



2ND NATIONAL

HIGHER EDUCATION SUMMIT



**“TRANSFORMING HIGHER EDUCATION
FOR A TRANSFORMED SOUTH AFRICA
IN A 21ST CENTURY WORLD:
A CALL TO ACTION”**

**International Convention Centre
Durban, KwaZulu Natal**

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**higher education
& training**

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**Report on the
Second National Higher Education Transformation
Summit**

**International Convention Centre, Durban, KwaZulu-Natal
15 – 17 October 2015**

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Abbreviations

CPUT	-	Cape Peninsula University of Technology
DASO	-	Democratic Alliance Students Organisation
CHE	-	Council for Higher Education
DHET	-	Department of Higher Education and Training
DST	-	Department of Science and Technology
EFFSC	-	Economic Freedom Front Student Command
HDIs	-	Historically Disadvantaged Institutions
HE	-	Higher Education
ISI	-	Institute for Scientific Information
NIHSS	-	National Institute for the Humanities and Social Sciences
NRF	-	National Research Foundation
NSFAS	-	National Student Financial Aid Scheme
NQF	-	National Qualifications Framework
PASMA	-	Pan Africanist Student Movement of Azania
RPL	-	Recognition of Prior Learning
RMF	-	Rhodes Must Fall
SAHECEF	-	South African Higher Education Community Engagement Forum
SASCO	-	South African Students Congress
SAUS	-	South African Union of Students
SRC	-	Student Representative Council
SSAUF	-	Staffing South Africa's Universities Framework
TVET	-	Technical and Vocational Education and Training
UFS	-	University of the Free State
UJ	-	University of Johannesburg
USAf	-	Universities South Africa

1. Introduction

The 2nd National Higher Education Summit, themed “*Transforming Higher Education for a Transformed South Africa in a 21st Century World: A Call to Action*”, was held on 15–17 October 2015 at the International Convention Centre in Durban, KwaZulu-Natal. The Summit was held against the backdrop of heightened social and political activism that has placed universities and the higher education system in the public eye. This growing activism is fuelled by frustrations of students, staff and other stakeholders about the slow pace of transformation in many areas. The hosting of the Summit at this time provided an opportunity for stakeholders to channel their resolve to achieve deep and meaningful transformation in higher education in constructive ways towards proposals that would bring about substantive change.

The purpose of the Summit was to bring together key stakeholders, including representatives from governance and management structures, students, staff, relevant government departments, statutory and non-statutory organisations, civil society organisations, research organisation and unions, to engage in critical dialogue on the higher education system (a summary list of participants is provided in Annexure 17). The Summit aimed to take stock of the changes since the 2010 Higher Education Summit held at the Cape Peninsula University of Technology (CPUT). Furthermore, the Summit sought to provide a platform and space to re-imagine higher education transformation by addressing the following key questions:

- What would a transformed higher education sector look like?
- Where are we as a sector with regard to transformation? What have been the gains, and what are the pressing issues that must urgently be addressed?
- What actions need to be taken in order to address these issues?
- How do we determine whether the sector is making progress in addressing these issues?

While the question of university transformation is broad, the Summit design encouraged delegates to focus on the key levers of change, including higher education funding, student access and success, curriculum, institutional environments, leadership, governance and management, and research and engagement. Preparatory work included the production of input papers by a range of scholars to stimulate debate and discussion in the plenary and commissions (see Annexures). In addition, a pre-Summit event was held at the University of Johannesburg (UJ) on 5 October when Vice-Chancellors and student leaders discussed and debated a vision for a transformed university and higher education sector and what needed to be done to get there.

Emerging from the Summit was the affirmation that higher education in South Africa played a fundamental and critical role in giving expression to the rights and values in the South African Constitution and Bill of Rights. The Summit noted how the apartheid regime had used higher education to advance white privilege, and acknowledged that we have an obligation to create a system which would promote the dignity of all people irrespective of sexuality, disability, race, class and gender. This responsibility for constructing a new system rests with all stakeholders in the sector.

2. Setting the Scene: Gains and Challenges

The contributions by the Deputy President of South Africa, The Minister of Higher Education and Training, the Premier of KwaZulu-Natal and the Chairperson of the Higher Education and Training Portfolio on the first morning of the summit highlighted gains that have been made, challenges that lie ahead and the manner in which these challenges needed to be confronted. They also emphasised the important role education in general, and higher education in particular, played in the transformation of South African society, the crucial timing of this summit and the need for a diversity of voices to enrich the quality of debate and outcomes.

2.1. Role of higher education

In his address to the summit, Deputy President Cyril Ramaphosa noted that this occasion provided an opportunity to re-affirm commitment to the demand in the Freedom Charter that “the doors of learning and culture shall be opened!” He observed that investment in education was an apex priority of government, guided by the Constitution, which stated that “everyone has the right to further education, which the state, through reasonable measures, must make progressively available and accessible.”

The Deputy President emphasised that quality higher education was not only critical to economic development, but that it was also a driver of social development and cohesion and, from this perspective, was a requirement for transformation. It was expected that the higher education sector played a leading role in overcoming the devastating legacy of apartheid and this expectation afforded stakeholders in this sector an opportunity to contribute from inside the ring, rather than staying outside.

Minister of Higher Education and Training Blade Nzimande picked up on this theme and emphasised the important role of higher education in healing the scars of the past, and its importance for promoting and protecting multi-culturalism. He reminded delegates that higher education was a public good and that the value thereof was social, cultural and scientific. The Premier of KwaZulu-Natal, Mr Senzo Mchunu, welcomed delegates and reminded everyone that the outcomes of this conference would be an investment in the future of the country.

2.2. Timing of the Summit and diversity of participants

There was broad consensus that the summit was held at a crucial time in the history of higher education in South Africa. The Chairperson of the Higher Education and Training Portfolio, Honourable Yvonne Phosa, noted that universities have been under public scrutiny and consequently, the contributions of summit delegates would also be under scrutiny. Furthermore, the backdrop of the summit was one of increasing tension over higher education fees, concern about the funding of the system and simmering frustration at the pace of transformation. The Deputy President commended delegates for their courage to deal with the challenges of transformation in the sector and encouraged everyone to use this occasion as a platform for sharing ideas and strategies for transforming the higher education landscape. He reminded delegates that the strength of the summit lies in the breadth and diversity of voices derived from the views, insights and talent gathered on this occasion. He encouraged students, higher education managers, government, statutory and non-statutory organisations and other stakeholders to engage with the key issues underpinning university transformation.

2.3. Gains

Minister Nzimande noted that many changes had been made since the first summit was held in 2010, notwithstanding the different perspectives on the nature of these changes.

The Minister highlighted that the release of the White Paper on Post-school Education and Training in 2014 provided a strategic framework for all programmes and set out a vision for a fundamentally transformed system. An implementation plan that will set out concrete actions for the transformation process is being developed. A draft Policy Framework on Differentiation in the South African System has been issued as the basis for consultation on the necessary steering mechanisms that take account of individual institutional realities so as to optimally enhance the growth trajectory of each. The Higher Education Amendment Bill has been introduced, providing the Minister with the authority to better monitor transformation goals. Also, as a decisive response to addressing staffing challenges at universities and growing and nurturing new academics, the Staffing South Africa's Universities Framework (SSAUF) has been developed and is being implemented.

Minister Nzimande observed that funding was an important, difficult and complex area. In this regard, the National Student Financial Aid Scheme (NSFAS) has supported 1,5 million students over the period of its existence, many of whom were first generation university entrants.

The demographic profile of the higher education sector has changed considerably, with women now outnumbering men and many poor black students benefiting from change. The country has also witnessed an improvement in the number of graduates produced and in research output. A policy for the revitalisation of the academic profession is in place.

Historically disadvantaged institutions (HDIs) have been prioritised in respect of infrastructure renewal and expansion, a process initiated by former education Minister Naledi Pandor with the infrastructure grant. Standards for student housing have been established in an effort to enhance the learning environment.

Minister Nzimande acknowledged that the curriculum was at the centre of transformation and noted that many universities continued to make progress in adapting the curriculum in socially relevant ways. The National Institute for the Humanities and Social Sciences (NIHSS) is expected to contribute in this regard.

It was acknowledged that these gains would be undermined if the pace of transformation did not increase and that they should be used as building blocks to further the transformation agenda.

2.4. Challenges

A number of challenges hinder progress towards a transformed higher education system and institutions. Deputy President Ramaphosa issued a challenge to delegates to address constraints related to access, funding, quality, language and institutional cultures. The slow pace of transformation was of particular concern to both the Deputy President and the Minister of Higher Education and Training.

Minister Nzimande expressed deep concern about the continued presence of racism and discrimination in universities and encouraged institutions to ensure that these were places of tolerance where all students felt welcome. The participation rate of African students remains low at 15% of the age cohort which is untenable from the perspective of social justice and meeting the demands of the country's economy in the 21st century. There are inadequate numbers of black professors and lecturers. Deputy President Ramaphosa insisted that it was necessary to disabuse delegates of the notion that there was a choice to be made between transformation and quality, saying that difficult questions must be addressed as to the way in which language and institutional cultures serve to exclude rather than empower.

International comparisons reveal that higher education funding in South Africa as a proportion of overall education spending, is comparatively low. Increases in the funds made available have been negated by inflation and the rapid growth in student numbers. Similarly, increases made available to NSFAS have been negated by increases in student fees. Furthermore, the system comprises institutions with varying

levels of resources and capacity for raising funds and collecting revenue. A careful balance must be maintained between addressing the plight of HDIs without diminishing the capability of better resourced institutions to generate funds. Already, the Department of Higher Education and Training (DHET) has started implementing measures to improve funding, such as increases to the NSFAS budget, funding of scarce skills, funding to improve infrastructure at HDIs and programmes to produce academics. A further focus will be on understanding the cost drivers in higher education as a means to better manage increasing costs in the sector.

Minister Nzimande was unequivocal about ensuring that the continued expansion of enrolment needs to be accompanied by measures to ensure success. Many factors contribute to high failure rates, including institutional cultures that do not adequately support poor black students.

Delegates were encouraged to take into account a number of considerations in their deliberations at the Summit. Minister Nzimande asked delegates to consider transformation of the higher education system as part of the larger transformation of South African society. This link refers to a profound and radical change towards building a democratic and developmental state. Furthermore, the task of transformation must be guided by contradictions in social, class, race, geography, age and other dimensions.

Deputy President Ramaphosa encouraged delegates to be critical and self-critical in their deliberations and to avoid blame-casting. Minister Nzimande urged informed discussion that avoided using the Summit as a bargaining forum. The Minister indicated that the fundamental question was: what does it mean to be an African university in the process of transformation as we cannot afford to be intellectual outsiders in our own country and context? The Minister noted that institutional autonomy did not mean that institutions were autonomous from these challenges.

3. Re-imagining Transformation

The Summit, with input from panellists, considered the different dimensions that underpin transformation, assessed progress made and highlighted actions to increase the pace of transformation. Background papers by DHET, South African Union of Students (SAUS), Universities South Africa (USAf), the Ministerial Oversight Committee on Transformation in South African Public Universities, Council for Higher Education (CHE), and the National Research Foundation (NRF) highlighted the key themes, challenges and pathways to university transformation (Annexures 2 – 9, and 16). This was foregrounded by input from the DHET which drew on data to highlight some of the key transformation issues in higher education, such as:

- an increase of funding to universities in nominal terms, but a decrease in real terms;
- the weighting of funding in favour of support to HDIs;
- an increase in enrolments at universities, especially enrolments of students from historically disadvantaged groups. This achievement is, however, dampened by the fact that participation rates continue to reflect apartheid-era patterns with African and coloured students lagging behind;
- a decrease in the drop-out rate in undergraduate programmes with a simultaneous increase in the ability of students to graduate in or close to regulation time. However, drop-out and through-put rates continue to reflect apartheid-era patterns with respect to race;
- an increase in postgraduate enrolments and Masters and Doctoral graduates although the enrolment and graduate share of black South Africans are in decline;
- a decrease in student-staff ratios, notwithstanding an increase in academic staff numbers. This is coupled with an increase in the use of temporary and foreign staff;
- an increase in African and coloured professional instructional staff is coupled with their disproportionate representation in terms of national demographics; and
- a substantial increase in research output.

The following dimensions necessary to bring about transformation were highlighted:

3.1. Leadership, governance and management

Prof Narend Baijnath reminded delegates that the need to increase the pace of transformation in all of its dimensions placed the burden of responsibility on the leadership of the higher education sector to put in place institutional interventions.

The establishment in April 2013 of the Ministerial Oversight Committee on Transformation in South African Public Universities to advise on policies and strategies to promote transformation was expected to boost efforts to promote change. Prof Shirley Walters, a member of the Oversight Committee, noted that few resources were allocated to the committee before June 2015. She emphasised that a new transformation narrative was required and that transformation machinery in institutions needed to be prioritised.

3.2. Quality of student and staff life

Prof Baijnath observed that black students and staff were confronted with enduring barriers to their full participation in universities. Low throughput rates remain a key challenge to transformation. The representative of the South African Union of Students, Mr Saki Badi, noted that black students constantly have to defend their positions in higher education institutions, whereas the experience of white students was different in that the status quo “spoke” to them. Prof Walters pointed out that notions of the traditional student were no longer valid yet this dominant view continued to shape the university administrative structures.

Prof Derek Swartz, representing Universities South Africa (USAf), called for a focus on student success through the creation of conducive and stimulating environments involving a spectrum of developments such as academic support, more flexible learning paths and academic structures, and the creation of stability in universities with the most vulnerable groups. Prof Baijnath highlighted the need for innovative pedagogical approaches and sustained student support. This, according to Prof Walters, cannot be done without taking into consideration the politics of epistemology. In his response to the panellists, Prof Kopano Ratele emphasised that transformation needed to be radically re-appropriated through investment in new disciplines and departments.

3.3. Research and knowledge production

Dr Beverley Damonse noted that the goal of the National Research Foundation (NRF) was to transform the research environment to enable:

- 47% increase in number of doctoral students;
- 33% increase in number of ISI publications;
- 39% increase in PhD graduates per annum;
- 29% increase in proportion of global ISI outputs;
- 52% increase in number of women rated researchers;
- 77% increase in black rated researchers;
- 41% increase in global research impact; and
- 5.3% average annual increase in bursary allocations

Dr Damonse observed that these targets could only be achieved if support was provided to the next generation of researchers, focusing on investment in emerging scholars, established researchers and making strategic investments. This is, however, a complex and dynamic process involving support for the

decisions that people make at each point of the researcher life cycle. To date, the highest investment has been in the next generation of scholars, followed by strategic investments such as the South African Research Chairs Initiative and the development of Centres of Excellence. An additional injection of funds for bursaries amounting to R300 million has been made, and mechanisms are being implemented to track funded students. Overall, there has been positive change and this has been incremental. The foundation has been laid for making hard choices through better alignment and integrated planning among role-players, including the DHET, Department of Science and Technology (DST), NRF and universities.

Prof Swartz emphasised the need for a collective approach to recompose the demographic profile of the professoriate and next generation of academics to avoid a race to the bottom in a war of attrition in which universities compete for a small pool of academics at the peril of the system. Rather, it is necessary to focus on growing the quantum and quality of the pool of talent.

3.4. Funding

Engagements at the Summit reinforced that funding was crucial to the ability to increase the pace of transformation.

NSFAS plays a critical and strategic role in making funding available to students, especially poor black students. Mr Sizwe Nxasana, the chairperson of NSFAS, highlighted a number of challenges that needed to be addressed, including poor performance and low recovery of funds from previous beneficiaries who were gainfully employed. He noted several strategic options for improving the performance of NSFAS, such as strengthening its platform by ensuring that the required competencies and resources were in place, attracting more donors, and leveraging NSFAS funding as collateral for loans from other large financial institutions.

Prof Swartz indicated that the rising costs of running institutions have eroded the value of the state subsidy provided to universities. This has contributed to fee increases to offset the decline in funding. He noted that this was an urgent political question that needed to be addressed. Mr Saki Badi from SAUS argued that fee increases cannot be the only response as this was not sustainable. He argued that transformation must be contextualised in the general transformation of the economy.

4. Curriculum Transformation

In framing the debate on knowledge and curriculum transformation, Prof Renuka Vithal noted that the question of who decided what knowledge was produced and what curriculum was to be taught led to multiple tensions that manifested and was enacted in higher education.

Dr Lis Lange portrayed the curriculum both as a question and a site of struggle. Shaping the curriculum is a process that shapes the academic since the pedagogic approach defines the identity of both the academic and the student. Many institutions have embarked on curriculum review and one of the consequences is that academics can no longer continue to do what they have done for the past 20 to 30 years.

Dr Lange pointed out that black students feel misrecognised in the classroom and as students in various ways. This happens through the language of instruction. The African experience appears to be understood only as a negative experience; it is history produced as a series of setbacks. Misrecognition is devastating for the identity of the student and the pedagogy. The process of de-colonisation is a painful process that requires feeling uncomfortable together.

Ms Leigh-Ann Naidoo reflected on the process of student alienation by reviewing the recent experiences in which student movements forged creative pedagogical processes, particularly with reference to the

Rhodes Must Fall (RMF) movement. She pointed out that university cultures produced spaces of alienation for black students. Radical praxis of such student movements challenges the traditional curriculum. Students are creating alternative spaces for themselves to breathe in, deepening their collective conscientisation and re-imagining the relationship between student and teacher. This process has produced radical content and new forms of engagement.

According to Dr Noluthando Toni, curriculum transformation is a complex issue influenced by politics, the economics of curriculum reform and ideology. It involves ethical considerations, understanding power relations and positions and has the potential to break away from colonial ways of thinking about knowledge. Curriculum transformation should take into account the underlying values being taught and the extent to which these legitimise or de-legitimise the existing social order.

5. Perspectives from the Student Organisations

Student leaders posed fundamental questions related to the transformation of higher education. Mr Mpho Morolane, from the Economic Freedom Front Student Command (EFFSC), asked delegates to consider if higher education produced transformative and liberating knowledge and whether graduates produced were committed to transformation as justice and the advancement of society. Student leaders focused their attention on transformation, the curriculum and the nature of knowledge, governance and corruption, and funding.

