is imbedded in a single integrated information system (ERP system), then it is possible to define a metadata (data about data) layer on top of such an integrated information system that screens the users from the complex business logic in the system. In such an event a separate data warehouse and ETL process is not needed when there is sufficient information in the metadata layer for the BI analytical programs to run on this virtualised view of the integrated system. However it is very seldom that all the source data required for BI purposes is contained in a single integrated system. Typical for a university source data from library and other systems must be integrated with the ERP system data for BI purposes. Hence it is advisable to consider a BI solution that is built on a separate data warehouse platform which allows for data cleansing, transformation and integration from a number of disparate data sources using the ETL processes.

ii. The university will need management information (MI) reporting long before it needs or is ready for a BI implementation. It will thus make sense to build some MIS reporting and dashboards functionality on the operational information systems without necessarily having a separate MIS platform.
iii. The technical skills and competencies required for setting up and operating a BI or even a MIS environment must not be underestimated. Resources will be required for:

- Defining and maintaining the metadata and schemas for the data warehouse that will ensure that the warehouse meets and sustains its purpose.
- Creating and setting up the ETL processes which can involve considerable complexity. Significant BI operational problems can occur with improperly designed ETL processes.
- Data quality and governance controls that will ensure the integrity of the data in the data warehouse.
- Unless the BI function and the technical support requirements are not adequately resourced it will not succeed in achieving the BI objectives.

iv. It is advisable that an internal division for BI/MIS is created that can focus on MIS reporting and the BI functions of analytics and creating reporting dashboards for senior management. The BI/MIS division works closely with the ICT division to set up the required BI and ETL environments. In the event that the internal ICT division does not have the required skill and/or capacity to do these set ups, this function may be outsourced. Also if the BI division does not have sufficient capacity, the creation of reports and dashboards can also be outsourced to a vendor with a SLA for continued assistance and support from time to time to create new reports and dashboards as the business environment changes.

v. There are a number of BI vendors operating in this space. Some companies adopting BI software decide to pick and choose from different product offerings (best-of-breed) rather than purchase one comprehensive integrated BI solution (full-service). A best-of-breed approach can only be considered where a company has adequate skills, competencies and the capacity to deal with the integration complexities and challenges of the products. A proper analysis of available solutions specifically for the educational environment needs to be done as some products or services may already have a set of deliverables in place which may be suitable for the institution.

vi. When selecting a vendor for the supply and support of a BI solution, the following considerations should be taken into account:
• Vendor must have a complete information management software offering, services, best practices, and a partner ecosystem to enable and support the Information Agenda.

• A truly open and integrated business Performance Management System that spans Business Intelligence, Operational Performance Management, Financial Performance Management, Strategy Management, Predictive Analytics and Risk Analytics and provides all the right tools for the right people across the organization.

• The system should be based on a purpose-built SOA Platform.

• It should have an open architecture that supports, but is independent of, transaction systems and middleware

• A focus on customer success, and with thought-leadership in Performance Management of business

• Have a consistent solution roadmap focused on innovation rather than integration and rationalization.

6.8. Recommendations

Since the new institution will have limited information resources in the early stages of its existence that can be explored for BI purposes, and the extensive effort and resource requirements to implement a BI solution, it is recommended that the focus in the early stages should be on MIS services and that the BI phase of the Enterprise Information Architecture is put on hold until such time when the new institution is better prepared and equipped for this business need.
7. GUIDELINES AND REQUIREMENT SPECIFICATION FOR ICT INFRASTRUCTURE

7.1. Introduction

The main purpose of Information and Communication Technology (ICT) is to be a business enabler. ICT infrastructure comprises the communications network, together with the data network(s) and computer hardware platforms and software systems on which the institution depends and relies on to perform its day to day business operations and services. Without a sound ICT infrastructure the university will not be able to function as an institution of excellence.

7.2. Purpose and scope of this Section

This document will define the basic infrastructure to be in place for the provisioning of an effective ITC service for a university. The high level requirements for the following infrastructure will be described:

i. Computer Room (Data Centre)
ii. Hardware and Software requirements
iii. Networking (LAN and WAN)
iv. Internet connectivity (SANREN)
v. Desktop infrastructure
vi. Information Security

It should be noted that the detail design, and hence the specifications, for the local area network (LAN) can only be done when the geographical campus layout and building facilities are known. The sizing of the server and storage facilities, the wide area network (WAN) and internet bandwidth capacity and numbers of desktop workstations can only be determined once reasonable estimates of staff and learner numbers are available. Infrastructure for the ERP systems, Library Information Systems (LIS) and other academic specific applications will have to be addressed once the needs have been defined and agreed upon.
The document will also raise various deployment methods, e.g. own infrastructure versus outsourcing, that will need investigation and analysis to determine what best serves the business interest of the university from an operational and cost effective perspective.

7.3. **Computer Room (Data Centre Facility)**

7.3.1. **Requirements**

A dedicated computer room needs to be created. Even if some of the systems and services will be outsourced and hosted off site, a computer room is still considered a requirement on campus where the core LAN switch into which the backbone LAN links will aggregate for centralized connectivity to the internet and servers that are internally hosted and/or hosted externally. The size of the computer room will depend on the in-/out-source strategy adopted which will determine the equipment to be housed on site.

The following are basic requirements for a central computer room:

i. Adequate security in terms of access control and protection against possible damage from outside (riots).

ii. Must be a fire secured room (fire proof walls, doors etc.) with fire detection and an automated fire suppressing system. A computer room contains mechanical devices (spinning discs) and electronic devices operating at high temperatures and there are risks of short circuiting and fire starting. In the event of a fire, the fire must be suppressed and contained to the computer room.

iii. Must be an air-conditioned environment with sufficient redundancy in the event of air-condition unit failure to provide a constant controlled temperature for the ICT equipment. Air conditioning equipment must be connected to backup power (diesel generator set) to resume and maintain temperature control in the event of power outages. (This if the strategy is to provide UPS with generator backup for equipment housed in the computer room).

iv. Must be energy efficient and designed to make use of new cooling techniques associated with running a data centre at higher temperatures.
v. Specialized clean power feeds inside the computer room. Equipment can be damaged by voltage fluctuations associated with direct power feed from the public grid. It needs to be “filtered” by means of Constant Voltage Transformer (CVT) or other mechanism (UPS).

vi. An uninterruptable power supply (UPS) unit that will provide clean power to equipment and can provide backup power for at least thirty minutes. This will keep equipment running without disruption in the event of a power outage and will allow sufficient buffer time for a standby diesel generator to kick in to supply power to the computer room during a power outage. If no standby generator or if the generator fails, the UPS will provide time for the graceful shut down of services and servers to avoid hardware damage, loss of data and long recovery and restore times when servers are suddenly shut down in an uncontrolled manner as a result of a power failure.

vii. The UPS needs to be augmented by a diesel generator which is set to detect a power failure, start-up automatically and synchronise with the UPS to take over the power supply to the computer room. When grid power is restored, the generator should automatically shut down.

7.3.2. Guidelines and Considerations

i. The design of a computer room must be energy efficient and comply with best practices in support of environmentally friendly (green) requirements. Cooling can be a very high consumer of energy. There is some ICT equipment that is designed to run at higher temperatures than before which, if selected, allows the computer room’s ambient temperature to be run at a higher level which requires less cooling. This in turn allows that the ambient outside air can be used for cooling purposes under certain conditions if the air conditioning system is designed with this in mind. This can result in significant reduction in energy consumption and energy costs and directly contributes to the improvement of the institutions carbon footprint. It is recommended that the assistance of an expert in the design of computer rooms or data centres is obtained to assist with the planning and design of this facility.

ii. As required by good ICT governance, serious consideration should also be given at this early stage to the disaster recovery plan (DRP) requirements of the institution. DRP needs should cover recovery plans from single hardware or system failure to the loss of the entire computer room due to a fire or other disaster. It is advisable that a decision on whether the DRP needs
require the establishment of a second computer room should be taken at this early stage so that it could be included in the planning and location of the computer rooms. The level of outsourcing will of course influence the DRP need for own redundant computer room facilities since it may be included in the SLA of the outside service provider.

iii. The size of the computer room will depend on the amount of equipment that will be housed in the room. This will be influenced by the extent of external outsourced hosting where the equipment is housed in the data centre of the service provider. It must however cater for equipment such as the collapsed backbone or core switch, firewall, authentication servers and perhaps print and files servers, even if their support is outsourced. Additional space provision should be considered for future expansion of the equipment.

### 7.4. Local Area Network (LAN)

#### 7.4.1. Requirement specifications

The Network Infrastructure is the medium through which ICT services of the institution is delivered to the user community. It is also the backbone between servers and from servers to workstations. An unreliable, insecure and slow network will lead to a poor experience by the user and a loss of confidence and trust in the university ICT systems as a whole. It is thus important that the network design and equipment is of a high standard to deliver on the universities’ expectations for a reliable and responsive ICT infrastructure.

Cabling Specifications:

i. Cat 6/7 UTP cabling and single mode fibre cables to be used where required and appropriate.  
ii. The design and installation must conform to the following international cabling standards:

- **CENELEC EN 50173**  
  (The principle design standard for structured cabling systems installed within the countries of the European Union. EN 50173 describes a hierarchical star cabling system for horizontal and backbone cabling.)
- **EIA/TIA 568A/B**
(This standard determines the pin/pair assignments for eight-conductor 100-ohm balanced twisted-pair cabling, such as Category 5 and Category 6 unshielded twisted-pair (UTP) cables.)

- ISO/IEC 11801

(This standard specifies general-purpose telecommunication cabling systems (structured cabling) that are suitable for a wide range of applications (analog and ISDN telephony, various data communication standards, etc. It covers both balanced copper cabling and optical fibre cabling and was designed for use within commercial premises that may consist of either a single building or of multiple buildings on a campus.)

iii. The installation must also comply with the installation standards of the institution as defined in Annexure F - Installation Standards for Network Cabling.

iv. Which standard to adhere to, is determined by the product that is to be installed.

v. Trenching required for backbone connections between buildings and back links to core switch must comply with best practices in terms of sleeves, manhole spacing and placement etc.

vi. A suitable network management system is required to assist with identifying network congestion, raise alerts for network equipment related problems or failures and assist with general network management and administration.

vii. Provide for the integration and connection of Wifi hotspots, the distribution of which will be determined by the geographical campus layout and identified areas to be covered.

viii. At least one network point to be provided per office (possibly 2 depending on voice strategy).

ix. At least one network point per lecture venue. Venues that are designed for possible use as conference facilities need to be covered by a Wifi hotspot to cater for needs of conference attendees.

x. Network installations to be certified to comply with the installation requirements of the manufacturers and the relevant warranties (15-20 year) to be issued.

xi. Switching Equipment Specifications:

- A Core switch of sufficient capacity to be placed in the central computer room to cater for the convergence of all data, voice and video traffic. A duplicated switch of similar capacity for backup purposes if a second computer room is approved.
• Distribution switches to be determined and sized in terms of the density of network points (horizontal cabling) and must provide for at least 20% growth for number of network points to be serviced.
• All switches must support quality of service (QoS) for prioritising network traffic (voice and video) as and when required.
• Depending on requirements for power over Ethernet (PoE), some switches within a switching stack may have to provide PoE ports.
• Wifi access points. Areas to be covered and number of access points can only be determined once campus layout and building facilities are known.

Network Equipment Enclosures (cabinets):

xii. The size of the network enclosures will be determined by the number of points (patch panels and brush panels) that is served from the cabinet and the switching gear that it has to house.

xiii. The specifications as described in the Network Equipment Enclosures section of the Installation Standards for Network Cabling document in Annexure F must be complied with.

xiv. Secured areas for the placement of network equipment enclosures within buildings. Must be well ventilated for heat dispersion and may have to supplement with fans if deemed necessary.

7.4.2. Guidelines and Considerations

Cabling:

i. The final design of the backbone links, vertical links (between floors) and horizontal links (distribution on a floor) can only be done when the geographical layout of the campus is known and available. The placement of Wifi access points is also dependent on this.

ii. The choice between fibre and UTP cabling will be determined by the distance constraints and speed requirements that apply for the cabling distances involved. It is normal practice to use fibre cable for backbone and vertical links and Cat6/7 UTP for horizontal links.

iii. The recommended design is to provide a UTP cable point where fixed point workstations (offices, service counters, lecture venues and learner PC labs) need to connect to the network.
for high speed access. Wifi connectivity can suffer from high contention ratios which could result in slow response times which could be undesirable in these areas. Wifi coverage of these areas can however serve as backup connectivity in the event of LAN failure.

iv. Single mode fibre is specified since it can provide higher speed links over longer distances than multimode fibre.

v. For the network infrastructure to operate reliable and deliver sustainable good performance, it is extremely important that the installations comply with internationally accepted standards and that the workmanship is in accordance with strict installation standards and practices. For this reason a document “Standards for the installation of Network cables” has been compiled and added as Annexure F.

Switches:

i. The configuration and sizing of the switches will depend on the geographic distribution and number of network points to be serviced.

ii. The voice strategy will also determine switching requirements.

iii. If a VOIP voice solution is opted for, then switches with PoE ports will be required for the IP phones.

iv. Voice services requiring PoE ports introduce the question of maintaining voice communications during power outages. Some thought will have to be given to this since it introduces a requirement for UPS and at least standby power requirements in the network enclosures to keep the switches going for voice communication during power failures.

Other Considerations:

vi. In the case where new buildings are planned and designed it is important that an ICT network specialist is involved in the design stages of the building to ensure that provision is made for space for the distribution and placement of network equipment enclosures and to ensure that routes and ducting are planned taking the standards and cable length constraints into account.
7.5. Wide Area Network (WAN)

7.5.1. Requirements

i. A WAN link is required for internet services. Capacity will depend on number of learners and affordability. A 10Mbps link is considered a minimum requirement.

ii. Depending on the use of cloud services for email and file services for learners, the internet bandwidth required may be significantly more.

iii. Ability to scale up on the bandwidth of the existing link without incurring new installation costs.

iv. The internet link must be firewalled.

v. A WAN management facility that allows the definition of rules for incoming and outgoing network traffic and the shaping of internet traffic for prioritising and/or filtering of internet traffic content.

vi. Depending on scale of outsourcing or hosting of services outside the institution additional WAN bandwidth will be required. The actual bandwidth required will be determined by the minimum bandwidth specified for the application(s) to operate effectively with acceptable response times.

7.5.2. Guidelines & Considerations

i. For internet connectivity it is suggested that the institution becomes part of the TENET community. Universities normally have their Internet connection negotiated by TENET. Liaison with TENET needs to start in good time to explore the available link options and costs for connecting to the TENET backbone. A 10Mbps link with a 60% (6Mbps) international link can be a good start for the first year while the number of users is still relatively low. After that internet capacity can be upgraded in line with internet usage requirements.

ii. The TENET backbone is essentially the high speed SANREN which interconnects universities and research institutions and provides access to TENET’s SEACOM international link at competitive rates. The challenge will be providing affordable bandwidth to the nearest TENET or SANREN node.
iii. For cost comparison purposes it is suggested that bandwidth quotes are also obtained from commercial internet service providers in the region. The advantage of TENET is that the bandwidth on the SEACOM cable is dedicated to the institution while the contention ratio (number of commercial sites sharing the same international bandwidth) on commercially supplied internet services is normally higher which can result in variable and slow response times.

iv. A policy for acceptable use of the internet services is required. A draft section for acceptable use has been included in the Draft ICT Policy in Annexure B.

v. The firewall is an important component for the internet WAN link. It controls the point through which the institutions infrastructure and information is potentially visible to the internet community at large. The device should be set up to secure the institution against the threats on the internet. Professional advice specializing in information protection and security should be obtained for defining and setting up the firewall rules.

vi. The bandwidth requirements for the outsourced hosting of an ERP solution should be investigated as soon as possible. The cost of sufficient bandwidth may be prohibitively expensive. If the main business reason for outsourced hosting is the cost to resource the variety of skills required, the option of internal hosting with outsourced support via a remote link, which requires low bandwidth, should be considered.

vii. The geographic distribution of campus facilities is an unknown at this stage, and should the campus facilities be spread over multiple geographic locations that cannot be linked with LAN links, multiple WAN links for internet services and other purposes may be required.

7.6. Server Hardware

7.6.1. Requirements

i. Server hardware is required for hosting the following central services:

- Authentication service for single sign on to all services available on the network.
- Email services (if not externally hosted in the cloud)
- File services for learners
- File services for staff
• Backup servers (near online for quick restore and for offline archiving/restore)
• Servers for academic purposes
• Print services
• Software Licensing servers
• Institutional website
• Intranet website and services
• Business Intelligence
• The Virtual learning Environment
• Portal and integration services
• Document Management systems
• Enterprise Content management (ECM)
• Cache servers (to save on internet bandwidth)
• System updates servers to download updates for a number of systems such as operating systems, office automation and security software.
• ERP data base and application servers for development and testing, staging and production environments.
• Servers for access control services
• Servers for meal management services
• Call Centre (Helpdesk) server

The above is not necessarily an exhaustive list of servers.

ii. Appropriate and adequate storage for the above servers.

Where equipment will be hosted in the onsite computer room, the following requirements also apply:

• SAN disk storage solution with appropriate configuration and high speed interfaces that will ensure and sustain good response time during periods of high online concurrent usage. Cabinets must provide for reasonable scaling up on disk capacity without having to buy additional cabinets.
• Maximum facilities with minimum footprint (virtualization of servers, creating a private cloud).
• Virtualised server infrastructure with management.
• Energy efficient equipment with high temperature tolerance for green-friendly cooling requirements of the computer rooms.
• The requirements for test, stage and production servers need to be given careful consideration for the chosen ERP solution. Will have to establish whether the ERP solution is certified for a virtual server environment in which case it may require its own dedicated server, but could possibly still share the SAN disk.

7.6.2. Guidelines & Considerations

i. The above specifications must be understood in the context of the RFI and RFP procurement processes. The above are broad functional requirements and not detailed technical specifications. The RFP process requires a supplier to make an innovative proposal (perhaps more than one) on how to provide a solution for these broadly defined business needs.

ii. Enterprise quality server hardware equipment is strongly advised to ensure good reliability and vendor technical support. Technical support by means of maintenance agreements with appropriate SLA’s as determined by the business needs must be given serious consideration.

iii. A guideline for the replacement cycle of server hardware for the institution must be established. The useable life expectancy for enterprise quality server equipment is longer than that of a desktop PC or laptop. A 5 year replacement cycle for this type of server hardware is not unrealistically long.

iv. A decision on outright purchase or renting / leasing server and storage hardware equipment must also be taken. The Financial Services division of the institution should be consulted and advise on what financing route to take.

v. A virtualised server infrastructure with management is suggested for easier system management, more effective use of server and storage capacity and having greater flexibility to respond to the need for additional servers on demand without necessarily having to buy and set up new server equipment and the long delays associated with the procurement process.
vi. Responses to the RFP’s may include converged infrastructure (servers, disks and network in a single cabinet) proposals for the establishment of a virtualised server environment (private cloud).

vii. The requirement for test, stage and production servers needs to be given careful consideration for the chosen ERP solution. Will have to establish whether the ERP solution is certified for a virtual server environment. If not it may require its own dedicated server, but could possibly still share the SAN disk.

viii. The DRP and redundant equipment requirements for DRP purposes must be determined and included in the requirement specifications when the RFP documents are prepared.

7.7. Desktop Hardware Requirements

7.7.1. Requirements
Below are the typical hardware requirements for operational purposes in the user environment. Quantities can only be determined once the institution is in operation. Technical specifications should only be defined closer to when the actual acquisitions will be made because of the rapid change of these technologies.

i. PC workstations for office administration purposes.
ii. PC workstations for general purpose lab purposes.
iii. PC workstations for teaching specific purposes.
iv. Laptops (where required and appropriate)
v. Tablet type devices (where required and appropriate)
vi. Printers
vii. Copiers
viii. Fax Facilities

7.7.2. Guidelines & considerations
The following strategic decisions need to be made by the new institutions:

i. The type of workstation platform that the institution will deploy. A standard PC type platform or thin client devices (virtual desktop) for deployment to static positions of operation. It is
claimed that the total cost of ownership of thin clients is lower than that of conventional PC devices, but will require additional server and relevant software licenses for this purpose. The institution has to satisfy itself which option to exercise from its own cost benefit analyses perspective.

ii. It is not considered advisable to consider thin client solutions in teaching lab environments where the contention rate for thin client servicing by the server is high during start and stop times of teaching sessions which can lead to unacceptable degradation of response times.

iii. It is suggested that academics be equipped with laptops or tablet devices rather than conventional PC devices. Academics can use their own laptops for teaching presentation purposes which will eliminate the need to borrow from a pool of laptops for this purpose. Where merited, administrative staff should be allowed to opt for a laptop rather than a PC which will allow flexibility in terms of working after hours outside the office environment which can be to the benefit of the institution.

iv. A replacement cycle for the desktop devices must be determined and whether to outright purchase or rent / lease the equipment. The Finance Division of the institution needs to advise on the preferred option for the institution.

v. A policy decision is required on whether the university will provide one device per staff member (laptop, PC or tablet device) or more than one (laptop/tablet and PC).

vi. An imaging strategy for the provisioning of printers, copiers and fax devices. Desktop printers are relatively inexpensive, but are expensive (cost per printed page) to operate. Higher duty cycle Multi-functional devices (MFD’s) provide printing, copying and faxing functionality and are very cost effective (cost per page), but are more expensive and requires higher volumes of throughput to justify the higher capital costs. This requires sharing by a number of users which is less convenient than desktop printers, but it eliminates the need for additional copiers and fax machines which can off-set the higher initial capital layout. Irrespective of choice of hardware for printing and copying, a printing accounting system is required for tracking and managing printing costs (see software requirements section of document).

vii. Consideration should be given to a centralized procurement and budgeting process for all of the university’s desktop equipment to ensure buying equipment that complies with the agreed standards and brands which will contribute to more effective support.
7.8. Information Security

Security encapsulates people, processes, policies, procedures as well as technology. Legislation regulating information places a huge responsibility and accountability on corporate governance for maintaining confidentiality and protecting information kept in electronic format. It must be protected from unauthorized access or compromising the integrity of the information. For the sake of this document, only aspects to the IT infrastructure will be addressed.

7.8.1. Requirements

From a security infrastructure perspective, the following are considered minimum requirements:

i. Firewall protection for the institutional infrastructure against external threats from the internet.
ii. Firewall protection for ERP and other selected servers against internal threats.
iii. Anti-malware solution for intruder detection, containment and automatic removal on user devices and servers.
iv. Ability to logically split learner, staff and other network traffic (VLAN capability on switching gear).

7.8.2. Guidelines

i. There are various options of anti-malware solutions available in the market which can be considered through a RFP process.
ii. It is advisable that enterprise class products are used and contracted to be kept updated frequently (daily).
iii. Assistance from an information security professional is highly recommended in setting up and maintaining security settings such as the “hardening” of servers by disabling all unnecessary products and network protocols that are not required for operational purposes.
iv. Servers inside the Institution should also not be “visible” from the outside world via the Internet.
**7.9. Voice and Telecommunications**

Although the telephone system is not included in the brief for this document and was put on hold by the new universities task team to be dealt with at a later stage or by the DHET (refer very last paragraph under 2.3 of workshop document of 17 July 2012), it is important that the voice and telecommunication required by the new institution is considered as part of the ICT infrastructure since, depending on the choice of voice technology, it may have an impact on the LAN cabling and switching infrastructure of the institution.

**7.9.1. Requirements**

i. One telephone per office or other administrative point of operation.

ii. A private business exchange (PBX) for switching internal calls among extensions and provide a gateway for inbound and outbound calls to a public switched telephone network (PSTN). The number of extensions and PSTN lines to be determined later when better assessment of numbers can be made.

iii. A telephone management system that:

- Keep record of all calls made: time, duration, number called per extension.
- Call management facility with call barring controls per extension: Internal only, local only, national or international limits.
- Ability to set budget limit per extension and automatically block all external calls when budget exceeded.
- Reporting capability per extension per organizational unit.

iv. Voice mail box facility for recording message from caller when extension dialled is not answered.

v. A call centre solution that can scale from one to multiple call centre agents when required.

vi. A call centre management system that can provide stats on calls incoming calls received, waiting time to be serviced, calls dropped etcetera for call centre MI purposes.

vii. Virtual PBX and call centre solutions can be considered.
7.9.2. Guidelines and Considerations

i. A strategic decision needs to be made about the voice (telephone) communication system. Two broad options should be considered; a fixed line voice infrastructure with its own independent cabling or the converged technology route with voice over IP (VOIP) sharing the data network cabling infrastructure.

ii. A third option for voice infrastructure is DECT (digitally enhanced cordless telephony) technologies where one or more base stations are deployed to telephone devices connect via radio links. It is the same concept as cellular phones, but the cordless phones are connecting to a specific base station and cannot roam between base stations as in the case of cellular phones. Quality of voice over DECT technology could be a problem in areas with poor radio signal coverage from the base station.

iii. It is no longer necessary to buy and host PBX and/or call centre solutions on site but use these services as cloud solutions (software as a service). So it can be expected to receive some proposal along these lines in response to the RFI / RFP procurement process. It will however require WAN connections to the hosting site, the availability and cost of which will have to be taken into consideration. It can of course be off set against the costs for onsite technical support which is also a cost parameter to be factored in.

iv. UPS power and standby power for the telephone infrastructure must be considered and planned for to sustain voice communication during power outages.

7.10. General Guidelines and Considerations

i. Service and maintenance agreements need to be in place from reputable suppliers for that IT hardware that are expensive to replace and which may have long lead times for delivery, and the failure of which will be highly disruptive to the operation of the institution.

ii. Resourcing the support for the ICT infrastructure, whether it be with permanent staff and / or outsourced, must be given due consideration. Having a world class infrastructure is futile if the resourcing for its support is not adequate, effective and efficient.

iii. As a general rule the ratio of number of decentralised devices per support technician should not exceed 150 devices with the understanding that software deployment and software
upgrades are automated. Otherwise a lower ratio may be more appropriate. Geographic spread of the devices may also influence the feasibility of this ratio.

iv. The diverse nature of specialist skills required for the technical support of the infrastructure and the difficulty in getting those skills and the risk of having all these skills in a single (employed) person, the outsourcing of the specialist skills requirements may be advisable.

v. In view of the envisaged large usage of tablet, laptop and other mobile devices by learners, consideration should be given to a learner support centre to assist learners with setups and connectivity to the infrastructure and services available to them.

vi. If the university foresees that the use of a tablet or laptop will be a necessary tool for all learners attending the university and on which the learner will rely and depend on for their learning activities, then facilities where learners can recharge their mobile devices will have to be provided bearing in mind that some learners may not have access to a reliable, if any, power resource when not on the campus.
8. ANNEXURE A – DRAFT: ICT COMMITTEE COMPOSITION AND TERMS OF REFERENCE.

8.1. Composition

The ICT Committee consists of the following members:

i. Executive Manager responsible for ICT (Chairperson)
ii. Line Manager for ICT Services
iii. Executive Manager: Finance or nominee (if not same as 1.(a))
iv. Two academic staff members appointed by Senate
v. Representative from Student Affairs.
vi. The Registrar or nominee
vii. Such other members as determined by Executive Management Committee (EMCom) of the University

A Committee Officer nominated by the Registrar acts as secretary to the ICTC.

8.2. Functions (Terms of Reference)

The ICT Committee –

i. Performs a co-ordinating and controlling function to support and advise EMCom on ICT related matters;

ii. Facilitates ICT strategic alignment by:

- Issuing high-level ICT policy guidance (e.g. risk, funding, sourcing, partnering, technology);
- Advising on appropriate ICT governance structures and directing key ICT governance processes;
- Ensuring the alignment of ICT with the university’s objectives and strategies; and
- Overseeing ICT architecture planning.
iii. Ensures ICT value delivery by:
   • Reviewing and making recommendations regarding the approval and funding of major ICT initiatives to ensure the delivery of value by ICT to the enterprise; and
   • Overseeing the aggregate funding of ICT at the enterprise level and reviewing cost/benefit analysis of individual proposals.

iv. Manages ICT resources by:
   • Monitoring the application of ICT standards, technologies and best practices, to ensure their appropriateness in achieving university objectives and strategies;
   • Monitoring the availability of suitable ICT resources, skills and infrastructure for the university’s needs;
   • Monitoring the role and value delivery of external ICT sourcing; and
   • Co-ordinating and ensuring the optimal use of ICT resources.

v. Manages ICT risks by:
   • Ascertaining that management has resources in place to ensure proper management of ICT risks;
   • Ensuring that roles critical for managing ICT risks are appropriately defined and staffed;
   • Monitoring and mitigating exposure to ICT risks, also compliancy risks, including the management thereof;
   • Periodically reviewing and appraising the ICT disaster recovery capabilities;
   • Taking into account risk aspects of ICT investments;
   • Monitoring the quality and effectiveness of the University’s information security;
   • Reviewing and approving the NMMU Information Security Policy;
   • Monitoring significant changes in the environment and the resultant exposure of information assets to threats;
   • Reviewing and monitoring security incidents;
   • Approving major initiatives to enhance information security; and
   • Actively promoting information security within the institution.
vi. Manages performance by:

- Verifying strategy compliance (e.g. achievement of strategic goals and objectives);
- Monitoring the achievement of strategic ICT objectives; and
- Monitoring progress on major ICT projects.

8.3. **Number of meetings**

The Committee meets quarterly; provided that, if deemed necessary, additional meetings may be convened by the chairperson.
9. ANNEXURE B – DRAFT ICT POLICY

POLICY REF: ICT/001

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9.1. Definitions

Cybercrime means actions as defined in the Electronic Communications and Transactions Act.

ICT means Information and Communication Technology.

ICT resources shall mean the ICT network, server, computer, telecommunication equipment as well as the internet and intranet facilities.

Illegal Content means content in electronic format (such as e-mail and web site content) that contains material that is Pornographic, oppressive, racist, sexist, defamatory, and offensive or that violates privacy, identity, copyright. It includes malicious code such as viruses and Trojan Horses, and content containing any Personal Information of User’s or third parties without their consent.

Internet shall mean the any or all external network and information resources that can be connected to and accessed for obtaining, sharing or exchanging information. Reference to the Internet shall in all cases include reference to the institution’s Intranet.

Intranet shall mean the internal network and its internal information resources, including the staff and student portals that can be connected to and accessed for information services.

Personal Information means Personal Information as defined in the Promotion of Access to Information Act.

Pornographic means all the content and actions, simulated or real, graphic or written detailed in Schedules 1, 2, 6, 7 and 11 of the Films and Publications Act 65 of 1996 as amended in 2003.

User id is a unique identification code created for each computer user. It is used to identify users who log on to a computer. It usually consists of the person’s name or learner number.
**User** shall mean all persons, including but not limited to, employees, learners, or contract workers which are authorised to access the institution’s **ICT** network.

### 9.2. Purpose

The purpose of this policy document is to ensure that the use and protection of the **ICT** infrastructure at the university happen in such a way that maximum effectiveness and value-add from these technologies is achieved in alignment with the strategic objectives of the university. Hence this document prescribes the conditions for use and clarifies the rights, duties and responsibilities of the **users** and the university in the use of the **ICT** infrastructure. All **ICT users** at the university are required to abide by this policy which should determine the **ICT** culture in the institution and become a natural part of the daily activities of every **user**.

### 9.3. Context and application

The objectives of this policy document are to:

i. Prescribe the conditions for use of the university **ICT** infrastructure and facilities;

ii. Clarify the rights, duties and responsibilities of the **users** and the University;

iii. Ensure that **ICT resources** are used responsibly;

iv. Ensure that **ICT** risks are managed responsibly.

v. Ensure the security of the institution’s **ICT resources**

The university’s **ICT resources** are to be used for **bona fide** academic and administrative work, with the understanding that limited personal use is acceptable (e.g. personal correspondence) so long as this use does not:

vi. Directly or indirectly interfere with the university’s computing resources.

vii. Disrupt services to other **users** or deprive them of resources.

viii. Result in any additional costs to the university.

ix. Interfere with the **user**’s employment obligations to the university.
The influence of this policy spans the whole institution, all business areas, geographically distributed sites and all staff, learner and visiting users of ICT facilities and services.

### 9.4. Acceptable use

This section spells out the conditions and rules applicable for the use of all ICT infrastructure facilities and services of the University.

i. All users must observe and apply the university copyright policy and Copyright Acts of the government. It should be specifically noted that software piracy is a criminal offence.

ii. The use of the university ICT systems must be consistent with all contractual obligations of the University, including limitations defined in software and other licensing agreements.

iii. The university ICT resources may not be used for private income-generating or non-university commercial activities unless specifically authorised by the university.

iv. The university ICT resources may not be used in any way that may embarrass or bring discredit to the university.

v. The university ICT resources may not be used for any unlawful activity, such as the creation or transmission of material which is offensive, obscene, defamatory, damaging or fraudulent.

vi. The use of the university ICT resources for gaming is prohibited.

vii. No person shall by deliberate, reckless, or unlawful act cause disruption to services, degrade the performance of an information system, or jeopardise the integrity of data networks, computing equipment, systems programs, or other stored information.

viii. Every user has the responsibility to keep their passwords confidential.

ix. Every User is responsible for taking reasonable steps to protect the ICT resources of the university.

x. No person may access, or attempt to access, or tamper in any way with another user’s data without proper authorisation.

xi. Users are further subject to any specific rules or end user agreements entered into with faculties or departments in which they operate.
xii. **Users** indemnify the university against any loss or damage that may result from improper use of the university’s **ICT** infrastructure.

xiii. Abuse of the university electronic systems and facilities may lead to a withdrawal of electronic communication privileges and/or disciplinary steps against offenders.

xiv. The receiving, storing, downloading, possessing, distributing, accessing or creating of **illegal content** by any **user**, will be subject to an investigation and disciplinary action.

xv. All **users** at the university are bound by applicable laws in South Africa and the university will fully co-operate with authorities to provide required information if any **User** is suspected of illegal activities or **cybercrime**.

xvi. The University may take reasonable steps to enforce its **ICT** policies through administrative and technical controls including filters, monitoring mechanisms and automated tools.

xvii. Where 3rd party services are used by staff and/or learners, all terms of use imposed by such parties must be adhered to.

### 9.5. Email and other messaging systems

This section describes the policy statements that specifically apply to email and other messaging systems in use at the university to ensure that they are able to function in support of the business requirements of the university in a reliable and secure manner.

i. It is the policy of the university that all staff and learners must have a university email account.

ii. The use of electronic mail is subject to all university rules and policies which may apply to other forms of communication.

iii. E-mail is a business tool and an official means of internal communication.

iv. The university will compile group distribution lists such as All Staff, All Academic Staff, All Learners, etc. for use by the university to send messages to all members of a specific selected group.

v. All urgent and critical information will be distributed to all staff and/or learners. This includes all communiqués which are relevant to the vast majority of staff and/or learners. The university-communiqué address list as well as the All Staff and All Learners address lists, including all campus specific ones, are controlled and managed by the Marketing division.
vi. Staff/learners are encouraged to set up their own distribution lists to share information with specific groups. The owners of groups will have the responsibility of defining rules regulating the use of the group.

vii. The university staff and learner distribution lists may under no circumstances be used for communication of a personal nature, for non-university business, for any form of advertising, chain letters, junk mail (SPAM), information of a political nature etc.

viii. When e-mail is used for personal purposes users must make it clear that they are expressing their personal views and not those of the university. Users will be liable for any misrepresentations which may cause damage to the university. The use of a disclaimer, stating that any statement made in a message is the opinion of the user and does not necessarily reflect the university opinion or policy, is recommended, particularly in public forums such as newsgroups or list servers.

ix. Users may only subscribe to off-campus list servers and news groups that relate to their work.

x. Due to the nature of e-mail, the university does not guarantee the privacy of messages sent through its servers.

xi. The university reserves the right to put e-mail filters in place to remove unsolicited hoax mail, junk mail and Pornographic messages.

9.5.1. Responsibilities

i. The ICT services division is the custodian responsible for providing all electronic messaging services, including email, for the university.

ii. Marketing division is the custodian responsible for the control and use of the university-Communique as well as the ALL STAFF and ALL LEARNERS address lists, including campus specific ones.

iii. Every user must become familiar with, and adhere to best practice guidelines for the use of electronic messaging systems. Support in this regard must be provided by the ICT services division.

iv. The disclaimer at <Insert relevant URL> should be used on all emails send to external parties.
9.6. Internet access

This section describes the policy statements that specifically apply for accessing and using the Internet service made available by the university and to manage responsible and fair use of a valuable, but finite and expensive shared resource in a secure manner.

i. Internet Access is essential for research and academic activities and for some administrative functions, and reasonable access for study and work purposes is seen as a basic privileged necessity for learners and staff of the university.

ii. Technical, administrative and financial controls as approved by the ICT Committee from time to time may be implemented to support the objectives of this policy.

iii. Agreements with third parties, such as business units affiliated with the university, schools and not-for-profit community organizations for accessing the university Internet services can be made where such an arrangement is to the benefit of the university. Approval, subject to restrictions imposed by the Internet service provider of the university, may be granted or revoked at the discretion of the <Chief Information Officer (CIO)> without recourse and without having to provide a reason to the third party.

9.6.1. Responsibilities

i. It is the responsibility of every user of the Internet and related services to become familiar with the policies, rules and procedures applicable for the use of the Internet service.

ii. It is the responsibility of the ICT Services division to provide, manage and maintain cost effective and efficient Internet access services on behalf of the university.

9.7. Remote Access to ICT Infrastructure

This section describes the policy statements that specifically apply to ensure that remote access to the university ICT facilities is managed and made available to approved users in a cost effective, efficient and secure manner.
i. Remote access to the university ICT facilities must be applied for on an individual basis and can be provided where a business case for such access has been approved by the relevant Dean or Director, the Senior Director Finance and the <CIO>.

ii. Remote access is subject to the computer policies of the university (e.g. automatic installation of anti-virus software or software updates/patches) which will automatically be applied to any device that connects to the university network in any manner (e.g. via dialup connection, ADSL, radio link, Internet). The university will not be held responsible in any way for any effect on the user’s information or devices resulting from applying these policies.

iii. The cost of remote access will be for the account of the remote user.

iv. The applicant will be required to enter into a personal agreement with a service provider for a remote link, and is personally responsible for payment for any such services. Staff may claim back such costs subject to a maximum capping that will apply as determined from time to time by the university management.

v. All the policies, rules and regulations that apply to a user of the university ICT facilities, apply with equal force to a user using remote access.

9.7.1. Responsibilities

i. ICT Services division is responsible for the management and control of all remote access connectivity to the university ICT infrastructure.

ii. It is the responsibility of the user to determine whether a specific technology intended for use to connect to the university is available and useable in the specific area(s) from which remote connectivity is required.

iii. ICT services staff may assist with the initial setup for staff to connect to the university services, but hardware and software maintenance and support is the responsibility of the individual users.

iv. It is the responsibility of every user using remote access to become familiar with the policies, rules and procedures that may apply.
9.8. Telecommunications

This section provides for the use of worldwide land or cell based telephonic communications devices to conduct university business in order to enhance effectiveness and limit abuse.

i. The telephone facility is a business tool and is meant for the university business purposes. Management may allow limited personal use, the terms of which will be published from time to time.

ii. All instruments must be secured in such a manner that a specific person can be held accountable for all calls made from a specific instrument.

iii. Personal use must not interfere with normal business activities and must not involve solicitation or promotion of any kind.

iv. In compliance with the Interception and Monitoring Act No 127 of 1992, the interception or monitoring of any telecommunication at the university is forbidden, unless authorized by a judge.

9.8.1. Responsibilities

i. It is the responsibility of every user of the voice messaging systems to become familiar with the rules and procedures that may apply to the different messaging systems, including telephones.

ii. Line managers are responsible for reviewing telephone usage to stay within budget and to take the necessary action in the event of abuse.

9.9. INFORMATION SECURITY

This section deals specifically with the policy statements required to ensure:

i. A high level of confidentiality, i.e. protecting information from unauthorised disclosure;

ii. A high level of integrity, i.e. protecting information from unauthorised modification, and ensuring that information can be relied upon as accurate and complete; and

iii. A high level of availability, i.e. ensuring information is available when needed.
This will ensure:

- That the institution is perceived as a reliable and respected partner.
- Access to the correct information of the institution.
- Limit the impact of damage.
- Protect against violation or attempted violation of the security regulations and measures.
- Ensure that violation or attempted violation can be discovered and tracked.

iv. The university’s Information Security Management System is based on the ISO/IEC 27000 guidelines and adapted to the specific Information Security requirements of the Institution.

v. All information security incidents or suspected/potential security incidents must be reported to the Help Desk or Information Security Officer by email or in any other written format. The information Security Officer must initiate an appropriate action.

vi. All major information assets should be accounted for and have a nominated owner.

vii. All staff members should undertake to adhere to and be trained in information security practices.

viii. Information resources must be suitably protected against unauthorised access, environmental hazards and physical threats.

ix. Computer and network technologies must be protected and managed to ensure continuous and reliable processing.

x. All users of information systems must be uniquely identified and authenticated.

xi. Security requirements must be identified and applied during systems development and maintenance.

xii. Business continuity plans should be developed and maintained

xiii. Reviews for compliance to this policy, as well as other regulatory, legislative and contractual requirements should be undertaken regularly.

9.9.1. Responsibilities

For this Policy to be effectively implemented, it is essential that security related roles are defined and that specific responsibilities are assigned to each of these roles.
i. Every member of staff will exercise due care to protect the information assets of the institution.

ii. The Information Security Officer, which will be fulfilled by <specific post within ICT section> will report to the <CIO, ICT manager or director>. The responsibility of the Information Security Officer is to develop, implement and periodically review the information security policy requirements, procedures and controls as approved by the ICT Committee. The Information Security Officer is responsible to provide appropriate training to all users of information on:

- The contents of the information security policy requirements.
- The specific information security controls and procedures introduced.
- Their responsibility towards meeting information security objectives.

iii. The ICT Committee must:

- Review and approve information security policy requirements.
- Monitor significant changes in the environment and the resultant exposure of information assets to threats.
- Review and monitor security incidents.
- Approve major initiatives to enhance information security.
- Actively promote information security within the institution.

iv. Information Owners or Data Owners (The owner of a collection of information is the person responsible for the business results of that system, data owner or the business use of the information) have the following responsibilities:

- Authorize access to and assign custody of the information.
- Communicate the control requirements to the custodian and users of the information.
- Determine the statutory requirements regarding retention and privacy of the information, and communicate this information to the custodian.
v. The custodian is responsible for the processing and storage of information – the ICT Services division is the custodian for enterprise information. For micro applications the owner or user may retain custodial responsibilities. Responsibilities include:

- Implementation of physical and technical controls.
- Identifying procedural guidelines for the users.
- Administering access to information.
- Evaluate the cost-effectiveness of controls.

vi. Any person who has been authorized to read, enter, update or delete information by the owner of the information has the responsibility to:

- Use the information only for the purpose intended.
- Comply with all the controls established in terms of the policy requirements.
- Ensure that classified or sensitive information is not disclosed without permission.
- Ensure that user id and passwords remain well protected.

9.10. Privacy and confidentiality of individuals

i. Although the university respects users’ privacy, the university reserves the right to access and monitor any user’s email, data and programs for appropriate management purposes, such as:

- making backups;
- maintenance of system integrity;
- for compelling security reasons;
- ensuring that communication services are not used in conflict with this policy or for unlawful purposes;
- Conducting investigations relating to alleged misconduct.

ii. With due regard to the South African Constitution and the Regulation of Interception of Communication and Provision of Communication-related Information Act 70 of 2002 and the university Information Manual (as required by the Access to Information Act of 2000
available from http://www.info.gov.za/gazette/acts/2000/a2-00.pdf), every User, when the person registers as a learner, commences a visit or starts employment, is deemed to have given his or her consent that the ICT Services division and management of the institution may without prior warning:

- Intercept, monitor, block, delete, read and act upon any incoming or outgoing e-mail message addressed to or originating from the User;
- Intercept, monitor, read and act upon the User’s Internet browsing habits, including the User’s history files, web sites visited, files downloaded and stored by the User; and
- Intercept, monitor, block, delete, read and act upon any file, in whatever format, stored by a User on any computer or other facilities of the institution.

iii. Personal information regarding staff or learners may not be published on either the Internet or Intranet web sites without the express permission of the person concerned, except official information such as examination results.

9.11. ICT PROCUREMENT

This section is to ensure that, when ICT resources are obtained, it is cost effective, efficient and that it complies with the established ICT quality and operational requirements of the university and is compatible with existing and planned ICT systems and infrastructure of the university.

This policy is subject to the Supply Chain Management Policy of the university.

i. Software licensing must comply with the Business Software Alliance (BSA) Guidelines available from http://www.bsa.org/.

ii. ICT support staff will remove any illegal software found unless proof of purchase of the software is obtained.

iii. The procurement of all ICT equipment and software must be in accordance with the guidelines approved by ICT Services to ensure the minimum acceptance standards and compatibility requirements are adhered to.

iv. All the university ICT equipment is to be procured via the centralized purchasing system.

v. Any requests for ICT equipment and solutions must be motivated on the basis of cost effectiveness and efficiency while alternatives must be investigated. This would apply e.g. for PC’s, laptops, notebooks, printers etc.
9.11.1. Responsibilities

i. The university ICT Services division is responsible for:
   • Formulating standards for ICT equipment (Incl. Hardware and Software)
   • Maintaining an inventory of all hardware and software purchased

ii. The departments procuring software (licenses) must notify and provide a copy of such license agreements to ICT Services for record keeping.

9.12. GENERAL ROLES AND RESPONSIBILITIES

i. It is the responsibility of every user to become familiar with the policies, procedures and guidelines of the university.

ii. The ICT Services division is responsible:
   • To ensure compliance with all ICT related legislation.
   • For formulating guidelines, policies and procedures to be adopted by the university for acquisition, implementation, documentation and use of the ICT information resources.
   • To provide, manage and control cross functional ICT information services to the university in an effective, efficient and secure manner.
   • To sustain users’ awareness of this policy and other institutional policies related to the use of the Institution’s electronic facilities.
   • To provide users with guidelines for the proper use of the Institution’s electronic facilities.

iii. The institution’s management is responsible for taking any necessary action against users who fail and/or refuse to abide by this policy.
9.13. **Policy review**

This policy will be reviewed:

i. In terms of the frequency and time frames as approved by university management.

ii. Whenever changes to applicable legislation or the university policies may impact on this policy.

9.14. **Policy process and procedures**

<To be defined and inserted by the new university>

9.15. **Link to other policies**

<To be defined and inserted by the new university>

9.16. **Owner of policy**

<To be defined and inserted by the new university>

(Acknowledgement: This draft policy is based on the ICT policy of the Nelson Mandela Metropolitan University for which permission to use has been obtained)
10. ANNEXURE C – DRAFT REQUEST FOR INFORMATION (RFI) TEMPLATE FOR AN ENTERPRISE RESOURCE PLANNING (ERP) SYSTEM.

SECTION A – OVERVIEW

10.1. Introduction

10.1.1. Purpose of the Request for Information (RFI)

The purpose of this Request for Information (RFI) is to invite suitably qualified parties to register their interest in providing the products and services as specified.

The RFI document consists of the following:

**Section A – Overview:** Provides background information, instructions and conditions for responding to this RFI.

**Section B – RFI Process:** Sets out the conditions and requirements for this RFI process, together with the evaluation process and criteria.

**Section C – Information required from Respondents:** Sets out the information required in the RFI response.

This RFI process is intended to ascertain and short list suppliers capable of responding to an in-depth Request for Proposal (RFP) process. It is not the intention of the University to award a contract from this RFI process; however, the University reserves the right to do so under Section B, point 5.1 of this RFI document.

10.1.2. Background
Government has adopted a range of strategies to expand the country’s post school education system, increasing the opportunities available to a growing number of qualifying school leavers. Since the transition to democracy, much has been done to increase the capacity and efficiency of existing institutions.

Against this background Government has decided to develop two new universities in the provinces of Mpumalanga and the Northern Cape, the only two provinces that do not yet have a University. Government recognises that this is a long term investment in the expansion of our higher education capacity.

As one of South Africa’s first new institutions of higher learning since 1994, this University is envisaged as a symbol of the new order, democracy, inclusiveness, growth and opportunity. It must become an enduring source of pride, both nationally and provincially. It must be able to attract the best academics in South Africa, the continent and the world. The hallmark of this new University must be academic excellence underpinned by quality leadership.

Government is determined that the new University should take its rightful place amongst the network of institutions serving and expanding our national needs. It will provide qualifications in a range of fields for our young people wishing to develop high level skills for the economy and for their personal advancement. It must create a strong academic hub, drawing on the individuality of the province to develop a unique academic focus, and a strong main campus that enables multi campus expansion over time.

It must enable maximum access within the country and contribute to the economic and cultural development of the province. The new University will support both national and provincial goals. It is envisaged that the institution will be a comprehensive University aspiring to be a destination of choice for qualifying school leavers across South Africa and the continent.

i. **When established, the new University is envisioned:**

- as a *site of learning and culture* which give expression to democracy and social justice and increase participation in political, social, cultural and economic life;
• as an *active participant* taking centre stage in addressing the challenges confronting society and playing their role in the context of a *Developmental State*;

• as an *African University*, to be part of a broader network and community of African institutions of higher learning with a long tradition of scholarship, rooted in the African experience, contributing to African knowledge production and generating ideas and insights with global relevance;

• as a *21st century social institution* that must develop innovative modalities of governance, funding, teaching, research and civic engagement in order to respond to ever-changing social, cultural, political, environmental and economic demands;

• as a *relevant leader of the knowledge economy*, actively engaging communities to produce knowledge for social development and delivering innovation-driven research for commercial and economic advancement.

Planning for the new University aims that the first academic year will commence during January 2014, with an initial student enrolment of less than 1,000 students during the first academic year. For the sake of this RFI it is estimated that the institution will grow by 1,000 students annually for the first 3 years. The staff complement, both academic and administrative, will be in line with a University supporting the stated student numbers.

10.2. **Description of requirements**

10.2.1. **Overview**

The University is seeking to identify suppliers of ERP systems that will meet the needs of a comprehensive University in South Africa. The proposed ERP systems must have a South African footprint and must support all statutory reporting requirements for the Higher Education (HE) sector in South Africa. Alternative infrastructure proposals will be considered and implementation will include interfacing to other internal University systems and external systems such as the National Student Financial Aid Scheme (NSFAS).
As the first student enrolment is planned for January 2014, suppliers must be in a position to fast-track implementation.

10.2.2. Scope of services

The University intends to acquire a modern, fully-functional integrated ERP system that is preferably in use at other universities in South Africa.

The scope of the ERP system and related services are provided in Section C. Ideally a supplier will be able to provide all required ERP systems and related services. However, as the scope of the required ERP solution must support diverse business requirements, responses are also invited from consortiums of suppliers where a consortium will be able to provide the full ERP system, or from suppliers that can provide only selected ERP systems and/or related services.

Respondents must clearly indicate in Part 2 of Section C which business areas are supported by their response.

SECTION B – THE RFI PROCESS

10.3. Request for information process

10.3.1. Timeline

The anticipated timeline for this RFI process is as follows:

<table>
<thead>
<tr>
<th>Activity</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Release RFI</td>
<td>dd-MMM-yyyy</td>
</tr>
<tr>
<td>Compulsory briefing meeting</td>
<td>dd-MMM-yyyyy @ hh:mm at &lt;Venue&gt;, &lt;Address&gt;</td>
</tr>
<tr>
<td>RFI questions close</td>
<td>dd-MMM-yyyyy @ hh:mm</td>
</tr>
</tbody>
</table>
Respondents must note that this timeline is indicative only, and may be subject to change at the sole discretion of the University. All respondents that have attended the compulsory briefing meeting will be notified of any changes to the timeline by the authorised representative of the University.

**10.3.2. Canvassing**

Respondents will not canvass any University employees, contractors, consultants or anyone who has a direct working relationship with the University, other than the Authorised Representative, in relation to this RFI. Respondents may also not contact any employee, representative of a contractor to the South African Department of Higher Education and Training (DHET) regarding this RFI. Any respondent found to be canvassing, or to have canvassed, any of the University’s or DHET’s employee, contractor, consultant or anyone who has a direct working relationship with the University or DHET in this regard may be disqualified from the RFI process.

**10.3.3. Communication**

No communication will be entered into with any of the respondents except in the following circumstances:

- Clarification of the RFI document sought by respondents (only prior to the prescribed closing date for questions); or
- The University seeking clarification from the respondents on aspects of the submitted responses.

All communication and/or correspondence between any respondent and the University will be conducted via email only, and only through the following University Authorised Representative:

(Insert details of Authorised Representative + his/her email)
The University will not be bound by any statement, written or verbal, made by any person other than the University Authorised Representative stated in this section. The University Authorised Representative is the only person authorised to make representations or explanations regarding this RFI document.

10.3.4. RFI questions

All questions are to be submitted via email to the University Authorised Representative. Respondents must submit questions via email to clarify identified issues relating to the RFI up to and including the closing date for questions. Any questions received after this date will not be responded to.

Questions and answers that the University deems important to the RFI will be issued to all respondents in a non-attributable way.

10.3.5. Evaluation criteria

Potential suppliers of the ERP system software and implementation services must meet the following minimum criteria to be considered for the subsequent in-depth Request for Proposal process:

i. Use of the applicable software product(s) in at least two universities in South Africa.
ii. Evidence of on-going investment in the development of the software product(s).
iii. The adequacy of the software product(s) fit to the University’s required functionality.
iv. Experience and proven capability to implement the software product(s).
v. Availability of implementation and support resources in South Africa.
vi. The software product’s compliance with the statutory reporting requirements in South Africa.

Points will be awarded for Broad-Based Black Economic Empowerment (B-BBEE).
The above is a summary of the evaluation criteria. These criteria are intended for guidance only. The criteria are not in any order of importance, are not exhaustive, and will not necessarily be given equal weighting. The University, at its discretion, may take into account additional factors, including:

vii. That the University is confident in the respondent’s ability to establish and maintain a mutually acceptable business relationship with the University;
viii. The respondent’s ability to carry out all the services detailed in this RFI document;
ix. The respondent’s proven track record in delivering similar products and services;
x. Compliance with the terms and conditions set out in this RFI document; and
xi. Any other criteria that the University deems relevant to evaluate these requirements and the RFI process.

10.3.6. Clarification of responses - time to respond

Respondents may be asked to clarify some aspects of their RFI response, or provide additional information. These requests will require a response within (XX) working days, or the appropriate time specified in the email request from the University’s Authorised Representative. Failure to respond to such a request within the stated timeframe may result in the exclusion of the RFI response for further consideration.

10.3.7. Communication of outcome

All respondents who submitted a RFI response will be notified via email of the outcome of this RFI process.

10.3.8. Short listing and tendering

As a result of this RFI process, the University reserves the right to compile a short list and conduct a closed tender or RFP process. Should the tender or RFP process proceed, any respondent short listed to receive a tender/RFP document will be notified accordingly, and a tender/RFP document will be made available to them in due course.
10.3.9. Preferred respondent

Should a respondent be informed that it has become a potential preferred respondent for the RFP process, such advice does not?

- Constitute an acceptance by the University nor create a contract;
- Constitute an award of the contract; nor
- Imply or create an obligation on the University to enter into negotiations with or award the contract to the respondent.

The University reserves the right to discontinue any negotiations with any supplier at any time during the RFI process.

10.4. Rfi response

10.4.1. Form, content and preparation of RFI response

In submitting a response to this RFI request, the respondent accepts and agrees to comply with the provisions of the RFI documents.

Respondents should submit one response only, although this response may include one or more options/solutions/software systems.

Joint responses may be submitted, provided that all respondents are jointly and severally liable, and one of the joint respondents is identified as the primary contact for all communications with the University relating to their RFI response.

Responses are to be signed for or on behalf of the respondent by a duly authorised officer of the respondent. Signed declarations should be scanned as a PDF document and submitted along with the electronic copy of the RFI response.
Responses cannot be withdrawn once submitted, except with the written consent of the University.

The cost of preparing and submitting a response shall be borne by the respondent.

All responses will become the property of the University, and do not have to be returned to the respondent. The University may use the responses as it sees fit, subject to the confidentiality clause provision within this document.

**NOTE:** For the purposes of this RFI, pertinent summary information is sufficient, and it is **not necessary** to provide detailed supporting information and examples at this stage.

### 10.4.2. Rules for Submission of RFI responses

i. The RFI will close on *(insert information – date and time)*

ii. The RFI must be submitted at *(insert details of venue)*

iii. Number of printed copies to be provided *(insert information)*

iv. Electronic copy in .pdf format to be provided *(insert information)*

v. The electronic copy of the Costing spread sheet must be provided as an Excel document.

vi. Responses must be submitted in the format as presented in Section C of this RFI document, and must be clear, legible and provide all the information requested in this RFI document.

vii. Responses must be received prior to the time and date stipulated as the closing date. Late responses will not be accepted by the University.

viii. The University will not accept any faxed or emailed responses.
ix. Any response received by the University that does not conform to all or any of the above conditions may be rejected or accepted during the evaluation process at the sole discretion of the University.

x. Any request for an extension of the closing date is likely to be declined.
10.5. **Rfi conditions**

10.5.1. **Rights reserved by the University**

The processes described in these RFI terms and conditions are not intended to create a process contract and the University reserves the right to make changes to the processes and timelines in order to more effectively meet its objectives whilst maintaining its policy of openness and fairness.

The University reserves the right to:

i. Re-advertise this RFI;

ii. Suspend or cancel (in whole or in part) the RFI process and/or the overall procurement process;

iii. Reject all RFIs and not proceed with the tender or the RFP process;

iv. Amend the closing date for submission of RFI responses, or any other date referred to or implied in this RFI, by the issuance of a written notice;

v. Vary this RFI by way of notice to respondents;

vi. Select respondent(s) based on their RFI response and invite them to participate in a subsequent closed tender or RFP process;

vii. Issue an open tender or RFP;

viii. Issue tenders with modified descriptions of service or product requirements, including innovations proposed by respondents through this RFI process;

ix. Deal separately with any of the elements of the services/products, unless the relevant RFI response specifically states that those elements must be taken collectively;

x. Enter into discussions with any one or more respondents relating to matters in this RFI;

xi. Not proceed to the evaluation of RFI’s;

xii. Extend the list of potential respondents beyond those who responded to this invitation;

xiii. Liaise, negotiate or contract with any respondent or other person at any time without disclosing this to, or involving or doing the same with, any other respondent or person (whether during or after this RFI process);

xiv. Seek clarification of any aspect or information provided in the RFI response, or seek further information from any party; and
Consider, accept or reject any response received after the RFI closing date.

10.5.2. No obligation to discuss

Nothing contained or implied in this RFI shall oblige the University to discuss, justify or give reasons for any of its decisions or actions relating to this RFI or any responses received.

10.5.3. The University’s liability for information disclosed

While the University endeavours to supply correct information, it disclaims, to the extent allowed by law, any liability (in contract and in tort, including negligence) to any respondent or other person if they rely on any information provided by the University in relation to the RFI.

Those submitting RFI responses will be considered to have:

i. Examined this RFI and all documents referenced (if any);
ii. Considered all the risks, contingencies and other circumstances that may have an effect on their response; and
iii. Satisfied themselves as to the correctness and sufficiency of their responses.

10.5.4. Clarification of information

Requests for clarification that relate solely to one respondent will be provided to the respondent requesting the clarification. Should the request for clarification be deemed at the discretion of the University as material to the RFI document, then a Notice to Respondents will be issued by the University to all respondents.

10.5.5. Information completeness and accuracy

Each respondent must include all the information as required by the University in this RFI. Information not specifically required by the RFI, but believed by the respondent to be of value in evaluating the responses, should be included as an addendum. Where there is reference to published manuals, only the relevant extracts should be placed in the addendum.

All respondents warrant that:
i. All information provided in their response is complete and accurate in all material respects; and
ii. Information provided to the University, and the use of it by its employees, agents or contractors for the evaluation of responses and the possible subsequent negotiation and implementation of a contract, will not breach any third party’s intellectual property rights.

10.5.6. Confidentiality

i. This RFI, and the information supplied by the University (either itself or through its consultants or advisors) in connection with this RFI, is confidential. The respondent must not release or disclose any of the information to any other party or person (other than its employees or advisors involved in the preparation of a response to this RFI) without the prior written consent of the University.

ii. Respondents should make their responses “Commercial in Confidence” if they wish to protect specific information.

10.5.7. Advertising and statements

No advertising, press release, public statement or other information relating to the RFI, and any subsequent proposal or contract shall be published by the respondent without the prior written consent of the University.

10.5.8. Copyright

Copyright of every document (electronic and paper) comprising this RFI belongs to the University. All rights are reserved. This RFI document must be kept secure, and must not be used, stored, copied or passed on in any form by any means without the University’s prior written consent in each case.

10.5.9. Conflict of interest

Respondents should disclose any conflicts of interest in relation to the matters covered by this RFI.
10.5.10. **Governing law**

This RFI is governed by South African law, and the South African courts have exclusive jurisdiction to all matters relating to this RFI.

10.5.11. **Subject to contract**

All parties submitting an RFI response agree that:

i. A contract is only formed between the University and the successful respondent when the University executes such a contract covering the relevant services and/or products;

ii. This RFI and any provision contained in it does not give rise to a separate contract between the University and that party.
SECTION C – INFORMATION REQUIRED FROM RESPONDENTS

Instructions for Completing the Request for Information template:

You are required to answer each question in this section. You must use these sections in your response and respond in the same sequence. Where a question is not relevant to your RFI response you must insert “N/A” or “Not Applicable” against the respective question number.

If the answer to a question is in an attachment then you must indicate this at the respective question number and reference it to the relevant attachment and identify the attachment accordingly.

Note: Please expand the boxes to accommodate your response.

PART 1 – DOCUMENTATION

Respondents must submit the following supporting documentation as annexures to their submission:

<table>
<thead>
<tr>
<th>Compulsory Documentation</th>
<th>Your Response</th>
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<tbody>
<tr>
<td>Resolution to Sign the RFI Documentation</td>
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<tr>
<td>Compulsory Documentation</td>
<td>Your Response</td>
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<tr>
<td>Proof of Tender Registration Payment</td>
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<td>B-BBEE Certificate</td>
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<td>Tax Clearance Certificate</td>
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<td>Articles of Association</td>
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<td>Company Ownership Document</td>
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<td>Company Registration Certificate</td>
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<td>Latest Annual Report</td>
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<td>Financial Statements for the last 3 financial years</td>
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<tr>
<td>All relevant draft contracts</td>
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<tr>
<td>Project implementation timeline for each ERP component proposed in this response</td>
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<tr>
<td>Education sector Client List (in South Africa and abroad) per proposed product</td>
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</table>

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<thead>
<tr>
<th>Optional Documentation</th>
<th>Your Response</th>
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<tbody>
<tr>
<td>Company and product brochure information</td>
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</table>
PART 2 – PROPOSED ERP SOLUTION

Respondents may not be in a position to meet the full RFI requirements. Respondents must therefore clearly indicate which of the listed business areas are covered by their proposed solution. The relationship between the each proposed system and the respondent must be clearly indicated, as well as the use of business partners and sub-contractors. Existing integration points between proposed systems must be provided.

<table>
<thead>
<tr>
<th>Business Area</th>
<th>Covered by this RFI response (Y/N)</th>
<th>Proposed system and system module</th>
<th>Version</th>
<th>Relationship between the Respondent and the proposed system (e.g. owner, reseller, etc.)</th>
<th>Existing Integration points between the proposed systems</th>
<th>Additional comments from Respondent (including the use of partners or subcontractors in delivering the products or related services)</th>
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<tr>
<td>Student Management</td>
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<td>– Enquiries from prospective students</td>
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<td>- Management of Scholarships and Grants, including all processes in support of the national Student Financial Aid Scheme (NSFAS)</td>
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<td>- Student self-service</td>
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<td>- Structuring of academic rules</td>
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**Financial Management**

| - General Ledger       | | | | | | |
| - Budgeting            | | | | | | |
| - Accounts Payable     | | | | | | |
| - Accounts Receivable  | | | | | | |
| - Student Debtors      | | | | | | |
| - Cash Management      | | | | | | |
| - Procurement, including Purchase Ordering, Inventory and Accounts Payable | | | | | | |
| - Asset Management     | | | | | | |
| - Other (please list)  | | | | | | |
| - Other (please list)  | | | | | | |

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<tr>
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<td>Library Management System</td>
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<td>Business Area</td>
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<td>Acquisitions</td>
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<td>Cataloguing</td>
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<td>Inter-Library Lending</td>
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<td>Inventory</td>
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<td>Interfacing with materials supply vendors</td>
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<td>Interfacing with other Library systems</td>
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<td>Online Public Access Catalogue (OPAC)</td>
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**Customer Relationship Management (CRM)**
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<th>Business Area</th>
<th>Covered by this RFI response (Y/N)</th>
<th>Proposed system and system module</th>
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<td>Business Intelligence (BI) and Management Information (MIS)</td>
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<td>HEMIS – all aspects</td>
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<td>Skills reporting</td>
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<td>Equity reporting</td>
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<td>National Student Financial Aid Scheme (NSFAS)</td>
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PART 3 – EXECUTIVE SUMMARY

1. Provide a brief overview of your proposal for the provision of the products and services required by this RFI. Please restrict your response to each question to one page as far as possible
   
   Note: Expand the boxes to accommodate your response.

Response:

2. Provide a summary of the major benefits which, in your opinion, the University would gain from accepting your proposal.

Response:
PART 4 – COMPANY INFORMATION

1. Organisation Detail

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
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<tbody>
<tr>
<td>a) What is your organisation’s full legal name</td>
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<td>b) Who in your organisation will be responsible for this RFP? Provide:</td>
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<td>- Name:</td>
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<td>- Position:</td>
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<tr>
<td>- Address:</td>
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<tr>
<td>- Phone:</td>
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<td>- Fax:</td>
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<tr>
<td>- Email:</td>
<td></td>
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<tr>
<td>- Mobile:</td>
<td></td>
</tr>
<tr>
<td>c) What type of legal entity is your</td>
<td></td>
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<tr>
<td>Information Required</td>
<td>Your Response</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------------------</td>
<td>---------------</td>
</tr>
<tr>
<td>organisation (for example, public listed company, private company, partnership)</td>
<td></td>
</tr>
<tr>
<td>d) Explain your corporate structure including associate or parent organisation, and</td>
<td></td>
</tr>
<tr>
<td>the relationship of your organisation to the proposed system(s) – list all</td>
<td></td>
</tr>
<tr>
<td>e) What is your primary field of expertise and core business</td>
<td></td>
</tr>
<tr>
<td>f) Provide a brief summary of your corporate history, stating the length of time you</td>
<td></td>
</tr>
<tr>
<td>have operated in the tertiary education sector</td>
<td></td>
</tr>
<tr>
<td>g) Is your organisation registered in South Africa and, if so, what is the registered</td>
<td></td>
</tr>
<tr>
<td>address and contact details of your organisation</td>
<td></td>
</tr>
<tr>
<td>h) Describe the size of your South African operation – provide a list of education</td>
<td></td>
</tr>
<tr>
<td>Information Required</td>
<td>Your Response</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------------------</td>
<td>---------------</td>
</tr>
<tr>
<td>sector clients as an attachment, clearly indicating South African clients in the education sector</td>
<td></td>
</tr>
<tr>
<td>i) Describe the number, type and location (country) of personnel your organisation employs</td>
<td></td>
</tr>
<tr>
<td>j) Briefly describe the services you offer in South Africa</td>
<td></td>
</tr>
</tbody>
</table>
2. **Financial Status**

In order to satisfy the University that you are a viable organisation and will be capable of providing on-going support for the solution(s) offered, please provide the following:

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Provide a summary of the current financial position of your organisation</td>
<td></td>
</tr>
<tr>
<td>b) Provide your organisation’s audited financial statements for each of the last three financial years</td>
<td></td>
</tr>
<tr>
<td>If your organisation is not audited, provide the following financial information for each of last three financial years:</td>
<td></td>
</tr>
<tr>
<td>• Annual sales</td>
<td></td>
</tr>
<tr>
<td>• Annual net surplus</td>
<td></td>
</tr>
<tr>
<td>• Net assets</td>
<td></td>
</tr>
<tr>
<td>Information Required</td>
<td>Your Response</td>
</tr>
<tr>
<td>-----------------------------------</td>
<td>----------------------------------------------------</td>
</tr>
<tr>
<td>Average number of staff employed</td>
<td></td>
</tr>
</tbody>
</table>
### 3. Partners and Sub-contractors

If your organisation will use a partner or sub-contractor, i.e. a third party, to deliver part of the system or services requested in this RFI, then please provide the following for each partner/sub-contractor:

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Describe the relationship between your organisation and the third party. This must include the length of time you have worked with this third party and in what circumstances</td>
<td></td>
</tr>
<tr>
<td>b) Provide details about the third party, including:</td>
<td></td>
</tr>
<tr>
<td>• Full corporate name;</td>
<td></td>
</tr>
<tr>
<td>• Type of entity (for example publicly listed company, private company, partnership, etc.);</td>
<td></td>
</tr>
<tr>
<td>• Field of expertise and core business;</td>
<td></td>
</tr>
<tr>
<td>Information Required</td>
<td>Your Response</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------------------</td>
<td>---------------</td>
</tr>
<tr>
<td>• Summary of corporate history, stating length of time in the industry applicable to their involvement in your response;</td>
<td></td>
</tr>
<tr>
<td>• What is the estimated value of the work that the sub-contractor will perform?</td>
<td></td>
</tr>
<tr>
<td>c) Describe the role the partners and/or sub-contractors would play in implementing your proposed ERP solution</td>
<td></td>
</tr>
</tbody>
</table>
4. **Capability and Relative Experience**

When completing this section, and if you are responding as a reseller or as a recent entrant in the education sector market, e.g. through the acquisition of an ERP application or organisation, please clearly distinguish between your own capability/experience and that of your supplier or previous solution owner.

*Note: please restrict your response to each question to one page as far as possible.*

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Briefly describe the capability and resources of your organisation that would be available to the University</td>
<td></td>
</tr>
<tr>
<td>b) Describe your expertise in all aspects of systems implementation</td>
<td></td>
</tr>
<tr>
<td>c) Provide a list of your 5 most recent implementations in the education sector, by year and country</td>
<td></td>
</tr>
<tr>
<td>d) Identify how many education sector customers are using your ERP solution, by</td>
<td></td>
</tr>
<tr>
<td>Information Required</td>
<td>Your Response</td>
</tr>
<tr>
<td>--------------------------------------</td>
<td>---------------</td>
</tr>
<tr>
<td>country of installation and version</td>
<td></td>
</tr>
</tbody>
</table>
5. **Client References**

Please provide the following information for at least 2 client references, with preferably one South African reference. Please note that the University intends contacting the references provided. Client references should ideally come from your 5 most recent implementations.

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>5.1</strong> Name, business and location of the organisation.</td>
<td></td>
</tr>
<tr>
<td>• Name, position, contact phone number and email address of a referee at the organisation.</td>
<td></td>
</tr>
<tr>
<td>• The period of time the work was undertaken in.</td>
<td></td>
</tr>
<tr>
<td>• Key factors in selecting this referee for this RFI.</td>
<td></td>
</tr>
<tr>
<td><strong>5.2</strong> Name, business and location of the organisation</td>
<td></td>
</tr>
<tr>
<td>• Name, position, contact phone number and email address of a referee at the organisation</td>
<td></td>
</tr>
<tr>
<td>Information Required</td>
<td>Your Response</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------------------</td>
<td>---------------</td>
</tr>
<tr>
<td>organisation.</td>
<td></td>
</tr>
<tr>
<td>• The period of time the work was undertaken in.</td>
<td></td>
</tr>
<tr>
<td>• Key factors in selecting this referee for this RFI.</td>
<td></td>
</tr>
</tbody>
</table>
6. Quality Assurance

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provide a brief description of your normal quality assurance procedures relating to systems development, installation, documentation, training, maintenance and support. This should include details of any quality programmes and quality certification or accreditation</td>
<td></td>
</tr>
</tbody>
</table>


7. Account Management

*Note: please restrict your response to each question to one page as far as possible.*
<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Describe your organisation's customer management hierarchy, including who would be responsible locally for the University account</td>
<td></td>
</tr>
<tr>
<td>b) How would you facilitate clear, strong communication between yourselves and the University? This should include how you would stay aligned with the University’s business and strategic needs</td>
<td></td>
</tr>
<tr>
<td>c) What is the process you would use for reporting on progress/issues with the University’s account? This should include who would perform that role and how often this would occur</td>
<td></td>
</tr>
</tbody>
</table>
PART 5 – HIGH LEVEL FUNCTIONAL REQUIREMENTS

The aim of this section is to gather information on the key functionalities of the proposed software system(s). Clearly indicate which functional areas are not covered by your proposed solution.

*Note:* Please limit your response as far as possible to a maximum of one page per question.