From the perspective of the Pan Africanist Student Movement of Azania (PASMA), Mr Ndiyakholwa Ngqulu stressed that transformation meant that all students were viewed without reference to colour and should be provided with free and quality education. He emphasised that steps towards achieving free education needed to be put in place now if we were to achieve the goal of free education by 2030. Mr Ntuthuko, from the South African Students Congress (SASCO), acknowledged that some progress has been made since 1994, but that this has been undermined by racial discrimination. He expressed concern that measures such as registration fees were used as instruments to lock poor and black students out of higher education and, in so doing, maintain universities as ivory towers of white privilege. He argued that HDIs bore the brunt of the merger process, whereas advantaged institutions remained largely unaffected by the process. Mr Morolane, representing the EFFSC, asserted that university students studied knowledge that insulted their dignity and argued that the education system remained embedded in apartheid. He expressed concern at what he described as the outsourcing of the country's development by privileging knowledge systems of Europe, the United States of America and recently, China. Mr Ngqulu from PASMA echoed these sentiments, noting that the existing curriculum prepared students only as workers for exploitation in the capitalist economic system. According to Mr Ntuthuko from SASCO, the country's education system continued to suffer from various structural inequalities as expressions of class inequality.

Mr Ntuthuko from SASCO argued that there has been a serious expansion of the administrative enterprise and the shrinking of the academy and that councils of universities were not meeting their responsibilities since they have become boards of directors concerned only with balancing the books. He questioned the extent to which universities should be allowed institutional autonomy when they undermined public accountability by deliberately refusing to transform. Mr Mogatsi from the Democratic Alliance Students Organisation (DASO) expressed concern about institutions circumventing their own institutional frameworks, particularly when it involved corruption and the misuse of funds.

All student leaders expressed grave concern about the funding situation. Mr Ntuthuko warned that increasing fees was not the solution. He argued that by raising student fees poor black students would be locked out of higher education and this worked against the transformation agenda. Mr Ngqulu from PASMA expressed unhappiness about protest and disruption only being taken seriously now that it was

affecting advantaged universities whereas it has been an issue at HDIs for a long time. Mr Morolane from the EFFSC called for free quality education funded by an education tax on corporations.

Student leaders also expressed concern about the trend towards criminalising student protests. Prof Ihron Rensburg summarised the key issues raised by student leaders as follows:

- The urgent need to take steps towards free and quality education;
- Need for continued review of the curriculum to interrogate its relevance in an African and South African context;
- Deep concerns about the managerialism of leaders and managers of higher education institutions;
- Concerns about the extent to which mergers have further disadvantaged HDIs;
- Consideration given to a regulatory framework that balances institutional autonomy and public accountability; and
- Trend towards criminalising student protests.

6. Commissions and Stakeholder Priorities

The Summit was expected to reflect on changes in higher education since the first summit held in 2010 and, in so doing, provide for critical dialogue on transformation with a view to seeking consensus among stakeholders on content, priorities and strategies to realise the desired change. Four commissions provided platforms for stakeholders to engage on the most pressing transformation challenges and issues in higher education. The depth of discussions and recommendations in each Commission was influenced by the stakeholders in each, the inputs made and the level of engagement.

6.1. Commission 1: Institutional environments

This commission focused specifically on the need to address institutional environments to advance change in higher education. The background papers by Dr Peace Kiguwa and Prof Andre Keet reflect on the processes of social exclusion and inclusion and draw attention to the frameworks for understanding institutional culture respectively (Annexures 10 – 11). By foregrounding institutional environments, the Summit is taking note of the fact that the lack of change to institutional culture is thought to be a major barrier to transformation, particularly on formerly white campuses. The commission explored what is meant by institutional culture and the ways in which it constrained or enabled institutions to be responsive to the needs of a democratic South Africa in the 21st century.

6.1.1. Background and key issues

Delegates in this commission noted and appreciated the work of the sector in promoting a unitary, non-racial and non-sexist higher education system, but identified the need for clearer understanding of why solutions so far have had so little effect. It was noted that the impact of the legacy of the totalitarian apartheid state and a national system that institutionalised human rights abuse and inequality required more concerted attention and thinking in the higher education sector.

According to delegates, institutional culture can be defined as the dominant values and beliefs, language, symbols and knowledge production at an institution. Institutional culture is the grid that determines and distributes power in institutions. It includes forms of doing that are codified and repeated construct identities that are determined by various categories, including race, class, religion, sexuality, gender, ability, ethnicity, and location. Following the background paper by Prof Andre Keet, delegates discussed

institutional culture as the collective expression of six economies, that is, material, governance, economy, distributive, administrative and affective.¹

Delegates noted that resistance to transformation arrested the pace at which universities transform and highlighted the negative influence of institutional cultures that remain racist and hetero-patriarchal. There is a need to make governance structures accountable for the continuation of institutional cultures that remain alienating to students and staff. This lack of change has various repercussions, including at an emotional level. Institutions at present are experienced psycho-socially as places of shame and abuse. Academics, particularly black women, feel battered, disrespected, violated and overlooked.

Several factors, including construction of white and black identities, language, spaces and vested interests, influence institutional cultures. Delegates argued that Whiteness as construction permeates higher education institutions through symbols, rituals, practices and knowledge. Whiteness is subject to deconstruction in research studies but not in the broader academy. On the other hand, there is a homogeneous representation of black people in higher education institutions. Furthermore, a contradiction exists between the continuing safeguarding of Afrikaans and the belittling of African languages. Students and staff have to navigate spaces that were not configured for them. Vested interests have stakes in the perpetuation of types of institutional cultures that protect their privilege.

The concept of 'home' evoked much discussion in this commission. The concept 'home' is a descriptor of what people imagine when thinking of institutional culture. Two positions were raised: one countering the concept of 'being at home' in university, and another supporting it. According to the position countering 'being at home' in university, the notion of institutional culture invokes a sense of tradition, and mobilises a logic of common sense, comfort, cosiness and security. This not only makes its implosion helpful but also steers us to abandon any romantic notion of institutional inclusivity, as belonging, common sense and cosiness should not be even close to any discussion on the nature of the university. The questions arise: Home to whom? Whose narratives are told and heard? Whose norms and values are prioritised? Whose knowledge is privileged? University is a place where people will come from all quarters. This idea resists institutions becoming ontologically and epistemologically a home for some people whose practices have become normalised.

The position supporting 'being at home' at university moves from a point of departure in which the university is approached as a space of inclusion, belonging and where staff and students do not feel shame and anxiety about their possible status in terms of intersecting categories. Students must feel at home because the space is there for them to flourish. Home would be when universities embrace staff and do not patronise students. Homes are argued to be plural and not unitary. Homes are spaces where all can be and where subjects can 'love' being and feel safe enough to be vulnerable.

Dr Peace Kiguwa's research has used black students' narratives to explore the discomfort of being in institutional spaces that were not created for blackness.² She concludes that there is a collision of representations when black bodies enter white spaces, both physically and discursively, that leads to affective negotiation.

Delegates argued that violence and destruction of property associated with 'new' student politics must be rejected. However, the idea that decorum and politeness must characterise political expression must be resisted since it often results in co-option of the student voice. The contestation on campuses should be observed as an expression of the limits of regulatory-consensus politics. Rather, what needs to emerge is

¹ Keet, A. (2015). Institutional cultures/environments. Briefing paper prepared for the second national higher education transformation summit, 15 – 17 October 2015, Durban International Convention Centre.

² Kiguwa, P. (2014). Telling stories of race: A study of racialised subjectivity in the post-apartheid academy. Unpublished PhD Thesis. University of the Witwatersrand, Johannesburg.

agonistic politics in which adversaries are not enemies to be destroyed but contenders whose right of contestation of ideas is acknowledged. According to delegates, such an approach is infinitely more capable of creating the conditions of a vibrant democracy; one that can shift the social structure of the academy and open its epistemic prisons to free all its members.

The commission identified a number of challenges related to institutional environments and transformation:

- There are too few measures in place for institutional support, oversight and regulation;
- Institutions are not resourced to change institutional culture, for example, investing in teaching and research that support our understanding of social justice issues; and conducting training and advocacy programmes that support the implementation of equality legislation;
- Entrenched power relations, i.e. hetero-patriarchy and whiteness, make it almost impossible to change values and belief systems. For example, black women are constantly policed and seen as in perpetual need of development;
- Psycho-social effects which tend to silence voices and cause high attrition, illness, psychological breakdown, and decreased productivity;
- Utilisation of racial and gender categories aimed for redress but simultaneously reifying racial and gender categories;
- Spaces are alienating and excluding to all people who do not identify with the norm, including people who live with disability and who identify as gender non-conforming;
- Governance structures and academic programmes designed for the advancement of social justice are crippled by lack of support;
- Language is a major obstacle for second language speakers which leads to self-silencing;
- The alienation of black students leads to strategies of avoidance which undermine academic citizenship;
- Resistance to social justice undermines change and perpetuates unequal power relations;
- Academics are not unionised or organised and therefore do not act collectively in the interests of social justice. Individual academics either do not make an effort to understand students' positions, are beholden to normative assumptions about 'who students are', or adopt hostile positions to change. We have to change discourses: are we resisting dominant tropes in the lecture halls?
- Not enough support or capacity for the development of a pluralistic intellectualisation of the academy to take it from being mediocre to excellent;
- Tension between institutional autonomy and public accountability and the extent to which either enables or constrains transformation;
- The organisation of the physical environment, rituals and symbols remains unchanged in many instances, even after two decades of democracy; and
- Inequitable distribution of resources within student populations and across institutions; some merged institutions have ghettoised campuses and are deprived of resources, symbols, rituals and language.

6.1.2. Recommendations

The commission made a number of recommendations.

- **Inserting a fourth pillar in the overall mission of our universities** that will ensure the development of democratic citizenship and which will give concrete expression to the rights and values in the South African Constitution and Bill of Rights. Particular emphasis must be placed on the right to dignity, with the demand that institutional cultures be built on the basis of dignity. Therefore racism, sexism, homophobia, able-ism and classism, among others, will not be tolerated. Indeed, institutional cultures must be about expanding ways of being that embrace difference. The commission recommended that

the pillars of higher education should be teaching and learning, research, community engagement and the development of democratic citizenship, and a human rights culture. The idea to insert a fourth pillar requires commitment at all levels of the system. It indicates the need for planning, oversight, resourcing, and monitoring and evaluation at a national and institutional level but also at the level of the individual. We believe that this intervention will give expression to a notion of gradueness and democratic citizenship that reflects the aspirations of our country. It will also provide the opportunity for using and growing our country's expertise in confronting discrimination and inequality and allow specialisation and resource development in various forms of inequality that will embed transformative action in all spheres of the higher education system and society.

- **Promoting critical diversity literacy education**, that is, the ability to recognise and read our differences and understand how spaces and structures are shaped by flows of power along differences, with a view to stamping out racism, sexism and other discriminations.
- **Developing more effective conflict resolution and mediation measures** to prevent continuity of practices of the past and uphold freedom of assembly, demonstration, picket and petition while protecting the right to education and the right to freedom and security of a person. The commission is concerned about the growing conflict between students and university management, the lack of protocol on police presence on campuses, and the harmful impact of criminalising student protest on academic freedom and on the participation of students in student organising and governance.
- **Increasing support to teaching, learning and research programmes that advances and refines our ability to make sense of and eliminate unfair discrimination and inequality.** The commission is concerned that research and teaching on social justice is not sufficiently supported by universities and national government and that many such programmes are presently run by means of soft funding.
- **Ensuring greater accountability for the implementation of social justice and equality policies and the development of democratic citizenship** by putting in place more appropriate funding and effective review and steering mechanisms at all levels of the system. The commission is concerned about the poor compliance by universities to equality legislation and codes of conduct. Delegates argued that national review mechanisms and accountability measures have been ineffective in holding universities to account and that the compliance problems are due to a number of factors that are political and administrative. These require urgent attention.
- **Including universities as active participants in finalising and implementing the national plan against racism and the national plan on gender-based violence.** The commission is concerned about the absence of a university-wide perspective in the draft plans and calls for the involvement of universities and Universities South Africa in the finalisation and implementation of the plans after they have been adopted by cabinet and parliament.
- **Reviewing and supporting governance and management structures** to ensure greater responsiveness to institutional culture challenges. The commission noted with concern the inadequate roles played by university governance structures in the area of social justice and ensuring that institutional environments are respectful of human dignity. Delegates recommend that the Department of Higher Education and Training provides training and support to governance structures so that they are able to meet their compliance obligations effectively. The structural design of governance and management mechanisms that entrench unequal power relations must be reviewed, with special attention to university executives, statutory bodies, councils, senates, institutional forums and student representative councils. These structures should be subjected to capacitation processes

aimed at developing improved understanding of their roles in advancing democratic citizenship, diversity and a human rights culture, with an emphasis on dignity, equality and freedom.

- **Accelerating the diversification of academic staff and academic management structures** so as to remedy monolithic decision-making that often seeks to entrench and maintain unearned positions of privilege. These processes must be subject to rigorous national oversight, with penalties to ensure changed demographics within set periods. Particular emphasis must be placed on appointing and advancing black people, specifically black women and people living with disabilities, as delineated by the Employment Equity Act. The commission is concerned about the slow pace of change in diversifying academic staff. It is also concerned about the ongoing racism, sexism and able-ism that impacts on the work of black and women academics and the emotional costs that have come with the constant violation of their dignity. It notes that this behaviour leads to greater attrition and a revolving door in our universities and limits productivity and the advancement of black and women academics to the professoriate.
- **Working actively to create non-racialism and social cohesion.** The commission recognises the importance of redress and restitution as transitional justice mechanisms for groups affected by apartheid's racial capitalism and hetero-patriarchy. The commission was concerned, however, about the danger of reification of apartheid racial categories in our democracy and spoke about the need to think more carefully about what we mean when we speak about building non-racialism. Some members of the commission expressed concerns about alienation of white people.
- **Creating infrastructure that accommodates all students, is user-friendly and advances practices that enhance dignity.** Here delegates refer to ways in which forms of cultural expression, symbols, artwork, monuments and rituals continue to privilege particular cultures that were hegemonic under apartheid while failing to take into consideration our African context. The commission calls for creative expression that includes and celebrates all who live in South Africa while critically engaging with the meanings of democratic citizenship.
- **Putting in place a Department of Higher Education and Training framework for insourcing the services that have been outsourced by universities.** The commission believes the dignity, and material and psycho-social conditions of university workers have been adversely affected by the outsourcing process. The commission notes that, in light of the concerns by university staff, students and the Minister, national action is required for reversing the process.
- **Upholding Higher Education as an exemplar to the nation.** The Department of Higher Education and Training and all universities should become role models and exemplars of good practice in the implementation of a human rights culture. Universities must be spaces of intellectual contestation where ideas must find open expression. They must be platforms for ongoing critical and courageous engagement with difficult topics to enhance knowledge of self and others while contributing to social justice, social cohesion and reconciliation. Universities cannot be enclaves for the rich and powerful. That said, the responsibility to create and maintain welcoming, affirming, supportive and inclusive institutional cultures is the responsibility of all constituencies.

6.2. Commission 2: Access and success

This commission focused on the relatively low student success rates, relatively low throughput rates and what needed to be done to improve these. Background papers by the DHET and Dr Merridy Wilson-Strydom provided the data and context for the discussion (Annexures 3 and 12). Key issues discussed included student financial support and the curriculum, focusing on the prevailing patterns of student access and success.

6.2.1. Background and key issues

The Commission noted that access and success issues were vast, complex, contested and fundamental in higher education. An argument for re-thinking what university readiness means is called for. It is acknowledged that notable progress has been made in addressing access. It was noted that while there was some reported improvement in student success, throughput rates remained unacceptably low. A cohort study based on the 2010 intake for three and four-year undergraduate programmes showed that 31.5% of students dropped out and 55% never graduated. However, it should be noted that this has improved to 19.5% for the 2012 cohort). Furthermore, student throughput patterns continue to be skewed by race and class.

When access is increased without improving conditions for success new forms of injustice result. Epistemological access issues are critical for consideration (language, lack of self-belief, etc.). Geographical contextual challenges (such as rural/urban) are important. The demand for access to higher education has exceeded the available funds despite massive increases of State funding. The length of time it takes students to complete degree studies and associated costs incurred is of concern. The kind of pedagogical support by academics leading to success for students in large classes needs to be examined.

Schooling does not currently equip learners with the skills to cope with the higher education context, particularly the skills of critical engagement. There are factors that prolong student completion rates, such as parental pressure to pursue a specific career path, and a lack of information or no access to career guidance. Support network requirements for students from disadvantaged communities is very different to that for students from advantaged communities. Diversity is fundamental rather than incidental to student learning capabilities, as witnessed by lack of access to resources and limited career path options for people with disabilities. Erosion of the National Qualifications Framework (NQF) and Recognition of Prior Learning (RPL) in the regulated professions needs to be examined. Experiential learning is not prioritised, which hampers graduate employment.

The articulation gap or “readiness” should be thought of as multi-dimensional. Readiness embraces student and institutional readiness to change. It is necessary to consider what type of academic advice that supports their aspirations is provided to students when they register. Reference should be made to three ports of access: Universities, Universities of Technology and Technical and Vocational Education and Training (TVET) institutions. The aspiration of graduating without the burden of debt needs to be examined. Tension between subsidy allocations and institutional running costs needs investigation. Discussion regarding equity should be prioritised with equity and transformation initiatives to be addressed in both HDIs and better resourced institutions.

The key challenges identified in this commission include:

- Inadequate student and institutional funding. This discussion was informed by a presentation from the DHET which set out, among others, various scenarios (including cost implications) for expanding financial aid to all who qualify for support;
 - Submissions to National Treasury for student financial aid are affected by competing needs in the national system;
 - There was agreement that rapid progress needs to be made to ensure that mechanisms are available to fully support every student who qualifies for NSFAS and that such support should be extended to the so-called ‘missing middles’;
 - Discrepancies in fee rates for particular degree types across institutions;

- Institutional reserves evoked intense discussion and no agreement was reached in the commission on this matter. Some argued that reserves should be mobilised to re-capitalise the NSFAS while others stressed that significant proportions of institutional reserves are encumbered for specific purposes. It was, however, suggested that institutional councils should give careful consideration to maintaining an appropriate balance between investments (for sustainability) and the re-injection of resources for driving institutional priorities.
- Limited articulation between TVET colleges and universities, and between universities;
- Lack of access to social and cultural capital; and
- Lack of transparency and a rationale for discrepancies in fee rates for particular degree types across institutions and between institutions.