<table>
<thead>
<tr>
<th>RFI ID</th>
<th>Requirements</th>
<th>Provide a brief overview of the system functionality that is proposed</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0</td>
<td>STUDENT MANAGEMENT</td>
<td></td>
</tr>
<tr>
<td>1.1</td>
<td>Curriculum Management</td>
<td></td>
</tr>
<tr>
<td>1.2</td>
<td>Enquiries from Prospective Students</td>
<td></td>
</tr>
<tr>
<td>1.3</td>
<td>The Application and Admissions Processes</td>
<td></td>
</tr>
<tr>
<td>1.4</td>
<td>Registration</td>
<td></td>
</tr>
<tr>
<td>1.5</td>
<td>Lecturing and Assessment Management</td>
<td></td>
</tr>
<tr>
<td>1.6</td>
<td>Examinations</td>
<td></td>
</tr>
<tr>
<td>1.7</td>
<td>Graduation</td>
<td></td>
</tr>
<tr>
<td>1.8</td>
<td>Alumni Management</td>
<td></td>
</tr>
<tr>
<td>RFI ID</td>
<td>Requirements</td>
<td>Provide a brief overview of the system functionality that is proposed</td>
</tr>
<tr>
<td>--------</td>
<td>------------------------------------------------------------------------------</td>
<td>------------------------------------------------------------------------</td>
</tr>
<tr>
<td>1.9</td>
<td>Management of Student Fees</td>
<td></td>
</tr>
<tr>
<td>1.10</td>
<td>Management of Scholarships and Grants, including all processes in support of the national Student Financial Aid Scheme (NSFAS)</td>
<td></td>
</tr>
<tr>
<td>1.11</td>
<td>Student self-service</td>
<td></td>
</tr>
<tr>
<td>1.12</td>
<td>Other if proposed (please list)</td>
<td></td>
</tr>
<tr>
<td>1.13</td>
<td>Other if proposed (please list)</td>
<td></td>
</tr>
<tr>
<td>2.0</td>
<td>Qualifications and Curriculum Management</td>
<td></td>
</tr>
<tr>
<td>2.1</td>
<td>Qualifications, Academic Program, Course and Curriculum Structure Management</td>
<td></td>
</tr>
<tr>
<td>2.2</td>
<td>Management of Program and Course rules</td>
<td></td>
</tr>
<tr>
<td>3.0</td>
<td>FINANCIAL MANAGEMENT</td>
<td></td>
</tr>
<tr>
<td>3.1</td>
<td>General Ledger</td>
<td></td>
</tr>
<tr>
<td>3.2</td>
<td>Budgeting</td>
<td></td>
</tr>
<tr>
<td>RFI ID</td>
<td>Requirements</td>
<td>Provide a brief overview of the system functionality that is proposed</td>
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<tr>
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<td>-----------------------------------------------------------------------</td>
</tr>
<tr>
<td>3.3</td>
<td>Accounts Payable</td>
<td></td>
</tr>
<tr>
<td>3.4</td>
<td>Accounts Receivable</td>
<td></td>
</tr>
<tr>
<td>3.5</td>
<td>Student Debtors</td>
<td></td>
</tr>
<tr>
<td>3.6</td>
<td>Cash Management, including Cashbook Management</td>
<td></td>
</tr>
<tr>
<td>3.7</td>
<td>Procurement, including Purchase Ordering, Inventory and Accounts Payable</td>
<td></td>
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<tr>
<td>3.8</td>
<td>Asset Management</td>
<td></td>
</tr>
<tr>
<td>3.9</td>
<td>Other if proposed (please list)</td>
<td></td>
</tr>
<tr>
<td>3.10</td>
<td>Other if proposed (please list)</td>
<td></td>
</tr>
<tr>
<td>4.0</td>
<td><strong>Human Resource Management</strong></td>
<td></td>
</tr>
<tr>
<td>4.1</td>
<td>Personnel System</td>
<td></td>
</tr>
<tr>
<td>4.2</td>
<td>Recruitment</td>
<td></td>
</tr>
<tr>
<td>4.3</td>
<td>Establishment (Post structure and hierarchy)</td>
<td></td>
</tr>
<tr>
<td>4.4</td>
<td>Leave management</td>
<td></td>
</tr>
<tr>
<td>4.5</td>
<td>Skills Development</td>
<td></td>
</tr>
<tr>
<td>RFI ID</td>
<td>Requirements</td>
<td>Provide a brief overview of the system functionality that is proposed</td>
</tr>
<tr>
<td>--------</td>
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<td>---------------------------------------------------------------------</td>
</tr>
<tr>
<td>4.6</td>
<td>Health and Safety Management</td>
<td></td>
</tr>
<tr>
<td>4.7</td>
<td>Staff evaluation (performance management)</td>
<td></td>
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<tr>
<td>4.8</td>
<td>Personnel self-service</td>
<td></td>
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<tr>
<td>4.9</td>
<td>Other (please list)</td>
<td></td>
</tr>
<tr>
<td>4.10</td>
<td>Other (please list)</td>
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</tr>
<tr>
<td>5.0</td>
<td><strong>Payroll Management</strong></td>
<td></td>
</tr>
<tr>
<td>5.1</td>
<td>Payroll System</td>
<td></td>
</tr>
<tr>
<td>5.2</td>
<td>Pay-Scales Remuneration</td>
<td></td>
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<tr>
<td>5.3</td>
<td>Cost-to-Company Remuneration</td>
<td></td>
</tr>
<tr>
<td>5.4</td>
<td>Electronic Pay Slips</td>
<td></td>
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<tr>
<td>5.5</td>
<td>Tax table Management</td>
<td></td>
</tr>
<tr>
<td>5.6</td>
<td>Other (please list)</td>
<td></td>
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<tr>
<td>5.7</td>
<td>Other (please list)</td>
<td></td>
</tr>
<tr>
<td>6.0</td>
<td><strong>Physical Resource Management</strong></td>
<td></td>
</tr>
<tr>
<td>6.1</td>
<td>Residence Management</td>
<td></td>
</tr>
<tr>
<td>6.2</td>
<td>Timetabling</td>
<td></td>
</tr>
<tr>
<td>6.3</td>
<td>Building Space Management</td>
<td></td>
</tr>
<tr>
<td>RFI ID</td>
<td>Requirements</td>
<td>Provide a brief overview of the system functionality that is proposed</td>
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<tr>
<td>6.4</td>
<td>Other (please list)</td>
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<tr>
<td>6.5</td>
<td>Other (please list)</td>
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</tr>
<tr>
<td>7.0</td>
<td><strong>Library Management</strong></td>
<td></td>
</tr>
<tr>
<td>7.1</td>
<td>Acquisitions</td>
<td></td>
</tr>
<tr>
<td>7.2</td>
<td>Authority Control</td>
<td></td>
</tr>
<tr>
<td>7.3</td>
<td>Cataloguing</td>
<td></td>
</tr>
<tr>
<td>7.4</td>
<td>Circulation</td>
<td></td>
</tr>
<tr>
<td>7.5</td>
<td>Inter-Library Lending</td>
<td></td>
</tr>
<tr>
<td>7.6</td>
<td>Inventory</td>
<td></td>
</tr>
<tr>
<td>7.7</td>
<td>Interfacing with materials supply vendors</td>
<td></td>
</tr>
<tr>
<td>7.8</td>
<td>Interfacing with other Library systems</td>
<td></td>
</tr>
<tr>
<td>7.9</td>
<td>Online Public Access Catalogue (OPAC)</td>
<td></td>
</tr>
<tr>
<td>7.10</td>
<td>Other (please list)</td>
<td></td>
</tr>
<tr>
<td>8.0</td>
<td><strong>Customer Relationship Management (CRM)</strong> – as applicable in the tertiary education sector</td>
<td></td>
</tr>
<tr>
<td>8.1</td>
<td>Marketing / Recruitment</td>
<td></td>
</tr>
<tr>
<td>RFI ID</td>
<td>Requirements</td>
<td>Provide a brief overview of the system functionality that is proposed</td>
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</tr>
<tr>
<td>8.2</td>
<td>Campaign Management</td>
<td></td>
</tr>
<tr>
<td>8.3</td>
<td>Customer Service and Support</td>
<td></td>
</tr>
<tr>
<td>8.4</td>
<td>Appointment Management</td>
<td></td>
</tr>
<tr>
<td>8.5</td>
<td>Analytics and trends</td>
<td></td>
</tr>
<tr>
<td>8.6</td>
<td>Other (please list)</td>
<td></td>
</tr>
<tr>
<td>8.7</td>
<td>Other (please list)</td>
<td></td>
</tr>
<tr>
<td>9.0</td>
<td><strong>Business Intelligence (BI) and Management Information (MIS)</strong></td>
<td></td>
</tr>
<tr>
<td>9.1</td>
<td>BI system / functionality</td>
<td></td>
</tr>
<tr>
<td>9.2</td>
<td>MIS System / functionality</td>
<td></td>
</tr>
<tr>
<td>9.3</td>
<td>Other (please list)</td>
<td></td>
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<tr>
<td>9.4</td>
<td>Other (please list)</td>
<td></td>
</tr>
<tr>
<td>10.0</td>
<td><strong>Statutory Reporting</strong></td>
<td></td>
</tr>
<tr>
<td>10.1</td>
<td>Student HEMIS reporting</td>
<td></td>
</tr>
<tr>
<td>10.2</td>
<td>Personnel HEMIS reporting</td>
<td></td>
</tr>
<tr>
<td>10.3</td>
<td>Post-Doctoral and Research Fellow-HEMIS reporting</td>
<td></td>
</tr>
<tr>
<td>10.4</td>
<td>Skills reporting</td>
<td></td>
</tr>
<tr>
<td>10.5</td>
<td>Equity reporting</td>
<td></td>
</tr>
<tr>
<td>RFI ID</td>
<td>Requirements</td>
<td>Provide a brief overview of the system functionality that is proposed</td>
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<td>--------</td>
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<td>---------------------------------------------------------------</td>
</tr>
<tr>
<td>10.6</td>
<td>Other (please list)</td>
<td></td>
</tr>
<tr>
<td>10.7</td>
<td>Other (please list)</td>
<td></td>
</tr>
</tbody>
</table>
PART 6 – GENERAL SYSTEM FEATURES

Please provide the following information for each of the systems proposed for implementation (copy and insert for multiple products):

*Note: please restrict your response to each question to one page as far as possible.*

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>a) Workflow</strong></td>
<td></td>
</tr>
<tr>
<td>Outline the workflow capabilities within the system (if any) and its ability to rapidly define new workflows including screens, validations, rules, alerts, users and shared queues. Also please describe the ability and mechanism for your product to integrate with third party workflow tools.</td>
<td></td>
</tr>
</tbody>
</table>
b) Reporting
What reporting tools will be part of the system? The reporting tools offered must be user friendly, flexible and on-demand, as well as supporting industry-standard Business Intelligence (data warehousing) solutions to allow for data analysis. Describe how reporting works from your solution.

c) Document Management
Describe the system’s Document Management capabilities (if any and applicable).

d) Communication (if applicable for the system)
Describe what communication mechanisms are supplied with the system, including:
• Direct correspondence;
• SMS/Text communication;
- Capture of communication records; and
- Ability to perform surveys.

Please indicate whether these mechanisms operate from within the system or are external applications/modules that are linked to from within the system.
PART 7 – TECHNICAL

Please provide the following information for each of the systems proposed for implementation (copy and insert for multiple products):

*Note: Please restrict your response to each question to one page as far as possible.*

<table>
<thead>
<tr>
<th>Product Name:</th>
</tr>
</thead>
</table>

### 1. System Architecture

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Provide a high-level description of the system architecture, including a high-level architecture diagram.</td>
<td></td>
</tr>
<tr>
<td>b) Describe the underlying technology, including the version of each component, used by the proposed system. This should include operating system (OS), database management system (DBMS), programming tools and desktop client</td>
<td></td>
</tr>
<tr>
<td>Information Required</td>
<td>Your Response</td>
</tr>
<tr>
<td>-----------------------</td>
<td>---------------</td>
</tr>
<tr>
<td>software.</td>
<td></td>
</tr>
<tr>
<td>c) Describe the minimum client, server, desktop and network configurations required to achieve an acceptable standard of performance for users. Are there any limitations on the number of users the system can support?</td>
<td></td>
</tr>
<tr>
<td>d) Specify the preferred OS and DBMS for your system</td>
<td></td>
</tr>
<tr>
<td>e) Please provide alternative options available from you to the system being managed technically onsite by staff of the University, i.e. the possibility of cloud computing or the off-site hosting of the system or outsourced onsite technical support. Pricing of the alternative approaches must be provided in the</td>
<td></td>
</tr>
</tbody>
</table>
2. **General Integration and Interfacing**

The proposed system will integrate with a number of other, commercially available and/or in-house developed, systems. Data could be viewed and/or updated via these other systems.

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>section dealing with costs.</td>
<td></td>
</tr>
</tbody>
</table>

The system’s integration capability must include Web services technology to provide real-time dynamic updates. Provide a description of the Web Services available from the system, broken down by currently available and planned for the future.

3. **Security and Access**
<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
</table>
| a) The system must have robust security features.  
  Describe the security and access control functionality provided by your system, including any standards they comply with. | |
| b) Please provide information on audit trail logging capabilities of the system. | |
PART 8 – IMPLEMENTATION

The University expects the preferred supplier to provide appropriate personnel and resources for the implementation of the ERP system. Please provide the following information for each of the systems proposed for implementation (copy and insert for multiple products):

*Note: Please restrict your response to each question to one page as far as possible.*

Product Name: 

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Describe the implementation services you would provide to the University</td>
<td></td>
</tr>
<tr>
<td>b) Describe what activities you would expect the University to undertake</td>
<td></td>
</tr>
<tr>
<td>c) Provide a high-level implementation timeline</td>
<td></td>
</tr>
</tbody>
</table>
2. Documentation and Training

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Outline what user documentation and training is provided with the system.</td>
<td></td>
</tr>
<tr>
<td>b) Outline your preferred approach to training University staff on the use and support of the proposed system.</td>
<td></td>
</tr>
<tr>
<td>c) Describe the technical documentation provided with the system.</td>
<td></td>
</tr>
</tbody>
</table>

3. Customisation

While it is the University’s intention to implement the ‘vanilla’ software, customisations may be required to meet the specific needs of the University. Please provide the following:
<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>Describe to what extent your product can and should be customised for a specific implementation.</td>
<td></td>
</tr>
</tbody>
</table>
PART 9 – HELP AND SUPPORT

The University will require post implementation Help and Support services for the systems implemented.

Please provide the following information for each of the systems proposed for implementation (copy and insert for multiple products).

**Note:** Please restrict your response to each question to one page as far as possible.

<table>
<thead>
<tr>
<th>Product Name:</th>
<th></th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Briefly outline the support options that would be available to the University.</td>
<td></td>
</tr>
<tr>
<td>b) Describe how the University would access your support services.</td>
<td></td>
</tr>
<tr>
<td>c) Describe the minimum in-house skills/staff, if any, the University would require to provide day to day support of the system.</td>
<td></td>
</tr>
<tr>
<td>d) Describe your approach to releasing new</td>
<td></td>
</tr>
<tr>
<td>Information Required</td>
<td>Your Response</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------------------</td>
<td>---------------</td>
</tr>
<tr>
<td>versions of the system, e.g. one major release per annum with quarterly minor releases.</td>
<td></td>
</tr>
<tr>
<td>e) How many versions behind the latest release do you continue to provide support for under your standard support and maintenance agreement?</td>
<td></td>
</tr>
</tbody>
</table>
PART 10 – ON-GOING PRODUCT DEVELOPMENT

The University expects that its investment in systems will bring long term benefits, arising from your on-going product development. Please provide the following information for each of the systems proposed for implementation (copy and insert for multiple products):

*Note:* Please restrict your response to each question to one page as far as possible.

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Describe your approach to research and development.</td>
<td></td>
</tr>
<tr>
<td>b) Describe any User Groups or forums that exist for the system and where they are generally held.</td>
<td></td>
</tr>
<tr>
<td>c) Describe how you identify, manage and prioritise requests for enhancements to the base product.</td>
<td></td>
</tr>
</tbody>
</table>
PART 11 – CONTRACTUAL PRINCIPLES

The University will negotiate a contract with the preferred supplier for the supply and on-going support of the required systems. The University places importance on reaching an agreement with its suppliers that is fair and reasonable for both parties.

Please provide the following information for each of the systems proposed for implementation (copy and insert for multiple products):

<table>
<thead>
<tr>
<th>Product Name:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>As part of your response, provide draft contracts that will cover the following:</td>
<td></td>
</tr>
<tr>
<td>• Supply and Implementation;</td>
<td></td>
</tr>
<tr>
<td>• Support and System Maintenance;</td>
<td></td>
</tr>
<tr>
<td>• Service Level Agreement;</td>
<td></td>
</tr>
<tr>
<td>• Services Contract for technical support and services;</td>
<td></td>
</tr>
<tr>
<td>• Contracts if Cloud Computing (SaaS), Hosted and/or Managed Services are proposed.</td>
<td></td>
</tr>
</tbody>
</table>
**PART 12 – ASSUMPTIONS**

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>Your proposal should set out clearly any assumptions you have made in respect to the requirements set out in this RFI.</td>
<td></td>
</tr>
</tbody>
</table>
PART 13 – ESTIMATED SOLUTION COSTS

The worksheet referred to below must be submitted as a separate file using the naming convention “*<YourOrgName>*_<System>_cost.xlsx”, where the words “*<YourOrgName>*” is replaced with your organisation’s name, and the word “*<System>*” is replaced by the proposed system’s name.

Please note that a separate spreadsheet must be completed for each proposed system (but not for each system component, i.e. if your Student Management System and your Financial Management System is provided from one package, only one spreadsheet is required for the two system areas).

Please provide the following information for each of the systems proposed for implementation (copy and insert for multiple products):

<table>
<thead>
<tr>
<th>Product Name:</th>
</tr>
</thead>
</table>

1. Cost Breakdown

Using the cost worksheet supplied, please provide estimated costs for the supply, implementation and on-going support of the system. Sufficient detail should be provided to enable the University to understand the composition of your costs. Add rows to the worksheet as required. Your costing should include no less than:

- A breakdown of the software license costs, by discrete component or module where applicable;
- Estimated costs for implementation services, broken down by major implementation activity, e.g. system installation, system configuration etc.;
• Any other costs likely to be incurred during the implementation effort, e.g. Disbursements like travel and accommodation;
• On-going support and maintenance charges for the software over a 5 year period (state what the expected cost increase is per annum); and
• An estimate of your charges to support the implementation of annual software upgrades.

All costs must be stated in South African Rand, be free on board and exclusive of Value Added Tax (VAT).

2. Cost Assumptions

The costing should be based on the users and student volumes identified in the RFI and the assumption that the University will be responsible for the following:
• The hardware, operating system and network infrastructure the system will operate on (respondents must provide costs for cloud computing or hosting/managed services if proposed);
• Overall management of the project. However, you will be expected to provide project management for those components of the project under your direct control and to provide reports and advice to the University’s Project Manager;
• Changes required to upstream/downstream systems that the proposed system will interface with;
• Change management (if any).
3. Additional Cost Information

In addition to the cost information provided in the worksheet, please provide the following:

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Provide standard daily and hourly rates for each resource involved in this project.</td>
<td></td>
</tr>
<tr>
<td>b) Identify any material assumptions that you have made in calculating the costs provided in your response.</td>
<td></td>
</tr>
<tr>
<td>c) Describe the pricing methodology you apply for the proposed system. For example per user, per student, per module or if the solution is sold per processor.</td>
<td></td>
</tr>
<tr>
<td>d) Identify what costs other than for labour and software you would charge the University, e.g. travel. Note these costs</td>
<td></td>
</tr>
<tr>
<td>Information Required</td>
<td></td>
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<td>----------------------</td>
<td></td>
</tr>
<tr>
<td>should be included in the cost worksheet.</td>
<td></td>
</tr>
<tr>
<td>e) Identify any 3(^{rd}) party costs required to implement the system. Note these costs should be included in the cost worksheet.</td>
<td></td>
</tr>
</tbody>
</table>
## Example of Excel Cost spread sheet

<table>
<thead>
<tr>
<th>Once-off Project Implementation Costs</th>
<th>Total Cost for 5 years (ZAR)</th>
<th>Year 1 Costs (ZAR)</th>
<th>Year 2 Costs* (ZAR)</th>
<th>Year 3 Costs* (ZAR)</th>
<th>Year 4 Costs* (ZAR)</th>
<th>Year 5 Costs* (ZAR)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Management</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Software licenses - Own</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Software licenses - 3rd party</td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>System Installation</td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Customisation (please provide details separately)</td>
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<td></td>
</tr>
<tr>
<td>Integration</td>
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<tr>
<td>System Testing (including BAT)</td>
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<td></td>
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<tr>
<td>Commissioning and Go-Live support</td>
<td></td>
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<td></td>
<td></td>
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<tr>
<td>User Training</td>
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<td></td>
<td></td>
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<tr>
<td>Technical Support Training</td>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Disbursements (Travel, accommodation, etc.)</td>
<td></td>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Other (Provide description)</td>
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<tr>
<td>Other (Provide description)</td>
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<td></td>
</tr>
<tr>
<td><strong>TOTAL – Once-off Project Costs</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>On-going Annual Costs</strong></td>
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</tr>
<tr>
<td>Software</td>
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</tr>
<tr>
<td>Hardware</td>
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<tr>
<td>Support</td>
<td></td>
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</tr>
<tr>
<td>Hosting</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Transactional costs (Provide description)</td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Disbursements (Travel, accommodation, etc.)</td>
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<td>--------------------------------------------</td>
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<tr>
<td>System Upgrade Costs</td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other (Provide description)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other (Provide description)</td>
<td></td>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL – On-going Annual Costs</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL PROJECT COST</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* State the % escalation used on a year on year basis for the 5 years
11. ANNEXURE D – DRAFT REQUEST FOR PROPOSAL (RFP) TEMPLATE FOR AN ENTERPRISE RESOURCE PLANNING (ERP) SYSTEM

SECTION A – OVERVIEW

11.1. Introduction

11.1.1. Purpose of the Request for Proposal (RFP)

The purpose of this request for proposal (“RFP”) process is to invite suitably qualified parties as identified through the request for information (“RFI”) phase to participate in a tender phase for the products and services as specified in this RFP document.

The RFP document consists of the following:

Section A – Overview: Provides background information, instructions and conditions for responding to this RFP.

Section B – RFP Process: Sets out the conditions and requirements of this RFP process, together with the evaluation process and criteria.

Section C – Information required from Respondents: Sets out the information required in the RFP response.

This RFP process is intended to identify a supplier or suppliers that meet and satisfy the business requirements specified in this RFP, and to enter into contract negotiations with the best qualified supplier(s).

11.2. Background

Government has adopted a range of strategies to expand the country’s post school education system, increasing the opportunities available to a growing number of qualifying school leavers. Since the
transition to democracy, much has been done to increase the capacity and efficiency of existing institutions.

Against this background Government has decided to develop two new universities in the provinces of Mpumalanga and the Northern Cape, the only two provinces that do not yet have a University. Government recognises that this is a long term investment in the expansion of our higher education capacity.

As one of South Africa’s first new institutions of higher learning since 1994, this university is envisaged as a symbol of the new order, democracy, inclusiveness, growth and opportunity. It must become an enduring source of pride, both nationally and provincially. It must be able to attract the best academics in South Africa, the continent and the world. The hallmark of the new university must be academic excellence underpinned by quality leadership.

Government is determined that this university should take its place amongst the network of institutions serving and expanding our national needs. It will provide qualifications in a range of fields for our young people wishing to develop high level skills for the economy and for their personal advancement. It must create a strong academic hub, drawing on the individuality of the province to develop a unique academic focus and a strong main campus that enables multi campus expansion over time.

It must enable maximum access within the country and contribute to the economic and cultural development of the province.

It is envisaged that the institution will be a comprehensive university aspiring to be a destination of choice for qualifying school leavers across South Africa and the continent.

This university will support both national and provincial goals.

Planning for the new University aims that the first academic year will commence during January 2014, with an initial student enrolment of less than 1,000 students during the first academic year. For the sake of this RFP it is estimated that the institution will grow by 1,000 students annually for
the first 3 years. The staff complement, both academic and administrative, will be in line with a University supporting the stated student numbers.

11.3. Description of requirements

11.3.1. Overview

The University is seeking to identify suppliers of ERP systems that will meet the needs of a comprehensive university in South Africa. The proposed ERP systems must have a South African footprint and support all statutory requirements for the Higher Education (HE) sector. Alternative infrastructure proposals will be considered and implementation will include interfacing to other internal university systems and external systems such as the National Student Financial Aid Scheme (NSFAS).

As the first student enrolment is planned for January 2014, suppliers must be in a position to fast-track implementation.

11.4. Scope of services

The University intends to acquire a modern, fully-functional integrated ERP system that is preferably in use at other universities in South Africa.

The scope of the ERP system and related services are provided in Section C. Ideally a supplier will be able to provide all required ERP systems and related services. However, as the scope of the required ERP solution must support diverse business requirements, responses are also invited from consortiums of suppliers where a consortium will be able to provide the full ERP system, or from suppliers that can provide only selected ERP systems and/or related services.

Respondents must clearly indicate in Part 2 of Section C which business areas are supported by their response.
SECTION B – THE RFP PROCESS

11.5. Request for proposal process

11.5.1. Timeline

The anticipated timeline for this RFP process is as follows:

<table>
<thead>
<tr>
<th>Activity</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Release RFP</td>
<td>dd-MMM-yyyy</td>
</tr>
<tr>
<td>Compulsory briefing meeting</td>
<td>dd-MMM-yyyy @ hh:mm at &lt;Venue&gt;, &lt;Address&gt;</td>
</tr>
<tr>
<td>RFP questions close</td>
<td>dd-MMM-yyyy @ hh:mm</td>
</tr>
<tr>
<td>RFP submission closes</td>
<td>dd-MMM-yyyy @ hh:mm</td>
</tr>
<tr>
<td>RFP evaluation</td>
<td>dd-MMM-yyyy</td>
</tr>
<tr>
<td>Short-listed RFP respondents notified of date</td>
<td>dd-MMM-yyyy</td>
</tr>
<tr>
<td>of product demonstrations</td>
<td></td>
</tr>
<tr>
<td>Product demonstrations by short-listed RFP</td>
<td>dd-MMM-yyyy</td>
</tr>
<tr>
<td>respondents</td>
<td><em>(may require more than 1 day)</em></td>
</tr>
<tr>
<td>Respondents notified of outcome</td>
<td>dd-MMM-yyyy</td>
</tr>
<tr>
<td>Contract negotiation phase</td>
<td>From dd-MMM-yyyy</td>
</tr>
<tr>
<td>Award of Contract</td>
<td>dd-MMM-yyyy</td>
</tr>
</tbody>
</table>

Respondents must note that this timeline is indicative only, and may be subject to change at the sole discretion of the university. All respondents that have attended the compulsory briefing meeting will be notified of any changes to the timeline by the authorised representative of the university.

11.6. Canvassing

Respondents will not canvass any University employees, contractors, consultants or anyone who has a direct working relationship with the University, other than the Authorised Representative, in
relation to this RFI. Respondents may also not contact any employee, representative of a contractor to the South African Department of Higher Education and Training (DHET) regarding this RFI. Any respondent found to be canvassing, or to have canvassed, any of the University’s or DHET’s employee, contractor, consultant or anyone who has a direct working relationship with the University or DHET in this regard may be disqualified from the RFI process.

11.7. Communication

No communication will be entered into with any of the respondents except in the following circumstances:

i. Clarification of the RFP document by respondents (only prior to the prescribed closing date for questions); or

ii. The university seeking clarification from the respondents on aspects of the submitted responses.

All communication and/or correspondence between any respondent and the university will be conducted via email only, and only through the following University Authorised Representative:
(Insert details of Authorised Representative + his/her email)

The University will not be bound by any statement, written or verbal, made by any person other than the University Authorised Representative stated in this section. The University Authorised Representative is the only person authorised to make representations or explanations regarding this RFP document.

11.8. RFP questions

All questions are to be submitted via email to the University Authorised Representative. Respondents must submit questions via email to clarify identified issues relating to the RFP up to and including the closing date for questions. Any questions received after this date will not be responded to.
Questions and answers that the university deems important to the RFP will be issued to all respondents in a non-attributable way.

11.9. Evaluation criteria

Potential suppliers of the system software and implementation services must meet the following minimum criteria:

i. Use of the applicable software product(s) in at least two universities in South Africa.

ii. Evidence of on-going investment in the development of the software product(s).

iii. The adequacy of the software product(s)’ fit to the university’s required functionality.

iv. Experience and proven capability to implement the software product(s).

v. Availability of implementation and support resources in South Africa.

vi. The software product’s compliance with the statutory reporting requirements in South Africa.

Points will be awarded for Broad-Based Black Economic Empowerment (B-BBEE).

The above is a summary of the evaluation criteria. These criteria are intended for guidance only. The criteria are not in any order of importance, are not exhaustive, and will not necessarily be given equal weighting. The university, at its discretion, may take into account additional factors, including:

i. The outcome of product demonstrations by the short-listed RFP respondents;

ii. That the university is confident in the respondent’s ability to establish and maintain a mutually acceptable business relationship with the university;

iii. The respondent’s ability to carry out all the services detailed in this RFP document;

iv. The respondent’s proven track record in delivering similar products and services;

v. Compliance with the terms and conditions set out in this RFP document; and

vi. Any other criteria that the university deems relevant to evaluate these requirements and the RFP process.
11.10. **Clarification of responses – time to respond**

Respondents may be asked to clarify aspects of their RFP response, or provide additional information. These requests will require a response within XX working days, or the appropriate time specified in the email request from the University’s Authorised Representative. Failure to respond to such a request within the stated timeframe may result in the exclusion of the RFP response for further consideration.

11.11. **Communication of outcome**

All respondents who submitted a RFP response will be notified via email of the outcome of this RFP process.

11.12. **Short listing of RFP respondents**

As a result of this RFP process, the University reserves the right to compile a short list and request the short-listed respondents to conduct product demonstrations. The product demonstrations will be based on typical business process scenarios. Short-listed respondents will be requested, by setting up data in the proposed system, to illustrate how the proposed system will best handle the business scenarios.

11.12.1. **Preferred respondent**

Should a respondent be informed that they are a potential preferred respondent, such advice shall not:

i. Constitute an acceptance by the University nor create a contract;

ii. Constitute an award of the contract; nor

iii. Imply or create an obligation on the University to enter into negotiations with or award the contract to the respondent.

iv. The university reserves the right to discontinue any negotiations with any supplier at any time during the RFP process, and not to award a contract as part of the RFP process.
11.13. RFP response

11.13.1. Form, content and preparation of RFP response

In submitting a response to this RFP request, the respondent accepts and agrees to comply with the provisions of the RFP documents.

Respondents should submit one response only, although this response may include one or more options/solutions/software systems.

Joint responses may be submitted, provided that all respondents are jointly and severally liable, and one of the joint respondents is identified as the primary contact for all communications with the University relating to their RFI response.

Responses are to be signed for or on behalf of the respondent by a duly authorised officer of the respondent. Signed declarations should be scanned as a PDF document and submitted along with the electronic copy of the RFP response.

Responses cannot be withdrawn once submitted, except with the written consent of the University.

The cost of preparing and submitting a response, as well as possible product demonstrations and contract negotiations shall be borne by the respondent.

All responses will become the property of the University, and do not have to be returned to the respondent. The university may use the responses as it sees fit, subject to the confidentiality clause provision within this document.

11.13.2. Submission of RFI responses

i. The RFP will close on (insert information – date and time)

ii. The RFP must be submitted at (insert information and details of venue)

iii. Number of printed copies to be provided (insert information)

iv. Electronic copy in .pdf format to be provided (insert information)
v. The electronic copy of the Costing spread sheet must be provided as an Excel document.
vi. Responses must be submitted in same format as Section C of this document, and must be clear, legible and provide all the information requested in this RFP document.
vii. Responses must be received prior to the time and date stipulated as the closing date. Late responses will not be accepted by the university.
viii. The university will not accept any faxed or emailed responses.
ix. Any response received by the university that does not conform to all or any of the above conditions may be rejected or accepted during the evaluation process at the sole discretion of the university.
x. Any request for an extension of the closing date is likely to be declined.

11.14. RFP conditions

11.14.1. Rights reserved by the University

The processes described in these RFP terms and conditions are not intended to create a process contract and the university reserves the right to make changes to the processes and timelines in order to more effectively meet its objectives whilst maintaining its policy of openness and fairness. The University reserves the right to:

i. Re-issue this RFP;
ii. Suspend or cancel (in whole or in part) the RFP process and/or the overall procurement process;
iii. Reject all RFPs and not proceed with the contract negotiations;
iv. Amend the closing date for submission of RFP responses, or any other date referred to or implied in this RFP, by the issuance of a written notice;
v. Vary this RFP by way of notice to respondents;
vi. Select respondent(s) based on their RFP response and invite them to participate in product demonstrations as part of the RFP process;
vii. Issue tenders with modified descriptions of service or product requirements, including innovations proposed by respondents through this RFP process;
viii. Deal separately with any of the elements of the services/products, unless the relevant RFP response specifically states that those elements must be taken collectively;

ix. Enter into discussions with any one or more respondents relating to matters in this RFP;

x. Not proceed to evaluation of RFP’s;

xi. Extend the list of potential respondents beyond those who respond to this invitation;

xii. Liaise, negotiate or contract with any respondent or other person at any time without disclosing this to, or involving or doing the same with, any other respondent or person (whether during or after this proposal process);

xiii. Seek clarification of any aspect or information provided in an RFP response, or seek further information from any party; and

xiv. Consider, accept or reject any response received after the RFP closing date.

11.14.2. No obligation to discuss

Nothing contained or implied in this RFP shall oblige the university to discuss, justify or give reasons for any of its decisions or actions relating to this RFP or any responses received.

11.14.3. The university’s liability for information disclosed

While the university endeavours to supply correct information, it disclaims, to the extent allowed by law, any liability (in contract and in tort, including negligence) to any respondent or other person if they rely on any information provided by the university in relation to the RFP.

Those submitting RFP responses will be considered to have:

i. Examined this RFP and all documents referenced (if any);

ii. Considered all the risks, contingencies and other circumstances that may have an effect on their response; and

iii. Satisfied themselves as to the correctness and sufficiency of their responses.

11.14.4. Clarification of information

Requests for clarification that relate solely to one respondent will be provided to the respondent requesting the clarification. Should the request for clarification be deemed at the discretion of the
university as material to the RFP document, then a Notice to Respondents will be issued by the university to all respondents.

11.14.5. Information complete and accurate

Each respondent must include all the information as required by the university in this RFP. Information not specifically required by the RFP, but believed by the respondent to be of value in evaluating the responses, should be included as an addendum. Where there is reference to published manuals, only the relevant extracts should be placed in the addendum.

All respondents warrant that:

i. All information provided in their response is complete and accurate in all material respects; and

ii. Information provided to the university, and the use of it by its employees, agents or contractors for the evaluation of responses and the possible subsequent negotiation and implementation of a contract, will not breach any third party’s intellectual property rights.

11.14.6. Confidentiality

i. This RFP, and the information supplied by the university (either itself or through its consultants or advisors) in connection with this RFP, is confidential. The respondent must not release or disclose any of the information to any other party or person (other than its employees or advisors involved in the preparation of a response to this RFP) without the prior written consent of the University.

ii. Respondents should make their responses “Commercial in Confidence” if they wish to protect specific information.
11.14.7. Advertising and statements

No advertising, press release, public statement or other information relating to the RFP, and any subsequent proposal or contract shall be published by the respondent without the prior written consent of the university.

11.14.8. Copyright

Copyright of every document (electronic and paper) comprising this RFP belongs to the university. All rights are reserved. This RFP document must be kept secure, and must not be used, stored, copied or passed on in any form by any means without the university’s prior written consent in each case.

11.14.9. Conflict of interest

Respondents should disclose any conflicts of interest in relation to the matters covered by this RFP.

11.14.10. Governing law

This RFP is governed by South African law, and the South African courts have exclusive jurisdiction to all matters relating to this RFP.

11.14.11. Subject to contract

All parties submitting an RFP response agree that:

i. A contract is only formed between the university and the successful respondent when the university executes such a contract covering the relevant services and/or products;

ii. This RFP and any provision contained in it does not give rise to a separate contract between the university and that party.
11.15. Instructions for Completing the Request for Proposal (RFP) template:

You are required to answer each question in this section. You must use these sections in your response and respond in the same sequence. Where a question is not relevant to your RFP response you must insert “N/A” or “Not Applicable” against the respective question number.

If the answer to a question is in an attachment then you must indicate this at the respective question number and reference it to the relevant attachment and identify the attachment accordingly.

*Note:* Please expand the boxes to accommodate your response.

**PART 1 – DOCUMENTATION**

Respondents must submit the following supporting documentation as annexures to their submission.

Documents that have been submitted as part of the RFI process that lead to this RFP need not be re-submitted, unless an updated / more recent document is available. Where documents have previously been submitted and no updated document is re-submitted, please indicate with “Previously submitted document to be used” in the table below.
<table>
<thead>
<tr>
<th>Compulsory Documentation</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>Resolution to Sign the RFP Documentation</td>
<td></td>
</tr>
<tr>
<td>Proof of Tender Registration Payment</td>
<td></td>
</tr>
<tr>
<td>B-BBEE Certificate</td>
<td></td>
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<tr>
<td>Tax Clearance Certificate</td>
<td></td>
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<tr>
<td>Articles of Association</td>
<td></td>
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<tr>
<td>Company Ownership Document</td>
<td></td>
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<tr>
<td>Company Registration Certificate</td>
<td></td>
</tr>
<tr>
<td>Latest Annual Report</td>
<td></td>
</tr>
<tr>
<td>Financial Statements for the last 3 financial years</td>
<td></td>
</tr>
<tr>
<td>All relevant draft contracts</td>
<td></td>
</tr>
<tr>
<td>Project implementation timeline for each ERP component proposed in this response</td>
<td></td>
</tr>
<tr>
<td>Education sector Client List (in South Africa and abroad) per proposed product</td>
<td></td>
</tr>
<tr>
<td><strong>Optional Documentation</strong></td>
<td><strong>Your Response</strong></td>
</tr>
<tr>
<td>Company and product brochure information</td>
<td></td>
</tr>
</tbody>
</table>
PART 2 – PROPOSED ERP SOLUTION

Respondents may not be in a position to meet the full RFP requirements. Respondents must therefore clearly indicate which of the listed business areas are covered by their proposed solution. The relationship between the each proposed system and the respondent must be clearly indicated, as well as the use of business partners and sub-contractors. Existing integration points between proposed systems must be indicated.

<table>
<thead>
<tr>
<th>Business Area</th>
<th>Covered by this RFI response (Y/N)</th>
<th>Proposed system and system module</th>
<th>Version</th>
<th>Relationship between the Respondent and the proposed system (e.g. owner, reseller, etc.)</th>
<th>Existing Integration points between the proposed systems</th>
<th>Additional comments from Respondent (including the use of partners or subcontractors in delivering the products or related services)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Student Management, including Qualifications and Curriculum Management</td>
<td></td>
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<tr>
<td>Financial Management</td>
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<tr>
<td>Human Resource Management</td>
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<tr>
<td>Payroll Management</td>
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<tr>
<td>Physical Resource Management,</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Business Area</td>
<td>Covered by this RFI response (Y/N)</td>
<td>Proposed system and system module</td>
<td>Version</td>
<td>Relationship between the Respondent and the proposed system (e.g. owner, reseller, etc.)</td>
<td>Existing Integration points between the proposed systems</td>
<td>Additional comments from Respondent (including the use of partners or subcontractors in delivering the products or related services)</td>
</tr>
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<tr>
<td>including</td>
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<tr>
<td>- Residence Management; and</td>
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<td></td>
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<tr>
<td>- Timetabling</td>
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<td></td>
<td></td>
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<tr>
<td>Customer Relationship Management (CRM)</td>
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</tr>
</tbody>
</table>
PART 3 – EXECUTIVE SUMMARY

1. Provide an overview of your response for the provision of the products and services required by this RFP, and listed in Part 2 above.
   
   *Note: Expand the boxes to accommodate your response.*

   **Response:**

   

2. Provide a summary of the major benefits which, in your opinion, the University would gain from accepting your proposal. What added benefits and value do you offer the university?

   **Response:**

   

PART 4 – COMPANY INFORMATION

1. Organisation Detail

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) What is your organisation’s full legal name</td>
<td></td>
</tr>
<tr>
<td>b) Who in your organisation will be responsible for this RFP? Provide:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Name :</td>
</tr>
<tr>
<td></td>
<td>Position :</td>
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<tr>
<td></td>
<td>Address :</td>
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<td></td>
<td>Phone :</td>
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<tr>
<td></td>
<td>Fax :</td>
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<tr>
<td></td>
<td>Email :</td>
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<tr>
<td></td>
<td>Mobile :</td>
</tr>
<tr>
<td>Information Required</td>
<td>Your Response</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------------------</td>
<td>---------------</td>
</tr>
<tr>
<td>c) What type of legal entity is your organisation (for example, public listed company, private company, partnership)</td>
<td></td>
</tr>
<tr>
<td>d) Explain your corporate structure including associate or parent organisation, and the relationship of your organisation to the proposed system(s) – list all. Provide detail of the equity rating of your associate or parent organisation(s)</td>
<td></td>
</tr>
<tr>
<td>e) Describe the services you are including in your proposal.</td>
<td></td>
</tr>
</tbody>
</table>
2. Financial Status

In order to satisfy the university that you are a viable organisation and will be capable of providing on-going support for the solution(s) offered, please provide the following:

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Provide a summary of the current financial position of your organisation.</td>
<td></td>
</tr>
<tr>
<td>b) Provide your organisation's audited financial statements for each of the last three financial years (not required to re-submit if submitted as part of the RFI process and still relevant /the latest available statements). If your organisation is not audited, provide the following financial information for each of last three financial years:</td>
<td></td>
</tr>
<tr>
<td>• Annual sales</td>
<td></td>
</tr>
<tr>
<td>Information Required</td>
<td>Your Response</td>
</tr>
<tr>
<td>--------------------------------------</td>
<td>---------------</td>
</tr>
<tr>
<td>• Annual net surplus</td>
<td></td>
</tr>
<tr>
<td>• Net assets</td>
<td></td>
</tr>
<tr>
<td>• Average number of staff employed</td>
<td></td>
</tr>
</tbody>
</table>
3. **Partners and Sub-contractors**

If your organisation will use a partner or sub-contractor, i.e. a third party, to deliver part of the system or services requested in this RFI, then please provide the following for each partner/sub-contractor:

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Describe the relationship between your organisation and the third party. This must include the length of time you have worked with this third party and in what circumstances</td>
<td></td>
</tr>
<tr>
<td>b) Provide details about the third party, including: Full corporate name; Type of entity (for example publicly listed company, private company, partnership, etc.);</td>
<td></td>
</tr>
<tr>
<td>Information Required</td>
<td>Your Response</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------------------</td>
<td>---------------</td>
</tr>
<tr>
<td>• Field of expertise and core business;</td>
<td></td>
</tr>
<tr>
<td>• Summary of corporate history, stating length of time in the industry applicable to</td>
<td></td>
</tr>
<tr>
<td>their involvement in your response;</td>
<td></td>
</tr>
<tr>
<td>• What is the estimated value of the work that the sub-contractor will perform?</td>
<td></td>
</tr>
<tr>
<td>c) Describe the role the partners and/or sub-contractors would play in implementing</td>
<td></td>
</tr>
<tr>
<td>your ERP solution</td>
<td></td>
</tr>
</tbody>
</table>
4. Capability and Relative Experience

When completing this section, and if you are responding as a reseller or as a recent entrant in the education sector market, e.g. through the acquisition of an ERP application or organisation, please clearly distinguish between your own capability/experience and that of your supplier or previous solution owner.

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Fully describe the capability and resources of your organisation that would be available to the university.</td>
<td></td>
</tr>
<tr>
<td>b) Describe your expertise in the following areas:</td>
<td></td>
</tr>
<tr>
<td>• System implementation;</td>
<td></td>
</tr>
<tr>
<td>• Training;</td>
<td></td>
</tr>
<tr>
<td>• Product customisation;</td>
<td></td>
</tr>
<tr>
<td>• System Installation; and</td>
<td></td>
</tr>
<tr>
<td>• System support.</td>
<td></td>
</tr>
<tr>
<td>c) Provide a list of your 10 most recent implementations in the education sector,</td>
<td></td>
</tr>
<tr>
<td>Information Required</td>
<td>Your Response</td>
</tr>
<tr>
<td>------------------------------------------------------------------------------------</td>
<td>---------------</td>
</tr>
<tr>
<td>by year and country.</td>
<td></td>
</tr>
<tr>
<td>Provide the total financial value (in South African Rand) of each of the above</td>
<td></td>
</tr>
<tr>
<td>implementations.</td>
<td></td>
</tr>
<tr>
<td>d) Identify how many education sector customers are using your ERP solution, by</td>
<td></td>
</tr>
<tr>
<td>country of installation and version.</td>
<td></td>
</tr>
</tbody>
</table>
5. **Client References**

Please provide the following information for at least 4 client references, with preferably two South African references. Please note that the university intends contacting the references provided.

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.1 Name, business and location of the organisation.</td>
<td></td>
</tr>
<tr>
<td>• Name, position, contact phone number and email address of a referee at the organisation.</td>
<td></td>
</tr>
<tr>
<td>• The period of time the work was undertaken in.</td>
<td></td>
</tr>
<tr>
<td>• Key factors in selecting this referee for this RFP.</td>
<td></td>
</tr>
<tr>
<td>5.2 Name, business and location of the organisation.</td>
<td></td>
</tr>
<tr>
<td>• Name, position, contact phone number and email address of a referee at the organisation.</td>
<td></td>
</tr>
<tr>
<td><strong>Information Required</strong></td>
<td><strong>Your Response</strong></td>
</tr>
<tr>
<td>-----------------------------------------------------------------------------------------</td>
<td>-------------------</td>
</tr>
<tr>
<td>organisation.</td>
<td></td>
</tr>
<tr>
<td>• The period of time the work was undertaken in.</td>
<td></td>
</tr>
<tr>
<td>• Key factors in selecting this referee for this RFP.</td>
<td></td>
</tr>
<tr>
<td><strong>5.3 Name, business and location of the organisation.</strong></td>
<td></td>
</tr>
<tr>
<td>• Name, position, contact phone number and email address of a referee at the organisation.</td>
<td></td>
</tr>
<tr>
<td>• The period of time the work was undertaken in.</td>
<td></td>
</tr>
<tr>
<td>• Key factors in selecting this referee for this RFP.</td>
<td></td>
</tr>
<tr>
<td><strong>5.4 Name, business and location of the organisation.</strong></td>
<td></td>
</tr>
<tr>
<td>• Name, position, contact phone number and email address of a referee at the organisation.</td>
<td></td>
</tr>
<tr>
<td>Information Required</td>
<td>Your Response</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------------------</td>
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</tr>
<tr>
<td>organisation.</td>
<td></td>
</tr>
<tr>
<td>- The period of time the work was undertaken in.</td>
<td></td>
</tr>
<tr>
<td>- Key factors in selecting this referee for this RFP.</td>
<td></td>
</tr>
</tbody>
</table>
6. Quality Assurance

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provide a description of your normal quality assurance procedures relating to systems development, installation, documentation, training, maintenance and support. This should include details of any quality programmes and quality certification or accreditation. Please indicate how you will ensure that the services you intend offering the university will meet the quality expectations of the university.</td>
<td></td>
</tr>
</tbody>
</table>
7. **Account Management**

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Describe your organisation's customer management hierarchy, including who would be responsible locally for the university account.</td>
<td></td>
</tr>
<tr>
<td>b) Please provide as an attachment the names of the key executive that will be involved in the project, and their respective project roles. Provide as part of the same attachment the CV’s of the key executives, as well as all staff that you intend using in the implementation. Please indicate the project roles of staff, as well as all relevant experience.</td>
<td></td>
</tr>
<tr>
<td><strong>Information Required</strong></td>
<td><strong>Your Response</strong></td>
</tr>
<tr>
<td>-------------------------</td>
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</tr>
</tbody>
</table>
| e) Indicate how you will work with the Project Manager that the university intends assigning.  
Please note that the supplier will be responsible to manage all internal activities of the supplier. |
PART 5 – FUNCTIONAL REQUIREMENTS

The aim of this section is to gather information on the key functionalities of the proposed software system(s). Clearly indicate which functional areas are not covered by your proposed solution. For functionality not provided please indicate if this functionality will be developed as part of the solution (development costs must be specified in Part 13). Provide an overview of existing system functionality

*Note: Please limit your response to a maximum of two pages per question.*

<table>
<thead>
<tr>
<th>RFP ID</th>
<th>Requirements</th>
<th>Functionalit y provided for Y/N</th>
<th>Provide an overview of the system functionality that is proposed, or indicate if functionality will be developed as part of your solution</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0</td>
<td>STUDENT MANAGEMENT</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Proposed system and version:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1</td>
<td>Curriculum Management</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1.1</td>
<td>The ability to create, develop, publish and maintain programme details, course details including descriptions and FTE value, credit value, register level, sub-component courses,</td>
<td></td>
<td></td>
</tr>
<tr>
<td>RFP ID</td>
<td>Requirements</td>
<td>Functionalit y provided for Y/N</td>
<td>Provide an overview of the system functionality that is proposed, or indicate if functionality will be developed as part of your solution</td>
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<tr>
<td></td>
<td>and co- and pre-requisites.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1.2</td>
<td>The ability to set up different types of course delivery methods.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1.3</td>
<td>The ability to apply business rules to qualifications and courses, and apply these during the Enrolment process.</td>
<td></td>
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<tr>
<td>1.1.4</td>
<td>The ability to set programme completion rules and prescribe minimum requirements to secure the qualification.</td>
<td></td>
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<tr>
<td>1.1.5</td>
<td>The ability to define and capture multiple faculty and departmental roles against programmes and courses and to set up contact details within each course.</td>
<td></td>
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<tr>
<td>1.1.6</td>
<td>The ability to define start and end dates per</td>
<td></td>
<td></td>
</tr>
<tr>
<td>RFP ID</td>
<td>Requirements</td>
<td>Functionalit y provided for Y/N</td>
<td>Provide an overview of the system functionality that is proposed, or indicate if functionality will be developed as part of your solution</td>
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<tr>
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</tr>
<tr>
<td></td>
<td>programme and course, and the setting up of multiple and different examination opportunities per course.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1.7</td>
<td>The ability to structure a number of modules per course, with an indication of the number of modules required to pass the course.</td>
<td></td>
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</tr>
<tr>
<td>1.1.8</td>
<td>The ability to define pre-and co-requisites for programmes and courses.</td>
<td></td>
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<tr>
<td>1.1.9</td>
<td>The ability to link to stored electronic documents for a programme and a course.</td>
<td></td>
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<tr>
<td>1.1.10</td>
<td>The ability to define and maintain structures for programmes and courses. This includes establishing flexible relationships between programmes and courses, as well as between</td>
<td></td>
<td></td>
</tr>
<tr>
<td>RFP ID</td>
<td>Requirements</td>
<td>Functionalit y provided for Y/N</td>
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<td>1.1.11</td>
<td>Support for version control for programmes and courses, maintaining a full history of changes.</td>
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<td>1.1.12</td>
<td>Flexibility around setting programme and course offerings as available or not available.</td>
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<td>1.1.13</td>
<td>The ability to define different delivery modes per programme and course.</td>
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<td>1.1.14</td>
<td>The ability to define which programmes and courses are offered per individual campus.</td>
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<td>1.1.15</td>
<td>The ability to capture grades in either competency based or numerical/alphabetical</td>
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<td>format, per programme or course.</td>
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<tr>
<td>1.1.16</td>
<td>The ability to allocate a multiple set of grade formats against different programmes or courses.</td>
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<td>1.1.17</td>
<td>The ability to set up funding information against qualifications and courses i.e. will it be subsidised.</td>
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<tr>
<td>1.1.18</td>
<td>The ability to split subsidy between multiple departments involved in offering a course.</td>
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<tr>
<td>1.1.19</td>
<td>Flexibility with implementing the open and closing periods for programmes and courses. The periods should be date driven and maintainable on an ad hoc basis.</td>
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<tr>
<td>1.1.20</td>
<td>The ability to add course completion rules</td>
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<td></td>
<td>e.g. in some courses there is a need to “pass” or obtain a minimum assessment result in each assessment to pass, and in other cases there is no such rule and the course completion is simply an average.</td>
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<tr>
<td>1.1.21</td>
<td>The ability to calculate final marks based on a weighting of assessment results for the course.</td>
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<tr>
<td>1.1.22</td>
<td>The ability to divide a course into different group types for student enrolment, including multiple groups within a group type.</td>
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<tr>
<td>1.1.23</td>
<td>Enforce restricted update access to the structure if lecturers linked to courses and class groups within courses.</td>
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<td>1.1.24</td>
<td>The ability to close the academic structure for the academic year after it has been finalized – with the possibility to re-open it with restricted access for critical changes.</td>
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<tr>
<td>1.1.25</td>
<td>The ability to copy the academic structure to future years.</td>
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<tr>
<td>1.1.26</td>
<td>The ability to define and structure informal or short courses in the formal academic structure.</td>
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<tr>
<td>1.1.27</td>
<td>The ability to define different subsidy weightings per course for different programmes.</td>
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<tr>
<td>1.1.28</td>
<td>The ability to carry all required NQF information, exit levels for programmes,</td>
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<td>credit levels per programme, etc.</td>
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<tr>
<td>1.1.29</td>
<td>Does the system conform to the requirements stipulated by the Department of Higher Education (DHET) for South African tertiary institutions for academic programmes and courses?</td>
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<tr>
<td>1.1.30</td>
<td>The ability to define the admission requirements per programme and to then use this structure for control purposes during registration.</td>
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<tr>
<td>1.1.31</td>
<td>The ability to use the attributes of a specific programme to create a new programme.</td>
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<tr>
<td>1.1.32</td>
<td>The ability to use the academic structure in the set-up of student fees.</td>
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<td>1.1.33</td>
<td>The ability to extract programme and course information for publication purposes, i.e. for printing, on the web, prospectus, etc.</td>
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<tr>
<td>1.2</td>
<td><strong>Marketing and Enquiries from Prospective Students</strong></td>
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<tr>
<td>1.2.1</td>
<td>The ability that prospective students can view the academic offerings and to enquire electronically.</td>
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<td>1.2.2</td>
<td>The ability to record all enquiries from prospective students, whether received electronically, telephonically, by fax or written enquiries.</td>
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<tr>
<td>1.2.3</td>
<td>The ability to respond to enquirers by letter or email, with a record of all correspondence being kept in the system.</td>
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<td>1.2.4</td>
<td>The ability to send follow-up correspondence to an enquirer if no response has been received after prior correspondence has been sent.</td>
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<td>1.2.5</td>
<td>The structuring of “Information Packages” to be sent to enquirers, with an audit trail on dispatched items. The package of material must be based on the area of academic interest of enquirers.</td>
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<tr>
<td>1.2.6</td>
<td>The ability to link an enquirer to an information package and to log what has been sent to each enquirer.</td>
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<tr>
<td>1.2.7</td>
<td>The issuing of an enquiry number that can be used in all future communication with the</td>
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<td>enquirer.</td>
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<td>1.2.8</td>
<td>The ability to eliminate the issuing of duplicate enquirer numbers to the same enquirer should the university receive multiple enquiries from the same person over time.</td>
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<td>1.2.9</td>
<td>The ability to use the enquiry number as a “student number for life” should the enquirer apply and register with the university.</td>
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<tr>
<td>1.3</td>
<td><strong>Academic Application and Admissions Processes</strong></td>
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<tr>
<td>1.3.1</td>
<td>The ability to receive applications for both new and returning students, regardless of how the application is received (online via a web portal, physical, mail, etc.).</td>
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<td>RFP ID</td>
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<tr>
<td>1.3.2</td>
<td>Each application should be allocated a unique application number. This number will be used as a reference when communicating with the applicant. The ability to use the application number as a “student number for life”.</td>
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<tr>
<td>1.3.3</td>
<td>The ability to define a specific enrolment application process that caters for Recognition of Prior Learning (RPL).</td>
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<tr>
<td>1.3.4</td>
<td>The ability to generate a study quote for the student, and confirm the acceptance when received back. The quote must include the programme and course fees, and all other applicable fees, as appropriate to the enrolment.</td>
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<td>1.3.5</td>
<td>Only shows those courses relevant to a student’s contract, when facilitating an application.</td>
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<td>1.3.6</td>
<td>The ability to store supporting documentation in the system and link it to the relevant student.</td>
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<tr>
<td>1.3.7</td>
<td>During the enrolments process, easy access and view to supporting documents (e.g. ID Document, residency status, previous qualifications, and transfer of credits) received with the application record.</td>
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<td>1.3.8</td>
<td>The ability to log and easily access all communication with applicants.</td>
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<td>1.3.9</td>
<td>The ability to set up descriptive ‘Status of’</td>
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<td>Progress’ statuses is required. Examples of these might be: Waiting on documentation, provisionally approved, waitlisted, etc.</td>
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<td>1.3.10</td>
<td>The ability to set up and maintain personalised automated messages which will be sent to applicants at user defined stages during the application approval process. These messages can be set up for all applicants or a cohort of applicants. The ability to SMS these messages to students.</td>
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<tr>
<td>1.3.11</td>
<td>A log of who made changes to an enrolment application must be kept and easily accessible by authorised individuals.</td>
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<tr>
<td>1.3.12</td>
<td>The ability to set up and maintain business rules around applications, which will be used</td>
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<td>for auto selection of students.</td>
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<td>1.3.13</td>
<td>The ability to validate applications against these business rules.</td>
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<tr>
<td>1.3.14</td>
<td>The ability to do Matric mark matching with the data from an external source. Is the automatic matching of data possible?</td>
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<tr>
<td>1.3.15</td>
<td>The ability to capture information per academic year and study period.</td>
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<td>1.3.16</td>
<td>The ability to record the application for three or more programmes, rank in order of preference.</td>
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<tr>
<td>1.3.17</td>
<td>The ability to record the study plan of a student per programme that the student applies for.</td>
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<td>1.3 18</td>
<td>The ability to apply a quota to the number of applications per programme that can be linked to a status that allows individual student registration.</td>
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<tr>
<td>1.3.19</td>
<td>The integration between academic and residence applications so that a student is not offered a place in a residence without being offered an academic place.</td>
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<td>1.3.20</td>
<td>The ability to integrate with a “Central Applications” facility when this is introduced in South Africa (as example, the KwaZulu-Natal Central Applications functionality).</td>
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<td>1.4</td>
<td><strong>Registration</strong></td>
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<td>1.4.1</td>
<td>The ability for multiple types of registration, including self-service registration by</td>
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<td>students, back-office registration, conversion of a study quote into a registration, etc.</td>
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<td>1.4.2</td>
<td>The use of data captured during the enquirer and/or application phase without the need to re-capture information.</td>
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<tr>
<td>1.4.3</td>
<td>The ability to record, as compulsory information, all student data required for Statutory reporting.</td>
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<td>1.4.4</td>
<td>The ability to only register students that have been admitted in the formal application process.</td>
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<td>1.4.5</td>
<td>The ability to register students for different types of programmes, and offerings, i.e. formal programmes and courses, short</td>
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<td>courses, for examination purposes only.</td>
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<td>1.4.6</td>
<td>The ability to register returning students to only courses that they qualify for – this based on pre- and co-requisites.</td>
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<td>1.4.7</td>
<td>The ability to correct registration errors (with audit trails).</td>
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<td>1.4.8</td>
<td>The ability to register for additional courses at a later stage.</td>
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<td>1.4.9</td>
<td>The ability to restrict registration based on pre-defined business rules, e.g. outstanding fees, not having paid a defined up-front payment, academic reasons, etc. Automatic removal of registration restrictions when the rules have been met.</td>
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<td>1.4.10</td>
<td>Payments received need to be linked to a student / registration. Please describe how solution identifies payments against student accounts.</td>
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<td>1.4.11</td>
<td>The ability for the student to view academic information on registration, e.g. timetable information, prescribed books, student account, print an enrolment record, etc.</td>
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<td>1.4.12</td>
<td>The ability to restrict registration to defined time periods, with an ability to override the restriction.</td>
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<td>1.4.13</td>
<td>The automatic linking of students to class groups and lecturers.</td>
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<td>1.4.14</td>
<td>The ability that a student may register for</td>
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<td>multiple programmes, with the correct HEMIS reporting.</td>
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<td>1.4.15</td>
<td>The ability to cancel programme and course registrations, with the automatic granting of financial credit to the student.</td>
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<td>1.4.16</td>
<td>The ability to cancel a group of students for a course and re-register the group for another course.</td>
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<td>1.4.17</td>
<td>The ability to link a cancellation reason for programme as well as course cancellations and to draw reports per cancellation reason.</td>
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<td>1.4.18</td>
<td>The recognition / registration of exemption courses.</td>
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<td>1.4.19</td>
<td>The ability to register students where the</td>
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<td>Recognition of Prior Learning is the basis for acceptance into the university.</td>
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<td>1.4.20</td>
<td>The ability to define exemptions and use this during the registration process (own internal exemptions as well as course exemptions between institutions).</td>
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<tr>
<td>1.4.21</td>
<td>The ability to perform automatic validations during the registration process, including programme and course pre- and co-requisite requirements, timetable clashes, financial requirements, academic exclusions, etc. Please list other available automatic validations. Please indicate if non-compliance will result</td>
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<td>in a fatal block of the registration process.</td>
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<td>1.4.22</td>
<td>The ability to apply a quota, on both programme and course level, to the maximum number of registrations that can be allowed. Is there a facility to apply multiple quotas to make provision for different quotas per campus?</td>
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<td>1.4.23</td>
<td>How does the registration process for Post-degree qualifications differ to that of degree registration?</td>
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<td>1.5</td>
<td><strong>Lecturing and Assessment Management</strong></td>
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<td>1.5.1</td>
<td>The ability to define an assessment structure per course, per class group of students.</td>
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<td>1.5.2</td>
<td>The ability to easily set up assessment due</td>
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<td>RFP ID</td>
<td>Requirements</td>
<td>Functionality provided for Y/N</td>
<td>Provide an overview of the system functionality that is proposed, or indicate if functionality will be developed as part of your solution</td>
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<td>dates and copy them across multiple study periods.</td>
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<tr>
<td>1.5.3</td>
<td>The ability to have elective assessments within a course, e.g. select 3 out of the 5 assessments on offer.</td>
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<tr>
<td>1.5.4</td>
<td>The ability to generate class lists for lecturers, including an easy and user-friendly way to view these lists and download to desktop PC or laptop.</td>
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<tr>
<td>1.5.5</td>
<td>The ability to create class list based on certain parameters.</td>
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<tr>
<td>1.5.6</td>
<td>Students must be able to be assigned to multiple cohorts.</td>
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<tr>
<td>1.5.7</td>
<td>Tracking and monitoring a cohort of students</td>
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<td>RFP ID</td>
<td>Requirements</td>
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<td>against certain criteria, e.g. due dates.</td>
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<td>1.5.8</td>
<td>The ability to enter multiple marks for multiple students within a single screen with a mark validation process.</td>
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<tr>
<td>1.5.9</td>
<td>The ability to load marks from a spreadsheet and performing validation checks on student number.</td>
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<td>1.5.10</td>
<td>The ability to, based on the assessment structure, combine assessment marks using the assessment weightings, into an accumulated year/semester mark.</td>
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<tr>
<td>1.5.11</td>
<td>The ability to automatically determine if a student, based on the accumulated year/semester mark, qualifies for</td>
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<td>Requirements</td>
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<td>examination entry.</td>
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<tr>
<td>1.5.12</td>
<td>The ability to invite a student to sit for examinations based on the determination if a student qualifies to write the examination.</td>
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<tr>
<td>1.5.13</td>
<td>The handling of competency based courses/modules of courses.</td>
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<td>1.5.14</td>
<td>The ability to advise students on the outcome of assessments – via notice board results, letter, email, SMS message, and self-service applications.</td>
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<tr>
<td>1.5.15</td>
<td>The availability of statistical analysis of assessment results per course and class groups within a course.</td>
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<td>1.5.16</td>
<td>Automatic notification when a student with a</td>
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<td>RFP ID</td>
<td>Requirements</td>
<td>Functionalit y provided for Y/N</td>
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<td>disability enrols.</td>
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<td>1.5.17</td>
<td>The ability to accommodate students with disabilities and other special circumstances, e.g. allow extra time for assessments / examinations.</td>
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<tr>
<td>1.5.18</td>
<td>The ability to assign a mentor to a student at enrolment or any time, and alert the mentor of the allocation.</td>
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<tr>
<td>1.5.19</td>
<td>The ability to trigger automated communications at key success points in the study programme.</td>
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<tr>
<td>1.6</td>
<td><strong>Examinations</strong></td>
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<tr>
<td>1.6.1</td>
<td>The ability to generate an examination timetable based on current registrations.</td>
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<td>RFP ID</td>
<td>Requirements</td>
<td>Functionality provided for Y/N</td>
<td>Provide an overview of the system functionality that is proposed, or indicate if functionality will be developed as part of your solution</td>
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<td></td>
<td>Indicate whether by Student System or other timetabling solution?</td>
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<td>1.6.2</td>
<td>The ability to prioritise courses / modules on the timetable based on rules (Large modules earlier in the exam period, etc.).</td>
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<tr>
<td>1.6.3</td>
<td>The ability to optimize the examination timetable based on user defined criteria.</td>
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<tr>
<td>1.6.4</td>
<td>The ability to provide functionality for the management of the examination process. Please provide full information.</td>
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<td>1.6.5</td>
<td>The ability to record the following per course / module:</td>
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<td></td>
<td>• Examiner;</td>
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<td>• Moderator;</td>
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<tr>
<td>RFP ID</td>
<td>Requirements</td>
<td>Functionalit y provided for Y/N</td>
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<td></td>
<td>• Number of Papers;</td>
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<td></td>
<td>• Paper weightings;</td>
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<td>• Subminimum per Paper;</td>
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<td></td>
<td>• Can Papers be re-written on an individual basis or must all Papers be re-written?</td>
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<td></td>
<td>• Duration of each Paper;</td>
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<td></td>
<td>• Order in which Papers must be written;</td>
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<td></td>
<td>• Number of Papers to be printed;</td>
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<td></td>
<td>• Number of Papers to be distributed to each examination centre.</td>
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<tr>
<td>1.6.6</td>
<td>The ability to define multiple examination centres and link students to examination centres during the registration process.</td>
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<tr>
<td>1.6.7</td>
<td>The ability for either the student or staff member to change the linked examination</td>
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<td>RFP ID</td>
<td>Requirements</td>
<td>Functionality provided for Y/N</td>
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<td>centre up to a defined cut-off date.</td>
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<td>1.6.8</td>
<td>The ability of the system to generate letters of invitation to students who qualify to write examinations. Letter to include the personalized examination timetable for the student.</td>
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<tr>
<td>1.6.9</td>
<td>The ability to print examination entry slips per course / module.</td>
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<tr>
<td>1.6.10</td>
<td>The ability for students to view and print individualized timetables via the student self-service application.</td>
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<tr>
<td>1.6.11</td>
<td>The ability to appoint invigilators for each examination venue and session. Can the number of invigilators automatically</td>
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<td>RFP ID</td>
<td>Requirements</td>
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<td>be determined based on the number of students scheduled for an examination centre?</td>
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<td>1.6.12</td>
<td>The ability to link all required examination requisites (examination books, calculators, etc.) to each examination session.</td>
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<tr>
<td>1.6.13</td>
<td>The ability to record courier information for the despatch of examination material to and from examination centres (if a courier service is to be used).</td>
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<tr>
<td>1.6.14</td>
<td>The ability to record invigilator information for the personal collection and return of examination material to and from the examination office.</td>
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<tr>
<td>1.6.15</td>
<td>The ability to register scripts received from</td>
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<tr>
<td>RFP ID</td>
<td>Requirements</td>
<td>Functionality provided for Y/N</td>
<td>Provide an overview of the system functionality that is proposed, or indicate if functionality will be developed as part of your solution</td>
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<td>venues and to provide full tracking of all examination scripts.</td>
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<tr>
<td>1.6.16</td>
<td>The ability to register absenteeism from examinations.</td>
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<td>1.6.17</td>
<td>The ability to accommodate students with disabilities and other special circumstances, e.g. allow extra time for examinations.</td>
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<tr>
<td>1.6.18</td>
<td>The ability to provide analytics on outstanding scripts per venue.</td>
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<tr>
<td>1.6.19</td>
<td>The ability to record examiner and moderator information for the personal collection and return of examination material to and from the examination office.</td>
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<tr>
<td>1.6.20</td>
<td>The ability to enter marks per student, per course / module, per paper, and if required per question.</td>
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<tr>
<td>RFP ID</td>
<td>Requirements</td>
<td>Functionalit y provided for Y/N</td>
<td>Provide an overview of the system functionality that is proposed, or indicate if functionality will be developed as part of your solution</td>
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<td>1.6.21</td>
<td>The ability to load marks from a spreadsheet matching on student number and surname.</td>
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<td>1.6.22</td>
<td>The ability to validate the marks entered.</td>
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<tr>
<td>1.6.23</td>
<td>The ability to, based on defined Paper weightings and sub-minimum requirements, combine paper marks into a single examination mark, and apply an examination mark grading table.</td>
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<tr>
<td>1.6.24</td>
<td>The ability to combine the accumulated year / semester mark and examination mark into a final course / module mark and apply a final mark grading table.</td>
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<tr>
<td>1.6.25</td>
<td>The ability to combine module marks into a course mark and apply a course mark grading table.</td>
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<tr>
<td>1.6.26</td>
<td>The ability to manage the process of</td>
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<td>RFP ID</td>
<td>Requirements</td>
<td>Functionalit y provided for Y/N</td>
<td>Provide an overview of the system functionality that is proposed, or indicate if functionality will be developed as part of your solution</td>
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<td></td>
<td>moderation of marks.</td>
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<tr>
<td>1.6.27</td>
<td>The ability to adjust all marks for a course based on the outcome of moderation.</td>
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<tr>
<td>1.6.28</td>
<td>The ability to provide reports on the completeness of course evaluations (i.e. all marks processed to the level of final marks).</td>
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<td>1.6.29</td>
<td>The ability to restrict the availability of marks until all marks has been processed and is formally released. This also applies to result availability on self-service applications.</td>
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<tr>
<td>1.6.30</td>
<td>The ability to advise students of the outcome of examinations – via notice board results, letter, email, SMS message, and self-service</td>
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<td>RFP ID</td>
<td>Requirements</td>
<td>Functionality provided for Y/N</td>
<td>Provide an overview of the system functionality that is proposed, or indicate if functionality will be developed as part of your solution</td>
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<td>applications.</td>
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<tr>
<td>1.6.31</td>
<td>The availability of statistical analysis of examination and final marks per course and class groups within a course.</td>
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<tr>
<td>1.6.32</td>
<td>The ability to automatically, based on user-defined rules (either for the institution or per course), enrol students to different types of additional examination opportunities, including special examinations, aegrotat examinations, etc.).</td>
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<tr>
<td>1.6.33</td>
<td>The management of re-marking and script checking. The process must provide for: Student application, and debiting the student account; Selecting the script;</td>
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<td>RFP ID</td>
<td>Requirements</td>
<td>Functionalit y provided for Y/N</td>
<td>Provide an overview of the system functionality that is proposed, or indicate if functionality will be developed as part of your solution</td>
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<td>Sign-out of the script to the lecturer; Mark recording; Sending the result to the student; Crediting the student account (if applicable).</td>
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<tr>
<td>1.7</td>
<td><strong>Graduation</strong></td>
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<tr>
<td>1.7.1</td>
<td>The ability to schedule multiple graduation ceremonies, with a linking of programmes in which degrees are to be conferred per ceremony.</td>
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<tr>
<td>1.7.2</td>
<td>The ability to carry the venue layout in the system so that tickets can be issued to graduates and guests.</td>
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<td>1.7.3</td>
<td>The ability to define the number of guests that can be invited per graduate, with a differentiation on the number per programme and/or level of programme.</td>
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<td>RFP ID</td>
<td>Requirements</td>
<td>Functionalit y provided for Y/N</td>
<td>Provide an overview of the system functionality that is proposed, or indicate if functionality will be developed as part of your solution</td>
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<td>1.7.4</td>
<td>The storing of details about ceremony locations, including maps.</td>
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<td>1.7.5</td>
<td>The ability to identify possible graduates after closure of registration for a period of study. Explain the methodology or methodologies used to identify possible graduates.</td>
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<tr>
<td>1.7.6</td>
<td>The ability to identify graduates after examination results has been finalised for the period of study. Explain the methodology or methodologies used to identify graduates.</td>
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<tr>
<td>1.7.7</td>
<td>The ability to issue invitations to graduates and record attendance, and the number of guests attending.</td>
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<tr>
<td>1.7.8</td>
<td>The ability to link students to prizes – Prizes linked to courses, programmes, etc.</td>
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<tr>
<td>RFP ID</td>
<td>Requirements</td>
<td>Functionalit y provided for Y/N</td>
<td>Provide an overview of the system functionality that is proposed, or indicate if functionality will be developed as part of your solution</td>
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<td></td>
<td>Identification of the best candidate or top number of candidates per course and programme.</td>
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<td>1.7.9</td>
<td>The ability to, based on pre-defined rules, automatically allocate students to graduation ceremonies. If maximum for a ceremony is reached students must be allocated to the next available ceremony.</td>
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<tr>
<td>1.7.10</td>
<td>The ability to allow students to choose which ceremony to attend, and having the option to change this if required.</td>
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<tr>
<td>1.7.11</td>
<td>The ability to identify and generate communications for graduates regarding outstanding fees, and the withholding of degree certificates if outstanding fees are not paid. The same applied in respect of other</td>
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<td>RFP ID</td>
<td>Requirements</td>
<td>Functionalit y provided for Y/N</td>
<td>Provide an overview of the system functionality that is proposed, or indicate if functionality will be developed as part of your solution</td>
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<td>restrictions, e.g. outstanding library material, etc.</td>
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<td>1.7.12</td>
<td>The ability to record members of the academic procession, and provide a print-out of the order of the academic procession.</td>
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<tr>
<td>1.7.13</td>
<td>The ability to print a report of the program of proceedings (order in which the graduates will be called).</td>
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<tr>
<td>1.7.14</td>
<td>The ability to extract all relevant information for the printing of the ceremony program.</td>
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<td>1.7.15</td>
<td>The ability to store additional student information (such as hat size) in the system.</td>
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<td>1.7.16</td>
<td>The ability to carry the academic regalia requirements for academic staff. The ability to carry the academic regalia for students, and manage the hiring of regalia,</td>
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<td>RFP ID</td>
<td>Requirements</td>
<td>Functionalit y provided for Y/N</td>
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<td>including matching with student information, ability to order, pay for and record the details online against both the selected ceremony and student.</td>
<td>Y/N</td>
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<td>1.7.17</td>
<td>The ability to report on graduate destinations and outcomes.</td>
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<tr>
<td>1.8</td>
<td><strong>Alumni Management</strong></td>
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<tr>
<td>1.8.1</td>
<td>The ability to define pre-requisites for a student to qualify as an alumnus.</td>
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<tr>
<td>1.8.2</td>
<td>The ability to electronically transfer student biographical and academic information from the Student Management System to the Alumni system for students that meet the requirements to be alumni of the university.</td>
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<tr>
<td>1.8.3</td>
<td>The retention of the student number as Alumni number.</td>
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<tr>
<td>RFP ID</td>
<td>Requirements</td>
<td>Functionality provided for Y/N</td>
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<td>1.8.4</td>
<td>The ability that updating the student biographical information will also update the same information in the Alumni system, and vice versa.</td>
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<tr>
<td>1.8.5</td>
<td>The ability to group Alumni in different cohorts, with an Alumnus being able to be included in multiple cohorts.</td>
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<tr>
<td>1.8.6</td>
<td>The ability to communicate either individually with an Alumnus, or collectively with a cohort of Alumni.</td>
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<tr>
<td>1.8.7</td>
<td>The ability to record financial pledges by Alumni and to follow up on pledges.</td>
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<td>1.8.8</td>
<td>The ability to link Alumni to events, send event invites, and record event attendance.</td>
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<tr>
<td>1.8.9</td>
<td>The ability to link additional information to Alumni, e.g. awards, achievements, etc.</td>
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<td>RFP ID</td>
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<tr>
<td>1.9</td>
<td>Management of Student Fees (Student Debtors)</td>
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<tr>
<td>1.9.1</td>
<td>The ability to use / replicate the academic structure to allocate fees.</td>
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<td>1.9.2</td>
<td>The ability to allocate different fees to the same programme and/or course.</td>
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<td>1.9.3</td>
<td>The ability to raise fees on the basis of either the programme level, or the course level, or both.</td>
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<tr>
<td>1.9.4</td>
<td>The ability for the creation of different accounts classifications / account types per student.</td>
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<tr>
<td>1.9.5</td>
<td>The ability to structure third party contracts that will have an alternative fee structure, e.g. contracts negotiated with companies to train staff at a reduced fee, and the ability to split/allocate the study fee to multiple</td>
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<td>RFP ID</td>
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<td></td>
<td>entities who will be responsible for paying the study fee.</td>
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<td>1.9.6</td>
<td>The ability to apply discounts. Where discounts are applied, the original fee needs to be, and remain, visible.</td>
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<tr>
<td>1.9.7</td>
<td>Discounts must be applied dependent on fee type, third party contract, customer contract and marketing campaigns, and any combination thereof.</td>
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<tr>
<td>1.9.8</td>
<td>The ability to raise different types of fees/levies on registration, e.g. Student Representative Council levy, excursion fee, etc.</td>
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<tr>
<td>1.9.9</td>
<td>The ability to attach, or link to, documents and notes for financial transactions.</td>
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<tr>
<td>1.9.10</td>
<td>The ability to accept multiple payment types,</td>
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<td>RFP ID</td>
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<td>e.g. cash, cheque, credit card, student loan or bursary and internet banking.</td>
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<td>1.9.11</td>
<td>The ability to handle foreign currencies.</td>
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<tr>
<td>1.9.12</td>
<td>Easy electronic bank reconciliation for all transactions made by or made to individuals, corporate clients and third parties.</td>
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<tr>
<td>1.9.13</td>
<td>Receipting of payments needs to be easily and automatically reconcilable to the bank statement.</td>
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<tr>
<td>1.9.14</td>
<td>Functionality to correct receipt details, e.g. when a payment is made against the incorrect student number.</td>
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<tr>
<td>1.9.15</td>
<td>Invoices must be issued at time of enrolment.</td>
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<td>1.9.16</td>
<td>Automatic allocation of revenue and discounts to appropriate business units, course codes, contract codes and accounts.</td>
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<td></td>
<td>Generate reports of revenue by different criteria, e.g. full fee, discounts, etc.</td>
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<tr>
<td>1.9.17</td>
<td>When a student transfers from one course to another, the financials should be transferred as well. In some cases the debts need to be re-aged.</td>
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<tr>
<td>1.9.18</td>
<td>The ability to process refunds, including automatic refunds for programme and course cancellation.</td>
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<tr>
<td>1.9.19</td>
<td>The ability to age debtor balances.</td>
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<tr>
<td>1.9.20</td>
<td>The ability to both print and electronically send statements. Electronic and print versions must have same look and feel.</td>
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<td>1.9.21</td>
<td>Statements should be easily created or printed, (and recreated and reprinted) for transmission to the student/customer.</td>
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<td>1.9.22</td>
<td>The ability for students to view accounts online.</td>
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<td>1.9.23</td>
<td>The ability to handle real time receipts and be able to process receipts in batch.</td>
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<td>1.9.24</td>
<td>The ability to allow payments of multiple accounts with one receipt.</td>
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<td>1.9.25</td>
<td>The ability to give students study quotes which includes all fees.</td>
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<td>1.9.26</td>
<td>The ability to process journals individually or in batch.</td>
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<td>1.9.27</td>
<td>The ability to capture and control GL accounts and setup.</td>
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<td>1.9.28</td>
<td>The ability to post into the General Ledger.</td>
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<td>1.10</td>
<td><strong>Management of Scholarships and Grants</strong></td>
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<td>1.10.1</td>
<td>The ability of the system to carry loans and</td>
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<td>RFP ID</td>
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<td>bursaries from multiple donors with diverse fund allocation criteria.</td>
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<td>1.10.2</td>
<td>The ability for students to indicate the need for a loan or bursary on application, including the amount required.</td>
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<td>1.10.3</td>
<td>The ability of the system to indicate if a previous student is interested in renewing his/her application for financial assistance.</td>
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<td>1.10.4</td>
<td>The ability of the system for online student funding applications and the capturing by students of all necessary information, and the upload of all relevant documentation.</td>
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<td>1.10.5</td>
<td>The ability to automatically match students to bursaries/loans based on bursary/loan allocation criteria.</td>
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<td>1.10.6</td>
<td>The ability to not oversubscribe available</td>
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<td>funds from individual bursaries/loans.</td>
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<td>1.10.7</td>
<td>The ability of the system to identify students receiving funding from multiple donors.</td>
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<td>1.10.8</td>
<td>The ability of the system to interface with specialist bursary smartcard vendors.</td>
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<tr>
<td>1.10.9</td>
<td>The ability to generate communications for students re bursary/loan applications and awards.</td>
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<tr>
<td>1.10.10</td>
<td>The ability to allocate bursary/loans to different expenditure categories, and release funds over time.</td>
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<tr>
<td>1.10.11</td>
<td>The ability to meet all NSFAS requirements. Please describe the system’s full functionality in this regard, including the interface with NSFAS.</td>
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<tr>
<td>1.11</td>
<td><strong>Student self-service</strong></td>
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<tr>
<td>1.11.1</td>
<td>The availability of self-service functionality for students.</td>
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<tr>
<td>1.11.2</td>
<td>The ability to integrate the self-service functionality with the web site and student portal of the university.</td>
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<tr>
<td>1.11.3</td>
<td>The ability of single sign-on when students access the university’s student online area and your self-service application.</td>
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<tr>
<td>1.11.4</td>
<td>The ability to display the available programmes and courses for registration directly from the system. Can a sub-set of programmes / courses only be displayed?</td>
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<tr>
<td>1.11.5</td>
<td>The ability for (prospective) students to view the programmes and courses available for registration for a defined academic period.</td>
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<tr>
<td>1.11.6</td>
<td>The ability for (prospective) students to</td>
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<td>electronically request additional detail from the university, and the logging of the enquiry.</td>
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<tr>
<td>1.11.7</td>
<td>The ability for students to apply online for study at the university. The application must include: Required biographical information; Communication detail; The programme(s) that the student is applying for, in order of preference if more than one programme; Latest school results; The ability to upload all required documentation.</td>
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<tr>
<td>1.11.8</td>
<td>The ability of the system to rate online applications of students against admission</td>
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<td>requirements, this based on entered school results. The student must be able to view the result of the eligibility test.</td>
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<tr>
<td>1.11.9</td>
<td>The ability to electronically communicate with the applicant re the study application.</td>
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<td>1.11.10</td>
<td>The ability of the student to view the outcome of applications.</td>
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<tr>
<td>1.11.11</td>
<td>The ability for admitted students to register online for valid subjects.</td>
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<td>1.11.12</td>
<td>The ability to apply all registration rules to online registrations.</td>
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<td>1.11.13</td>
<td>Explain how the registration process is structured to assist the student in making the process as simple and easy as possible.</td>
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<td>1.11.14</td>
<td>The ability that the student can see what the financial implication of registering for a</td>
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<td>group of courses is, before finally committing/finalizing the registration.</td>
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<td>1.11.15</td>
<td>The ability for registration corrections by students.</td>
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<td>1.11.16</td>
<td>The ability to cancel a course (or entire programme) during the study period.</td>
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<td>1.11.17</td>
<td>The ability to generate a “Proof of Registration” document, as well as a fee statement directly after registration.</td>
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<tr>
<td>1.11.18</td>
<td>The ability to update selected biographical and communication detail after registration.</td>
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<td>1.11.19</td>
<td>The ability to update the allocated examination centre.</td>
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<td>1.11.20</td>
<td>List all reports that are available to students using the self-service application.</td>
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<td>RFP ID</td>
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<tr>
<td>1.11.21</td>
<td>Please describe the availability of functionality available to students on mobile phones and other mobile electronic devices (tablets, etc.).</td>
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<td>1.11.22</td>
<td>The ability to apply online for financial assistance.</td>
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<tr>
<td>1.11.23</td>
<td>The ability to apply online for residence placement.</td>
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</tbody>
</table>