6.2.2. Recommendations

The commission noted the importance of not conflating short-term and long-term issues in their deliberations that could compromise possible solutions. For instance, free education has longer term policy implications. The following recommendations were made:

- The commission welcomed the establishment of the President's task team to explore solutions to short-term student funding challenges;
- Prioritising of funding for NSFAS students in good academic standing to be supported to complete their studies, as well as those who qualify for NSFAS but have not yet received support;
- Fast-track the NSFAS student centred funding model possibly to 2017;
- In the medium to long term, examine diversified funding sources for student support including drawing on the skills levy, investigating the introduction of a corporate tax and graduate tax, other possible private sector mechanisms, and improving NSFAS recoveries;
- Attention should be given to addressing the administrative challenges of NSFAS;
- The commission expressed concern about low through-put rates and recommended that the following be examined:
 - Flexible curriculum pathways with appropriate quality and standards, including attention to the needs of an increasingly diverse student body;
 - Transformation of curriculum content and relevance;
 - Approaches to incentivise completion rates within minimum time; and
 - Stronger use of student analytics and employment data to inform institutional interventions and resources and other needs of disabled students.
- The Commission proposes that funds be made available for the full implementation and expansion of SSAUF. This includes the next generation of academics programme and increased numbers of postgraduate students;
- Requests the Council on Higher Education (CHE) should examine admission and articulation barriers across the post-schooling sector and within the university sector. The original principles of the NQF should be re-visited. Those principles include RPL and its implementation in the system. The strengthening of implementation to improve articulation within the post-school system should also be prioritised;
- The Commission proposed an investigation into the Admission Point Scores across the system, which is perceived by students as an exclusion mechanism.

- The Commission acknowledged the importance of strengthening career guidance at both national and institutional levels and assisting students to make better-informed decisions about their choices of courses and degrees much earlier than at the point of application and registration;
- Transition from school to university needs significant attention, particularly for first year students, and closer coordination between the DBE and DHET around these issues is necessary;
- Greater cooperation and partnerships among universities and other institutions to promote more efficient use of resources, for example, the sharing of open learning educational resources and particularly in areas of scarce skills;
- Renewed attention is needed to address the persisting infrastructural and other inequalities at the HDIs;
- Some concerns were expressed within the Commission about institutional reserves and the Commission suggested this issue be investigated; and
- Universities should work more closely with TVET colleges.

6.3. *Commission 3: Engaged scholarship of teaching and learning, research, innovation and critical citizenship*

The commission focused on socially engaged scholarship and its contribution to transformation. In addition, it also considered ways in which postgraduate supervision and mentorship can support the next generation of academics. Background papers were prepared by Ms Judy Favish on research and engagement and Prof Tshilidzi Marwala on factors necessary for successful postgraduate supervision (Annexures 13 and 14). Delegates emphasised the need for engaged scholarship that critically and strategically aligned to the transformation agenda in ways that oriented university missions towards addressing development challenges.

6.3.1. Background and key issues

The commission noted that engagement raises questions of who we were and what the purpose of higher education was, and therefore raised questions about alternative epistemologies and how this informed the project of decolonisation. The context of inequality, poverty and unemployment, with its race and class dimensions must be taken into account. The extent of the developmental challenge in the country highlights the need for appropriately qualified human capacity that can contribute to a society where the greatest number of people are intellectually, socially, economically, and politically empowered.

The commission took note of the integration of engagement dimensions into the CHE criteria for institutional audit to promote take-up in this regard. Furthermore, efforts over the past five years by the South African Higher Education Community Engagement Forum (SAHECEF) and the NRF to grow scholarship on community engagement was welcomed. Yet there are limitations to the ways in which engaged scholarship has been embedded in higher education institutions. It should be recognised that collaboration between researchers, practitioners and local communities provides an opportunity for working across boundaries that produce new and innovative ways of thinking, learning and producing knowledge.

The commission noted that students and others are concerned with the politics of the production, circulation and distribution of knowledge linked to the need to reconstruct the modalities of teaching and learning. Increasingly, calls are made for the de-colonisation of the Academy. This challenges the core manner in which universities have been constructed, particularly, the way in which the university is separated from society. Engaged scholarship opens channels for the university to engage with society, including paying more attention to popular epistemologies from which ordinary people draw upon on a

daily basis. Engaged scholarship values local epistemologies and joint decision-making about research priorities, agendas and questions and therein lies its transformational potential.

Engaged scholarship seeks to re-define what counts as high quality scholarship, producing different kinds of outputs, policy briefs, information and research that are accessible and make an impact on society, rather than solely focusing on international rankings. Partnerships with communities are important for collectively identifying problems, using locally relevant methodologies and drawing on different knowledge bases to arrive at different perspectives from which to address local concerns. This points to the need to develop a scholarship that is critically engaged and can contribute to the de-construction and construction of new ideas, especially with a view to bringing communities onto the campus. Learning happens, more often than not, outside of the classroom in political and politicised spaces. Knowledge resides not only in universities but also in communities.

Notwithstanding efforts to promote engagement, higher education institutions are yet to embed a scholarship of engagement. Some institutions subtly, but actively, discourage a scholarship of community engagement. The higher education system militates against recognising engaged research, learning and teaching. As a result, engaged scholarship remains untheorised and marginal to the system. Furthermore, aspiring to international rankings is problematic on a number of levels as it steers behaviour towards priorities that bear no relevance to the challenges faced in the South African context. Rather, our starting point should be what universities need to do to address issues in our society and then what we need to put in place to enable this to happen.

Engaged scholarship is linked to the issue of developing the next generation of scholars, particularly with reference to post-graduate support. Delegates expressed concern about the low completion rate of post-graduate students and highlighted issues of recruitment, retention, the supervisory relationship, mentoring and funding as key impediments. A key challenge is linking the issue of developing new academics with the actual conditions at universities for emerging academics with increasing teaching loads in a context of cost-cutting measures.

A key dimension to understanding why the completion rate for post-graduates is so low is the supervisory relationship. It is a relationship defined by the power of the supervisor, influenced by race (white), age (middle) and gender (male), with little room in current practice for opening up and monitoring this relationship. Furthermore, the lack of mentorship support for young academics is a major constraint, particularly as it relates to the mentorship relationship between male and female academics which at times can be undermined by competition. Delegates also noted that the practical modalities of funding instruments limit the chances for successful postgraduate development. An example was cited of the Thuthuka programme that does not allow participants to have funding from multiple sources.

6.3.2. Recommendations

In order to promote a scholarship of engagement the following should be pursued:

- Specific funding and capability within the DHET to enable and support universities to strengthen community engagement;
- Encouraging community engagement through awards that recognise this scholarship;
- Broadening notions of what constitutes quality scholarship; and
- Establishing an institutional environment that supports engaged scholarship.

In order to promote post-graduate development to advance transformation it is necessary to:

- Identify potential academics early, for example, when they are still in undergraduate programmes and provide them with exposure to research environments and communities. In this regard, the NRF support is important for providing opportunities for research assistants;
- Provide research environments with the required research infrastructure that encourages a diversity of research teams; that transcends cross-disciplinary boundaries; that is underpinned by effective postgraduate supervision; that brings on board researchers from science councils and the private sector as visiting academics; and that opens admission to differently qualified candidates; and
- Have a more realistic idea of who potential and existing postgraduates are so that we are able to target support.

6.4. Commission 4: Leadership, governance and management

The commission was tasked with addressing questions related to the kind of governance required to achieve institutional cultures that enable transformation, the forms of leadership and governance required to address effective student participation, and the roles and relevance of existing institutional structures and forums. Prof Cheryl de la Rey (University of Pretoria) prepared and presented a background paper on governance and management in higher education.

6.4.1. Background and key issues

The commission proceeded from the premise that leadership, management and governance are separable but also overlapping functions. There are no hard lines between the three concepts, in the context of universities. A scene-setting presentation was given by Prof De la Rey in which the following issues were highlighted:

- Composition and membership of Council should be re-examined to ensure that the requisite competencies required for the governance of the university are fully accommodated, taking into account the following:
 - Balance between external and internal members;
 - Clarification of the participation of DVCs in Council meetings, whether as full members of Council or by invitation; and
 - Clarification of the variation in the number of Ministerial appointees;
- Better ways of enabling and empowering Councils to develop a shared vision, including on matters of transformation;
- Strengthening of accountability mechanisms to ensure that Councils address issues such as:
 - Equity;
 - Student fees; and
 - Salaries of executive management.

The presentation ended with a call for re-visioning the role and nature of universities in the country, and the implications of such on governance, management and leadership. The two respondents, Prof Brian O'Connell and Dr Phumla Mganga, highlighted the following:

- How universities could be better valued in South Africa as they are in other parts of the world;
- The fundamental rethink of the current governance model with a view to gearing the university sector towards transformation goals; and
- The need to rethink the role and purpose of Institutional Forums.

6.4.2. Recommendations

The following recommendations arose from the discussion:

- The transformation of the university sector must be pursued as a matter of urgency. This will require a radical and profound re-ordering of the current governance model to ensure that all the relevant structures of governance (councils, senates, institutional forums and SRCs) are adequately strengthened to deliver on transformation of the university sector;
- The Higher Education Act (currently under review) should be re-examined as a matter of urgency to assess the extent to which it could be used as an instrument to drive both sector and institutional transformation. In its current form, it does not adequately provide for institutions to account to the public on the transformation agenda;
- Council must be in a position, through a performance management system, to set transformation targets for Vice-Chancellors and monitor progress on a regular basis;
- Transformation should be reflected in the strategy of the institution and the university Council should account for how it was giving effect to the transformation goals spelt therein. Clear oversight and accountability mechanisms should be developed for universities in this regard;
- The role, powers and functions of the institutional forum should be re-examined given perceived or real factors leading to their failure to discharge their responsibilities as contemplated in the HE Act.
- As a matter of urgency, a set of transformation indicators for the system should be developed against which all institutions should be held accountable, as part of steering the system. There should be harsh penalties meted against institutions acting outside the bounds of agreed upon indicators.

7. Summit Statement

The statement was prepared by a small team that noted and recorded the key discussions and debates, priorities and proposals that emerged during the summit. A draft statement was circulated to various stakeholder groups including SAUS, USAf and officials from the office of the Minister of Higher Education and Training. Comments and inputs were incorporated by the DHET drafting team before a statement was presented to delegates in plenary. Comments from the floor were noted and integrated into the final summit statement. The statement is the key output from the summit and represents the priorities for action over the next several years by all stakeholders. Stakeholders are encouraged to rally their constituencies and mobilise available resources to address these priorities.

Summit Statement

The second Higher Education (HE) summit on transformation took place at a critical time for South African public universities which are under intense public scrutiny. 2015 is a watershed year for the sector, marked by deepening student and staff activism on many university campuses. Students and staff are fundamentally interrogating the nature and pace of transformation at our universities.

The summit has provided an opportunity to reflect on the history of transformation over the past 21 years, with a specific focus on the last five years. The summit was characterised by robust engagement among all stakeholders on matters that are perceived to be vital, and this opened up a space for greater understanding among university stakeholders. This space should remain open so that the robust debate can continue and increasingly focus on actions to advance transformation in the system.

The summit recognises the gains that have been made in achieving transformation goals in the sector.

These gains include:

- Access to university has been significantly expanded and the overall participation targets set in the 2001 National Plan for Higher Education are close to being achieved;
- Black students and women are now in the majority in the system;
- There has been a substantial increase in research outputs;
- The levels of funding for infrastructure development have been substantial;
- Overall, the goals of the National Plan for Higher Education have been attained in many areas as a result of the successful steering of the system to achieve policy goals; and
- There have been significant increases in contributions to the National Student Financial Aid Scheme.

The deeper engagement about transformation goals that is now taking place is partly a result of these achievements as we reflect on where we have been unsuccessful and what a new vision for the university system might be.

The Summit agreed that:

- Higher Education is a public good;
- Democratic citizenship and the right to dignity critically underpin the mandate of our public universities;
- Universities have a developmental role to play in redressing inequalities in broader society;

- Curriculum change is at the core of university transformation initiatives;
- Transformation of universities is multi-dimensional and complex;
- The term transformation must continue to be interrogated and discussed at deeper levels; and
- Workers are an integral part of the communities of public universities;
- The sector is currently characterised by increasing levels of frustration at the slow pace of transformation in the university sector, with respect to the following:
 - Insufficient levels of student funding;
 - Inadequate levels of funding to match the growth in the system and concerns about sustainability;
 - Institutional environments that continue to reflect the broader inequalities in society and result in experiences of alienation by many staff and students, including persistence of racism, patriarchy, homophobia, able-ism, and classism in the system;
 - University curricula and forms of knowledge production that are not sufficiently situated within African and the Global South contexts and are dominated by western worldviews;
 - Language practices at universities which create barriers to effective teaching and learning;
 - Governance and management practices at universities that do not always effectively engage with university communities and their concerns;
 - The need for further interrogation of the balance between institutional autonomy and public accountability; and
 - The unacceptably low throughput rates of students despite achievements in greater access and success.

The summit resolved that in the immediate term:

- The sector should actively support current initiatives to urgently address student funding and debt problems so that fee support for poor students who qualify for university can be sustained and improved;
- Institutions must build greater transparency and engagement relating to fee structures and increments;
- NSFAS must be strengthened to support improvements in student funding for the poor, and improve recovery and repayment rates;
- The mechanisms for holding institutions accountable for transformation goals should be strengthened. Transformation indicators should urgently be developed for the system to help steer transformation goals to support effective implementation of transformation imperatives;
- Decisions should be made about the role, purpose and effectiveness of Institutional Forums in facilitating transformation in the context of the analysis of current governance models for their effectiveness in supporting transformation;

- The ability of university governance and management structures to address transformation imperatives should be examined and, where blockages exist, they should be addressed; and
- Efforts should be intensified at all levels to make university environments less alienating for many staff and students.

The Summit resolved that in the medium term:

- All stakeholders in higher education, including government and the private sector, must work together to increase the funding allocated to universities in order to address the need for sustainability and current under-funding of the system;
- The work to establish more supportive and expanded student funding models must be intensified so that resources can be identified to *progressively introduce free quality education for the poor*. This should include investigating diversified and innovative funding systems for student support;
- The Department should work with the sector to explore the possibility of developing regulatory frameworks in the area of fee increments, provided that this is linked to a full understanding of the cost drivers of higher education and the subsidy system;
- The role of universities must be strengthened to ensure the development of democratic citizenship to give concrete expression to the rights and responsibilities in the South African Constitution and Bill of Rights, with a particular emphasis on building institutional cultures based on the right to dignity;
- Flexible curriculum pathways and improved use of data analytics are two important vehicles for addressing student success;
- Research and dialogue on curriculum transformation must be supported and resources allocated to enable re-curriculation and curriculum development processes. There should be an increasing focus on curriculum development initiatives which examine new and alternative contents and pedagogies which are relevant to the South African context;
- The sector should build on the nationally coordinated programme to enable accelerated capacity development, greater representation and improved retention of blacks and women in the academic workforce, professoriate, and university management and governance structures;
- We must ensure the successful and rapid implementation of the Historically Disadvantaged Institutions (HDI) grant programme to address the development needs of HDIs to ensure their sustainability into the future; and
- Engaged scholarship aligned to the transformation agenda must be recognised as fundamental to the mission of universities.

The Summit called for:

- These resolutions to be enacted in activities and plans at institutional, organisational and national level, and through the National Plan for Post-School Education and Training;
- Indicators to be established with respect to implementing these resolutions; and
- The relevant role-players to report annually on progress made with respect to each resolution that forms part of their scope of responsibility.

The Summit reaffirmed that universities are places of debate and contestation which provide space for new knowledge to be created, intellectual activity and freedom of thought. Debates about transformation involve fundamentally questioning the state of our universities, who is teaching and researching, what they are teaching and researching, and what the qualitative experiences of students in our universities are like.

Ultimately, the Summit has been engaged in debates about the role and nature of public universities in South Africa. The sector must harness the new energy and ideas being expressed in the HE Summit to accelerate the transformation imperatives of the system. This is the start of a new process of imagining what transformed South African universities should look like in the future.

The Summit recognises the urgency of addressing the big and enduring questions of transformation raised at this summit. It also recognises the importance of new and different ways of engaging on university campuses so that transformation debates are characterised by dignity and a recognition of diverse perspectives. Violence and destruction of public property, and intimidation or harassment on campuses by any group cannot and should not be tolerated. Equally, any tendency towards criminalising peaceful student protests is unacceptable as it undermines democratic processes within universities and the very notion of academic freedom.

Annexures

Annexure 1: Progress on resolutions of the 2010 Higher Education Summit (DHET)

Annexure 2: Addressing systemic higher education transformation (DHET)

Annexure 3: Are we making progress with systemic structural transformation of resourcing, access, success, staffing and researching in higher education: What do the data say? (DHET)

Annexure 4: Transformation is a must (SAUS)

Annexure 5: Reflections on higher education transformation (USAf)

Annexure 6: Transformation in higher education (CHE)

Annexure 7: The National Research Foundation and its contribution to the transformation of the higher education: prospects and challenges (NRF)

Annexure 8: The transformation of South African higher education (Ministerial Oversight Committee on Transformation)

Annexure 9: Scope and Terms of Reference of Commission (DHET)

Annexure 10: Institutional cultures/ environments (Prof Andre Keet)

Annexure 11: Critical moments, processes and social exclusion and inclusion: black student narratives (Dr Peace Kiguwa)

Annexure 12: Access and success – transitions into and through higher education (Dr Merridy Wilson-Strydom)

Annexure 13: Research and engagement (Ms Judy Favish)

Annexure 14: Postgraduate supervision and mentorship: lessons from the classroom (Prof Tshilidzi Marwala)

Annexure 15: Managing and governing towards institutional transformation

Annexure 16: South African higher education transformation: What is to be done? (Mr David Maimela)

Annexure 17: Summary list of participants

Annexure 18: 2nd National Higher Education Summit Programme



ANNEXURE 1

Progress on resolutions of the 2010 Higher Education Summit

Report prepared for the second national
Higher Education Transformation Summit
2015

Department of Higher Education and Training

Introduction

The first Higher Education Summit was held in April 2010. This document provides a summary of work done towards the resolutions of the Summit as at October 2015. It is important to note that some of the resolutions in the declaration of the summit cannot be achieved by Government or the Department of Higher Education and Training acting on its own. In order to achieve some of these collective efforts of government, parastatals, universities, civil society organizations, business and greater society must work cooperatively and collaboratively to respond to the need for improved mid to high level skills development opportunities, job creation and improvement of poor educational achievement which continue to confront South Africa. The progress reported on therefore is not limited to the work of Department of Higher Education and Training only, and some progress may not be included here, but will likely be highlighted at the second National Higher Education Transformation Summit to be held from 15-17 October 2014, as various stakeholders provide input at the summit.

RESOLUTIONS	PROGRESS TO DATE
<p>1. Establish a permanent Stakeholder Forum. The Department must lead a broad consultative process immediately to define the role and functions of this forum and a process for it to be established.</p>	<p>A meeting of representative stakeholders within the university sector was held at the CHE towards the end of 2010. It was decided that a single forum should not be taken forward. However, a number of separate forums have been convened to deal with specific issues. These include regular meetings with University Council Chairs Forum of South Africa (UCCDF-SA); Higher Education South Africa (HESA) (now Universities South Africa (USAf)); South African Union of Students (SAUS); and the Education Alliance. A decision has also been taken in conjunction with USAf that an high level intergovernmental forum should be established, comprising of key government departments and USAf, UCCF-SA and the CHE, which should meet once a year to discuss issues relating to the higher education agenda. The idea of establishing a broad stakeholder forum could be reconsidered by the Summit.</p>
<p>2. Convene an annual summit to review progress in the sector. Annual summits should note institutional progress in relation to the recommendations of the Soudien report on the agenda.</p>	<p>The Department convened a Transformation Seminar, under the leadership of the Deputy Minister in October 2011. No further Summits or Seminars were held. The Summit that is taking place in October 2015 can be considered as a follow up. The Minister has requested that USAf consider organising an annual summit going forward.</p>
<p>3. Convene a Working Group to take forward the framework for differentiation developed in the summit and develop recommendations in consultation with the sector.</p>	<p>Meetings and discussions were held leading to the publication of a draft framework on differentiation. Public comments have been received and a final policy will be developed during 2015 and consulted widely before final publication in 2016.</p>
<p>4. Develop mechanisms to promote student-centeredness and caring universities.</p>	<p>Through the monitoring process and ongoing discussions with HESA/USAf, the Department has been involved in a process to encourage role players to promote student centeredness in universities. The Department has also addressed numerous meetings of professional associations of student development practitioners in the sector. These include: the National Association for Student Development Practitioners; the Financial Aid professional association; the South African Association for Senior Student Affairs Practitioners and SAGDA etc. Currently discussions are underway with the professional associations to establish an overarching umbrella body of practitioner associations. The Department also helped facilitate the development of a Student Charter of Rights and Responsibilities. The Charter was adopted by the South African Union of Students conference held in August 2010. A draft was concluded at a national conference held at the University of Cape Town in September 2014. It has been sent to all the SRCs for final comment and endorsements in preparation for the launch in June 2015.</p>
<p>5. Develop a charter on learning and teaching</p>	<p>HESA's Teaching and Learning Working Group was requested to develop a draft teaching and learning charter in 2011. A draft was developed but never approved by the HESA Board and therefore did not get adopted across the system.</p>

	<p>The DHET has developed a new set of criteria for the management of Teaching Development Grants that have been implemented. These are aimed at ensuring that Universities improve teaching and learning practices.</p>
<p>6. Seek a focused recapitalization of HDIs.</p>	<p>This has been introduced through a number of initiatives. Firstly, there has been a reprioritization of infrastructure funding to ensure the HDIs infrastructure backlogs and student housing needs are systematically dealt with. Over the period from 2012/13 to 2014/15, HDI universities received 42% of the total infrastructure grant of R6 billion, while they only accounted for 15% of the teaching input units (using FTE enrolments) funded in the block grant.</p> <p>In addition, in line with the recommendations of the Ministerial Committee on University Funding, the Minister has implemented an HDI development grant in 2015/16. This grant, amounting to R410 million per year (R2, 050 billion in total) is being disbursed to eight (8) HDIs over next five years. This funding is aimed at addressing the specific needs of the universities, with the aim that by the 2020/21 financial year, most of the key issues will be dealt with at these institutions, and the concept of ‘institutional disadvantage’ will, to a large extent, not be relevant anymore.</p>
<p>7. Develop strategies to strengthen emphasis on post-graduate studies and research and address the engendering of a new generation of academics.</p>	<p>This has been done through the development of a comprehensive plan, the ‘Staffing South Africa’s Universities’ Framework (SSAUF), which was thoroughly consulted across the sector, and approved in January 2015.</p> <p>The SSAUF includes programmes designed to create opportunities for existing staff to enhance their research and teaching skills, improve their qualifications, and expand, build and exploit international networks. It also emphasizes the importance of forging closer links between industry, work and academia, of retaining, in appropriate ways, the knowledge and expertise of retiring academics, and of actively identifying and encouraging experienced senior staff outside of South Africa to take up positions (contract or permanent) at our universities to help build capacity. The SSAUF also includes programmes to develop capacity in respect of the management of academic processes.</p> <p>One of the five programmes in the framework, the ‘New Generation of Academics’ Programme (nGAP), aims to identify and nurture academic talent early in the academic development trajectory, at senior undergraduate level or early post-graduate level; and support newly recruited academics to acquire doctoral degrees (or Master’s Degrees in selected fields); develop teaching expertise; and develop research skills, including scientific publication skills. In 2015, 125 permanent academic posts have been allocated, spread across all 26 universities, and the process for the 2016 next nGAP intake will begin in October 2015. It is envisaged that 400 posts could be supported across the sector, per annum, once the scheme is fully operational. An aligned development programme supports nGAP appointees to develop strong teaching and research competencies.</p>

	<p>Agreements are in the process of being forged with the NRF, the UK-SA Newton Fund (via the British Council) and with other agencies to support the other SSAUF programmes, and a detailed core SSAUF Development Programme is aimed to be developed by early 2016.</p> <p>In 2011, the Department introduced the Research Development Grant (RDG) as one of the earmarked grants. This grant was aimed at developing research capacity and capabilities of less research-intensive institutions (HDIs and UoTs) as they were not performing well in production of research outputs. For the first two years, there were no set criteria on how to use the funds and as result institutions utilized the grant for various research related activities like student bursaries, equipment, workshops, infrastructure, etc. Eventually, criteria were developed which focused primarily on staff development in term of Masters and PhD qualifications as well as other supplementary capacity building activities such as supervisor training, writing workshops etc. Since 2010, more than 2000 research staff have benefited from the support afforded through the RDG and this has likely contributed to the improvements in research productivity across the different types of higher education institutions. Information on numbers of research staff that have obtained PhDs through this programme is currently being collected.</p>
<p>8. Revitalize the academic profession including the development of a coordinated plan to increase the number of younger researchers.</p>	<p>The work described under point 7 covers this resolution as well. The first 23 nGAP posts have been contractually finalized, and it is aimed to have the first cohort of 125 nGAP posts filled by the end of 2015. 2016 will see the recruitment phase of the second cohort of nGAP appointees. The DHET is working to grow this programme and it is envisaged that once it reaches scale, 400 new nGAP appointments will be made each year, with 80% of the appointments being black and/or women academics.</p>
<p>9. Ensure stronger intra-institutional capacity-building and knowledge sharing in order to foster interinstitutional sectoral solidarity and collaboration.</p>	<p>Since 2010, the DHET has actively implemented the European Union funded Strengthening Foundation Phase Teacher Education Programme, which sought to build capacity within and across institutions within the field of Foundation Phase teacher education. R141m was allocated to support universities to strengthen their capacity to develop foundation phase teachers, especially African language foundation phase teachers. The programme is being concluded in 2015 and it has had a major impact on Foundation Phase teacher education in the country. One of the major achievements was increasing the number of universities offering Foundation Phase programmes from 13 in 2009 to 21 in 2015, and ensuring that these programmes take full account of the need to develop Foundation Phase teachers who can teach competently in African language mother-tongue contexts.</p> <p>The DHET has entered into a new agreement with the European Union and a new programme, the <i>Teaching and Learning Development Capacity Improvement Programme</i> (TLDCIP) will be implemented from 2015/16 to</p>

	<p>2019/20. The TLDCIP will involve seek to strengthen teacher education at universities in the following areas:</p> <ul style="list-style-type: none"> • Early childhood education • Inclusive and special needs teacher education • Primary teacher education • Technical and Vocational Education and Training lecturer education • Community Education and Training lecturer education A business plan has been developed, and approximately R200m will be available to support a range of approved activities in these 5 areas. <p>In addition, Universities South Africa and the Council on Higher Education, through their various activities and specialized groups continues to work to build intra- and inter sectoral capacity building. Also, the universities themselves are involved in many areas of collaboration.</p>
<p>10. Ensure commitment to good corporate governance.</p>	<p>The Department has worked closely with universities to tackle governance issues and help universities overcome governance challenges. The Minister has had to appoint assessors and administrators in order to prevent governance from collapsing in a number of institutions. These include, Walter Sisulu University, University of Zululand, and Tshwane University of Technology and the appointment of a task team to investigate the success of the merger of the erstwhile Medunsa and University of the North, owing to the constant complaints about governance problems faced by the University of Limpopo. This lead to the promulgation of a new university, Sefako Makgatho Health Sciences University, which incorporated the Medunsa Campus of UL.</p> <p>The University Council Chairs Forum –South Africa (UCCF-SA) has been established in order to empower Council members to perform their governance responsibilities more effectively.</p> <p>A decision was taken at a meeting between the UCCF-SA and the Minister on 22 October 2013 that council capacity building workshops which would cover specific areas of council operations should be organized. The workshops were organized by the Department in partnership with UCCF-SA, to provide skills and knowledge in leadership and governance of higher education institutions. The programme covered the following areas: Global and National Trends in Higher Education; Higher Education Policy and the Legislative Framework; Roles and Responsibilities of Councils; Ethics and Code of Conduct for Council Members; and Financial Management. In order to make the numbers manageable and, to a large extent cost effective, the institutions were grouped into regions, thus six regional workshops were held between 11 July and 23 August 2014 for all 26 universities. A decision has been taken with the UCCFSA to strengthen this programme and institute regular council training across the system going forward.</p> <p>The Department will, through a consultative process in 2015/16, develop a set of key governance indicators against which universities good governance can be assessed.</p>

<p>11. Address the decent work requirements of academics and support staff.</p>	<p>This is a responsibility that falls squarely within the role of university management. Universities will need to provide reports on how they have implemented this resolution.</p>
<p>12. A national framework for development of student leadership.</p>	<p>The Department, in partnership with the Centre for Education Policy Development (CEPD) is currently engaged in a project to develop the capacity of student leaders (SRCs) and unions so that they can respond appropriately to the changing post schooling landscape. The project uses a variety of approaches to capacitate student leaders and organizations, including:</p> <ul style="list-style-type: none"> • Development of materials will cover a range of themes relevant to issues pertaining to students in post school institutions. • Capacity Building Workshops • Short courses on project management and financial management • Support to student organizations and unions <p>A series of workshops was held with SRCs across the country during the first two weeks of October. The workshops covered the following themes:</p> <ul style="list-style-type: none"> • Leadership and Leadership Theories; • Contemporary challenges of South African students; • Co-operative governance: principles, history and philosophies underpinning the concept of co-operative governance in South Africa; • Diversity: tolerance, and other cross-cutting themes such as human rights and social justice; and • Conflict and Conflict Management: focus on strategies in dealing with conflict and conflict situations.
<p>13. There is a need to develop programmes aimed at improving opportunities for young African academics particularly women.</p>	<p>This is covered by the Staffing South Africa's Universities Framework (SSAUF) discussed under point 7 and 8. The 'New Generation of Academics' Programme has as a target that black South Africans must fill 80% of the nGAP posts, with a special focus on women. Of the 55 posts approved by early October 2015 for the nGAP initiative, 96% (53) of the posts offered are to black South Africans (21 African men, 23 African women, 4 Coloured men, 3 Coloured women, and 1 Indian woman). The remaining posts, still in the recruitment phase, are in line with these proportions.</p>
<p>14. HEIs must contribute to the development of African languages as academic languages, understanding the role that language plays in development and education. This includes the development of African language based post graduate outputs across disciplinary areas.</p>	<p>A round table on African Languages was held in October 2010. Out of this process the Minister established a Ministerial Advisory Panel on African Languages in December 2012. Its terms of references were published in a Government Gazette No. 35028 on 10 February 2012. The main purpose of the panel was to investigate further some of the recommendations made in the above mentioned report as well advise the Ministry on how African languages could be developed into languages of teaching and research at universities. A report has been submitted to the Department and is still being consulted on for finalisation internally before submission to the Minister.</p>

	<p>In addition a new policy on Minimum Requirements for Teacher Education Qualifications was gazette in 2011. The policy makes it compulsory for new teachers whose mother tongue (or language of choice) is English or Afrikaans to study an African language to the level of basic conversational competence. Universities will now be required to re-curriculate their teacher education programmes to come in line with the new policy.</p>
<p>15. We need a curriculum orientated toward social relevance and which supports students to become socially engaged citizens and leaders.</p>	<p>The DHET does not develop university curricula and therefore this is seen as the responsibility of institutions themselves. The Higher Education Quality Committee (HEQC) the CHE could also play a role in this through their quality enhancement, assurance and accreditation processes. However in the area of teacher education, the new policy on qualifications mentioned in point 14 does require these aspects to be factored into every initial teacher education programme. Through the Teaching Development Grants, the Department provides funding to support academic staff to enhance their curriculum development skills, and to support pilot projects which seek to enrich and broaden curricula.</p>



Annexure 2

Addressing Systemic Higher Education Transformation

Department of Higher Education and Training discussion paper
prepared for the Higher Education Summit

15 - 17 October 2015

Introduction

The aim of this Summit is to bring together key stakeholders together for a critical dialogue on transformation in the higher education system. This follows from the 2010 Higher Education Summit that took place at the Cape Peninsula University of Technology. Since then, there have been many changes in institutions and in the system as a whole that we should reflect on and exchange views about. We also need to take stock of the current situation and share ideas on what goals we should set ourselves for the future.

The White Paper on Post-School Education and Training, adopted by Cabinet in November 2013, provides a strategic framework for all policies and plans of the Department of Higher Education and Training (DHET) and identifies major priorities. It lays out a vision to fundamentally restructure and transform the South African post-school system of education and training. On the basis of the White Paper, the Department of Higher Education and Training (DHET) has embarked on a process to develop a comprehensive and integrated national plan for post-school education and training and the Summit is intended to assist that process. The university sector is a crucial component of the post school system. While this Summit will focus primarily on the role and functioning of the universities, it should always keep in mind the post school system and the universities role within it.

This Summit, as stated in its theme, is about “transforming higher education for a transformed South Africa”. Thus, the role of the universities must be considered on the basis of the education system as a whole and of wider society.

As we reflect on the state of higher education transformation, it’s worthwhile to consider where we have come from and take stock of our achievements as well as our shortcomings. We should also consider how the environment has changed and to what extent this has required us to rethink our goals and strategies. This discussion paper aims to provide information on some of the key developments and issues in higher education over the last five years (since 2010) and to raise some questions for discussion at the Summit.

Progress since the 2010 Higher Education Summit

The Higher Education Summit in 2010 was a wide-ranging discussion on higher education issues and in particular the issue of transformation in its broadest sense. The Summit adopted a Declaration that set out the main challenges as understood by the participants.

Concrete steps have been taken to achieve most of these – for example, the historically disadvantaged institutions (HDIs) are being prioritised for infrastructure spending in all areas but mostly student housing and historic backlogs; an HDI development fund has also been introduced to help these universities fund initiatives that can improve their financial standing; the expansion of post-graduate studies and research is getting attention as is shown by the increasing enrolments, programmes to expand research outputs and plans to further increase the number of those who complete postgraduate qualifications; the DHET has recently adopted a new policy for the revitalisation of the academic profession; a number of programmes have been developed to improve opportunities for young African academics particularly women; most universities continue to make progress towards developing curriculum in a socially relevant direction; and some universities have made progress in affirming the African languages and African language departments.

Since the last Higher Education Summit, the DHET has undertaken a wide range of other initiatives. Some of the most important include major reviews of the National Student Financial Aid Scheme (NSFAS), the provision and conditions of student housing and the funding of universities. The Department has also developed a draft policy framework for university differentiation that was released for public comment and those comments are currently being analysed. A Higher Education Amendment Bill has been introduced to the National Assembly this year aiming, inter alia, to strike an appropriate balance between institutional autonomy and the public accountability of universities. It also provides for the Minister to determine transformation goals for the higher education system and institute appropriate oversight mechanisms in the best interests of the university system as a whole.

Furthermore, the Department has developed the *Staffing South African Universities Framework*’ (SSAUF) to ensure that in the future the number and quality of academics is suitable and that the academic profession becomes more representative in terms of race and gender. The teaching development grants have become earmarked grants so that they cannot be used for anything other than their intended purpose.

Starting in January 2014, the Minister of Higher Education and Training established the National Institute of Humanities and Social Sciences that is expected to make a major impact on teaching and research in these disciplines. The Central Applications Clearing House (CACH) has been established to assist people who wish to study at a University or College and either did not apply in time or were not offered a place at their institution of choice. This is the first step in the establishment of a Central

Applications Service. Significant progress has also been made towards creating a career guidance capacity in the system. Most of these initiatives are discussed below.