### 1.12 HEMIS Reporting

<p>| 1.12.1 | The ability to provide functionality for statutory reporting structure setup and maintenance for active submission cycles and dates, as well as access limitations during these periods. |
| 1.12.2 | The system must be aligned with Department of Higher Education and Training (DHET). |</p>
<table>
<thead>
<tr>
<th>RFP ID</th>
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<tbody>
<tr>
<td></td>
<td>needs and requirements.</td>
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<tr>
<td>1.12.3</td>
<td>The availability of functionality to facilitate HEMIS Student, HEMIS Staff, HEMIS Space and HEMIS Research Fellow reporting.</td>
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<td>1.12.4</td>
<td>The ability to flag graduates reported once they are reported in HEMIS.</td>
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<td>1.12.5</td>
<td>The ability for the capture and the application of various Census dates.</td>
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<td>1.12.6</td>
<td>The availability of HEMIS related views of the academic structure of qualification and course related information and the relationship thereof.</td>
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<td>1.12.7</td>
<td>The ability of timesheet capturing for all staff.</td>
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<td>1.12.8</td>
<td>The ability to include examination only</td>
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<td>graduates that could not be included in previous year submissions.</td>
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<td>1.12.9</td>
<td>The ability for the calculation of the annual progress report to DHET for foundation students.</td>
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<td>1.12.10</td>
<td>The ability for the flagging of foundation students per academic year and period.</td>
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<td>1.13</td>
<td>Other if proposed (please list)</td>
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<td>2.0</td>
<td>FINANCIAL MANAGEMENT</td>
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<td>2.1</td>
<td>General Requirements</td>
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<td>2.1.1</td>
<td>Transaction processing must be online / real-time, with transactions being available for viewing in the relevant sub-ledger as well as</td>
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<td>in the General Ledger (G/L).</td>
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<td>2.1.2</td>
<td>User access control as determined by role and related relevant information requirements. Users with the required authority can query balances and/or detail of ledgers at all times and within any module.</td>
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<td>2.1.3</td>
<td>Validation of input data must be done interactively - errors must be displayed and corrected before saving the data.</td>
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<td>2.1.4</td>
<td>The system must be auditable at all times, and all transactions must be linked to user, date and time stamp.</td>
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<td>2.1.5</td>
<td>The ability for different sub-ledgers to be in different monthly cycles.</td>
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<td>2.1.6</td>
<td>A wide range of financial reports must be available, and report requests must include</td>
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<td>user-specified criteria.</td>
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<td>2.1.7</td>
<td>All reports must be available in either batch or on-line, and the results must be available for viewing on-screen, for printing or emailing.</td>
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<td>2.1.8</td>
<td>A report-writing tool must be available to generate reports according to the requirements of the university, and in accordance with the requirements of GAAP.</td>
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<td>2.1.9</td>
<td>Various forms of access control must be available. This must enable the university to restrict the access of the different users to different sections of the data.</td>
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<td>2.1.10</td>
<td>The system must provide for “Commitment Accounting”, allowing the university to set budget control levels on different levels.</td>
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<td><strong>2.2</strong> General Ledger</td>
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<td></td>
<td><strong>2.2.1</strong> The ability to define any number of Cost Centres and Accounts, and the ability to define different Cost Centre / Account combinations.</td>
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<td></td>
<td><strong>2.2.2</strong> The ability to define various ways of consolidating cost centre detail i.e. must be able to define multiple different consolidation structures.</td>
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<td></td>
<td><strong>2.2.3</strong> Must be able to define multiple business rules on each cost centre and account combination, e.g. the VAT raising rules, budget control rules, valid general ledger allocations rules for a specified financial year, etc.</td>
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<td></td>
<td><strong>2.2.4</strong> The ability to group accounts into account</td>
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<td>categories, i.e. services, supplies, etc.</td>
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<td>2.2.5</td>
<td>The ability to group transactions into transaction types.</td>
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<td>2.2.6</td>
<td>The ability to indicate whether the transaction is a debit or credit transaction, the type of person involved (debtor, creditor, staff, etc.), the sub-system into which the primary transaction must be written, which bank account must be transacted where applicable, and how transactions should be posted to the general ledger e.g. in detail or summary.</td>
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<tr>
<td>2.2.7</td>
<td>The ability for user-defined required code structures, e.g. cashbooks, banks and branch codes, Value Added Tax (VAT) rates, etc.</td>
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<td>2.2.8</td>
<td>The ability to define:</td>
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<td></td>
<td>• Accounts required for year-end procedures;</td>
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<td></td>
<td>• VAT registrations and control accounts;</td>
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<td></td>
<td>• Budget control requirements;</td>
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<td>• Control accounts for automatically generated transactions;</td>
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<td>• Rules for retaining balances and transactions.</td>
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<td>2.2.9</td>
<td>Transactions should not be duplicated in detail in the General Ledger, but kept in the sub-systems.</td>
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<td>2.2.10</td>
<td>Sub-systems must be represented by related control GLA’s in the General Ledger.</td>
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<td>2.2.11</td>
<td>The ability for the financial cycles of the sub-systems and the General Ledger to be</td>
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<td>independent, and the ability for the cycles of sub-systems to advance to future cycles whilst the cycle of the General Ledger is kept in the last month of operation for reconciliation, year-end and other balancing activities.</td>
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<td>2.2.12</td>
<td>The ability for financial systems to operate in different financial years at the same time.</td>
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</table>
| 2.2.13 | The ability for journal processing, including:  
- Normal journals;  
- Budget journals;  
- Recurring journals;  
- Batch journals;  
- Batch rollbacks based on defined system rules;                                                                                           |                               |                                                                                                                                   |
<table>
<thead>
<tr>
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<th>Provide an overview of the system functionality that is proposed, or indicate if functionality will be developed as part of your solution</th>
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</thead>
</table>
|        | • Distribution journals (based on percentage distributions of consolidated amounts); and  
|        | • Reversing journals.                                                      |                                 |                                                                                                                                 |
| 2.2.14 | Extensive management and standard financial reports must be provided for, including:  
<p>|        | • Trial balances;                                                          |                                 |                                                                                                                                 |
|        | • Cost centre reports;                                                     |                                 |                                                                                                                                 |
|        | • Income statements;                                                       |                                 |                                                                                                                                 |
|        | • Transaction type reports;                                                |                                 |                                                                                                                                 |
|        | • Audit trails;                                                            |                                 |                                                                                                                                 |
|        | etc.                                                                        |                                 |                                                                                                                                 |
| 2.2.15 | The system must provide for:                                               |                                 |                                                                                                                                 |
|        | • On-line validation of GLA's;                                              |                                 |                                                                                                                                 |</p>
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<tr>
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<td>• The sub-system of origin and the originator of the transaction to be retained per transaction;</td>
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<td>• User restrictions to specific GLA's, cost centres and departments, and sensitive data must therefore be protected;</td>
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<td>• The handling of more than one financial year, and year end transactions to be automatically generated;</td>
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<td>• Fund balances and interest calculations that are executed on a user-defined parameter set(s);</td>
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<td></td>
<td>• Fund balances and interest calculations that are executed on a user-defined</td>
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<td>Requirements</td>
<td>Functionalit y provided for Y/N</td>
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<td>parameter set(s);</td>
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<td></td>
<td>• More than twelve cycles to facilitate year-end processing.</td>
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<td>2.2.16</td>
<td>An on-line facility must be available for Deans and Heads of Departments (and all other staff with the necessary access) to view Budget Queries and Cost Centres online, both with extensive drill-down capabilities to item level.</td>
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<td>2.3</td>
<td><strong>Budgeting</strong></td>
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<td>2.3.1</td>
<td>The ability to carry a primary budget, with multiple revision budgets being permitted.</td>
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<td>2.3.2</td>
<td>It must be possible to prepare budgets for multiple years.</td>
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<td>2.3.3</td>
<td>The system must facilitate budget forecasting</td>
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<td>RFP ID</td>
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<td>by the accounts department, based on linear regression, percentage increases and pro-rata allocation based on fixed sums of money.</td>
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<td>2.3.4</td>
<td>The system must allow for the entering of budgets on a decentralised basis, with management control as to which account budgets require motivation.</td>
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<td>2.3.5</td>
<td>During the budgeting cycle the system must support the following activities:</td>
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<td></td>
<td>• The printing of budget request forms detailing current and previous budgets and actual expenditures per department if required. Alternatively, this budget can be completed on line.</td>
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<td></td>
<td>• Forecasting expense budgets by</td>
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<td>providing the system user with a number of projected figures based on different projections from historical data.</td>
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<td></td>
<td>• Keeping of running totals of the allocations and available funds during the allocation of budgets.</td>
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<td></td>
<td>• Facilitates budget allocation on a monthly basis.</td>
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<td></td>
<td>• Copying the final approved budget figures in a single action to the General Ledger. This posting must be either to a single period or be allocated to different periods in the year over a twelve month period.</td>
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<td>RFP ID</td>
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<td></td>
<td>• Consolidate the detail salary budget to provide a comprehensive budget by cost centre, consolidation cost centre, department, fund group, etc. and for the institution as a whole.</td>
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</tr>
</tbody>
</table>

2.4 Accounts Receivable

2.4.1 The ability to define staff and students as debtors of the university (where staff and students have entered into loans with the institution).

2.4.2 The ability to record transactions such as invoices, credit notes, journals, and the generation of statements.

2.4.3 The ability to cater for repeating invoices and inter-creditor corrections.
<table>
<thead>
<tr>
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</tr>
</thead>
<tbody>
<tr>
<td>2.4.4</td>
<td>The ability to process invoice/credit note transactions on a line item basis and print invoices or credit notes from the system.</td>
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<tr>
<td>2.4.5</td>
<td>The ability to allocate invoices, credit notes, etc. to multiple GLA's if desired.</td>
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<tr>
<td>2.4.6</td>
<td>The automatic generation of VAT transactions.</td>
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<td>2.4.7</td>
<td>The ability to calculate interest on user specified criteria and the interest transactions to be automatically inserted. A rollback facility must be available.</td>
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<tr>
<td>2.4.8</td>
<td>The ability of the system to allow for open items.</td>
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<td>2.4.9</td>
<td>The ability to provide for age analyses on debtor summaries and statements.</td>
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<tr>
<td>2.4.10</td>
<td>In cases where employees are also debtors</td>
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<td>and deductions are made in the payroll system, the ability for such transactions to be copied from the payroll to the debtor account as and when required.</td>
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<tr>
<td>2.4.11</td>
<td>The staff loan recording facility must allow monthly deductions to be transferred to the payroll and then to be copied back from the payroll once the payroll calculation has been run.</td>
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<td>2.4.12</td>
<td>The ability to divide the debtor’s account into different sections (account types), e.g. computer loan, car loan, etc.</td>
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<tr>
<td>2.4.13</td>
<td>The ability to link each account type to a different control account in the General Ledger.</td>
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<td>2.4.14</td>
<td>The system must be multi-currency</td>
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<td>2.4.15</td>
<td>The ability for the system to facilitate an authorisation process for manual transactions if required.</td>
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<tr>
<td>2.5</td>
<td><strong>Cash Management, including Cashbook Management</strong></td>
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<tr>
<td>2.5.1</td>
<td>The system must allow for the recording of receipt of payments after validation of all the relevant control accounts such as the General Ledger Allocation, the student number, the debtor’s number or the personnel number as applicable.</td>
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<td>2.5.2</td>
<td>The system must allow for the issuing of ad-hoc cheques.</td>
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<td>2.5.3</td>
<td>Receipt/cheque numbers must be generated by the system.</td>
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<td>RFP ID</td>
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<td>2.5.4</td>
<td>It must be possible to segregate duties of paying and receiving cashiers.</td>
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<td>2.5.5</td>
<td>The system must be able to post transactions to the General Ledger individually or as an accumulated figure per day, week or month.</td>
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<td>2.5.6</td>
<td>Control must be kept on different types of receipts and an audit trail must be provided.</td>
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<td>2.5.7</td>
<td>Integrated updating of other sub-systems must be provided for.</td>
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<td>2.5.8</td>
<td>Different forms of payment must be accepted e.g. cash, cheques, postal orders, drafts, internet payments, etc.</td>
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<td>2.5.9</td>
<td>It must be possible to produce banking lists for multiple bank accounts.</td>
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<td>2.5.10</td>
<td>It must be possible to produce banking lists by bank account, by cashier, by payment method, etc.</td>
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</table>

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<td>form. etc.</td>
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<td>2.5.11</td>
<td>It must be possible to cater for Credit and Debit card payments. Separate deposit slips must be generated for such type of payments.</td>
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<td>2.5.12</td>
<td>The system must be able to produce daily cash flow summary reports.</td>
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<td>2.5.13</td>
<td>A query facility on student debtors’ accounts must be provided for.</td>
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<td>2.5.14</td>
<td>Provision must exist to process cash disbursements and it must be possible to print a disbursement voucher for signature by the recipient.</td>
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<td>2.5.15</td>
<td>The system must fully handle multi-currency operations.</td>
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<td>2.5.16</td>
<td>The system must provide for interfacing with the major banks in South Africa for</td>
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<td>electronic bank reconciliations and electronic payments. Please indicate your functionality in this regard.</td>
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<td>2.6</td>
<td><strong>Procurement, including Purchase Ordering, Inventory and Accounts Payable</strong></td>
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<td>2.6.1</td>
<td>The ability to define creditors in the system.</td>
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<td>2.6.2</td>
<td>The ability to record multiple addresses and contact information (telephone numbers, e-mail addresses, telex numbers etc.) per creditor.</td>
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</tbody>
</table>
| 2.6.3  | The ability to record the following additional information in respect of creditors:  
- Basic biographical details;  
- Grouping of creditors in types and categories; |                               |                                                                                                                  |
<table>
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<td></td>
<td>• Detail of commodities supplied;</td>
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<td>• Discounts offered;</td>
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<td></td>
<td>• Payment method;</td>
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<td></td>
<td>• Banking details;</td>
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<td></td>
<td>• Credit terms, etc.</td>
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<td>2.6.4</td>
<td>The ability to split one creditor’s account into any number of user defined sections (account types) e.g. Creditor A can have an institution purchasing account and a Faculty purchasing account.</td>
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<td>2.6.5</td>
<td>All processing to be performed at item level.</td>
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<td>2.6.6</td>
<td>The following payment methods must be allowed for:</td>
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<td></td>
<td>• Cheques;</td>
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<td>• National and international drafts;</td>
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<td>• Electronic payments;</td>
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<td></td>
<td>• Journal transfers for internal creditors.</td>
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<tr>
<td>2.6.7</td>
<td>The system must allow for the entering of requisitions for goods to be ordered and a facility to convert requisitions to orders.</td>
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<tr>
<td>2.6.8</td>
<td>The ability to enter requests for quotation (RFQ) and sending them to selected creditors together with a user-defined letter.</td>
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<tr>
<td>2.6.9</td>
<td>The ability to enter orders by line-item detail. The value of the order must be recorded as a commitment (against a budget) in the system.</td>
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<tr>
<td>2.6.10</td>
<td>The printing of orders must be provided for.</td>
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<td>2.6.11</td>
<td>The system must provide for standing or repeating orders.</td>
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<tr>
<td>2.6.12</td>
<td>The processing of Goods Received Vouchers (GRV’s), supplier returns and delivery notes must be provided for.</td>
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<tr>
<td>2.6.13</td>
<td>The ability to perform budget control using various user defined methods.</td>
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</table>
| 2.6.14 | The system must provide for the following:  
  • Commitments made per order in the Purchasing Ordering subsystem must be adjusted when invoices related to orders are processed.  
  • The allocation of invoices, credit notes, etc. to multiple GLA’s if desired.  
  • The VAT transactions must be generated automatically, and apportionment done where applicable. | | |
<table>
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<tr>
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<th>Provide an overview of the system functionality that is proposed, or indicate if functionality will be developed as part of your solution</th>
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<tbody>
<tr>
<td></td>
<td>• The generation of remittance advices and cheques for moneys due.</td>
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<td></td>
<td>• Settlement discounts must be automatically calculated according to the agreed credit terms with creditors.</td>
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<tr>
<td>2.6.15</td>
<td>The ability to generate cheques if required. It must be possible to make payments to single creditors by generating a remittance advice and cheque through this system.</td>
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<tr>
<td>2.6.16</td>
<td>Foreign currencies must be provided for, and foreign suppliers linked to their specific currency.</td>
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<tr>
<td>2.6.17</td>
<td>On entering transactions for foreign suppliers, the system must use a user-defined exchange rate to convert the foreign currency</td>
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<td>to the applicable local value.</td>
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<td>2.6.18</td>
<td>All financial documentation communication with the creditor must be in the currency of the creditor.</td>
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<td>2.6.19</td>
<td>The ability that payment can be withheld at item, invoice or creditor level.</td>
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<tr>
<td>2.6.20</td>
<td>The ability for transactions to be automatically linked to an &quot;effective payment date&quot;. It must be possible to update this date.</td>
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<tr>
<td>2.6.21</td>
<td>The system must be able to produce cash flow forecasts.</td>
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<td>2.6.22</td>
<td>It must be possible to specify on the generation of payments which transactions are to be included.</td>
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<tr>
<td>2.6.23</td>
<td>It must be possible to generate accruals and</td>
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<td>to carry forward budgets and commitments as part of year-end provision using various methods.</td>
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<td>2.6.24</td>
<td>The ability for the creation of multiple stores and sections within a store, and for the handling of transactions relevant to a store.</td>
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<tr>
<td>2.6.25</td>
<td>The ability that the relevant GLA's per store are maintained and kept in the store's definition.</td>
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<td>2.6.26</td>
<td>The ability to define defaults like mark-up percentages (for cash or credit sales), cost per order and stock cost per item.</td>
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<td>2.6.27</td>
<td>The ability to maintain order and issue units of stock.</td>
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<td>2.6.28</td>
<td>When items are ordered commitments must be automatically raised or updated in the</td>
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<td>RFP ID</td>
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<td>system.</td>
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<tr>
<td>2.6.29</td>
<td>The ability to capture goods received vouchers (GRV) with items that can be returned to suppliers with an automatic generation of requests for credit.</td>
<td>Y/N</td>
<td></td>
</tr>
<tr>
<td>2.6.30</td>
<td>The ability to record standard issues to departments and departmental returns to stores.</td>
<td>Y/N</td>
<td></td>
</tr>
<tr>
<td>2.6.31</td>
<td>The ability for cash and credit sales to students and staff, with an automatic update of the student/debtor record, must be provided for.</td>
<td>Y/N</td>
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</tr>
<tr>
<td>2.6.32</td>
<td>Stock records must be automatically updated with all transactions.</td>
<td>Y/N</td>
<td></td>
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<tr>
<td>2.6.33</td>
<td>The ability for item definitions to carry detail such as preferred supplier, VAT rates</td>
<td>Y/N</td>
<td></td>
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<tr>
<td>RFP ID</td>
<td>Requirements</td>
<td>Functionalit\ty provided for Y/N</td>
<td>Provide an overview of the system functionality that is proposed, or indicate if functionality will be developed as part of your solution</td>
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|--------|-------------------------------------------------------------------------------|-----------------------------------|---------------------------------------------------------------------------------------------------------------------------------
|        | applicable, extended description facilities, terms of payment for specific items, trade discount, etc. |                                  |                                                                                                                                |
| 2.6.34 | Statistics must be available per item, e.g. reorder quantity, lead time, peak period of usage, current and on order stock. |                                  |                                                                                                                                |
| 2.6.35 | A web-enabled work-flowed procurement facility must be available for staff. This system should allow for:  
• Requesting various items on one requisition;  
• The possibility for each item to be funded from various general ledger allocations;  
• Budget control sufficient funds to be |                                  |                                                                                                                                |
<table>
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</thead>
</table>
|        | performed when a request is made;  
• If there are insufficient funds, the requisition is routed to a person with the authority to override this control;  
• If funds are available, the requisition must be routed to a person with the necessary authority to approve it;  
• The system must also be able to route a requisition to various people, should multiple authorization be required;  
• If the requisition has been routed to more than one person, each person must be able to view the whole requisition, but should only be able to authorise his/her section; | | |
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<td></td>
<td>- Once all authorisations have been recorded, the requisition must be routed to the purchasing department to process the order. Through this process, the routing system must keep the original requester informed about the status and progress of the requisition via e-mails. The requester must also be able to view further documents that result from the requisition, e.g. the order, the Goods Received Voucher, the invoice and payment.</td>
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<tr>
<td>2.7</td>
<td><strong>Asset Management</strong></td>
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<tr>
<td>2.7.1</td>
<td>The Asset Management system must provide for both Fixed Assets as well as movable assets.</td>
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<td>RFP ID</td>
<td>Requirements</td>
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<tr>
<td>2.7.2</td>
<td>The ability to group assets into user-defined asset types.</td>
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<tr>
<td>2.7.3</td>
<td>An asset to be uniquely identified, and tagged with a bar code label. This includes venues within fixed assets (buildings).</td>
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<tr>
<td>2.7.4</td>
<td>The record of an asset must include a reporting hierarchy of asset category and type, a link to the Procurement Management system for supplier information and purchase price, ownership, condition, and details of parts of a larger asset.</td>
<td></td>
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<tr>
<td>2.7.5</td>
<td>The ability to link an asset to a responsible person and an allocated person for reporting purposes.</td>
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<tr>
<td>2.7.6</td>
<td>The system must facilitate depreciation calculations and assets write-off’s and must</td>
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<td></td>
<td>automatically create the necessary General Ledger entries.</td>
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<tr>
<td>2.7.7</td>
<td>Must be able to use the asset register for financial control as well as register purposes and it must be possible to differentiate between assets by means of a capital indicator that is entered per asset.</td>
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<tr>
<td>2.7.8</td>
<td>The system must allow for the creation of asset packages to aid the stores in allocating assets, e.g. allocate assets to a new appointment, allocate assets per student to hostel rooms, etc.</td>
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<tr>
<td>2.7.9</td>
<td>It must be possible to accurately and quickly perform asset surveys with a portable data terminal, with a build in bar-code reader.</td>
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<tr>
<td>2.7.10</td>
<td>It must be possible to upload asset survey</td>
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<tr>
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<td></td>
<td>data on the portable data terminal into the asset register.</td>
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<tr>
<td>2.7.11</td>
<td>The system must be able to produce the following information / complete the following actions on completion of the asset survey:</td>
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<td></td>
<td>• The movement of assets on the campus and automatically update the assets to the new locations;</td>
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<td></td>
<td>• Identify assets that were not found during a survey and which may have been removed from campus;</td>
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<td></td>
<td>• Identify assets that were purchased by the institution but that are not on the</td>
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<td></td>
<td>asset register.</td>
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<tr>
<td>2.7.12</td>
<td>The full record of an asset must inter alia include asset identification, serial numbers, price and supplier information, and details if part of a larger asset.</td>
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<tr>
<td>2.7.13</td>
<td>It must be possible to link assets to maintenance contracts to facilitate the control of such contracts.</td>
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</tbody>
</table>
| 2.7.14 | Additional data in respect of fixed assets must include:  
- The area, number of places and the description of the space;  
- The "address" of the space in terms of its Building, Floor and Room numbers. |                                  |                                                                                                |
<p>| 2.7.15 | Please fully describe the interface |                                  |                                                                                                |</p>
<table>
<thead>
<tr>
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<tr>
<td></td>
<td>(integration) between the Procurement Management and Asset Management systems.</td>
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<tr>
<td>2.7.16</td>
<td>Please fully describe the interface (integration) between the General Ledger and the Asset Management system.</td>
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<tr>
<td>3.0</td>
<td><strong>HUMAN RESOURCE MANAGEMENT</strong></td>
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<td></td>
<td><strong>Proposed system and version:</strong></td>
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<tr>
<td>3.1</td>
<td><strong>Position Management</strong></td>
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<tr>
<td>3.1.1</td>
<td>The ability to define the establishment or the university, i.e. define post types, and define all posts per faculty and department and the ability to produce an organogram for the university reflecting reporting lines.</td>
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<tr>
<td>3.1.2</td>
<td>The ability to link a status to a post, indicating whether vacant, filled and the</td>
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<td></td>
<td>ability to freeze vacant posts for any period of time.</td>
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<td>3.1.3</td>
<td>Set up and maintain an organisational structure (add, modify &amp; delete) including all identified positions/roles and reporting lines.</td>
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<tr>
<td>3.1.4</td>
<td>Attach job descriptions to the posts.</td>
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<tr>
<td>3.1.5</td>
<td>Assign an employee to occupy a position, e.g. head of department.</td>
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<tr>
<td>3.1.6</td>
<td>Enable the pay scale (if used) attached to a position to be over-ridden in circumstances where it may be different to that of the grade of the post.</td>
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<td>3.1.7</td>
<td>Electronically notify the employee’s supervisor to conduct an exit survey for an employee that is terminating his/her services. Alternatively, the availability of an on-line</td>
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<td>exit survey that exiting staff can complete.</td>
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<tr>
<td>3.1.8</td>
<td>Record exit interview information and feed relevant details to a workforce planning module.</td>
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<tr>
<td>3.1.9</td>
<td>Generate FTE report by Organisation, Department, Cost Centre &amp; Division (ability to generate FTE values).</td>
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<tr>
<td>3.1.10</td>
<td>Maintain a history of the positions / responsibilities held by an employee.</td>
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<td>3.1.11</td>
<td>Ability to disable positions and re-activate if required.</td>
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<tr>
<td>3.1.12</td>
<td>Enable individual transfers of staff to positions.</td>
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<tr>
<td>3.1.13</td>
<td>The ability for a staff member to be allocated to more than one position without creating multiple personnel numbers.</td>
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<td>RFP ID</td>
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<td>3.1.14</td>
<td>The Personnel system must be fully integrated with the Payroll system, with no data duplication between the two systems.</td>
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<td>3.1.15</td>
<td>The ability to meet the statutory equity reporting requirements.</td>
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<tr>
<td>3.1.16</td>
<td>The ability to meet all Personnel HEMIS reporting requirements.</td>
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<tr>
<td>3.2</td>
<td><strong>Recruitment</strong></td>
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<tr>
<td>3.2.1</td>
<td>Allows for recruitment, with a restriction to internal and/or external applications.</td>
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<tr>
<td>3.2.2</td>
<td>Allow for workflow process to enable approval for advertising a vacancy by relevant authorised manager.</td>
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<td>3.2.3</td>
<td>Allow for receipt of both hard copies and electronic copies of applications.</td>
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<td>3.2.4</td>
<td>Enable electronic storing of the resumes and applications received and attach to the applicant’s record in the recruitment system. Additional information can be appended by the HR department.</td>
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<tr>
<td>3.2.5</td>
<td>Have an indicator that determines whether the application is internal or external.</td>
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<tr>
<td>3.2.6</td>
<td>The ability for applicants to apply electronically for a position.</td>
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<tr>
<td>3.2.7</td>
<td>Enable manual input of applicant's application in cases where applications are received by post.</td>
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<tr>
<td>3.2.8</td>
<td>Facilitate the flagging of applicants such as rejected, selected for 1st interview, must sit aptitude test, etc.</td>
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<tr>
<td>3.2.9</td>
<td>Generate template letters, e.g. applications</td>
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<td>received, selected, rejected, etc.</td>
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<tr>
<td>3.2.10</td>
<td>Provide for automatic update of employee info when an applicant accepts a recruitment offer.</td>
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<tr>
<td>3.2.11</td>
<td>Enable deletion or archiving of details for applicants who have not been shortlisted.</td>
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<tr>
<td>3.2.12</td>
<td>Facilitate the scheduling of interviews.</td>
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<td>3.2.13</td>
<td>Ability for define the interview / appointment committee in the system.</td>
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<td>3.2.14</td>
<td>Ability to record feedback obtained from reference checks per candidate.</td>
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<td>3.2.15</td>
<td>Ability to record disability per staff member and categorised the disability into predefined groups.</td>
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<tr>
<td>3.2.16</td>
<td>Enable HR to run standard reports on groups</td>
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<td>RFP ID</td>
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<td></td>
<td>of applicants/ recruitments (e.g. qualifications, experience, vacancies,</td>
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<td></td>
<td>number of posts filled internally and externally, number of vacancies for the</td>
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<td>year and number of applicants, male/female, and ethnicity appointments).</td>
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<td>3.2.17</td>
<td>All reports should be generated to be viewed online, printed out, exported,</td>
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<td></td>
<td>or emailed to a selected employee.</td>
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<tr>
<td>3.2.18</td>
<td>Online access available for manager to review and approve applications as</td>
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<td></td>
<td>well as automatic pre-selection of candidates.</td>
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<td>3.2.19</td>
<td>Capture recruitment costs e.g. cost per advertisement, external agents,</td>
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<td></td>
<td>transport, etc.</td>
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<tr>
<td>3.2.20</td>
<td>Attach a job description and the relevant competencies to each position in the</td>
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<td></td>
<td>organisation structure for recruiting purposes.</td>
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<tr>
<td>3.2.21</td>
<td>Record a role description, evaluation criteria and interview questions for purposes of recruitment for each position.</td>
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<tr>
<td>3.3</td>
<td><strong>Appointment and Personnel Administration</strong></td>
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<tr>
<td>3.3.1</td>
<td>Enter and maintain employee biographical details such as name, surname, marital status, gender, date of birth, etc.</td>
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<tr>
<td>3.3.2</td>
<td>Allocate a unique employee number for each employee. This unique employee number shall, amongst others, be used for performing enquiries on employees across the Personnel and Payroll systems. The Personnel number must be a “number for life” and be retained if a member of staff takes up an alternative</td>
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<td>Requirements</td>
<td>Functionality provided for Y/N</td>
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<td></td>
<td>position. One personnel number to be used if a member of staff is allocated to more than one position simultaneously.</td>
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<tr>
<td>3.3.3</td>
<td>Automatic generation of employee number for each new employee entered on the system.</td>
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<td>3.3.4</td>
<td>Provide workflow capability to enable a new employee or the HR administrator to complete or update an electronic form for entering personal details into the system.</td>
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<tr>
<td>3.3.5</td>
<td>Enable HR to validate/approve on-line updates made by employees.</td>
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<tr>
<td>3.3.6</td>
<td>Record date of appointment / probation / confirmation / termination / retirement.</td>
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<td>3.3.7</td>
<td>The payroll system must be sensitive to termination and retirement dates.</td>
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<td>RFP ID</td>
<td>Requirements</td>
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</table>
| 3.3.8  | Support the different employment statuses which exists, such as but not limited to:  
- Full-time including those employed in a sustentative capacity with probation;  
- Part-time;  
- Permanent, casual, contract or temporary. |                                                                              |                                                                                                                                  |
<p>| 3.3.9  | Allow headcount and FTE counts for employees per appointment type, faculty, department, etc. |                                                                              |                                                                                                                                  |
| 3.3.10 | Maintain award and condition of employment information for each category of employee. |                                                                              |                                                                                                                                  |
| 3.3.11 | Record full time position and job sharing and acting roles.                   |                                                                              |                                                                                                                                  |
| 3.3.12 | Link employees to position, employment group, leave entitlement, probation status |                                                                              |                                                                                                                                  |</p>
<table>
<thead>
<tr>
<th>RFP ID</th>
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<td></td>
<td>and end date, work permit details, etc.</td>
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<td>3.3.13</td>
<td>Enable changes to an employee's employment status if their role has changed permanently or temporarily.</td>
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<td>3.3.14</td>
<td>Enable contract details to be linked to employees (contract id, description, start &amp; end dates, notice period, etc.)</td>
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<tr>
<td>3.3.15</td>
<td>Upon termination of an employee, the employee details to be retained under the employee ID as employee history, i.e. no reuse of old employee IDs for new employees, But allow re-use of the employee ID for the same employee in a future re-appointment.</td>
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<tr>
<td>3.3.16</td>
<td>Enable multiple and individual transfers/ re-appointment of staff.</td>
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<td>RFP ID</td>
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<tr>
<td>3.3.17</td>
<td>Audit report that records and tracks master data changes.</td>
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<td>3.3.18</td>
<td>Ability to generate reports which can be viewed online, printed out, exported or emailed to a select person.</td>
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<tr>
<td>3.3.19</td>
<td>Allow for reason codes for changes to staff information e.g. when employees are moving from one post to another, or promoted as manager of another line function, etc. (to enable statistical reporting).</td>
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<tr>
<td>3.4</td>
<td><strong>Leave Management</strong></td>
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<tr>
<td>3.4.1</td>
<td>The ability to create different leave types and leave cycles applicable in the university.</td>
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<tr>
<td>3.4.2</td>
<td>The ability to create multiple leave packages and to link a leave package to post / appointment types.</td>
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<tr>
<td>RFP ID</td>
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<td>3.4.3</td>
<td>The ability to handle leave in advance, or in arrears.</td>
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<td>3.4.4</td>
<td>Facilitate approval of leave by line management through a workflow capability.</td>
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<td>3.4.5</td>
<td>Updating of leave balances in the HR system - the system shall allow for batch update for all types of leaves at the start of the leave cycles.</td>
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<tr>
<td>3.4.6</td>
<td>Monitor planned absences against approvals and entitlements.</td>
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<td>3.4.7</td>
<td>Monitor unplanned absence and reasons for absence.</td>
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<td>3.4.8</td>
<td>The ability to grant and approve leave if leave goes into a debit situation.</td>
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<td>3.4.9</td>
<td>Track sick leave, and monitor and alert where an employee is absent for 3 days or</td>
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<td>more, and a medical note is required.</td>
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<tr>
<td>3.4.10</td>
<td>The ability to monitor and report absentee patterns of employees.</td>
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<tr>
<td>3.4.11</td>
<td>Catering for different working patterns, e.g. part-time, flexible working, parental leave, etc.</td>
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<td>3.4.12</td>
<td>Track hours for hourly paid staff for leave granting purposes.</td>
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<td>3.4.13</td>
<td>The ability to sell a defined number of leave days back to the university.</td>
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<td>3.4.14</td>
<td>The ability to manage cumulative leave.</td>
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<td>3.4.15</td>
<td>The ability to manage leave cycles that span more than a calendar year, e.g. x number of days every three years.</td>
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<tr>
<td>3.5</td>
<td><strong>Skills and Professional Development</strong></td>
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<tr>
<td>RFP ID</td>
<td>Requirements</td>
<td>Functionalit y provided for Y/N</td>
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<tr>
<td>3.5.1</td>
<td>The ability to carry the skills and / or academic qualification requirements for a post.</td>
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<tr>
<td>3.5.2</td>
<td>The ability to record the skills and / or academic qualification of a member of staff.</td>
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<td>3.5.3</td>
<td>The ability to match the post skills and / or qualification requirements against that of the post incumbent, and to list all skill and / or qualification deficiencies.</td>
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<tr>
<td>3.5.4</td>
<td>The ability to define skills and training programs / courses in the system, and associated costs, and link them to skills / qualification requirements for the post.</td>
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<td>3.5.5</td>
<td>The ability to link staff to skills / training courses after the skills matching process. The system should produce Management</td>
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<td>RFP ID</td>
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<td></td>
<td>Information statistics such as:</td>
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<td></td>
<td>• Training needs analysis by need, designation, grade and employee;</td>
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<td></td>
<td>• Training courses available.</td>
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<tr>
<td>3.5.6</td>
<td>The ability to draw up a skills / training plan and the total cost for it.</td>
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<td>3.5.7</td>
<td>The ability to structure a skills plan over time within the available budget allocation.</td>
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<td>3.5.8</td>
<td>The ability to meet the statutory skills reporting requirements.</td>
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<td>3.5.9</td>
<td>Record courses/trainings/conferences attended by an employee per employee.</td>
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<td>3.5.10</td>
<td>Record various development activities undertaken by employees including formal internal or external courses and other non-</td>
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<td></td>
<td>course development activities including mentoring and on-the-job training.</td>
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<td>3.5.11</td>
<td>Record qualifications and date obtained for each employee. Allow for multiple qualifications per employee.</td>
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<td>3.5.12</td>
<td>Ability for employee to electronically request attendance of courses. Workflow for the approval of the request to the employee’s supervisor or manager.</td>
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<tr>
<td>3.5.13</td>
<td>Email notification to participants to confirm their attendance or cancellation along with any pre and post workshop material.</td>
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<tr>
<td>3.5.14</td>
<td>Capture costing of the course being run, including time and labour, materials used, administrative expenses, and trainer costs.</td>
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<td>3.5.15</td>
<td>Record an employee’s application for study</td>
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<td>assistance including the study applied for and the total cost of the study.</td>
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<td>3.5.16</td>
<td>Create and maintain record of sponsorship, scholarship, and study assistance details for an employee.</td>
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<td>3.5.17</td>
<td>Ability to identify crucial roles and suitable candidates available in the institution.</td>
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<td>3.5.18</td>
<td>Identify skills and competency gaps for roles according to performance standards.</td>
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<td>3.5.19</td>
<td>Record responses to training outcome questionnaires and perform analysis.</td>
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<td>3.5.20</td>
<td>Report the results of training outcome questionnaires.</td>
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<td>3.5.21</td>
<td>Reporting on all course details including tentative bookings, approved bookings and waitlisted bookings.</td>
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<td>3.6</td>
<td><strong>Health and Safety Management</strong></td>
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<td>3.6.1</td>
<td>The solution needs to make provision for a centralized incident and hazard register that is accessible for data capture, reporting, and monitoring and control purposes. Please describe the functionality that your system offers in this regard.</td>
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<td>3.7</td>
<td><strong>Performance Management</strong></td>
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<tr>
<td>3.7.1</td>
<td>The system must provide for the introduction and administration of a staff performance management process which shall include but is not limited to the online completion of individual performance evaluation and review. Must allow printing of performance review to facilitate discussion between</td>
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<td>individual and supervisor and the final performance grades to be captured into the reward system, etc. Please describe the functionality that your system offers in this regard.</td>
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</tbody>
</table>

### 3.8 Personnel Self-service

3.8.1 Enable staff to view and update their personal information on HR system with appropriate notification to managements allowed by the university.

3.8.2 Allow staff to select/de-select employee optional schemes.

3.8.3 Enable employees to query their cumulative and reducing balances for leave, including:
- Sick, casual, vacation, etc. balance;
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<thead>
<tr>
<th>RFP ID</th>
<th>Requirements</th>
<th>Functionalit y provided Y/N</th>
<th>Provide an overview of the system functionality that is proposed, or indicate if functionality will be developed as part of your solution</th>
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</thead>
</table>
|        | • Number of sick leave taken in calendar year;  
• Number of days leave carried over;  
• Study leaves, leave without pay and other leave like injury, special, etc. | | |
<p>| 3.8.4  | The ability for staff to apply for all categories of leave. The leave application to be work-flowed to the supervisor for approval and to HR for notification. The applicant to be advised electronically of the outcome of the leave application. Enable supervisors to approve leaves even when off-campus. | | |
| 3.8.5  | Enable staff to book workshops conducted internally. | | |</p>
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<tr>
<th>RFP ID</th>
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<tbody>
<tr>
<td>3.8.6</td>
<td>Allow staff to access any feedback questionnaire they need to complete.</td>
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<td>3.8.7</td>
<td>Enable employees to submit queries electronically.</td>
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<td>3.8.8</td>
<td>Allow staff to make and submit expense claims.</td>
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### 4.0 PAYROLL MANAGEMENT

**Proposed system and version:**

#### 4.1 Payroll System

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<thead>
<tr>
<th>4.1.1</th>
<th>The system shall be fully scalable and flexible irrespective of numbers involved.</th>
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<tbody>
<tr>
<td>4.1.2</td>
<td>Enable distinct payroll groups:</td>
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<td></td>
<td>• Employees paid on a salary basis (recurring payment of same amount until changed);</td>
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<td>RFP ID</td>
<td>Requirements</td>
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<td></td>
<td>• Employees paid on a Pay by Claim basis (once off payment only for amount claimed). All functional requirements stated below apply to all payroll groups.</td>
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</tbody>
</table>
| 4.1.3  | 4.1.3 Provide comprehensive, easy to use, standing data set up functionality that includes at least the following:  
• Validation on entry;  
• Time and date stamp;  
• Supported by a full audit trail. |                                |                                                                                                                         |
| 4.1.4  | 4.1.4 Facilitate administration and maintenance of the payroll data to include at least the following:  
• Restriction of entry and amendment |                                |                                                                                                                         |
<table>
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<tr>
<th>RFP ID</th>
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<td></td>
<td>of payroll data, based on authorised users with specific privileges;</td>
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<td></td>
<td>• Production of standard reports detailing amendments made and authoriser,</td>
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<td>for all static data changes.</td>
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<tr>
<td>4.1.5</td>
<td>Identify the new employee by a unique Employee ID through which enquiries can</td>
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<td>be performed across the payroll and HR system, such as name, employment and</td>
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<td>salary history, etc.</td>
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<tr>
<td>4.1.6</td>
<td>Allow the entry of recurring payment and deduction elements on commencement</td>
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<td>of an employment.</td>
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<tr>
<td>4.1.7</td>
<td>Able to perform pro-rata payroll calculations in the case of employees joining</td>
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<td>in the middle of a pay period.</td>
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<tr>
<td>4.1.8</td>
<td>Provide seamless integration from HR to payroll in respect of contract terminations, in order to minimise the risk of overpayments being made after cessation of employment.</td>
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<tr>
<td>4.1.9</td>
<td>Automatically calculate an employee’s termination payment when a termination date is entered for the employee, taking into account leave outstanding, etc.</td>
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<tr>
<td>4.1.10</td>
<td>Able to perform pro-rata payroll transaction calculations in the case of employees leaving before the end of a pay period.</td>
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<tr>
<td>4.1.11</td>
<td>Allow the entry of specific start dates (and end dates only where required) for such allowances and deductions, in order to allow automatic pro-rating of allowances and deductions for an employee during any</td>
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<td>period that is not a full pay period.</td>
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<tr>
<td>4.1.12</td>
<td>Enable HR to add or update a payroll transaction including expiry dates, if required, relating to an employee’s contract details.</td>
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<tr>
<td>4.1.13</td>
<td>Able to capture an allowance or a deduction/contribution as a fixed amount or as a percentage of a pay element.</td>
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<tr>
<td>4.1.14</td>
<td>Able to calculate allowances such as project supervision, invigilation fees, consultancy fees, marking of scripts.</td>
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<tr>
<td>4.1.15</td>
<td>Allow for deductions to have reducing balances.</td>
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<tr>
<td>4.1.16</td>
<td>Provide an allowance and deduction history for each employee including start and end dates.</td>
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<tr>
<td>4.1.17</td>
<td>Allow HR or Payroll users to run a standard query as to which employees carry a specific allowance or deduction.</td>
<td>Y/N</td>
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<tr>
<td>4.1.18</td>
<td>Provide employees via the Employee Self Service Portal with information on their current allowances, salaries, and deductions amongst others and the total list of companies/schemes for which deductions are taken from their salary.</td>
<td>Y/N</td>
<td></td>
</tr>
<tr>
<td>4.1.19</td>
<td>Allow user to define parameters and calculation formulae for payments/deductions/contributions.</td>
<td>Y/N</td>
<td></td>
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<tr>
<td>4.1.20</td>
<td>Able to compute car loan based on formula as approved.</td>
<td>Y/N</td>
<td></td>
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<tr>
<td>4.1.21</td>
<td>Provide a register for loan disbursed, interest accumulated and balance.</td>
<td>Y/N</td>
<td></td>
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<tr>
<td>RFP ID</td>
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<td>4.1.22</td>
<td>Automatically stop loan payback deduction based on pre-defined period.</td>
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<tr>
<td>4.1.23</td>
<td>Provide a history of loan disbursed.</td>
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<tr>
<td>4.1.24</td>
<td>Provide for cost-to-company (CtC) based remuneration. Provide full details of capability to structure CtC package at the discretion of the staff member within a set of structure parameters set by the employer.</td>
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<tr>
<td>4.1.25</td>
<td>Provide also for salary payment based on salary scales and functionality to enable new salary scales to be loaded. Provide standard reports listing current and previous salary scales for checking prior to approval by payroll.</td>
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<tr>
<td>4.1.26</td>
<td>Store a history of salary scales.</td>
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<td>4.1.27</td>
<td>Where changes to salary scales have been applied, provide functionality for payroll simulation, re-runs, rollback and back-pay calculations to ensure accuracy, efficiency and timeliness.</td>
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<td>4.1.28</td>
<td>Allow for different percentage increases to be applied to salary scales for a series of user definable criteria (e.g. range of salary scales, individual employee, etc.).</td>
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<tr>
<td>4.1.29</td>
<td>Allow the periodic amendment of data (potentially multiple changes within a given pay period), subject to appropriate authorisation.</td>
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<tr>
<td>4.1.30</td>
<td>Where an employee grade is changed midway within a pay period, the system incorporates the specific date of the change</td>
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<td>into the period’s pay calculation.</td>
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<tr>
<td>4.1.31</td>
<td>Calculate overtime and arrears payment when appropriate.</td>
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</table>
| 4.1.32 | Able to store at least the following criteria and use these to calculate overtime payments:  
  • Minimum thresholds under which employees are not paid overtime;  
  • Thresholds under which different overtime rates are applicable. |                               |                                                                                                                               |
<p>| 4.1.33 | Facility to load overtime data to payroll. |                               |                                                                                                                               |
| 4.1.34 | Provide automatic increment processing, based on the salary scale. |                               |                                                                                                                               |
| 4.1.35 | Provide a standard report prior to automatic |                               |                                                                                                                               |</p>
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<thead>
<tr>
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<td></td>
<td>increment processing to allow checking, review and final approval before implementation.</td>
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<tr>
<td>4.1.36</td>
<td>Maintain a full history of increments in order to allow for historic enquiry and automatic back pay calculations where an increment is back-dated.</td>
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<tr>
<td>4.1.37</td>
<td>Facilitate back-pay calculations, with automatic calculation of back-pay payments, calculated taking into account the dates from which pay awards are effective and any changes that have occurred between these dates.</td>
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<tr>
<td>4.1.38</td>
<td>Facilitate automatic back-pay calculations resulting from retrospective pay scale changes, taking into consideration any</td>
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<td>changes in grade or increments granted.</td>
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<td>4.1.39</td>
<td>Facilitate automatic back-pay calculations for staff paid on a claim basis.</td>
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<td>4.1.40</td>
<td>Allow for back-pay listings to be reviewed (with a standard pay report showing arrears for all employees), amended as necessary, approved and then processed for inclusion in the next payroll run.</td>
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<tr>
<td>4.1.41</td>
<td>Provide a standard report to respond to employee queries regarding back pay over a specified date range.</td>
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<tr>
<td>4.1.42</td>
<td>Automatic calculation of end of year bonus, based on user-defined rules.</td>
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<td>4.1.43</td>
<td>Allow for pro-rata bonus calculation for those joining during a calendar year and for those on leave without pay.</td>
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<tr>
<td>4.1.44</td>
<td>Accommodate changes in employee status during pay period.</td>
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</table>
| 4.1.45 | Provide at least the following basic facilities to process the payroll calculation:  
• Reports to allow checking of completeness / validity of inputs;  
• Allow flexible payroll calculation – for entire payroll or for individual;  
• To comprehensively preview the payroll calculation – including reports and/or on-line view of “draft” payslips and/or pay run totals. | | |
<p>| 4.1.46 | Provide standard reports in advance of payroll calculation to list all changes made to the Payroll in that period, and include all | | |</p>
<table>
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<tr>
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<td></td>
<td>salary changes against employees.</td>
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<tr>
<td>4.1.47</td>
<td>Provide standard reporting based on exceptions (e.g. only those which exceed last period by specified % to be included in report).</td>
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<tr>
<td>4.1.48</td>
<td>Provide a standard report to reconcile the number of employees that should be paid for a particular payroll period (taking new joiners, leavers and inactive employees into consideration).</td>
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</table>
| 4.1.49 | Provide flexibility to allow effective error correction of the payroll for a pay period after the payroll calculation has been completed and before payslip generation. Must provide for the following:  
  • Selective correction of errors e.g. for |                                 |                                                                                |
<table>
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<tr>
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</table>
|        | individuals / specific departments or / whole payroll;  
• Allowing selective re-run of calculation after error correction;  
• Allowing finalisation of payroll calculation, thereby approving the initiation of the payment process. | | |
<p>| 4.1.50 | Allow the continued use of the HR system while the payroll process is running with no significant adverse effect on system performance. | | |
| 4.1.51 | Provide standard payment generation functionality including printing of payslips and cheques, generation of electronic file that can be transmitted to banks for electronic salary transfers, and re-printing of | | |</p>
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<td>payslips on request.</td>
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<td>4.1.52</td>
<td>Allow the recording of additional information on the employment record and allow the inclusion of these comments on the payslip.</td>
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<tr>
<td>4.1.53</td>
<td>Provide an option to show an employee’s annual leave balance on the payslip.</td>
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<td>4.1.54</td>
<td>Facility to interface cheque payment details for Payroll to the Cash Management module in the Financial System.</td>
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<td>4.1.55</td>
<td>Generate payslips securely for printing or electronically for distribution via email.</td>
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<td>4.1.56</td>
<td>Allow on-line viewing of the payslip.</td>
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<td>4.1.57</td>
<td>Facility to sort printed payslips on user-defined criteria to facilitate distribution to</td>
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<td>employees.</td>
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<td>4.1.58</td>
<td>Facility to reprint payslips.</td>
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<td>4.1.59</td>
<td>Produce standard reports after pay generation run to show the following:</td>
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<td></td>
<td>• Control reporting (e.g. costs per cost-centre/department);</td>
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<tr>
<td></td>
<td>• Pay run details (breakdown of gross to net per employee, per cost-centre/department);</td>
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<td></td>
<td>• Overtime report per cost-centre/department.</td>
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<tr>
<td>4.1.60</td>
<td>Automatically updates the General Ledger in the Financial system and produce a standard report of information updated.</td>
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<td>4.1.61</td>
<td>Allow cancellation or adjustment of a</td>
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<td></td>
<td>payment transaction (properly authorised) in the next pay period.</td>
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<td>4.1.62</td>
<td>Ensure that reversals or adjustments of a payment transaction will automatically update the employee’s cumulative year to date totals in respect of pay, PAYE etc. and will also automatically cause the reversal or adjustment of any costing data which was passed to General Ledger.</td>
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<td>4.1.63</td>
<td>Produce standard control reports (that can be output in electronic spread sheet form) outlining statutory deductions/contributions such as PAYE for the accounting month and year to date figures.</td>
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<td>4.1.64</td>
<td>Ability to provide customised reports based on specific requirements of the university.</td>
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<td>4.1.65</td>
<td>Enable reporting for distinct payroll groups such as part timers, research assistants, etc.</td>
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<tr>
<td>4.1.66</td>
<td>Ability to group and sort reports as per user-defined criteria (name, code, section, department, etc.).</td>
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<tr>
<td>4.1.67</td>
<td>Ability to generate all reports to be viewed on screen, printed out, exported to PDF, or emailed to a select person.</td>
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<tr>
<td>4.1.68</td>
<td>Provide an easy to use report writer to develop additional reports for official reporting to all external stakeholders and reports for heads of department.</td>
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<tr>
<td>4.1.69</td>
<td>Provide the facility to schedule jobs and reports to run at user defined times and intervals.</td>
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| 4.1.70 | Provide for integration or other suitable interfaces with the following applications:  
  - HR system (sharing data with respect to new employees, leavers, overtime, absences, passage benefits amongst others);  
  - General Ledger (in respect of valid cost codes and pay transactions). | | |
<p>| 4.1.71 | Meet all statutory Payroll requirements and reports and the production of the annual IRP5 documentation and controls. | | |
| 4.2   | <strong>Salary Budgeting</strong> | | |
| 4.2.1 | The ability to calculate a salary budget for future periods and by using user-defined criteria to budget for vacant posts, future resignations, etc. | | |</p>
<table>
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<tr>
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<tbody>
<tr>
<td>4.2.2</td>
<td>The system must allow for multiple parameter sets to be defined (different budgets), thereby facilitating “what if” scenarios e.g. vacant post can be ignored in the budget, future post can be included in the budget, differentiated pay increases for different categories of employees, etc.</td>
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<td>4.2.3</td>
<td>The results of these calculations must be retained on the system, and it must be possible for the final selected parameter set to be used for the posting of budget figures to the General Ledger and to the posts.</td>
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<td>4.2.4</td>
<td>It must be possible to perform budget review calculations for a current year. In this case the actual expenditure for the preceding months must be used and projections</td>
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<td>calculated for the remaining months. These figures must then be used to determine the reviewed budget for the current year.</td>
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5.0 PHYSICAL RESOURCE MANAGEMENT

5.1 Residence Management

**Proposed system and version:**

5.1.1 The ability to:
- Define different Residences, indication if they are gender specific or not;
- Define the different room types, e.g. single, double, apartment for three students, etc.;
- Define the available rooms per residence, per room type;
- Define the cost per student space per
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<td></td>
<td>residence, room type and room for a study period (year or semester, as applicable); • Define assets that are available to students on either a loan, rental or purchase basis; • Issue assets to students and raise the appropriate fee/cost and/or deposit; • Receive assets back into stock at the end of the study period or on cancellation.</td>
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<tr>
<td>5.1.2</td>
<td>The ability for students to apply for residence placement – applications being either paper-based or online applications via the student self-service application.</td>
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<tr>
<td>5.1.3</td>
<td>The ability to communicate with students</td>
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<td>RFP ID</td>
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<td>applications and placement – communication via letters, email and SMS messages.</td>
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<td>5.1.4</td>
<td>The ability to link students to different application stages, e.g. application received, awaiting additional documentation, waitlisted, place offered, etc.</td>
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<td>5.1.5</td>
<td>The ability to load residence application and placement documents against a student.</td>
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<td>5.1.6</td>
<td>The ability to integrate with academic application system to ensure that a residence place is not offered to a student without a valid academic offer having being made to the student.</td>
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<td>5.1.7</td>
<td>The ability to allocate a residence place/room to a student, and to raise the relevant deposits and fees on allocation. Fees</td>
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<td>RFP ID</td>
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<td>to be raised for a study period or on a per day basis for a given number of days.</td>
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<td>5.1.8</td>
<td>The ability to move students between residences or rooms within the same residence with automatic fee adjustments.</td>
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<td>5.1.9</td>
<td>The ability to cancel the residence stay of a student, and to allocate credit to the student. The cancellation credit must be rule-based – please explain the system’s functionality in this regard.</td>
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<tr>
<td>5.1.10</td>
<td>The ability to raise and collect breakage fees and/or withholding breakage deposits when required.</td>
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<tr>
<td>5.2</td>
<td>Class and Examination Timetabling</td>
<td></td>
<td>Proposed system and version:</td>
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<td>RFP ID</td>
<td>Requirements</td>
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<td>5.2.1</td>
<td>Does the Timetable System (TTS) consist of multiple components/modules? Please provide information for each component/module.</td>
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<tr>
<td>5.2.2</td>
<td>Identify the key features of the system, including interoperability features and integration capabilities with student management system.</td>
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<td>5.2.3</td>
<td>Provide an overview of the product history for the system.</td>
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<td>5.2.4</td>
<td>Identify any third party products or tools that form part of the timetable system, either bundled or discrete.</td>
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<td>5.2.5</td>
<td>Identify any certifications or standards met by the timetable system.</td>
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<td>5.2.6</td>
<td>Confirm that the version(s) of software</td>
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<td>proposed are in general release.</td>
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<td>5.2.7</td>
<td>Courses (or modules) offered by the university may comprise of a number of teaching events, e.g. lectures, tutorials, laboratories etc., that must be timetabled. These events have attributes that are used by the timetabling process. For example, the number of students enrolled in the course and/or the type of resources required for the event. Describe the way in which events are defined and managed within your system, with particular reference to teaching events. This must include a description of the types of attributes that can be defined for an event.</td>
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<td>5.2.8</td>
<td>Courses tend to be made up of multiple types</td>
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<td>of events, which may need to occur in a specific sequence. For example, for a given course the weekly lecture must come before the tutorial. This sequence of events may reoccur every week for the duration of the teaching period. These patterns of events need to be taken into account when timetabling events. Describe how your system defines and applies the patterns of teaching required for a course.</td>
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</table>
| 5.2.9  | It is possible for teaching relationships to exist between different courses, which must be reflected in the timetable. Examples of these are:  
- The lectures for course A provides a | | |
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<tr>
<th>RFP ID</th>
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</thead>
</table>
|        | student with the background required for the lectures in course B.  
• Students in course D and course E attend the same lectures but separate tutorials. Describe how your system manages and applies the relationships between courses. |                  |                                                                                                                                  |
<p>| 5.2.10 | In order for events to take place, they generally require some form of resource, e.g. the room and/or equipment required for a lecture. These resources must be defined in the system and allocated to events during the creation of a timetable. The allocation of resources should be determined by the attributes of the resource, e.g. a lecture for 20 students can only be allocated a room with seating capacity for 20 or more people. |                  |                                                                                                                                  |</p>
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<td></td>
<td>Describe the type of resources and their associated attributes your system is capable of recording and managing. Outline how resources are assigned to events and how resources attributes are factored into the creation of a timetable.</td>
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<td>5.2.11</td>
<td>Describe function and features of the system to manage the allocation of staff resources to events, e.g. the ability to associate a specific lecturer (staff member) with a course. This should include a description of what attributes can be defined for staff and how these are factored into the creation of a timetable.</td>
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<td>5.2.12</td>
<td>Due to staff and/or the specific requirements relating to a course, it must be possible to</td>
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<td>RFP ID</td>
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<td>define and apply resource and time preferences when creating a timetable. It must be possible to rank these preferences and use these rankings to prioritise how these preferences are applied. For example, a Professor may only be available on Tues mornings due to surgery commitments. Please describe how the system could manage attribute preferences with respect to the timetable process.</td>
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<td>5.2.13</td>
<td>Describe the clash management functionality that is offered by your system. This should include an outline of the tools available to display and resolve clashes between events.</td>
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<td>5.2.14</td>
<td>Due to physical/practical constraints a course may be broken into two or more identical</td>
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<td>5.2.15</td>
<td>Provide an overview of the logic and process used by your system to create a timetable, including the ability to allocate students to events.</td>
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<td>RFP ID</td>
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<td>5.2.16</td>
<td>Describe the tools and options available for the publication and query of timetables by a range of stakeholders. This should include online internet access.</td>
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<tr>
<td>5.2.17</td>
<td>Describe any specific functionality that the timetable system provides in relation to examinations, and the creation of student-friendly examination timetables. Describe the facility to schedule courses with large enrolment numbers first, and the ability to ensure the maximum spread of courses on a per student basis over the full period of the examination period.</td>
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<tr>
<td>5.2.18</td>
<td>Describe how your system can be used to model different timetable scenarios, to support the university’s course development</td>
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<td>RFP ID</td>
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<td></td>
<td>and planning activities. This should include a description of any optimisation or if what-if tools are available.</td>
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<td>5.2.19</td>
<td>The university academic year is structured around teaching and examination periods, i.e. semesters one and two, and full year courses. In addition to the standard periods in which most teaching occurs there are overlapping periods for specific programmes e.g. the MBA programme, and some non-standard courses. The time table calendar functionality must provide the ability to: • Set up multiple calendars;</td>
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<td>RFP ID</td>
<td>Requirements</td>
<td>Functionality provided for Y/N</td>
<td>Provide an overview of the system functionality that is proposed, or indicate if functionality will be developed as part of your solution</td>
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<td></td>
<td>- Make selected dates unavailable during a period;</td>
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<td></td>
<td>- Define a standard workday / week;</td>
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<td></td>
<td>- Define which calendar is applicable for an event or range of events.</td>
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<td></td>
<td>Outline the calendar capabilities of your system.</td>
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<td>5.2.20</td>
<td>The TTS will be part of the university’s overall Student Management solution. The system must be able to interface with the Student Management system, as well as the system where all venues are defined. Provide a list of the Student Management Systems that your timetabling system is</td>
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<td>RFP ID</td>
<td>Requirements</td>
<td>Functionality provided for Y/N</td>
<td>Provide an overview of the system functionality that is proposed, or indicate if functionality will be developed as part of your solution</td>
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<td>currently used with. Describe how external systems are able to interface with your system.</td>
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</table>
| 5.2.21 | The university’s approach to timetabling requires multiple users to be involved in a range of activities. The system must support a role-based security model for accessing and using it, the functionality of which must include:  
• A flexible security model that allows for the segregation of duties and authorities within the TTS based on role;  
• The ability to restrict information displayed based on the role of the user. |                                 |                                                                                                                 |
<p>| 5.2.22 | It is important that changes to timetabling and scheduling activities can be audited |                                 |                                                                                                                 |</p>
<table>
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<tr>
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<td></td>
<td>effectively e.g. tracking changes, identifying the type of change, user identification, date / time of change. Outline the audit capabilities of your system.</td>
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</table>

### 5.3 Space and Venue Management

5.3.1 The capability to define and identify all building and office space per campus per building as required for space inventory purposes and statutory reporting requirements.

5.3.2 Must provide for following minimum attributes per space entity: Venue type, area, number of seats, usage status, etc.

5.3.3 The ability to indicate which venues are available to reserve for use by different user
<table>
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<td></td>
<td>communities. This must include a facility to block reservations on certain days, and / or time periods of available days.</td>
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<td>5.3.4</td>
<td>The ability to link venues, e.g. a kitchen area together with a function room, etc.</td>
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<td>5.3.5</td>
<td>The ability to charge for the use of venues, with differentiating rates for different user communities, e.g. staff, students, external parties, etc. This must include the handling of deposits.</td>
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<td>5.3.6</td>
<td>Booking slips, as well as various utilisation reports must be produced by the system.</td>
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<td>5.3.7</td>
<td>For institutional reservations, a transaction must be generated directly into the General Ledger. For other reservations, a debtor’s transaction must be generated into the</td>
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<td>RFP ID</td>
<td>Requirements</td>
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<tr>
<td></td>
<td>Accounts Receivable system.</td>
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</table>
| 5.3.8  | The Venue Reservation system must provide the following functionality:  
- Define charge out rates for different bookings according to:  
  - user type;  
  - function type;  
  - venue.  
- It must be possible to define preparation and cleaning rates;  
- The booking procedures must take into account the availability of venues, also checking against timetables to prevent | | |
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<th>RFP ID</th>
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<td>duplicate bookings;</td>
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<td></td>
<td>• Budget control must be performed where required and a commitment must be raised against the expense GLA.</td>
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<td>5.4</td>
<td><strong>Vehicle Reservation (for pool vehicles)</strong></td>
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<td>5.4.1</td>
<td>The ability to indicate which vehicles are available to reserve for use by different user communities. This must include a facility to block reservations on certain days, and / or for time periods of available days.</td>
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<tr>
<td>5.4.2</td>
<td>The ability to charge for the use of vehicles, with differentiating rates for different user communities, e.g. staff and students.</td>
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<tr>
<td>5.4.3</td>
<td>Booking slips, as well as various utilisation reports must be produced by the system.</td>
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<tr>
<td>RFP ID</td>
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<tr>
<td>5.4.4</td>
<td>For institutional reservation, a transaction must be generated directly into the General Ledger. For other reservations, a debtor’s transaction must be generated into the Accounts Receivable system.</td>
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<tr>
<td>5.4.5</td>
<td>The system must provide for the following:</td>
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<td></td>
<td>• Define charge out rates for different vehicles, based on either:</td>
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<td>– kilometre rates,</td>
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<td>– hourly rates,</td>
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<td>– daily rates,</td>
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<td>– weekend rates,</td>
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<td>– overnight rates,</td>
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<td>RFP ID</td>
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<td>- holiday rates;</td>
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<td></td>
<td>• Budget control must be performed and a commitment must be raised against the expense GLA;</td>
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<td></td>
<td>• Record the issue of vehicles and record the actual distance travelled on return. The commitment must then be cancelled and a journal must be created in the General Ledger;</td>
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<td>• It must be possible to validate drivers and people making bookings against the system;</td>
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<td>• The system must produce various reports regarding the cost of vehicle, rentals and</td>
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the availability of vehicles.

5.4.6 It must be possible to maintain and record the following in the system:
- Maintenance of the vehicles;
- Type of fuel;
- License renewal date;
- Service kilometres;
- Designated drivers, etc.
A full record must also be kept on the accident history of the vehicle.

6.0 CUSTOMER RELATIONSHIP MANAGEMENT (CRM) - as applicable in the tertiary education sector

Proposed system and version:
The CRM must support the key activities within a university environment and suppliers are requested to align their responses accordingly.

Please provide a comprehensive overview of your CRM offering, and how it can be applied by a new university, allowing for a phased
<table>
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<td>implementation over time as additional functionality is required.</td>
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<td>6.1</td>
<td><strong>Marketing and Fundraising Management System</strong></td>
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<tr>
<td>6.1.1</td>
<td>Pre-configured fundraising opportunities home page and data records.</td>
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<tr>
<td>6.1.2</td>
<td>Quick access to recently created, modified, or viewed opportunity records.</td>
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<td>6.1.3</td>
<td>Access to pre-configured opportunity list views (opportunity record subsets based on user-defined filter variables).</td>
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<tr>
<td>6.1.4</td>
<td>Assignment of a probability factor to the fundraising opportunity.</td>
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<tr>
<td>6.1.5</td>
<td>Opportunity data records can be associated with (hyperlinked to) the campaign records that spawned them.</td>
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<tr>
<td>6.1.6</td>
<td>The total value of a fundraising opportunity</td>
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<tr>
<td>RFP ID</td>
<td>Requirements</td>
<td>Functionalit y provided for Y/N</td>
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<td>can be recorded and amended.</td>
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<td>6.1.7</td>
<td>Multiple opportunity data record &quot;layouts&quot; can be defined to handle opportunities with different data needs.</td>
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<td>6.1.8</td>
<td>People (contact data records) and the &quot;roles&quot; they play in the donation process can be associated with (hyperlinked to) an opportunity data record.</td>
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<td>6.1.9</td>
<td>Contract documents can be created using predesigned templates on the system.</td>
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<td>6.1.10</td>
<td>Automatic creation of opportunity history records whenever key opportunity data fields are changed.</td>
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<td>6.1.11</td>
<td>Open and closed (completed) activities can be associated with (hyperlinked to) opportunity records.</td>
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<td>6.1.12</td>
<td>Free-form note records can be associated with (hyperlinked to) opportunity records.</td>
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<td>6.1.13</td>
<td>Documents and files can be associated with (hyperlinked to) opportunity records.</td>
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<td>6.1.14</td>
<td>Potential donor detail records can be associated with (hyperlinked to) opportunity records.</td>
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<tr>
<td>6.1.15</td>
<td>Potential donor detail records can be associated with (hyperlinked to) the donor's account and contact data records.</td>
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<tr>
<td>6.1.16</td>
<td>An opportunity record can be associated with (hyperlinked to) the lead data record that spawned the opportunity.</td>
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<tr>
<td>6.1.17</td>
<td>&quot;Just-in-time&quot; alerts that prompts the marketing person to collect data needed at appropriate points in the donation process.</td>
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<tr>
<td>6.1.18</td>
<td>Configurable activity &quot;result&quot; codes to capture the result or outcome of each donor step for reporting purposes.</td>
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<tr>
<td>6.1.19</td>
<td>A &quot;primary&quot; contact can be designated for each opportunity.</td>
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<tr>
<td>6.1.20</td>
<td>Configurable &quot;reason won or lost&quot; codes are used to analyse why opportunities were successful or unsuccessful.</td>
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<tr>
<td>6.1.21</td>
<td>Configurable &quot;donor stage&quot; data fields are used to track where each opportunity stands in the donation pipeline.</td>
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<tr>
<td>6.1.22</td>
<td>A variety of predesigned opportunity management reports are available for immediate use.</td>
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<td>6.1.23</td>
<td>A variety of predesigned reports are available for immediate use.</td>
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<td>6.1.24</td>
<td>The ability to do forecasting of donations over time.</td>
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<td>6.1.25</td>
<td>Predesigned opportunity-related analytics (charts and graphs) are available for display on dashboards and reports.</td>
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<tr>
<td>6.1.26</td>
<td>Predesigned donation-related analytics (charts and graphs) are available for display on dashboards and reports.</td>
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<td>6.2</td>
<td><strong>Campaign Management</strong></td>
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<td>6.2.1</td>
<td>Pre-configured campaign home page and data records.</td>
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<td>6.2.2</td>
<td>Pre-configured campaign list views (campaign record subsets based on user-definable filter variables).</td>
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<td>6.2.3</td>
<td>Campaign data records can be &quot;cloned&quot; for re-use in similar campaigns.</td>
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<td>6.2.4</td>
<td>Budget, organize, and schedule detailed marketing campaigns down to the task level.</td>
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<td>6.2.5</td>
<td>Multitier marketing campaign event management.</td>
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<td>6.2.6</td>
<td>Users can submit a campaign for approval and execution.</td>
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<td>6.2.7</td>
<td>Marketing event coordination that tracks each event's tasks and resource assignments (timetable).</td>
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<td>6.2.8</td>
<td>Marketing event expense budgeting and actual cost tracking (versus budget).</td>
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<td>6.2.9</td>
<td>Tools to create a target list (from multiple queries) to support campaigns.</td>
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<td>6.2.10</td>
<td>Mass export of data for use in executing campaigns outside of the CRM software, typically the Student Management system.</td>
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<td>6.2.11</td>
<td>Bulk mail merge process for producing personalized letters, labels, envelopes, etc. from within the CRM solution.</td>
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<td>6.2.12</td>
<td>Automatic generation of required HTML code for use in web lead capture forms.</td>
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<td>6.2.13</td>
<td>Document template management uses data record field codes for personalization.</td>
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<td>6.2.14</td>
<td>Text e-mail template management uses data record field codes for personalization.</td>
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<td>6.2.15</td>
<td>HTML e-mail template management uses data record field codes for personalization.</td>
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<tr>
<td>6.2.16</td>
<td>Predesigned campaign-related analytics (charts and graphs) are available for display on dashboards and reports.</td>
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</table>

6.3 **Customer Service and Support**
<table>
<thead>
<tr>
<th>RFP ID</th>
<th>Requirements</th>
<th>Functionality provided for Y/N</th>
<th>Provide an overview of the system functionality that is proposed, or indicate if functionality will be developed as part of your solution</th>
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<tbody>
<tr>
<td>6.3.1</td>
<td>Pre-configured case (service request) homepage and data records.</td>
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<td>6.3.2</td>
<td>Quick access to recently created, modified, or viewed case records.</td>
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<td>6.3.3</td>
<td>Pre-configured case list views (case record subsets based on user-definable filter variables).</td>
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<tr>
<td>6.3.4</td>
<td>Multiple case data record &quot;layouts&quot; can be defined to handle cases and service requests with different processes and data needs.</td>
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<tr>
<td>6.3.5</td>
<td>A workflow engine is available to help implement &quot;best practice&quot; case management activities.</td>
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<td>6.3.6</td>
<td>A mass e-mail function that can be used to send out responses to many people encountering the same problem.</td>
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<td>6.3.7</td>
<td>Solution records can be associated with (hyperlinked to) case records.</td>
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<td>6.3.8</td>
<td>Open and closed (completed) customer service and support activities can be associated with (hyperlinked to) case records.</td>
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<tr>
<td>6.3.9</td>
<td>Comment and note records can be input into case records.</td>
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<tr>
<td>6.3.10</td>
<td>Comments and notes can be kept private or made publicly available via the customer self-service portal.</td>
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<tr>
<td>6.3.11</td>
<td>Documents and files can be associated with (hyperlinked to) case records.</td>
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<td>6.3.12</td>
<td>A predesigned customer self-service portal is available that allows customers to find their own solutions using the published</td>
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<td>knowledge base (frequently asked questions and answers) or request services and support over the web.</td>
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<td>6.3.13</td>
<td>New case records can be created by customers directly from lodging a case on a form on the university's web site.</td>
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<tr>
<td>6.3.14</td>
<td>New case records can be created directly from the content of MS-Outlook e-mails sent by customers.</td>
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<tr>
<td>6.3.15</td>
<td>When a new case record is created via customer input (using a web form or a self-service portal), an e-mail can be automatically sent to the customer confirming that a new case record has been created.</td>
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<td>6.3.16</td>
<td>A configurable case &quot;status&quot; data field is</td>
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<td>used to track the status of each case (e.g. new, escalated, on-hold, closed, etc.)</td>
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<td>6.3.17</td>
<td>Any time a case record is created or updated, a history record (of the change) is automatically created and associated with the case.</td>
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<td>6.3.18</td>
<td>New case records and their statuses can be automatically made available to customers via a customer self-service portal.</td>
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<tr>
<td>6.3.19</td>
<td>A variety of predesigned case management reports are available for immediate use.</td>
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<td>6.3.20</td>
<td>Predesigned case-related analytics (charts and graphs) are available for display on dashboards and reports.</td>
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<tr>
<td>6.3.21</td>
<td>The ability to assign cases and to keep track of assigned cases. This to be supported with</td>
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<td>workflow functionality.</td>
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<td>6.3.22</td>
<td>The ability to escalate cases via workflow after pre-defined periods. Escalation to be possible to multiple levels with parallel routes.</td>
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<td>6.3.23</td>
<td>The ability to close cases.</td>
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<td>6.3.24</td>
<td>Predesigned case management related analytics (charts and graphs) are available for display on dashboards and reports.</td>
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<td>6.4</td>
<td><strong>Analytics and trends</strong></td>
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<td>6.4.1</td>
<td>Executive-level analytical interface.</td>
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<td>6.4.2</td>
<td>Dashboard view.</td>
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<td>6.4.3</td>
<td>Graphical display of a wide variety of charts and graphs.</td>
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<td>6.4.4</td>
<td>Customer scorecards.</td>
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<td>6.4.5</td>
<td>Customer key performance indicators (KPI).</td>
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<td>6.4.6</td>
<td>Interactive graphic interface.</td>
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<td>6.4.7</td>
<td>Drill-down capabilities to find root causes.</td>
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<td>6.4.8</td>
<td>Predictive modelling and analytics.</td>
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<td>6.4.9</td>
<td>Real-time cross-sell and up-sell recommendations.</td>
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<td>Data mining capabilities.</td>
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<td>Customer segmentation.</td>
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<td>Customer profiling.</td>
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<td>Text mining capabilities.</td>
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<td>Historical data modelling and analytics.</td>
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<td>Analysis of variance.</td>
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<td>6.4.16</td>
<td>Forecasting capability of resource demands.</td>
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<td>6.4.17</td>
<td>Forecasts demand for products and services.</td>
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<td>6.4.18</td>
<td>Web mining.</td>
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<td>Click stream analysis.</td>
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<td>Regression analysis.</td>
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<td>6.4.21</td>
<td>Decision analysis and decision tree display.</td>
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<td>6.4.22</td>
<td>Ad hoc queries.</td>
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<td>6.4.23</td>
<td>Predefined queries.</td>
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<td>6.4.24</td>
<td>An integrated online analytical processing (OLAP) engine.</td>
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<td>6.4.25</td>
<td>OLAP data warehouse for consolidation of data from multiple sources.</td>
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<td>6.4.26</td>
<td>Built-in customization and programmatic support.</td>
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<td>6.4.27</td>
<td>Allow delivery of near real-time operational data store.</td>
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<td>6.4.28</td>
<td>100 percent real-time reporting.</td>
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<td>6.4.29</td>
<td>Predefined report templates covering every</td>
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<td>area of the CRM solution are available.</td>
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<td>6.4.30</td>
<td>Data filtering can be used to limit the report to only desired information.</td>
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<td>6.4.31</td>
<td>Custom data fields can be added to predefined report templates.</td>
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<td>6.4.32</td>
<td>Data columns can be added or removed from predefined report templates.</td>
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<td>6.4.33</td>
<td>Report data filters can be changed in predefined report templates.</td>
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<tr>
<td>6.4.34</td>
<td>Charts and graphs can be added to predefined report templates.</td>
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<td>6.4.35</td>
<td>Custom reports can be designed from &quot;scratch&quot;.</td>
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<td>6.4.36</td>
<td>Report output can be displayed in graphic and or chart format.</td>
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<tr>
<td>6.4.37</td>
<td>Depending on who runs a report, the output is governed by predefined data record and field level access.</td>
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<td>6.4.38</td>
<td>Two predefined subtotal reports covering two periods of time can be compared to see visually how things have changed.</td>
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<tr>
<td>6.4.39</td>
<td>When designing report templates, users can select the currency that they want to serve as default currency.</td>
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<tr>
<td>6.4.40</td>
<td>When running a report that's defined in a foreign currency, the report totals are displayed in the user's selected foreign currency.</td>
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</table>
**PART 6 – GENERAL SYSTEM FEATURES**

Please provide the following information for each of the systems proposed for implementation (copy and insert for multiple products):

<table>
<thead>
<tr>
<th>Product Name:</th>
</tr>
</thead>
<tbody>
<tr>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>e) Workflow</strong></td>
<td></td>
</tr>
<tr>
<td>Outline the workflow capabilities within the system (if any) and its ability to rapidly define new workflows including screens, validations, rules, alerts, users and shared queues. Also please describe the ability and mechanism for your product to integrate with third party workflow tools.</td>
<td></td>
</tr>
<tr>
<td><strong>f) Reporting</strong></td>
<td></td>
</tr>
<tr>
<td>What reporting tools will be part of the system? The reporting tools offered must be user friendly, flexible and on-demand, as well</td>
<td></td>
</tr>
</tbody>
</table>
as supporting industry-standard Business Intelligence (data warehousing) solutions to allow for data analysis. Describe how reporting works from your solution.

g) **Document Management**

Describe the system’s Document Management capabilities (if any and applicable).

<table>
<thead>
<tr>
<th>h) <strong>Communication (if applicable for the system)</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Describe what communication mechanisms are supplied with the system, including:</td>
</tr>
<tr>
<td>- Direct correspondence;</td>
</tr>
<tr>
<td>- SMS/Text communication;</td>
</tr>
<tr>
<td>- Capture of communication records; and</td>
</tr>
<tr>
<td>- Ability to perform surveys.</td>
</tr>
<tr>
<td>Please indicate whether these mechanisms operate from within the system or are external</td>
</tr>
</tbody>
</table>
applications/modules that are linked to from within the system.
PART 7 – TECHNICAL

Please provide the following information for each of the systems proposed for implementation (copy and insert for multiple products):

<table>
<thead>
<tr>
<th>Product Name:</th>
</tr>
</thead>
</table>

1. **System Architecture**

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Provide a full description of the system architecture, including a high-level</td>
<td></td>
</tr>
<tr>
<td>architecture diagram.</td>
<td></td>
</tr>
<tr>
<td>b) Describe the underlying technology, including the version of each component,</td>
<td></td>
</tr>
<tr>
<td>used by the proposed system. This should include operating system (OS), database</td>
<td></td>
</tr>
<tr>
<td>management system (DBMS), programming tools and desktop client software.</td>
<td></td>
</tr>
<tr>
<td>c) Describe when the last major technology upgrade took place. What was the driver</td>
<td></td>
</tr>
<tr>
<td><strong>Information Required</strong></td>
<td><strong>Your Response</strong></td>
</tr>
<tr>
<td>-------------------------</td>
<td>------------------</td>
</tr>
<tr>
<td>behind this upgrade? When do you anticipate the next major upgrade will take place?</td>
<td></td>
</tr>
<tr>
<td>d) Describe the minimum client, server, desktop and network configurations required to achieve an acceptable standard of performance for users. Are there any limitations on the number of users the system can support?</td>
<td></td>
</tr>
<tr>
<td>e) Specify the preferred OS and DBMS for your system. If your system supports optional OS and/or DBMSs, describe any limitations or constraints that may apply to a specific option, e.g. functionality available with Microsoft SQL Server that isn’t available with the Oracle DBMS.</td>
<td></td>
</tr>
<tr>
<td>f) Please provide alternative options available from you to the system being</td>
<td></td>
</tr>
<tr>
<td><strong>Information Required</strong></td>
<td><strong>Your Response</strong></td>
</tr>
<tr>
<td>--------------------------</td>
<td>------------------</td>
</tr>
<tr>
<td>managed technically onsite by staff of the university, i.e. the possibility of cloud computing or the off-site hosting of the system or outsourced onsite technical support. Indicate minimum bandwidth requirements for offsite or cloud computing. Pricing of the alternative approaches must be provided in the section dealing with costs.</td>
<td></td>
</tr>
</tbody>
</table>
2. General Integration and Interfacing

The proposed system will integrate with a number of other, commercially available and in-house developed, systems. Data could be viewed and/or updated via these other systems.

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) The system’s integration capability must include Web services technology to provide real-time dynamic updates. Provide a description of the Web Services available from the system, broken down by currently available and planned for the future.</td>
<td></td>
</tr>
<tr>
<td>b) Describe any practical constraints or limitations on the use of these Web Services.</td>
<td></td>
</tr>
<tr>
<td>c) Describe your strategy for exposing additional functionality via web services (if not fully exposed).</td>
<td></td>
</tr>
</tbody>
</table>
3. **Security and Access**

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) The system must have robust standards compliant security that can provide:</td>
<td></td>
</tr>
<tr>
<td>Appendix A. Role and relationship based access to system functionality and information;</td>
<td></td>
</tr>
<tr>
<td>Appendix B. Access via mobile devices for University staff and/or student online services. For example, Smartphone or iTouch views of the system data (as applicable per proposed system).</td>
<td></td>
</tr>
<tr>
<td>Describe the security and access control functionality provided by your system, including any standards they comply with.</td>
<td></td>
</tr>
<tr>
<td>b) Please provide information on system security and audit trail logging capabilities of the system.</td>
<td></td>
</tr>
</tbody>
</table>
PART 8 – IMPLEMENTATION

The University expects the preferred supplier to provide appropriate personnel and resources for the implementation of the ERP system. Please provide the following information for each of the systems proposed for implementation (copy and insert for multiple products):

<table>
<thead>
<tr>
<th>Product Name:</th>
</tr>
</thead>
</table>

1. Implementation - General

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Describe the implementation services you would provide to</td>
<td></td>
</tr>
<tr>
<td>the university.</td>
<td></td>
</tr>
<tr>
<td>b) Describe your preferred approach to implementing the</td>
<td></td>
</tr>
<tr>
<td>proposed system, including a description of what activities</td>
<td></td>
</tr>
<tr>
<td>you would expect the university to undertake.</td>
<td></td>
</tr>
<tr>
<td>c) Describe the type and number of your resources you would</td>
<td></td>
</tr>
<tr>
<td>expect to commit to the implementation of the system.</td>
<td></td>
</tr>
</tbody>
</table>
d) Provide an implementation timeline, showing key tasks, task dependencies and estimated duration for each.
### 2. Documentation and Training

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Outline what user documentation and training is provided with the system, i.e. manuals, on-line help, structured training courses etc.</td>
<td></td>
</tr>
<tr>
<td>b) Outline your preferred approach to training university staff on the use and support of the proposed system</td>
<td></td>
</tr>
<tr>
<td>c) Outline the training courses offered including their locations, content, duration, and availability</td>
<td></td>
</tr>
<tr>
<td>d) Describe the type and level of technical documentation provided with the system</td>
<td></td>
</tr>
</tbody>
</table>
### 3. Customisation

While it is the university’s intention to implement the ‘vanilla’ software, customisations may be required to meet the specific needs of the university. Please provide the following:

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Describe to what extent your product can and should be customised for a specific implementation.</td>
<td></td>
</tr>
<tr>
<td>b) Describe the professional services your organisation would offer for customisation of the product.</td>
<td></td>
</tr>
<tr>
<td>c) It is the university’s expectation that any customisations would be incorporated into the base product and supported by the supplier in future releases. Describe how you support customisations in future versions of the software product.</td>
<td></td>
</tr>
</tbody>
</table>
PART 9 – HELP AND SUPPORT

The University will require post implementation Help and Support services for the systems implemented.
Please provide the following information for each of the systems proposed for implementation (copy and insert for multiple products):

<table>
<thead>
<tr>
<th>Product Name:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Briefly outline the support options that would be available to the university, including the standard response times associated with each option.</td>
<td></td>
</tr>
<tr>
<td>b) Provide details of where these support services will be based and how on-site service will be delivered, including any additional costs the university may incur due to its geographic location.</td>
<td></td>
</tr>
<tr>
<td>c) Describe how the university would access your support services.</td>
<td></td>
</tr>
<tr>
<td>d) Describe the minimum in-house</td>
<td></td>
</tr>
<tr>
<td>Information Required</td>
<td>Your Response</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------------------</td>
<td>---------------</td>
</tr>
<tr>
<td>skills/staff, if any, the university would require to provide day to day support of the system, expressed as a number of full time employee (FTE’s) required. For example, Database Administrator x 1, System Administrator x 1, Business Analyst x 2.5, etc.</td>
<td></td>
</tr>
<tr>
<td>e) Describe your approach to releasing new versions of the system, e.g. one major release per annum with quarterly minor releases.</td>
<td></td>
</tr>
<tr>
<td>f) How many versions behind the latest release do you continue to provide support for under your standard support and maintenance agreement?</td>
<td></td>
</tr>
</tbody>
</table>
PART 10 – ON-GOING PRODUCT DEVELOPMENT

The University expects that its investment in systems will bring long term benefits, arising from your on-going product development. Please provide the following information for each of the systems proposed for implementation (copy and insert for multiple products):

<table>
<thead>
<tr>
<th>Product Name:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Describe your approach to research and development, including what percentage of annual revenue is invested in R&amp;D on the system.</td>
<td></td>
</tr>
<tr>
<td>b) Provide a summary of the future developments planned for the system and the key features that you expect to be available over the next 2-3 years.</td>
<td></td>
</tr>
<tr>
<td>c) Describe any User Groups or forums that exist for the system and where they are generally held.</td>
<td></td>
</tr>
<tr>
<td>d) Describe how you identify, manage and</td>
<td></td>
</tr>
<tr>
<td>Information Required</td>
<td>Your Response</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------------------</td>
<td>---------------</td>
</tr>
<tr>
<td>prioritise requests for enhancements to the base product.</td>
<td></td>
</tr>
<tr>
<td>e) Describe your approach to maintaining alignment and support matrices with the core technologies used by the system, e.g. compliance with a new version of an Operating System.</td>
<td></td>
</tr>
<tr>
<td>f) Describe your approach to certifying your product with minor releases (patch sets) for your core components, e.g. Operating System, DMBS, Application Server, and Web Server.</td>
<td></td>
</tr>
</tbody>
</table>
PART 11 – CONTRACTUAL PRINCIPLES

The university will negotiate a contract with the preferred supplier for the supply and on-going support of the required systems. The university places importance on reaching an agreement with its suppliers that is fair and reasonable for both parties.

Please provide the following information for each of the systems proposed for implementation (copy and insert for multiple products):

<table>
<thead>
<tr>
<th>Product Name:</th>
</tr>
</thead>
</table>

a) As part of your response, provide draft contracts that will cover the following:
   - Supply and Implementation;
   - Support and System Maintenance;
   - Service Level Agreement;
   - Services Contract for technical support and services;
   - Contracts if Cloud Computing (SaaS), Hosted and/or Managed Services are proposed.

The contract(s) must cover no less than the following areas:
• Agreement on the extent and scope of services to be provided;
• Processes and timeframes for the supply and implementation of the proposed solution;
• Controls over modifications to the scope of work covered by this project;
• End-user licence agreements, for the core software;
• The licensing of third party software (all third party software to be licensed to the University on the licensor’s standard terms or better);
• Warranties on products and services provided, including confidentiality, security, availability and service levels for responses to problems encountered by the University; and
• On-going support/maintenance services.

b) Should the University enter into contract
negotiations with a supplier, the University reserves the right to propose its own format of contract for the provision of the required products and services.
# PART 12 – ASSUMPTIONS

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>Your proposal should set out clearly any assumptions you have made in respect to the requirements set out in this RFP.</td>
<td></td>
</tr>
</tbody>
</table>
PART 13 – ESTIMATED SOLUTION COSTS

The worksheet referred to below must be submitted as a separate file using the naming convention “<YourOrgName>_<System>_cost.xlsx”, where the words “<YourOrgName>” is replaced with your organisation’s name, and the word “<System>” is replaced by the proposed system’s name.

Please note that a separate spread sheet must be completed for each proposed system (but not for each system component, i.e. if your Student Management System and your Financial Management System is provided from one package, only one spread sheet is required for the two system areas).

Please provide the following information for each of the systems proposed for implementation (copy and insert for multiple products):

<table>
<thead>
<tr>
<th>Product Name:</th>
</tr>
</thead>
</table>

1. Cost Breakdown

Using the cost worksheet supplied, please provide estimated costs for the supply, implementation and on-going support of the system. Sufficient detail should be provided to enable the university to understand the composition of your costs. Add rows to the worksheet as required. Your costing should include no less than:

- A breakdown of the software license costs, by discrete component or module where applicable;
- Estimated costs for implementation services, broken down by major implementation activity, e.g. system installation, system configuration etc.;
- Any other costs likely to be incurred during the implementation effort, e.g. Disbursements like travel and accommodation;
• On-going support and maintenance charges for the software over 5 years (state what the expected cost increase is per annum); and
• An estimate of your charges to support the implementation of annual software upgrades.

All costs must be stated in South African Rand, be free on board and exclusive of Value Added Tax (VAT).

2. Cost Assumptions

The costing should be based on the users and student volumes identified in the RFI and the assumption that the university will be responsible for the following:

• The hardware, operating system and network infrastructure the system will operate on (respondents must provide costs for cloud computing or hosting/managed services if proposed);
• Overall management of the project. However, you will be expected to provide project management for those components of the project under your direct control and to provide reports and advice to the university’s Project Manager;
• Changes required to upstream/downstream systems that the proposed system will interface with;
• Change management (if any).

3. Additional Cost Information

In addition to the cost information provided in the worksheet, please provide the following:

<table>
<thead>
<tr>
<th>Information Required</th>
<th>Your Response</th>
</tr>
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<tbody>
<tr>
<td></td>
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<tr>
<td>Information Required</td>
<td>Your Response</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------------------</td>
<td>---------------</td>
</tr>
<tr>
<td>a) Provide standard daily and hourly rates for each resource involved in this project.</td>
<td></td>
</tr>
<tr>
<td>b) Identify any material assumptions that you have made in calculating the costs provided in your response.</td>
<td></td>
</tr>
<tr>
<td>c) Describe the pricing methodology you apply for the proposed system. For example per user, per student, per module or if the solution is sold per processor.</td>
<td></td>
</tr>
<tr>
<td>d) Identify what costs other than for labour and software you would charge the university, e.g. travel. Note these costs should be included in the cost worksheet.</td>
<td></td>
</tr>
<tr>
<td>e) Identify any 3rd party costs required to implement the system. Note these costs should be included in the cost worksheet.</td>
<td></td>
</tr>
<tr>
<td>f) Respondents are requested to propose a payment schedule based on the attainment of defined Project Milestones, clearly</td>
<td></td>
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<tr>
<td>Information Required</td>
<td>Your Response</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------------------</td>
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<tr>
<td>indicating the retention of fees if milestones are not reached by due dates.</td>
<td></td>
</tr>
</tbody>
</table>
(Example of Excel Cost spread sheet)

<table>
<thead>
<tr>
<th>Once-off Project Implementation Costs</th>
<th>Total Cost for 5 years (ZAR)</th>
<th>Year 1 Costs (ZAR)</th>
<th>Year 2 Costs* (ZAR)</th>
<th>Year 3 Costs* (ZAR)</th>
<th>Year 4 Costs* (ZAR)</th>
<th>Year 5 Costs* (ZAR)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Management</td>
<td></td>
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<tr>
<td>Software licenses - Own</td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Software licenses - 3rd party</td>
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<tr>
<td>System Installation</td>
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</tr>
<tr>
<td>Customisation (please provide details separately)</td>
<td></td>
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<td></td>
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<tr>
<td>Integration</td>
<td></td>
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<tr>
<td>System Testing (including BAT)</td>
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<tr>
<td>Commissioning and Go-Live support</td>
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<tr>
<td>User Training</td>
<td></td>
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<tr>
<td>Technical Support Training</td>
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<tr>
<td>Disbursements (Travel, accommodation, etc.)</td>
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<tr>
<td>Other (Provide description)</td>
<td></td>
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<td></td>
<td></td>
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<tr>
<td>Other (Provide description)</td>
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<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL – Once-off Project Costs</strong></td>
<td></td>
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</tr>
</tbody>
</table>

<p>| On-going Annual Costs                |                             |                    |                     |                     |                     |                     |
| Software                             |                             |                    |                     |                     |                     |                     |
| Hardware                             |                             |                    |                     |                     |                     |                     |
| Support                              |                             |                    |                     |                     |                     |                     |
| Hosting                              |                             |                    |                     |                     |                     |                     |
| Transactional costs (Provide description.) |                             |                    |                     |                     |                     |                     |
| Disbursements (Travel, accommodation, etc.) |                             |                    |                     |                     |                     |                     |
| System Upgrade Costs                 |                             |                    |                     |                     |                     |                     |
| Other (Provide description)          |                             |                    |                     |                     |                     |                     |</p>
<table>
<thead>
<tr>
<th>Other (Provide description)</th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>TOTAL – On-going Annual Costs</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL PROJECT COST</strong></td>
<td></td>
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</tbody>
</table>

State the % escalation used on a year on year basis for the 5 years.
12. ANNEXURE E – REQUIREMENTS SPECIFICATION FOR A LEARNING MANAGEMENT SYSTEM (LMS)

1. Content Management functionality

i. Provide for a content repository or database for the creation, editing and storage of learning material.
   - The ability to build and assemble e-learning courses from stored learning objects in a repository of rights-managed digital content to enable rapid deployment of customised learning resources for learners.
   - Provision for flexible workflow tools that can be applied across the production process of learning resources by team members.
   - An ability to access and store (or link to) third party learning resources.
   - To improve the effectiveness of developing course resources, assembling courses and managing the use of copyright material.

ii. The database must be searchable.

iii. Provide a check-in/check-out control for each content item stored in the above content repository (applies version control when editing).

iv. Provide real-time, on-line information in all areas.

v. Data authentication of basic information entered in fields e.g. cannot enter text in numeric field.

vi. Where applicable, the system must enforce referential integrity.

vii. Ability to import/export data in a range of e-learning compatible file types e.g. Word, xls, jpg, pdf etc.

viii. Users can set up "watch" or "alert" rules to inform them of additions to the repository or changes to existing items.

ix. Personal Collections: The system provides users with a simple ways to 'bookmark' objects they have found.
   - The system enables these bookmarks to persist across user sessions.
   - The system enables these bookmarked objects to be organised and shared.

x. Content Aggregation and Packaging:
• The system can manage resources made up of numerous objects e.g. text, image and audio files.
• The system can enable users to create (and package or use) new aggregate objects made up of numerous existing resources from within the repository.

xi. The system should support multiple media representations (e.g. thumbnails) of 'same' object.

xii. Evaluation and Annotation: The system enables users of the database to attach user evaluations and annotations to learning object records.

xiii. User Profiles: The system retains information about who submitted what and who evaluated objects to/in the repository.

xiv. Information about activities of users in the repository can be aggregated and reported.

xv. The system provides the ability to incorporate metadata against all objects in the system e.g. text, illustration, image.

xvi. The system provides metadata mark-up tools to create and edit metadata records.

xvii. Standards.

  • Standard metadata schema(s) e.g. NZGLS, IEEE, LOM, IMS Learning Resource Meta-data specification and Dublin Core, must be supported.
  • The standards used by all system components needs to be fully compatible.

xviii. The system includes support for IMS Content Packaging or SCORM (Shareable Content Object Reference Model).

  • The data must be stored with appropriate metadata using defined subject categories, subject classifications, and taxonomy to enable user location of content.
  • The system must provide 'Schema Support' in regards to multiple vocabularies and thesauri.
  • The system provides import and export tools that allow metadata records to be brought into or taken out of the repository, typically in standard formats. This also includes the ability to batch import, decompose, and export IMS Content Packages or SCORM objects.

xix. The system should also include support for the VDEX and ZThes specifications, or provide other mechanisms for accepting new vocabularies or schema.
xx. Metadata must be created and edited using workflow and version control.

xxi. Authoring tools: The system must either provide internal, or allow a tight integration with an external, robust content authoring tools.

xxii. The system supports ways to handle XML content (not simply metadata records) as XML, and thus be able to decompose, traverse and re-aggregate it.

xxiii. The system supports the ability to batch export content.

xxiv. Rights Management services record, transmit, interpret and enforce digital rights. They enable users to create rights rules, to associate specific content with specific rights policies, and based on certain user attributes or actions, mediate access to these resources.

xxv. The system will provide Copyright and Digital Rights Management capabilities based on agreed business rules.

xxvi. Using agreed business rules the system is able to track the use of copyright material and provide an audit report against individual objects.

2. **Curriculum Mapping and Planning**

i. The system must allow staff to develop and maintain education plans for learners.

ii. The system will allow the development of an education plan that is modular, customised, and that can be reviewed and modified. The EDUCATION PLAN shows all courses in which a learner is enrolled.

iii. The system will allow programmes of learning (POL) within the EDUCATION PLAN. Each POL is a customised set of learning resources and activities for a course that can be unique to a learner.

- Will allow a POL to be reviewed and modified as the learner progresses through their course.
- Teachers and learners can easily monitor progress against POL and agreed goals.

iv. Teachers can use the LMS to view the individualised learning pathways for learners.

v. Courses may be delivered to a single learner or to a cohort of learners.

vi. The system is capable of supporting the sequencing and navigation built into course and teaching materials, to guide the learner through the material in the most
appropriate way.

vii. Users can search within a course and across their courses to find material based on key words.

viii. Users can take their online course work off line, by means of some kind of check-out facility, work on it, and then synchronise their work with the system the next time they log-in.

- Users could download course content to their local computers or access content on a CD-ROM/DVD.
- Course content residing on a CD-ROM/DVD can be linked to the online course if the user is online.
- A course placeholder automatically returns users to the location in their course where they were working the last time they logged off.

3. **Facilitate Communication and Collaboration**

i. The system must enable teachers and learners to interact online using a range of communication tools which must be easy to use.

ii. The system needs to provide communication channels that can be configured as:

- Teacher to individual learner (one-to-one, private);
- Teacher to individual supervisor (one-to-one, private);
- Teacher/Learner to learners in course (one-to-many, to group);

iii. The system enables both synchronous and asynchronous communication.

iv. The system supports text, audio and video.

v. The messages generated using the systems collaboration and communication tools will only be accessible to users who are logged into the system.

vi. The system must provide a robust set of Cyber-safe tools and guidelines for users. Cyber-safe tools should include, but not be limited to:

- Ability to enforce moderation on posts;
- Block users;
vii. The system must enable teachers/supervisors to control learner access to communication channels.

viii. Teachers can see at a glance which of their learners are currently online. The teacher can configure the system to notify them when a learner comes online.

ix. Learner satisfaction surveys can be:

- Delivered online;
- Completed online with the data accessible in the system and able to be exported and/or printed.

x. The system will provide teachers the ability to participate with other faculty in online discussion forums to share ideas or build knowledge.

4. Tracking and Reporting on Learning Activities

i. The system will record any learner and staff activity in LMS. The system will provide a range of reporting functions. Some selected reporting must be produced automatically and electronically delivered to teaching, administration and managerial staff on a scheduled basis. Additionally, reporting can be requested on a demand basis and deployed electronically.

ii. The system must allow staff to monitor learner activity and manage the learner and teacher workflow and workload.

- The system must enable teachers to track the usage of course materials by learners.
- The system must provide reporting on both of aggregate and individual usage.
- User selected activity or events can trigger notifications for both learners and teachers.
- The system must be able to provide notification of specific file transfers to both the sender and recipient(s).
- Learner’s offline work (hardcopy) received can potentially be scanned and loaded against the specific course using an attached bar code (business process improvement for future use.)

iii. The system enables the recording of communication between staff and learners.
• The system automatically records online communication.
• The system enables the recording of offline communication (e.g. phone, email, and fax).
• Staff can view communication records using a range of reporting options.
iv. Staff can access any recorded activity using a range of reporting options.
v. Learners can easily view their learning progress for all their courses and tests (historical and current).
vi. Set-up of alerts.
• Rules-based alerts can be set-up in the system to detect when user-selected events have, or have not, occurred.
• Alerts can be routed to specific users using a choice of communication channels.

5. Learning Management

i. The ability to deliver online education courses in offline and online formats. Course material to be delivered as:

• Standard content to a cohort of learners, or
• Customised content to an individual learner.

ii. The system must be easy to use to enable the learners and teachers to focus on the learning and teaching activities rather than wrestling with technology. Teachers can manage the delivery of their courses, including progression, grade books, testing, usage of course materials and obtain help when required to maximise their use of the system.

iii. The system can support multiple teaching delivery methods and pedagogies including, but not limited to:
• Online self-paced – where learners can manage and control their own pace of learning.
• Online teacher-led asynchronous activity – where teachers manage and control the pace of learning.
• Online teacher-led synchronous activity (e.g. virtual classroom) – the use of web conferencing tools for teaching enrolled learners individually or as a cohort. The system will record sessions and enable subsequent playback.
• Offline – requesting physical resources be sent out to, and received from, learners.
This could include printed workbooks and CD-ROM/DVD formats.

iv. Teachers can use course management tools to control the progression of an online class or individual learners through the course material.

v. Learners can easily navigate between their own learning path and the full course view. They can go back over work they have previously completed.

vi. Courses can be disabled (temporarily or permanently) without removing them from the system.

vii. Teachers can organise a class into groups and provide group work space that enables the teacher to assign specific tasks or projects.

viii. The system enables learners to be added to or removed from a class/course at any stage.

ix. Users can create bookmarks allowing them to easily return to important pages within their course or outside their course on the web.
   - Bookmarks can be for an individual user's private use, or can be shared with authorised individualised or groups.
   - Bookmarks can be annotated.

x. Provides for planning and scheduling by Learners
   - Learners can capture their plans and tasks for a course and the associated assignments in a course using calendar/progress review tools.
   - Learners can set the system to notify themselves of upcoming tasks and events via email, pop-ups, etc.

xi. Teachers can create discussion forums to capture the exchange of messages over time.
   - Threaded discussion forums can be organised into categories so the exchange of messages and responses are grouped together and are easy to find.
   - A user can search across all threaded discussions across the courses they are enrolled in.
   - Discussion postings can have files attached (at the discretion of the teacher).

xii. Learners can annotate learning resources with personal notes.

xiii. Learners can create personal journal(s).

xiv. The system should have built in Web 2.0 functionality.
• Activities in these tools are only visible to other users when logged into the system.
• Teachers can monitor and moderate these functions using the system’s cyber-safety tools.

xv. The system will enable courses to be enabled and disabled, locked and unlocked, archived, restored and/or re-cycled.

• When recycling a course, the authorised administrator can choose which parts of the course are reset and what features are cleared (e.g. discussion board framework may stay but the contributions of users are deleted).
• The system enables courses to be locked but still accessible in read-only mode to those users enrolled at the time it was locked.

xvi. Learner enrolment in courses is controlled by their registration status. Batch synchronisation must be supported.

xvii. The system provides features allowing the creation of learner portfolios.

• When enabled, the portfolio is only visible to other users logged into the system.
• Teachers can monitor, moderate and control access to portfolio’s using the system’s cyber-safety tools.

xviii. Teachers can use online testing tools to create, administer, score and analyse practice exercises and objective tests, provide feedback on learner work, and manage a grade book.

• Tests can be timed or not and designed to provide immediate feedback or delayed feedback.
• Built-in question types include free text, true/false, multiple choice, multiple select, fill-in-the-blank, drop down menu, drag and drop and matching.
• Users can pool questions and/or have them randomly selected.
• Teachers can easily record standardised assessments, both formative and summative. The system enables assessment results to be sent to the SMS.
• Learners can use self-assessment tools allowing them to take formative assessments online.

6. System Security and Integrity
i. The application interfaces, especially those facing the internet, are robust and conform to best security practice for commercial applications.

ii. The application is able to accept authentication and user-role information from an external authority via LDAP.

iii. User security is granular, affording role-based access to application functions and screens, fields, reports and processes.

iv. User security affords role-based access to data based upon value. For example, a learner should be able to examine authorised elements of their own data, but not those of another learner; a supervisor should be able to access data pertaining to their own staff, but not those of another manager.

v. The system administration functions and actions must be fully auditable.

vi. Data entry and master-file changes are fully auditable with the ability to control and report on what has been changed and by whom.

vii. The system must provide detailed reports for audit and exception analysis (available by hard copy as well as selected data extracts for audit analysis purposes).

7. **User Interfaces**

i. The LMS must be accessible to end users (internal and external) via a web interface.

ii. The system enables user feedback to be captured online.

iii. Users can locate content by drilling down through defined categories or subject classifications.

iv. Provides easy navigation through menu options or direct access from screen navigation options.

v. That data fields can be easily configurable to meet institutional requirements e.g. size, type.

vi. The system administrator can easily define and configure screen layouts (e.g. to hide unused fields, provide automatic defaults, indicate mandatory fields, etc.) so that their purpose is clear and users only see what is relevant and meaningful to them.

vii. The system must comply with W3C Web Consortium Accessibility Guidelines for users with special needs.

viii. Provide online contextual help for users.
ix. Provides wizards or walk-through guides to assist users through complex or unfamiliar tasks.

x. Soundex (or equivalent) functionality is available to assist with the location of unusual or misspelled names.

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<tr>
<th>8.</th>
<th>Technical requirements General</th>
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<td>i.</td>
<td>The system operates on an industry standard infrastructure.</td>
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<tr>
<td>ii.</td>
<td>Support standards-based interoperability by means of XML.</td>
</tr>
<tr>
<td>iii.</td>
<td>Can support logically separate testing/training and production environments and the control of movement between each as required.</td>
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<tr>
<td>iv.</td>
<td>Provide monitoring of deployment from testing to production and notification if it fails.</td>
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<tr>
<td>v.</td>
<td>All system wide configurations and customisations should be persistent through version upgrades (or as much as possible).</td>
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13. ANNEXURE F – **PROPOSED INSTALLATION STANDARDS FOR NETWORK CABLING**

13.1. **Introduction**

This document serves as a guideline to provide as much detailed information about the network cabling standards of the Institution to allow contractors to install well-structured network points as required.

Any deviation to any specification in this document should first be cleared in writing with management of the ICT Services section.

The Institution reserves the right to limit installations to one preferred supplier per building (*to protect warranties on previous installations*).

The Institution reserves the right to amend these standards as required from time to time. Updated revisions of this document may be requested at any time.

13.2. **Basic Cable Standards for Cat 5e/6/7**

The International cabling standards that should be adhered to are:

i. **EIA/TIA 568A/B**

This standard determines the pin/pair assignments for eight-conductor 100-ohm balanced twisted-pair cabling, such as Category 5 and Category 6 unshielded twisted-pair (UTP) cables. These assignments are named T568A and T568B and they define the pin out, or order of connections, for wires in 8P8C (often incorrectly referred to as RJ45) eight-pin modular connector plugs and sockets. Cables that are terminated with differing standards on each end will not function normally.

ii. **ISO/IEC 11801**

International standard ISO/IEC 11801 specifies general-purpose telecommunication cabling systems (structured cabling) that are suitable for a wide range of applications (analog and ISDN telephony, various data communication standards, building control systems, factory automation). It covers both balanced copper cabling and optical fibre cabling. The standard was designed for use within commercial premises that may consist of either a single building or of multiple buildings on
a campus. It was optimized for premises that span up to 3 km, up to 1 km² office space, with between 50 and 50,000 persons, but can also be applied for installations outside this range.

iii. CENELEC EN 50173
EN 50173 is the principle design standard for structured cabling systems installed within the countries of the European Union. EN 50173 describes a hierarchical star cabling system horizontal and backbone cabling.

Which standard to adhere to, is determined by the product that is to be installed.
The product that is to be installed is determined by the existing product in use in the building (if applicable), but a different product might be specified in a RFQ.
Maximum horizontal cable length is 92m. A standard fly lead should be 3m long, and a standard patch lead should be 2m long (this specification may change as determined by the design).
Each outlet cable should run directly back to the patch cabinet.
Cables should not be kinked or nicked in any way. Care should be taken when pulling cables into cable trunks to avoid damage due to snagging. Trunk partitions should be used to separate the data cables from power cables, and bridges should be used where data cables have to cross the mains.
Cable routes should be planned to avoid fluorescent light fittings and power cables. They should not be run in the same conduit as power, or the same channel of a trunk system as power, and where they are run parallel to power they must be at least 60mm apart (BS7671-92). Crossing power cables is allowed but it must be at right angles.
A means of supporting the cables should be installed, such as cable tray, catenary wire or cable tie fixings. Tying cables to ceiling hangers is not permitted. Cables should be tied at a minimum of 300mm intervals on horizontal runs and more frequently on vertical runs, with no more than 48 cables in a loom. Cable ties should only be finger tight to avoid crushing the cables as this could affect the cables performance characteristics. Do not use cable tie guns or staple guns.
Cable trays should be used under false floors. If not, a suitable method of keeping the cable off the floor slab should be employed.

When terminating patch panels, cable looms should not exceed 48 cables. Each cable loom should then be tied in a tidy manner to a cable tray fitted the full length of the cabinet.
All terminating should be carried out according to the manufacturer’s instructions and guidelines, and the standards for generic cabling systems. The cable sheath should be stripped back no more
than what is required according to the product specification, and the twist rates should be maintained.

When terminating outlets, care must be taken to avoid damaging the copper cores when stripping back the outer sheathing.

Excessive amounts of cable should not be left in the outlet trunk. Care should be taken when attaching the outlet faceplate of trunks not to kink, trap or strain the cable.

Colours of cable:
- Straight cable (horizontal, patch and fly) for access: Grey
- Straight cable (horizontal, patch and fly) for servers: Red
- Straight cable (horizontal, patch and fly) for VoIP: Green
- Crossed cable (horizontal, patch and fly) for network equipment: Blue

If properly coloured cable is not available, then a PVC boot with the appropriate colour should be fitted to the RJ45 connector.

### 13.3. Labelling

Each horizontal cable should be clearly labelled at both ends (inside the trunking, and at the patch panel).

Each wall outlet should be labelled clearly, and in such a way that the label is secure, and will not detach without severe agitation.

Each patch panel should have clear numbers. If there is more than one patch panel in a network equipment enclosure, then each subsequent patch panel must continue the numbering from previous patch panel (e.g. if patch panel 1 ends at 24, then patch panel 2 should start with 25, and end at 48. Patch panel 3 should start at 49, and so on…).

### 13.4. Testing, Documentation, and Certification

The following tests should be performed and documented for each network point that has been installed:
- vii. Length
- viii. Wire Map
- ix. Return Loss
x. DC Loop Resistance
xi. Attenuation
xii. NEXT/PSNEXT
xiii. FEXT/ELFEXT/PSELFEXT
xiv. Delay
xv. Delay Skew

These tests must be end-to-end, that is, include the fly leads and the patch leads. All installed network points **MUST** pass all tests, and should be within the specification as determined by the applicable international standard (Cat 5e/6/7).

Test results can either be in the form of printed media, or preferably electronic media (TXT/DOC/PDF), or both. Documentation of physical layout and position of individual network points should be in AutoCAD format (DWG).

The installed product must be certified as determined by the product manufacturer. Smaller installations may not require certification, as long as the product warranty (minimum 5 years) will be honoured by the manufacturer.

### 13.5. Trunking

The existing trunking, as installed in the area where the network points are to be installed, should be used as far as possible. Any deviation from existing trunking should first be cleared with the ICT Services and Technical Services divisions of the institution.

Any new trunking should be properly fastened as to remain aesthetically pleasing and fully functional even when filled to capacity with network cables.

No trunking should be filled to such an extent that it cannot be properly closed.

### 13.6. Cable Trays

#### 13.6.1. Cable tray installations to comply

vii. There must be at least 10cm of clear space above the cable tray for access.

viii. All communications cable trays shall have a minimum of 30cm clearance from any sort of light fixtures (incandescent, fluorescent, or other).
ix. No conduits, pipes, wires, threaded rod or any other obstruction may penetrate the interior area of the tray where the cables are to be routed.

x. All screws, bolts, etc. used to connect the sections of tray must be installed so that they do not obstruct the installation of the cabling.

xi. Cable tray width and depth shall be determined by the dimensions of the space available to accommodate the tray and by the number of communications outlets that will be served. Larger cable trays should be used in areas that have high density communications requirements.

xii. Cable trays are to be installed at the same elevation within the ceiling throughout the building. When grounding cable tray, no hardware shall penetrate into the cable area of the cable tray.

xiii. A cable tray of suitable size should be installed in vertical rises exceeding 2m.

### 13.7. Catenary Wire

Horizontal catenary wire may be installed inside ceiling space if available, and should be at least 2.5mm in diameter. No vertical catenary wire is permitted. Each end of the wire should be anchored by a 10mm anchor with a 10mm turn buckle.

Cable ties should be used every 300mm to fasten the cable loom to the catenary wire.

No more than 48 cables per catenary wire.

### 13.8. Network Equipment Enclosures

Network equipment enclosures (cabinets) would be specified as required by the design of the network.

Each cabinet has to be 600mm wide, have a lockable glass door, and must have:

i. A fan tray (number of fans determined by cabinet size).

ii. Power supply (number of outlets determined by cabinet size).

iii. Brush panels or cable troughs (specified).

iv. Slack rack and plinth (specified).

Cable tray should be fitted in cabinets housing structured cabling to keep cable looms secure and tidy, and to provide room for any additional cabling. Looms should be cable tied at intervals no less than 30mm.
All cabinets must be earthed to the 16th edition IEEE wiring regulations. Where shielded cable is used the earth should be clean and where two cabinets are linked with a copper backbone (shielded or unshielded) a minimum of 10mm² earth wire should also be installed to cross bond the cabinets. No cable ties are to be used to fasten patch cables in troughs or slack racks. 8mm Velcro straps should be used in these cases.

13.9. Fire-rated Areas

All penetrations through fire-rated walls, floors and ceilings will be fire stopped to restore the fire ratings. Penetrations through walls containing cables that are not enclosed in metal conduits, and empty penetrations in walls being reserved for future cables, will be fire stopped on both sides of the penetration.
Generally, it will be sufficient to fire stop a penetration through a fire rated floor from above only.

13.10. Occupational Health and Safety

All work carried out by the contractor/supplier MUST be in accordance with the institution’s occupational health and safety guidelines. The institution reserves the right to stop all work in progress until such time that the contractor/supplier adheres to these guidelines.
A guidelines document can be provided on request. If there are any queries, the relevant occupational health and safety officer can be contacted.

(Acknowledgement: The above standards and procedures are based on what have been drafted by the ICT Network Section of the Nelson Mandela Metropolitan University for use at the NMMU. Permission to use has been obtained from NMMU).
### 14. ANNEXURE G – GLOSSARY OF ACRONYMS

The following acronyms are used in this document and should be interpreted as follows:

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<tr>
<th>Acronym</th>
<th>Description</th>
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<tbody>
<tr>
<td>Becta</td>
<td>British Educational Communications and Technology Agency</td>
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<tr>
<td>BI</td>
<td>Business Intelligence</td>
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<tr>
<td>BIS</td>
<td>Business Intelligence System</td>
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<tr>
<td>CtC</td>
<td>Cost-to-Company</td>
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<tr>
<td>CRM</td>
<td>Customer Relations Management</td>
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<tr>
<td>DBA</td>
<td>Data Base Administrator</td>
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<tr>
<td>DECT</td>
<td>Digitally Enhanced Cordless Telephony</td>
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<tr>
<td>DHET</td>
<td>Department of Higher Education and Training</td>
</tr>
<tr>
<td>DRP</td>
<td>Disaster Recovery Plan</td>
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<tr>
<td>DSS</td>
<td>Decision Support System</td>
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<tr>
<td>ECM</td>
<td>Enterprise Content Management</td>
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<tr>
<td>ERP</td>
<td>Enterprise Resource Planner</td>
</tr>
<tr>
<td>ETL</td>
<td>Extract Transform Load – associated with loading data into data warehouse</td>
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<tr>
<td>FOSS</td>
<td>Free Open Source System</td>
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<tr>
<td>FTE</td>
<td>Full Time Equivalent</td>
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<tr>
<td>GAAP</td>
<td>Generally Accepted Accounting Principles</td>
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<tr>
<td>Abbreviation</td>
<td>Full Form</td>
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<tr>
<td>GLA</td>
<td>General Ledger Account</td>
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<td>GRV</td>
<td>Goods Received Voucher</td>
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<tr>
<td>HEMIS</td>
<td>Higher Education Management Information System</td>
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<td>HR</td>
<td>Human Resources</td>
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<tr>
<td>ICT</td>
<td>Information and Communication Technology</td>
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<tr>
<td>IP</td>
<td>Internet Protocol</td>
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<tr>
<td>IT</td>
<td>Information Technology</td>
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<tr>
<td>KPI</td>
<td>Key Performance Indicator</td>
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<tr>
<td>LAN</td>
<td>Local Area Network</td>
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<tr>
<td>LMS</td>
<td>Learning Management System, used interchangeably for VLE</td>
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<tr>
<td>MFD</td>
<td>Multi-Functional Device that prints, copy and fax.</td>
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<tr>
<td>MI</td>
<td>Management Information</td>
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<tr>
<td>MIS</td>
<td>Management Information System</td>
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<tr>
<td>NQF</td>
<td>National Qualifications Framework</td>
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<td>NSFAS</td>
<td>National Student Financial Aid Scheme</td>
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<td>OS</td>
<td>Operating System</td>
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<tr>
<td>OLAP</td>
<td>Online Analytical Processing</td>
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<tr>
<td>PBX</td>
<td>Private Business Exchange</td>
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<tr>
<td>PC</td>
<td>Personal Computer</td>
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<tr>
<td>Acronym</td>
<td>Description</td>
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<tr>
<td>POE</td>
<td>Power over Ethernet</td>
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<tr>
<td>PSTN</td>
<td>Public Switched Telephone Network</td>
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<td>QoS</td>
<td>Quality of Service</td>
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<td>RFI</td>
<td>Request for Information</td>
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<td>RFP</td>
<td>Request for Proposal</td>
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<td>RFQ</td>
<td>Request for Quote</td>
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<td>Request for Tender</td>
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<td>RPL</td>
<td>Recognition of Prior Learning</td>
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<td>SaaS</td>
<td>Software as a Service</td>
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<td>SAN</td>
<td>Storage Area Network</td>
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<td>SLA</td>
<td>Service Level Agreement</td>
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<td>SE</td>
<td>System Engineer</td>
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<td>SOA</td>
<td>Service Orientated Architecture</td>
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<td>SOW</td>
<td>Statement of Work</td>
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<tr>
<td>TTS</td>
<td>Timetable System</td>
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<tr>
<td>UPS</td>
<td>Uninterrupted Power Supply</td>
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<tr>
<td>UTP</td>
<td>Unshielded Twisted Pair – refer to cabling used in LAN installations</td>
</tr>
<tr>
<td>VLE</td>
<td>Virtual Learning Environment, used interchangeably for LMS</td>
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<tr>
<td>VOIP</td>
<td>Voice Over IP</td>
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<tr>
<td>WAN</td>
<td>Wide Area Network</td>
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<tr>
<td>Wifi</td>
<td>Wireless network connection</td>
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CHAPTER 10: ESTATES AND FACILITIES
MANAGEMENT
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1. ESTATES AND FACILITIES MANAGEMENT

1.1. Content and Context

This section focuses on the planning, development, ownership, maintenance and refurbishment of land, infrastructure, buildings and equipment (furniture, vehicles and other fixed assets) that often represent the major asset category of universities, but also one of the substantial risks due to lack of funding to maintain the estate.

Facilities Management include many other services provided on campus but in this case excludes all information technology and communication (ITC) services including the use of ITC in teaching and associated audio visual (AV) technology (sound systems, data projectors, etc.) or library services. The readiness (availability for use) is a key success indicator in support of both academic and administrative functions in higher education institutions.

The effective (all space utilised) and efficient (space per EFT student and/or staff) drive decisions relating to the allocation of space, relocation of departments and the need for additional space. The overall space requirements are derived from the programme mix and the number of students per category. The provision of student accommodation has become a strategic decision as universities haven’t been managing residential facilities profitably. The decisions regarding general maintenance and upkeep of campuses, etc. will be informed by the total fixed assets portfolio, the condition of the assets and the level and quality of the targeted service provision.

1.2. Issues and Questions

There may be many critical issues requiring attention in the context of building new universities but as far as facilities management is concerned the following are considered to be priority matters.

i. The first relates to what infrastructure and buildings are available. The objective is to identify the medium term need for each of the universities and to compare that with the composition of the available buildings and the cost of maintenance and/or refurbishment to prepare these buildings for the new intended use. The extent of legal compliance and general accounting practices relating to maintenance of fixed asset registers need to be assessed, including confirmation of ownership, transfer of ownership or long term rental agreements.
ii. The second relates to essential services that need to be provided on the campuses. This includes the basic services to be provided for the general maintenance and upkeep of the campuses as well as other functional services that support day-to-day activities and operations such as catering, parking, stationary stores, vehicle pools

iii. The third relates to the management of assets and service provision, including staffing, other resources, related policies, procedures and control mechanisms.

1.2.1. Fixed Assets Management

The maintenance of a comprehensive and fully compliant fixed assets register is mandatory for all higher education institutions. To ensure sound asset management and compliance, it will be necessary for all institutions to introduce appropriate policy, procedures and control documentation.

Every effort should be made to resolve issues relating to deficient fixed asset registers that are not compliant with legislation and generally accepted accounting practices. This may necessitate a specific project to attend to the rectification of the deficiency which may, depending on the extent of the problem, require either a small focused initiative or outsourced professional assistance to ensure timeous and proper completion of the project.

In completing the audit, data should be collected about levels of activity and extent of facilities and where necessary, staff responsible for these functions should be interviewed. A standardised document (i.e. capturing the same information) relating to the audit and future management of fixed assets should be used in this process. The following activities are indicative but not exhaustive:

i. Prepare inventory of the location, size and condition of all facilities owned that will be made available to the new universities and indicate whether they are rented or otherwise occupied, including sports facilities. Where possible rate the condition of each building on a scale from 1 to 6 where 1 would indicate a good condition and 5 would mean serious deterioration of the building fabric. More details on Condition Codes are given in 1.3 iv. The size of the facilities must also be recorded e.g. 250-seater lecture theatre or 50-seater laboratory.
ii. Review the archive of as built building plans. Establish whether plans (original plan plus any alterations) exist for every building and whether it has been converted to electronic format. If not, these should be obtained from the relevant local council or the architectural practice.

iii. Obtain title deeds or a certified copy thereof of all land and buildings that will be owned by the new institutions. Record any restrictions embodied in any particular title deed pertaining to the land, buildings or ownership. A search at the relevant Deeds Office may be necessary.

iv. List all campus expansion plans in the following categories:

- capital work in progress
- capital projects committed and contracts signed
- capital projects planned but not committed or contracted

v. In cases where repairs to facilities are considered necessary, obtain an estimate of the cost of repairs which are needed to bring the facilities to an acceptable state. The services of a Quantity Surveyor may be required.

vi. Compile an inventory of equipment, furniture and vehicles that will be transferred to each institution including the condition and location of the items.

vii. A full and detailed description of the space allocation and management policy and procedures is essential. This should be appraised in terms of its efficacy, manageability and appropriateness for the new entity. If deemed necessary, a revised policy and procedures document should be agreed upon in order to maximise:

- Usage efficiency
- Control
- Income generation
- Maintenance
- Risk control
Table 1 to 3 in Annexure A show suggested formats for evaluation and summary of property, infrastructure and equipment respectively, which could be adapted to suit individual requirements. This includes, amongst others, extension/alteration to properties, deferred maintenance and/or refurbishment.

### 1.2.2. Essential Services

This section deals with matters relating to the planning, development, refurbishment and maintenance of land and buildings including related institutional services provided to the university community. Functions and categories of services normally provided include:

i. Campus physical planning  
ii. Maintenance:

- Properties  
- Infrastructure including grounds, roads and lightning  
- Motor vehicles  
- Garden and landscape equipment  
- Office equipment and furniture  
- Lifts and escalators

iii. Cleaning  
iv. Gardening  
v. Transport  
vi. Security and access control  
vii.Telephones  
viii. Catering  
ix. Waste disposal and recycling including chemical, medical and radio-active waste  
x. Central stores  
xi. Parking  
-xii. Pest control  
xiii. Health and safety (including fire management)  
xiv. Printing
The provision of these services is a significant challenge to every institution both in terms of the difficulties experienced in achieving quality services and containment of the cost of such services. The aggregate cost of service provision constitutes a major part of an institution’s budget and therefore requires careful planning and control in order to achieve the objective of receiving quality services at an affordable cost. The provision of each of the above services must therefore be evaluated in terms of quality and economy.

Before deciding on the services that are essential for the new institution it is necessary to critically analyse each category of services with the following objectives in mind:

xx. Services necessary for the new entity must be:

- Essential to successful operations
- Cost effective and sustainable
- Adaptable to changing circumstances
- Reliable
- Value adding

xxi. The best possible arrangements for future service delivery must be concluded

xxii. Policies, procedures and internal controls developed for the new institution must ensure efficiency and cost effectiveness in all essential services.

For the purposes of decision making the following information should be recorded for each service.

xxiii. A comprehensive list of services should be compiled, including a brief description of essential elements of each service item.
xxiv. Detail the process and procedure for managing and delivering each of the functions listed above. Where services are planned to be outsourced the terms and conditions of each of the contracts must be recorded.

xxv. Compile budget and actual cost information for each of the functions identified. Evaluate the costs of delivering the functions by using a common denominator such as cost per square metre or cost per student. This will assist in determining the efficiency of service delivery.

xxvi. Prepare organograms of personnel in each department listed as a service function for the various service delivery options. This will be required to compare the future staffing and to support these function in the new institution.

xxvii. The quality and appropriateness of the service should be comprehensively reviewed after the first period of outsourcing (if any) to decide on possible modifications to the structure to improve quality and appropriateness.

1.2.3. Other capital asset management issues

The matters listed below should be addressed during the start-up period.

**Capital commitments:** Full details of all commitments to capital expenditure in respect of assets, infrastructure and services must be accurately ascertained and recorded. This must be supported by full documentation supporting the provision for capital commitments in full detail.

**Binding forward contracts:** Full details and all documentation pertaining to agreements of lease, rental, services or technology supply must be established and accurately appraised and summarised. This applies to all categories of services and the lease or rental of assets, technology or ‘know-how’.

**Tendering processes:** A written policy and procedures document should be prepared for approval by the interim council and be consistently applied in respect of all tenders called for and taking into account best practice in the procurement of goods and services.
Record the tender procedures under which the tenders are called for and contracts are finally awarded in respect of acquisition and replacement of fixed assets.

1.3. Facilities Management link with other administrative systems

i. Depending on the organisation structure and business processes decided upon the facilities data will have to be integrated with many other information systems as listed below:

ii. HEMIS reporting. DHET requires an annual report with the following data components:

- Total area utilised by the institution in gross square meters (GSM) and assignable square meters (ASM)
- Allocation of the space to academic departments sorted by CESM categories of specialisation
- The number of FTE students for every CESM (Classification of Educational Subject Matter) category. (This is normally provided by the department of Institutional Research and Planning)
- Condition assessment and classification for every building into the 7 categories referred to in iv below
- An abridged version of the building condition codes are included below.

iii. The enterprise resources planning system will have to make provision for the space data base and staff working with the system needs to undergo training.

iv. Building Condition Codes:

- Minimal Renovation (Good)
  Suitable for continued use with normal maintenance. The Estimated renovation cost is less than 5% of the calculated building replacement cost.

- Limited Renovation (Satisfactory)
  Requires restoration to present acceptable conditions. The estimated cost of renovation is more or equal than 5% but less than 15% of the calculated building replacement cost.
• Moderate Renovation (Fair)
Requires updating or renovation. The estimated renovation cost is more or equal than 15% but less than 30% of the calculated building replacement cost. The physical conditions may have an effect upon building operations.

• Significant Renovation (Poor)
Requires significant updating or renovation. The estimated renovation cost is more or equal than 30% but less than 45% of the calculated building replacement cost. The physical conditions adversely affect building operations.

• Major Renovation (Unsatisfactory)
Requires major renovation with possible need to overhaul building subsystems. The estimated renovation cost is more or equal than 45% but less than 60% of the calculated building replacement cost. Consideration of actual renovation requirements may lead to classifying the facility as being in need of replacement.

• Replace / Demolition
Should be demolished or abandoned because the building is unsafe and/or structurally unsound, irrespective of the need for the space or the availability of funds for a replacement. Additionally, this category takes precedence over categories 1-5. If a building is scheduled for demolition, its condition is reported in this category, regardless of condition.

• Vacating Building
Planned vacating of the building for reasons other than unsafeness or structural unsoundness, such as abandonment of temporary units or vacating of leased space. Additionally, this category takes precedence over categories 1-6. If a building is scheduled for termination, its condition is reported in this category, regardless of its condition.

v. Job order system

• In order to gather the life cycle cost and support a preventive maintenance plan it is necessary to link all maintenance activities to the applicable space
• The accumulative value of repairs performed within a space will later inform higher level refurbishment or demolition decisions.

• The job order system should provide information that is used to calculate cost of repairs that is required for invoicing purposes.

vi. Help Desk

• The key management tool for an efficient repair maintenance management system is a one stop Help Desk where all service requests can be logged and the execution monitored.
• The Help Desk system should be integrated with the e-mail system so that emails can be used between the requester, maintenance management and the service providers.
• The service requests must identify very accurately where the service is required and this is best achieved by utilising the staff database and the space data records.
• The Help Desk system shall have the service level criteria built-in and the progress monitored so that escalation can be initiated as soon as it becomes clear that the promised service level will not be achieved.

• The Help Desk system must generate performance reports.

1.4. Space and office management

Every university needs to set up a function that deals with all space administration matters

i. The Space Administration Office (SAO) will be responsible for all space date inputs into the annual HEMIS reports referred to in 1.3.

ii. The SAO will normally be located with a larger Drawing Office responsible for

• archiving all as built drawings and other technical information
• recording any changes to the buildings and infrastructure
• providing inputs into the campus master planning process that identifies the future needs of both land and buildings to support the growth strategy of the University

iii. The SAO’s tools include a computer aided design system with configuration control that can be used to record all as built documents and should be provided with a secure store room to safeguard paper copies where applicable

iv. The space needs for any distance education programmes need to be defined comprehensively

v. When identifying future space needs and compiling campus plans consideration should be given to
• space for support departments on satellite campuses
• acquisition / construction of land and buildings as well as the potential of refurbishing and upgrading existing structures

vi. Campus planning should consider the full potential of public transport and optimise routes for pedestrians and non-motorised transport routes.

vii. Students and staff that don’t use private transport should be rewarded by friendly routes that end at safe parking structures as close as possible to their place of work or study. This planning should be integrated into municipal transport and traffic planning.

viii. The SAO needs to establish a formal and structured liaison system with the town planning department of the local municipality to ensure that every decision regarding traffic, land use, roads and storm water, etc. that may impact the university is first considered by the university.

1.5. Project Management – Refer to Policy FM 01

i. Every university continuously require the services of a project organisation due to the nature of on-going construction and refurbishment projects.

ii. For large multi-disciplinary projects the cost effective solution is to appoint the architect as principal agent to manage the actual project on behalf of the client.
iii. In the case of refurbishment type projects requiring little architectural inputs a good solution is to appoint an experienced quantity surveyor (QS) as principal agent as the QS knows all of the details from the costing and can make quick decisions on construction queries.

iv. For single discipline projects, e.g. lift replacement, HVAC replacement or refurbishment, standby power generators, etc. the effective solution is to appoint the consulting engineer as principal agent.

v. Special circumstances, e.g. remote construction site, may justify the appointment of a specialist project manager, but this should only be done after careful consideration of the above options. A specialist project manager adds costs to the project and potentially creates the opportunity for more communication break-downs between the user client and the professional team.

vi. In complex and/or remote locations the University may consider the appointment of a clerk of works to improve on site supervision. This is normally not necessary if the contractor has experienced site management.

vii. Under all conditions it is, however, necessary to have an internal project management function to facilitate the process between the user client’s needs statement and the project team. The responsibility of the internal project manager is outlined in the document titled “Project Management Protocol”. This document hasn’t been edited as the detailed procedures that will be applied at the new university are not known.

1.6. Risk and Business Continuity (BC) Planning – Refer to Policy FM 02

i. Interruptions to daily operations are not only costly but can also disrupt university schedules, e.g. the need to reschedule an examination because the support systems brake down preventing successful completion of the scheduled assessment.

ii. BC planning is an on-going process requiring time, technology, tools, facilities and training. It requires regular evaluation and adaptation due to changes in the environment or internal priorities.
iii. Established institutions may appoint a Business Continuity Steering Committee consisting of senior managers from Facilities Management, IT Services, Risk Management and academic departments with specialised facilities, e.g. Chemistry and Engineering under the leadership of a member of the Executive.

iv. Execution of the planning could be performed by a Business Continuity Task Team with representatives from Maintenance, Security Services and Academic Administration.

v. The first step in compiling a business continuity plan (BCP) is to perform a business impact analysis (BIA). Important prerequisites for a successful BIA are:

- Get senior management buy in. This could be in the form of a BC Charter
- Keep it simple
- Make it part of the business processes

vi. It may be advisable to engage a consultant to lead to BIA process and develop the roadmap for the rollout of the full BCP programme.

vii. An example of a BC Policy is included.

viii. The university will also have a Risk Committee that manages the overall risks threatening the sustainability of the university. The facility and infrastructure related risks would be added to the agenda of the BC Steering Committee.

ix. The Facilities Management department will also have a departmental risk committee.

1.7. Protection Services – Refer to Policy FM 03

Protection Services is a much regulated environment and the operational functions seem to be structured similarly in most environments. The functions are:

i. Guarding
ii. Patrols

iii. Reaction unit

iv. Investigations

v. Access control

vi. Parking and traffic

vii. Management

1.7.1. Guarding

i. The number of guards is determined by the nature and size of the campus as well as the security risk profile in the region.

ii. Open campuses will require more guards to be placed in the vicinity of building entrances where enclosed campuses will focus on guarding at the motorised transport gates and pedestrian turnstiles

iii. It is customary to fully outsource the guarding function

iv. The construction of special lanes and holding areas where delivery and contractor vehicles can be surveyed is recommended.