Taking into account both the achievements and challenges, we need now to examine the way forward in the context of policy developments in the last five years, and in particular of the White Paper for Post-School Education and Training (2013).

What does transformation refer to in the South African context?

Before we go on to discuss transformation in higher education we must clarify what we mean when we use the word “transformation”. Higher Education Transformation takes place within and in line with the transformation of the entire education and training system and especially the post-school system. It also takes place within the larger project to transform South Africa as articulated in the National Development Plan (NDP) and other policy documents of the South African government. These documents are taken into account in the White Paper.

The term “transformation” refers to a profound and radical change. In South Africa as a whole it refers to such change from the apartheid system to the type of democratic and equitable society that is envisaged in the constitution. Transformation in South Africa refers to radical changes in all aspects of life, including the political system, the law, the economy, housing, internal relations, healthcare, education, and so on.

In higher education, principles that guide transformation are largely contained in the 1997 White Paper, *A Programme for Higher Education Transformation* (also known as White Paper 3) and the 2013 White Paper on Post-School Education and Training. These principles include the building a non-racial, non-sexist higher education system with redress for previously disadvantaged groups; expanding access to higher education; community engagement; adherence to the inter-linked concepts of academic freedom, institutional autonomy and public accountability; and responsiveness to the needs of society, the economy and of individual students; linking education and work. The 2013 White Paper elaborates on these, indicating priorities, and adds the important principle of integration into the post school system.

Against this background let us examine some of the developments in our higher education system, the progress that has been made and the way forward in addressing the challenges.

Changes in the size and demographic diversity of the university sector

Expansion and providing access

One of the most important transformatory developments has been the expansion of the university system, thus increasing access, especially to black and female students. Since the start of democratic government, university enrolments have increased significantly. Since 1994, headcount enrolments have approximately doubled: from 495 356 in 1994 to 627 277 in 2001 and 983 698 in 2013. There have also been significant changes in the racial and gender composition of students since 1994. For example, although the numbers of students in all racial groups has increased, the increase has been much larger for Africans than for other groups.

In 2001, 59.8 percent of all students were African; 5.3 were coloured; 6.9 percent were Indian; and 27.6 percent were white. By 2013 these figures were, respectively, 70.1 percent; 6.2 percent; 5.5 percent; and 17.5 percent. These statistics show that the representation, especially that of Africans, has improved substantially. However, Africans and coloureds continue to be under-represented in comparison to the overall population. In addition, the opening up of access to black students at formerly whites-only universities has been very uneven with some of these universities now having a of a substantial majority

of black students, while in others the majority of students is still white. Black staff are even more under-represented than students.

Gender proportions have also changed. In 2001, female students represented 53, 7 percent of university students but by 2013 this had increased to 58.7 percent, leaving the corresponding figures for male students as 46.3 percent and 41.3 percent. Female students constituted 54 percent of all contact enrolments and 63 percent of distance education enrolments, a clear majority in both modes of study. These figures probably reflect the societal push to increase women's participation in higher education, a greater preference for distance education among women than men, or women's greater determination to pursue higher education if they do gain access to contact institutions. Although the trend of increasing participation among women is gratifying, the fairly rapid trend of declining male enrolments may be a cause for concern and should be analysed going forward in order to understand the underlying causes and possible future trends.

The Central Applications Clearing House (CACH) has been established to assist people who wish to study at a University or TVET College and either did not apply in time or were not offered a place at the institution to which they have applied. This is the first step in the establishment of a Central Applications Service for universities and TVET colleges. In order to make it easier for students to choose an appropriate programme, the DHET has established a capacity for career guidance. It has held a number of career guidance sessions with Grade 11 and 12 students around the country, especially in rural areas. In addition the DHET has established the Khetha Career Development Services with its own website, produced appropriate print materials and has made an arrangement with the SABC to broadcast a weekly career guidance programme in all nine indigenous languages and Afrikaans. The Apply Now Campaign encourages young people to apply in good time to universities and colleges.

Looking to the future, university enrolments are planned to increase over the next 15 years. Both the NDP and the 2013 White Paper on Post-School Education and Training have targeted headcount enrolments of 1.6 million by 2030. Enrolment expansion from 1994 until the present has largely taken place through the utilisation of available capacity. Academic staff have been required to carry increasing workloads, and physical infrastructure is under strain. This is not sustainable and if it continues, quality in the sector will be severely impacted. Considerably more funding will have to be found if the targets set by the White Paper and by the NDP are to be achieved.

Staffing levels will have to be increased and new physical facilities will also have to be built. The physical growth will have to entail the expansion of facilities at existing universities; the establishment of new campuses or completely new universities will be required to complement the new University of Mpumalanga, Sol Plaatje University and the Sefako Makgatho Health Sciences University that has taken over the facilities of the Medunsa campus of the University of Limpopo. The expansion of the system will need also to take into account the needs of rural students by making university education more accessible to them.

Such an expansion will require considerable new investment from government to reverse a disturbing trend. Since 1994, government's funding of higher education has increased in nominal terms, from R11 billion in 2006 to R26 billion in 2013. However in real (inflation adjusted) terms there has been a disturbing decline in spending. The portion of the government's budget going to higher education has also declined as a percentage of the total budget.

The issue of how the expansion in higher education might be staffed will be discussed further below.

Responding to change and diversity

In common usage – in the mass media and elsewhere – *higher education transformation* is mostly associated with increasing demographic diversity of the students and staff populations and the need, still, for universities to adapt to the new realities. Somewhat related to this, transformation is also associated with the institutional culture of universities, in particular as it refers to the welfare and security of black and women students, the extent to which they feel alienated in their institutions, and the struggle to overcome the persistence of racism. The Transformation Oversight Committee, established by the Minister, has an important role in monitoring and advising the Minister on issues of racism, sexism and other forms of discrimination.

Despite being the focus of most public attention, matters of transformation with regard to race and racism are largely – though not entirely – confined to the formerly white universities. Most historically disadvantaged institutions (HDIs) have undergone little change in their demographic composition. The student populations at HDIs – mainly in rural or former bantustan areas – are still almost entirely black and likely to remain so. The staff composition of HDIs has changed somewhat with the employment of more blacks and the former dominance of white university administrators and academics no longer holds sway.

Real transformation of universities, though, should go beyond overcoming racism, sexism and other forms of discrimination (see below) and must include issues concerning the quality of teaching and learning, management (including financial management) capacity, staff development, academic facilities, student accommodation and other forms of infrastructure. The lack of public attention to these issues is probably largely due to the fact that most HDIs are far from major media companies. There appears to be a lack of interest among most editors in rural challenges or problems that do not affect the rich or the middle classes. Organisations of civil have also neglected the challenges of rural universities. However, we should not allow this Summit to focus exclusively on the relatively well-off institutions or to ignore these other extremely important issues that affect all universities. We also need to pay special attention to the differential transformation needs of the various institutions.

Successive Ministers have attempted to deal with the very weak management and governance structures at HDIs by appointing external Administrators or support teams when universities are in a particularly deep crisis. These external interventions have invariably left the institutions in better shape than when they started, but the improvements have seldom been sustained. Some of the HDIs seem to be caught up in repetitive cycles of crisis and external assistance. This conference should seriously consider how we can move beyond this to more stable, effective institutions.

Conflicts with racial overtones between students and management have affected many of the historically white universities, some of which still have student bodies that are overwhelmingly white. This has had an impact on the institutional culture of the universities in which black students experience themselves as alienated outsiders whose voices are not heard. The overwhelming composition of the academics staff is still white and black academics often feel the same sense of alienation and an inability to influence institutional policies and practices as the students¹. Institutional cultures are dominated by the values of white communities, often still tainted with racism; African cultural values are set aside where they conflict with the dominant institutional culture. The conflict over symbols such as statues and the names of buildings at some of our best resourced universities is but one example of this. Even where policies are in place to counter racism and sexism their nonimplementation causes both frustration and anger.

¹ The Soudien Report provides empirical evidence for this.

It is no doubt safe to say that the conflicts could have been minimised had the university governance and management structures been more proactive years ago in admitting more black students, changing the institutional cultures and ensuring better communication with students and other stakeholders. However, the situation is more complex than this. Conflicts clearly occur for other reasons. One of the most common reasons for them is that, despite the enormous funding increases over the last six years, National Student Financial Aid Scheme (NSFAS) resources are insufficient to meet demand. This is exacerbated by the inefficient distribution of NSFAS bursaries. While not overtly a matter of racial discrimination, dissatisfaction emanating from NSFAS may also be experienced as a racial grievance since the recipients are overwhelmingly black and entirely poor. Of course, other factors are also at play, including student dissatisfaction with living conditions such as substandard residential environments, shortage of affordable student accommodation, a lack of safety and security, or even hunger.

One should not discount, though, other reasons that may motivate student leaders to initiate conflict with management. It cannot be accidental that many incidents take place in the run-up to SRC elections. The rivalry between the different political organisations often leads to radical posturing – and often to violence, the destruction of property and even physical assault on other students and staff. This type of behaviour is completely unacceptable and should not be condoned in any way by institutional or governmental authorities.

Sexism remains a challenge at all institutions across the board. All institutions have put in place policies to overcome sexism with regard to employment and workplace practices as well as policies aimed at preventing gender-based violence, including the abuse of female students by male lecturers. The adequacy of anti-sexist policies varies and nowhere do they appear to be wholly effective in practice. One of the important elements of transformation is to ensure that no woman should feel insecure or threatened in any way on higher education campuses and that universities should take steps to ensure that this is the case now.

Another – and somewhat less visible – element of transformation is highlighted in the 2013 White Paper. This is the discrimination experienced by students and staff with disabled in universities. Related to this is the situation with regard to access to higher education for students with disabilities and the extent to which physical, social and study conditions at the institutions accommodate their needs. Physical access to university buildings (and even to the campuses themselves), the availability of assistive devices, appropriately trained staff and both social and academic support services are all transformation issues.

Other forms of societal discrimination that higher education must deal with are highlighted in the 2013 White Paper. They include the need for redressing the obstacles experienced by those from poor and working class backgrounds and those in rural communities in achieving access to and success in higher education. Furthermore, it asserts the need to ensure that those with HIV/AIDS are not discriminated against and are assisted.

Conflicts over a wide range of issues can be minimised through better communication. Institutions need to take communication among their internal constituencies more seriously. It is unclear why bodies that are provided for in law such as the Institutional Forums are generally neglected. Is it because some university constituencies find it more comfortable not to have to confront the views or grievances of others?

Beyond representivity and the creation of a culture of equity, there are other, equally important elements of transformation. The most crucial of these are dealt with in the 2013 White Paper and are surveyed in this discussion document and are discussed below.

Building an integrated post-school system

One of the most fundamental transformation challenges from a systemic point of view is the imperative to build an integrated system of post-school education and training with the universities playing a central role. We should learn to see the post-school system as a network of inter-dependent institutions preparing young people for life by providing a rounded general education that, to quote White Paper 3, helps to “meet the learning needs and aspirations of individuals through the development of their intellectual abilities and aptitudes throughout their lives”. Furthermore, it must also “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.” Although White Paper 3 was referring to the universities, the same can be said for the colleges – both the technical and vocational education and training (TVET) colleges and the soon to be established community colleges.

Of course, the various types of institutions do have their characteristics and functions over and above the common ones discussed above. For example, the universities must also provide quality postgraduate education and conduct high level research. Even here though, some of the research of academics and post-graduate students can further enhance our understanding of the education and training process in colleges or Sector Education and Training Authorities (SETAs) and help to bring about improvements. Through research and innovation, universities can influence industry in ways which make it necessary for colleges to cater for new knowledge and skills requirements and also require the Sector Education and Training Authorities (SETAs) to refocus their activities and resources.

It is essential that universities, colleges and SETAs reach out to one another and explore ways in which they can cooperate to strengthen the capacities of all to cater for post-school youth. This has begun very successfully in some parts of the post-school system and ought to be extended. Partnerships between educational institutions and SETAs should, wherever appropriate, include employers as an important partner, particularly when it is necessary for students to gain work-place experiences as a precondition for professional qualifications.

Improving student success

Improving the quality of learning is difficult while enrolments are increasing. The low success and throughput rates are a serious problem and a central challenge for the university sector and must become a priority focus for national policy and for the institutions themselves. South African universities are characterised by relatively low success rates – 75 per cent in 2013, compared to a desired national norm of 80 per cent. This results in a graduation rate of 18 per cent – well below the international norm of 25 per cent for students in three-year degree programmes in contact education.² The throughput rates by race for the three year degree with first year enrolment in 2008 showed that, in 2013, 55% Africans, 51% Coloureds, 61% Indians and 65% of White students graduated with a degree after 6 years. These are clearly too low and a sign that many students, and especially Africans and Coloureds, are not benefitting from their university studies.

² Student success rates are determined as follows: full-time equivalent (FTE) degree credits divided by FTE enrolments. These calculations, for a programme or for an institution as a whole, produce weighted average success rates for a group of courses. Graduation rates are calculated by dividing the number of graduates in a given academic year by the total head-count enrolments for that year. These graduation rates function as indicators of what the throughput rates of cohorts of students are likely to be.

This not only raises serious concerns about the productivity of the system and the high costs to government and institutions from poor student success rates, but also raises substantial issues of equity and transformation. Cohort studies have shown that black students, particularly those from poor backgrounds, are still most affected by poor graduation and throughput rates.

Some have argued for a brake to be put on further increases in university enrolments until we can improve the throughput and completion levels. The problem with this solution is that it does not provide an acceptable alternative to young people. The suggestion that more should go to the TVET colleges is accepted by the government. However, if students are diverted from the universities to the TVET colleges other students will be excluded from the colleges. In any case, the capacity of TVET Colleges to cope with the rapid rise in numbers that is being demanded of them is far less than that of the universities. The only reasonable option for the country is to make every effort to ensure that more and more students can perform successfully: in schools, universities and colleges. As we succeed in improving student success, a much larger number of students will be able to move through the system in regulation time and more students will be able to access higher education. In the long run it pays to invest in student success.

The reasons for poor student performance in universities are complex, but relatively well-known. The 2013 White Paper lists the main ones, including the weakness of much of the schooling system, especially those schools catering to poor and rural communities; high student to staff ratios at undergraduate level and especially for first-year students; inadequate systems for recognising students who need support; insufficient student support for academic and social adjustment to university life; weak support for professional development and recognition of academic staff in the area of undergraduate teaching.

To this, one could add that the growth in student numbers has not been matched by a proportional increase in staff numbers, thus increasing the stress levels of staff and their ability to cope with the demands on them. Teaching probably also suffers from the higher status and incentivisation associated with research, as the lower status of – and rewards for – good teaching is likely to influence the priority given by academics to their teaching role. Academics quite rightly often highlight the problem of poor schooling and the inadequate preparation of students for university life. There is however, little that can be done about this in the short run. While the relevant authorities work towards improving the quality of schooling, both the universities and colleges have no option but to do whatever they can to support in terms of development programmes and student support. The DHET must also assist with this.

The White Paper describes initiatives taken by the DHET to tackle the problem:

“Funding has been targeted for several years now as a way to encourage and support academic development in institutions, including funding for foundation programmes. Ensuring adequate financial support for students has also been a major priority for government; ... Universities have many types of interventions in place to address the development of extended and foundation programmes – changes to undergraduate curricula, support for teaching staff in universities, the development and use of educational technologies to support teaching and learning, as well as other kinds of support programmes such as mentoring, counselling and career development, and improving the material conditions of student life. However ... these programmes are not evenly distributed across the university system, and are often lacking in the poorer institutions where students need them most. If the success and throughput of students is to improve, as it must, it is clear that large-scale targeted work must continue and be expanded in all institutions, with the support of the state and drawing on the experience of mentoring and support programmes run by NGOs or professional associations.”

Teaching and learning at all institutions should be a priority, particularly at undergraduate level. The DHET is committed to continuing and strengthening its support for these processes through the planning and funding mechanisms available to it. This is presently being done through creating better alignment between the dedicated earmarked grants that are specifically provided to support improvements in student success – the Foundation Provisioning Grant and the Teaching Development Grant, and earmarking these to ensure that they are used for their intended purpose.

With respect to the Teaching Development Grant (TDG), a Ministerial Statement is now in place which directs that TDG funds are used to:

- target and address specific blockages that students struggle with, for example high-risk modules that have high failure rates;
- support students who need extra support - especially at the first year level but not limited to it - through the implementation of strong first-year experience programmes and tutorship and mentorship programmes;
- link the tutor and mentor programmes to the development of the next generation of academics to ensure that a stronger academic pipe-line is created;
- enhance the teaching and responsive capacity of lecturers through lecturer development activities that may be qualification-based, or through relevant, high-quality short courses; and
- promote a scholarship of teaching and learning.

With regard to quality assurance, the DHET works in consultation with the Council on Higher Education (CHE) to improve the quality of teaching at undergraduate level, reduce the gaps in performance between institutions, and support all the elements that contribute to student success as outlined above. Collaboration with the work of the CHE's Quality Enhancement Project is one example. Curriculum development initiatives that could contribute to improved success and graduation rates are being undertaken by institutions and, in some instance, supported by government.

There should be increased support, at both institutional and DHET levels, for staff development initiatives to improve the teaching skills of academic staff. Using more, and well-trained, tutors and mentors can make an important contribution to assisting students.

Improvement of undergraduate throughput rates is a key strategy for increasing graduate outputs, for providing the skills needed by the economy, and for ensuring that larger numbers of students are available for postgraduate study. Although there has been steady improvement over the last fifteen years, postgraduate enrolments in both Masters and Doctoral programmes remain low.

It is important to recognise that success rates are negatively influenced by the poor living conditions of many students. There is a grave shortage of student accommodation in universities, as well as poor living conditions in many of the existing residences. A very low proportion of first-year contact students are accommodated in university residences, which is likely a contributing factor to poor performance in the first year of study. The nutritional value of meals provided in residences is not always optimal. There seems little doubt that improvements in the living conditions and nutrition of undergraduate students can improve their academic performance, and both of these are current policy priorities.

The Department has developed a Policy on the Minimum Norms and Standards for Student Housing at Public Universities focusing on the standards for the refurbishment and maintenance of existing university student accommodation and the construction of new student housing for public and private providers (where facilities are accredited by the universities).. The DHET's infrastructure grant allocation over the last three years, especially for student housing, has prioritised the HDIs and a few other university campuses where the needs are greatest. This practice will continue.

Research and innovation

Research and innovation are integral parts of the work of universities and contribute to strengthening society's intellectual, economic, social and cultural life. More and better research and innovation can enhance the country's potential to improve the living standards of all South Africans.

South Africa's research output, measured by peer-reviewed academic publications, has increased markedly in the past decade, growing from 6 660 units in 2004 to 12 364 units in 2012. Gratifyingly, the increase has taken place across the higher education system, although the extent of the increases differs from institution to institution. Nonetheless, South Africa's research rate is not yet enough to meet the needs of the economy, the health and education systems, our physical and natural environments, and the social and cultural needs of our people. Innovation arising from research is starting to grow in South Africa but there is potential for much more growth. The universities that are most successful in this respect are those that actively seek partnerships with government agencies like the CSIR as well as with the private sector. In addition to helping universities to achieve their missions, such partnerships can also earn additional income.

Another measure of the growth in research and the higher education system's potential to continue to grow is the number of PhDs being produced. Here too we have made some progress. The numbers graduating with PhDs increase from 823 in 2001 to 1 274 in 2007, and further to 1 878 in 2012. Despite this very rapid growth, coming as it does off a low base, we still have a long way to go to reach the NDP's target of 5 000 per annum by 2030.

This means that we must increase the opportunities for students to undertake post-graduate studies. Here it must be noted that the numbers of Masters students has not been growing as fast as doctoral students; if this trend is not reversed, it could end up blocking the pipeline that allows for greater doctoral enrolments. In addition to expanding opportunities for post-graduate studies in South Africa, we need to look further afield and encourage South African students to study abroad using a variety of funding sources. The DHET has now established a dedicated office to expand the numbers of postgraduates studying abroad – especially masters and doctoral students – by securing opportunities through foreign governments and exploring various sources of public and private funding in this country and abroad. The expansion of doctoral studies is also essential because our current capacity to provide supervisors is insufficient to meet the country's needs. The injection of young overseas trained academics will help to build that supervisory capacity as well as strengthening our research capabilities.

The 2013 White Paper notes that "In a differentiated university system it is unrealistic for all universities to have similar research goals. However, all universities should be research-active". It goes on to state that "Universities with lower levels of research output must be supported through planning and funding to develop their research capacity in particular areas of specialisation, as well as to develop a research culture".

The DHET will assist universities wherever possible to build their research capacity in various ways, *inter alia* by: developing their research infrastructure, including up-to-date equipment and IT infrastructure; facilitating access to local and international journals and research databases, particularly through central procurement of electronic resources; promoting and encouraging participation by South African universities in global research networks; and increasing the numbers of postgraduate students and postdoctoral fellows in key areas.

Staffing the universities

Ensuring the quantity and quality of academics in the system is essential to improving the quality of education and improving the number and quality of research outputs. Furthermore, making the staff of universities more representative of the South African population is also at the core of university transformation from apartheid.

As mentioned above, the growth in the number of academics has been far outstripped by the growth of student numbers. In 1994 there was an average of 38.5 students to every academic. By 2013 this had increased to 55.7 students per academic. To some extent this latter figure is mitigated by the increased use of contract academic staff. However, contract staff members are less secure and are prone to leave if they get an opportunity of a full time job elsewhere – and not necessarily in academia. The result of the rising student to staff ratio has inevitably been increased workloads for academic staff and an increase in class sizes; first year classes can comprise of many hundreds of students.

In terms of diversity, although 45 per cent of academic staff were women in 2013, there were four times as many men as women in senior academic positions. African academics made up 32 per cent of permanent professional staff, and were under-represented at the senior levels. White academic staff still comprised 52 per cent of total numbers in academia – down however from 83 percent in 1994. Another issue of serious concern is the age profile of academic staff. Significant numbers are approaching retirement age, and not enough young people are becoming academics after they have received their degrees.

The implication of all of this is that there is an acute need for more academics in the system and that the academic profession should move faster to reflect South Africa's race and gender diversity. Of particular concern is the fact that blacks and women are under-represented in the professoriate. This is partly due to the fact that it takes longer to produce academics who qualify for professorships, but is also often the result of discrimination against blacks and women in recruitment at the formerly whites only universities. A concerted effort needs to be made to overcome this.

Staff recruitment will definitely require more money than is currently available. If the size and quality of higher education is to improve significantly, it is essential for the government to allocate a greater share to higher education than is the case now. In addition to the necessary additional government funding, universities can attempt to supplement this with third stream income in the form of donations, etc.

In an initiative to boost the academic profession, the DHET has developed the “Staffing South African Universities” Framework (SSAUF). This is aimed particularly to assist in the development of black and women academics. One of the 5 programmes in the framework, the New Generation of Academics Programme (nGAP) caters for the recruitment and support of a new young generation of academics by supporting the establishment of a number of new, permanent posts at universities for a period of six years; thereafter, the university takes over full responsibility for the posts. In 2015, 125 posts have been allocated, spread across all 26 universities. It is envisaged that 400 posts could be supported across the sector, per annum, once the scheme is fully operational. An aligned development programme supports nGAP appointees to develop strong teaching and research competencies.

The SSAUF is intended to provide stronger support along the entire academic career pipeline. It also provides for assisting existing staff to improve their qualifications as well as identifying potential academics at undergraduate or honours level and supporting them to qualify and enter the academic profession. Furthermore, the SSAUF will support teaching and research development as well as

academic leadership for those on its programmes. The SSAUF programmes are meant to supplement existing methods of staff recruitment and development and not to replace them.

Many factors affect academic work including publication pressure, the corporatisation of universities, greater administrative responsibilities, resource constraints, pressure to bring in outside funding, the growth and use of technology to support academic work, and the pressures of teaching in a context of low throughput rates. One of the recommendations of the 2010 Higher Education Summit that has not been implemented was the stated intention to “Address the decent work requirements of academics and support staff... (including) a review of: the retirement age of academics, academic salaries and the tender processes followed when recruiting support staff.” This is still necessary and should be undertaken as a priority because of the staff of universities is their most important asset.

Student funding

University education is expensive. All 26 institutions rely on state financial support for varying proportions of their operating costs: in addition, most receive some form of third-stream income, though this varies enormously. However, all universities also charge student fees, which are essential to institutional survival in the current funding environment. Fees have risen substantially over the past two decades, as overall government funding to institutions has not kept up with the financial requirements of the system. Rising student fees continue to pose a major barrier to access for many students and the DHET is committed to examine ways of controlling fee increases.

Higher education policy in South Africa has long recognised the importance of student financial aid in helping poor students to access university studies and to increase equity. Since its inception, the National Student Financial Aid Scheme’s provision of financial aid to the poorest students has been instrumental in providing access to education for a million students from poor and working-class backgrounds who would otherwise not have been able to go to university. Its benefits have now been extended to TVET college students.

NSFAS was created in 1999 through an Act of Parliament to provide a sustainable financial aid system for study loans and bursaries for academically deserving and financially needy students. These funds are largely allocated to NSFAS through the DHET, but include monies from other government sources. NSFAS also administers bursaries on behalf of other entities such as the Department of Social Development and the Department of Basic Education. In the decade to 2013, the funds administered by NSFAS have increased approximately nine times from R 985 million (2004) to R8.7 billion.

A study commissioned by the Minister has found that “fee-free university education for the poor in South Africa is feasible, but will require significant additional funding of both NSFAS and the university system”. The government is committed to do everything possible to progressively introduce free education for the poor in South African universities as resources become available. Already, of the R8.7 billion administered by NSFAS, over R4.5 billion was in the form of bursaries rather than loans. The system must progressively increase access for students of varying financial means. Of particular concern are students whose family incomes fall above the NSFAS threshold for support but below the necessary threshold to obtain commercial loans. The DHET is actively pursuing ways to address this problem – possibly through loans from development finance institutions.

Partnerships will be essential to the success of student funding initiatives. These will include intragovernmental partnerships, such as cost-recovery support from the South African Revenue Service (SARS), scholarship support from other government departments in scarce-skills areas, and government partnerships with the private sector and international partners. The principle of cost recovery of loans

from students who have benefited from state funding is well-established in South Africa, and is essential to the affordability of continued and growing student funding.

Curriculum and learning issues

Scarce and critical skills

A particularly important area of transformation is the development of the scarce and critical skills needed for South Africa's economic development –thus assisting the transformation of the country as a whole. Universities must provide for the education of sufficient numbers of professionals and other graduates in scarce skills areas. These tend to be mainly in the fields of science, engineering and technology as well as certain areas of business studies such as accounting and actuarial science.

The DHET will work with institutions to promote priority skills areas and to ensure that particular attention is placed on producing black and women professionals and graduates. The DHET, working with NSFAS, has started to introduce full-cost-of-study scholarships for poor students in scarce skills areas. It will also put in place measures to prioritise academic support – including a comprehensive student mentoring programme – in order to improve throughput rates in scarce skills areas.

African languages

Ironically, African language teaching in universities is in a worse condition than it was under apartheid. Then, the development of the African languages was seen by the regime as a way to underpin the bantustan system by promoting the development of ethnic nationalisms. Nonetheless, it is an indictment on our democracy that the African languages in our schools and universities have been allowed to suffer such neglect.

It must be said that in recent years a few universities have taken initiatives to strengthen their African language Departments and to promote the teaching of these languages and one university has made it compulsory for all new undergraduates to learn an African language (in this case, isiZulu). Some universities have developed strategies to affirm the African languages, for example by using them in their signage. In general though, these languages have been given short shrift.

If we are to give substance to the much stated intention to actually develop the African languages as languages of academia and to encourage their study and development, then a wide-ranging discussion needs to be initiated to discuss how this can best be done. DHET has already started to redirect funding towards the development of African Languages.

The Humanities and Social Sciences

While it is correct to prioritise scarce and critical skills, there is a danger that this could be overdone and lead to a situation where the humanities and social sciences are neglected and that the country suffers as result. These HSS disciplines not only enhance our understanding of human society, contribute to our cultural and social life and teach people to think critically and analytically about society; they are also important in understanding the impact of technological and economic developments on individual and communities. In other words, they are essential to South Africa's socio-economic transformation. They also make an important contribution to training young people for employment in a wide range of areas of the labour market.

An important initiative by the Minister of Higher Education and Training has been the establishment of the National Institute for the Humanities and Social Sciences (NIHSS). Its purpose is to provide support to teaching and research in South African universities and research institutions through providing funding and academic support for academics and PhD students (with the assistance of emeritus professors). Over the past two years 238 PhD scholarships have been awarded to South African students and 74 to students from other African countries who wish to study in South Africa. In addition the

NIHSS sponsors ground breaking “catalytic” research projects, aimed at catalysing further research in particular areas of study. Joint research projects between South African academics and those in other countries, especially in African and BRICS countries, are also supported.

It is expected that this focus on PhD studies and catalytic research will stimulate young people to take up academic careers, raise the quality of HSS programmes and benefit future generations of youth.

Community engagement

The *National Plan on Higher Education* (DoE, 2001) also recognised community engagement as one of three core functions of universities, along with research and teaching. The CHE subsequently provided advice on the conceptualisation of community engagement and graduate community service in higher education and how these could be implemented. What has emerged is that community engagement, in its various forms – socially responsive research, partnerships with civil society organisations, formal learning programmes that engage students in community work as a formal part of their academic programmes, and many other formal and informal aspects of academic work – has become a part of the work of universities. It is essential to creating development partnerships between higher education and South African communities of all kinds, especially poor communities.

A study commissioned by the Higher Education Quality Committee (HEQC) indicates that many of the community engagement initiatives have been of an *ad hoc* nature, fragmented and not linked in any way to the academic project. These initiatives are generally not state-funded and are not linked to measurable outcomes. Given budgetary and other resource constraints within higher education and the vastly different ways in which universities approach community engagement, the 2013 White Paper states that it is likely that future funding of such initiatives in universities will be restricted to programmes linked directly to the academic programme of universities, and form part of the teaching and research function of these institutions.

Internationalisation

The internationalisation of higher education has grown over the past two decades, and is a reflection of globalisation and South Africa’s emergence from international isolation that resulted from the end of apartheid. Internationalisation takes various forms, including: cross-border movements of students and staff; international research collaboration; the offering of joint degrees by universities in different countries; the establishment of campuses by universities outside of their home countries; the growth of satellite learning and online distance education; arrangements between countries for the mutual recognition of qualifications; the regional harmonisation of qualification systems; and the increasing inclusion of international, intercultural and global dimensions in university curricula. South African higher education has been affected by all these trends.

Many of the trends now affect South Africa in different ways and most can offer significant benefits to the university system. The movement of academics and students across borders can improve international communication, cross-cultural learning and global citizenship. All of these are important for improving peace and cooperation, and for finding solutions to global challenges such as sustainable development, security, renewable energy and HIV/AIDS. Strong international partnerships and links can contribute to an increase in knowledge production, intellectual property and innovation in South Africa. Research partnerships and exchanges of students and staff can also assist in strengthening our institutions, especially those historically disadvantaged institutions which still do not have extensive international relations. Internationalisation should also be seen as an opportunity to take local and/or indigenous knowledge to the international community.

In 2013, 73 859 foreign students were studying in South African public universities, equivalent to 7.5 per cent of the total student body. The vast majority of these students (53 800 or 73 per cent) were nationals of countries belonging to the Southern African Development Community (SADC). In addition, there were 5 784 foreign, mainly SADC, students in South African private higher education institutions, constituting 8.8 per cent of all students in that sector. These numbers are significant; South Africa is the eleventh most popular destination worldwide for mobile students, and the top destination for students in Africa. The number of foreign African students is a major contribution by South Africa to the development of our continent, something which will inevitably also benefit South Africa. South African universities have managed to avoid the outbreaks of xenophobia that have sometimes beset other parts of our country. They will need to be proactive to ensure that foreign students feel at safe and welcome.

South Africa has extensive (and mutually beneficial) collaborative research projects with other countries particular with countries of the global north. Such collaboration with African and other developing countries are less developed. Research partnerships involving African countries and other developing countries, including the BRICS nations, should grow to overcome their relative neglect in the past, but without prejudicing relationships with developed countries.

Given the complex effects of internationalisation on the South African system, it is necessary to develop a suitable policy framework for international cooperation in post-school education and training. This type of cooperation can benefit South African universities and other educational institutions, and serve to mitigate negative effects of internationalisation, in line with existing bilateral and multilateral agreements, such as the SADC Protocol.

Conclusion

This paper has discussed some of the main issues in higher education, particularly those relating to transformation, but has not pretended to be all-inclusive in its coverage. Summit participants may want to raise other issues and are welcome to do so. Policy at national level is ultimately made by government within the framework of the constitution. In particular areas, it has assigned advisory or policy-making functions to bodies such as the Council on Higher Education or SAQA. At institutional level, policy is made by Councils and senior management. However if policy at any level is to be widely accepted and effective it must be based on the exchange of views through consultation and discussion, sometimes robust, between all the major stakeholders. One of the main objectives of this Summit is to facilitate such a dialogue. However, to be effective it is essential that such an exchange of views is ongoing and that existing forums are used for this – and, where necessary, other forums are created at both national and institutional levels.



ANNEXURE 3

Are we making progress with systemic structural transformation of resourcing, access, success, staffing and researching in higher education: What do the data say?

Paper prepared for the second national
Higher Education Transformation Summit
2015

Department of Higher Education and Training

1 Introduction

South Africa aspires towards a transformed higher education system that is of high quality, that is demographically representative, that provides students and staff with good opportunities for access and success, that is diverse, differentiated and articulated, and that is relevant and responsive to local and regional contexts whilst at the same time able to hold its own in international contexts in terms of its core mandates of teaching, research and community engagement. This vision underpins the Department of Higher Education and Training's efforts to support and strengthen the higher education sector.

The Department of Higher Education and Training (and its predecessor, the former Department of Education) has worked to advance and/or monitor higher education transformation with respect to access, success, resourcing and researching in a variety of ways including through:

- Securing greater levels of financial support through the fiscus for higher education;
- Enabling greater levels of financial support for students from poor families through the National Student Financial Aid Scheme;
- More direct steering of enrolments at universities to meet transformation imperatives;
- Enhancing student success through support for Foundation Programmes and a variety of teaching and learning development activities;
- Enhancing research development and research productivity through research development and research output funding;

- Provision of dedicated funding for infrastructure developments at universities, including substantial investments in student housing and in infrastructure developments to support growth in critical and scarce skill areas.

More recently, new initiatives to further advance higher education transformation include:

- Introduction of the “Staffing South Africa’s Universities” Framework and the immediate implementation of one of its components – the New Generation of Academics Programme- with other components to be introduced this year and next year.
- The introduction of an HDI Grant specifically to support historically disadvantaged universities to decisively overcome historical backlogs.
- A review of the university funding framework to enable it to better respond to sector needs.

This discussion paper draws on latest available audited data¹ to reflect on whether progress is being made as a result of these and other sector initiatives. A secondary purpose of the paper is to provide factual data to underpin debate and discussion at the second national higher education transformation summit.

Section 2 of the paper describes how government funding allocations for universities have changed over the last 10-20 years.

Section 3 of the paper reflects on the higher education size and shape targets that were set by the National Plan for Higher Education (2001) to improve student access.

Section 4 reviews progress made with addressing issues of undergraduate student success.

Section 5 of the paper reviews progress made with addressing issues of postgraduate student success.

Section 6 provides information on various staffing issues and initiatives.

Section 7 shows the growth that has taken place with respect to the research outputs of universities.

Section 8 concludes with a frank reflection on the gaps that still exist with respect to access, success, resourcing and researching and some thoughts on how we need to move forward in these areas.

Specifically, the Minister of Higher Education and Training has called for the Summit to identify indicators that can be used to measure the extent and pace of transformation and the paper concludes with some recommendations in this regard- specifically data indicators that can possibly be used to measure progress with respect to structural transformation.