1.7.2. Patrols

i. Security officers patrol the campuses to monitor potential crime activities and also to act as a deterrent

ii. The number of patrol officers can be reduced when the individual buildings have access controls installed

iii. In high risk environments it may be justified to deploy patrol officers in plainclothes so that they can blend with the community and contribute to preventing crime or increasing the probability of convicting perpetrators

iv. The patrol units serve a very beneficial service by monitoring facilities at night reporting on mundane issues like lights not working, plant running unnecessarily, etc. but more important to react to service failures e.g. water damage, electrical disruptions, rain or wind damage, etc.
1.7.3. Reaction unit

i. It is custom to have a motorised unit with armed guards available that can immediately react to any serious incident.

ii. The exact structure for the reaction unit will be decided by the circumstances at the specific campus(es).

iii. The service could vary from a contract with an existing security service provider that can dispatch a reaction unit when required, to a dedicated reaction unit that is available on campus permanently. In the latter case the reaction unit will patrol the campus(es) at random times.

iv. A function related to the reaction Unit is the 24/7 control room. The Control Room would typically:
   - Maintain radio control with all guards and patrol offices on site
   - Monitor all access control and fire alarms, as well as CCTV cameras
   - Communicate with emergency services, e.g. fire brigade, ambulance, etc.
   - Execute calls for standby services, e.g. electricians, plumbers, etc.

v. A policy is required on the recording and monitoring of closed circuit television images and a draft is included.

1.7.4. Investigations

i. Trained investigating officers are required to investigate criminal incidents a.s.a.p. after the event to ensure that the best evidence is recorded.

ii. The investigating officer will advise on the way forward and also open dockets with the SAPS for illegal actions.

iii. These investigations are very important where disciplinary action is required regarding staff and students.

1.7.5. Access Control

i. The responsibility of Security Services for access control systems varies significantly between institutions. In one organisation the Security Services may have overall responsibility for the
management of the system while in another the system may be developed and managed by IT Services or Technical Services and Security Services only manage the data.

ii. The access data system defines the access right for every individual recorded in the system (staff, student, service provider, consultant, contractor, visitor, etc.).

iii. Even though the ideal is to control the access to every individual space, in practice it is too complex to programme a personal profile for every individual. The practical approach is to divide the campus into zones and the population into interest groups, e.g. all undergraduate EMS students have access to EMS buildings between 06:00 to 22:00 or post graduate engineering students may park in a specific parking area after 14:00 on weekdays.

iv. The access control system must be integrated with the enterprise resource system to ensure real time information, e.g. a student may be issued with an access card as soon as registration procedures have been completed or a number of staff that has resigned automatically loses all access rights on the day after the last day of work.

1.7.6. Parking and traffic

i. The Security Services department perform facilitating and control duties regarding a campus traffic and parking

ii. A policy is required regarding access to the campus when on campus parking is restricted, e.g. post graduates have access all day long in restricted areas, but undergraduates may only park on campus only after 14:00

iii. The policies regarding parking may be developed by Estate & Facilities Management who will also decide on the type of parking to be provided and the cost of parking

iv. Depending on the shortage of parking the cost could be:

- Open parking: From free to a fee for a “license to hunt” to a charge for dedicated space
- Undercover parking: A fixed charge per dedicated space to a sliding scale with significantly higher rates for allocated bays close to the place of work

v. Parking could be reserved for important visitors and Security Services will control access to these areas.
vi. Security Services will control traffic movement and parking during special events, e.g. graduation ceremonies, open day, welcoming day, sports matches, concerts, expert lectures, etc.

vii. Due to the on-going requirement for extra resources at these events, Security Services staff normally qualifies for overtime payment.

1.7.7. Management

i. While guards and patrol officers are normally outsourced, the management and supervisory functions as well as some operational staff may remain in-house.

ii. Positions that would not be outsourced are:

- Manager: Security Services
- Investigators
- Shift supervisors who would normally rotate shifts on a 3-weekly cycle
- Access control administrators

iii. Control room operators that also monitor CCTV cameras may be in- or outsourced.

1.7.8. Special Considerations

Protection Services face many other specific challenges that require customised strategies and dedicated focus as described below:

i. Student Accommodation/Residences.

- Students use/own many valuable products e.g. laptops, iPods, smart phones, iPods, etc.
- It is thus necessary to provide secure lockers or safes for use by students, especially as fellow students, maintenance contractors, etc. have access to student rooms.
- Access control and other security measures should preferably be designed in the building/precinct and not added on at a later stage
• It is known that students open doors that may not be locked, e.g. fire escapes for fellow students and other visitors. Where this behaviour is known to be a risk to students or the University it may be advisable to install alarms and CCTV cameras on all access doors

ii. Cash handling

• Systems should be developed to effectively reduce the volume of, cash transactions.
• Cash is however unavoidable at bank ATM’s and many of the on-campus shops and food outlets
• Special consideration should be given to design cash delivery and collection services and routes (including parking areas) in a manner that reduces the visibility of these operations and provide safety to the University community.
• Registration and cashier counters should be protected by means of bullet proof glass, CCTV cameras, drop safes, safety gates, etc.

iii. Bicycles

• Non-motorised transport will become even more important in future and it is thus important to develop tactics for protecting the bicycles on campus
• One system is to register all bicycles by means of a unique bicycle identification number (BIN) that are stamped onto the critical bicycle components.
• The BIN should then be recorded on the ID cards (student and staff) or on a “permit” that can be carried by the owner.
• An alternate approach is not to have the approach above, but for the university to provide rental bicycles. By designing a “non-standard” campus bicycle the market for stolen bicycles is reduced substantially. The University of Stellenbosch has launched such a bicycle rental system.

iv. Sports

• University students and staff participate actively in a large variety of sports
• During sports activities the private property of participants, e.g. keys (cars, bicycle locks, residence), cell phones, jewellery, watches, track suits, clothes, etc. need to be protected.
• Secure lockers may work for indoor sports, but is not practical for outdoor team sports. Lockable cages can be provided for every team where the coach or team manager can control the access to the cages.

v. Events

• The safety at events is now legally controlled.
• The document “Implementation of the safety at sports and recreational events act (SASREA)” describes the general requirements, and
• The “Charter for the Event Safety and Security Planning Committee” explains the required governance procedure.

vi. Weapons on Campus

• World-wide concerns are growing about on-campus unrest and unpredictable behaviour involving armed crime and even wild shooting of innocent bystanders.
• It is advisable to have a plan for making campuses weapons free and a draft policy is included.

1.8. Catering

i. The need for food services on campuses is on the increase.
ii. The dining halls have also become multi-use facilities where students will spend larger periods socially or working with fellow students on assignments or reviewing lectures.
iii. Catering services can be provided by internal; staff or by specialist service providers, but the trend is towards outsourced organisations.
iv. Organisationally the catering services can be part of a centralised Services Department (WITS), but many Student Accommodation Departments manage the function as it forms part of the service delivery.
v. The facilities to be used for catering is normally designed as part of the construction project, but the interior design and selection of specialist equipment should be designed by or in close cooperation by the food service provider.

vi. Hazard Analysis Critical Control Point Certification (HACCP)

- Due to an increasing number of consumers purchasing convenience foods, together with the on-going innovation in packaging, storage, preparation and cooking technologies, there is a greater need to develop procedures that will decrease incidences of food related deaths and diseases
- A food safety system like HACCP should be implemented, even though it isn’t yet the norm at universities in Southern Africa
- The HACCP system accurately identifies potential hazards and implements effective control measures and monitoring procedures throughout the food supply chain from the primary producer to the final consumer
- The HACCP system is regulated by the Department of Health and is promulgated by SANAS as SANS 10330:2007

vii. Fast food outlets are typically outsourced. One way is to invite service providers to bid a price for the opportunity, but in other instances a fixed rental is charged for the space and an evaluation panel decides on the preferred service provider.

viii. The evaluation panel should include representatives from the faculty (faculty managers) and the Student Council, should meet regularly to monitor services delivery and decide when to terminate contracts, re-tender the needs, or recommend extending the contracts.

Information provided by the Services Department at WITS and Royal Mnandi in a publication “Soft Services @ Tertiary Level with focus on a Safe Food Environment”.

1.9. Waste Management – Refer Policy FM 04

i. The waste streams need to be understood and clearly defined

ii. Typical waste streams are:

- Clean office paper
• Radio-active waste products
• Chemical waste
• Other hazardous waste, e.g. medical equipment and human or animal remains
• Organic by-products from landscaping and agricultural operations
• Wet waste from kitchens, dining halls and food courts
• Electronic waste
• Safe recyclable waste e.g. glass, cans (metal and aluminium), polyethylene bottles (clear), card boards, polystyrene, newsprint, hard cover books, latex books, low density clear plastics, low density coloured plastics, industrial cling wrap, high density milk type bottles, polypropylene (toys, butter tubs), etc.

iii. The most economical waste management plan should be developed for every stream, e.g. recover and sell some of the recyclable waste, use organic waste to manufacture compost, sell office paper to paper manufactures, etc.

iv. The overall volume of waste per waste stream will decide the economic viability of operating a materials recovery facility (MRF) at the university.

v. The waste handling functions may be outsourced, but various contractors may be involved in the chain, e.g.

• Building Services contractor collects waste from offices and other sources and place it at collection points outside the buildings
• The landscaping contractor transfers the waste from the collection points to waste transfer stations
• The waste contractor transports the waste from the transfer station to the MRF, composting area or land fill site


vii. Legislative Context

• White Paper on Integrated Pollution and Waste Management 2000 (IWM)
• National Environmental Management: Waste Act (Act No 59 of 2008) (NEMWA)
• Government strategy for IWM, i.e. The National Waste Management Strategy (NWMS)
viii. As the University remains responsible for all risks associated with waste originating from the campuses irrespective of the means of disposal it is important to establish a policy, responsibilities and standard operating procedures immediately. A draft policy on the management of hazardous waste is included.

1.10. **Landscaping and sports fields management**

i. The landscaping section is often responsible for the on campus waste collection and transport operations

ii. The structure and approach to managing the landscape is dictated by the size of the estate and whether it is a typical business district or traditional parkland campus.

iii. CBD campuses tend to be surrounded with hard landscaping with small manicured gardens. These gardens tend to require a personal touch from a dedicated horticulturist who would normally be employed by the institution but the service can also be outsourced.

iv. Parkland Campuses normally have large green areas that require regular repetitive maintenance activities. These are the type of activities that are best outsourced.

v. Specialised sports grounds and facilities, e.g. heated swimming pools and cricket patches require specialist maintenance attention. The decision on how to contract for these services are influenced by a number of considerations:

- size of the sports complex, i.e. will the specialists be required full time
- availability of specialist sports field contractor and the need for services in the vicinity of the university
- quality standard required, e.g. club, provincial, professional or national level

vi. The landscaping section often reports organisationally to the Maintenance Manager but if the Estate is large it could report directly to a Services Manager.

1.11. **Transport**

i. Every university has a need for transport services. Transport services can be any combination of services from the continuum starting from a couple of vehicles in a rental pool, to larger
pools where some vehicles can be allocated full time to a department, to in-house or external passenger buses.

ii. The transport services can be fully managed in-house or outsourced partly or in full. The decision to outsource will be influenced by the size of the fleet and the availability of suitable rental organisations and bus service providers.

iii. Students require frequent transport for smaller groups of 6 to 10. It is thus ideal to have some of the 12 to 14 seated minibuses in the pool. It is, however, important to ensure that the drivers at all times have the correct level of competence license.

iv. The AARTO system will place an extra burden on the transport administration. A prerequisite for successful administration of traffic offence penalty points is an accurate booking and tracking system for all university vehicles. The transport administrators must be able to identify the driver of every vehicle at any time to be able to advise the authorities on who should be debited with the penalty points.

v. The transport administration system should also be able to charge vehicle rentals to the correct cost centre including all fuel charges and cost of tolls.

vi. The Transport Office manages the servicing of vehicles and annual renewal of licenses.

vii. A good administrator will analyse the kilometres travelled by every vehicle so that the vehicles can be rotated to level out as far as possible the distance travelled with the age of the vehicle.

viii. The Transport Office compiles an annual plan and budget for the procurement and disposal of vehicles as well as the rental income targets.

1.12. Occupational Health and Safety – Refer to Policies FM 05, 06, 07, 08 and 09

i. The New University is responsible to implement all legal and statutory requirements that are required by the Occupational Health and Safety act, 83 of 1993.

ii. The New University will establish a healthy and safe working environment through devoted compliance of the above principles by the management, employees and students.

iii. The OHS environment is very well structured and the person appointed with responsibility for the OHS Program will be able to advice on appropriate structures to satisfy the requirements.
iv. It is recommended that New University adopts a “SHE” management system based on the International Register of Certificated Auditors (IRCA) and National Occupational Safety Association (NOSA) systems to manage its occupational risks.

v. Examples of an Occupational Health and Safety policy document and guidelines for an Occupational Health and Safety Environment Integrated Management System are included.

vi. The legal responsibilities of the Executive for safety are explained in annexure FM06. It is important to note that the Vice Chancellor and Principal remains ultimately accountable even though senior managers can be appointed in terms of section 2 to assist with overall programme.

vii. Safety Committees are an essential part of the SHE program. A guideline document is attached.

viii. Most universities would require a responsible person with a Government Certificate of Competency to be appointed with responsibility for safety of machinery. Details are found in the attached abstract from the Occupational Health and Safety Act, 1993, General Machinery Regulations, 1988, Section 2. Supervision of machinery.

ix. Certificated Engineers are scarce and hence the structuring of the Facilities Management Directorate needs to be developed around this position to ensure affordability of a suitable candidate.

1.13. **Environmental Management – Refer to Policies FM 10, 11, 12 and 13**

i. Environmental Management and Environmental Sustainable Development have become legal responsibilities on all organisations.

ii. Within the Higher Education Sector planning for Environmental Management is a developmental area.

iii. An example Environmental Policy and a guideline for Environmental Sustainability are included.

iv. An important aspect of environmental sustainability is Energy Management. A draft Energy Policy is attached.

v. It is suggested that development in this area be scheduled for a later phase.

i. Structures within Facilities Management will vary significantly between different institutions and thus only two guidelines are included for consideration.

ii. Firstly, it is important to ensure that facilities development takes place timely and in support of the strategic direction of the university. It is thus common practice to have a Facilities Advisory Committee (FAC). The constitution of the FAC will be informed by the organisation structure and the level of knowledge regarding the built industry available within the institution.

iii. The FAC is a higher level committee that focuses primarily at the strategic and tactical level.

iv. An example mandate for a Facilities Advisory Committee is attached with comments applicable to institutions that do not have the benefit of strong Engineering and Built Environment faculty.

v. The operational coordination and integration of the work of a Facilities Management Directorate takes place in a complex and dynamic environment. For this reason it is advisable to have a regular (weekly?) forum where key role players, e.g. FM divisions, Protection Services, IT Services, Finance and Residence Administration meet to ensure operational control.

vi. An example mandate for an Internal Planning Committee is attached.

vii. A generic organogram is included that may be used as a template when the future organisation is developed. How functions are grouped and the number of reporting levels will be influenced by the size of the institution, decisions regarding in-house or outsourced service delivery, etc.

1.15. Building and technical maintenance – Refer to Policy FM 15

i. It is often assumed that Facilities Management equals Maintenance. The sections above aim to provide a more comprehensive understanding of the Estates and Facilities Management environment. Due to the importance of Maintenance, key issues are addressed in section 2 and only a few general guidelines addressed here.
ii. It is recommended that, especially during the growth phase, as much as possible of the specialist maintenance functions be outsourced, depending on the availability of service contractors.

iii. The nature of the contracts with service providers need to be such that the administration is smooth and integrated and the business processes transparent.

iv. The trend is to invite tenders for a comprehensive package of maintenance tasks, e.g. General Building Maintenance; Refrigeration and Air-conditioning; Alarms, CCTV and Access Control; etc. and then to appoint one service provider on a term contract for say 3 years.

v. The tender will include fixed cost components for Site establishment and General Administration, and Planned Maintenance activities.

vi. Routine repair tasks will be costed on a per item basis in the tender.

vii. Quotations will be required for larger repair tasks, e.g. repair and overhaul of a HVAC compressor.

viii. A Job Order Contract process will be required as outlined in 1.3 above.

ix. A draft maintenance policy is included that will guide further deployment of the maintenance function.
1.16. **Conclusion**

i. Estates and Facilities Management is a practical rather than academic environment that is approached in many different structures and it is thus impossible to develop one solution that will satisfy all.

ii. This document addresses all of the main issues that need to be considered as New University develops its organisation and systems.

iii. It is anticipated that a number of workshops will have to be arranged with the incoming Council and later the Executive to decide on the optimal solution for the specific conditions.

iv. It would be necessary to conduct an assessment of the labour market and the available facilities service infrastructure as an input into this organisation development.

v. Procurement and Tender processes are dealt with elsewhere but as there are so many pitfalls. An example of a public statement on the BB-BEE Procurement and a calculating matrix for the comparison of tenders is included.
ANNEXURE A

Table 1: Property – Evaluation and Summary

<table>
<thead>
<tr>
<th>Description</th>
<th>Owned m²</th>
<th>Rented m²</th>
<th>TOTAL</th>
<th>ARV (R’m)</th>
<th>Year1</th>
<th>Year2</th>
<th>Year3</th>
<th>TOTAL</th>
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* ARV: Asset Replacement Value

NOTE: Supporting schedules are required in respect of all the information furnished herein. In particular, cost of refurbishment computations should be fully detailed.
<table>
<thead>
<tr>
<th>DESCRIPTION</th>
<th>EXPERT APPRAISAL OF CONDITION</th>
<th>FULL RESTORATION COST ESTIMATE (R’m)</th>
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<td>Year1</td>
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<td>Perimeter fences, security gates</td>
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<td>Other</td>
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**NOTE:** Status reports and cost estimates must be fully detailed and supportive of the information appearing in the condition and cost estimate columns.
Table 3: Equipment, Furniture and Vehicles – Evaluation and Appraisal

<table>
<thead>
<tr>
<th>DESCRIPTION OF CATEGORY</th>
<th>DETAILED REPAIR REQUIREMENT</th>
<th>ESTIMATED COST (R’m)</th>
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NOTE: This summary must be supported by detailed and accurate work sheets.
NEW UNIVERSITY POLICY

2. CONSTRUCTION PROJECT MANAGEMENT PROTOCOL (CPMP)

Polsicy Reference: FM 01

<table>
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<th>Name of VC</th>
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<td>Approved by Legal Div</td>
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<td>Approved by Registrar</td>
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</tr>
<tr>
<td>Date sent to Council</td>
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<td>Approved by Council</td>
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2.1. General notes on facilities project management

Abbreviations used in this document:

**CIP**: Capital Improvement Plan. This plan typically includes major construction projects, for example a new lecture hall complex, synthetic athletics track, new residences etc.

**CPM**: Construction Project Manager – an official of university to whom a project has been assigned for execution.

**CPMP**: Construction project management protocol (this document).

**DFM**: Department of Facilities Management.

**DRA&A**: Department of Residence Affairs and Accommodation.

**DR&R**: Deferred renewal and replacement.

**FAC**: Facilities Advisory Committee.

**HPC**: The high performance centre, a University business unit.

**IPC**: DFM’s Internal Planning Committee.

**MBW**: Minor building work. Work amounting to a total cost of less than R20 000, escalated at 10% per annum from 2008 (about R30 000 in 2012).

**PIA**: Pretoria Institute for Architects or similar branch closer to the university.
PROCSA: Professional Consultants Service Agreement. A suite of documents prepared to regulate the terms of engagement between the client and the team of consultants.

PSPMS: PeopleSoft Project Management System. The University’s integrated computerised software system used to manage financial and physical progress of all projects.

R&R: Renewal and Replacement. Work of a corporate nature to keep facilities in good working condition including work required to comply with statutory requirements and to make provision for changing academic needs. Projects in this category may also be of a major nature, e.g. the refurbishment or replacement of a building’s central air-conditioning system.

The DFM renders a construction project management service to all Academic Faculties, Support Services Departments and business units, as well as work of a corporate nature. For the sake of good corporate governance, all project management services as described below are the sole responsibility of the DFM. No other entity will be allowed to conduct any of this work without prior written permission from the Director: Facilities Management.

Construction project management in this context refers to the construction of new facilities and infrastructure (CIP), the renewal, refurbishing, renovation, restoration and replacement of existing facilities and infrastructure (R&R) and the execution of minor building work (MBW).

Abovementioned facilities and infrastructure refer to:

i. Buildings and other structures, including lecture rooms, laboratories, offices, residences, houses and sport facilities like courts, tracks, pavilions and pools.

ii. Building systems, including heating, ventilation and air conditioning, elevators and lifts, electrical systems, access control, fire and intruder detection systems with alarms relayed to the control centre, mechanical pumps etc.

iii. Services infrastructure including roads and parking, electrical, water, storm water, sewer and gas reticulation.

iv. Landscaping, irrigation and sports fields

All projects in terms of this Protocol originate from:

i. The annual CIP

ii. the annual approved R&R budget
iii. the annual approved long term maintenance plan
iv. the annual approved budget from DRA&A
v. the annual approved budgets from business units
vi. *ad hoc* requests, approved during the year from the corporate budget, or funded by the client
vii. Additional capital allocations by the Executive, including major R&R projects
viii. *Ad hoc* requests for MBW

This protocol excludes maintenance and repair works (M&R) originating from the annual operations (maintenance) budget

### 2.2. The generic project management process

Projects approved on the annual CIP, R&R and DRA&A budgets are scheduled for execution throughout the year. Scheduling priorities are determined by a combination of user client needs and availability of DFM resources. All *ad hoc* requests outside the approved annual budgets are subject to the approval and placement of additional funds for the project by the requestor and will be scheduled on the same priority base. Construction Project Managers from the DFM shall generally perform the following standard services under the following project stages, in line with the standard PROCSA document:

**Stage 1 - Initiation:**

Prioritise projects and programme them for execution during the year.

Agree on user client requirements and preferences, assess user client needs and options, appointment of initial consultants in establishing project brief, objectives, priorities, constraints, assumptions and strategies in consultation with the user client. The deliverables of this stage include the project brief, signed client/consultant agreements, project initiation programme, milestones schedule and approval of user client to proceed to Stage 2.
**Stage 2 - Concept and Viability:**

This stage comprises the finalisation of the concept and feasibility, appointment of balance of consultants, the initial cost estimate, feasibility study, value engineering and construction programme. Deliverables include indicative project documentation and construction programme.

**Stage 3 - Design Development:**

Manage, co-ordinate and integrate the detail design development process within the project scope, time, cost and quality parameters. Design drawings are delivered either in-house or by a consultant. Review the designs until all role players (see below) are satisfied and have approved the design development. Deliverables include detailed design and documentation programme, updated construction programme and approval of user client to proceed to Stage 4.

**Stage 4 - Documentation and Procurement:**

The process of establishing and implementing procurement strategies and procedures, including the preparation of necessary documentation, for effective and timeous execution of the project. Follow the due process to procure and appoint relevant contractors and subcontractors. The procurement phase ends with the issuing of purchase orders and the signing of relevant contracts.

**Stage 5 - Construction:**

The management and administration of the construction contracts and processes, including the preparation and co-ordination of the necessary documentation to facilitate effective execution of the project. This stage comprises site handover, management of the scope of works, schedule, budget and contract administration. Conduct review meetings to ensure all role players (see below) are satisfied. The construction phase ends once works completion has been achieved.
Stage 6 - Close-out:

The process of managing and administering the project closeout, including preparation and co-ordination of the necessary documentation to facilitate the effective operation of the project. Ensure that as-built drawings and operations and maintenance manuals have been submitted. The work is handed over to the end user, the Operations and Maintenance team, including warranty related work. Latent defects remain the responsibility of the project management team. The final steps include the compilation of a project close out report, clearance of outstanding financial encumbrances and return of the balance of funds to the original source.

See ANNEXURE A for the detailed steps in the project management process. This may be used by the construction project manager as a checklist and by the user client to track progress. Apart from the DFM’s Project Management team, the following are ROLE PLAYERS in the compilation and approval of the scope of work and the final project:

i. The nominated end user for whom the project is executed. This person(s) will be a member of all project panels.
ii. The Department of Information Technology Services regarding IT and telephone equipment, cabling, computer labs and audio / visual equipment.
iii. The Department of Security Services regarding access control, fire and intruder alarms, CCTV systems and guards during construction.
iv. The Department of Academic Administration in so far a project impacts on lecture halls, timetables and graduation ceremonies.
v. The Department of Education Innovation when learning spaces are involved.
vi. The expert consultant regarding the needs for people with disabilities.
vii. Unit for people with special needs.
viii. The expert consultants regarding heritage and archaeological issues.
ix. The UP Arts Committee regarding art work in and around buildings.
x. The Curator of the Botanical Garden for projects impacting on the Botanical Garden.
xi. The member of the Executive for post graduate studies, for projects involving any post graduate centre or space for post graduate students.
xii. The UP occupational health and safety team.
xiii. The DFM’s Planning and Administration team regarding space management, signage, records and archiving of project documentation.

xiv. The DFM’s Campus Services team regarding landscaping, cleaning, waste management, furniture and the long term maintainability of new facilities.

xv. The DFM’s environmental and sustainability team.

xvi. The DFM’s Maintenance and Operations team regarding the type of plant and equipment, the commissioning of such plant and equipment, operations and maintenance, the long term maintainability of the new facilities and the pointing out of underground services where applicable.

xvii. Specially selected panels to conduct design review and progress meetings as required.

2.3. Projects originating from ad hoc requests from user clients, self-funded or corporate funded

Should circumstances warrant it, user clients may lodge requests for ad hoc projects. Such requests may be either self-funded (funded by the user client), or a request for corporate funding may be considered by the Department of Facilities Management for approval by the Executive in exceptional cases. Since these requests have not been pre-approved on the University’s annual capital budget, they:

i. are not funded in the DFM’s capital budget

ii. need to go through a corporate governance screening process

iii. should be screened for possible space management implications

iv. approved by the Executive

Requests for minor building work will be funded from the DFM’s budget for minor building work depending on the availability of funds, or may be self-funded by the applicant, or a combination of both.

For ad hoc requests not considered to be minor building work, see ANNEXURE A Section 1 & 2 for the generic project management process. This may be used by the project manager as a checklist and by the user client to track progress.
2.4. Projects executed for the department of residence affairs and accommodation.

This section is applicable to projects approved on the annual capital budget of DRA&A as well as to ad hoc needs that may arise during the year. At large the steps are the same as for corporate CIP and R&R projects, but differ in that they are neither of a corporate nature nor corporate funded. DRA&A will decide which self-funded projects will be managed by DFM (mainly major projects) and which projects will be managed using in-house departmental resources. All the latter projects have to be communicated and agreed upon with the IPC.

Preference will be given to UP term-contractors to execute these projects subject to availability of resources.

For projects managed by DFM the same generic Project Stages are followed with the following provisos:

i. In all cases the user client is the Director: DRA&A or his/her nominated representative who will be a member of all project panels.

ii. The project brief is compiled and approved by the Director: DRA&A or nominated representative.

iii. The funds for the project is transferred from the DRA&A to a special cost centre for DRA&A projects, but managed by the DFM. The DRA&A will remain the cost centre owner.

iv. Note that all project management transactions and activities are managed in the PSPMS.

v. The normal DFM procurement processes for consultants and contractors will be followed in collaboration with the Director: DRA&A or his nominated representative.

vi. DFM will issue requisitions for purchase orders, approve it according to delegations and revert the requisition and source documents to the DRA&A for final release.

vii. The DFM Construction Project Manager will forward copies of the following documents to the Director: DRA&A:

- the official work orders
- approved progress payments
- monthly cost reports
- the final completion certificate
• the final account
• the project close-out report

viii. All completed projects have to be approved by the Director: DRA&A or his/her nominated representative, and where applicable, the Head of Residence or his/her representative, before the close-out report will be finalised.
ix. No project will be finally signed off by the Director: DRA&A unless the above mentioned procedures have been followed and finalised.

2.5. Projects for business entities of the university

This section is applicable to projects resulting from needs originating at autonomous business units of the University where these exist. These projects are usually self-funded.

These business units will decide which projects will be managed by DFM (mainly major projects) and which projects will be managed using in-house resources. All the latter projects have to be communicated and agreed upon with the IPC.

For projects managed by DFM the same generic Planning and Construction phases are followed with the following provisos:

i. In all cases the user clients are the Directors of the different business units or his/her representative.

ii. The project brief is compiled and approved by the Directors of these business units.

iii. The normal DFM procurement processes for consultants and contractors will be followed in collaboration with the Directors of these business units or their nominated representatives.

iv. The DFM Construction Project Manager will forward copies of the following documents to the Directors of these business units:

• monthly cost reports
• the final completion certificate
• the final account
3. BUSINESS CONTINUITY MANAGEMENT POLICY

REFERENCE: FM 02

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3.1. Purpose

The purpose of this policy is to formalize the Business Continuity Management Program (BCMP) of the University and to provide guidelines for developing, maintaining and testing Business Continuity Plans (BCP’s).

This policy is also consistent with the University’s Integrated Risk Management Policy and Risk Management Guidelines.

This policy establishes the basic principles and framework necessary to identify, analyse, evaluate and mitigate risks that can lead to business disruptions before they occur. It also ensures emergency response, resumption and recovery, restoration and permanent recovery of the University’s operations and business activities during internal and external events that caused a serious business interruption in a way that ensures critical University functions are maintained/restored in a timely fashion.
Specific objectives of the policy include:

i. To protect the University’s property, stakeholders, students and staff by minimising the impact of a serious disruption to the University through implementing Business Continuity Management (BCM);

ii. to recover critical administrative and academic operations after a serious disruptive event in a planned and controlled manner in order to meet institutional, legal, regulatory and other relevant requirements; and

iii. to ensure that business planning and future development address Business Continuity Management requirements.

3.2. Organisational scope

This policy applies to all University facilities, IT systems, staff (full time and part time), temporary workers, contractors, partners, service providers or other people authorised to work at all campuses including all entities controlled by the University. The University shall be prepared for major disruptive events including, but not limited to, natural disasters, power and water outages, hardware/telecommunications failures, data corruption, explosives, chemical, biological and nuclear hazards, severe outbreaks of contagious diseases as well as civil unrest, staff and student strikes and terrorism. These events may be local in nature, rendering only a single campus inoperative, or could have regional impact, with multiple campuses becoming inoperative.

This policy provides guidance for the resumption and recovery of time sensitive operations in accordance with pre-established timeframes as well as ensuring that adequate plans are in place for the less time sensitive business operations.

3.3. Policy statement

The University is committed to achieve its business continuity aim of acting responsibly in the discharge of our responsibilities as a public Higher Education Institution while safeguarding its reputation and public image through the adoption of Business Continuity Management best practices. This will occur by using best endeavours to ensure that critical teaching, research,
community engagement, and business outcomes are not compromised by a major disruptive event in order to meet the needs of staff, students, the wider community, and other critical stakeholders.

However, in any emergency or disaster situation the highest priority will always be the preservation and safe-guarding of human life.

The University will:

i. Establish Business Continuity Plans (BCP’s) to ensure business continuity for the most critical business processes as determined by a Risk Assessment and Business Impact Analysis (BIA).

ii. Annually review the Risk Assessment including periodic maintenance of the BIA.

iii. Periodically update the BCP to ensure currency of information, and response strategies. Plans must be reviewed for possible updating within 30 days of any major operational or system changes that will have a material effect on the contingency strategy of any business process.

iv. Undertake exercises for training and evaluation purposes of the BCMP each year.

v. Provide resources to ensure the achievement of BC objectives

vi. Ensure that business continuity objectives and requirements are embedded in identified business processes.

vii. Ensure that the roles and responsibilities mandated by BC objectives are clearly communicated to all staff members and other relevant stakeholders.

viii. Endeavour to focus on business resilience rather than off-site service recovery.

ix. Provide education and training to ensure that staff is aware of resilience threats and vulnerabilities, and are equipped to apply BC policies, mitigation controls, procedures and plans.

3.4. Definitions/Abbreviations

**Business continuity (BC)**

BC is the strategic and tactical capability of the organisation to plan for and respond to incidents and business disruptions in order to continue business operations at an acceptable pre-defined level.
| **Business continuity management (BCM)** | BCM is a holistic management process that identifies potential threats to an organisation and the impacts to business operations that those threats, if realised, might cause, and which provides a framework for building organisational resilience with the capability for an effective response that safeguards the interests of its key stakeholders, reputation, brand and value-creating activities.  
*Note: BCM involves managing the recovery or continuation of business activities in the event of a business disruption, and management of the overall programme through training, exercises and reviews, to ensure the business continuity plan(s) stays current and up to date.* |
| **Business continuity risk assessment** | The process to identify, analyse and evaluate business continuity risks and determine risk priorities in terms of predetermined acceptance levels of risk. |
| **Business continuity management programme (BCMP)** | A BCM programme is an on-going management and governance process supported by top management and appropriately resourced to ensure that the necessary steps are taken to identify the impact of potential losses, maintain viable recovery strategies and plans, and ensures continuity of products and services through training, exercising, maintenance and review. |
| **Business continuity plan (BCP)** | A BCP is a documented collection of procedures and information that is developed, compiled and maintained in readiness for use when an incident occurs to enable an organisation to continue to deliver its critical activities at an acceptable pre-defined level. |
| **Business impact analysis (BIA)** | A BIA identifies critical business functions, sets priorities and determines the impact on an organisation if those functions are |
Crisis Management is the overall coordination of an organisation’s response to a disaster, in an effective, timely manner, with the goal of avoiding or minimising damage to the organisation’s ability to operate, profitability and reputation.

This is a sudden, unplanned catastrophic event that compromises an organisation’s ability to provide critical functions, processes, or services for some unacceptable period of time.

DR is the process of returning a business function to a state of normal operations either at an interim minimal survival level and/or re-establishing full-scale operations.

An IT DRP is the management approved document that defines the resources, actions, tasks and data required to manage the technology component of business continuity planning.

This is an event which is not part of a standard operating business which may impact or interrupt services for an unacceptable period of time, and, in some cases, may lead to disaster.

Recovery-point objectives define acceptable losses of data. It is the point in time that marks the end of the period during which data can still be recovered using backups, journals and transaction logs.

Recovery-time objectives define how quickly systems, services
<table>
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<tr>
<th><strong>objective (RTO)</strong></th>
<th>and business processes must be in operation following some kind of incident, including the recovery of applications and data, as well as end-user access to those applications.</th>
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<tbody>
<tr>
<td><strong>Risk</strong></td>
<td>The chance or probability of some event, with a positive or negative consequence, that will have an impact on the achievement of the objectives of the University.</td>
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<tr>
<td><strong>Risk assessment</strong></td>
<td>A process to identify, analyse and evaluate risks and determine risk priorities in terms of predetermined acceptance levels of risk.</td>
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<td><strong>Risk analysis</strong></td>
<td>A systematic approach for estimating the frequency of the occurrence of an event and the magnitude of its impact or consequences</td>
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<td><strong>Risk controls</strong></td>
<td>Risk controls are methods of reducing the frequency and/or severity of losses including exposure avoidance, loss prevention, loss reduction, segregation of exposure units and non-insurance transfer of risk.</td>
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<tr>
<td><strong>Threat</strong></td>
<td>A threat is anything that is capable of acting against an asset in a manner that can result in harm. Examples are floods, fire and hackers.</td>
</tr>
<tr>
<td><strong>Vulnerability</strong></td>
<td>This is anything that increases the potential for exposure to loss.</td>
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3.5. Responsibilities and accountability

The main responsibilities relating to Business Continuity Management of the University are as follows:

i. The University Council is responsible to oversee the risk management process of the University through its Audit and Risk Management Committee. On advice from the Audit and Risk Management Committee the Council approves the University’s Business Continuity Management Policy.

ii. A Member of the Executive nominated by the Vice-Chancellor and Principal is responsible for ensuring that a Business Continuity Management Programme is implemented at a strategic level at the University.

iii. The BC Steering Committee is responsible for providing the direction and strategy for the Business Continuity Management Programme at the University including the overall sponsorship and approval of the Programme. The Steering Committee will also be fully responsible for all decision-making with regard to the acceptance of findings and selection of recovery strategies. The BC Steering Committee functions in terms of an approved BC Programme Charter.

iv. Faculty Deans, Directors of Support Services and Heads of Support Units are the Business Continuity Plan owners to ensure all critical functions under their responsibility have Business Continuity Plans established, maintained and reviewed annually.

v. Each critical function within the University will have an appointed business continuity coordinator, appointed by the head of that function, responsible for the implementation of continuity arrangements.

vi. All staff of the University and its controlled entities have the responsibility to recognise the importance of business continuity and to be familiar with the contents of this policy and their own responsibilities in terms thereof and to support all processes put in place to manage business interruptions.

vii. It is the responsibility of all staff in managerial roles to communicate information concerning the business continuity management policy and its implementation to their subordinates.
3.6. Business Continuity Plan

A business continuity plan is a set of documents, instructions, and procedure which enable a business such as the University to respond to accidents, disasters, emergencies, and/or threats without any stoppage or hindrance in its key operations.

The Business Continuity Plan should contain at least the following components:

i. A Business Continuity Risk Assessment
ii. A Business Impact Analysis
iii. Response Plans

- Emergency Response Plans
- Crisis Management Team
- Crisis Communication Plan
- Critical contacts
- Business Continuity Response Plans
- IT and other Disaster Recovery Plans

iv. Business Continuity awareness and training
v. Testing and Maintenance of the Plan
vi. Auditing of the Plan

3.6.1. Risk Assessment and Business Impact Analysis (BIA)

Vital components of Business Continuity Planning are assessing business continuity risks and conducting a Business Impact Analysis (BIA).

During the risk evaluation process the risks of business interruptions should be assessed. The following should be taken into account:

i. Identify BC vulnerabilities and threats
ii. Assess the likelihood and impact of the risks
iii. Identify mitigating measures  
iv. Identify critical resources  
v. Assess the role of third parties  

An institutional BIA should be conducted to identify and prioritize the critical business processes and costs of downtime. The institutional BIA shall cover the major business processes that cut across multiple business units (Faculties and Support Service Departments). It shall identify the business process availability Recovery Time Objectives (RTO’s) and business process Recovery Point Objectives (RPO’s).

During the BIA the following are identified:

vi. Critical business processes  
vii. Impact of outages on critical business processes  
viii. Dependencies and interdependencies among business processes and resources  
ix. Maximum outages and crucial recovery time periods  
x. Recovery priorities  
xi. Resources required for business recovery  

The BIA will lead to the development of Business Continuity Strategies including emergency response plans.

3.6.2. Emergency Responses

Emergency response procedures are designed to be implemented immediately following a critical incident to protect people and University assets. Emergency response procedures include components such as:

i. An Emergency Response Plan  
ii. A Crisis Management Team comprising a selected group of key senior managers who are authorised to provide corporate leadership and direct business continuity activities during the crisis or emergency.
iii. A Crisis Command Centre from where the crisis response and subsequent management of the crisis is to be coordinated.

iv. A Crisis Communication Plan that provide essential information to internal and external stakeholders, including media, staff, students and their parents.

v. Identified tasks, responsibilities and accountabilities.

vi. List of key contacts, suppliers and resources.

### 3.7. Responsibility for implementation

Once approved, it is the responsibility of each line manager to implement this policy within his/her area of responsibility.

### 3.8. Policy life cycle

This policy should be reviewed annually and updated when necessary.

### 3.9. Document metadata:

The metadata table / structure to be developed for new university

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**Approval**

*Senate*

Meeting reference number:  
Date:  

*Executive*

Meeting reference number:  
Date:  

**Announced**

Date of announcement:  

**Effective from**

Implementation date:  

**Review**

Next review date:  
Last review date:  
Last reviewer:  

**Successions**

*Superseded (this document has been replaced):*  
None – New Policy

*Supersede (this document replaces):*  
None – New Policy

**Revoke**

Cancellation date:  
Not Applicable
NEW UNIVERSITY POLICY

4. WEAPON-FREE CAMPUS POLICY

4.1. Introduction

New University wants to ensure safe, weapon-free campuses for all staff members, students and visitors. Violating this policy on weapon-free campuses will lead to disciplinary and/or legal action. This policy applies to all campuses and buildings under the control of New University.

4.2. Objective

The objective of the policy is to influence behaviour in promoting safety and security, and guides the behaviour of the broader campus community towards the promotion of campuses that are free of dangerous weapons. The policy applies to all staff members and students of New University as well as visitors to the University’s campuses as mentioned above.

4.3. Execution

The execution of the policy is described in the operational procedures drafted, communicated, applied and reviewed by the Division Risk and Protection Services.
4.4. Provisions

i. In principle, New University is strongly opposed to dangerous weapons being carried on campus, but acknowledges the right of an individual to own a weapon for self-defence, for sports purposes, as part of a collection or for the performance of official duties such as policing or for armed safety services.

ii. Dangerous weapons are broadly defined as all categories of firearms, as defined in the Firearms Control Act (Act 60 of 2000), as well as explosive devices and sharp objects such as knives, swords or sharpened tools with the intent to threaten or injure someone.

iii. New University is committed to compliance with the Firearms Control Act (Act 60 of 2000) and amendments to that Act.

iv. Dangerous weapons on campus are undesirable and carrying, displaying, concealing, storing or using such weapons on campus, on or in any University property and in vehicles is strongly condemned by New University.

v. Where there is an exceptional reason or motivation for a member of the campus community to carry, display, conceal, store or use a dangerous weapon on campus, prior written permission must be obtained from the Head: R&BD, or a person mandated by him or her, after submission of full motivations in writing.

vi. The Head: R&BD will attempt to accommodate exceptional requests on merit, but should this not be possible, the Head: R&BD, or a person mandated by him or her, has the authority to deny the weapon carrier access to the campuses.

vii. Any person who refuses to apply for permission or who does not follow an instruction from the Head: R&BD, or a person mandated by him or her, to remove the weapon from the campus may be prosecuted. Prosecution may include a charge of trespassing and/or a charge in terms of the Firearms Control Act (Act 60 of 2000) against the person concerned.

viii. Serving members of the SA Police Service and staff members of armed reaction and cash-in-transit companies are excluded from these restrictions if they access the campuses in the performance of their official duties.

ix. Pepper and aerosol sprays used for personal protection and self-defence are allowed on campuses. This includes devices that are generally accepted and used as self-defence devices and that do not require a licence. Electronic devices that are used to intoxicate or incapacitate and those that need to be licensed are regarded as weapons, and are not allowed on campuses.
Abuse or unauthorised use of items that are allowed will also be dealt with in terms of the University’s disciplinary procedures and/or national legislation.

4.5. Contact person

Head: Risk and Protection Services
5. POLICY ON THE MANAGEMENT OF HAZARDOUS WASTE PRODUCTS

POLICY REFERENCE: FM 04

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5.1. Introduction

In the course of research, teaching and operational processes, faculties and other environments universities continuously generate household, electronic, chemical and biological waste. These waste products pose a risk to the environment, the workplace as well as people. This policy provides guidelines for operational procedures for managing and removing such hazardous waste products. It forms part of environmental management towards environmental law compliance. Non-compliance could compromise the safety and health of staff, students and visitors as well as reputation of a university.

5.2. Aim

This policy aims to inform the actions and conduct of both staff and students involved in the generation, handling, storage and removal of hazardous waste products, in compliance with best practice, safety requirements and statutory prescripts. The policy further aims to manage risks, such as those pertaining to legislation, public image and finance, and to mitigate any potential negative outcomes.
5.3. Stipulations

i. Universities are responsible for effective waste management procedures. This includes the removal of solid, biological and chemical waste, blood samples, and human and animal tissue.

ii. Compliance with the following statutory prescripts are particularly important:

- The Occupational Health and Safety Act (Act 85 of 1993)
- The National Environmental Management Act (Act 107 of 1998)
- The Asbestos Regulations (Government Notice R.155 of 2001)

iii. This policy should also be aligned with other relevant policies, e.g. the university’s approach to Ecological Sustainable Development [ESD].

iv. All environments that generate waste products, whether hazardous or non-hazardous, should have the practices prescribed in standard operational procedures [S.O.P’s] for waste management.

v. The procurement of chemicals and materials that could generate hazardous waste products must be kept to a minimum in order to prevent any excess or wastage.

vi. Environments that utilise specialised raw materials such as uranium, gold and other precious metals for research purposes are responsible to obtain permits for the procurement, storage, utilisation and disposal of these materials, as prescribed in applicable legislation.

vii. Chemicals and materials that could generate hazardous waste products must be reused as far as possible.

viii. Heads of responsibility centres and deans have the overarching responsibility for waste management and for appointing a contact person who is to serve as a link between the relevant environment and Occupational Health and Safety [OHS]. Each department also has to appoint a representative as departmental coordinator of waste management processes.

ix. Heads of responsibility centres and deans are responsible to ensure that equipment containing dangerous substances, such as laboratory and computer equipment, batteries and globes, are recycled.

x. The policy and appropriate operational procedures should be revised and updated annually. Occupational Health and Safety [OHS] is responsible for compiling, updating and distributing the operational procedures.
xi. The operational procedures should only be available on the intranet to ensure that staff and students don’t work to outdated procedures.
6. OCCUPATIONAL HEALTH AND SAFETY POLICY

6.1. Introduction

It is the New University’s official policy to protect its employees, students and visitors at all times through the implementation of a Health and Safety Program of excellence.

The New University acknowledges that specific elements are of importance in the implementation of this policy:

6.2. Health and Safety aspects

The New University is responsible for the design and implementation of practical and workable health and safety standards.

6.3. Safety Instructions

Safety training must be part of the normal in-task training for employees.
6.4. Responsibility for safety

Every employee and student shall be responsible to implement the health and safety policy in such manner as to safeguard all employees, students, visitors and property.

6.5. Employee Awareness

The New University will promote employees safety through awareness programs.

6.6. Unhealthy and Unsafe Actions and Work Procedures

The New University, its employees and students are committed to eliminate all unhealthy and unsafe actions and work procedures.

6.7. Legal and Statutory responsibilities

The New University is responsible to implement all legal and statuary requirements that are required by the Occupational Health and Safety act, 83 of 1993.

The New University will establish a healthy and safe working environment through devoted compliance of the above principles by the management, employees and students.
NEW UNIVERSITY POLICY

7. SUPERVISION OF MACHINERY - OHS ACT

This is a direct copy from the Machinery and Occupational Safety Act, 1983 (Act 6 of 1983).

Section 2. Supervision of machinery

7.1. Supervision of machinery

1. In order to ensure that the provisions of the Act and these Regulations in relation to machinery are complied with, an employer or user of machinery shall, subject to this regulation, in writing designate a person in a full-time capacity in respect of every premise on or in which machinery is being used.

2. The chief inspector may, subject to such conditions as he may impose, permit an employer or user of machinery to designate more than one person in terms of sub-regulation (1).

3. Subject to the provisions of this regulation, an employee designated in terms of sub-regulation (1) shall be a competent person.

4.

a. If-

i. the sum of the power generated by machinery on or in the premises in question and the power derived from other sources, including the generation of steam for process purposes, exceeds 1200 kW, but is less than 3 000 kW, the person designated in terms of sub--regulation (1) shall be a person as referred to in paragraph (b), (c) or (d) of the definition of 'competent person';
ii. any such sum is 3 000 kW or more, the person so designated shall be a person as referred to in paragraph (c), or (d) of the said definition.

b. For the purpose of paragraph (a), the power derived from the generation of steam by any particular boiler shall be calculated in kW by dividing the manufacturer's rated evaporative capacity (in kg of water per hour at 100°C) by 21 or, in the absence of any such rated evaporative capacity, by multiplying the heating surface of that boiler (in m²) by 0.8.

5. If, in the case where machinery on or in the premises in question is used solely for the distribution of electricity -
   a. the maximum demand over any continuous period of 30 minutes is 3 000 kVA or less, the person designated in terms of sub-regulation (1) shall be a person as referred to in paragraph (a) of the definition of 'competent person' and registered as an installation electrician in terms of regulation 11(1) of the Electrical Installation Regulations, promulgated under Government Notice R. 2270 of 11 October 1985;
   b. any such demand exceeds 3 000 kVA, but is less than 10 000 kVA, the employee so designated shall be a person as referred to in paragraph (b), (c) or (d) of the said definition;
   c. any such demand is 10 000 kVA or more, the employee so designated shall be a person as referred to in paragraph (c) or (d) of the said definition.

6. Notwithstanding the provisions of sub-regulations (3), (4) and (5), the chief inspector may, subject to such conditions as he may impose, permit an employer or user of machinery to designate a person who holds any qualification other than that of a competent person in terms of sub-regulation (1).

7. 
   a. An employer or user of machinery may designate one or more competent persons to assist a person designated in terms of sub-regulation (1).
   b. The chief inspector may by written notice direct any employer or user of machinery to designate within the period specified in the notice the number of persons so specified holding the qualifications so specified to assist a person designated in terms of sub-regulation (1).

8. Except with the approval of an inspector, no person designated in terms of sub-regulations (1) or (7) shall supervise machinery on or in any premises other than the premises in respect of which he had been designated.
9. When an employer or user of machinery designates a person referred to in sub-regulations (4) (a), (5) (b) or (c), he shall forthwith forward to the divisional inspector a copy of the letter of appointment of that person.

10. 
   a. Notwithstanding the provisions of sub-regulation (1), no employer or user of machinery needs to designate a person in terms of that sub-regulation in respect of any elevator, goods elevator, escalator or electrical installation in any shop or office or on, or in, any domestic premises, any domestic appliance used as such, any machinery used in connection with building work, any vehicle or earth-moving plant or any refrigeration, cooling, air-conditioning or freezing plant inspected and maintained by a duly qualified person in pursuance of an agreement entered into by any such employer or user of machinery.
   
   b. The chief inspector may by written notice direct any employer or user of machinery referred to in paragraph (a) to designate within the period specified in the notice a person holding the qualifications so specified in terms of sub-regulation (1).

11. Any employer or user of machinery who applies for exemption from the provisions of this regulation under section 32 of the Act shall furnish the Minister with the following particulars, namely -
   
   a. the grounds for the application;
   
   b. the number of employees employed on or in the premises in question;
   
   c. the nature of the work performed on or in the premises in question;
   
   d. the number and type of incidents reported in terms of section 17(1) of the Act during the preceding three years;
   
   e. the safety management system in force in respect of the premises in question; and
   
   f. such other particulars as the chief inspector may require.

12. Notwithstanding the provisions of this regulation, machinery required to be supervised by a person referred to in paragraph (b), (c) or (d) of the definition of 'competent person' may be used in the absence of any such person for a period not exceeding one month in any continuous period of six months, if it is due to circumstances beyond the control of the employer or user of machinery concerned or in the opinion of an inspector, impracticable to comply with the provisions of this regulation: Provided that a person referred to in paragraph (a) of the said definition shall in writing be designated to supervise the machinery in question during such absence.

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NEW UNIVERSITY POLICY

8. SYSTEM GUIDELINES FOR OHSA

POLICY REFERENCE: FM07

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8.1. Introduction

The New University has adopted a “SHE” management system based on the International Register of Certificated Auditors (IRCA) and National Occupational Safety Association (NOSA) systems to manage its occupational risks.

These risks are ever increasing with the upgrading and expansion of the University. At present the University has a component of ± x 000 contact students with a staff compliment of yyy plus term and other contractors of more than xxx people on the campuses.

The diversity of activities, ranging from medical to engineering to construction and research, creates by nature, inherent risks and hazards that must be managed within the requirements of the applicable legislation.

The following are the elements to ensure an integrated system:

8.2. Element 1 (OHSAS 18001 : 4.2, ISO 1400 : 1 4.2) leadership and planning

i. Top management to issue an authorised SHEI policy.

ii. The policy should clearly communicate management’s commitment to the SHEI program.
8.3. Element 2 (OHSAS 18001 : 4.4.2, ISO 14001 : 4.4.2) competency, training and communications

i. Employee orientation/awareness.
ii. Competence and training needs identified.
iii. Training program content and delivery.

8.4. Element 3 (OHSAS: 4.3.1, 4.3.2, ISO 14001 : 4.3.1) management of operational risk and change

i. Operational analysis.
ii. Significant task identification and analysis.
iii. Management of change.
iv. Task and operation controls.

8.5. Element 4 operational management and design (office and workplace utilisation, experiments and research)

i. Operational plans to ensure safe utilisation of offices and work areas.
ii. Input and output requirements.
iii. Verification and validation of processes, experiments and research.
iv. Identification, assessment and mitigation of the risk.
v. Corrective and preventive actions.
vi. Control of changes to processes.
vii. Managing relevant staff and students.
viii. Training of people.
ix. Infrastructure and service maintenance.
x. Application of occupational safety, health/protective equipment.
xii. Contract requirements.
xii. Benchmarking.
xiii. Processes due to statutory or regulatory requirements.

xiv. Relevant documentation.

8.6. Element 5 purchasing systems

8.6.1. Equipment, materials and suppliers

i. Material safety data sheets provided to the University when chemicals are purchased.

8.6.2. Contractors (OHSAS 18001 : 4.4.6, 4.3.1, ISO 14001 : 4.4.6, 4.3.1)

Process in place to identify contract work that might present a significant risk to the organisation and requiring a formal contractor’s control system. (This typically includes contractors performing long term maintenance, construction and these with specified equipment and skills that the organisation does not have).

8.6.3. Contractor control (OHSAS 18001 : 4.4.6, 4.3.1, ISO 14001 : 4.4.6, 4.3.1)

Comply with the construction regulations where applicable.

8.7. Element 6 (OHSAS 18001 : 4.3.1, 4.3.2, 4.4.6 - ISO 14001 : 4.3) work rules and operating permits

i. Assessments done to identify requirements for specific permits and special work practices (WP’s) for work associated with:

- Combined spaces.
- Energy sources.
- Hazardous materials.
- Flammable/Toxic atmospheres.
- Hot work.
• Excavation.
• Over water.
• At height.
• Other.

ii. Staff trained on the use of permits/WP’s was required, e.g. hazardous waste, handling, storage, transport, maintaining monitoring equipment, monitoring and sampling techniques.

iii. Permits and work practices reviewed and updated under the following situations:

• Once a year.
• Once every two years.
• After a major event or loss which relate to these systems.

8.7.1. Externally required permits (OHSAS 18001 : 4.3.2. ISO 14001 : 4.3.2)

SHE permits required by regulatory authorities for the work processes, equipment use and construction taking place on the university’s property.

• Permit related training requirements are identified and met.

8.7.2. Organisation SHE rule program (OHSAS 18001 : 4.3.1, ISO 14001 : 4.3.1)

Process for reviewing and revising SHE rules whenever a change to work processes occurs and on an annual basis.
8.8. Element 7 inspections

8.8.1. Planned general inspections (OHSAS 18001 : 4.4.6, 4.5.1, ISO 14001 : 4.4.6 - 4.5.1)

i. Process that requires is specific planned general inspections to be conducted at the University.

ii. These inspections culminate out of base line hazard identifications and risk analysis (HIRA’s).

iii. Prioritisation process for classifying a hazard’s loss potential.

(OHSAS 18001 : 4.3.1, ISO 14001 : 4.3.1)

8.8.2. Specialized SHE equipment inspections

Register/Index identifying all equipment requiring calibration.

(OHSAS 18001 : 4.5.3, ISO 14001 : 4.5.3)

8.8.3. Statutory compliance

i. Process to identify equipment and structures subject to statutory inspections.

(OHSAS 18001 : 4.5.1 - 4.3.2, ISO 14001 : 4.3.2)

ii. Examples

- Boilers
- Pressure vessels
- Cranes
- Slings
- Hoists
- Lifting equipment
- Gas equipment
- Compressors
• Radiation sources, etc

iii. Statutory inspections (OHSAS 18001 : 4.5.1, 4.3.2, ISO 14001 : 4.3.2)

• Listed.
• Responsible persons are established.
• Task identification and procedures developed.
• Frequencies established.
• Records maintained.

iv. Establish a process to notify respective authorities of potential or actual violations (OHSAS 18001 : 4.3.2, ISO 14001 : 4.3.2)

v. Process to ensure corrective and preventative action taken when non-compliance issues are identified (OHSAS 18001 : 4.3.2, ISO 14001 : 4.3.2)

8.9 Element 8 occupational health systems

8.9.1 Occupational health administration

A person appointed to manage (OHSAS 18001 : 4.4.1, 4.4.3)

• The organisation occupational medicine program.
• The organisation’s hygiene program

8.9.2 Hazard recognition and evaluation (OHSAS 18001 : 4.3.1, 4.3.2, ISO 14001 : 4.3.1, 4.3.2)

i. Risk assessments done to identify and evaluate the University’s health hazards regarding the following:

• Physical stressors
- Noise.
- Radiation.
- Lighting.
- Extreme temperatures.
- Vibration.

- Biological Hazards

- Chemical hazards

- Ergonomic hazards

- Quantitative exposure monitoring to be completed where the qualitative evaluation identifies potential exposures to chemical, physical, biological and ergonomic hazards that may pose a significant health risk.

ii. Supplemental routine methods can be used to identify and evaluate health hazards:

- Reviewing process and design change requests.
- Reviewing new purchases.
- Management of change.
- Reviewing risk assessments.
- Reviewing regulatory requirements.
- Reviewing inspection/audit reports.
- Reviewing incident investigations.
- Reviewing significant task analyses.

8.9.3. Hazard controls

iii. Practical process for identifying and reviewing the actions needed to correct risks detected by surveys and other methods (OHSAS 18001 : 4.5.2)

Control must exist for Chemical Hazards (OHSAS 18001 : 4.3.4)
iv. Control must exist for Physical hazards (OHSAS 18001 : 4.3.4)

- Noise.
- Radiation.
- Lighting.
- Temperature extremes.
- Vibration.

v. Control must exist for Biological Hazards (OHSAS 18001 : 4.3.4)

vi. Control must exist for Ergonomic Hazards (OHSAS 18001 : 4.3.4)

vii. Training and awareness programmes must be instituted to train employees on practical health hazards and control methods for issues such as chemical (vapour, dust and mist), ergonomics, blood borne pathogens and hearing hazards.

viii. Accurate list of all chemical substances located at the University must be available (OHSAS (OHSAS 18001 : 4.4.7, ISO 14001 : 4.4.7)).

ix. Material safety data sheets must be available for the chemicals located at the University (OHSAS 18001 : 4.4.7, ISO 14001 : 4.4.7).

x. Processes must be in place to ensure the following:

- Chemicals are properly stored while being warehoused.
- Chemicals are dispensed in paper containers.
- Chemicals are stored properly in operating areas.
• Accurate records exist of the quantity of chemicals at the organisation at any given time
  (OHSAS 18001 : 4.4.6).

xi. Chemicals must be properly labelled with the following minimum information on each label:
  • Name of chemical
  • The nature of hazard it presents as well as any incompatibilities.
  • The manufacturer or supplier’s name.
  • Expiry date.
  (OHSAS 18001 : 4.4.6 - 4.3.2, ISO 14001 : 4.4.6 - 4.3.2)

xii. A process must be in place to ensure that hazardous waste is:
  • properly identify
  • properly labelled
  • properly stored
  • properly disposed.
  (OHSAS 18001 : 4.4.6 - 4.3.2, ISO 14001 : 4.4.6 - 4.3.2).

xiii. Accurate records must be kept of the quantities of hazardous waste regarding the following:
  • Generated.
  • Stored.
  • Treated.
  • Disposed.
  (OHSAS 18001 : 4.4.6, 4.5.3, 4.3.2, ISO 14001 : 4.4.6, 4.5.3, 4.3.2).

8.9.4. Occupational hygiene monitoring

i. A formal hazard exposure program must exist for areas in which health hazards exist:
  • Personal exposure monitoring.
• Noise monitoring.
• Air quality monitoring.
• Water quality monitoring.
• Radiation monitoring.
• Lighting monitoring.

(OHSAS 18001 : 4.3.2, 4.5.1)

ii. A biological monitoring program must be established in risk areas to ensure that health hazard controls are in place and working.

(OHSAS 18001 : 4.5.1 - 4.3.2).

iii. The percentage of monitoring and sampling jobs for which biological monitoring exist must be available.

(OHSAS 18001 : 4.4.6).

8.9.5. Occupational medicine

There must be a procedure in place for obtaining medical attention regarding the following aspects:

• How to obtain help during routine working hours.
• How to obtain help during non-routine working hours.
• How to obtain help if medical staff is unavailable.

8.9.6. Records

A system must be in place which ensures that medical records are under secure control of medical personnel or responsible authority.
8.10. Element 9 (OHSAS 18001: 4.3.1, 4.4.6, 4.4.7) personal protective equipment

i. Assessment must be done to identify personal protective requirements for the following:

- Head protection.
- Eye/Face protection.
- Hearing protection.
- Hand protection.
- Foot protection.
- Respiratory protection.
- Heat/Cold protection.
- Other.

ii. The assessments of PPE needs should determine whether problems are presented by sources of:

- Motion.
- High temperature.
- Chemical exposures.
- Rust and particulates.
- Light radiation.
- Falling/Dropping objects.
- Sharp objects with the potential to pierce or penetrate.
- Electrical hazards.
- Mechanical hazards.
- Radiation from Alpha, Beta, Gamma.
- Lazers.

iii. PPE made available to all employees
iv. A process must be in place to provide applicable PPE to employees dealing with their specific requirements.

v. The process must include training of the employees required to wear PPE so that they fully understand the need and type of protection affect by the PPE. (OHSAS 18001 : 4.3.1, 4.4.2).

8.11. Element 10 (OHSAS 18001 : 4.5.2, ISO 14001 : 4.5.2) incident/non-conformity reporting, investigation and analysis

i. A process for the reporting of incidents non-conformity/reporting and investigation must be in place.

ii. A competent person must be appointed in writing as the designated person responsible for the investigation of incidents and accidents.

iii. The process must define when and how incident/non-conformity information is to be communicated to:

- Non university outside parties.
- Members of the executive.
- Health and safety committees.
- The general employee camps.

   (OHSAS 18001 : 4.3.2, 4.4.3).

iv. All proposed corrective and preventive actions should be reviewed through the risk assessment process prior to implementation.

v. Records of investigation reports must be maintained in accordance with regulatory requirements. (OHSAS 18001 : 4.5.3, 4.3.2 - ISO 14001 : 4.5.3).
8.12. **Element 11 emergency preparedness**

i. An assessment must be done to determine the potential emergency situations which could occur at the University. Areas of consideration include:

- Major loss due to undesired events.
- Major property damage.
- Major environmental damage.
- Floods, storms, etc.
- Bomb threats, sabotage and strikes.
- Potential off-site emergencies.

ii. There must be an emergency response plan(s) for probable emergencies which address:

- How to report emergencies.
- Notification of applicable personnel.
- Notification of outside parties (fire brigade, police, etc).
- The location and staffing of a “command” centre.
- Individual roles and responsibilities.
- Egress procedure and assembly points.
- All clear and re-entry procedures.
- Isolation and shut-down of vital processes and work areas.
- Chemical spills clean-up and mitigation procedures.
- Search and rescue procedures.
- Control of visitors and contractors.
- Emergency telephone numbers.
- Off-site emergencies.
- Communications with general public and media.
- Radiation sources.

iii. The emergency plan must be communicated to all employees, contractors and other appropriate personnel (*OHSAS 18001: 4.4.7(1), 4.4.2* - *ISO 14001: 4.4.7, 4.4.2*).
iv. Regular emergency drills scheduled to assess the University’s readiness to respond to emergency situations (OHSAS 18001 : 4.4.7 - ISO 14001 - 4.4.7).

v. Emergency response teams must be available to meet immediate emergency medical needs:

- Enough first aiders to quickly and effectively respond to injuries and illnesses during all working hours and in a manner that would not shut down the University’s operations. (OHSAS 18001 : 4.4.7, 4.3.2).

vi. An evaluation must be conducted to determine the need for the following emergency preparedness systems:

- Fire detection systems.
- Dire suppression/extinguishing systems.
- Emergency power and lighting systems.
- Hazardous chemical sensing systems.
- Emergency rescue equipment.
- Emergency medical facilities and equipment.
- Chemical spill clean-up materials and equipment.
- Emergency communications system.
- First-aid treatment units.
- Plant security equipment.

8.13. Element 12 measurement, monitoring and audits

i. A process must be defined to ensure the effective and efficient monitoring and measurement of the health, safety and environment system. (OHSAS 18001 : 4.5.1 - ISO 14001 : 4.5.1).

ii. Monitoring requirements for all safety health and environment processes must be identified to ensure compliance with regulatory requirements as well as good international practices. These include:
- Stack emission monitoring.
- Ground water pollution monitoring.
- Noise level monitoring.
- Objective and target monitoring.
- Biological tests, eg BOD, caliform and others.

iii. System audits must be documented to be used as a management tool to assess the strengths and weaknesses of the health and safety management system. *(OHSAS 18001 : 4.5.4 - ISO 14001 : 4.5.4).*

iv. The internal audit procedure should require that:

- Audits conform to planned arrangements.
- Audits performed in all the areas and processes where these are identified as being necessary.
- Audits should meet the needs of international standards.
- Audits must be effectively implemented and maintained per area.
- Audits should be based on the importance of activities.
- These should be recognition of excellent performance build into the procedure.
- All records must be kept.
- The audit scope and criteria must be defined.
- The audit methodology must be defined.
- All records must be kept.
- The audit scope and criteria must be defined.
- The audit methodology must be defined.

**8.14. Element 13 corrective and preventive action systems**

There must be a documented procedure for controlling nonconformities:

- Corrective actions.
- Preventative actions.
There must be an efficient process to provide for review and disposition of identified nonconformities. Any trends or patterns of occurrence require attention and a review of nonconformities should be conducted.

The total effects of the nonconformity must be evaluated and resources must be available to disposition the nonconformity and to define appropriate corrective action.
CHARTER FOR THE EVENT SAFETY AND SECURITY PLANNING COMMITTEE

9.1. Name

The name of the Committee is the Event Safety and Security Planning Committee, hereafter referred to as the ESSPC. If a governance structure/committee that plans events has already been established within the University, the name of the committee can change accordingly (e.g. Graduation Event Safety and Security Planning Committee).

9.2. Status

The ESSPC (with reference to each approved event at the University) reports to the Risk (Management) Committee.
9.3. Mission and Goals

To ensure compliance with the Safety at Sports and Recreational Events Act, No. 2 of 2010 and the university’s Event Safety and Security Standard Operating Procedure. [The local circumstances will determine these procedures. A 45 page example from UJ is available from P Nel]

9.4. Composition

The composition of the ESSPC is as follows:

i. The Event Organiser acts as the Chairperson of the ESSPC;
ii. The University Event Risk Manager (if applicable);
iii. Members of the relevant portfolio or existing governance structure/committee, as determined by the Event Organiser;
iv. Head: Protection Services (or designee);
v. Event Safety Officer;
vi. Event Medical Officer;
vii. Event Technical Officer (if applicable);
viii. Event Auxiliary Services Officer (if applicable);
ix. Campus Director or Campus Facilities Manager (if applicable);
x. Manager: Marketing and Communication (if applicable);
xi. Relevant internal and/or external stakeholders deemed necessary by the Event Organiser and in accordance with the nature and scope of the event;

Note: if the event has been classified as medium or high risk by the National Commissioner, the National Commissioner acts as the chairperson of the ESSPC.

9.5. Functions

The ESSPC is responsible for the following (defined in the Event Safety and Security Standard Operating Procedure):
i. Ensure compliance with the relevant University governance and Risk Management principles and policy, national and local legislation related to the management of an event;

ii. Execute the University Event Safety and Security Standard Operating Procedure (SOP) and ensure compliance with the SOP.

9.6. Scope of authority

i. To ensure compliance with the operational requirements related to the planning of an event in accordance with the Event Safety and Security Standard Operating Procedure within the strategy (if applicable);

ii. Financial management in accordance with the University’s policies, procedures and delegation of authority.

9.7. Meeting procedure

i. The Event Organiser acts as the Chairperson of the ESSPC;

ii. The ESSPC is constituted in accordance with this charter and meet at least four times a year;

iii. Meetings are conducted in accordance with the University’s Guide for Effective Meetings;

iv. A quorum is fifty percent plus one of the members concerned;

v. Minutes of the ESSPC meetings are circulated to all members of the ESSPC and approved at the next meeting;

vi. A report of each meeting is submitted to the Member of Executive Committee responsible for the Risk Management Committee [MEC RMC];

vii. The final Compliance Report is submitted to the MEC RMC for final consideration before commencement of the event;

viii. The ESSPC conducts and audit/review of the event and submits this report to the MEC RMC.

9.8. Lifespan and dissolution

The ESSPC is constituted for each event in accordance with the Event Safety and Security Standard Operating Procedure and dissolved once the final Event Audit/Review Report has been submitted to the MEC RMC.
10. SAFETY AT CAMPUS EVENTS POLICY

POLICY REFERENCE: FM 09

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IMPLEMENTATION OF THE SAFETY AT SPORTS AND RECREATIONAL EVENTS ACT (SASREA): HIGH LEVEL BRIEFING

10.1. Purpose

The purpose of this brief is to provide guidelines to the Executive on the implications of the Safety at Sports and Recreational Events Act, No. 2 of 2010 as applied by the national Department of Sport and Recreation and the South African Police Service.

10.2. Background

Events have become part of everyday life and the same will become true at the New University. The vast majority of events are peaceful and safe, but some become newsworthy when things go wrong. Apart from people being killed or injured and property being damaged, reputations may be severely affected when things go awry.
Two incidents that occurred during events may be regarded as the turning point that triggered Government’s efforts to ensure the safety and physical well-being of persons and property at events.

The Ellis Park Stadium Disaster occurred on 11 April 2001 and 43 people lost their lives. During the National Women’s Day celebrations of 09 August 2003 in Pretoria, a temporary stage collapsed during a wind storm and one person was paralyzed.

In an effort to address event disasters, Government promulgated the Safety at Sports and Recreational Events Act, 2010.

A Joint SAPS and Department of Sport and Recreation legislative task team was tasked to draft the Regulations to the Act. Two sets of Regulations need to be complied with, namely:-

i. One set flowing from the regulatory responsibilities of the SAPS
ii. One set flowing from the regulatory responsibilities of the Department of Sport and Recreation

SAPS Headquarters have commenced with the necessary internal processes to implement provisions of the Act.

Some of the key concepts contained in this Act:-

iii. Joint and several responsibility of Controlling Bodies, Event Organisers and Stadium/Venue Owners
iv. Annual risk categorization and designation of events
v. Application of varying levels of safety and security measures at events dependent on levels of identified risk
vi. Safety certification and grading of stadiums/venues
vii. Compulsory public liability insurance for events
viii. Phasing-in periods for compliance with minimum infrastructural requirements in terms of existing stadiums/venues
ix. Identification of safety and security role-players at events
x. Establishment of Event Safety and Security Planning Committees
xi. The assignment of duties and responsibilities to event safety and security role-players
xii. Prohibition of events due to safety and/or security risks
xiii. Exclusion of spectators from events
xiv. Creation of offences and penalties

This Act is now in place and compliance, on pain of criminal penalty, is required by all persons who fall under the Act’s regulatory ambit.

10.3. Application of the Act

To understand the application of this Act, it is important to understand the following terms used throughout the Act:-

“Event” means sporting, entertainment, recreational, religious, cultural, exhibition, organizational or similar activities hosted at a stadium, venue or along a route or within their respective precincts

“Event organizer” means any person who plans, is in charge of, manages, supervises or holds an event or sponsorship rights to an event or in any manner controls or has a material interest in the hosting of an event as contemplated in this Act

“Existing stadium or venue safety certificate” means a certificate issued by a local authority in terms of section 7(1) (a) regarding the infrastructural safety of an existing stadium or venue

“Grading certificate” means a certificate issued by a local authority in terms of section 7(2) determining the safe spectator capacity of a stadium or venue and the level of risk of the event that may be hosted at a stadium or venue

“Stadium” means an enclosed or semi-enclosed structure which consist of seating for spectators and a field of play or a permanent or temporary podium or other area within the structure reserved for the purposes of hosting events, which has a safe seated or standing spectator capacity of at least 2000 persons certified by a local authority

“Stadium owner” means a person who owns, manages or is entitled to exercise the rights of an owner or occupier of a stadium used for events

“Venue” means any area or place, other than a stadium where an event is hosted, that has a seating or standing spectator capacity of at least 2 000 persons as certified by a local authority, within
which other permanent or temporary structures may be erected and which may be demarcated by an enclosed or semi-enclosed permanent or temporary structure

“Venue owner” means a person who owns, manages or is entitled to exercise the rights of an owner or occupier of a venue used for events

This Act is applicable to all events that are hosted in venues/stadiums that conform to the definitions above. The focus is not on the amount of people that will be attending the event; it is on the potential capacity of the venue/stadium.

New University needs to compile a list of venues that fall within the scope of the act. Typical areas / venues could include:

i. Athletics Stadium
ii. Rugby Stadium
iii. Indoor sports Hall
iv. Staff entertainment areas
v. Hockey Stadium
vi. Rag Farm
vii. Community Arena used by New University on a repetitive basis
viii. Concert theatre
ix. Amphi Theatre

New University, as the venue/stadium owner, must apply to the Municipality as soon as possible, for “existing stadium or venue safety certificates”, as well as “grading certificates” for abovementioned venues/stadiums. As there are specific duties and responsibilities placed on the venue/stadium owner, it is advised that the Executive appoint, as soon as possible, employees to act as the venue/stadium owners for New University. The most logical appointments will be the different Support Service Directors: Facilities Management, Security Services, Sport, Residence Affairs and Accommodation and the Director of Students respectively.