2 Funding of Universities

An appropriate level of funding is probably the most important requirement to achieve a transformed university sector that is able to overcome the historical legacy of inequality and that is able to successfully carry out its triple mandate of teaching, research and engagement. The extent to which this is the case in South Africa has been a question that has been the focus of a range of analyses over the last few years, including the work done by the recent Ministerial task team on university funding.

2.1 What is the extent of DHET funding for universities, how has it changed over the last ten years, and is it adequate?

¹ Unless otherwise specified, all the data presented in this discussion document is audited data drawn from the Department of Higher Education and Training’s Higher Education Management Information System (HEMIS)

On average, DHET funding is estimated to account for 40% of the universities' income. Other funding sources for universities include sources such as tuition fees, accommodation fees, research income and donor funding. The Department of Higher Education and Training's (DHET) budget for universities has increased from R9, 879 billion in 2004/05 when the existing funding framework was introduced, to R30, 338 billion in 2015/16. These amounts include funding for the National Student Financial Aid Scheme (NSFAS) which increased from R578., 2 million in 2004/05 to R4, 095 billion in 2015/16 for the universities only (NSFAS also allocates a significant amount of funds to TVET College students), but do not include other sources of state funding, such as funds allocated from the National Skills Fund and other government Departments such the Department of Science and Technology.

In 2011, South Africa's state budget for universities, including funding for NSFAS², as a percentage of Gross Domestic Product (GDP) was 0.75%, which was just less than Africa as a whole (0.78%). In 2015/16, South Africa's state budget for universities, including funding for NSFAS, is 0.72% of the GDP, lower than it was in 2011.

When compared to the Organisation for Economic Cooperation and Development (OECD) countries (1.21%) and the rest of the world (0.84%), South Africa lags behind. Higher education expenditure as a percentage of education expenditure for Africa was 20%; for OECD countries it was 23.4%; and for the world 19.8% in 2006 (or closest year). However, in 2011, South Africa's estimated higher education expenditure as a percentage of education was approximately 12%.

If South Africa in 2011 spent the same percentage on higher education as the world did in 2006, the state budget for universities would have been R37 422 million (+- R189 billion multiplied by 19.8%), which is R15 425 million more than the amount that was actually set aside (2011: R21 997 million).

Although South Africa spends a considerable amount on education, its expenditure on higher education is lower than desirable, as the current financial stresses that are being felt in the sector show, both at the level of university operations and at the level of student funding.

Given the current economic climate, and other needs within government for the post-school education and training system, for example the development and expansion of technical and vocational education and training (TVET) colleges, and the establishment of the Community Education and Training College system, it has proven extremely difficult to secure sufficient increased funding for universities. However, within the past Medium Term Expenditure Funding (MTEF) budget cycles, DHET has managed to prevent budget cuts on the universities' budget allocation.

2.2 The shape of DHET funding for universities

The DHET funding framework for universities is made up of a block grant subsidy which amounts to R20, 538 billion in 2015/16 and a range of earmarked grants, including NSFAS, which amounted to R9,8 billion in 2015/16. Block grants funds are Council controlled funds mainly used to fund operational and teaching and learning activities. Earmarked grants include the infrastructure grant, clinical training grant, teaching development grant, research development grant, historically disadvantaged institutions (HDI) development grant, veterinary sciences grant, and a grant for the development of the two newly established universities, Sol Plaatje University and the University of Mpumalanga.

² Strictly speaking the NSFAS funds should not be included in the analysis of state funding for higher education, because they are for student funding (i.e. second stream funding for tuition, accommodation etc.). If these funds are excluded, the % would be lower,

2.3 The block grant

The table below shows how the DHET block grant allocation to universities has changed over the last ten years, in nominal terms and in real terms. To transform budgets in nominal terms to budgets in real terms, the annual GDP deflator was used, as required by National Treasury, instead of using standard consumer price indices.

Table 2.1: Block grant allocations to universities from 2004/5 to 2014/15

Year	Block grant for universities in nominal terms (R 'million) (A)	Growth in nominal terms (%)	Inflation (CPI)*	deflator (B)	Block grant for universities in real terms (R 'million) (C) = (A/B)	Growth in real terms (%)	HEMIS Student FTEs (D)	Per capita in real terms using FTE students (Rands) (C/D)	Per capita growth in real terms (%)
2004/05	8568	-	2.0%	1.00	8568	-	505473	16950	-
2005/06	9145	6.7%	3.6%	1.02	8966	4.6%	500931	17899	5.6%
2006/07	9956	8.9%	5.2%	1.06	9421	5.1%	497772	18926	5.7%
2007/08	10234	2.8%	8.1%	1.11	9205	-2.3%	518560	17751	-6.2%
2008/09	11550	12.9%	11.2%	1.20	9614	4.4%	538457	17854	-0.6%
2009/10	12701	10%	6.9%	1.34	9511	-1.1%	569708	16694	-6.5%
2010/11	14533	14.4%	3.8%	1.43	10176	7.0%	600002	16960	1.6%
2011/12	16387	12.8%	5.6%	1.48	11051	8.6%	628409	17586	3.7%
Year	Block grant for universities in nominal terms (R 'million) (A)	Growth in nominal terms (%)	Inflation (CPI)*	deflator (B)	Block grant for universities in real terms (R 'million) (C) = (A/B)	Growth in real terms (%)	HEMIS Student FTEs (D)	Per capita in real terms using FTE students (Rands) (C/D)	Per capita growth in real terms (%)
2012/13	17434	6.4%	5.6%	1.57	11134	0.7%	634548	17546	-0.2%
2013/14	18439	5.8%	5.8%	1.65	11151	0.2%	665856	16747	-4.6%
2014/15	19561	6.1%	5.6%	1.75	11181	0.3%	668705	16721	-0.2%
Net % change in nominal terms in block grant from 2004/5 to 2014/15		128.3%	Net real change in block grant			30.5%	Net change in per capita FTE student allocation		-1.35%

*Source: StatsSA, using CPI values for the state's financial years (1 Apr - 31 Mar), not academic years.

The shaded columns are illuminating. They show that:

- The block grant allocation to universities increased by 128% between 2004/5 and 2014/15 in nominal terms.
- However, the eroding effect of inflation of inflation meant that this only translated into an increase of 30.5% in real terms.
- The effect of inflation, and substantial student growth in universities over the last ten years actually resulted in a net decrease in the per capita FTE student allocation in real terms of -1.35% over the ten years under consideration. Should teaching input units be used in the analyses instead of unweighted FTE students, the net decrease in the per capita in real terms over the 10 year period is -0.81%.

Clearly, the block grant allocation to universities is not keeping pace with inflation and with student growth and is a matter that needs urgent attention.

2.4 Earmarked grants

Earmarked grants are seen as an important mechanism to address transformation imperatives in the university sector, since they are ring-fenced funds that must be used for the purpose for which they are intended. These are audited in order to ensure that they are used for the purposes intended.

These purposes include:

- Improving access: NSFAS plays an important role here to enable poor students to access higher education. The new universities grant enabled the establishment of two new universities and contributed to the expansion of the system. It should be noted that the new universities grant is funded through the re-prioritisation of funds from other areas of government where there was under-spending.
- Improving student success: foundation provisioning grant, teaching development grant, clinical training grant.
- Development of academics: teaching development grant, research development grant.
- Well-founded infrastructure including student housing: infrastructure and efficiency grant.
- Developing the HDIs: HDI development grant.

The importance of the earmarked grants as a steering mechanism to achieve systemic objectives can be seen in the extent in which the share of university funding allocated to earmarked grants have increased over recent years. For the 7-year period 1997/98-2003/04, the earmarked component of the state budgets for the university sector fluctuated between 10% and 12%. The earmarked component then increased for the 3-year period 2004/05-2006/07 to about 15%, mainly as a result of increases in the allocation to the National Student Financial Aid Scheme (NSFAS). For the 4-year period 2007/08-2010/11 the earmarked share increased to about 24%, mainly as a result of earmarked grants for development purposes and for infrastructure. Thus, for the period of 14 years, from 1997/98 to 2010/11, the earmarked share more than doubled from around 11% to about 24%. After 2010/11, the earmarked share of the university budget kept on increasing, namely 2011/12 (25, 5%), 2012/13 (28, 2%), 2013/14 (29, 3%), 2014/15 (30, 3%) and 2015/16 (32, 3%). The main reasons for these increases in the share of earmarked grants from 2011/12 to 2015/16 were the NSFAS in 2011/12, the NSFAS and development grants (research and teaching) in 2012/13, infrastructure funds for new universities in 2013/14 and 2014/15, and, the Historically Disadvantaged Institutions grant in 2015/16. In each case these funds were additional funds that the DHET was able to secure in the baseline in order to develop and improve the system.

To summarise, the share of all earmarked grants, as a % of the total funds provided from the vote by the DHET to support higher education institutions, increased from 10% in 1997/98 to 32, 3% in 2015/16. In a context where overall funding for universities is not growing meaningfully in real terms, the further erosion of the block grant for earmarked purposes poses a threat to overall functioning of universities. On the other hand, the inability of the system to cater for earmarked grants that can be directed to specific purposes will undermine the transformation agenda. The answer lies in a suitable level of state funding for universities that adequately addresses the purposes met by the block grants and the purposes served by the earmarked grants.

2.5 The National Student Financial Aid Scheme (NSFAS)

The NSFAS is the largest earmarked grant, whose share of the university state budget increased from 3, 7% in 1997/98 to 13, 5% in 2015/16. These annual state budgeted amounts for the NSFAS exclude funding income for the NSFAS from funds recovered from previous beneficiaries of NSFAS and from private donors.

The National Student Financial Aid Scheme has its roots in the Tertiary Education Fund of South Africa (TEFSA), which was established in 1991 by the Independent Development Trust as a not-for-profit company to provide loans to university students. TEFSA was contracted by the then Minister of Education to administer NSFAS. The National Student Financial Aid Scheme Act was promulgated on 19 December 1999 to give real effect to government's commitment to redress the inequities of the past and to address the rising student debt problem in higher education institutions. NSFAS has awarded R50.5 billion to approximately 1.5 million students in loans and bursaries from 1991 to 2014 at 25 public higher education institutions and 50 TVET colleges.

Table 1.1 provides a breakdown of the number of students studying at public higher education institutions that received financial support, as well as the amount that was paid out in NSFAS awards, between 1991 and 2014.

Table 2.2 : NSFAS Data: Public Higher Education Institutions: 1991 – 2014

Academic Year	Total Amount	TEFSA	State Grant	NSFAS Re-injected funds and interest	Funza Lushaka	Other donors	National Skills Fund	Total number of students	Gender		Race				Unknown (NSFAS does not have this data)
									Female	Male	African	Coloured	Indian	White	
R'000 000															
1991	22	22						7 240	53%	47%	81%	11,3%	4,2%	3,5%	0,2%
1992	41	41						14 160	50%	50%	84%	9,6%	5,4%	0,2%	0,8%
1993	55	55						20 811	49%	51%	82%	7,6%	4,4%	0,2%	5,4%
1994	71	71						28 260	49%	51%	86%	7,3%	3,7%	0,2%	3,1%
1995	154		40			94		43 876	52%	48%	89%	5,8%	3,2%	0,5%	1,7%
1996	333		300			33		72 788	53%	47%	90%	5,2%	2,5%	1,7%	0,6%
1997	351		200			151		70 574	54%	46%	91%	4,1%	2,4%	1,9%	0,1%
1998	395		296			98		75 764	56%	44%	93%	3,2%	2,0%	2,2%	0,1%
1999	441		385	14		42		75 344	56%	44%	91%	3,0%	2,0%	2,4%	1,3%
2000	511		437	9		65		83 251	56%	44%	90%	3,4%	2,2%	2,7%	1,2%
2001	761		440	149		172		80 603	55%	45%	90%	3,5%	2,2%	3,4%	0,9%
2002	733		489	150		94		86 147	55%	45%	90%	3,5%	2,2%	3,9%	0,4%
2003	894		533	169		90	102	96 552	54%	46%	91%	3,6%	2,3%	3,5%	0,0%
2004	985		578	247		88	73	98 813	54%	46%	91%	3,7%	2,3%	2,8%	0,0%
2005	1 217		864	261		65	27	106 852	55%	45%	92%	3,7%	1,9%	2,4%	0,0%
2006	1 382		926	296		129	31	108 416	55%	45%	93%	3,6%	1,7%	2,1%	0,0%
2007	1 693		1 095	295	111	42	30	113 616	56%	44%	92%	3,9%	1,3%	2,5%	0,0%
2008	2 375		1 502	397	154	286	36	117 766	57%	43%	92%	4,4%	1,0%	2,6%	0,0%
2009	2 818		1 419	580	181	600	38	135 202	58%	42%	92%	4,2%	0,9%	3,0%	0,0%
2010	3 344		1 561	704	462	531	86	148 387	59%	41%	92%	4,0%	0,9%	3,1%	0,0%
2011	4 835		2 644	719	443	519	510	144 757	60%	40%	93%	3,9%	0,8%	2,6%	0,0%
2012	5 871		3 378	296	667	672	858	194 504	60%	40%	93%	3,7%	0,7%	2,4%	0,7%
2013	6 729		3 693	477	890	866	803	194 923	60%	40%	87%	4,2%	0,9%	2,8%	5,0%
2014	6 970		3 915	446	941	868	800	186 150	59%	41%	90%	4,4%	0,8%	2,8%	1,5%

The table shows that:

- funds to support students increased from R22 million in 1991 to R6.6 billion in 2014. Funds have doubled in the 5 years between 2010 and 2014, from R3.3 billion to R6.9 billion;
- the number of students supported has increased from 7,240 in 1991 to 186 150 in 2014; and
- the majority of students supported are African students (90% in 2014) followed by coloured students (4.4% in 2014).

NSFAS recoveries

NSFAS recovers student loans repayments to replenish available funds for future generations of poor students. NSFAS loans are income contingent and recipients become liable to start repaying their loans once they are employed and earning in excess of R30,000 per annum. At an annual salary of R30,000 a debtor will be paying 3% of his or her gross annual salary (equal to monthly repayments of R75). Table 1 provides for an overview of amounts recovered between 1999 and 2014.

Table 2.3: Amounts recovered and re-injected by NSFAS from 1999 to 2014

Years	Recovered Money	Re-injected funds		Years	Recovered Money	Re-injected funds
	R'000 000				R'000 000	
1998/1999	32			2007/2008	479	295
1999/2000	68	14		2008/2009	556	397
2000/2001	92	9		2009/2010	636	580
2001/2002	111	149		2010/2011	638	704
2002/2003	157	150		2011/2012	539	719
2003/2004	210	169		2012/2013	423	296
2004/2005	244	247		2013/2014	339	477
2005/2006	329	261		2014/2015	248	446
2006/2007	392	296		TOTAL	5 493	5 209

The table shows that: 5.4 billion has been recovered from 1999 to 2014. This represents about a 10.9% recovery rate. Whilst it must be borne in mind that some of the funds are allocated as or converted to bursaries, it must be asked whether efficiency of recovery could be improved.

NSFAS allocations by race and gender

The tables below show how NSFAS allocations were allocated by race and gender in 2013 and 2014.

Table 2.4: NSFAS allocations by race

Race	2014		2013	
	Number of students	%	Number of students	%
African	168 351	90.4	169 741	87
Coloured	8 139	4.3	8 270	4.2
Indian	1 527	1	1 657	1.1
White	5 255	2.8	5 538	2.8
Other*	2 833	1.5	9 717	4.9
Total	186 150		194 924	

*NSFAS was unable to provide these data

The table shows that African students are by far the largest beneficiaries of NSFAS allocations, accounting for 90.4% of the 2014 awards, followed by Coloured students at 4.3%.

Table 2.5: NSFAS allocations by gender

Gender	2014	%	2013	%
Female	110 096	59.1	116 001	59.5
Male	76 054	41.9	78 922	40.5
Total	186 150		194 922	

The table shows that female students receive a higher share of the awards (59.1%).

2.6 Fee-free university education for the poor

The National Student Financial Aid Scheme aspires to support access and success of all eligible students at public TVET colleges and public higher education institutions who would otherwise not be able to afford to study. However, it is acknowledged that NSFAS is currently unable to support all the students that meet its means criteria. It is also clear that many of the students who are supported are not sufficiently supported to enable them to succeed; specifically the issue of full cost of study (to include tuition, accommodation, food and books) has been highlighted. In addition, the challenge of the “missing middle” has also been highlighted by the Minister of Higher Education and Training, clearly evident in the inability of, for example, a high number of public servants, who earn more than that required to qualify for NSFAS consideration, but far less than what is needed for them to support their children through university studies.

The table below shows the shortfall between the number of students that NSFAS was able to support in 2013 and 2014 and the number that applied and met the criteria for support. Of the total number of students that applied and qualified in 2014, 18.7% could not be assisted.

Table 2.6: NSFAS shortfall 2013 and 2014

	2014	2013
Number of applicants who applied for NSFAS awards	289 105	339 665
Number of successful NSFAS applicants	186 150	194 923
Number of unfunded registered students who qualified but could not be assisted	53 987	46 050
% that could not be supported	18.7%	13.6%

The DHET has recently undertaken an exercise to understand what would be needed to provide a higher quality level of support to a much wider student base, and has explored this in terms of four scenarios for the MTEF period up to 2018/19:

Scenario 1 is based on the following assumptions:

- maintaining the family income qualifying threshold at R122 000;
- continuing to fund the current proportion of 16% of the total undergraduate headcount enrolments³; and
- maintaining an average NSFAS award (estimated to be R40 827 in 2016/17) escalating at 9.8⁴% over the period.

This analysis showed that over the MTEF, additional funds amounting to R3,05 billion would be needed, over and above the MTEF baseline allocation and what could be re-injected through recoveries.

Scenario 2 is based on the following assumptions:

- maintaining the family income qualifying threshold at R122 000;
- continuing to fund the current proportion of 16% of the total undergraduate headcount enrolments; and

³ projections are based on the national student enrolment plan (2014/15 to 2019/20)

⁴ 9.8% is the actual average increase in student fees across the university sector over the last five year period.

- providing an average full cost of study award (estimated to be R73 786 in 2016/17) escalating at 9.8% % over the period.