The Act is clear on the responsibilities of controlling bodies, event organizers and stadium/venue owners to ensure the physical safety and security of persons and their property at events. The Act also prescribes new requirements for event organizers:-

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An event organizer, where such person is a natural person must:-[Section 4(8)]

x. In respect of a medium-risk or high-risk event
   • Be at least 21 years of age and
   • Have the necessary capacity, resources and event-related experience to organise the event and

xi. In respect of a low-risk event be at least 21 years of age

The effect of this stipulation is that students under the age of 21 may not organise events in any of the venues/stadiums listed above on the New University campuses. It may be necessary for the university to expand its Events Section to assist when students cannot organise events legally.

It would appear from available information, that the majority of events at New University will be classified as low risk events. The requirements to host medium- or high risk events, as contained in the current draft Regulations, make it unlikely that New University will be allowed to host high risk events. The inspections by the Municipality for purposes of issuing safety and grading certificates will determine the level of events that may be hosted on the New University premises.

For all events hosted at New University venues/stadia, the university must submit an annual schedule of events to the National Commissioner (SAPS) at least 6 months before the start of the next calendar year. [Section 6]. This submission must be done in a format prescribed by the Act. Although late applications may be lodged, explanations for such late submissions will be necessary.

The following university events must be included in this schedule of events:-

xii. Registering late applications
xiii. Welcoming Day
xiv. RAG
xv. Intervarsity
xvi. Varsity Cup
xvii. Open Day
xviii. Student Bashes
xix. Spring Day
xx. Other (To be determined)

The National Commissioner must categorize each event that is included in the schedule of events as being either low-risk, medium risk or high-risk. The university will be informed by the National Commissioner about the risk categorization. New University must then manage the events accordingly.

10.4. Events on New University premises organized by external parties

The Act places joint and several responsibilities for safety and security at events on the controlling body, event organizer and the stadium/venue owner. The university must therefore ensure that any external party organizing an event on the New University premises, comply in full with all the legal requirements. If non-complying events are allowed and a serious incident occurs, the university shall be held responsible together with the external event organizer. Final approval must be the responsibility of the appointed stadium/venue owner.

10.5. Local Authority Event Requirements

Although this Act prevails in case of any conflict with municipal by-laws, existing Municipal Operational Centres will certainly still play an important role when events are hosted within the city’s boundaries. Workshops must be arranged to determine the procedures that will be followed in approving New University events.

10.6. Financial Implications

This Act makes provision for fees payable to meet administrative costs relating to compliance with its stipulations. Municipalities typically charge fees for services such as safety inspections, traffic control assistance etc. Event organizers must make provision for such fees in their budgets.
10.7. Recommendations

It is recommended that:-

i. The Executive appoint responsible Directors to act as New University’s venue/stadium owners assuming all duties and responsibilities as per the Act.

ii. The venue/stadium owners immediately start with the process of applying for stadium/venue safety– and grading certificates for all venues listed under paragraph 3.

iii. An employee is appointed as the responsible person to compile the university’s annual schedule of events and to submit this schedule to the National Commissioner as soon as possible.

iv. New University prohibits events organized by external parties on its premises if the event is not organized, graded and approved as per the requirements of the Act.

v. The Executive takes cognizance of the fact that more regulations may be promulgated in the future that will certainly impact on New University and that it will be very difficult to budget for all expenditure that may be necessary to comply with the act.

vi. The Executive appoint an Event Safety and Security Planning Committee as required by the Act. A proposed charter for the ESSPC is attached.
11. ENVIRONMENTAL POLICY

11.1. Purpose

The purpose of the environmental policy is to provide a systematic framework for the environmental management commitments, targets and objectives of the University, and to support the University in enhancing its status as an internationally recognised academic institution, by demonstrating that the University —

i. promotes environmental sustainability,
ii. encourages meaningful research into environmental matters,
iii. advances the holistic development of its employees and students by instilling environmentally responsible values in them,
iv. inspires and motivates its staff and students to develop creative and critical thinking about the environment, and to seek innovative solutions for environmental problems.

The Environmental Management Section is responsible for the University’s Environmental Management System (EMS), and is committed to continual improvement of its operations by developing and implementing trans-disciplinary, systematic and coherent policies and procedures for the management of all environmental matters affecting the University.
Details of the operational and information-handling principles governing the work of the Environmental Management Section will be set out in internal governing documents.

11.2. **Organisational scope**

The environmental policy is a University-wide policy which applies to all personnel, students and contractors, and constitutes the University’s Environmental Management System (EMS). The New University, as a premier research and tertiary education institution, has a complex structure, and this policy will regulate and monitor all interactions of the University’s many components with the environment, and anything that impacts on the environment or has the potential to affect the environment in any way. The EMS thus encompasses the academic, administrative and operational spheres, as well as any engagement with other stakeholders that impact on the University’s environment.

11.3. **Policy statement**

New University is committed to adopting environmentally responsible practices by:

i. ensuring compliance with legal and other requirements,

ii. improving its policies and practices continually by adapting to the dynamic environment in which the University operates,

iii. Preventing pollution as far as practically possible.

The New University will address these commitments by:

iv. Academia

  - Research

Continuous innovation, maintaining and strengthening the University's reputation for international competitiveness and local relevance. This policy supports research into sustainability and environmental accountability.
• Teaching and learning
Enabling students to develop into environmentally responsible citizens and future leaders.

v. Administration

• Planning and institutional improvement
Expanding the institution while minimising environmental degradation by means of appropriate environmental management tools.

• Commercial services
Incorporating the principles of green procurement in policies aimed at ensuring future financial prosperity for the institution.

• Risk management
Assuring the highest quality standards in the internal processing and management of emerging and current risk, in order to minimise potential and actual negative environmental impacts.

vi. Operational

• Resource management
Focusing on environmentally sound practices in the sustainable utilisation of materials and hazardous substances.

• Energy
Identifying, monitoring, regulating and reviewing all energy consumption by the University, and adopting practices to conserve energy and reduce energy consumption.

• Water
Establishing systems to monitor the quality and quantity of water consumed and discharged, and adopting practices to conserve and reduce the use of water resources.
• **Travel and transport**  
Managing transport to advance sustainable transport practices. Researching and advocating alternatives to physical travel, such as electronic communications and videoconferencing.

• **Existing infrastructure**  
Introducing best practices in environmental management for existing infrastructure to operate in a more sustainable manner.

• **New infrastructure**  
Implementing environmentally responsible principles throughout the life cycle of new infrastructure projects. This is to ensure that any potential or actual negative environmental impact is minimised.

• **Biodiversity**  
Managing biodiversity to promote self-sustaining growth and to minimise disturbances of biodiversity by the activities, products and services of the University — thus improving the biological effectiveness of the man-made environment of the University.

• **Air quality and carbon emissions**  
Ensuring that legal requirements are maintained for air quality; identifying, tracking and managing carbon emissions; and committing to reduce targets for the carbon footprint of the University.

• **Effluents**  
Identifying effluent-producing activities, and managing these activities in an environmentally responsible manner in order to achieve a reduction in effluent levels.

• **General waste**  
Adhering to the principle of “Reduce, Reuse and Recycle” and adopting the principle of “Prevent, Minimise or Control” in the management of pollution control.

• **Hazardous waste**  
Ensuring that hazardous waste is managed in such a manner that negative impacts are prevent, minimised or controlled. Complying with legal requirements and adhering to the principle of “Reduce, Reuse and Recycle”.
• Emergency preparedness
Safeguarding against environmental emergencies by ensuring that regulations are adhered to, and by being adequately prepared to manage environmental emergencies efficiently and effectively.

• System management
Establishing an environmental management system that effectively manages any activities, products and services that have, or may potentially have, a significant environmental impact. Ensuring that these activities, products and services are identified, managed, monitored and reviewed to facilitate continuous improvement.

• Compliance and best practice
Ensuring compliance with legal and other requirements, and monitoring and reviewing the environmental performance of the University, and the effectiveness of the EMS in developing sustainability at the University.

vii. Stakeholders

• Stakeholder engagement
Engaging in partnerships with stakeholders in environmental projects, and increasing environmental awareness among contractors in order to encourage socially responsible behaviour and all-embracing solutions to environmental problems.

• Communication
Communicating applicable environmental matters to stakeholders, and systematically managing information and data.

• Heritage
Protecting and preserving the cultural landscape of the University.
11.4. Definitions and abbreviations

Environment The surroundings in which the University operates, including air, water, land, natural resources, flora, fauna, humans, and their interrelation. The surroundings in this context extend from within an organisation to the global system.

EMS Environmental management system — part of an organisation’s management system used to develop and implement its environmental policy and manage its environmental aspects.

A management system is a set of interrelated elements used to establish policy and objectives and the means to achieve those objectives. A management system includes an organisational structure, planning activities, allocation of responsibilities, practices, procedures, processes and resources.

Environmental aspect Element of an organisation's activities or products or services that can interact with the environment.

Environmental impact Any change to the environment, whether adverse or beneficial, wholly or partially resulting from an organisation's environmental aspects.

Sustainability The integration of social economic and environmental factors into planning, implementation and decision-making so as to ensure that development serves present and future generations; meeting the needs of the present without compromising the ability of future generations to meet their own needs.

11.5. Related and reference documents

i. Legislation

• National Environmental Laws Amendment Act 14 of 2009
• National Land Transport Act 5 of 2009
• National Radioactive Waste Disposal Institute Act 53 of 2008
• National Energy Act 34 of 2008
• National Environment Management: Air Quality Act 39 of 2004
• National Environmental Management Act 107 of 1998
• National Environmental Management: Biodiversity Act 10 of 2004
• National Environmental Management: Protected Areas Act 57 of 2003
• National Environmental Management: Waste Act 59 of 2008
• National Heritage Resources Act 25 of 1999
• National Nuclear Regulator Act 47 of 1999
• National Water Act 36 of 1998
• Occupational Health and Safety Act 85 of 1993
• Physical Planning Act 125 of 1999
• Promotion of Access to Information Act 2 of 2000
• Promotion of Administrative Justice Act 3 of 2000
• Water Services Act 108 of 1997

ii. Codes, Internationals Law, Treaties and Conventions

• The Revised King Code and Report on Governance for South Africa (King III) 2010
• Vienna Convention for Protection of Ozone Layer 1985
• Montreal Protocol on Ozone Layer 1987
• UN Convention on Climate Change 1992
• Kyoto Protocol 1997
• Basel Convention 1989
• Ramsar Convention 1971
• The Convention on the Conservation of Migratory Species of Wild Animals (Bonn Convention 1979)
11.5. **Responsibilities for implementation**

The Executive Director: Facilities Management will be responsible for the University-wide implementation of this policy, by appropriate delegation of responsibility to Department of Facilities Management through to all employees, students and contractors.
12. ENVIRONMENTAL SUSTAINABILITY GUIDELINES

12.1. Introduction

This document provides some guidelines on how to approach those areas of facilities infrastructure and services that impact on environmental and ecological sustainability.

12.2. Energy Management

12.2.1. Background

Following the power blackouts (load shedding) in 2008 and the uncertainty of sustained supply from Eskom all universities need to decide on appropriate action to reduce the risk associated with power outages. An important decision would be to set a target for energy consumption that will guide infrastructure development. One major decision to be made is to set a time based target that is indexed to student and / or staff numbers, but also related to area of buildings. As inflation is extremely high in the energy sector the targets would be easier to manage if it was set in units of quantity rather than monetary values. Major drivers of this decision would be the introduction of a PCP (Power Conservation Program) with severe penalties for exceeding a target energy allocation and the steep rise in electricity tariffs with the expectation of years of double digit annual increases. Achieving the goals requires an Energy Plan with a supporting capital budget .The details of an Energy Plan normally has 4 focus areas, namely
i. A real-time energy and water monitoring system.
ii. Energy efficiency and control systems.
iii. Energy saving awareness.
iv. Decentralisation of the energy budget.

(The US Energy Plan is graphically summarized in the illustration below)

12.2.2. Energy Plan

Project funding could be in the form of loans and awards. The loans can be financed through a surcharge on electricity consumption levied on the end users. The Energy Plan should be implemented within the context of a university wide Sustainability Plan in the sense that financial considerations will not be the sole driver of the Energy Plan.
Implementation of an Energy Plan should be evolutionary in approach with much emphasis on change management, as well as the structured roll out of the measurement infrastructure. The plan should include details on:

i. how and when energy costs will be decentralised to the cost centres at the areas where the energy is consumed
ii. the nature of regular communication with energy users, especially those who can influence behaviour and achieve significant savings
iii. creation of an energy savings culture
iv. the provision of regular (monthly?) management information to energy users regarding energy consumption and the corresponding cost

12.2.3. Power Conservation Programmes (PCP) And Energy Conservation Schemes (ECS)

Eskom is continuously designing programmes to achieve sustainable reductions in energy consumption and to potentially manage electricity demand growth within the availability of supply. These programmes all comprise elements of three related initiatives namely: - Demand Side Management (DSM), Energy Conservation Scheme (ECS) and Energy Growth Management (EGM). Briefly DSM is a program whereby Eskom directly finances energy efficiency projects. ECS is program whereby high energy users will be given an energy allocation and penalties levied for exceeding allocations. EGM program prioritizes new connection requiring 20 MVA or more power. Projects will be prioritized based on their contribution to the broader economy or the perceived national.
Key components / tools of ECS:

i. Customer allocations – determined as practically & fairly as possible
ii. Realistic level of flexibility in utilisation of allocations
iii. Negative incentives to minimise excess consumption
iv. Positive incentives to achieve energy efficiency beyond targeted level

ECS will generally be applicable to all consumers of more than 25GWh per annum and it is anticipated that New University will eventually exceed this limit. Note: Where a consumer can prove that they have implemented energy efficiency programs they may not be subject to the national saving targets. To prove the above a consumer must produce an energy efficiency certificate. It is important to note that the ECS has not yet been ratified by the Department of Energy.

12.2.4. Electricity Tariff’s

Concerning electricity tariffs, there appears to be little doubt that the rate of increases will be in the double digit range for the next decade. The expectation is that between 2012 and 2025 the real price of electricity would increase exponentially.

12.2.5. Ideas for New University’s Energy Management Plan

i. Measurement

- Real-time metering should only be installed at “significant” buildings in terms of energy consumption. Standard meters can be installed at other buildings and only smaller buildings e.g. garages, farm buildings, etc. may not be measured.
- The energy budget allocation should be discussed with faculties and departments in order to establish a reference against which savings or excess consumption will be measured in future.
- The decentralisation of the energy budget should be done in accordance with the initial assessments.
Software and a data management system need to be developed or acquired to allocate metered building consumption to departments within that building based on the pro rata proportion of the floor area occupied by them. In order to introduce decentralisation of energy costs it will be necessary to first obtain comparable metered data. The Energy Accounting System must be run in test mode and fully debugged before the costs are recovered from departments.

ii. Specific Initiatives

- Energy- and water efficient showerheads may be perceived to provide a reduced quality showering experience but energy savings of between 7 – 31% have been achieved in student residences in South Africa.
- Renewable energy sources are still being implemented on a limited scale. In high sun environments like at New University the replacement of standard hot water geysers with solar panels will yield good savings. To provide for cloudy days a combination of solar panels with heat pumps is the optimal solution.
- Air-conditioning systems provides real opportunities for more energy efficient solutions and it is recommended that only experienced HVAC consultants be appointed for both new and refurbishment projects.
- Involving students in responsible energy use and energy savings projects can change behaviours quickly. One option is to run energy saving challenges between residences and award a portion of the savings achieved in cash prizes.

iii. Awareness and Campaigns

- An integral part of any energy plan is the continuous creation of energy conservation awareness amongst staff and students alike, in order to inculcate a lasting lifestyle- and attitude change towards sustainability.
- Regular articles should be published in the university publications as well as electronic Campus News bulletins.
- Pamphlets with energy tips should be distributed freely and insert in the student publications.
- A webpage featuring sustainability projects can be maintained.
• Poster campaigns that focus on one topic of the energy plan at a time can be very effective.

• The provision of energy consumption and cost data to all faculties and other energy users serves to sensitise these users to the magnitude and cost implications of their energy consumption, especially if they eventually get to keep some of the savings.

• Stickers reminding people to switch off lights must be placed at light switches in public spaces of all major buildings.

• A special launch event to introduce the awareness campaign to senior management should be arranged by Facilities Management.

iv. Building Energy Audits

• An energy management specialist consultant can be contracted to conduct energy audits at selected buildings. These audits are conducted over two phases with a preliminary audit at each building to identify the range of possible energy efficiency interventions and an order of magnitude of the savings each intervention can bring about. The most promising of these interventions are then investigated during detailed audits and solutions designed that also provide better information on the costs and payback periods.

• Potential interventions could be classified as:

  o Reduction of operating hours (computers, equipment, air-conditioning, lights)
  o Minor alterations to air-conditioning equipment to improve efficiency
  o Lighting replacement/retrofitting with energy efficient lights
  o Alternative hot water production (solar or heat pump) to replace geysers.

• The results of these reports can be included in a business plan with the associated discounted cash flow analysis and qualifying projects grouped into:

  o Quick wins
- HVAC (Heating, Ventilation and Air-Conditioning) optimisation
- Lighting retrofit with electronic control gear.

- In pursuit of an energy efficient status and in anticipation of a reduction in mandatory energy saving target, New University should consider adopting ISO 50001 (Energy Management Systems). This standard will also facilitate the involvement of all New University staff. The Introduction to ISO 50001 states:

“The purpose of this International Standard is to enable organizations to establish the systems and processes necessary to improve energy performance, including energy efficiency, use and consumption. Implementation of this International Standard is intended to lead to reductions in greenhouse gas emissions and other related environmental impacts and energy cost through systematic management of energy. This International Standard is applicable to all types and sizes of organizations, irrespective of geographical, cultural or social conditions. Successful implementation depends on commitment from all levels and functions of the organization, and especially from top management.”

![Energy management system model for this International Standard](image-url)
12.3 Green building principals and basics

12.3.1 Introduction

“…a green building is a building which is energy efficient, resource efficient and environmentally responsible…” -Green Building Council of South Africa

Therefore the New University focus must be on:

i. The efficient use of non-renewable resources.
ii. The provision of healthier spaces for building users.
iii. Responsible construction processes such as site selection, construction management and commissioning.

This translates into building professionals mitigating the negative effects of any construction work on occupants, the immediate environment and its social fabric.

12.3.2 Implementing green building principles at New University

All disciplines involved in a project have an impact on the holistic green process:
Ideally, standards, processes and procedures should be in place to filter the direction of decision making and eventual outcome of any project.

To this end New University should compile an extensive check list which is used by the Planning and Development team to direct the initial stages of the holistic planning exercise which will include energy and resource saving as well as sustainability issues.

The biggest challenge with good quality, responsible sustainable design is that the initial costs are generally higher. Considerably more time has to be spent on investigation, design and theoretical exercises which need to be extrapolated. This will, in most cases mean that projects, from a design, documentation and construction point of view, will be more costly, however long term benefits in terms of energy saving, building value, productivity of inhabitants as well as a lower carbon impact, will be significant and repetitive. As many Green design principles as can be afforded from available funding should therefore be incorporated in new building designs.
12.3.3 Way forward considerations

i. Monitoring

Each major building must have energy monitor which supplies information in real time to Facilities Management. This information helps to “sculptor” decisions relating to new projects such as the fact that air-conditioning, ventilation, refrigeration, and temperature controlled environments consume about 55% of electricity used by the University. Other major users are hostel water heating, lighting (of all types) and general equipment as well as computer related equipment.

ii. Possible initiatives

- **Bulk Water Heating Project for Student Housing**
  Centralised heat pumps with bulk insulated storage are used to supply hot water to grouped hostels.

- **Toilet Standards and Specifications**
  A standard used for all new projects is a tested bowl and cistern which results in significant water savings as well as reducing the load on the “black” water that must be sent to the sewer and treated. Low water, suction type, toilets have been developed and will become more popular in the future.

- **General Water Saving Standards**
  In all situations where urinals are fitted, single pulse flush control valves are used as opposed to cistern flush systems. Electronically controlled water taps are used in all new general toilet blocks, but special care should be taken to monitor these installations for potential malfunctioning of the electronic devices.

- **General Light Standards and Specifications**
  Standards used for all general lighting on all new projects, exploit the best mature energy and maintenance saving lighting technology such as electronic compact fluorescent units for compact lighting.
• **Controlled Switching of Lighting**
   The standard used to control the use of artificial lighting in all new projects in areas where illumination is required on-occupation-only, such as toilet blocks, open plan offices, certain laboratories, parking basements, etc., occupation sensors are used to switch these lights on and off automatically.

• **Route Lighting**
   Installing marker bollards with coloured LED lighting using photo voltaics for solar charging during the day cycle will not only use no energy but it has an extended life thus reducing maintenance costs and no expensive supply reticulation will be required.

• **Air Conditioning Standards and reticulation:**
   Standards to reduce energy consumption and reduce maintenance cost have been in place for decades and are continuously updated according to advances in technology. Ice storage is being used effectively taking advantage of night time generation and the high thermal storage capacity of ice, which is then melted down during the day also assisting with peak loads. Effective use of energy recovery systems such as desiccant energy recovery wheels are used when deemed efficient. The use of air cooled chillers that do not consume water for heat rejection storage must be considered, but is generally less efficient than water-cooled units.
   Where large numbers of new buildings will be constructed in the same precinct it will be advantageous to install a campus cooling and heating system that achieves high levels of efficiency due to the scale of the equipment and also reduce the maintenance cost due to fewer rotating machines.

• **Mobility**
   There are many initiatives afoot to address and redress the impact of mobility requirements to and on campuses. These would include public transport, shuttle services, satellite parking, bicycle projects, etc.. There should be close cooperation with the local municipality to develop routes and strategies for non-motorised transport (NMT) as well as other actions to reduce the greenhouse gases (GHG) footprint.
12.4. Sustainable Landscapes and Water Management

12.4.1. Introduction

It is important to develop an exterior space that allows for reflection, chance encounters, or small groups to participate in active learning experiences. As a way of supporting the core functions of New University it is important that the landscape be managed to realise its potential by the use of resource efficient designs and materials for long term durability, management and sustainability.

12.4.2. Initiatives

i. Water

- Irrigation scheduling: Where possible all controllers are adjusted so that the time of operation matches the needs of the plants, scheduling is adjusted to seasonal variations and tension meters and rain sensors are added (where possible) for better water management.

- Watering is scheduled to irrigate at times of low evapo-transpiration, e.g. early morning and evenings.

- The use of radio controlled controllers to negate the use of wiring for automatic scheduling of irrigation.

- Routine maintenance is performed to ensure proper system functioning and to reduce water loss due to leaks.

- The use of ground water should be optimised.

- Limit or eliminate the use of potable water for landscape irrigation by the use of high efficiency irrigation technology or capture rain or recycled site water (use of collection tanks and grey water).
• Rainwater Harvesting: When used for irrigation, only, sediment filtration is typically required and the “hardness” (mineral content) of rainwater is usually lower. In areas where ground water is polluted, rainwater may be the better option for irrigation purposes.

ii. Mulching:

Mulching of gardens maintains soil moisture, reduces weed growth, slows erosion and builds soil texture and structure.

iii. Plant selection:

Appropriate plant selection or “using the right plant in the right place” on all campuses where an attempt is being made to match plant requirements with site realities that will eventually result in sustainable low maintenance landscapes.

iv. Trees – improved air quality:

Trees are regularly planted on campus as part of a tree planting initiative as well as part of the normal landscape upgrading. Trees have much more woody biomass to store CO2 than smaller plants and are therefore considered efficient carbon sinks. Tree transpiration and tree canopies affect local microclimate by removing air pollutants, by the emission of volatile organic compounds and trees have notable energy effects on buildings.

v. Organic pesticides:

An integrated approach to pest management should be followed inside the buildings and also outside in the landscape.

vi. Organic fertilisers:

Only organic fertilisers should be used in feeding plants through a fertilisation programme to help reduce nutrient loading of the soils.
vii. Recycling for compost:

All green materials should be composted and reused on campus when needed.
In areas where big volumes of organic materials are available the possibilities of biogas digestion should be investigated. The methane gas can be used for cooking and the slurry can be added to the composting process.

12.4.3. Other options for reducing resources

i. Reduction of lawn or turf that requires regular mowing, watering and or chemicals

ii. Use of permeable paving and roof gardens to reduce storm water runoff while increasing aquifer recharge to reduce the demand on potable water

iii. The use of high efficiency and / or dry fixtures, such as composting toilets and waterless urinals to reduce waste water volumes

iv. Reduce the use of municipal potable water for building sewerage by reusing storm water or grey water for sewerage conveyance or on site waste water treatment systems (bio digesters)

v. Prevent storm water from landing in sewage system hence relieve pressure on the sewage plant.

vi. Treat (or separate ) pollutants from parking lot runoff, and other water flowing off site by bio filtration or mechanical separation in the case of high levels of contamination

12.5. Waste Management

12.5.1. Introduction

Waste must be managed through various processes that will ensure a safe, healthy and a sustainable environment to ensure the rights of individuals are protected as enshrined in the Constitution.
Legislation requires that all stakeholders must accept co-responsibility for minimising waste impacts optimally in order to ensure environmental sustainability. The waste management plan should encompass all these objectives, in an attempt to create a more sustainable attitude and taking into account the needs of all users of the campus environment.
12.5.2. Integrated Waste Management Plan

The aim of an Integrated Waste Management plan is to achieve a long-term, environmentally sound waste minimization and prevention plan through the use of effective and efficient management practices and technology. In the implementation of this program the hierarchy of Integrated Waste management (as shown in the diagram below) is to be used as the fundamental basis to every operation.

![Diagram of Integrated Waste Management hierarchy]

This management plan provides for waste from the following sources:

i. Waste for recycling and/or reutilisation
ii. Waste for disposal to landfill
iii. Electronic waste
iv. Hazardous waste
v. Events waste
vi. Construction waste

**Possible initiatives**

i. Recycling
Construction of a material recovery facility (MRF) where recyclable waste is sorted and diverted from landfill. The sorted waste is compacted or sold in large containers to the recycling plants.

ii. Composting of kitchen waste
The bokashi system of fermentation and composting works well for all kitchen waste. This involves the addition of anaerobic microbes to all organic kitchen waste which result in no flies or smells in the kitchen. This waste is then taken to a site where it is composted in combination with agricultural waste. This procedure creates the opportunity for running research products on the composting process and using some of the final product for community gardens.

iii. Public awareness and education
Public education and involvement are crucial as waste reduction and recycling requires the commitment and involvement of all role players. The integrated waste management plan includes ways to educate and deliver on going informal training and instructive communication to all role players regarding waste management initiatives and plans. Ideas need to be proposed that turn the mundane into fun and student involvement in any waste initiatives needs to be addressed, as there are normally several student organisations on campus that would like to participate in these campaigns.

12.6. Conservation

New University should identify rehabilitation and conservation opportunities that would increase the sustainability awareness. Typical projects could include: Rehabilitating roads and eroded areas in nature reserves; increasing the amount of water that is being channelled back into the dams through controlled run-off; Restoring of erosion gulley’s by hydro seeding with indigenous plant seeds that is collected from the surrounding area. In addition there should be an on-going programme of invasive plant control in natural wild life areas.

Areas can be identified for the planting of trees to offset the carbon emissions at the University. Staff and students are encouraged to plant trees as a way of reducing the carbon emissions as a result of their travelling locally and internationally and thereby building up the number of trees in these outdoor arboretums.
12.7. Conclusion

New University should endeavour to work very closely with both the municipality and Eskom in order to take full advantage of the incentives and rebates offered by Eskom.

The establishment of an Energy Work Group is recommended and the whole New University community will be encouraged to be involved through the initiatives of the Energy Work Group. Eskom information sharing campaigns should be embraced by inviting Eskom to hold training workshops at the University.

A decision needs to be made on whether the University will formally implement ISO 50001:2011, *Energy management systems – Requirements with guidance for use*. 
13. ENERGY POLICY

POLICY REFERENCE: FM 12

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13.1. Declaration of Commitment

The New University is committed to minimising negative environmental impact through inefficient use of energy.

Through a conservative approach to energy usage, the University will be proactively contributing to conserving the planet’s natural resources as well as playing its role in the national energy crisis.

13.2. Purpose and focus areas of the policy

The Energy Policy is developed to found the guidelines through which all forms of decision making, at all levels of the University, may be aligned with energy conservation.

The focus areas of this Energy Policy shall include:

i. The purchase of energy supply,

ii. The successful intervention of energy and demand side management initiatives at the University.

iii. Refurbishment of building space or replacement of end-user technologies with reference to energy conservation (maintenance related issues).

iv. Consideration of energy efficiency in the design of new buildings.
v. Purchase of new energy-intensive equipment, which will consume power from the University’s power supply grid.

vi. Increasing awareness amongst all personnel, students and all stakeholders of energy conservation,

vii. Educating the end-user to be more efficient in their usage of energy, through simple actions and tools.

viii. Lessening the University’s reliance on Fossil Fuels and the gradual introduction of renewable sources of energy at New University.

ix. Throughout this document the term “Energy” shall refer strictly to electrical-energy purchased by the University and utilised in its facilities.

13.3. Frequency of review

The Energy Policy has been developed in the department of Facilities Management and shall be reviewed bi-annually.

Further to this, the policy shall be reviewed subject to new relevant developments (pertaining to energy conservation) and relevant feedback received from the end-user.

13.4. Energy Purchase

The department of Facilities Management shall be responsible to ensure that the most favourable energy tariffs are negotiated with the local Municipality for all of the campuses of the University.

Due consideration shall be given to initiatives which require specific tariff structures: for example for any form of load shifting, to be successful, a Time of Use tariff structure will need to be implemented.

The tariff structure will be reviewed annually.

13.4.1. Energy conservation programs

The University shall apply various Energy and Demand Side Management programs on its facilities to reduce (as far as possible and financially feasible) cost of energy consumed and negative environmental impact.
Subject to availability of funds, the energy conservation program will target the installation of energy-efficient technologies within the domain of energy-intensive products such as lighting, HVAC and so on. Furthermore, the initiatives shall introduce and apply technologies which may facilitate managing energy usage and load in the most optimal manner. The Services Manager will be responsible to ensure energy conservation programs are applied successfully.

13.5. Maintenance, refurbishment and upgrading of building space and technologies

It is the responsibility of the department of Facilities Management to ensure that all forms of replacement of energy intensive end-user technologies; as a maintenance activity; is done with due consideration given to energy conservation. As an example, when light fittings are replaced as a maintenance activity; they are replaced with energy efficient technologies.

It is also the responsibility of the department of Facilities Management to ensure that all forms of refurbishment of building space, which will effect energy loads, and which have potential for energy efficient upgrading, are done with due consideration given to energy conservation. As an example, if building space is refurbished, all energy intensive end-user technologies, be upgraded to an energy efficient technology.

It is the responsibility of the department of Facilities Management to ensure that all forms of energy-intensive technologies are upgraded (as part of the maintenance activity) with only energy efficient technologies; as far as feasibility and funds availability may allow. All light fitting which utilise incandescent lamps be upgraded to Compact Fluorescent Lamps (CFL), within 12 months from the endorsement of this energy policy. The department of Facilities Management will ensure that their maintenance budget is duly adapted to ensure only CFLs are utilised in the University’s facilities.

13.5.1. The design of new buildings

While considering the design of all new building structures, due consideration shall be given to ensure that – where possible and financially feasible – the most suitable energy efficient technologies and standards are adhered to.
13.5.2. Consideration of energy efficiency in equipment purchasing

All Heads of Department and affected personnel should ensure that due consideration of energy efficiency is given when purchasing energy intensive equipment. This might not be possible for a very specific requirement or lack of energy efficient technologies in the market for specific needs. Departments seeking more information on energy efficiency of equipment meeting a very specific requirement may contact the department of Facilities Management.

13.6. Raising awareness for energy conservation

All efforts will be taken to raise awareness amongst staff and students on energy conservation and the positive effects on natural resources, the environment and the end-users themselves. This may be done through various print and electronic media.

The aim of this activity would be to generate awareness amongst staff and students that their activities contribute to the overall energy crisis. The next phase would be to empower students and personnel with the know-how of using energy more optimally.

13.6.1. Educating students and personnel on using energy more optimally

It is the responsibility of the department of Facilities Management to raise awareness and to educate students and personnel to use energy more optimally.

Through various print and electronic media (local to the University), the readers are to be informed of various methods and behaviour patterns which may result in lesser energy wastage. As an example: to switch off lighting and HVAC when leaving the office; apply screen savers to monitors; and so on.

The frequency of such communications may be reviewed on a regular basis and may be dependent on circumstances and feedback received from the end-user.
13.7. Moving towards renewable energy

Being one of the leading academic institutions in the country, New University bears a responsibility towards energy conservation.

This policy outlines that within the next 5 years measurable efforts be taken to lessen the University’s reliability on fossil fuels; these would include solar geysers instead of conventional electric geysers.

The department of Facilities Management will be responsible to ensure that the gradual shift takes place.
14. CCTV POLICY

POLICY FOR THE RECORDING AND MONITORING OF CLOSED-CIRCUIT TELEVISION IMAGES

14.1. Introduction

In promoting and maintaining a safe environment the university’s comprehensive security strategy should integrate manpower, technology, communication and other relevant procedures in the interests of a safer environment. Recording and monitoring closed-circuit television (CCTV) images are an integral part of such a comprehensive security strategy.

14.2. Purpose

The purpose of such a policy is to provide guidelines for using CCTV on the university property in order to promote safety yet retain the reasonable privacy of individuals. The policy is applicable to all students, staff, suppliers, visitors and departments that form part of the university community.
14.3. **Execution**

The execution of the policy should be described in standard operational procedures [S.O.P’s] that are managed by the Risk and Protection Services Division.

14.4. **Provisions**

i. Closed-circuit television monitoring is used as a deterrent for misconduct and crime, and to safeguard and protect the university community and university assets. Such safeguarding and protection involve monitoring facilities and equipment as well as patrolling public campus areas, adjacent streets and walkways, which implies that staff, students and visitors will be monitored in the process. CCTV images will be scrutinised during criminal investigations with the specific aim of corroborating or collecting evidence.

ii. The use of closed-circuit television images for any reason other than those specified in this policy is strictly prohibited.

iii. It is recommended that a Closed-Circuit Television Steering Committee (CCTVSC) must be appointed by the Executive with the purpose of ensuring that all applications and processes relating to new systems are dealt with, installed and operated in accordance with this policy. The functions to be represented on the Committee are Facilities Management, Information Technology, Security Services and Legal Services or Internal Audit. The CCTVSC may co-opt experts from other environments if required.

iv. All CCTV systems that are used on the university property shall be subject to the provisions of this policy. The provisions shall also apply if temporary CCTV installations are used to support a criminal investigation or construction site.

v. The use and monitoring of CCTV cameras shall not imply or guarantee that any specific camera will be monitored continuously or at a specific time.

vi. CCTV monitoring must be done in a professional, ethical and legal manner under responsible supervision. CCTV operators and administrators must commit themselves to the said
provisions by signing a declaration of confidentiality, as well as to other provisions of the policy where applicable.

vii. All video material must be protected by introducing appropriate and reasonable steps, including technical, operational and other risk management mechanisms, to prevent the material from being damaged, destroyed or accessed without authorisation. When a request is received for video material to be made available, appropriate steps must be taken immediately to preserve the material concerned until the enquiry and accompanying investigation have been finalised.

viii. Video material may be stored only for as long as reasonably necessary to comply with the goals of installing the CCTV-system.

ix. Monitoring must not take place on a discriminatory basis by using race, gender, sexual orientation, nationality or disability as justification for monitoring.

x. Monitoring must take place in accordance with the provisions of this policy as well as those of other relevant policies, e.g. the policies relating to sexual harassment and disciplinary action.

xi. The policy must be aligned with considerations arising from the following:

- the provisions of the Promotion of Access to Information Act (“Information Act”);
- the provisions of the Regulation of Interception of Communications and Provision of Communication-related Information Act (“RICA”);
- die Protection of Personal Information Bill (“Privacy Act”); and
- the general principles that apply to and give content to the right to privacy as found in common law.

xii. Monitoring must be limited to actions that do not infringe on the reasonable expectation of privacy. Closed-circuit television monitoring in accommodation facilities must be limited to
entrances, passages, public spaces and bicycle sheds. No private rooms or change rooms may be monitored.

xiii. Monitoring must focus, as far as possible, only on people whose conduct may reasonably indicate unauthorised or criminal behaviour.

xiv. Positioning cameras where the fixed property of third parties appears in the image must be limited as far as possible. Where such fixed property does fall directly in the image, permission must be obtained from such parties in advance.

xv. No environments that require a CCTV system to be installed may proceed prior to their application has been referred to the CCTVSC for evaluation and approval.

xvi. All installations of CCTV systems should be handled by Facilities Management in order to ensure that the policy is complied with, but also to ensure that cables, etc. are installed neatly.

xvii. The university community and all visitors must be informed by way of conspicuous notices or pictograms when they are entering areas that are monitored by closed-circuit television. When there are many CCTV installations it is advisable to place comprehensive notices at the entrances to the campuses.

xviii. External parties such as the SAPS and private investigators may apply for video material to be made available to them. Making such video material available may be done only with the approval of the CCTVSC and after consultation with Legal Services.

xix. Viewing of sensitive video material must be limited to those who are involved in the specific investigation, according to the exclusive discretion of Manager / Director ultimately responsible for this policy.

xx. In all cases where a court of law or appropriate legislation with jurisdiction over the university orders the disclosure of video material, the CCTVSC must comply with such order in consultation with Legal Services. In such instances of disclosure the university may be obliged to inform the individual accordingly unless such disclosure is prohibited by the authority and the source of disclosure. The final decision rests with Legal Services.
xxi. Changes in circumstances or legislation may necessitate changes to this policy.

xxii. The operational procedures should only be available on the intranet to ensure that staff and students don’t work to outdated procedures.
15. INTERNAL PLANNING COMMITTEE

15.1. Introduction

The Internal Planning Committee (IPC) is a committee of the Department of Facilities Management of New University. The purpose of this document is to describe the mandate, business, composition, and functioning of the IPC.

15.2. Mandate

The mandate of the IPC is to advise and make recommendations on matters falling within the scope of responsibilities of the Department of Facilities Management and as defined in this document as the business of the Committee.

15.3. Relationship to line management

The role of the IPC is to complement and support existing functions in the Department of Facilities Management but not to replace line responsibilities or decision making. Line managers (in particular the Director and the responsible Executive Director) are advised by the IPC but retain responsibility and accountability as per University delegations.
15.4. Business of the committee

The business on which the IPC shall advise and make recommendations is the following:

i. Policy and procedure regarding university-wide Facilities Management matters
ii. Environmental management
iii. Occupational Health and Safety incidents
iv. Any matter referred to the Committee by the Executive Director, University Executive or Vice-Chancellor and Principal
v. Appointment of consultants and shortlisting of contractors and vendors for quotation or tender purposes
vi. Reallocation of budgets, especially the capital construction, operations and maintenance reserve funds
vii. Coordination of facilities related matters between the Departments of Facilities Management, IT Services, Protection Services and Residence Administration & Accommodation.

15.5. Composition

The membership of the IPC is comprised as follows:

15.5.1. Permanent members

Director of Facilities Management (chairperson)
Deputy Directors of the Department of Facilities Management
Director of IT Services or delegated proxy
Director of Residence Administration & Accommodation or delegated proxy
The Financial Controller for Facilities Management nominated by the Director: Finance to attend as required.
15.5.2. Ad hoc members

Ad hoc members may be appointed from time to time by the Chairperson as business may require, e.g. the University Architect.

15.5.3. Ad hoc attendance

Deans/directors or other line managers may attend the relevant meeting where business for their units are discussed.

15.6. Functioning

15.6.1. Meetings

The IPC shall meet weekly. The Chairperson may call ad hoc meetings if necessary, especially meetings to review specific plans and policies that requires longer time to resolve.

15.6.2. Secretariat

The Department of Facilities Management shall provide the secretariat for the IPC. Agendas will be set and distributed prior to meetings. [In practice the minutes of the previous meeting may be used as an agenda] The Director: Facilities Management shall approve the addition of new items to the agenda before the meeting, ensuring that items fall within the scope of business of the IPC and that appropriate documentation is available to introduce and elucidate the subject. Minutes will be kept of meetings and copies may be distributed to other interested and effected parties, e.g. those directors who are represented by a proxy.

15.6.3. Sub-committees

In exceptional cases sub-committees may be constituted by the IPC to attend to a specific function or area of interest and to advise the full committee.
The members and chairpersons of sub-committees are nominated by the chairperson of the IPC and need not be members of the IPC.

The final output of a Sub-committee is a comprehensive report on findings, alternatives considered and recommended solution.
NEW UNIVERSITY POLICY

16. MAINTENANCE POLICY

POLICY REFERENCE: FM 15

<table>
<thead>
<tr>
<th>Name of Originator</th>
<th>PN</th>
<th>Name of VC</th>
</tr>
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<tr>
<td>Approved by QC</td>
<td></td>
<td>Approved by Legal Div</td>
</tr>
<tr>
<td>Policy code and number</td>
<td>FM 15</td>
<td>Approved by Registrar</td>
</tr>
<tr>
<td>Date sent to VC</td>
<td></td>
<td>Approved by VC</td>
</tr>
<tr>
<td>Date sent to Council</td>
<td></td>
<td>Approved by Council</td>
</tr>
</tbody>
</table>

16.1. Introduction

i. The University’s facilities maintenance service will be administered by the Department of Facilities Management, even in cases where schools or departments or faculties are funding the work. The maintenance of IT equipment and infrastructure is performed by the IT Services department and the commensurate service policy is covered in a separate policy statement.

It is essential that all work which might broadly be classified under the term ‘building work’ is referred to Facilities Management, as there may be issues of legal liability, heritage and insurance et cetera to which the University must comply.

ii. All buildings, structures, roads and pavings forming part of the University estate are to be maintained to a reasonable standard, ensuring that they are structurally sound, provide adequate protection from the weather, and are able to be used safely and fulfill the functions
for which they are intended. The “reasonable standard” referred to herein will bear evidence of a balance between affordability and best practice. The University on the one hand cannot afford maintenance levels which match standards relevant to as new condition with minimum renovation required in terms of facilities, equipment and plant. On the other hand maintenance levels which could cause the University to incur rework or put its assets at risk will not be acceptable either. The University will seek to achieve a sustainable balance between cost of repair and the price of planned preventive maintenance.

iii. All services, (e.g. electrical power, lighting, heating, cooling, water, compressed air, gas, lifts, fire detection and emergency lighting etc.) are to be adequately maintained to ensure proper operation and to minimise interruptions.

iv. All buildings, services and building systems are to be maintained in compliance with all current legislation, statutory requirements and codes of practice.

v. The maintenance service will encompass the planned implementation of a rolling ten-year programme of major maintenance, the planned preventive maintenance of all building services and services infrastructure, and the provision of a responsive breakdown and repair service.

vi. The Major Maintenance Programme is to be reviewed and updated on a three yearly cycle by undertaking physical inspections to determine the condition of the estate and by reference to the latest guidance contained in the Corporate Strategy of the University. These physical inspections should be coordinated with the condition assessment required to be performed annually as part of the HEMIS Report.

vii. The maintenance service will be delivered within the appropriate budget allocations made available by the University. Delivery will be specified in Service Level Agreements. In the event that maintenance services are contracted out, the Contract between the University and the Service Provider(s) will address and contain specific deliverables. The three specific deliverables which will form the framework for service provision, will be Cost, Quality and Timeousness.

viii. In the event that maintenance is contracted out, a due process for procuring such services will be followed, and a suitable Consulting/Professional Institution will be appointed to structure
the procurement documentation, advise on appropriate technology, standards and specifications, ensure integration of stakeholder requirements, handle the procurement process, evaluate the submissions and offers of service providers, recommend to the University the most appropriate and suitable course of appointment and monitor post appointment performance of service providers for a period of time.

ix. The prime objective of the maintenance service is to maintain existing facilities in a reasonable condition. Significant improvement or upgrading, which does not form part of normal repair or replacement practice to meet the latest standards, falls outside the scope of the maintenance service.

x. Priority will be given to works, which are necessary for reasons of health and safety, to avoid disruption to normal operations or in order to protect buildings from damage or deterioration.

xi. Alterations and adaptations required by Schools for their own accommodation, together with all consequential costs associated with such projects, fall outside of the maintenance service. The Department of Facilities Management will provide professional advice and service wherever resources allow, be it within the necessary time-scales. Where resources are not available, Schools may be offered the services of external consultants, managed by the Department of Facilities Management, but the costs of employing such consultants are a matter for budgeting and budget approval.

xii. The inspection, maintenance, servicing and replacement of movable assets [non fixed plant and equipment] owned by Schools are excluded from the maintenance service.

xiii. The maintenance service will extend to maintaining all existing electrical and other utility supplies to the point of nearest isolation from any item of plant or equipment owned by a School.

xiv. The maintenance service in respect of internal finishes, i.e. floor finishes, decorations and blinds, extends to cover common areas e.g. receptions, corridors, stairways etc., but excludes areas dedicated to Schools which are funded through devolved budgets. In the case of administrative and services departments a case will be made for such smaller departments where it is deemed that their operating budget cannot be expected to fund this work
xv. The above arrangements, regarding responsibilities and funding sources, apply equally to instances where health and safety matters are the subject of consideration. That is, whoever is responsible for the maintenance and upkeep of a particular space, element, item of equipment etc. also carries responsibility for all health and safety matters arising from it.

xvi. The Ten Year Maintenance Programme assumes the following cycles for renewal of finishes:

<table>
<thead>
<tr>
<th>Asset Category</th>
<th>Expected useful life (yrs)</th>
<th>Maintenance</th>
<th>Routine maintenance (%CRC)</th>
<th>Period (yrs)</th>
<th>% CRC</th>
<th>% CRC per annum</th>
<th>TOTAL % CRC (per annum)</th>
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<tbody>
<tr>
<td>Developed external facilities &amp; civil works</td>
<td>15</td>
<td></td>
<td>5.0%</td>
<td>15</td>
<td>10.0%</td>
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<td>5.67%</td>
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<tr>
<td>Structure and building fabric</td>
<td>30</td>
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<td>0.5%</td>
<td>30</td>
<td>2.5%</td>
<td>0.08%</td>
<td>0.58%</td>
</tr>
<tr>
<td>Building finishes</td>
<td>7</td>
<td></td>
<td>2.0%</td>
<td>0</td>
<td>0.0%</td>
<td>0.00%</td>
<td>2.00%</td>
</tr>
<tr>
<td>Plumbing</td>
<td>15</td>
<td></td>
<td>3.0%</td>
<td>15</td>
<td>25.0%</td>
<td>1.67%</td>
<td>4.67%</td>
</tr>
<tr>
<td>Electrical</td>
<td>15</td>
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<td>0</td>
<td>0.0%</td>
<td>0.00%</td>
<td>3.00%</td>
</tr>
<tr>
<td>Air conditioning:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Central plants</td>
<td>30</td>
<td></td>
<td>3.0%</td>
<td>10</td>
<td>50.0%</td>
<td>5.00%</td>
<td>8.00%</td>
</tr>
<tr>
<td>- Small units</td>
<td>10</td>
<td></td>
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<td>0.0%</td>
<td>0.00%</td>
<td>3.00%</td>
</tr>
<tr>
<td>Lifts</td>
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<td>15</td>
<td>50.0%</td>
<td>3.33%</td>
<td>15.33%</td>
</tr>
<tr>
<td>Fire</td>
<td>30</td>
<td></td>
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<td>30.0%</td>
<td>3.00%</td>
<td>5.50%</td>
</tr>
<tr>
<td>Gas installations</td>
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<td></td>
<td>2.5%</td>
<td>0</td>
<td>0.0%</td>
<td>0.00%</td>
<td>2.50%</td>
</tr>
</tbody>
</table>

*Note: CRC - Current replacement cost*
Note: The above are average cycles for budgeting purposes. In practice, these cycles would be adjusted to take account of wear and tear experienced in specific areas and be coordinated with other maintenance works and access arrangements.

xvii. All maintenance work will take due regard of the University’s Environmental and Energy Policies and will aim to assist with the objective of reducing the consumption of energy and water and to minimise the environmental impact of the University’s activities.

Wherever practicable, the renewal of components, plant and equipment will include for upgrading to the latest standards of energy conservation.

xviii. The Ten Year Maintenance Programme will not make allowance for future changes to legislation or for increased standards of fire safety required for fire certification.

xix. The Ten Year Maintenance Programme does not include for improvements to access for people with Physical disabilities, which is dealt with under a separate programme. However, whenever maintenance work is carried out, the opportunity will be taken to improve accessibility and the Department of Facilities Management will endeavor to coordinate the maintenance and disability improvement programmes whenever practicable.

xx. The Department of Facilities Management will arrange itself as far as its structure and organisation, resources and systems are concerned, in order to effectively deal with the requirements set out in this document.

xxi. Note: In determining the most cost effective approach towards deciding whether to continue with maintenance of a facility or whether to replace or renew it, the department of Facilities Management will engage in regular and periodic condition assessment of all facilities. Life cycle costing will be adopted as a means to assist in deciding whether to cease continued fruitless repairs or re-engineer the facility in terms of renewal or replacement. The same principle will be cascaded down from the facility level to building systems, infrastructure services and plant and equipment.
xxii. The Department of Facilities Management (referred to as DFM) will entertain executing the maintenance work in accordance with the distinction made between two main categories of maintenance work.

xxiii. The two categories of maintenance work referred to in sub-paragraph xxii will relate to the University’s financial accounting systems. Annual routine maintenance and its related expenditure is normally funded from the Operating Account of the Income Statement. Abnormal maintenance and its commensurate cost is often funded from the “Capital Budget”. This is not good financial practice but common in Higher Education Institutions due to the lack of sufficient funding for maintenance.

xxiv. DFM will execute the following two categories of work:

- Maintenance and Repair [M & R];
- Renewal and Replacement [R & R]

xxv. DFM will establish the following key management decision making support to govern its operations, resource allocation, execution time frames and financial planning horizons:

- An M & R framework featuring:
  - A Preventive Maintenance Plan. [Horizon: 3 Years]
  - A Monthly Preventive Maintenance Programme. [Horizon: 1 Year]
  - A Weekly Preventive Maintenance Tasks Schedule. [Horizon: 1 Month]
  - A Monthly Performance Report on both Preventive as well as Breakdown/Defect Repair.
  - Annual financial estimates, projections and budgets to contribute to the University’s financial planning process requirements.

- An R & R framework featuring:
  - A Master Maintenance Plan [i.e. Ten Year Maintenance Programme]. [Horizon: 10 Years]
- A R & R Project Programme. [Horizon: 1 to 3 Years]
- A Monthly Performance Report reflecting status and progress of projects featured in the “R & R Project Programme”.
- Annual financial planning estimates and projections to contribute to the University’s financial planning process requirements. In higher education these inputs are often placed in 3 categories, i.e. Operations Budget for M&R and smaller R&R; the Capital Budget for larger R&R; and then occasionally larger amounts are approved on an ad hoc basis to address (the ever increasing) deferred maintenance.

xxvi. DFM will institute and maintain a building and infrastructure condition monitoring application, either by soliciting external specialist services or by applying an internal knowledge base, or by a combination of both.

xxvii. DFM will consistently capture and record every event where significant maintenance is or has been deferred, regardless of the reason why deference was mandatory. As per paragraph xxv above, a framework for dealing with matters of Deferred Maintenance will be created and maintained, encompassing all financial related implications, risk escalation factors and life cycle implications.

xxviii. DFM will establish an entry point where all defects, breakdowns or shortcomings in functioning of facilities and infrastructure systems need to be registered. It is the obligation of every staff member of the University to act in a responsible observing capacity in order to report faults, shortcomings and defects to the report centre in question. The report centre will in turn mobilise the related repair discipline/resource, as well as trigger the recording of the paper trail in order to track the status of the need/request to repair or reinstate.

xxix. The Maintenance Division may also perform Minor Building Works.
CHAPTER 11: STUDENT GOVERNANCE
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NEW UNIVERSITY POLICY

1. STUDENT GOVERNANCE: ROLE AND PURPOSE

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Student Governance in the context of the new universities is premised on the need to put in place structures and systems that will allow for the provision of student support and administration. As part of the effective governance processes of the University, Student Governance and Support will further cater for the salient features of educational development of students from recruitment through admission and registration to academic and financial support, student life, accommodation, sports and recreation, to graduation and employment counselling.

Student Governance model recognises the diversity of students and offers a wide range of support activities to help students integrate quickly into a new university.

The effective and efficient Student Governance and Support will thrive on the following objectives:

- Integration of all academic and non-academic support services through an identifiable organisational element of the University structure e.g. Student Affairs;
- Improvement of quality of services to students;
- Provision of a co-curricular development programme;
- Provision of a focus for University community development;
- Development orientated as opposed to problem-orientated;
- Community development focus;
- Academic support for all students;
- Integration of services from the University, Student Organisation, Student Residences, Sports, and cultural activities;
• Student involvement in personal development through cultural, recreational, sporting and social activities;
• Research into the characteristics of the student population and the effectiveness of programmes;

The development of policies and guidelines in Student Governance is to put in place systems that will promote student life, management of student welfare initiatives, and implementation of student services projects. Further to ensure that the student’s needs are catered for in terms of appropriate policies, services and facilities provided in a professional, integrated, personal and proactive manner.
NEW UNIVERSITY POLICY

2. SRC BENEFITS POLICY

POLICY REFERENCE: SG 02

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Student support and administration is one of the areas which cater for many aspects of student’s life on campus from the student’s first contact with the institution to graduation. In terms of the Standard institutional statutes, council determines and provides for student support services after consultation with the SRC. As an imperative, student representatives should therefore play an active role in the process of developing the services to be provided to students.

The purpose of developing a policy that deals with SRC benefits addresses issues relating to budget allocations, administrative support and setting up accountability processes in line with the benefits policy.

This policy was drafted after conducting an analysis of the SRC benefits for the following institutions: University of Johannesburg, Tshwane University of Technology, University of Limpopo, NMMU, University of Pretoria and North West University.

Type of benefits covered in the draft policy includes the following:

- Residence fees
- Tuition fees
- Honorarium
- Official University colours (Uniform)
- Travelling Allowances for SRC members
2.1. Preamble

In terms of the standard institutional statute, subject to section 33 of the Higher Education Act, 1997 (Act no 101 of 1997), as amended, Privileges of members of the SRC are as determined by the University Council, after consultation with the SRC. The policy and its rules, guidelines and procedures address all issues pertaining to SRC benefits.

2.2. SRC Benefits

It is the policy of the University to regulate the determination of the SRC benefits.

2.3. Guidelines

The following guidelines will guide this policy in the determination of the benefits for the new university.

2.4. Definitions

“SRC benefits” means benefits as determined in this policy and approved by the interim Council of the new university.

“Resolution of Interim Council” means the determination and approval of this policy shall bear reference to resolution of Interim Council;

“SRC” means Student Representative Council structure that is operationally based in any of the campuses of the new University;

“Student” means a person registered for a qualification at the institution;

Vice-chancellor means a vice-chancellor or principal of an institution of higher learning as contemplated by the higher education act, 1997, (Act no 101 of 1997);

Act means the higher education act, 1997 (Act No. 101 of 1997), as amended.

2.5. Authority and Responsibility

2.5.1. Authority
The office of the Vice Chancellor or any office delegated by the Vice Chancellor (Principal) has the authority to impeach on any of the SRC benefits subjects to the following:
If it is proved that a SRC member(s) is negligent, unwilling or incapable of fulfilling his/her duties as a member of the SRC.
If there is sufficient ground that such benefits as accorded to SRC members are abused.

2.5.2. Responsibility
The student life directorate office responsible for the SRC has the responsibility of carrying out the following:
• Ensuring that the members of the SRC are accorded benefits as determined by this policy on SRC benefits.
• Ensuring that all SRC (beneficiaries) are members in good standing (duly registered).
• Any of the benefits are accorded for official SRC activities.
• Any abuse of such benefits is dealt with in terms of the institutional rules and regulations.

2.5.3. Benefits
The following shall be determined as official benefits for the new University
i. Allowances
• Overnight allowance
SRC members shall be entitled to an overnight allowance of R100 per member on official SRC/University business.
This amount shall not be paid in an event of SRC member attending a day activity.
This tariff shall not apply for any international SRC business

• Travelling
SRC members will be provided with official University Transport to ensure and enable them to participate and execute their activities effectively and efficiently.
The SRC is entitled to use any driver provide the driver meets all minimum requirements as set by the University policy on transport.
• **Communication**
SRC office will be provided with office based landline telephones budgeted for by the SRC per month for use by all members of the SRC.

• **Corporate Clothing**
All SRC members shall be provided with tie, shirt/blouse, and official blazer, and trouser/skirt as official uniform of the University.

ii. **Honoraria**

• **Academic Support**
Student life offices responsible for the SRC shall be responsible for ensuring that a comprehensive personal development plan for members of the SRC is in place.

• **Study Rebates**
All SRC members shall qualify for 100% rebates for tuition fees but will be expected to contribute a minimum registration deposit.

• **Residential Support**
All SRC members shall qualify for 100% rebates for accommodation but will be expected to contribute minimum registration deposit.

• **Performance based incentive**
An annual performance based incentive at the end of term of office shall be paid to all SRC members as follows:
Each member will receive an incentive of a maximum of R12 000.00 honorarium
3. SRC CONSTITUTION

POLICY REFERENCE: SG 03

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3.1. Preamble

In recognition of the Constitution of the Republic of South Africa, in particular the Higher Education Act 101 of 1997 and consistent with the Statute of the University as vested in the Institutional Council of the University:

We, the students of the University, united in our diverse cultural, religious, economic and socio-political backgrounds; determined to instil and nurture a culture of learning, tolerance and understanding in the diverse student community of the University.

Recognizing the fact that there are fundamental socio-political changes in the country which necessitate a need to adapt into a new order in restructuring student life.

Conscious of the central role played by the University as a tertiary institution that inculcates and cultivates career ethics in preparing us to serve our societies as responsible citizens

Equally bound together by the commitment at the University to uphold the principles of democracy, unity, accountability, responsibility, equality, transparency, non-sexism, non-racism, non-discrimination and non-tribalism as stipulated in the Bill of Rights of the Constitution of the Republic of South Africa, Act No. 108 of 1996. We pledge our commitment to serve all students of the University through the establishment of a student community based on the following values:

- Ubuntu
- Academic freedom and rigour
- Integrity
• Transparency
• Rejection of racism
• Appreciation of diversity
• Cooperative governance
• Accountability
• Respect for the rule of law

In order to realize the achievement of these ideals, we do hereby:
RESOLVE to form a Student Representative Council which is democratic in character, representative in purpose, progressive in outlook and which derives its powers and legitimacy from the student body which it serves.

3.2. Definitions

“Absolute Majority” shall mean a number of votes totalling over 50%, such as the total number of votes or seats obtained by a party that beats the combined opposition

“Academic Calendar Year” shall mean an active period within a calendar year wherein the academic activities take place as determined by the Department of Higher Education and adopted by the Standard Institutional Statute

“Academic Employee” means any person appointed to teach or to do research at the institution and any other employee designated as such by the Council of the University

“Act” shall mean the Higher Education Act, 1997 (Act No. 101 of 1997) as amended

“Affiliated Structure” means any student organization recognized by the SRC with an inclusive representation of student interests regardless of race or gender

“Annual General Meeting” shall mean a statutory meeting of the members of the Student Representative Council held once every academic calendar year, at which the annual report is presented

“Asset” means any resource that is under the control of the SRC, which is intended to enhance the functionality of the organisation/SRC

“Calendar year” means the period of the time contemplated in the rules and regulations of the University.

“Campus” means the location where university operations take place.

“Constitution” means the Constitution of the University SRC as set out in this document
“Council” means the governing body of the University responsible for making policy and sets in place rules, procedures and mechanisms to ensure the effective management of the University through the Standard Institutional Statutes, established in terms of section 33 of the Higher Education Act, 1997 (Act No. 101 of 1997) as amended

“Chancellor” means the person contemplated in paragraph 5 of the Standard Institutional Statute

“Day” means a full calendar day recognized by the university and includes Saturday and Sunday

“Day students” mean the bona fide registered students of the University who do not reside in the university’s residence.

“Director” means a person appointed in terms of paragraph 48 (1) and 48 (2) of the Standard Institutional Statutes, to perform specific managerial, administrative and supervisory functions in an academic or support division of the University, at the institutional or campus level and in a specific category in accordance with the staff policy of the University

“Directorate” shall mean the recognized and official Student Life Directorate as contemplated in the University’s Institutional Plan

“Duties” includes powers and functions and vice versa

“Electoral Officer” shall mean a person identified a member of the Independent Electoral Commission responsible for the organization of the SRC elections in a University

“Employee” means any person employed by the University

“Employer” means the Council of the University

“Entity” means any organization, forum or body and includes any organizational structure provided for in the Act or determined by Council

“Executive Committee” shall mean the organization’s highest authoritative body

“Ex-officio” shall mean by virtue of his/ her office/ portfolio

“Executive Dean (Student Support Services)” shall mean an executive staff member of the university responsible for the student affairs portfolio

“Faculty Council” shall mean a duly constituted student council set up to represent the interests of students in a particular faculty

“Functions” includes powers and functions and vice versa

“General Elections” shall mean an election involving all bona fide students of the University for their Choice of candidates

“General Meeting” shall mean a meeting to which all the students on a campus are invited by the SRC

“Higher Education Act” shall mean the Higher Education Act, 1997 (Act no. 101 of 1997) as amended
“Institution” means the University, as duly constituted in terms of the Higher Education Act, 1997 (act no.101 of 1997)

“Institutional Forum” shall mean the institutional forum contemplated in section 31 of the Act

“Interim Council” means the interim council appointed by the Minister as contemplated in section 20 (6), 21 (3) (a) and 23 (5) of the Act

“Management” means the staff members of the University indicated in paragraph 48 (1) and 48 (2) of the Standard Institutional Statute

“Mass meeting” means a meeting of the general student body

“Minister” means the Minister of Higher Education and Training

“Quorum” means the required majority of members at a meeting to ensure the meeting is duly constituted.

“University” shall mean the University

“Majority” means a simple majority, unless otherwise indicated.

“Misconduct” means any conduct that constitutes theft, corruption, fraud, dishonesty, serious violence, interruption of the university’s daily working hours or any act which undermines the integrity or stains the name of the university

“Non-academic Employee” means any employee who is not an academic employee

“Notice boards” means the general notification boards found throughout the University campuses

“Office Bearer” means a functionary provided for in the Act or determined by the Council

“Ordinary Meetings” means meetings of the SRC held on a regular basis for the purpose of conducting SRC business and for which no special notice needs to be given

“Recognized Student Organization” shall mean a student organization which has met the criteria set by the SRC for recognition

“Residence” shall mean any one of the University’s official site wherein students reside during the academic calendar period

“Residence student” shall mean a registered student of the University for a determined academic calendar year who resides in any one of the University’s residences

“Rules” means the institutional rules promulgated by the University council in terms of section 32 (1) (b) of the Act

“Seat of the Institution” for the purposes of paragraph 3 of the Standard Institutional Statutes and section 65 (a) of the Act means the physical location of the institution set out in the notice contemplated in section 20 (1), 21 (1) or 23 (1) of the Act

“Senate” shall mean the University body responsible for academic matters contemplated in the Act
“Semester” shall mean an academic period of the University constituting either the first or second half of a calendar year as determined by the University’s sessional dates.

“Simple majority” means 50% + one of the members present when such a vote is conducted.

“Society” means a grouping of students with particular interest and recognized by SRC, (e.g. Churches, poetry and dance clubs)

“Special Meeting” means a meeting that is outside the regular meetings schedule of the SRC to discuss something important or unusual and does not require any special notice.

“SRC” means the Student Representative Council, which is the highest governing body representing bona fide students at the University.

“SRC Disciplinary Committee” means a student disciplinary committee established by the SRC.

“Student” means any person registered as a student at a higher education institution for a programme of the University leading to the attainment of a qualification.

“Student Representative Council” means, in a broad sense, the highest student representative body of the student community as contemplated in Section 35 of the Act. In this Constitution the abbreviation SRC shall have the same meaning.

“Structure” means any student organization recognized by the SRC with an inclusive representation of student interests regardless of race or gender.

“University” means the university as established in terms of the Higher Education Act 101 of 1997, as amended.

“Year” shall mean the University academic year as defined by the University’s sessional dates.

Unless inconsistent with the context:

Any reference to the masculine gender shall equally apply to the feminine gender. Any reference to the singular shall equally apply to the plural and vice versa.

3.3. Purpose of this constitution

The express purpose of this Constitution is to regulate the operations of the SRC and to provide a framework for management of relations between the SRC, the student body, Council, and the University management.

The Constitution of the Student Representative Council serves the purpose of outlining the details and the procedural implementation aspects of the Higher Education Act, Act No. 101, 1997 (as amended) and the Standard Institutional Statutes with regard to the establishment and composition, manner of election, term of office, functions, and privileges of the Student Representative Council.
The Constitution bestows rights and responsibilities on the SRC and the student body of the University.

3.3.1. Jurisdiction

i. Application of this Constitution is limited to students’ interests, aspirations and expectations.
ii. This Constitution shall apply to all decisions taken and acts performed relating to student life.

3.3.2. Application

i. The Student Representative Council is the highest recognised student body in the University that governs, bridges the gap between management and students, and serves as the mouthpiece of the entire student body

ii. This Constitution applies to all University students, and the SRC provided for at the University.

iii. The SRC of the university shall be elected where the seat of the university lies

iv. In the event of any conflict, contradiction, and/or uncertainty regarding powers and functions of the SRC the University Council shall have the final decision

v. This Constitution and any amendments to it shall only be in force and effect once it has been approved by the University Council, and confirmed in writing

vi. The Constitution shall be subject to university policies, rules, and regulations

3.3.3. Authority and Status of the SRC

i. The SRC shall, at all times, recognise and be subjected to the authority of:
   • Executive Management Committee
   • Council
ii. The SRC shall liaise with the University administration via:
   - The Bureau for Student Governance
   - The Dean of Students

iii. The SRC is established in terms of section 35 of the Higher Education Act, 1997 as well as section 36 (1) and 36 (2) (a – h) of the Standard Institutional Statute, 2002

3.3.4. Legal Entity

i. The Student Representative Council is **not** a legal entity but shall inherit authority from section 35 of Higher Education Act 101 of 1997 as amended, and as delegated to it by University Council and informed by the Standard Institutional Statute

ii. The SRC is **not** a profit-making body, either for itself or for its members. No part of the assets of the SRC will be paid out as dividend or as any other benefit (exclusive of allowances) to any member, provided that the SRC is authorised to compensate the persons appointed by it to render a service to the SRC

3.3.5. Objectives of the SRC

i. Foster the recognition of the rights and responsibilities of students to the institution, community and humanity

ii. Promote an environment conducive to academic, physical, spiritual, social and political development of students through their University career

iii. Create a forum for students to articulate and express their views, interests, aspirations, maintaining a continuous community link and to resolutely oppose inhumanity

iv. Encourage and strive for an education system that is based on the principle of democracy

v. Ensure that unity prevails amongst all University students and student organizations by inculcating a sense of responsibility and accountability

vi. Facilitate a culture of tolerance, understanding, peace and reconciliation amongst students, and between staff and students at all times

vii. Afford or facilitate recognized means of communication and co-operation between students and the authorities of the University and amongst students themselves
viii. Foster good relations between the students of this University and those of other national and international universities, which have common aims and objectives
ix. Promote and maintain communication with outside bodies, provided that this promotes the interests of the University, in terms of its vision and mission and the student body
x. Help maintain highly competitive professional academic and educational standards

3.3.6. Functions of the SRC

i. Represent and defend the entire student community of the University, either individually or collectively, in all matters concerning their aspirations and interests over which the SRC has authority
ii. Initiate and provide effective and positive leadership for the students it represents
iii. Function as an apolitical body
iv. Promote all extra-mural activities at the University, cultural or otherwise, while not interfering in the internal management of any committee acting in accordance with its constitution and that of the SRC

3.3.7. Powers of the SRC

The SRC shall have the powers to:

i. Act as the only mouthpiece or spokesperson of the student body
ii. Summon and conduct mass meetings of students at least once every semester or upon receipt by the SRC of a petition signed by at least 30% of the enfranchised students, or if the SRC deems it necessary that a mass meeting of students be summoned
iii. Call and conduct general referendums as it deems it fit or by a simple majority request through a signed petition by the properly registered student organization
iv. Release press statements on matters that have a direct bearing on the functioning of the SRC and its subsidiaries
v. Control all student publications of organizations under the jurisdiction of the SRC, and according to regulations which the Council may, from time to time, issue
vi. In consultation with the EMC, invite (a) guest(s) speaker(s) to come and address students on matters beneficial to student life
vii. Administer any funds allocated to or obtained by itself or any of its subsidiaries in terms of this Constitution, and in compliance with the University’s policy on Financial Management

viii. Aid and/ or assist any officially recognized student structure and/ or programmes

ix. Review and recommend status for student organizations, consistent with the mission and vision of the University

x. Require reports at least three (3) times a year from all committees arising from its authority

xi. Promulgate and/ or amend rules, administrative rules and codes of conduct, consistent with the terms of this Constitution, the general rules and regulations of the University, decisions of the EMC and that of Council and the Higher Education Act, 1997

xii. Exercise disciplinary powers in respect of its individual members, student organizations and their individual members, and to refer major cases to the Deputy Vice Chancellor: Student Affairs

xiii. Supervise matters pertaining to meetings, collections and petitions organized by students it represents, including obtaining permission for the use of the name of the University by students

xiv. Formulate standing rules and orders for its own proceedings and for such other committees or organizations which the SRC might deem necessary to create

xv. Elect Standing or Portfolio Committees and officials and to provide for the duties of such officials and committees in relation to the SRC

xvi. Delegate some of its powers to one or more of its members, subject to the restrictions as determined by the SRC; or enforce or withdraw such powers by means of a properly constituted meeting of the SRC

xvii. Review and recommend status of a student organization

xviii. Override a veto or decision, by prerogative of the SRC President by two-thirds vote of the Executive Committee present at the following official meeting

3.3.8 Membership

All properly registered students at the University are automatically members of the student body, and therefore eligible to vote and be voted for into any student organization or office within the University.
3.3.9 Termination of Membership of the SRC

A member of the SRC shall cease to hold office or his/ her seat shall become vacant:

i. If he/ she ceases to be a registered student of the University

ii. If he/ she does not finish a semester or year of study successfully and not promoted to the next year of study.

iii. If he/ she resigns from the SRC and such a resignation is accepted and endorsed by the SRC.

iv. If he/ she, during their term of office, is charged and found guilty of any misconduct, either by the University disciplinary committee or courts of law, even those that might not culminate in or ends up with a criminal record.

v. If he/ she terminate membership of their party or student organization or cross the floor during his/ her term of office.

vi. If it is proved beyond any reasonable doubt that the member’s behaviour had put the good name of the SRC and/ or the University into disrepute.

vii. If more than two-thirds of the members of the SRC resign simultaneously; or if their membership is terminated simultaneously, that SRC shall have been deemed to be dissolved and its functions shall be administered by management of the University until a new SRC is elected into office.

viii. If the SRC passes a motion of no-confidence on any member by a two-thirds majority on grounds that he/ she was neglecting, shirking, unwilling to or incapable of fulfilling his duties as an SRC member.

ix. If he/ she fails to attend two consecutive meetings of the SRC without a valid apology or well substantiated reason being given to the Secretary of the SRC and approved by the SRC.

x. If he/ she is absent from an official meeting with formal apologies from more than four (4) consecutive meetings during his/ her term of office.

xi. If the term of office of the member has officially expired.

3.3.10. SRC Term of Office & Eligibility

i. The term of office of the SRC shall commence on the date of being constitutionally elected and shall continue until the date of the next elections

ii. The term of office of the SRC shall be 12 months

iii. No member of the SRC shall be allowed to serve more than two terms

iv. SRC members shall be properly registered students of the University
v. SRC members shall have been duly elected members during an official election of the SRC

3.3.11. Composition of the SRC

The SRC shall consist of 12 Executive Committee (EXCO) members:

- President
- Deputy President
- Secretary
- Deputy Secretary
- Publicity and Information Officer
- Constitution and Societies Officer
- Academic Officer
- Gender Equality Officer
- Sports Officer
- Projects Officer
- Health and Safety Officer
- Residence Officer

3.3.12 Powers and Functions of the EXCO of the SRC

The Executive Committee shall fulfil the following powers and functions:

i. To effectively and efficiently exercise those powers delegated to it by the SRC
ii. To establish Standing or Portfolio Committees that shall be chaired by ordinary members of the SRC, in terms of this Constitution
iii. To attend to day-to-day administration of the SRC
iv. To report regularly to the SRC with regards to its activities, and promptly provide the SRC with minutes of all meetings
v. To promote effective communication between and amongst the SRC, portfolio committees, sub-committees and the EXCO itself
vi. To administer all funds received by the SRC on behalf of the student organizations and subsidiary structures

vii. To prepare and present annual reports on all activities performed during its term of office

viii. To convene a mass meeting as contemplated by this Constitution

3.3.12. Meetings of the SRC

i. A meeting of a newly elected SRC shall be held not later than one week after the election result

ii. Meetings of the SRC shall be held at least once every four weeks, on the dates determined by the Executive Committee

iii. The President of the SRC shall be the presiding officer, and in his absence the Deputy President or a person appointed or elected by the SRC in the absence of both shall preside over meetings of the SRC.

iv. Official notice of the date, time and place of the SRC meeting shall be posted on the notice boards at least seven (7) days prior to such a meeting.

v. The quorum shall be fifty percent plus one (50% + 1) at such a meeting

3.3.12. Meetings of the Executive Committee of the SRC

i. Meetings of the EXCO shall be held at least once every week during the academic year

ii. Official notice of the date, time and place of the EXCO meeting shall be sent to all members at least three (3) days prior to the sitting

iii. The quorum at such a meeting shall be seventy five percent (75%)

3.3.13. General Mass Meetings

i. General mass meetings shall be held at least once every semester, on the dates determined by the SRC

ii. A special mass meeting may be convened at the insistence of the SRC, or on request by at least thirty percent (30%) of the registered students of the University, provided that such a request contains clear statement of the matter to be discussed, and also that all signatures are legible and accompanied by a student number of the signatory
iii. The SRC shall have the power to convene such a meeting at short notice of at least forty eight (48) hours
iv. Only the issue that necessitated the meeting shall be discussed
v. The normal rules, in terms of the meeting procedures shall apply at such meetings
vi. The quorum at any mass meeting shall be at least ten percent (10%) of the registered students and the presiding officer at such a meeting shall be the President of the SRC, and in his absence the Deputy President, or a member appointed or elected from within the ranks of the SRC
vii. The presiding officer at such meetings shall have the power to order any member whose conduct is unbecoming, unruly or disorderly to leave the meeting
viii. The ruling of the presiding officer on any question or dispute shall be binding, unless immediately challenged by a member of the student body
ix. Official notice of the date, time and place of a mass meeting shall posted on the notice boards at least seven (7) days prior to such a meeting
x. Only the SRC has the power to convene a mass meeting

3.3.14. Annual General Meeting

i. The SRC is obliged to convene an AGM at least three weeks prior to the commencement of the SRC elections period, as determined by the appointed Electoral Commission
ii. The details of the meeting, including the date, venue and agenda shall be published on student notice boards at least two weeks prior to the meeting
iii. The AGM’s are open to all registered students of the University
iv. Decisions shall be taken via a simple majority vote

3.3.15. Special SRC Meetings

i. May be called on the request of seven (7) or more members of the SRC in writing to the President
ii. All stipulations that are valid for normal SRC meetings are valid mutatis mutandis for the special SRC Meeting, provided that the agenda of the Special Meeting is focused on more specific matters
iii. Should the Special Meeting be urgent, the 24 hour period of notice shall cease to be valid, provided that all SRC members can be informed before commencement of the said meeting;

3.3.16. SRC Finances

i. The SRC shall enjoy the powers to make decisions regarding the use of funds at its disposal

ii. A financial statement which is a true reflection of the position of the SRC’s financial matters will be submitted to the University Student Services Council at the end of the financial year of the SRC

iii. At every formal SRC meeting a report must be submitted and tabled for discussion regarding the SRC’s financial position, and such a report should be made available for inspection by any properly registered student of the University

iv. No financial liability beyond that authorised by the SRC shall be incurred by any student organization, society, club or committee under the auspices, authority or supervision of the SRC

v. The SRC shall not incur debts which it will not be able to meet during its term of office

vi. The outgoing SRC shall be held responsible or liable for all financial irregularities related to their term of office

vii. Any expenditure shall be authorised by consensus or a two-thirds majority

3.3.17. Code of Conduct

i. Every member should have a copy of the Code of Conduct and abide by its rules and regulations

ii. It is the duty of the SRC to adopt and ratify a Code of Conduct on the first meeting after inauguration.

iii. The document drafted by the SRC is a policy document as provided for in the SRC Constitution

3.3.18. Recognition of Student Organizations

i. SRC receives and recognises student organisations
ii. Applications for recognition as a bona fide Student Organization shall be made using the prescribed forms

iii. The applying organization shall have a Constitution, a Founding Committee and membership proportionate to the size and nature of the organization with a minimum of 20 students

iv. The application should include the intended aims and objectives of the organization, action plan and programme and a budget request

v. All applications received will be considered at an official SRC ordinary meeting. If recognition is granted, the applying student organization will be notified in writing within seven working days of the meeting, and will then be free to commence its activities enjoying the support of the SRC

vi. In the event of a rejection of an application, full reasons shall be supplied in writing no later than seven days after the meeting at which the application is considered

vii. Should the applicants feel aggrieved by a rejection, they have the right to submit an appeal with the relevant student support management office

viii. Student organisations are required to attend events organised by the SRC.

ix. The Constitution Officer should annually submit recommendations to the SRC on how to affiliate, however the SRC should approve the criteria, and make it available to affected members.

x. Registered student organizations should submit annual progress reports as well as financial statements to the constitution officer.

xi. Registered student organizations should abide by rules set by the SRC and communicated in the constitution

3.3.19. Privileges of the SRC Members

These will be determined by the university Council on an annual basis as provided for in the policy on SRC benefits

3.3.20. Vacancies in the SRC

i. In the event of a vacancy occurring in the SRC, such a vacancy should be filled by a bi-election. In the case of a proportional representation system the candidate who is next on the list shall automatically fill the vacant seat
ii. Using the co-option route where the natural order of the party list is followed, should the candidate decline or not be available to stand, the SRC in consultation with the office of Student Affairs shall constitute the By-Elections.

iii. The position of the President left vacant shall be by filled by promoting the Deputy President to President as a natural order of procession.

iv. The replacement of members must be done in a manner that does not impede or disturb the functioning and smooth running of the SRC

3.3.21. Reshuffling of Portfolios of the SRC

i. Conducted at the discretion of the SRC

ii. Reshuffling of Portfolios may be necessary when a replacement has been effected

iii. SRC must inform the Office of the Executive Dean of Students in writing of the intention to reshuffle portfolios

iv. The Executive Dean of Students shall have the prerogative of appointing a presiding officer over the process of reshuffling

3.3.22. Violation of the SRC Constitution

i. Should any member of the SRC or any student leader violate the SRC constitution, SRC Code of Conduct or any University Rule, such violation shall be dealt with as follows:

   • The violation may be dealt with in terms of the SRC Code of Conduct; or
   • The violation may also be dealt with in terms of University Rules and Policies if it violates such Rules and Policies.

ii. Should the SRC violate or contravene the SRC Constitution, the violation or contravention shall be dealt with as follows:

   • A petition in respect of the violation must be submitted in writing to the Student Parliament for consideration and decision.
• Should the Student Parliament fail to act or in the absence of Student Parliament such a petition may be submitted to the Executive Dean of Students, who may, after informing the SRC in writing, suspend all or some of the SRC activities/ functions.

3.3.23. Dissolution of the SRC

SRC may be dissolved under the following conditions:

i. Vote of no-confidence motion

ii. An individual student or group has the right to propose a vote of no-confidence in the SRC if he/she/they are dissatisfied with the way the SRC conducts its affairs, provided that they shall first engage the SRC to find solutions to issues with which they are dissatisfied. Only if there is evidence of such engagement with the SRC shall the proposer(s) resort to a motion of no-confidence

iii. A mass meeting shall be called by the SRC to consider such a motion. A quorum of thirty percent (30%) of registered students shall be required at such a mass meeting

iv. The Student Affairs division shall ensure that the SRC calls the mass meeting to consider the motion

v. The Student Affairs division shall chair the mass meeting at which a motion of no confidence in the SRC is to be considered

vi. At the said mass meeting a decision shall be taken in terms of simple majority at the meeting.

vii. An Interim SRC shall be elected in the same meeting to assume responsibilities of the SRC until the election of a new SRC. Elections for a new SRC shall be held within a period not exceeding six weeks during the interim phase.

viii. If two-thirds of members resign simultaneously the SRC shall be dissolved
ix. Should the SRC fail to convene an AGM by the end of the third term, the Vice-Chancellor may dissolve the SRC and facilitate a process of establishing an Interim SRC

x. The Vice-Chancellor may dissolve the SRC and facilitate a process of establishing an Interim SRC if, without justifiable and acceptable reasons, the SRC fails to execute its functions and responsibilities as set out in the SRC Constitution. Elections for a new SRC shall be held within a period not exceeding six week during normal term time

3.3.24. Amendments to the SRC Constitution

Proposed amendments to the Constitution shall be considered at a Special AGM.

i. Students shall be given one month to submit any proposed amendments

ii. Proposed amendments, supported in writing by at least five hundred (500) students, may be submitted in writing by any student or student organisation to the Student Affairs division who shall make a record of them and pass them on to the Secretary

iii. Prior to the Special AGM, proposed amendments must be discussed and recommended for approval by at least sixty percent (60%) of the Student Parliament

iv. Amendments recommended for approval shall be publicised to the general student body four (4) weeks prior to the Special AGM where they will be considered. Students may submit written comments or input on the recommended amendments and submit them to the Student Affairs division who will make a record of them and pass them on to the Secretary

v. There should be clarity about and an indication of amendments recommended for approval and those that are not recommended for approval by the SRC and/or Student Parliament. At the Special AGM, the proposer(s) may motivate to the student body the amendments that are not recommended for approval by the SRC and/or Student Parliament
vi. A quorum of ten percent (10%) of registered students shall be required at the Special AGM called to consider amendments to the Constitution.

vii. At least the support of simple majority of students present at the Special AGM shall be required to pass an amendment to the Constitution.

viii. Amendments to the Constitution shall require the approval of Council. Council may:

- accept proposed amendment(s) as is
- accept amendment(s) with changes
- refer a matter back to the SRC and student body for reconsideration
- reject proposed amendment(s)

3.3.25. Promulgation

i. The Constitution should be approved by the Council and put on the University’s website in order to be easily accessible for all students.

ii. Official notice boards can be used to promulgate the Constitution.
NEW UNIVERSITY POLICY

4. POLICY ON THE USE OF ALCOHOL

<table>
<thead>
<tr>
<th>Name of Originator</th>
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<tbody>
<tr>
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<td>Approved by Legal Div</td>
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<tr>
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<td>Approved by Registrar</td>
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The University recognizes applicable legal prescripts that govern alcohol consumption and encourages compliance with it. Furthermore, the University's policy governing student behaviour echoes the legal requirements and holds students accountable for their decisions regarding alcohol. Within the limits of the law, the University recognizes the right of choice and insists on responsible drinking for those who choose to drink and respecting the rights of those who choose not to drink. When drinking, individuals will be expected to conduct themselves maturely and responsibly, always respecting the rights of others. Because of our concern for the rights of individual students and the personal growth of each, the University will intervene when inappropriate behaviour is demonstrated.

Because of the negative effect on academic performance, health, personal relationships and safety, the University is strongly against alcohol abuse. The University provides alcohol education programs, on-campus counselling services, and referral to off-campus counselling and treatment programs. Seeking confidential assistance from or being referred to these services will not, by itself, result in disciplinary action.

4.1. Preamble

While the choice to use or not use alcohol is an individual one, alcohol issues on campus are a shared responsibility. The licensed and informal activities associated with alcohol use are an institutional responsibility. The University takes the position that all its members, including
students, have an obligation to make legal and responsible decisions concerning their conduct and alcohol use or non-use. The University will intervene when alcohol is used illegally or when its abuse leads to conduct that endangers the individual(s) involved or others, or that results in damage to the property of the University, disrupts its activities, or interferes with the rights of other persons. The University is responsible for the effective implementation of this policy. The University will establish an Alcohol Advisory Committee that shall be a key resource to the University in discharging its responsibilities. It will meet at least annually, to review the policies and procedures regarding alcohol service and education at the University. This committee will continue to review best practices regarding alcohol service, educational initiatives and risk management, review educational programs directed to all members of the University community, and determine levels of training for individuals involved in the service of alcohol or in monitoring events at which alcohol is served.

4.2. Objective of Policy

i. To educate students regarding the effects of use, misuse, and abuse of alcohol in order to encourage responsible decision-making

ii. To increase student understanding, acceptance of, and participation in activities which do not include the use of alcohol

iii. To make available professional staff to assist individuals or groups address concerns related to alcohol use, including counselling, staff training and educational programs.

iv. To maintain behavioural guidelines in accordance with provincial laws for appropriate response to the use, misuse and abuse of alcohol.

4.3. General principles

The University considers all its members - faculty, staff and students - to be mature persons and accordingly, the obligation to use alcohol legally and responsibly is, first and foremost, an individual one. That individual obligation does not preclude the University from taking appropriate action against individuals when their actions adversely affect University activities or are inconsistent with this Policy.
4.3.1. University Obligation:

i. Implement serving practices and policies that promote the responsible use of alcohol and inhibit the adoption of high risk alcohol consumption practices.

ii. Pay particular attention to alcohol use practices in University residences.

iii. Manage alcohol use in a way that seeks to prevent the creation of unreasonable risks.

iv. Manage licensed facilities in accordance with the law and the terms of the University license.

v. Provide appropriate training to those responsible for the management of licensed premises and the serving of alcoholic beverages.

vi. Educate members of the University, especially high risk groups, regarding responsible alcohol use and the dangers of erratic use.

vii. Stay in touch with developments regarding alcohol use education programs and training, related services, and other relevant data regarding alcohol consumption on campus.

viii. Intervene when alcohol use endangers the individual involved or others, and significantly affects an individual's ability to function in the University context, or results in damage to the property of the University, disrupts its activities, educational or otherwise, or interferes with the rights of other persons.

These principles have implications for the administration of the University's liquor license, the approach to alcohol use among the University's students, and among its faculty and staff.

4.3.2. Guidelines

The following are guidelines:

i. It is illegal for student organizations to sell alcohol without a valid license.

ii. Alcohol must be served by a licensed and insured caterer.

iii. The University’s Safety Department must be notified in advance if an event is to serve or sell any alcoholic beverages.

iv. If alcohol is to be present at an SRC or organization-sponsored activity, the SRC or organization would be liable to provide security for the safety of its members and reduce its liability if:

   • Alcohol is not the focus of the event;
• Alternative beverages are provided;
• Procedures are in place to prevent service or sale to persons under the legal age to consume alcohol;
• Alcoholic beverages are not purchased with SRC or organization funds nor with the contributions of individual members;
• Service complies with this Policy, as well as the rules of the facility;
• Designated non-drinking hosts are assigned to attend the event.
• Assist any attendee who is intoxicated with finding alternative transportation home if he/she is unable to drive

If alcohol is to be present at an event, the preferred methods of serving alcohol are to use a caterer or hold the event at a site provided by a vendor who is licensed to sell and serve alcohol.

Schools, departments, faculties, residences, clubs, student organizations and administrative office are expected to encourage students’ compliance with these expectations and recommendations.

The University expects each student organization to adopt a policy about the use of alcohol and other drugs that is consistent with this Policy complies with municipal by-laws and minimizes criminal and civil liability to the organization and its members, and helps assure the personal safety and welfare of the members.

The Directorate of Student Affairs will provide resources and references to assist student organizations with the application of policies.

**4.3.3. The University’s Liquor Licence**

The administration of the University's liquor license is the responsibility of the DVC: Student Support Services. This responsibility has been delegated to the Head of Department: Residences, who shall report to the DVC: Student Support Services. The Head of Department: Residences is the designated administrator of the license. The Bar Services operation reports to the License Administrator. This responsibility will be exercised in consultation with users of licensed premises and license services, and with the University Alcohol Use Advisory Committee. The liquor license shall be administered in accordance with the following rules:

i. Access to alcohol service on campus utilizing the University liquor license is a privilege, available only to the extent that there is compliance with all internal rules, regulations and statutory requirements.
ii. Without exception, alcoholic beverages may not be consumed on campus or residences except in licensed areas by arrangement with Bar Services. Without exception, only alcoholic beverages purchased through Bar Services may be consumed on campus.

iii. Normally food and non-alcoholic beverages should be available whenever alcoholic beverages are served.

iv. Alcoholic beverages will be priced to recover the cost of product and any necessary handling charges. A small profit is allowable, but organizations should not depend on alcohol-related revenues to support their operations to a significant extent.

v. In licensed areas, alcoholic beverages may only be served by persons who have completed a training program operated by Bar Services, or another program approved by the Alcohol Use Advisory Committee.

vi. Events at which alcohol is served in licensed areas are open to members of the University and their guests, plus those attending conferences or other special events on campus.

vii. Users of the campus liquor license who fail to observe the applicable law and regulations or the provisions of this Policy, or who fail to pay their accounts with Bar Services within a reasonable time, may have their privileges withdrawn by the License Administrator.

viii. Advertising of events (on campus or elsewhere) which emphasizes excessive or inappropriate alcohol consumption, or which refers to the price or cost of alcohol, will not be allowed on campus.

ix. Normally, the University should not permit the distribution of free alcohol products for consumption on its premises. However, in exceptional circumstances, permission may be granted. Requests for permission should be directed to the License Administrator, who will keep a record of requests that are approved and report periodically to the Advisory Committee.

Suppliers who distribute free product without permission may have their products delisted for consumption in licensed premises on campus.

4.3.4. Alcohol Education for Students

An alcohol education program shall be conducted by the Directorate of Student Affairs in conjunction with the SRC and in consultation with the University Alcohol Use Advisor Committee.

i. The programs will be aimed primarily at students, especially those who use licensed facilities on campus or live in residence.
ii. The program will be financed from a variety of sources, including, where appropriate, a contribution from the residence budget, alcohol sales revenues on campus, other contributions, and funds from the SRC, with other staff time and support provided by Student Affairs.

iii. Interventions to deal with instances of alcohol abuse by individual students will be dealt with discreetly in a manner that respects that student. University staff should be made aware of the existence of these interventions in order for them to refer students in identified as most in need.

iv. The University should maintain links with agencies and organizations concerned with responsible alcohol use so as to stay abreast of developments in this area.

v. Alcohol shall never be served to any person under the legal drinking age. Any event or activity involving the sale of alcohol at which under-age persons are expected to attend shall employ control procedures to ensure that no underage drinking takes place. Alcohol shall never be served to an intoxicated individual.

vi. Any advertisements for events or activities at which alcohol is served shall abide by relevant legislation and University policies; mention of alcohol on such materials shall be restricted to the information that the event is licensed.

vii. The University should take steps to encourage responsible decision-making about using and not using alcohol by its members by offering educational programs both in alcohol awareness and in serving practices.

viii. Educational programs regarding alcohol should be widely disseminated to the University community and should focus on harm reduction and appropriate decisions concerning the use of alcohol.

ix. Alcohol education programs should be developed in consultation with members of the University Alcohol Advisory Committee and members of relevant University community groups, including major event organizers.

x. Student training sessions such as event planning for residence committee training, leadership training and orientation coordinator and leader training should all include information about alcohol, server intervention, harm reduction and safety awareness.

**Alcohol education programs will be utilized in the following ways:**

i. When a student has violated the alcohol policies s/he will be required to attend an alcohol education program.
ii. Students who are experiencing academic, personal, or behavioural difficulties because of their use, misuse or abuse of alcohol may be referred to an alcohol education program or to alcohol treatment as a condition of their enrolment.

iii. Alcohol education will be available to any student organization that wishes to sponsor or stage a student life activity such as a bash, sport challenges, excursions etc.

4.3.5. University Alcohol advisory Committee

The University has a legal obligation to manage alcohol use on its campus(es) in a way that is consistent with the terms of its liquor licences and other applicable legislation, that protects the safety of its students, and that protects the University from liability with respect to alcohol-related incidents.

Regulations and practices concerning alcohol service will be developed in the context of the Liquor Licence Act and Regulations in consultation with users, and will be realistic, clearly articulated in writing and widely circulated on campus, especially to those who are responsible for facilities where alcohol is served on campus.

Regulations and policies concerning the sale and consumption of alcohol at the University shall apply equally to all members of the University community.

A University Alcohol Use Advisory Committee will be established and will be responsible for:

- Assisting the University administration in the responsible management of alcohol use on campus.
- Monitor the implementation of the University Alcohol Policy, recommending changes when appropriate.
- Advise regarding the handling of specific alcohol use issues.

The Committee's composition will be the discretion of the Council of the University in consultation with the SRC, the DVC for Student Support Services and the Head of the Department of Residences who will act as the University’s Liquor License Administrator.
4.3.6. Violation of the University Alcohol Policy

When a minor violation of the University Alcohol Policy or liquor license regulations is detected, provided that the violation is corrected immediately, a licensed event may be allowed to continue to its conclusion. However, the University and the License Administrator reserve the right to stop alcohol service immediately if a serious violation is detected and immediate closure of the event seems appropriate.

When a violation of the University Alcohol Policy or terms of the liquor license is detected, those responsible for the event will be notified. As soon as possible (within three working days of the violation) the License Administrator will give the responsible groups or individual the opportunity to respond to the allegation, in person or in writing.

Following consideration of any response and any other relevant information, the License Administrator shall consult with the DVC for Student Support Services, and may impose a penalty, consisting of a fine, or a period of suspension of the right to conduct a licensed event on campus, or both. Any penalty arising from the violation of this policy or the terms of the liquor license shall be determined by the University Alcohol Use Advisory Committee.

4.3.7. Authorisation of an event where Alcohol is served

Alcohol may be served at events when authorization has been given by appropriate University personnel. Student groups and organizations, residence students, faculty groups and all other University groups wishing to serve alcohol at an event will submit their requests for authorization to the Head of Department - Residences. All off-campus groups wishing to sponsor an event where alcohol will be served will also obtain authorization from the Head of Department - Residences. Decisions for authorization will be based upon written requests submitted at least one week prior to the event that demonstrate sufficient care will be taken to abide by University regulations and the following guidelines:

i. The lawful sale of alcoholic beverages will be conducted solely by personnel from a licensed liquor establishment that can demonstrate the possession of appropriate bartender liability insurance coverage.

ii. Precautionary measures will be taken to ensure that alcoholic beverages are not accessible or served to persons under the age of 18 years of age or to persons who appear intoxicated.
iii. Consumption of alcoholic beverages is permitted only within an established and approved area designated for the event.

iv. Alternative non-alcoholic beverages must be available at the same place as all alcoholic beverages and featured as prominently as the alcoholic beverage.

v. A reasonable portion of the event's budget shall be assigned to the purchase of food items.

vi. Advertisements shall not feature alcohol as an inducement to participate in a campus event. No reference shall be made to the amount of alcoholic beverages that will be available. The availability of non-alcoholic beverages should be advertised.

vii. University safety personnel shall be present at all times during the event.

viii. University guidelines for responsible party and events planning shall be followed.

4.3.8. Regulations Regarding Expected Behaviour

i. Consumption of alcoholic beverages is not permitted in residence hallways, lounges, lobbies or other public areas except when a lounge or lobby has been approved for an event where alcohol will be served.

ii. Any person who chooses to drink alcoholic beverages is expected to do so responsibly. Behaviour in violation of the alcohol policy will be addressed. These behaviours include but are not limited to:

   - Possession or consumption by anyone under the age of 18 years of age
   - Excessive noise
   - Vandalism
   - Verbal, written, or physical harassment
   - Excessive messes (e.g. litter, spills on carpets or furniture)
   - Sickness
   - Obvious intoxication (e.g. staggering, passed out, inability to care for self)
   - Throwing garbage, liquids, or other materials out of windows
   - Irresponsible hosting of functions

iii. All members of the community share the responsibility for ensuring that the alcohol policy is followed, and share in the responsibility for the safety and welfare of their peers and guests. This responsibility includes, but is not limited to: understanding that you are responsible for the behaviour of your guests; preventing intoxicated persons from driving by whatever means necessary; providing safe transportation to and from off-campus events;
securing the assistance of Campus Public Safety, the police, or University staff if necessary; and seeking alcohol education or professional advice if concerned about one's own, or another individual's misuse or abuse of alcohol.

iv. All persons are prohibited from possessing drug paraphernalia that is intended for use with controlled substances in campus residence. Drug paraphernalia includes but is not limited to pipes, water pipes, and flushes. The University may seize drug paraphernalia upon evidence that it has been used with illegal substances.

4.3.9. Responses to Inappropriate Behaviour by Individuals

Level 1
This represents a first violation of the alcohol policy where the student is cooperative with staff and aggravating circumstances are not present. Violations of this type may result in points being taken away from the student, restitution for any damages, and referral to an alcohol education program.

Level 2
This represents a repeat violation or a first violation where aggravating circumstances are present or the student involved is uncooperative, or is harassing or verbally abusive to staff or other students. Students with these kinds of violations will be assigned community service, will be docked points, and will be referred to an alcohol education program. Restitution will be required for any damages associated with the violation.

Level 3
This represents repeated violations of the alcohol policy and/or other residence hall policies while visibly under the influence of alcohol, or an initial violation of the alcohol policy where physical harassment, violence, or a pattern of other serious violations has occurred. Students with these kinds of violations will be assigned community service, will be docked points, and may be referred for an alcohol assessment. Restitution will be required for any damages associated with the violation. Residence students found responsible for these types of violations may be suspended from the residence halls.
Level 4
This represents any violation of the alcohol policy after a student has been found responsible for a Level 3 violation. Students found to be responsible for this type of violation may be suspended or expelled from the University.

4.3.10. Response to Inappropriate Behaviour Group

Groups who sponsor events where alcohol will be served are responsible for ensuring that the University alcohol policy regarding behaviour and authorization is adhered to by both hosts and participants. When the policy is violated by excessive noise or alcohol being transported from the designated event area, the group may receive a verbal request to remedy the situation. After the group is warned any violations of the alcohol policy will be responded to according to the levels similar to those that govern the conduct of individuals as indicated above.

4.3.11. General

Students should be aware of the general liquor laws applicable in the Republic and other such general sanctions relating to the use of alcohol e.g.

- No person under the age of 18 years shall be allowed to purchase, consume, or acquire alcoholic beverages
- No person shall sell, give or otherwise make available any alcoholic beverages to any person who is visibly intoxicated
- No driving under the influence of alcohol
NEW UNIVERSITY POLICY

5. CODE OF CONDUCT FOR STUDENT LEADERS

POLICY REFERENCE: SG 05

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5.1. Introduction

This Code of Conduct is intended to regulate the behaviour and conduct of SRC members and its substructures. Members of the SRC and its substructures are required to conduct themselves and their affairs in a manner befitting their positions of leadership. The Code of Conduct shall be read and applied in conjunction with rules contained in the Student Rule Book, and in conjunction with the SRC Constitution.

5.2. Injunctions and Transgressions

5.2.1. SRC Meetings

i. Members of the SRC shall attend all SRC meetings

ii. All notification for SRC meetings shall be seven days in advance. When a member is unable to attend a SRC meeting, he/she shall write an apology and submit it to the Secretary or relevant person in advance or within twenty four hours in the case of an emergency meeting.

iii. Members who are absent from two consecutive meetings, without written and acceptable apology, shall be dealt with in accordance with Section 29.1 of the SRC Constitution.
iv. No member shall use offensive or hate language during an SRC meeting. To avoid being personal, all members present in a meeting shall address the President.

5.2.2 **Dont’s for Student Leaders:**

i. Neglect the performance of the duties and responsibilities assigned to him/her in terms of the provisions of the SRC Constitution

ii. Bring the SRC into disrepute through his/her public conduct

iii. Involve themselves in confrontations that will diminish the integrity and reputation of the SRC

iv. Impede the proper functioning of the SRC or its substructures or sabotage its activities

v. Engage in activities or spread misinformation with the aim of turning the student community against the SRC

vi. Shall use offensive or hate language against the SRC, students or staff members

vii. Disrespect and offend the dignity of a fellow student or member of staff in any way

viii. Act in any way that creates disunity and division in the SRC

ix. Distort SRC policy positions and misrepresent the SRC for personal gain

x. Behave corruptly in seeking or accepting any kind of bribes for performing or not performing any task on behalf of the SRC

xi. Engage in abuse of office to obtain undue personal advantage

xii. Use the SRC name for personal gain, other than that of the SRC

xiii. Abuse SRC property for his/her personal benefit

xiv. Divulge information explicitly regarded by the SRC as private, confidential or sensitive with the aim of protecting the privacy, dignity and rights of a person or group

xv. Harass other members, fellow students and staff members, sexually or otherwise

xvi. Be involved in excessive consumption of alcohol or in consuming or selling of illegal drugs on University premises or in any SRC functions, programmes or projects
xvii. Destroy or threaten to destroy the property of the SRC or the University

5.2.3 Range of Penalties

Should an accused be found guilty, the Students’ Representative Council Tribunal may, in addition to the Range of Sentences listed in Rule Book, impose one or more of the following penalties:

i. A written final warning after which a sanction shall be imposed

ii. Community service, the arrangements and schedule of which will be determined by the University’s Judicial Services

iii. To apologise in writing to a person, body or organisation that has been wronged

iv. Expulsion of a member from the SRC

v. Deprivation of all or some of the privileges for a period not exceeding ninety days, which may include:

- Suspension of a student’s right and/or privilege to participate as a member, organiser, or official of any student organisation, including the SRC, or participation in any student activities of any nature
- Prevention from obtaining or wearing the colours of the University in any form

5.2.4 Appeals

A member who has been found guilty by the SRC Tribunal shall have the right to appeal against the verdict or sentence or both to the Student Disciplinary Tribunal. The process of appeal is set out in Student Rule Book.
5.2.5. Composition of the Tribunal

The composition of the Students’ Representative Council Tribunal is as set out in the Student Rule Book.
NEW UNIVERSITY POLICY

6. STUDENT DEATH/FUNERAL POLICY

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6.1 Background and Purpose:

This policy sets forth practices and agreements to be honoured in the event of the untimely passing away of any of the students of the University. The policy will guide officials on course of action to take during such an event.

1. Preamble
2. Purpose
3. Scope
4. Definitions
5. Rules
   5.1 Notification of University management and Administrative Offices
   5.2 Administrative actions in response to notification
   5.3 Closing of student records
   5.4 Support to the family of the deceased
   5.5 Memorial Service
   5.6 Formal representation of the university management
   5.7 Transport to funeral service
6.2 Preamble

The death of a student represents a loss not only to the family and friends of the deceased but also for the university community at large, the faculty and the department in which the student was studying, as well as for the classmates, colleagues and other students who interacted with the deceased during their time at the university. In the event of a student death, the University community must respond with compassion, thoroughness, and most importantly, with a measure of dignity toward the student and his/her family and friends.

The institutional response to a student death entails a series of administrative actions to settle accounts and close academic and personnel records. As outlined in the Procedure for Death of a Student, the campus Student Death Emergency Response (SDER) Team shall be activated and notifications made to a number of campus units in order to enable administrative actions to be taken in a timely manner. Notification responsibilities shall be coordinated by the Student Death Emergency Response Team Coordinator or his/her designee, as specified in the Procedure for Death of a Student.

This policy is intended to assist University personnel who gain first knowledge of such situations and those who by title or by delegation of responsibility become involved in the numerous and necessary University activities borne of such unfortunate events. This policy also shall ease the administrative burden of other University offices and address the needs of the student and his/her family in a timely manner.

6.3 Purpose of this Policy

This policy outlines the university’s responsibilities concerning the actions that are to be done following the death of one of its students. It is intended to set out administrative procedures and processes that should be followed to close the academic and financial records of the deceased. It also provides a framework within which the university carries out its social responsibility and provides support to the bereaved family.

The policy spells out the responsibilities concerning notifications required to various campus administrative and service departments in the event of the death of a student as well as coordinating such actions expeditiously and sensitively with regard to the feelings of the family, relatives, and friends of the deceased, have been detailed within the procedure.
6.4 Scope of this Policy

The policy is applicable to all registered students of the university and former students of the university (alumni). The policy applies to all *bona fide* students registered with the university in any programme offered by the university when the death occurs during the current academic year.

6.5 Definitions

**Student** - a student currently enrolled at the university during the academic semester/year, or one who has completed the immediately preceding semester/year and is eligible for re-enrolment.

**Student Death Emergency Response Team (SDERT)** - a campus administrative group consisting of the Head of Student Affairs, the Head of Campus Protection Services, Head of Student Housing, Head of Communications & Marketing, Head of Student Life, Head of Enrolment Services, University Registrar, Head of Counselling Services and Faculty/Departmental Representative. The team will be led by the Head of Student Affairs who functions as the Student Death Emergency Response Coordinator (SDERC).

**SDER Coordinator** - the Head of Student Affairs as designated by the University Vice Chancellor and Principal will lead the Student Death Emergency Response Team and is designated responsible for coordinating the notifications and other actions that may be necessary in response to a student death.

6.6 Rules

6.6.1 Notification of University management and Administrative Offices

i. In the event that a student or a staff member learns of a student’s death that has occurred off campus, she/he should contact the Head of Student Affairs.

ii. The Head of Student Affairs will brief the Registrar/Head of Enrolment Management, and the Head of Marketing and Corporate Communication who will liaise with the student’s family on behalf of the university.

iii. When the student’s death is on campus, the first responder will immediately contact the Head of Campus Protection Services. Campus Protection Services officers will respond and be in charge of the scene of the incident until all appropriate actions have been taken. At the first opportunity, Campus Protection Services officers will contact the Head of Student Affairs. The Head of Student Affairs will immediately inform the Vice Chancellor and other
University officials as outlined below and will contact appropriate staff members and coordinate their efforts. If resident, contact housing professional staff.

iv. In all cases, when a member of the University community learns of a student’s death, he/she should contact the Head of Student Affairs via email or by telephone. If after hours, Campus Protection Services should be contacted.

If possible, the following information should be provided by email:

1. Name of deceased student
2. Student’s ID number and/or Student Number (if known)
3. Date and time of death;
4. Circumstances surrounding the death;
5. Source of notification of the student's death (friend, call from family, media, etc.)
6. Whether the deceased student was a resident on campus
7. Whether the death occurred at a university residence.
8. Copy of obituary or article related to death (if available).

6.6.2 Administrative actions in response to notification

Head of Student Affairs will:

i. If appropriate, call members of the SEDR Team together.

ii. Inform the Vice Chancellor, and the Head of Marketing and Corporate Communication of the student’s death.

iii. When appropriate, the Head of Student Affairs will contact Academic Deans and other Heads who maintain direct oversight of the student (i.e.: Student Housing - on-campus student; Sport - student athlete; International Centre - international student).

iv. The Head of Student Affairs will notify, via email, the deceased student’s instructors and campus employer, through student employment, of the death.

v. The Head of Residence Life will inform the President of the SRC of the death of any student who was an on-campus resident.

vi. At some time after the death of a student, a meeting may be called by the Head of Student Affairs of involved staff members to insure that all appropriate measures have been taken in response to the student’s death. A checklist of notifications and any documentation will be kept on file in the Head of Student Affairs.
vii. When appropriate, the Head of Student Affairs will ensure that the families of any students with the same full name as the deceased student will be notified that their student was not the student involved.

6.6.3 Role of the Registrar and/or Head of Enrolment Management will:

i. Contact the family of the deceased student, offer support to the family on behalf of the University and liaise with other University personnel involved.

ii. Address the needs of surviving students by:

   - Contacting and arranging for an emergency crisis intervention team to address their immediate needs;
   - Ensuring that sponsored and non-sponsored students who wish to attend memorial services are excused from classes;
   - Creating access to Student Counselling Centre Team for consultation and/or grief counselling referral.

iii. On behalf of the deceased student:

   - Withdraw the student from classes and stop any billing process or correspondence;
   - Seal student file and terminate the record on computer so no further correspondence is sent to the student’s home;
   - Notify Financial Services to refund any applicable fees or deposits;

6.6.4 Role of the Head of Finance will:

i. Compile a list of any outstanding balances, library materials, etc. that might be billed against the deceased student’s account;

ii. Prepare any refunds, notice of outstanding accounts, etc.;

iii. Secure student’s account so no further correspondence regarding the account will be sent out;

iv. Forward all mail to the Deputy Vice Chancellor’s Office for mail out to next of kin.
6.6.5 Role of the Head of Marketing and Corporate Communications will:

i. Be responsible for any media involvement including dissemination of information and responding to media inquiries. Marketing and Corporate Communication will coordinate all contacts with the media as guided by the institution’s Crisis Communication Plan.

ii. Consult with family members before releasing any information.

iii. Prepare and forward a sympathy letter or card to the family on behalf of the university Community

6.6.6 Role of the Head of Student Housing will:

i. In coordination with the Head of Student Affairs and the deceased student’s family, facilitate the return of the deceased student’s property which may remain at Residence Life.

ii. If the death occurred in residence or if the student lived on campus, contact appropriate Residence Life staff and will coordinate Residence Life’s response to the student’s death.

iii. Work with the Head of Residence Life and other Residence Life staff to assist other residents who may be affected by the student’s death.

iv. Inform the Chairperson of the All Residence Council of the death of any student who was an on-campus resident.

v. Upon receiving notice of the death of a residence student, immediately secure the student’s personal space (bedroom and/or unit).

vi. In the event of a student death in residence, the Housing Officer, and Campus Security are to be notified as soon as possible and will meet at the residence to ensure that access is restricted and that the proper precautions are taken not to disturb the scene.

vii. Locate and notify roommates and all other residence students not aware of the situation

viii. Arrange for alternative accommodation for roommates if necessary;

ix. Remove and store the personal belongings of the deceased in consultation with authorities, family, and roommates

x. Reconcile student’s account as it applies to residence only and forward details to financial services
6.6.7 Role of the Head of Campus Protection Services will:

i. If the death is on campus, be in charge of the scene and will conduct an initial investigation.
ii. If the death is on campus, make the decision to request additional police assistance.
iii. Contact the Head of Student Affairs, at the first opportunity, on the details of the situation.
iv. Coordinate with other campus staff, as appropriate, and maintain communication with University Marketing and Corporate Communication staff to facilitate media response.

6.6.8 Role of the Head of Counselling Services will:

i. Assist the Head of Student Affairs, as needed, to coordinate the campus response to the student death.
ii. Contact appropriate Counselling and Health Services staff and will respond to the scene, if appropriate.
iii. If the death occurred on campus, respond to the scene, if appropriate, and will coordinate psychological counselling and emotional support for those affected by the death.
iv. Seek out students and staff who might have been affected by the student death, such as significant others, friends, roommates, teammates, others living in the deceased student’s building, and will offer appropriate services.

6.6.9 Closing of student records

i. Upon being notified by the Head of Student Affairs, the Registrar will close the student’s academic record. Before closing, the Registrar will forward next of kin name and address to the Head of Student Affairs.
ii. Information pertaining to deceased students will only be released to the executor/executrix of the estate, or to the next-of-kin, for a period of five years commencing with the date of death. During this five year period, the executor/executrix, or next-of-kin, may also authorize the release of academic information on the deceased student to other parties if a written release is signed. After the five year period, access to education information on the deceased is permitted to anyone without permission.
iii. Every effort will be made to preserve the integrity of the academic record of the deceased in order to prevent identity theft and the fraudulent use of course work, degrees or certificates awarded to the deceased.

6.6.10 Support to the family of the deceased

i. It is the Chief of Police’s responsibility to notify the family. The Head of Student Affairs may only then contact a member of the deceased student’s family.

ii. The Head of Student Affairs, or designee, will serve as the primary campus contact for the family of the deceased student and will meet with family members should they decide to come to campus.

iii. When appropriate, the Head of Student Affairs will assist the deceased student’s family in making arrangements to come to campus, reserve local housing, and other assistance as needed.

iv. The Head of Student Affairs will request a copy of the Death Certificate from the family or some verification of the student’s death. Copies of the death verification will be distributed to the Head of Financial Aid and/or the Head of Student Housing, when such verification is required; and the Head of Student Affairs will retain a copy.

6.6.11 Memorial Service

The Head of Counselling Services, in consultation with SRC leaders and Head of Student Affairs of, will coordinate assistance to those wishing to hold a memorial service on campus for the deceased student.

6.6.12 Formal representation of the university management

The University will where possible be represented by the Head of Student Affairs or his designee and Marketing and Communications at the funeral of a student.

6.6.13 Transport to funeral service

i. The university will generally not provide transport to students and/or staff members who wish to attend a funeral of a student.
ii. The Head of Student Affairs/Dean of Faculty/Head of Residence/Sport/Student Life will assist any group of students wishing to attend the funeral of a student with transport arrangements.
# 7. STUDENT COUNSELLING POLICY

**POLICY REFERENCE: SG 07**

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## 7.1 Background

This policy statement is the point of departure for the development, implementation and mainstreaming of an Integrated Student Counselling Services of the University. The policy statement will serve a framework of the nature of the work to be provided by Counselling Services Centre.

- Preamble
- Purpose
- Scope
- Definitions
- Rules

## 7.2 Preamble

A student’s mental health and wellbeing are very important to their success. It is recognised that the pressures on young people can affect their mental health and wellbeing, and that young people in education can experience high levels of stress and change, and be extremely vulnerable. Students who feel in control of their personal lives are more likely to achieve academically and contribute to the overall success of the university.
Students seek help from the counselling service for many reasons. These presenting issues may be having an effect on their wellbeing, or they may have noticed a distinct change in their behaviour and emotion at home, University or in their social lives. Examples of presenting issues are bereavement, anxiety, stress, personal and family relationships, personal and sexual identity, eating problems, self-harm, bullying and, anger management. Some students seek help due to unresolved issues from their childhood such as physical or sexual abuse, or neglect. Others seek help as they are having suicidal thoughts or have made a suicide attempt.

The counselling service provides students with support at a time when they are most vulnerable and aims to contain the distress of vulnerable students. However, the counselling service cannot take responsibility for all mental health issues occurring in the University and will work together with other key staff to support students in distressing situations.

In as much as genuine Counselling requires voluntary engagement on the part of clients, mandated Counselling can under some circumstances be required for the continued enrolment of a student with the university. Having stated this, it must also be emphasized that mandated psychological evaluations should be considered a last resort.

7.3 Purpose of this Policy

It is the aim of the university to create a healthy and safe environment for its students and staff.

7.4 Scope of this Policy

The Counselling Service is available to all bona fide registered students of the university. However, in order to maintain professional and ethical boundaries, students who also work at the university, including as student assistants, should access the Employee Wellness EAP programme for counselling. The Service is not available to students on counselling courses who are seeking a specific number of hours of personal therapy for assessment purposes only. However, students on those courses who are in need of counselling support are entitled to the same level of service as all other students. The Counselling Service operates during the academic term. Students seeking counselling during the university holidays will be referred to appropriate external agencies.
7.5 Definitions

**Mandatory Counselling** - means those counselling services that are compulsory to students as shall have been determined by the Faculty, department, Institute etc.

**Voluntary Counselling** - means those counselling services undertaken by a student acting by choice and of their own volition.

**Student** - means any person registered as a student at a higher education institution for a programme of the University leading to the attainment of a qualification.

7.6 Rules

7.6.1 **Circumstances under which mandatory Counselling at Counselling Services does and does not occur**

i. Counselling Services does not provide services to students who are required to receive mental health treatment or assessment. Students seeking such services will be referred to professionals in local communities.

ii. Counselling Services only accepts mandated evaluation cases from the Faculties and departments or as a result of a ruling by university’s student disciplinary committee.

iii. As a rule, Counselling Services only accepts mandated evaluation cases that can be completed over the course of one or two sessions.

iv. Counselling Services only accepts mandated evaluation cases for which the available personnel have the expertise and resources to offer competent evaluations. Examples of cases for which Counselling Services cannot provide competent evaluation include those that require expertise in forensic psychology or drug and alcohol assessment. When Counselling Services’ personnel lack the necessary expertise or resources to offer competent evaluation, staff members work with the student to identify any viable community resources.
7.6.2. Communication between Counselling Services’ staff and academic faculty/department about students participating in mandatory evaluation sessions

i. Students will be expected to give written permission for Counselling personnel to release information of their mandatory Counselling to the faculty/department. The only exception occurs when a student presents a clear and imminent danger to self or others—then Counselling Services’ staff actively work with the faculty/department to address the potential danger.

ii. Students who decline to provide Counselling Services’ staff with permission to provide the faculty/department with information relating to their participation in mandated evaluation sessions may face potential consequences from the faculty/department.

iii. When students give written consent to Counselling Services’ staff to share information with the faculty/department information about their mandated sessions, the only information the faculty/department/HODs will receive will relate to (1) students’ actual attendance for the assessment session(s) and (2) information that has a bearing on students’ danger to themselves or others.

iv. This does not at all exclude the possibility of the faculty/department, students, and Counselling Services’ staff agreeing that other pertinent information can be released. Faculty/department may not implement sanctions based on students’ decisions to allow or not allow the release of such additional information.

v. Any communication between Counselling Services’ staff and the faculty/department about students’ mandated evaluation sessions will also involve the student in question. For example, the communication may take place during a face-to-face meeting with a dean/HOD/lecturer that also includes the student, or may take the form of a telephone call made in the student’s presence by means of a “speaker telephone,” or may take the form of a memorandum reviewed in advance by the student and/or copied to the student.
7.6.3 Alternatives for students mandated to participate in Counselling

Any students mandated by the faculty/department or by the Student Disciplinary Committee to participate in an evaluation session(s) at Counselling Services are also afforded the alternative of securing evaluations from appropriate licensed mental health professionals in the community.

7.6.4 Dissemination of this policy to students

Any student participating in mandatory evaluation sessions must be given a copy of this policy is provided by Counselling Services.

7.6.5 Confidentiality and Recordings

i. Counselling sessions are confidential to the student. Unless they have the student’s prior consent, the counsellor will not pass on to a third party any information regarding a student’s attendance, their presenting issues or their on-going issues.

ii. However, in exceptional circumstances the counsellor may take the decision to break confidentiality, with or without the student’s consent, if necessary where in his/her professional judgement:

iii. there is a risk of the student seriously harming themselves or being harmed

iv. there is a risk of another person being harmed

v. there is a risk of a serious crime being committed.

In the above circumstances, a risk assessment will be completed and if a high risk is assessed, the counsellor will refer the student to another practitioner. Counsellors will always seek to obtain the student’s specific consent in writing, prior to disclosure.
vi. A record will be kept of an individual's consultation with Counselling Services. It will contain information individuals have provided to Counselling staff in writing as well as Counselling notes of individual sessions.

vii. Counselling Services files will never become a part of a student’s permanent academic record at the university and will be destroyed after five (5) years of the student’s last registration with the university.

viii. Counselling Services will not release records pertaining to alcohol/drug use, mental health, HIV/AIDS, abortion, and sexual assault unless the written consent is signed.

ix. In cases of immediate transfer by ambulance or police of a client to any emergency facility or hospital, appropriate information can be sent with the client, including photocopies of clinical notes and identification information. This material should be provided for continuity of care. Also in these cases, all attempts will be made to contact the emergency contact person(s) supplied by the client on his/her file or at the client’s verbal request to contact such persons as so designated.

7.6.6 Attendance of counselling sessions

i. Students are required to complete necessary assessment before being seen for screening.

ii. All counselling sessions must be booked at least two days prior consultation unless in cases of emergency.

iii. Appointment openings due to cancellations will be offered to students scheduled for screenings in the future who have completed required forms.

iv. Students will be seen if they are less than 15 minutes late to check in at the front desk.

v. A student will be required to reschedule their appointment if they are 15 minutes or more late to check in at the front desk.
vi. If a student does not show up for their appointment the counsellor will attempt to contact the student through secure messaging (the university student email address) to make another appointment for a time and date that works for counsellor and student. Such communication will include a reminder of the no-show policy.

vii. If the counsellor does not hear from the student within two weeks of the initial no-show, then the counsellor will inactivate the file.

viii. If the student does not contact their counsellor or Counselling Services within 30 days, then their file will remain inactivated and the student will have to complete the initial screening process if they seek services at a later date.

ix. A student who wants to cancel his/her appointment must notify Counselling Services at least 24 hours prior to the date of the appointment. This is because Counselling Services needs time to be able to make the appointment time available to other students.

x. If a student establishes a pattern of late cancellations, then they may be required to wait a longer period of time before being seen, or become ineligible for services.

7.6.7 Service delivery

i. The Counselling Service offers the following:

- One-to-one therapeutic counselling by appointment
- Daily drop-in sessions for students wanting to see a counsellor at short notice
- Mediation between students
- Consultations with teaching and support staff to support them in their roles
- Workshops for students on various topics such as anti-bullying - ‘Respect’, anger management, self-esteem and relaxation.

ii. Counselling will be provided in a safe and confidential environment.

iii. Students can self-refer or may be referred by teaching or support staff.
iv. Appointments can be booked directly with the counsellor in person, by text, telephone, email or through the Student Services help-desk.

v. Counselling sessions normally last up to 50 minutes and students normally attend on a weekly basis.

vi. Short-term or long-term counselling is available, according to the student’s needs.

vii. Wherever possible, students will arrange their sessions outside of class times. If attendance during class time is unavoidable, they must seek permission from their tutor/lecturer.

viii. Counsellors develop and maintain an effective network of internal and external referral agencies and refer students as appropriate and where in their best interest.

ix. Counsellors develop and maintain a bank of resources on counselling related topics for use by the Student Services staff and by students on a self-help basis.
NEW UNIVERSITY POLICY

8 STUDENT HOUSING POLICY

POLICY REFERENCE: SG 08

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8.1 Policy Statement

This statement sets forth the University’s Student Housing policies for the residential properties managed by the Buildings and Estates Division of the University in the general vicinity of the campus. The policy is a governance instrument aimed at ensuring compliance as per the University’s Rules and Regulations.

8.2 Reasons for Policy

The demand for University housing greatly exceeds supply. The policies governing eligibility requirements, leasing, pricing, and allocation priorities are designed to maximize the use of the limited resource for the benefit of the University and to protect the University's rights under provincial and municipality by-laws.

8.2.1 Responsible University Office

The DVC: Student Affairs is responsible for enforcing this policy while the Directorate: Residence and Catering is responsible for day-to-day management of the policy. The Residence
Administration Centre determines priorities for the assignment of apartments and rooms. The Student Services Council is empowered to review and recommend housing policies.

8.2.2 Revision History

This policy requires constant amending at dates determined by the Student Services Council on Housing Policy for their approval. In amending the policy the views of the management of the residences, the student leadership of the respective residences and the general student population of the residences must be widely consulted.

This policy governs all tenants in University residences and houses who reside there because of their affiliation with the University and all applicants for University housing.

8.2.3 Pertinent Person to this Policy

Directorate: Residence Life and Catering, Head of Departments: Student Affairs, Faculty Deans, Senior Administrative Officers, Student Representative Council, Residence Committee Members, students residing or applying to reside in the University residences

8.2.4 Exclusions & Special Situations

The policy addresses exclusions and special situations.

8.2.5 Policy Summary

The University Housing Policy sets forth the University’s current policies and practices regarding housing eligibility, affiliation requirements, leasing, pricing, and allocation priorities for the units within Residence Life and Catering that house eligible affiliates/ students of the University.

This policy governs all affiliated tenants/ students in the residences of the University. The policies it details are designed to maximize the University’s housing resource and protect the University’s rights under provincial and municipal by-laws. The University Housing Policy is intended to give all interested parties an informed understanding of the University’s current policies and practices.
for housing. It covers housing for both undergraduate and postgraduate students. Housing policies for the University’s Guest Houses are described in a separate policy statement.

**8.3 Policy Context**

This statement is intended to give all interested parties an informed understanding of the current policies and practices of the University in housing managed by the Directorate: Residences and Catering.

The University owns and manages its properties as a necessary part of its educational mission for the purpose of providing convenient and affordable housing for full-time faculty, other University employees and students. Residential properties that are privately owned are also covered by this Policy as per the agreement entered into with those private owners e.g. Nestlife.

The Buildings and Estates Division and the Directorate: Residence Life and Catering have the primary responsibility for the implementation and enforcement of the University’s housing policies. Consistent with this policy, as it may be amended from time to time, the Directorate Residences and Catering sets the guidelines for the allocation of housing/ accommodation, determining eligibility for accommodation and enter into agreements with students. The Residence Administration Centre may also recommend changes in this Policy Statement. In addition, the Senate Committee on Housing Policy is empowered to review and recommend changes to the housing policies.

**This statement is divided into the following sections:**

1. Eligibility and Affiliation Requirement
2. Occupancy Agreements and Renewals
3. Dormitory Placement
4. Subletting
5. Pricing of Dormitories
6. Residence Administration Centre
7. Faculty and Staff Housing
8. Post-Doctoral Fellows and Visiting Scholars
9. University Senate Committee on Housing Policy
10. Reservation of University Rights
8.3.1 Eligibility and Affiliation Requirements

The demand for housing greatly exceeds the available supply and apartments/dormitories are currently assigned only to housing eligible students. A list of the students eligible for housing can be obtained from the Residential Administration Office. The requirement that all students maintain a full-time housing eligible affiliation with the University is commonly known as the “affiliation policy” and students housed by virtue of their affiliation with the University are referred to as affiliated students.

To remain in residence, a student must be properly registered for a full-time or semester programme of the University. Eligibility for students is limited to the period of their study programmes. Masters, Doctoral and PhD students may be eligible for an additional 4 years if this time is deemed necessary to complete their study programmes. These students must apply for an extension of eligibility and receive approval from their Faculty Dean and the Head of Department: Residences.

8.3.2 Occupancy Agreements and Renewals

The University will lease or contract its dormitories to qualifying students for a term of an academic calendar year as determined by the Department of Higher Education. Lease or contract renewals are contingent upon the student maintaining a full-time housing eligible affiliation, using the unit as the student’s primary place of residence, complying with the other terms of the Residence Rule Book and maintaining an academic achievement threshold set by the Directorate: Residence Life and Catering.

Dormitory occupants do not automatically retain eligibility if they transfer from one type of affiliation to another. Students, for example, may not automatically retain their housing if they become an employee; faculty members who become officers of administration do not automatically remain eligible to retain their apartments/dormitories

8.3.3 Dormitory Placement

First Years students/tenants will be placed in two-room dormitories in order to assist them to adapt to University life, whereas senior students will be afforded single rooms as a manner of providing
them with a level of privacy. The placement will be handled by the Residence Administration Centre.

8.3.4. Subletting/ Squatting

Under no circumstances will subletting or squatting be allowed in all University residences. Failure to adhere to this clause is punishable by immediate expulsion. This matter will invoke the services of the Student Judicial Services to intervene and mete out a fitting penalty to any transgressing student.

However, University personnel who wish to stay with their immediate families may do so by declaring the members of the family who will be subletting with the Residence Administration Centre. The Centre will advise those who are affected by this arrangement on how to declare those members.

8.3.5. Pricing of Dormitories

The Residence Administration Centre will release an annual schedule of tariffs that determine the amounts required to occupy a University dormitory. The schedule will increase on parity with the country’s economic inflationary rate, usually calculated at 10% annually. The increase will also be affected by operating costs and the costs of financing capital improvements and yield a modest return on a very sizeable investment made by the University on its residential properties. The figures will also be aligned with the going rates of the provincial and municipal rates, thus the rates and the increases will be to the extent permitted by law.

The price parity of the different residences will differ based on the location of the residence, proximity from campus and classes, residence life programmes offered at that residence, the nature of the furniture and appliances equipped in the dormitories, dormitory size and the residence’s academic performance.
8.3.6. **Residence Administration Centre**

The RAC is a recognized division of the Directorate: Residence Life and Catering of the University charged with the responsibility of running the administration of all residences. The members of the Centre are full-time employees of the University and report directly to the Head: Residences and Catering. The Directorate is responsible for all administration of all the residences, maintenance, logistics, residence life programming, catering, transport, financial management etc.

The RAC will determine the standards for student qualification to a University dormitory as per the guidelines they set and approved by the Student Services Council. All registered students will be notified of these standards upon registration at the beginning of their terms of study. Specific residences will be available for specific faculties to facilitate an improved academic performance of the student population e.g. a particular residence will house Engineering students, while another will house Agricultural students etc. Students who do not receive housing at the beginning of a term are placed on a waiting list and are eligible for dormitories as they may become available during the year.

8.3.7. **Faculty and Staff Housing**

The Directorate: Residences and Catering is also responsible for assigning accommodation to certain cohorts of staff members who require University dwelling due to the nature of their work e.g. Residence Managers need to be housed at the residences they are in charge, out-of-country staff that may require accommodation closer to the campus etc.

In making assignments of apartments/ dormitories to individual applicants the department considers the applicant’s needs, including family size, and preferences; the priorities for housing established by the deans, the timing of availability and the size of apartments; and any applicable code requirements.

8.3.8. **Post-Doctoral Fellows and Visiting Scholars**

The overall shortage of housing within the University has limited the housing available for post-doctoral fellows and visiting scholars. Schools, select institutes and departments are granted a fixed allocation of apartments for persons holding these titles and determine the priority for assignment.
Post-doctoral fellows and visiting scholars who do not receive housing through their school, institute or department’s allocation may ask to be placed on a waiting list. The assignment process for post-doctoral fellows and scholars is managed by the Residences Administration Centre in coordination with the schools and departments. Additional information on housing for post-doctoral fellows and visiting scholars is available from the Residences Administration Centre.

8.3.9. University Committee on Housing

The Committee on Housing is a standing University Committee with representatives from tenured and non-tenured faculty, Student Representative Council and the Residence Administration Centre staff. The Committee is empowered to review and recommend housing policies for all residential properties of the University and the privately owned buildings leased for the purposes of housing University students.

8.3.10. Reservation of University Rights

This policy statement is intended for the information and guidance of all persons affected by the University’s housing policies. The University must reserve the right from time to time in its discretion to make changes in its housing policies, and this policy statement is not intended to be and should not be regarded as a contract between the University and any person.

8.4. Responsibilities

The Buildings and Estate Division is responsible for enforcing this policy while the HoD: Residences is responsible for the day-to-day management of the policy. The Residence Administration Centre is responsible for setting priorities and establishing guidelines for the allocation of and eligibility for housing. The Senate Committee on Housing Policy is empowered to review and recommend housing policies.
8.5. Students Housing Rules and Regulations

8.5.1. Residential Code of Conduct

All students of the University residing in any one of the residences is responsible for abiding by this policy and the Student Code of Conduct, also contained in the Residence Rule Book. These regulations are designed to benefits individual students as well as the entire residential community. Failure to comply may result in disciplinary action, revocation of your housing agreement, and criminal and / or civil action.

8.5.2. Alcoholic Beverages

It is our goal to establish and sustain an environment on campus that is conducive to the intellectual, emotional, and social growth of all members of our community. The Office of Residence Life and Catering is committed to the preservation of individual freedoms and the promotion of the health, safety and welfare of the community. Pursuant to these commitments, we have established the following policies governing the possession and consumption of alcoholic beverages in on-campus housing. Residence Life and Catering will enforce all provincial and municipal laws as well as Student Housing Polices relative to the consumption of alcohol. For a list of regulations comprising all appropriate municipal and provincial laws, as well as University and Student Housing Policies governing the use of alcohol in on-campus housing, refer to the University’s Policy on the Use of Alcohol available to all students upon registration.

8.5.3. Cleanliness

Because we live in a community that is in close proximity to each other, all residents are expected to maintain cleanliness and hygiene in their living dormitories. Some causes for concern would include but are not limited to a significant odour, excessive trash rotting, or spoiling food left in the open, debris covering exit ways, etc.

8.5.4. Dangerous Behaviour

Any activity, which can be interpreted as endangering to or harming oneself, any community member, or guest is prohibited.
8.5.5. Destruction/Misuse/Theft of Property

Property damage is inappropriate and demonstrates a lack of respect for the community and the property of others. Unauthorized possession, use or misuse, removal, defacement and/or tampering of University owned property or leased property or equipment or any property belonging to a community member or guest is prohibited. Residents will also be held responsible for the actions of and/or damages incurred by their guests. Residents are prohibited from physically repairing damages to University property. If property is damaged, please report the damage to Residence and Catering staff immediately.

Common area damage charges not readily assigned to a particular individual may be charged to a group or floor of residents. University furniture may not be removed from student units or common areas. Furniture may not be stored on balconies/balcony storage. Residents are responsible for the condition of their unit and the furnishings provided for them by housing. Residents must keep balconies clear of obstructions such as screens, bamboo or other coverings that block the view for safety personnel.

8.5.6. Disorderly Conduct

Behaviours, whether through conduct or expression which are not civil or respectful and which breach the peace within or around the residence halls or at any residence-hall related function are not permitted.

8.5.7. Drugs, Narcotics, and Paraphernalia

Possession, usage, or manufacture of controlled substances (including paraphernalia for intended or implied use) of any sort is illegal and prohibited. Residents suspected of violating this policy may be confronted by staff members and/or by civil authorities.
8.5.8. Failure to Comply with an Administrative Request

Failure to comply with an administrative request when a University staff member is acting in his/her official capacity including: failure to appear/meet, to vacate a unit, to cease inappropriate behaviour, to produce identification, and/or to exit a facility when requested, providing fabricated, falsified, misrepresentative, or non-negotiable information or documents is not permitted.

8.5.9. Fire Hazards and Safety

The following constitutes a list of violations that could result in prosecution and/or fines:

i. Tampering or damaging fire equipment or intentionally misusing fire alarms, smoke detectors, fire sprinklers, fire extinguishers, emergency exit signs or pulling the fire alarm when the cause is unrelated to notification of a fire.

ii. Intentionally or negligently causing and/or creating a fire, explosion or release of poisonous gas or fumes.

iii. Failure to evacuate a building immediately following the sounding of an alarm, unless otherwise instructed by Student Housing staff, fire-safety or other emergency response personnel.

iv. Open flames (including candles and incense), combustible decorations and chemicals, deep fat fryers, electric fry pans, space heaters and halogen lamps are prohibited (including on balconies).

v. Disabling, opening, damaging, or propping exits used exclusively as fire exits is prohibited (unless being used properly as an exit during an emergency situation).

8.5.10. Gambling

All forms of gambling are prohibited on University property. This would include but is not limited to activities played for money, rolling dice, or some other representative value.
**8.5.11. Harm or Threat of Harm to Self or Another**

Committing acts of physical or mental abuse or engaging in actions that intimidate, harass, threaten, coerce, or otherwise endanger the health or safety of self or another person (including threats or attempts of suicide) is prohibited. This includes but is not limited to physical harm or threat of physical harm to any person and/or to self.

**8.5.12. Littering/Trash Removal**

Littering, inappropriate disposal of trash, and/or sweeping debris into a public hallway or area in the residence communities or the surrounding grounds is not permitted. If the problem is persistent and not able to be resolved by the community, fines may be issued for violations of this policy.

**8.5.13. Pets**

Animals are not allowed in campus housing at any time.

Exceptions: Assisted living animals verified by our department

**8.5.14. Room Swaps and Changes**

Unauthorized room transfers are strictly prohibited. Housing must ask that residents not change rooms without approval. Please contact your RAC to file a room change and avoid unnecessary confusion and charges during the year.

**8.5.15. Safety/Security**

Safety/Security policies are necessary for the safety of residents and therefore must be followed. The following is a list of safety/security violations:

i. Failure to lock or secure doors, entrance doors, or allowing a person entrance into a building and leaving them unattended in a public area
ii. Removal of any window screens (except for evacuation due to a fire)

iii. Throwing, dropping, or projecting any objects from any residence hall building, doorway, window or balcony

iv. Use of sporting and recreation equipment is prohibited in indoor common areas such as lobbies, hallways, and entrances

8.5.16. Sexual Assault

Sexual assault, sexual battery, or rape of a community member or guest thereof is prohibited. Note: This behaviour is defined as any sexual activity conducted without the expressed consent of all parties involved.

8.5.17. Smoking

All national laws governing smoking shall be applicable in all University residences, this means students are only allowed to smoke in demarcated smoking zones, failure to comply with this regulation is punishable by a fine or a jail term.

8.5.18. Threatening Behaviour

Conduct that threatens or endangers the health or safety of any person within or related to the University community, including physical abuse, threats, intimidation, harassment, or sexual misconduct is not permitted.

8.5.19. Visitation

This visitation policy is designed with the safety and consideration of our community members and property in mind. The definition of a Short Term Guest is any person, hosted by a student resident, who does not hold a Housing license agreement, and will not be remaining in the housing complex after 1:00 a.m.
Overnight guests are not allowed, under any circumstances. All guests must be registered with the House Parent/ Residence Manager upon entry and exit of the residence.

8.5.20. Weapons, Firearms or Ammunition

The possession or use of firearms, ammunition, explosive or combustible materials, pistols, revolvers, pellet guns, air guns, and/or injury-threatening weapons deemed by law enforcement to be deadly are strictly prohibited. Metal pipes, bars, razors with an unguarded edge or any knife being used for a purpose other than the purpose for which it was intended (i.e. a kitchen knife being used as a weapon or to instil fear in another.)

8.5.21. Wilful Disruption

Participating in an activity that substantially and materially disrupts the normal operations of the residential community, or infringes on the rights of members of the University community:

i. Overt actions such as verbal attacks and physical assaults on students, University staff and/or their property.

ii. Physical or written defacement or destruction of residential property and/or Student Housing postings and posters.
9. SRC ELECTORAL POLICY

9.1. Introduction

Section 35 of the Higher Education Act No.101 of 1997, provides for the establishment of Student Representative Council in institutions of higher learning. The SRC is the voice of the students in decision making processes and also serves to ensure that the interests of students are considered and prioritized.

This Electoral Policy shall be read and applied in conjunction with the SRC Constitution, the Standard Institutional Statute, and the Institutional Rules as set out in the Student Rule Book. The policy sets out the process and conditions governing the management of SRC elections. The policy also seeks to:

This policy serves to outline the process governing the election of members of the University SRC and will serve as a guide for the election processes and management of the said organisation.

The purpose of this Electoral Policy is to ensure that the election of the Student Representative Council of the University takes place in an orderly manner and are free and fair elections.

9.2. Definitions

Terms as defined in the University SRC Constitution shall apply to this policy. In addition, the following definitions are relevant in this policy
“Independent Electoral Commission” means the commission/ a body responsible for the organization of elections members of the University SRC, otherwise referred to as the IEC.

“Independent Candidate” means any individual *bona fide* student of the University who stands in the elections of the campus SRC Elections and meets the criteria set for eligibility in the said elections.

“half plus one” shall mean an academic achievement of 50 percent plus 1 subjects passed of all subjects enrolled for, for a recognised academic period that includes semester or year.

9.3. Force

The contents of this Electoral Policy are valid for all elections and by-elections of members of the SRC.

9.4. Composition and Constitution of the IEC

i. The elections of the University SRC shall be organized, administered, supervised and conducted by the Independent Electoral Commission.

ii. The Independent Electoral Commission shall consist of an executive committee, the Chief Electoral Officer, the Deputy Chief Electoral Officer and electoral officers/ officials and shall be an independent body.

iii. The Independent Electoral Commission shall be appointed by the office of the Directorate: Student Affairs in consultation with the outgoing SRC.

iv. Electoral officers/ officials may not be nominated as candidates in the elections they manage.

v. The Chief Electoral Officer must ensure compliance with this policy, the SRC Constitution, the Standard Institutional Statute, the Student Rule Book and the SRC Code of Conduct.

vi. The Deputy Chief Electoral Officer acts as an assistant to the Chief Electoral Officer in ensuring the compliance of this policy, the SRC Constitution, the Standard Institutional Statute, the Student Rule Book and the SRC Code of Conduct.

vii. The IEC shall be independent, impartial and exercise its powers and perform its duties without fear, favor and/ or prejudice.

viii. The IEC shall be made up of the following persons:

- A member of the Directorate: Student Affairs.
- A member of the outgoing SRC. First preference shall be enjoyed by the outgoing President. In the absence of the President or in the event the President has indicated
that he/she will stand in the upcoming SRC elections, the Deputy President shall serve in the IEC. In the event the Deputy President is not available or intends standing in the upcoming SRC election, that responsibility shall fall to the outgoing Constitutional and Societies Officer. However way, this person shall act as the Chief Electoral Officer.

- The rest of the membership of this body shall be constituted by the personnel of the Independent Electoral Commission

ix. Any irregularity that might occur during the election of members of the SRC must be referred directly to the Chief Electoral Officer, who shall deal with the matter within 24 hours.

### 9.5. Responsibilities of the IEC

The IEC shall, in consultation with the office of the Directorate: Student Affairs:

i. Organise and oversee all the SRC elections in accordance with this Electoral policy
ii. Ensure that the elections are free and fair.
iii. Promote conditions that are conducive to free and fair elections
iv. Promote free campaigning and open debate
v. Declare the results of the SRC elections within six hours after the completion of the voting and counting processes
vi. Present a full report to the office of the Directorate: Student Affairs within two working days upon completion of the elections.

### 9.6. Powers and Functions of the Electoral Commission

The primary function of the Independent Electoral Commission (IEC) is to manage and administer SRC elections efficiently on an impartial, unbiased and independent basis, i.e. without fear, favour or prejudice. The IEC shall ensure that the elections are free and fair.

The Electoral Commission shall:
i. Submit to the Directorate: Student Affairs, a planning document, that is, an Election Programme of Action, and a budget for the elections

ii. Open and close the nomination process following a time-table approved by the Directorate: Student Affairs

iii. Compile and publish a complete list of organisations and candidates contesting elections

iv. Be responsible for all election material

v. Ensure that sufficient ballot papers are available for elections at least two hours before voting stations open

vi. Ensure supply of adequate stocks of ballot boxes, voters’ rolls and receipts for the entire student population

vii. Determine the design of ballot papers and ballot boxes; including appropriate numbering and labelling of ballot papers and boxes and ensure that all election material is safely stored

viii. Submit results of elections to the Director: Student Affairs within one day after counting of ballot papers

ix. Declare results of elections, provisional and final, at a pre-determined time and place

x. Present a full report, including financials, to the Directorate: Student Affairs and to the University management.

xi. Formally constitute the new SRC

xii. Postpone the elections should circumstances not be conducive to free and fair elections

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9.7. Voting and Standing in the Elections

i. All registered *bona fide* students of the University at the time of the election are entitled to stand and vote in SRC elections

ii. All registered students on the University as drawn from the electronic Student Information System by the Registrar shall constitute the Voter’s Roll for the campus.

iii. Voters must personally be present to cast their votes

iv. Candidates standing and appearing on the Ballot Paper will be removed from the Ballot Paper and disqualified from the process should the candidate transgress any of conditions laid out in the Code of Conduct for Candidates and the Independent Electoral Commission of the University
v. All candidates standing in the elections must undergo a compulsory induction workshop conducted by the IEC
vi. Students standing for election must have served on an SRC sub-structure
vii. E-mail or any proxy vote will not be allowed
viii. The voting shall be by a secret ballot
ix. The candidates may contest for any one of the following Executive Committee positions:

- President
- Deputy President
- Secretary
- Deputy Secretary
- Publicity and Information Officer
- Constitution and Societies Officer
- Academics Officer
- Gender Equality Officer
- Sport Officer
- Projects Officer
- Health and Safety Officer
- Residence Officer

9.7.1 Eligibility

i. Any candidate standing for elections must have obtained a “half plus one” academic achievement in the previous semester
ii. A candidate must be a *bona fide* registered student of the University
iii. A candidate must have served in a sub-structure of the SRC
iv. All candidates must live in accordance to principles of the University SRC in word and deed, and should not have a history of poor behaviour or conduct
v. All students must display passion and willingness to serve their fellow students, as well as set and maintain well-balanced principles that offers progress to students and campus life as a whole
9.7.2 Nomination Procedure

i. Nomination for SRC positions must be signed off by a recognised guardian, the Chairperson of Outgoing SRC and the Candidate

ii. Nomination for SRC positions must also be signed by twenty five (25) students conforming to the general requirements for the right to vote

iii. Only students that have served in the leadership structures of the University may be nominated.

iv. All nominations for the SRC must be endorsed by the outgoing SRC prior to elections

v. All nominees must be full-time registered senior students of the University

vi. Nominees for the portfolio of Treasurer of the SRC must have enrolled for and passed Accounting as a Module

vii. If nominations have not been received for all portfolios at the lapse of the period of nomination, the IEC may extend the nomination period for a further forty eight (48) hours, after which the elections proceed irrespective of the number of nominations submitted. Should there still be a vacancy on the SRC after the elections, the SRC has the power to, by a majority vote of the newly elected members, fill such a vacancy by means of co-option from the ranks of the previously serving student leaders

viii. Confirmation of Candidacy will only be done by the IEC

ix. The IEC shall announce the opening of the nomination period, stating the closing date and procedure for nominating candidates

x. Nomination days shall be between five (5) and ten (10) days

xi. Nomination forms will be obtainable at advertised points on campus and on the Intranet, and shall also be provided by the Chief Electoral Officer on request

xii. An organisation or student wishing to contest the elections shall submit by hand a completed prescribed nomination form and the following pertaining to the nominee:

- Recent ID size photo
- Student card or proof of registration acceptable to the EC
- Acceptance of nomination
- Names and signatures of at least twenty (25) registered students supporting the nomination of each candidate
• A manifesto not exceeding 250 words

xiii. The duly completed nomination form must be delivered by hand to the office of the Chief Electoral Officer, who shall issue a receipt to the respective nominee.

xiv. No nominations shall be accepted after the date and time for closing of nominations.

xv. IEC shall verify all nominations for validity and eligibility. Nominations not meeting the eligibility and validity criteria shall be notified within forty eight (48) hours after the closing of nominations and shall be disqualified from running.

xvi. Objections to nominations must be in writing, signed by the objector(s), stating the reasons for objection and be submitted to the office of the Chief Electoral Officer within twenty four (24) hours of the publication of the nominee list.

xvii. After the closing of nominations, the IEC shall publish the list of qualifying candidates contesting the elections.

xviii. Contestants who have been disapproved shall have twenty four (24) hours to amend their nominations and the IEC shall consider the amended submissions within two (2) days and, if required, publish a second list of nominations.

xix. If nominations are equal to the number of SRC positions, elections shall not be held and nominees shall be declared duly elected.

9.7.3 Cancellation

i. Candidates wishing to withdraw their candidacy may do so within 24 hours of the Manifesto Declaration date.

ii. Candidates who wish to change Portfolios to intend standing for may do so before the Preliminary Candidate List is issued.

iii. Upon publication of the Preliminary Candidate List, candidates no longer have option to change Portfolios but may still withdraw from standing in the elections.

iv. Once a candidate is included in the Final Candidate List, he/she cannot withdraw save for a valid reason.

v. Any notification of intention to withdraw for participation by a candidate must be made in the form of a written declaration.
vi. Any candidate found to have made a false statement or providing false particulars in any application or other document required by this regulation, shall be liable to have their registration for the election cancelled by the Independent Electoral Commission

9.7.4 Campaigning

i. All qualifying nominees shall be required to attend a compulsory preparatory workshop to prepare them for the process of campaigning

ii. All qualifying nominees/organisations will be required to lodge details with the IEC of their official names, logos, slogans, and symbols which they will use when manifestos are submitted

iii. Following the close of nominations, candidates shall follow a structured programme of campaigning (Campaign Meetings) in accordance with the election time table

iv. Electioneering pamphlets or notices may be distributed only on University premises and at designated sites

v. Candidates:

- May visit House Common Rooms to give a statement of policy and to answer questions. The IEC shall be responsible for arranging and monitoring these visits
- Shall be given equitable time to address the meeting
- May not make derogatory remarks about other candidates

vi. All candidates shall sign an electoral code of conduct, committing themselves to a fair and democratic electioneering process

vii. In terms of the electoral code of conduct, any voter or candidate can lodge in writing a complaint with the IEC on the manner the campaigners conduct themselves
viii. Campaigning shall close on the last day prior to the elections, thereafter no candidate may be involved in any formal or informal campaigning for votes. Candidates who violate this provision may be disqualified from running

9.7.5 Conduct of Candidates

i. Candidate conduct shall be governed by the Code of Candidates and stipulations as laid by the IEC

ii. All transgressions and contraventions shall be referred to the Chief Electoral Officer who shall deal with them within 24 hours in consultation with the Student Judicial Services office of the University

9.7.6 Voting

i. A schedule of registered students shall constitute the voters roll

ii. Voting shall be by secret ballot

iii. There shall be no voting by proxy

iv. Each student shall have the right to cast one vote on for an individual standing independently for election, and one vote for an organisation contesting the election

v. Voting shall take place over two (2) days from 08h00 – 17h00

vi. All voting stations shall be staffed by a specified number of IEC officials

vii. A voter shall produce a valid student card or valid proof of registration and identity document

viii. The IEC officer shall verify the student card or proof of registration

ix. The student shall be given a ballot paper and be directed to the voting booth where the student shall in secret correctly mark the ballot paper. No changes shall be made to the ballot paper by the student. The student shall fold the marked ballot paper and place it in the ballot box

x. Ballot boxes shall be placed at specified places on campus

xi. Ballot papers shall contain in alphabetical order, the names of organisations and the names of independent candidates contesting the elections

xii. At the end of the time allocated for voting, all the ballot boxes shall be sealed by the EC and stored in a safe and secure place in the presence of a security officer
9.7.7 Candidate /Party Agents

i. Each candidate and party contesting the election shall be entitled to a maximum of three Election Agents

ii. It shall be the task of the Agents to oversee that the elections are run as per the contents of this Policy and that the Code of Conduct is observed by all attached to the elections

iii. The Agents shall be responsible for assisting the IEC with promoting conditions that are conducive to free and fair elections

iv. The Agents shall be responsible for promoting conditions that are conducive to free campaigning and open debate

v. All Agents are to be stationed at a common location during the announcement of the results of the elections

vi. An agent shall be a student who is not running in the elections

vii. Organisations and candidates must issue their agents with proof of appointment on a prescribed form and give notice of such appointment to the Chief Electoral Officer

viii. Agents may not interfere with the proceedings of the electoral process

ix. Agents may lodge complaints or bring irregularities to the attention of the Chief Electoral Officer

x. Agents and candidates must comply with orders given by the IEC

xi. The absence of agents shall not invalidate proceedings. The onus is on organisations and candidates to ensure the presence of their agents

9.7.8 Independent Monitoring Body

i. There shall be an Independent Monitoring Body consisting of the Executive Dean of Student or his/ her nominee and the representatives of organizations and candidates contesting the elections. The Independent Monitoring Body shall be convened and chaired by the Executive Dean of Students

ii. The primary function of the Independent Monitoring Body is to ensure that the elections are free and fair by monitoring all the phases of the election which include:
• Nominations and nominations procedures
• Voting and voting procedures
• Counting of votes

iii. The Independent Monitoring Body must meet during the election period
iv. The Executive Dean of Students may, in consultation with the representatives of the organisations and candidates on the Independent Monitoring Body, invite additional and external persons or organisations to assist and advise the Independent Monitoring Body

9.7.9 Counting of Votes and Declaration of Results

i. The IEC shall be responsible for the counting of the votes cast
ii. The IEC shall be responsible for the safety and secure keeping of the ballot boxes for the entire duration of the elections
iii. No candidate may be involved in the counting of votes
iv. No Agent may be involved in the counting of votes
v. Counting shall commence immediately after the closing of voting on Day Two of the elections
vi. The IEC must declare the elections free and fair upon completion of the counting of cast ballots process
vii. The results of the elections must be released and announced immediately after declaration of free and fair elections by the Chief Electoral Officer in public
viii. The announcement must include the number of votes for the successful candidates/parties, as well as the percentage votes cast and the number of spoilt ballot papers
ix. The names of the elected SRC members, with their respective portfolios must be published on the open notice boards on the campus, on the notice boards in the residences and on the SRC notice board
x. All ballot papers are to be kept safely for three days after the announcement of the results, after which they shall then be destroyed
xi. If no application for revision of the results of the election is made within two (2) days after the announcement of results, the result shall be final

xii. An objection to the election results must be made in writing, with a statement of reasons for the objection, addressed to the Executive Dean of Students, within two (2) days after the announcement of the results. The decision of the Executive Dean of Students about the matter shall be final

xiii. If the votes are counted and it transpires that more than one (1) candidate have received an equal number of votes for a portfolio, the Chief Electoral Officer must, within seven (7) days declare a new election in which there is contestation for only that portfolio for only those candidates.

xiv. Notice of such election must be given two (2) days prior to the election

xv. The results of the general elections are withheld until the by-election has been completed

xvi. Voting in a by-election can only be held over a period of one (1) day, which will not be a Friday

9.7.10 Appeals and Objections

i. Objections to any aspect of the elections, with the exception of the election results, must be lodged on a prescribed form, stating grounds for such objection and submitted to the IEC

ii. Objections to the election results must be handed in writing to the IEC within twenty four (24) hours of the announcement of provisional results

iii. The decisions of the IEC regarding any objections lodged shall be subject to appeal

iv. An appeal against any decision or ruling given by the IEC shall be lodged in writing with the Chairperson of the Independent Monitoring Body, whose decision shall be final and binding. Such appeal shall be lodged within twenty four (24) hours after the decision of the IEC has been received

v. An agent who has lodged an appeal shall not form part of the discussion or decision making process of the appeal

vi. The Chairperson of the Independent Monitoring Body shall take a decision on the appeal regarding the IEC decision within forty eight (48) hours days of receiving the appeal. Should the investigation take longer, the Chairperson shall communicate this to the relevant parties
9.7.11 Declaration and Announcement of Results

i. All agents shall sign a declaration whether or not they accept the provisional election results and that the process was free and fair

ii. The IEC shall announce the provisional results and percentage poll attained as soon as possible after the counting of votes

iii. The IEC shall announce the final results within forty eight (48) hours of the resolution of objections and/or appeals to the provisional results

iv. Allocation of seats:

- The overall number of valid ballot papers received divided by number of seats contested, plus one, equals the quota of votes needed to win an organisation seat on the SRC. Spoilt papers shall be excluded in the application of the formula. The quota shall be used to determine the number of seat(s) received by each organisation participating in the SRC elections

- Candidates contesting elections independently shall be allocated seats according to the highest number of votes received.

9.7.12 By-Elections

i. In the event of a by-election, the Independent Electoral Commission shall be replaced by a By-election Committee.

ii. The By-election Committee shall comprise of the Director: Student Affairs who shall be the Chief Electoral Officer, a Student Development Officer, and two (2) SRC members, the outgoing President and Secretary
iii. The By-election Committee may co-opt additional members to assist them should this be necessary.

iv. The SRC shall, in consultation with the Executive Dean of Students or his/her nominee, co-opt from its sub-committees the number of eligible and suitable students required to fill the vacancies

v. Should a vacancy occur in the Executive Committee, there shall be a by-election. After the by-election there shall be a re-allocation of portfolios and the newly elected member shall not necessarily be allocated the vacant Executive Committee portfolio.

vi. By-elections shall be held within a period of thirty (30) days of a vacancy occurring

9.7.13 Constituting the New SRC

i. The new SRC shall not assume office until it has been formally constituted by the Chief Electoral Officer through a process of allocation of portfolios

ii. Organisations that win seats on the SRC shall forward the names of their candidates for the number of seats won (provided that the candidates shall be drawn from the ranked Candidate List submitted at the time of registration for elections) to the Chief Electoral Officer prior to the portfolio allocation meeting

iii. Nomination for any portfolio shall need to be seconded. There shall be no limit to the number of candidates nominated for a portfolio

iv. Voting shall be by secret ballot and all candidates shall have the right to vote, including those who have been nominated

v. Each candidate shall have one vote in respect of each position available on the SRC

vi. A candidate shall need a simple majority of all votes cast in order to be elected to a position
vii. In the event of a tie, the Chief Electoral Officer shall have a casting vote

eviii. The newly constituted SRC shall be formally sworn-in at a convenient time and date in a ceremony where they will take an Oath of Office. The swearing-in ceremony shall be presided over by an official of the University designated by the Vice-Chancellor.

9.7.14 General Provision

i. Elections of members of the SRC are conducted in accordance with this Policy and other relevant documents e.g. SRC Code of Conduct, Code of Conduct for Candidates and Members of the Independent Electoral Commission, the Constitution of the SRC, the Higher Education Act and the Standard Institutional Statute.

ii. Candidates shall not be entitled to utilise the resources of management/ the University to advance their campaigning i.e. Mass Meeting, Bulk SMS System etc.

iii. Agents must be present at the Voting Station(s) for the entire duration of the elections.

iv. Candidates and Parties contesting the elections may change their Agents as they deem fit.

v. The elections period must take place free of semester test weeks or in-service duration, the date of which is determined by the SRC annually.

vi. The sitting SRC must have representation in the adjudication process of the tender process to identify the suitable electioneering service provider.

vii. The Electoral Commission and its officers shall, when necessary, be afforded privacy to address any issue pertaining to the electoral process.

viii. The Electoral Commission owns election material and may dispose of such at a convenient time after publishing the final results and the process is agreed as being free and fair.
NEW UNIVERSITY POLICY

10 HIV/AIDS POLICY

POLICY REFERENCE: SG 10

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10.1 Background:

The high prevalence of HIV/AIDS in the country is placing a huge burden on economic development and social mobility leading to South Africa experiencing one of the most pressing challenges since apartheid. Through this policy the University commits itself to ensuring that interventions of treatment, care and support address the ravages of the epidemic and assist both students and staff to deal with its impact in a meaningful way.

10.2. Contents

- Preamble
- Definitions
- Legal Framework
- Responsibilities of the University
- Rights of Students
- Education and Awareness
- Prevention, Counselling and Support
- Universal Precautions
- Implementation, Monitoring and Evaluation
- Confidentiality and Disclosure
10.3. Preamble

Human Immunodeficiency Virus (HIV) and Acquired Immuno-Deficiency Syndrome (AIDS) is not only a health issue, but a matter that concerns the entire University community and society in many aspects. The University recognises the psychosocial and economic impact of HIV and AIDS.

As an institution that strives to engage with society and be responsible to it, the University is committed to playing an active role in mitigating the impact of HIV and AIDS, both on to its internal constituency of staff and students, and on to society as a whole. The University is in a unique position to shape debate, action, policy and practice in the fight against the HIV and AIDS pandemic. A sound policy regarding HIV and AIDS is a vital step in formulating an educated response to the disease.

10.4. Definitions

“Policy” means the University’s HIV/ AIDS Policy
“University” means the University as contemplated in the Higher Education Act, 101 of 1997
“Staff Member” means all those persons appointed by University Council on University Conditions of Service, excludes external contractors, visitors and honorary appointments
“Student” means any person registered as a student at a higher education institution for a programme of the University leading to the attainment of a qualification
“HIV” means the Human Immunodeficiency Virus
“AIDS” means the Acquired Immune Deficiency Syndrome, the latter phase of HIV infection
“Voluntary Testing and Counselling” means testing an individual for HIV voluntarily with the individual’s permission, where such testing includes counselling before and after the test.
“Confidentiality” means keeping information private. Such information is protected by ethical, professional and legal considerations
“Informed Consent” means giving permission without coercion by an individual with full knowledge and understanding of the implications of giving such permission
“Post-Exposure Prophylaxis (PEP)” means the administration of antiretroviral medication to a person who has been exposed to HIV or risk of, to prevent transmission of the disease
“Unfair Discrimination” refers to any direct or indirect discrimination against anyone on the basis of their HIV status and/or one or more, but not exclusive to the grounds listed in section 9 (3) of the Constitution of South Africa “…race, gender, sex, pregnancy, marital status, ethnic or social origin, colour, sexual orientation, age, disability, religion, conscience, belief, culture, language and birth”

“University AIDS Committee” refers to a consultative, representative body that oversees and monitors the implementation of the University’s HIV/ AIDS Plan and Policy and reports to Senate

10.5. Legal frameworks


- The Code of Good Practices December 1, 2000 on key aspects of HIV/AIDS
- The Employment Equity Act 55 of 1997
- The Labour Relations Act 66 of 1996
- The Occupational Health and Safety Act 85 of 1993

10.5.2. International instruments

- The Universal Declaration of Human Rights
- The Human Rights Charter
- The African Charter of Human and Peoples Rights

10.5.3. National Policy Framework

- The Department of Education National Policy on HIV & AIDS
- Department of Labour Guidelines to Employers

10.6. Responsibilities of the University

The University Council is obliged to support the activities related to combating HIV and AIDS on campuses and in the community, as well as to ensuring that the rights of students, staff and their
dependents are protected and respected. The Council shall have the obligation to support HIV and AIDS related activities by:

i. Facilitating collaboration with public and private sector in relation to promotion of HIV and AIDS-related activities at the institution and in the community
ii. Ensuring that HIV and AIDS are mainstreamed in all University activities
iii. Sourcing funds for HIV and AIDS-related activities and research.
iv. Ensuring that no applicant for admission or employment shall be forced to undergo HIV testing
v. The University is committed to protecting the human rights and dignity of people living with HIV and AIDS and to creating a balance between the rights and responsibilities of those infected and affected
vi. Staff and students will not be denied, directly or indirectly, opportunities to further their goals and objectives professionally or academically on the basis of their HIV status or disabling conditions
vii. Departments or units whose academic and research programs involve risk of exposure to HIV contaminated blood and body fluids are responsible for the education and training of those potentially at risk
viii. Disciplinary action will be taken against any student or staff member who wilfully undermines the safety, privacy and dignity of another person on the basis of their known or perceived HIV status

10.7 Rights of Students

The rights of all categories of students during and after admission with respect to HIV testing and disclosure of HIV status and within the campus and study environment shall be as follows:

10.7.1 HIV Testing and Disclosure

i. No student at the institution shall be forced to undergo HIV testing by the University
ii. The students have the right to confidentiality of their HIV and AIDS status and records.
iii. The results of the HIV tests conducted at University Clinic shall remain confidential and cannot be given or publicized to a third party without any written informed consent from the person concerned.
iv. HIV status shall not be used as a criterion for decisions by the University administration regarding: admission, registration or de-registration, approval of grants, loans and bursaries, consideration for campus accommodation and class attendance or performance.

v. HIV-related illness will not be treated differently from other comparable chronic or life threatening conditions with respect to the rights and entitlements of students.

10.7.2 Campus and Study Environment

All students have the right to:

i. Be accepted, regardless of their status, in an environment free of prejudice, stigma and discrimination.

ii. Be made aware of the risks of exposure to HIV and AIDS.

iii. Study, work and live in an environment in which occupational exposure to HIV is minimized.

iv. Be provided with appropriate protective methods and post-exposure counselling, diagnosis, prophylaxis and treatment, where applicable.

v. Be made aware and given access to preventive, supportive care services available at the institution.

vi. Continue to study if they are deemed medically able and can meet the expected performance standards.

vii. Be granted leave of absence from the University when the performance of the student, living with HIV and AIDS, affects their health or study output until deemed medically fit to continue their studies.

viii. Be made aware that sexual harassment is unacceptable behaviour and is prohibited in the University’s Code of Conduct

ix. Be accorded a confidential channel through which to complain when subjected to harassment and stigmatization by virtue of HIV status.

10.8 Education and Awareness

The University shall continue to prioritize prevention interventions as key to mitigating the impact of the pandemic through initiatives and activities which inform staff and students of HIV and AIDS issues. This will include workplace programmes for staff, provision and promotion of VCT for staff
and students in all campuses, increasing accessibility of condoms and treating sexually transmitted infections.

The University has the responsibility to promote education, awareness and communication on HIV and AIDS at the institution by:

i. Ensuring that adequate information on all aspects of preventing and coping with HIV and AIDS is widely accessible to the University community

ii. Promoting awareness through various media such as radio, television, publications, meetings, website and other suitable media

iii. Providing education that examines the relevance of HIV and AIDS to the lives of members of the University community, as well as an understanding of social attitudes towards developing caring and non-discriminatory approaches to those affected by HIV and AIDS

iv. Encouraging responsible sexual behaviour, inclusive of abstinence

v. Sponsoring public fora on HIV and AIDS

vi. Ensuring that trained peer educators and counsellors are available.

vii. Increasing awareness about sexually transmitted infections (STI) and encouraging treatment

viii. Ensuring that procedures on notification of exposure and access to post-exposure prophylaxis will be adequately sign-posted in environments where the risk of occupational exposure to HIV exists

ix. Acting against sexual harassment of females and males

x. Ensuring dissemination of information on the rights of Persons Living with HIV and AIDS

xi. All new students and employees will be invited to participate in awareness campaigns during orientation and induction days and the University will maintain, as part of its website, information on HIV/AIDS activities, and links to local and international organizations.

xii. Important international and national calendars days and other relevant commemorative days will be used to raise AIDS awareness and provide AIDS education

10.9 Prevention, Counselling and Support

The University has the responsibility to provide preventive, supportive care and counselling services by:
i. Promoting precautionary measures to prevent the spread of HIV whenever there is potential for exposure to blood or other high-risk body fluids

ii. Providing Counselling, Testing and Care (CTC) services

iii. Making condoms easily available and accessible

iv. Providing professionally trained personnel and / or peer counsellors who shall offer counselling on HIV and AIDS-related issues

v. Ensuring that the counselling services offered shall be free of charge and be made available on the campuses

vi. Ensuring that adequate counsellors are employed

vii. Providing counselling for the primary benefit of those affected by HIV and AIDS, and counselling for preventing and mitigating the impact of drug abuse, alcohol abuse, rape and sexual violence or harassment, financial issues and such concerns that can increase the risk of HIV infection.

viii. Ensuring confidentiality of records and any other information on counselling and supportive care services

ix. Encouraging the establishment of support groups for students and members of staff whose dependents and/or communities are affected by HIV and AIDS

x. Developing referral networks with community health service providers

xi. All infected students and staff not on medical aid will have access to the University’s wellness programme run at the campus clinics. HIV positive students and staff may be referred to local health facilities for on-going treatment

xii. The University will facilitate the setting up of support groups for affected and/or infected members of the University community in each campus, but the University will not be able to provide the necessary palliative care and support for the last stages of the terminal illness. All efforts will however be made to refer the individual to an appropriate environment such as a hospital, hospice or for home-based care

xiii. Counselling and post-exposure prophylaxis will be provided at the campus clinics for rape survivors and those who become accidentally exposed to the risk of HIV in their occupational environments

xiv. Confidential supportive counselling, including bereavement counselling, will be offered by the Student Counselling Centre and/or other identified service providers on an individual and/or group basis
xv. The level of the care and support offered by the University shall be determined by budgetary considerations, and the sustainability of such care interventions. The University shall always strive towards a sustainable quality of care.

xvi. Providing a clinic-oriented HIV and AIDS service to students, members of staff and their dependents that shall include:

- Prophylactic therapies
- Blood tests
- Contraception
- Nutritional intervention
- Early treatment of opportunistic infections
- ARVs
- Other support services

10.9 Universal Precautions

The University shall make available to all staff and students through the medium of electronic resources, and within Departments, Schools or Units, a description of Universal Precautions to be utilized in the event of blood or bodily fluid spillages.

i. All blood and bodily fluids shall be treated as if they were potentially infectious, in order that no person is singled out and discriminated against and in order that all persons handling such blood and/or bodily fluids are protected.

ii. All potential risks of transmission of HIV within the University shall be considered and appropriate measures taken, wherever possible, to minimize the exposure of staff and students and members of the public to such risks including minimizing the risks as a result of contact sport.

10.10 Implementation, Monitoring and Evaluation

This policy shall be given operational effect by the University’s AIDS Programme.
i. The University AIDS Committee shall be responsible for policy advice and policy implementation

ii. The Campus HIV&AIDS Coordinators shall be responsible for the coordination of HIV and AIDS activities at the campus level in conjunction with other relevant structures in each campus, and together with the Campus HIV&AIDS Working Groups are responsible for campus specific HIV&AIDS activities and programmes.

iii. The Director: Health and Wellness programme shall be responsible for producing an annual report that describes all initiatives undertaken by the University in HIV/AIDS prevention, care and support, research and mitigation of impact.

iv. The Director: Health and Wellness programme shall be responsible for providing leadership in the development, implementation, monitoring and evaluation of the policy and plan.

v. The University shall ensure that there is an adequate budget for the implementation of the policy.

vi. The Director of Health and Wellness programme shall work closely with the Executive Dean of Students and the Director of Human Resources to ensure that all current and future students and staff are provided with copies of this policy as well as training regarding HIV/AIDS prevention, care, and support and impact alleviation.

vii. This policy, as well as relevant sections of the University conditions of service, shall be evaluated and regularly reviewed for relevance to national and global developments in the field of HIV/AIDS.

10.11 Confidentiality and Disclosure

The University shall not coerce any staff or student to disclose their HIV status but will treat any disclosure of positive HIV status in strict confidentiality and prohibit discrimination and victimization on that basis.

i. When a staff or student voluntarily discloses his/her positive HIV status, the information may not be disclosed to others including management or supervisors without the individual’s written consent. However individuals will be encouraged to consider shared confidentiality in order to enable them to get the assistance that they may require.

ii. Voluntary disclosure of a staff member’s or student’s HIV status to the appropriate authority is encouraged and will be protected. Management will ensure an enabling environment in
which the confidentiality of such information is ensured and that unfair discrimination is not tolerated

iii. Any breach of confidentiality shall be subject to the fullest extent of the legal remedies available, and the University will assist in ensuring that confidentiality is protected
NEW UNIVERSITY POLICY

11. SPORTS POLICY

POLICY REFERENCE: SG 11

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11.1 Background:

It is the intention of this policy to promote improved administration of inter-University sport programmes, extra-mural activities, physical education offerings and fitness centre programmes. The policy will be a guide to all students and staff who form, develop, govern and administer any sporting code/ programme on campus.

11.2 Purpose of this Policy

i. To establish and maintain an administrative structure for the organisation, co-ordination and control of all sports activities
ii. To ensure the appointment of qualified technical personnel in each sporting code
iii. To establish and recognize the University’s All Sport Council
iv. To administer all sport bursaries awarded by the University to deserving young sportsmen and women
v. To ensure the participation of all students and staff in every aspect of sport without discrimination based on race, gender, nationality or creed.
11.3 Sportsmanship Policy

The University holds the conviction that good sportsmanship is vital to the conduct of every contest. In order to encourage proper conduct during games, officials, supervisors and administrative personnel will make decisions whether to warn, penalize, or eject persons, teams for displaying poor sportsmanship. It is the responsibility of each player to do everything possible to ensure that the game atmosphere is friendly and in good nature.

Prohibited Conduct

No player, coach or spectator shall:

- Use abusive language, threaten or abuse any other player or official before, during, or after the game.
- Participate in a game for which he/she is ineligible.
- Argue or talk back to the game official. Only the captain may address (courteously) the game official concerning the interpretation of a rule.
- Intentionally strike, push, trip or any other unsportsmanlike conduct towards another player or official
- Mistreat the facility, equipment, or supplies of the University

11.4 Club Requirements and Responsibilities

The responsibilities listed below should be considered guidelines and not a complete listing of the representative’s duties. Anything pertaining to the relationship between the Club and the Directorate of Sport Development is the responsibility of the student representative. Each Club should appoint or designate a responsible student representative to perform the following duties:

i. Assure that all club members have personal health insurance and submit a copy of their insurance card to the Club Sport Office

ii. Develop and maintain an accurate membership roster at the beginning of each semester and submit it to the Club Sport Office. Update it throughout the semester as needed

iii. Check on a weekly basis, the Club’s mailbox located in Sports Centre
iv. Inform club members of policies, procedures, expectations, emergency procedures and other regulations that must be followed. Monitor all club events, assuring that all policies and procedures are followed.

v. Meet with Sport Development Officer to plan and obtain approval for travel, publications, equipment, t-shirt designs and other club business.

vi. Submit required forms complete and on time

vii. Assure that all club financial obligations are met

viii. Report any injury that occurs at any club event to the Sport Development Officer within 24 hours

ix. Compile a semester report and submit to the Sport Development Officer at the end of each semester

x. Maintain complete inventory records and update the club’s inventory when requested by the Sport Development Officer

xi. Every club must submit a current copy of the Club’s constitution at the beginning of the year

### 11.4 Club Officers Elections

All clubs are required to have their officer terms run from January 30 until November 30 of the same year. All students wishing to run for office for the upcoming academic year must be present for the entire academic year.

Club elections will be held no later than November 15 for the upcoming year. Election procedures will be set by each individual club’s constitution.

### 11.5 Safety Procedures

To provide a safe and positive recreational experience for all participants, it is necessary to anticipate situations to prevent accidents and injuries. It is strongly recommended that every club develop, implement and practice the following safety policies:

i. Club officers, club members, coaches, and instructors should emphasize safety during all club-related activities
ii. Encourage all club members to have a physical examination prior to participation. The national associations governing some sports offer supplemental accident and liability insurance for members.

iii. Review the club’s emergency procedures with the Sport Development Officer.

iv. Inspect fields and facilities prior to every practice session, game, or special event. Report unsafe conditions to the proper managing authority. Do not use facilities or equipment if they appear unsafe.

v. Have at least two members certified in First Aid and CPR available at club practices, games and events.

vi. Submit an injury report for injuries that occur to club members during club events or practices. These reports must be submitted to the Sport Development Officer within 24 hours after the occurrence. Injury Report form is available in the Sport Development Centre.

vii. Swim Tests: All club members involved in an aquatic activity should pass a swimming test prior to becoming accepted into the club. Arrangements for pool time for testing and suggestions for the appropriate swim test to be administered should be discussed with the Sport Development Officer.

viii. Have a first aid kit available at all club practices and competitions.

11.7 Eligibility

All guidelines governing the Club Sport Program are written to protect the rights and safety of each participant and are designed to provide fair and equal opportunity for all persons eligible to participate in club activities.

11.7.1 Membership

i. All enrolled University students must be given the opportunity each semester to join a Sport Club. Members must recognize that only a certain number can realistically engage in competition. Only student members of a Club may hold an office in the Club and vote on Club matters. Some Clubs may have participation restrictions due to league affiliation.

ii. Members of the faculty/staff may apply for affiliate club membership. Faculty/Staff Club affiliate members may not hold an office within the club, or vote on Club matters or in elections.
iii. Each member and coach (including affiliate members) of a Club Sport must complete a Membership packet, submit a copy of their current medical insurance card (both must be on file with the Sport Development Officer), pay club dues, and be listed on the Club’s membership roster before he/she is recognized as an official member of the Club Sport.

iv. Intercollegiate athletes are eligible for membership in a Club Sport without restrictions due to intercollegiate team affiliation.

11.8 Club Status

The Club Sport program is structured with two tiers of club membership status:

1. Conditional Membership
2. Full Membership

11.8.1 Conditional Membership

The conditional tier is designated for clubs in their first year of organization within the Club Sport program. Conditional Clubs will have one year to demonstrate stability in terms of club administration, student interest and support in terms of having the appropriate number of active club members. Upon successful completion of conditional status, a club will automatically be elevated to the Full level.

Criteria

- Ability to maintain a membership of at least 10 (or the minimum number required by the activity) active student members
- Demonstrate effective club leadership
- Complete financial self-support
11.8.2 Full Membership

The full tier is designated for all clubs not under the conditional tier. Clubs submitting a budget proposal according to the guidelines set forth in the Budget Appropriation section will be able to receive some funding.

Criteria

- Demonstrated effective club leadership for one year or longer
- Primarily self-supporting organization with most funding raised by the Club
- Demonstrated commitment to the University’s Sport Development programmes by following prescribed policy and procedures.

11.9 All Sport Council

The ASC is a student advisory group that assists the Sport Development Office in administering the Club Sport programmes.

i. Duties of all the Sports Councils
ii. Serve as an appeal board and rule on club appeals regarding decisions made by the Club Sport staff
iii. Review annual budget requests for the following year and make initial recommendations concerning allocation amounts
iv. Make recommendations regarding revisions to the Club Sport Manual for the following year
v. Make recommendations, offer advice and assist in the decision making process in other matters when requested to do so by the Club Sport staff

11.10 Directorate: Sport Development Office

The Director: Sport Development in conjunction with the Sport Development Officers of the different sporting codes and the Student Representative Council will provide assistance in planning the each club’s activities and scheduling competitions with other universities’ club sports and teams. Prior approval of club activities including travel, events, publicity, budget expenditures and
facility reservations is required. The Sport Development Officers are available for consultation regarding any aspect of the club organizations. If the Officers cannot assist the club, the club will be referred to an office that can. The responsibility to seek assistance of the Officers is that of the student representatives. Club representatives should schedule an appointment with the Officers to assure needed attention is provided.

11.11 Facilities Reservations

Clubs may request the use of Recreational Sports facilities for activities. Requests must be made through the Sport Development Officer and approved by the Director through coordination with the Director of Facilities and Operations. Clubs must complete and submit the Facility Request form to the Sport Development Officer as far in advance as possible to improve the likelihood of available space.

It usually takes one to two weeks before a facility reservation request can be confirmed or denied. Dates will be set aside for club competition on campus. Clubs will be notified of the dates and number of times that are available to them prior to each semester. Clubs wanting to reserve meeting space in other spaces on campus should use the room reservation process through the University portal.

11.12 Club Finances

11.12.1 Funding for Clubs

Because Club Sports receive limited funding from the University, each Club Sport should develop a revenue plan to fund operations. Club Sport funds must be used for the benefit of the entire group. Revenue for Sport Clubs will normally come from the following sources:

1. Membership dues
2. Fundraising activities
3. Budget allocation from the Club Sports office
4. Donations from individuals and corporations
All fund raising activities (whether on or off-campus) require specific prior approval from the Sport Development Officer. A fund raising proposal form must be completed and submitted for review. Each club has their own account through the University. There are two parts to each account, the allocation and the general. Clubs may not have personal checking or savings accounts off-campus.

**Allocation Account:** Clubs seeking financial assistance from the University must submit a budget request with the Sport Development Officer. The Club Sport office is allocated a budget each year. From this budget the funds are divided among the clubs using the budget appropriation process.

**General Account:** This portion of the club’s account will hold all money deposited by the club. This money will carry over from year to year.

### 11.13 Budget Appropriation Process

Budget requests are submitted by clubs and forwarded for review to the All Sports Council at the beginning of the year. The Council’s recommendations are then forwarded to the Director of Sport Development. Budgets requests must be balanced when submitted.

#### 11.13.1 General Information Budget Appropriation Process

Budget requests are for the current academic year. Base projected budgets on the best information available – what the club has done this year. If major changes are expected in the future, indicate why. Attach as much supporting documentation as is feasible. Make requests self-explanatory. Each club’s previous year budget request will be available for review.

Calculating the club’s budget request must be based on the following variables:

1. Club operating expenses
2. Competition expenses
3. Travel expenses
4. Equipment
5. Membership dues
6. Donations
7. Corporate support
8. Fundraising initiatives

11.14 Equipment and Storage

All equipment should be kept in good working order. Any unsafe equipment should be reported (returned, if possible) to the Sport Development Office immediately. Limited storage space is provided for clubs to store their equipment during the recess. All clubs should return equipment to the office for storage when not in use. For clubs that have a separate storage location, equipment need not be turned in to be stored in the Sport Development Office.

11.14.1 Inventory

An equipment inventory form for each club is kept on file in the Sport Development Office. The Club Sport staff will monitor the equipment inventory list. The club representative is expected to conduct a thorough, hands-on inventory and complete the inventory form at the end of each semester. This includes jerseys, balls, pads, boats, and motors, etc.

11.15 Travel Regulations and Procedures

The Club Sport staff will assist clubs with their travel plans. Club members must receive approval prior to departure and have sufficient funds to cover travel expenses prior to the trip. All clubs must make travel arrangements through the Sport Development Office. Clubs failing to make travel arrangements through the Sport Development Office will not be allowed to use University funds for the trip along disciplinary action being taken.

11.15.1 Approvals

The Club Sport staff must approve all travel whether or not the club intends to use University funds.

11.15.2 Travel Roster/Itinerary Forms

Travel Roster/Itinerary Forms for any trip must be completed and filed in the Sport Development Officer 48 hours prior to departure or on the Thursday prior to departure for weekend trips,
whichever is earlier. If this form is not on file, the club will not be eligible to receive University funding for the trip and sanctions may be taken against the club.

11.15.3 Alcoholic Beverages/Illegal Substances

The transportation and/or consumption of alcoholic beverages or illegal substances are prohibited while travelling on University-sponsored Club Sport trips. Failure to abide by this policy will harm the club’s sponsorship status.

11.16 Fundraising Activities

Club Sports encourages all clubs to remain active in fundraising activities throughout the year. Each club must raise 75% of their allocation each year in order to minimize individual member costs. It is the responsibility of the club to have fundraisers approved by the Sport Development Office prior to the fundraiser.

Points will be awarded to the teams according to the number of fundraising activities that the club plans and completes. In order for a club to receive points for a fundraiser they must complete the following:

i. Register the fundraising activity and obtain approval in the Sport Development Office by submitting the form at least 3 weeks prior to the scheduled date.

ii. Results of the fundraiser must be reported to the Sport Development Office for deposit within one week of the conclusion of the event.

iii. The fundraising activity must result in a minimum of R500 being deposited into the club’s account.
11. FINANCIAL AID POLICY

POLICY REFERENCE: SG 12

<table>
<thead>
<tr>
<th>Name of Originator</th>
<th>GT</th>
<th>Name of VC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approved by QC</td>
<td></td>
<td>Approved by Legal Div</td>
</tr>
<tr>
<td>Policy code and number</td>
<td>SG 12</td>
<td>Approved by Registrar</td>
</tr>
<tr>
<td>Date sent to VC</td>
<td></td>
<td>Approved by VC</td>
</tr>
<tr>
<td>Date sent to Council</td>
<td></td>
<td>Approved by Council</td>
</tr>
</tbody>
</table>

12.1. **Background:**

It is the policy of the University to provide financial aid service to all *bona fide* students of the University. It is thus the intention of this policy to provide guidelines on the manner in which the financial aid is to be disbursed to qualifying students.

12.2. **Definitions**

In this document, unless otherwise indicated-

*Academic performance* means the measurement of the applicant’s academic performance by evaluating academic progress reports as per set criteria

*Awarding criteria* means the principles or standards used to evaluate the applications for financial aid

*Bona fide student* means any student registered at the University who is eligible for donor funding

*Donors* means an organisation or individual who donates money to be allocated to students for the purpose of study

*Eligibility* means to comply with the requirements (criteria) set by the donor

*External funding* means awards that are made from external sources and administered in partnership with the University
12.3. Rules

i. Financial aid allocations are monitored by the Financial Aid Committee (FAC), with representation of relevant stakeholders (including student leaders) of the University chaired and constituted by the Executive Director: Student Affairs: The role of the Committee will be to:

- Establish an Executive Committee to deal with urgent financial aid related matters
- Monitor the implementation of financial aid policies and processes, as well as recommend the revision thereof when necessary
• Monitor the implementation of accountable and transparent processes for the allocation and administration of funds within the regulatory framework set by the University and donors
• Note all financial aid allocations to students.

ii. Any student who would like to be considered for financial assistance has to complete the relevant application form, where this is required, and submit it at the Financial Aid Office before a predetermined closing date
iii. Only applications that have been completed correctly, in full, and submitted before the prescribed closing date shall be considered for financial aid
iv. Any award made to students is provisional and subject to the verification of information and official documentation as well as the availability of funds
v. Only South African citizens who have registered for full-time subsidised study programmes are eligible
vi. A student’s eligibility shall generally be based on academic performance and financial neediness. In the latter case, the student shall furnish information on the sources of income of their family
vii. Any student shall first comply with the minimum selection requirements of the University academic programmes before being considered
viii. The academic criteria used to test eligibility shall be the applicant’s latest academic record
ix. Financial aid is awarded for one year only, and students shall re-apply annually
x. Financial aid may be withdrawn if the student could be found to have breached the general rules of conduct at any time
xi. A student who receives multiple awards shall be allocated funding to the maximum of the full study costs of that particular academic year
xii. Other sections within the University who allocate funding to students shall:

• Ensure that it is done in terms of specific documented rules. These rules that contain the specific awarding criteria shall be made available to the Director: Financial Aid for presentation and notification of the FAC
• Consult with the Directorate of Financial Aid to ascertain whether the recipients have not already received other awards. The Director: Financial Aid shall, annually, before March for the first semester, and before July for the second semester, receive
notification of all funding awarded to students. The notification being supplied in the form of a list of names of all such students stating their student numbers and the amounts awarded to each

- First ensure crediting the student account of all recipients before any balance is refunded

xiii. The Director: Financial Aid shall have the discretionary power to hear, evaluate and approve extraordinary requests, applications and appeals (as per the Appeals Procedure) in line with the specific eligibility criteria

12.4. Internal Funding

Internal awards are allocated to any bona fide student from first time entering students to post-graduate students who enrol at the University. It is the University’s intention to attract and retain quality students by rewarding excellent academic and non-academic performance in the current year or previous years. This category is funded from the Central University Budget and also includes crisis and support funding to students.

12.5. Merit Bursaries for Academic Excellence

12.5.1. Academic Merit Bursaries for First Year Students

i. These bursaries are made available to newcomer students who enrol for a National Diploma or Degree programme at the University for the first time after Grade 12

ii. Only South African citizens qualify for these bursaries

iii. Students who enrol for special courses, short learning programmes and foundation programmes do not qualify for these bursaries

iv. A student only qualifies for the bursary if they register for all the modules of a specific course

v. Students who have studied at other Universities and those students who have already studied at the University and who are undergraduate students again, do not qualify for these bursaries
vi. Eligibility is determined by the average percentage of the rating score obtained on the Grade 12 certificate. **Only the six subjects with the highest rating shall be taken into consideration** (excluding Life Orientation).

<table>
<thead>
<tr>
<th>Rating Code</th>
<th>Average %</th>
</tr>
</thead>
<tbody>
<tr>
<td>7</td>
<td>85</td>
</tr>
<tr>
<td>6</td>
<td>75</td>
</tr>
<tr>
<td>5</td>
<td>65</td>
</tr>
<tr>
<td>4</td>
<td>55</td>
</tr>
<tr>
<td>3</td>
<td>45</td>
</tr>
</tbody>
</table>

**Criteria and the value of bursaries to be determined by the FAC annually:**

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Value of Bursary (Set Courses)</th>
<th>Value of Bursary (Other Courses)</th>
</tr>
</thead>
<tbody>
<tr>
<td>7 and more subjects with an average rating score of 7</td>
<td>To be determined annually</td>
<td>To be determined annually</td>
</tr>
<tr>
<td>6 subjects with an average rating score of 7</td>
<td>To be determined annually</td>
<td>To be determined annually</td>
</tr>
<tr>
<td>6 subjects with an average rating score of 6</td>
<td>To be determined annually</td>
<td>To be determined annually</td>
</tr>
<tr>
<td>6 subjects with an average rating score of 5</td>
<td>To be determined annually</td>
<td>To be determined annually</td>
</tr>
</tbody>
</table>

**12.5.2. Academic Merit Bursaries for Returning Senior Students**

i. These bursaries are awarded to **undergraduate** students who are enrolled for National Diploma and Degree programme at the University.

ii. Students who have been enrolled at other institutions previously could qualify as well, provided that they have obtained recognition for the subjects at the other University.

iii. Only South African citizens qualify for these bursaries

iv. programmes or foundation courses do not qualify for these bursaries
v. Bursaries are awarded for prior academic performance provided the student registers again at the University for an Undergraduate Qualification

vi. The average percentage is calculated according to the second semester results

vii. Students shall only qualify if their aggregate credit is equal or higher than 0,85 of their registered subjects in the previous year. All the subjects that were registered for in the previous year will be taken into consideration.

Criteria and the value of the bursaries to be determined by the FAC annually:

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Value of Bursary (Set Courses)</th>
<th>Value of Bursary (Other Courses)</th>
</tr>
</thead>
<tbody>
<tr>
<td>≥ 85%</td>
<td>To be determined annually</td>
<td>To be determined annually</td>
</tr>
<tr>
<td>75% to 84%</td>
<td>To be determined annually</td>
<td>To be determined annually</td>
</tr>
<tr>
<td>70% to 74%</td>
<td>To be determined annually</td>
<td>To be determined annually</td>
</tr>
<tr>
<td>&lt; 70%</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

12.6. Merit Bursaries for Non-Academic Excellence

12.6.1. Sport Bursaries

It is the aim of the University to utilise these bursaries to recruit and retain students who have shown exceptional sporting achievements. These bursaries are awarded to students who can prove that they have been selected and participated on national or provincial level.

12.6.2. Eligibility

i. Students apply for Sport Bursaries at the Directorate Sport Development and submit documentary proof of their sporting achievements

ii. Applications will be considered and achievement verified by the sporting officials and submitted to the Director of Sport Development on the following dates annually: 01 April (First semester)

iii. Only performance up to 31 December of the previous year shall be taken into consideration
iv. Academic progress is essential. If a student does not pass at least 50% of the number of subjects they are registered for, they shall not be considered for allocation for the following year.

v. Applications will only be considered for registration into a National Diploma, Degree, Honours, Masters or a Doctoral programme

12.6.3 Allocation Rules and Criteria

The performance of students and the value of the bursaries shall be considered in the following categories:

<table>
<thead>
<tr>
<th>Category</th>
<th>Description</th>
<th>Amount Awarded</th>
</tr>
</thead>
</table>
| A        | • National Senior/Junior Team  
           • International individual                                                                                                                                  | Maximum allocation: To be determined annually                   |
| B        | • USSA National Team  
           • FISU/FASU/CUCSA Games or Championships  
           • CUCSA Games (Continental)                                                                                                                     | Maximum allocation: To be determined annually                   |
| C        | • USSA National Team (Participation as Provincial Team in South African Championship)  
           • Provincial Senior Team                                                                                                                                | Maximum allocation: To be determined annually                   |
| D        | • Provincial  
           • Province) Age Group u/19, u/21, u/23  
           • Provincial Senior B Team  
           • USSA Provincial Team                                                                                                                             | Maximum allocation: To be determined annually                   |

i. The different codes Head Coaches shall make recommendations to the Director: Sport Development on qualifying students who should be allocated bursaries based on performance
ii. The amounts payable in each category, as well as the discretionary amount per campus shall be determined by the Sport Development Executive Finance Committee annually, based on the total budget allocated for sport bursaries in that particular year

iii. The names of all students who have been allocated bursaries shall be submitted to Financial Aid for crediting their student accounts

iv. Discretionary allocations may also be paid directly to the student or Sporting Body concerned on recommendation by the Director Sport Development in the following instances:

- Special Awards e.g. Sport Person of the Year Award
- Assistance with Sport Participation e.g. participation at the USSA provincial or national games

v. Refunding of credit balances shall be facilitated by Financial Aid if the student’s class fees have been paid in full

vi. A “Team Member” shall constitute a player, coach, technical official and manager.

12.7 Leadership Bursaries

These bursaries are awarded to students who have displayed proven exceptional leadership skills and abilities in the institution or their communities.

12.7.1 Allocation Rules and Criteria

i. The Directorate of Student Leadership & Governance shall administrate the bursaries allocation with the specified terms of reference

ii. This reflects on leadership and talent of the Student Affairs approved activities that include:

- Student Life
- Student Governance
- Wellness centre
- Student Housing
iii. The allocation shall exclude the Directorate of Sport Development.
iv. The allocation shall exclude individuals in the roles of Student Representative Council and Residence Committee members.
v. Students need to apply at the various Student Affairs Managers at each campus prior to a pre-determined date.
vi. Eligibility shall be determined by performance up to the end of December of the previous year.
vii. A pre-determined set of criteria shall be used by the screening committee to test eligibility.
viii. Students shall have completed a minimum of two semester courses and shall have achieved a 55% average for all subjects registered.
ix. Only full-time registered students shall be considered.
x. A final decision on the number of students and the amounts allocated shall be taken by the Directorate: Student Affairs within the confines of the annual budget allocation.
xi. Qualifying students are expected to be involved in at least two (2) community engagement projects.
xii. At no point shall a bursary exceed the maximum award per student category within the confines of the amount allocated by the committee for the Leadership & Talent Bursaries.
xiii. If a student qualifies for any other meritorious awards allocated by the University, the combined allocation shall not be more than their full cost of study for the academic year in which it is allocated. The names of the recipients shall be forwarded to the Directorate of Financial Aid to credit their student accounts and shall be published on the web.
xiv. Any credit balance may be refunded to the student if the student account is paid in full.
xv. The Director of Student Affairs shall constitute a committee that will review the nominations for the Leadership & Talent Bursaries and make recommendations.
xvi. The committee shall compromise of representatives from the following units:

- Leadership Centre
- A representative of All Residence Council
- A member of Student Representative Council
- A Student Affairs staff member
12.8 Special Talent Bursaries

These bursaries are awarded to students who do not meet the prescribed academic requirements for a bursary, but who possess special talents such as singing, acting, painting etc.

12.8.1 Allocation Rules and Criteria

i. The bursaries or prizes shall be awarded by the Arts Faculty through their internal structures in consultation with the Financial Aid Directorate to avoid multiple funding

ii. Students shall apply at the various departments of the Arts discipline;

iii. Eligibility shall be determined by performance up to the end of December of the previous year

iv. A final decision on the number of students and the amounts allocated shall be taken by the Executive Committee of the Arts Faculty

v. If a student qualifies for any other meritorious awards allocated by the University, the combined allocation should not be more than their full cost of study

vi. The names of the recipients shall be forwarded to the Directorate of Financial Aid to credit their student accounts

vii. Credit balance may be refunded to the student if the student account is paid in full.

12.9 Student Support Funds

This fund it intended to assist students partially for such cases as:

12.9.1 Attendance of funerals of deceased students by representatives of the Student Representative Council

- Deserving students who are chosen as members of sport teams that represent the province, USSA or South Africa

- Deserving students in the case of medical expenses resulting from injuries sustained during official participation in University activities and/or during unrest on campus,
on condition that the student concerned was an innocent bystander not participating in the unrest.

Allocation Criteria

i. Only 70% of the budget that is allocated to the fund per academic year shall be available for allocation in the year concerned
ii. The remaining 30% shall remain in reserve to strengthen the fund
iii. No application shall be considered once the available amount is exhausted
iv. Only allocated to registered full-time students
v. Students shall provide proof of financial need in terms of participation and/or medical expenses
vi. All requests shall be submitted to the Director of Financial Aid, who shall determine the merit of the case and the amount to be allocated
vii. In the case of medical expenses, a comprehensive medical report shall accompany the application as well as the original invoices of the expenses
viii. A maximum of 25% of the medical cost shall be refunded to the student
ix. In both cases, a detailed explanation of the costs and a motivation by the guardian lecturer, head of department or other staff member involved shall be submitted with the application
x. In the case of participation in sport, the Director of Sport Development shall support the application and give reasons for it
xi. The student concerned shall participate in University colours as an amateur and shall belong to a registered University sports club
xii. If there is no official registered sports club for the sport code concerned, applications might be considered on merit
xiii. A detailed explanation of the costs (official quotation) and a confirmation of the event by the body concerned shall accompany the application
xiv. Any recommendation made by the Director Sport Development shall contain a statement about the Directorate’s own contribution and about all other contributions by the sports body concerned, sponsors, etc. Mainly, the following expenses shall be taken into consideration:

- Travelling expenses, including air tickets for participation abroad
- Subsistence costs
• Meals, if not included in subsistence costs

xv. A maximum of 40% of the costs shall be paid. The following guidelines shall apply:

<table>
<thead>
<tr>
<th>Category</th>
<th>Description</th>
<th>Maximum Allocation %</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>National senior team or international, individually</td>
<td>40</td>
</tr>
<tr>
<td></td>
<td>National junior team or age-group team</td>
<td></td>
</tr>
<tr>
<td></td>
<td>USSA national team (international; continental)</td>
<td></td>
</tr>
<tr>
<td>B</td>
<td>Provincial senior or junior,</td>
<td>25</td>
</tr>
<tr>
<td></td>
<td>USSA national team (participation in SA Championships as a provincial team)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>USSA provincial team (participating in USSA national competitions)</td>
<td></td>
</tr>
</tbody>
</table>

12.9 Crisis Funds

The aim of the fund is to assist deserving registered students from internal and/ or external source funds with study related costs and awarded to students who:

i. Have a proven financial need
ii. Can provide written motivation why the standard financial aid avenue has not been adequate or utilised to obtain support
iii. Have passed all the subjects of their pervious term of study (year or semester)
iv. Do not already receive financial aid to the value of 50% or more of their outstanding study costs
v. Have, at the very least, paid their registration fees.

12.9.1 Allocation Criteria

i. Only 70% of the budget that is allocated to the fund per academic year shall be available for allocation in the year concerned.
ii. The remaining 30% shall remain in reserve to strengthen the fund.
iii. No application shall be considered once the available amount is exhausted.
iv. The fund is allocated and administered by the Financial Aid in accordance with the stipulated regulations.

v. Applications shall be made on the official application form.

vi. Financial Aid processes the applications and determines the eligibility of the applicant.

vii. Applicants shall have obtained an average of at least sixty percent (60%) in their last examinations.

viii. Students who receive this award shall do community service within the University for a period for which the remuneration, calculated according to the hourly tariff for student assistants, amounts to at least 75% of the value of the award.

ix. The amount allocated shall be transferred in the form of a credit payment to the student’s account after the community service has been completed.

x. Awards may be done on an ad hoc basis, at any time during the course of the year, provided funds are available.

xi. It is not the aim of the fund to generally supplement any possible shortfall in funding already received by students e.g. NSFAS.

xii. The value of the bursary shall be determined by the Director Financial Aid, taking into consideration the available funding, the merit of the case, and level of study and the study costs of the recipient.

xiii. Financial Aid may accept any contribution from any source internal or external to the University to be allocated to students in terms of the regulations of the bursary.

12.10 External Funding

This funding refers to bursaries that are allocated to students from sources outside the University. These include undergraduate and postgraduate bursaries from Public, Private, Corporate, Industry, Government, Parastatal and International sources.

12.10.1 Eligibility of Funding

Eligibility is tested by the specific donor or by the University in consultation with the donor.
12.10.2 Administration of Funding

i. The allocation of awards to externally funded students shall be done in accordance with the requirements specified by the donor and relevant University Policies.

ii. The Financial Aid Office shall:

- Manage, account, allocate and administer all funding received on behalf of the students by the University
- When requested, provide donors with annual reports on funding allocated and study records of recipients
- Follow due processes in terms of the issuing of Tax certificates by the Advancement Office should this be required by the donor
- If required, provide information for annual audits on allocated funds
- When requested, facilitate contact with donors and provide facilities for donor visits
- When requested, provide selection support to donors in terms of distributing information to students, setting up interviews and pre-screening applicants
- Maintain records and a database of donor information
- Build relations with existing donors and identify potential new donors in collaboration with the Advancement Office
- Annually report to the Financial Aid Committee on funding allocated

iii. External donors are required to provide pledge letters to Financial Aid indicating their commitment to support the relevant students. The following shall be indicated on the pledge letter:

- The names and student numbers of the recipients
- The cost categories (tuition, residence, books, etc.) funded.
- The refund policy of the donor
- The rules with regard to excess funding at year end
- The donor rules with regards to multiple funding
iv. Donors shall be encouraged to make pledge letters at a predetermined date, annually, to reduce the risk of multiple funding especially with regards to NSFAS allocations.

v. The authenticity of the pledge letters shall be verified by Financial Aid to provide financial and registration clearance to recipients if necessary.

vi. Financial Aid shall notify donors of payment dates, as stipulated by Finance, as well as any interest payable on late payments.

vii. The advance release of funds to students whose donors have pledged funding to cover meals, books and other allowances is possible by debiting the student account and paying the supplier. The student shall therefore remain liable for the costs in the event of a donor not keeping to its promise.

12.11 Financial Payments

i. All students who qualify annually shall automatically be awarded bursaries relevant to their qualification.

ii. Any credit balance may be refunded to the student if the student account is paid in full.

iii. In the case of sport allocations, payments shall be made directly to the sports body concerned.

iv. In the case of funeral applications arrangements should be made through the University Transport Unit.

12.12 Financial Aid Appeals

i. Appeals shall be considered by the Appeals Committee that will consist of the following members:

**Chairperson:** Executive Dean of Students

**Members:**
- Director: Student Affairs
- Director: Financial Aid
Deputy Registrar

Three (3) members of the Student Representative Council

ii. The Chairperson may co-opt members to the Committee if and when necessary

iii. The terms of reference of the Committee are as follows:

- To have at least one meeting per annum, to assess appeals submitted
- To monitor and review standards and guidelines for considering appeals
- To assess the merit of the appeals and to take a final decision
- To record all appeals in the Appeals Register

iv. Students shall submit the appeals form before a predetermined closing date, to be considered

v. As a general rule, only the following appeals shall be considered:

- Students who can prove (through submission of psychological or medical reports) family or personal distress that had an adverse effect on their ability to achieve the required academic standards
- Students who have not been able to attend classes or write exams because of medical reasons (doctor’s certificate necessary) and could therefore not meet the required academic standards
- Final year students who have not achieved the required academic standards
- Students who can proof that their family’s financial position has changed since the submission of an application (parent lost employment, etc.) in cases where the financial calculation disqualified them

vi. The following shall not be considered as valid grounds for appeals

- Students not submitting applications before the closing date
- Students not meeting the academic requirements without a valid reason or documentary motivation.
- Students submitting incomplete applications prior to the closing dates
vii. Only appeal forms completed in full with all the relevant supportive documents and submitted prior to the closing date shall be considered.

viii. Successful appeal cases, when notified, could also be exonerated from paying the upfront fees for registration, but shall be subjected to the rules and policies of Student Administration.

ix. Successful appeals are subjected to funding being available.

x. In the event that funding is not available immediately, successful appeal students shall be placed on a waiting list. Such students shall be prioritised (ranked) by the Committee and shall be contacted should additional funds become available.

xi. The Director Financial Aid may consider valid ad-hoc appeals after the Appeals Committee meeting based on the principles decided upon by the Committee and provided funding is available.
NEW UNIVERSITY POLICY

13 LEADERSHIP BURSARY POLICY

POLICY REFERENCE: SG 13

<table>
<thead>
<tr>
<th>Name of Originator</th>
<th>GT</th>
<th>Name of VC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approved by QC</td>
<td>GT</td>
<td>Approved by Legal Div</td>
</tr>
<tr>
<td>Policy code and number</td>
<td>SG 13</td>
<td>Approved by Registrar</td>
</tr>
<tr>
<td>Date sent to VC</td>
<td>SG 13</td>
<td>Approved by VC</td>
</tr>
<tr>
<td>Date sent to Council</td>
<td></td>
<td>Approved by Council</td>
</tr>
</tbody>
</table>

13.1 Background:

It is the policy of the University to provide financial aid service to all qualifying student leaders of the University. It is thus the intention of this policy to provide guidelines on the manner in which the leadership bursaries are to be disbursed to qualifying students.

13.2 Definitions

“Awarding criteria” means the principles or standards used to evaluate the applications for leadership bursaries

“Bona fide student” means any student registered at the University who is eligible for the leadership bursary

“Donors” means an organisation or individual who donates money to be allocated to students for the purpose of study

“Eligibility” means to comply with the requirements (criteria) set by the donor

“External funding” means awards that are made from external sources and administered in partnership with the University

“LBC” means Leadership Bursary Committee

“Financially needy” means the applicant’s financial dependency on other sources for survival as determined by a means test
“Full-time subsidised programmes” means education programmes as presented by the University to students on a full-time basis that are recognised and subsidised by the Department of Higher Education and Training.

“Institutional academic programmes” means educational programmes as presented by the University.

“Internal funding” means awards that are made by the University based on meritorious performance.

“Means test” means a test used in the investigation into the applicant’s financial circumstances to determine their eligibility for leadership bursary.

“Multiple awards” means funding from more than one source allocated to a student.

“Regulatory framework” means principles of action adopted for the allocation and management of different internal and external financial aid for leadership bursaries.

“Rules” means principles guiding the procedures to be followed in allocating leadership bursaries.

“Selection requirements” means the principles or standards used to evaluate the applications for admission to the University.

13.3 Introduction

These bursaries are awarded to students who have displayed proven exceptional leadership skills and abilities in the institution or their communities.

13.4 Allocation Rules and Criteria

i. The Directorate of Student Leadership & Governance shall administrate the bursaries allocation with the specified terms of reference.

ii. This reflects on leadership of the Student Affairs approved activities that include:

- Student Life
- Student Governance
- Health and Wellness
- Residence Life, Accommodation and Catering

iii. The allocation shall exclude the Directorate of Sport Development.
iv. Students need to apply at the various Student Affairs Managers at each campus prior to a pre-determined date

v. Eligibility shall be determined by performance up to the end of December of the previous year

vi. A pre-determined set of criteria shall be used by the screening committee to test eligibility

vii. Students shall have completed a minimum of two semester courses and shall have achieved a 60% average for all subjects registered

viii. Only full-time registered students shall be considered

ix. A final decision on the number of students and the amounts allocated shall be taken by the Directorate: Student Affairs within the confines of the annual budget allocation

x. Qualifying students are expected to be involved in at least two (2) community engagement projects.

xi. At no point shall a bursary exceed the maximum award per student category within the confines of the amount allocated by the committee for the Leadership Bursaries.

xii. If a student qualifies for any other meritorious award allocated by the University, the combined allocation shall not be more than their full cost of study for the academic year in which it is allocated

xiii. The names of the recipients shall be forwarded to the Directorate of Financial Aid to credit their student accounts and shall be published on the web

xiv. Any credit balance may be refunded to the student if the student account is paid in full

xv. The Director of Student Affairs shall constitute a committee that will review the nominations for the Leadership Bursaries and make recommendations

xvi. The committee shall compromise of representatives from the following units:

- Leadership Development unit
- A member of Student Representative Council
- Student Affairs staff member

13.4 Evaluation Principles

i. Evaluation of student leaders takes place twice annually, at the end of February (6 months after election) and at the end of August (at the end of their leadership period). Evaluation will be done making use of a 360 degrees principle. In practice this will mean that:
- Student leaders will evaluate each other within their functional groups, i.e. all the members of a specific House Committee (HC), Student Representative Council, Council e.g. Academic Council, Sports Council, etc., will evaluate each other within this functional group
- The results of the 360 degrees evaluation of each student leader will be considered by Director: Student Affairs
- During the evaluation process comprehensive notes will be kept of each individual member of a Residence Committee or the Student Representative Council and every decision will be duly motivated, in order to give feedback to the student leader and as a development mechanism
- The results of the 360 degrees of the evaluation of the Student Representative Council President will be considered by the Director: Student Affairs. Comprehensive notes will be kept of the evaluation of the President and every decision must be duly motivated in order to give feedback and as a development mechanism
- After completion of the 360 degrees evaluation process all the finalized evaluations will be discussed by the Leadership Bursary Committee with the Director: Student Affairs, hereafter the final evaluation will be submitted to Financial Aid Services.
- The amount of the student leadership bursary per portfolio is calculated annually by Financial Aid Services, as a percentage of the average class fees. The student leader will be awarded a percentage of this amount dependant on the outcome of the evaluation

### 13.5 Evaluation Criteria

All student leaders are evaluated on four criteria:

<table>
<thead>
<tr>
<th>Criterion</th>
<th>Percentage Loading</th>
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<tbody>
<tr>
<td>Academic performance</td>
<td>25%</td>
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<tr>
<td>Leadership</td>
<td>25%</td>
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<tr>
<td>Spirit and Ethos</td>
<td>25%</td>
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<tr>
<td>Execution of Portfolio</td>
<td>25%</td>
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</tbody>
</table>
13.5.1 Description of Criteria

i. **Academic performance:** Student leaders of the University should set the example at all levels of student life more especially on academic performance, itself the core business of the University

ii. Therefore, to be awarded the full 25% of the leadership bursary as far as the academic criterion is concerned, a student leader should have passed 100% (all) of the modules enrolled for in the examination prior to the evaluation process. If a student leader obtained 50% +1 or more passes in the preceding examination, but did not obtain a 100% pass rate, the student leader is awarded a percentage of the 25% relating to the academic criterion corresponding to the percentage of modules passed.

iii. In practice this will imply that a student leader who passed 60% of modules enrolled for as described above will be awarded 60% of the 25%; if the student leader passed 75% of modules enrolled for, 75%, etc. For performance below 50% + 1 of modules passed, the student leader forfeits the full 25%.

iv. **Leadership:** This criterion exhausts the question to what level the student leader displayed positive leadership

v. **Spirit and Ethos:** This criterion exhausts the question to what extent the student leader lived according to, displayed and upheld the values of the University.

vi. **Portfolio Execution:** This criterion exhausts the question to what extent the student leader executed the tasks as described in the job description of the portfolio as described in the Constitution of the SRC.
14. RECOGNITION OF STUDENT STRUCTURES

Policy Reference: SG 14

<table>
<thead>
<tr>
<th>Name of Originator</th>
<th>GT</th>
<th>Name of VC</th>
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<td>Approved by Registrar</td>
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<tr>
<td>Date sent to Council</td>
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<td>Approved by Council</td>
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</tbody>
</table>

14.1 Background:

It is the policy of the University to provide guidelines for the registration of student structures in the University through Student Life Directorate. It is thus the intention of this policy to provide guidelines on the manner in which registration and qualification of student structures is administered for qualifying clubs, organisations, societies, teams and vocational student structures. Student Life Directorate presents a variety of support services that are of interest to students and also freely available on campus. Students may organize and are free to join organisations/associations to promote their common interests.

14.2 Definitions:

“Student structure” – means any student organization/club/society with the inclusive representation of student interests and a Constitution that is in line with the objectives of the Constitution of the SRC.

“Student Life Directorate”- shall refer to the Directorate as contemplated in the Institutional structure under the auspices of Student Affairs and Support.

“Calendar projects” shall refer to any formal projects and events such as seminars, symposia, tours, socials, tutorials, debates, sporting and spiritual activities as per registration guidelines.
“Student Representative Council” means the student representative council for the university as contemplated in the higher education act (Act 101 of 1997) as amended and the Standard Institutional Statutes.

14.3 Introduction

It is the objective of the university to provide for a holistic development of students for good citizenry in the quest for development of holistic graduates. The objective is further enhanced by the promotion of student’s participation in the academic, cultural, sport, and spiritual activities. It further promotes wider engagements in the community service in contributing to community upliftment.

14.4 Registration Process

In line with the provision of the SRC Constitution, the registration and management of societies will be approved subject to the guidelines and provisions as contained in this guide. The process will assist the Student Life Directorate will as a result of the registration guidelines better manage and control the assets of societies, which will enable them to function effectively and efficiently.

SRC receives and recognises student organisations

Applications for recognition as a bona fide Student Organization shall be made using the prescribed forms

The applying organization shall have a Constitution, a Founding Committee and membership proportionate to the size and nature of the organization with a minimum of 20 students

The application should include the intended aims and objectives of the organization, action plan and programme and a budget request

All applications received will be considered at an official SRC ordinary meeting. If recognition is granted, the applying student organization will be notified in writing within seven working days of the meeting, and will then be free to commence its activities enjoying the support of the SRC

In the event of a rejection of an application, full reasons shall be supplied in writing no later than seven days after the meeting at which the application is considered

Should the applicants feel aggrieved by a rejection, they have the right to submit an appeal with the relevant Student Life Directorate.
Schedules to the Registration process

- Schedule A Sample of a constitution for all approved registered structures
- Schedule B Sample of Student Life Society authorization form

14.5 Term reports

Societies should submit to the SRC office a term report of no more than two pages detailing the activities, successes, and failures of their society per quarter.
Concise and honest reasons should be given for any failures and evidence of attempts to improve the situation should be apparent. A community service outreach performed should be mentioned.

14.6 Adherence to administrative policies

From time to time, Student Life Directorate will issue notices or circulars containing rules that pertain to societies which will be binding to all registered structures. Should a society experience a problem in fulfilling these rules, they should approach Student Life Directorate or the SRC Office for mediation and resolution.

14.7 Structures rules on posters

Posters and notices may only be displayed on authorized notice boards. Official notice boards (under the auspices of the Registrar) may only be used for official University notices.
Commercial advertising for societies will not be generally permitted but these rules may be relaxed when sponsors of fundraising activities are involved. The University foundation should be notified in this regard.
Posters may not be put up on notice boards without the approval stamp from the Student Life Directorate.

14.8 Application of the policy

The application of the policy shall apply to all structures administered by the Student Life Directorate and recognised by the Student Representative Council.
14.9 Classification of societies

The structures as contemplated in this policy shall be as follows;

- Political
- Spiritual
- General Societies (Clubs, Vocational)

14.10 Standard constitution of a structure

Name of the Structure
Abbreviation of the name of the structure

Aims and objectives of the structure

- Further the aims and objectives of the SRC;
- Foster unity amongst the students registered under the structure;
- Strive to reach consensus on all issues that relates to issues of the structures;
- Advance common interests with the general members of the structure

14.10.1 Membership

The structure is herewith established as per requirements of 20 plus signatures of registered students and list attached hereto as part of the application.

14.10.2 Meetings

The structure shall have its meetings constituted though quorum of a simple majority and the annual general meeting of the society shall be convened through at least a 5 days’ notice.
The agenda of the structure shall include the election of Office bearers.
Only full members of the structure excluding guardians shall be entitled to vote at the general meeting.

14.10.3 Committee

The structure’s committee shall consist of:

- Chairperson
- Secretary
- Treasurer
- Three Additional members

Subject to the control of student Life Directorate the committee shall manage the affairs of the structure in accordance with this policy.
The quorum of the structure committee meetings shall be half the number of members of the committee.
The committee shall maintain a file of minutes of all their meetings that will be available for inspection by both the SRC and the Student Life Directorate.

14.10.4 Amendments to the Constitution

The terms of this constitution may be amended at a general meeting of the structure through a simple majority.

14.11 Structure authorization form

I hereby declare that the following signatories have been authorised and are acceptable to the structure as officials entitled to conduct business on behalf of the structure through the official channels of the Student Life Directorate/SRC.
I understand that only the person(s) undersigned may conduct business on behalf of the structure and that no other member of the society may sign for any transaction or purchase concerning the structure financial grant at the Student Life Directorate

Signed by
Chairperson of the Society
Signature………………………………
Full names…………………………………

AUTHORIZED SIGNATORIES
Any of the following members of the structure have signing powers to the society’s account at the Student Life Directorate;
Chairperson
Full names---------------------------------------------Signature  ------------------------------
Contact details----------------------------------------Student no ------------------------------

Secretary
Full names---------------------------------------------Signature  ------------------------------
Contact details----------------------------------------Student no ------------------------------

Treasurer
Full names---------------------------------------------Signature  ------------------------------
Contact details----------------------------------------Student no ------------------------------
ACKNOWLEDGEMENTS:

1. Draft Institutional Statute:

Source material:

2. Introduction
Mr C Lyall-Watson: Dip O&M, DIP PM, DIP T&D. Independent Consultant specialising in Higher Education

Source material:

3. Chapter 3 – Interim Council, Council and Governance:
Professor C R de Beer: BJur et Art (PU for CHE), LLB (Cum laude) (PU for CHE), LLM (RAU), LLM (UWC), Drs Juris (Leiden, Netherlands), LLD (Leiden, Netherlands). Senior Vice-Principal University of Pretoria and Administrator University of Zululand.

Acknowledgements to the University of Pretoria for certain policies and documents.
Section on Plagiarism drafted by Professor R Midgely and Ms B van Wyk, University of Zululand.
4. **Chapter 4 – Academic Planning, Teaching and Learning, Research and Community Engagement**


5. **Chapter 5 – Office of the Registrar, Student Administration and Committee Management.**

Derek K Swemmer - BA, BA Hons, MA (Pretoria), D Litt Et Phil (Unisa), THED (JCE)
Registrar, University of the Free State

Source Material:

From policies, practices, advertisements, procedural documents, guidelines and publications prevailing at the University of the Free State, the University of the Witwatersrand, Golden Key International Honour Society, and the International Education Association of South Africa.

6. **Chapter 6 – Finance**

Mr P Slack: B Com (Hons) (Financial Management); CA (SA). Executive Director: Finance Cape Peninsula University of Technology 2001- 2008. Independent Consultant specialising in Higher Education.

For Finance policies acknowledgements to: Ms Leslie Haddow, Finance Systems and Projects; Mr Peter Grant, Manager Financial Accounting – UCT for access to policies on UCT website; Mr H Lombard, Chief Director Finance – US, for the comprehensive list of financial policies; Mr E Dube, CFO – Mangosuthu University of Technology for allowing the sharing of policies written and approved by Council during the [period of Administration (written by Paul Slack)
7. **Chapter 7 – Human Resources**


Mr C Lyall-Watson: Dip O&M, DIP PM, DIP T&D. Independent Consultant specialising in Higher Education.

Source Material:
From the Universities of Zululand (Categories of Employment) and Pretoria (Performance Management). Work on Remuneration originally researched and developed for the Mamphele Reference Group for HESA on “Good Governance of Senior Staff Remuneration in South African Higher Education”.

8. **Chapter 8 – Library Information Service**

Mrs MT Mulaudzi: B Bibl HON (UL); MPA (UP). Currently Director Library Services University of Venda.

Source of Materials:

9. **Chapter 9 – Information and Communication Technology Guidelines and Specifications**

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Previously Director ICT Services NMMU
Assisted by Ms AM Moller (editing) N HDip IT (PET), MBIS (NMMU), Deputy Director ICT Service Delivery NMMU
Source Material:
ICT Policy and Cabling Standards in this chapter are based on work developed at NMMU.


Mr PA Nel: BSc Hon (UP), MBL (Cum Laude) (UNISA), Government Certificate of Competency (Electrical Engineer)
Source Materia:
Acknowledgements to the University of Pretoria and USFM for source documentation edited by PA Nel and the Facilities Management Departments of University of Johannesburg and University of Stellenbosch, for source documentation edited by PA Nel.

11. Chapter 11 – Student Governance

Mr TGP Tefu: Nat Dip Public Management (TUT); B Tech. Public Management (TUT); MA Public Management (TUT). Currently Executive Director Strategic Support – Office of the Chief Whip to Council, City of Tshwane.
Sources used for this chapter:

1. Johann Van der Watt, ND, Education Studies, Former Director Student Life: Tshwane University of Technology. (The world of Student Affairs: A South African perspective), 2000

2. Dr Rose Laka-Mathebula, BSC Medical Science-University of Limpopo, MSC Medical Sciences-Royal Postgraduate Medical School University of London, PHD-Organisational Behaviour-University of Pretoria, Executive Director-Student Affairs TUT and Advisor to the VC Mangosuthu University of Technology (Student Affairs manual)

3. Tebogo Makgabo, MA-Clinical Psychology- RAU (University of Johannesburg) Director Health and Wellness Tshwane University of Technology. (Health and Wellness manual)
4. Roger B. Ludeman, Assistant Chancellor for Student Affairs and Dean Student Life, University of Wisconsin-White river (Compendium of papers- The world of Student Affairs Today and Tomorrow)