This analysis showed that over the MTEF, additional funds amounting to R17,6 billion would be needed, over and above the MTEF baseline allocation and what could be re-injected through recoveries.

Scenario 3 is based on the following assumptions:

- increasing the family income qualifying threshold to R217 000;
- providing support to 25.5% of the total undergraduate headcount enrolments; and
- maintaining an average NSFAS 2014/15 award (estimated to be R40 827 in 2016/17) escalating at 9.8% % over the period.

This analysis showed that over the MTEF, additional funds amounting to R12 billion would be needed, over and above the MTEF baseline allocation and what could be re-injected through recoveries.

Scenario 4 is based on the following assumptions:

- increasing the family income qualifying threshold to R217 000;
- providing support to 25.5% of the total undergraduate headcount enrolments; and
- providing an average full cost of study award (estimated to be R73 786 in 2016/17) escalating at 9.8% % over the period.

This analysis showed that over the MTEF, additional funds amounting to R37 billion would be needed, over and above the MTEF baseline allocation and what could be re-injected through recoveries.

Scenario 4 is probably closest to the notion of providing fee-free university education for the poor. The question must be asked, however, whether a 25.5% student coverage sufficiently estimates the number of students that would qualify under these conditions. The figure could be significantly higher. What is clear is that a substantially greater allocation from the fiscus is needed to enable fee-free education for the poor.

It may be that the country also has to explore a range of other mechanisms to secure greater levels of student funding. Some ideas that have been proposed and that may warrant further exploration include:

- a graduate tax;
- greater contributions from the private sector; and
- using the NSFAS grant as collateral to bring national banks and investment corporations (e.g. the Public Investment Corporation) on board to support students.

In addition, there are concerns that NSFAS funds may not all be reaching the targeted group of students and the possibility of misdirection of funds exists. A forensic investigation into fund allocation is planned. Increasing the efficiency of NSFAS allocations to ensure that the right students receive the allocation at the right time will go a long way to improving the effectiveness of student support.

These are issues that are high on the agenda of the Department.

2.7 Under-developed universities

The key structural variables responsible for several of the challenges experienced by Historically Disadvantaged Institutions (HDIs) include, among others, funding approaches that were inimical to the establishment of a viable intellectual enterprise, remote geographic locations, and insufficient infrastructure. In addition to structural constraints, it has been argued that “agential variables” (mainly poor governance and management) have conspired in the case of some HDIs against any meaningful prospect of their overcoming structural constraints. Acknowledging this dialectical interplay of

structural and agential variables is crucial in devising properly targeted funding interventions. The very difficult issue to address is whether the government would be willing to provide additional funding to address the under-development of the HDIs and, if not, what the implications would be if the redistribution of existing funds would have to be considered as a means of addressing this problem in the system. Once all institutions are on a par at undergraduate level, there should be no reason why those institutions could not generate adequate funds to make them financially viable.

Some have argued that these institutions have been further disadvantaged by the DHET funding framework for universities which was introduced in 2004/05. However, statistics show that funding for HDIs for the period 2004/05 to 2014/15 has increased at a higher rate than the average for all universities. The HDI universities include: University of Fort Hare; University of Limpopo; Mangosuthu University of Technology; Sefako Makgatho Health Sciences University⁵; University of Venda; Walter Sisulu University; University of the Western Cape; and University of Zululand. Amongst these universities, the block grant subsidy increased between 263, 2% and 330, 2% while the average percentage increase for all universities was 244, 4% for the period mentioned. Furthermore, for these 8 universities the infrastructure grant allocation for the period 2012/13 to 2014/15 was 42% of the total infrastructure grant of R6 billion, while these 8 universities only make up 15% of the teaching input units (using FTE enrolments) funded in the block grant.

In 2015/16 the Minister approved the introduction of the HDI Development Grant of R410 million per annum, totalling R2, 050 billion over five years. HDI grants are development funds to help these universities to put in place systems to develop and ensure the sustainability of a financially healthy situation at the university, and to enable the university to strengthen its academic enterprise and fully realise its potential, taking up a sustainable position within a differentiated higher education system. Universities are finalising their five year development plans, which the Department will assess and then allocate funds with the Minister's approval. The funding for the HDI was additional funding allocated by the vote through a national treasury bid in 2012/13.

2.8 Funding framework review

The overall purpose of the Ministerial Committee on the Review of the Funding of Universities was to review the effect and impact of the current funding framework for universities since its introduction in the 2004/05 financial year. The Committee analysed the current funding framework to determine whether it has functioned effectively in achieving the goals set for it at its inception, and in particular, whether it has functioned effectively as a transformation-oriented steering mechanism.

It was found that the funding framework has certainly contributed towards the achievements of these goals for a relatively short period of full implementation from 2007/08 onwards. Improvements have been made with regard to achieving a more representative student body, showing a higher growth rate in graduates than enrolments, increasing research publication units, channelling more funds towards universities that have a higher share of students from disadvantaged students, increasing access to higher education students through increased NSFAS funding, et cetera.

However, disappointments included the persistence of under-development in respect of the majority of Historically Disadvantaged Universities, the lower than expected growth in the science, engineering and technology fields, and low increases in masters and doctoral graduates.

⁵ Although Sefako Makgatho Health Sciences University is a newly established university, it has incorporated the Medunsa campus of UL, and therefore has been included as an HDI.

The Report of the Ministerial Committee for the Review of the Funding of Universities, October 2013 was published in February 2014.

Based on the report of the Funding Review Committee, a Reference Group, supported by a Technical Team, consisting of members from the university sector and the Department, have developed proposals for changes to the existing funding framework.

One of the main outcomes was already to set aside R410, 743 million in 2015/16 for an Historically Disadvantaged Institution (HDI) development grant.

A revised funding framework has been developed and a draft will be gazetted for public comment later in October 2015, once the Minister has approved it.

3 Enhancing student access through addressing the size and shape of higher education enrolments

The National Plan on Higher Education (2001) sought to address the need to produce the number and type of graduates needed for social and economic development in South Africa. To this end, the Plan set out to achieve specific outcomes/ targets with respect to:

- increased participation rate/ national gross enrolment ratio in higher education, in ways that reflected the demographic composition of South African society; and
- steering the shape of enrolments in higher education with respect to fields of study in order to better align with the needs of society and the economy.

3.1 Increased participation rate

The *National Plan on Higher Education (2001)* stated that a participation rate of 20% should be achieved over the following 10-15 years to supply the human resources needed for the country's social and economic development.

The participation rate/ gross enrolment ratio is calculated by dividing the number of 20-24 year olds in the general South African population by the number of students enrolled in the higher education system. The following graph indicates the national gross enrolment ratio from 2003 to 2013.⁶

⁶ 2013 is the latest audited data year contained in the Higher Education Management Information System (HEMIS).

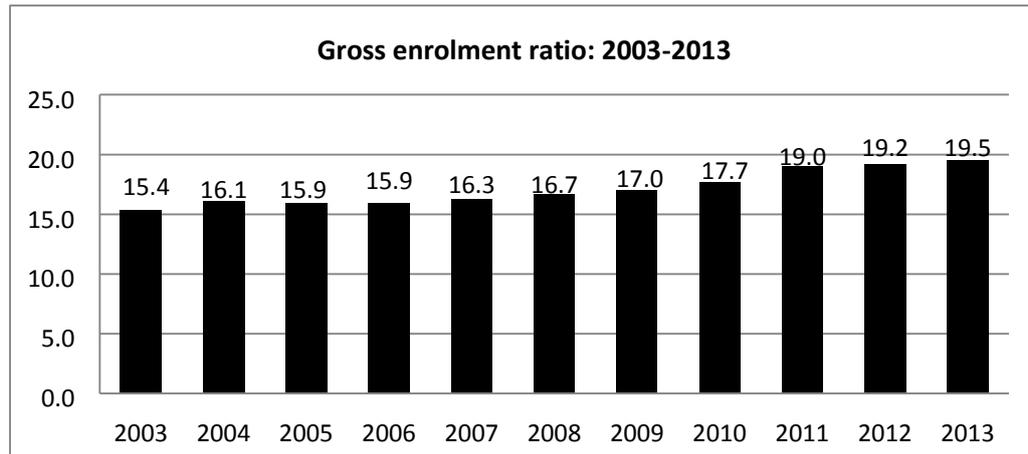


Figure 3.1: Gross enrolment ratio in higher education 2003-2013

Nationally it can be noted that there has been a steady increase in the gross enrolment ratio over the eleven year period from 2003 to 2013. The participation rate increased by 4.6% from 15.4% to 19.5% in 2013, and the system is on track to achieve the 20% target within the time frame set by the National Plan on Higher Education.

Focusing on student headcount enrolments, the higher education system has been expanding rapidly and student enrolment at universities has increased significantly from 705,255 in 2003 to 983,698 in 2013.

Table 3.1 shows how the participation rate between 2003 has changed by race and gender.

Table 3.1: Participation rate by race and gender, 2003-2013

Race	Gender	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013
African	Male	10.1	10.6	10.4	10.3	10.8	11.3	11.3	11.8	12.9	13.1	13.4
	Female	12.2	13	12.9	13	13.8	14.6	15.3	16.5	18.4	19.1	19.5
	Total	11.1	11.8	11.6	11.7	12.3	13	13.3	14.1	15.6	16	16.5
Coloured	Male	10.2	11	10.9	11.2	11.2	11.2	11.6	12.4	12	11.1	11.2
	Female	11.9	13.1	13.9	15.1	15.6	15.8	17	18.5	18.4	17.4	17.9
	Total	11.1	12.1	12.4	13.2	13.4	13.5	14.3	15.5	15.2	14.2	14.5
Indian	Male	45	46.2	45.1	44.1	42.3	37.9	37.4	37.4	39.8	38.2	39
	Female	52.8	55.5	56.1	57.2	54.7	51.8	52.8	54.2	56.9	56.8	59.2
	Total	48.9	50.9	50.6	50.7	48.5	44.7	44.9	45.6	48.4	47.4	48.9
White	Male	61.1	60.7	57.5	55.4	53	51.6	53.1	52.1	51.3	48.8	48.3
	Female	66	66.6	63.6	63	61.5	61.5	64	62.8	63.7	60.8	61.3
	Total	63.5	63.6	60.6	59.2	57.2	56.5	58.5	57.4	57.4	54.7	54.7
Total	Male	14.2	14.7	14.4	14.3	14.4	14.7	14.6	15	15.9	15.9	16
	Female	16.6	17.5	17.4	17.6	18.1	18.6	19.3	20.4	22.1	22.6	22.8
	Total	15.4	16.1	15.9	15.9	16.3	16.7	17	17.7	19	19.2	19.5

The table shows that:

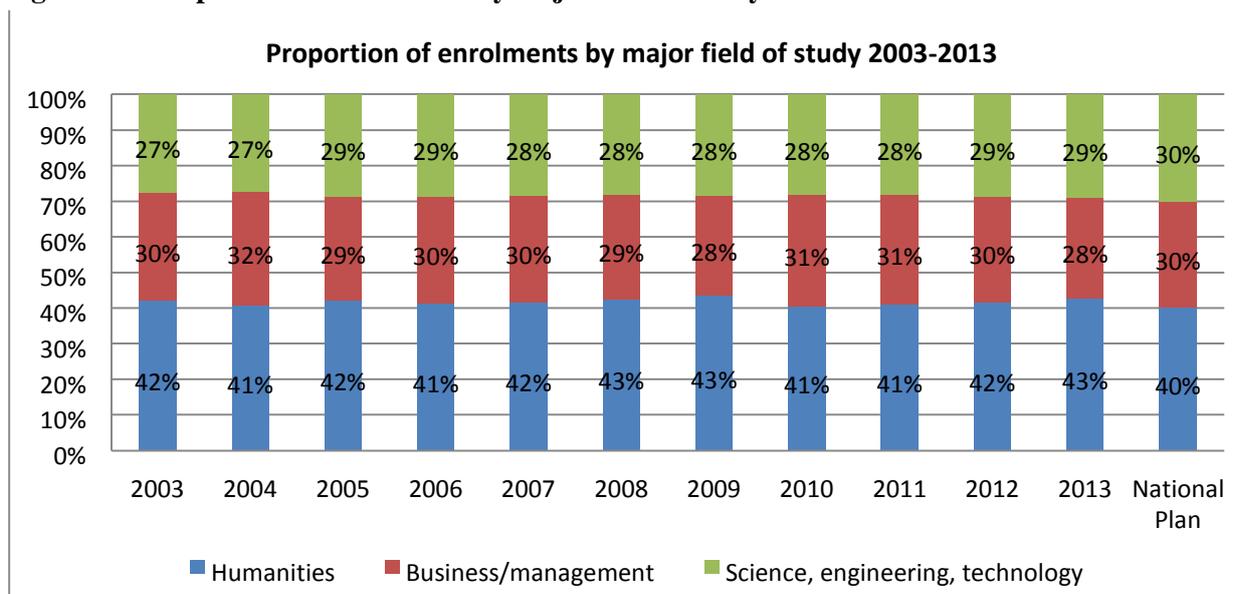
- African students participation rate increased from 11.1% (423,366 students) in 2003 to 16.5% (689,503 students) in 2013;
- Coloured students participation rate increased from 11.1% (42,780 students) in 2003 to 14.5% (61,034 students) in 2013;
- Indian students participation rate in 2003 was 48.9% (51,651 students) and in 2013 it was also 48.9% (53,787 students);
- White students participation rate decreased from 63.5% (185,227 students) in 2003 to 54.7% (171,927 students) in 2013; and
- for all groups, the participation rate of females is greater than the male participation rate.

Whilst the participation rate of African and Coloured students has increased from 2003, these groups still fall some way short of the 20% target. Conversely, the participation rates of Indian and White students are substantially above the 20% target. Continued attention will need to be paid to this area.

3.2 Enrolments by fields of study

The National Plan on Higher Education (2001) indicated that the Ministry will intentionally steer enrolments in the major fields of study to better align them to the human resource needs of the country, and that the Plan would seek, over the next five to ten years to “shift the balance in enrolments between the humanities, business and commerce and science, engineering and technology from the current ratio of 49%: 26%: 25% to a ratio of 40%: 30%: 30% respectively”.(National Plan on Higher Education, 2001, p 26.)

Figure 3.2: Proportion of enrolments by major field of study from 2003 to 2013



In terms of attaining the proportions of enrolments of 40% Humanities (a combination of education and other humanities); 30% SET and 30% Business and management,

- the proportion of humanities enrolments increased from 42% in 2003 to 43% in 2013;
- the proportion of business and commerce enrolments decreased from 30% in 2003 to 28% in 2013; and
- the proportion of science, engineering and technology enrolments increased from 27% in 2003 to 29% in 2013.

Actual enrolments by major field of study indicate the following from 2003 to 2013:

- science, engineering and technology enrolments have increased from 193,864 in 2003 to 283,622 in 2013;
- business and management enrolments have increased from 215,065 in 2003 to 279,954 in 2013; □ education enrolments have increased from 105,598 in 2003 to 172,991 in 2013; and □ other humanities enrolments have increased from 190,723 in 2003 to 247,131 in 2013.

The growth in SET and Education is necessary to support the country's scarce skills areas. During the enrolment planning cycle for 2011/12-2013/14, a focus was placed on certain scarce skill areas that were listed as part of the Minister's Performance, Monitoring and Evaluation (PME) targets, namely: engineering sciences; human and animal health; natural and physical sciences; and initial teacher education. Focusing on the enrolments by major field of study, the SET growth supports the increase in scarce skills areas in professions such as engineering, animal and human health and natural and physical sciences; and education which supports the initial teacher education scarce skill area.

In 2013, the number of enrolments by scarce skill area was as follows:

- 73,518 enrolments in engineering;
- 42,811 enrolments in life and physical sciences;
- 39,671 enrolments in human health;
- 1,719 enrolments in animal sciences;
- 1,045 enrolments in veterinary sciences; and
- 103,917 enrolments in initial teacher education

3.3 Enrolments in Science, Engineering and Technology by race and gender

There has been a conscious intention in South Africa to increase headcount enrolments in Science, Engineering and Technology (SET) through increasing its share of the total headcount enrolments across all fields of study. Likewise, efforts have also been made to increase Black and women participation in SET. The table below compares SET enrolments in 2003 and 2013.

Table 3.2: SET enrolments in 2003 and 2013

Year	African	Coloured	Indian	White	Unkn wn	Female	Male	Unkn own	Total SET	Total Enrol
2003	107,277 (55.3%)	11,002 (5.7%)	16,954 (8.7%)	58,405 (30.1%)	226 (0.1%)	87,060 (44.9%)	106,804 (55.1%)	0	193,864 (27.5%)	705,255
2013	188,810 (66.6%)	16,158 (5.7%)	16,958 (6%)	59,193 (20.9%)	2,513 (0.9)	129,009 (45.5%)	154,612 (54.5%)	2	283,622 (28.8%)	983,698

The table shows that:

- SET headcount enrolments enjoyed a 27.5% share of total headcount enrolments across all fields of study (705,255) in 2003. By 2013 this had increased only marginally to a 28.8% share of the total headcount enrolments (983,698);
- the % of African headcount enrolments in SET increased from 55.3% in 2003 to 66.6% in 2013 – an increase of 11.3%;
- the % share of SET headcount enrolments of Indian and White students decreased from 2003 to 2013, with the share of Indian students decreasing by 1.7% and that of White students decreasing by 9.2%;
- the % share of headcount enrolments in SET increased marginally by 0.6% between 2003 and 2013;
- while the overall share of headcount enrolments across all fields of study for female students is greater than that of male students, female students continue to have a smaller share of enrolments in SET; and
- increasing numbers of students are, as is their constitutional right, not declaring their population group. They are identified in the HEMIS data as “unknown”. It is noted that the number of students of “unknown” populations group increased tenfold from 226 to 2513 from 2003 to 2015.

Therefore, whilst good progress has been made in increasing the share of African student SET headcount enrolments to 66.6%, the total SET share has not grown in the same proportion as the overall increase of African students in universities, which was 72% in 2013. The participation of female students has also not grown in any meaningful way compared to the overall proportion of females in higher education, which was 58% in 2013.

4 Undergraduate student success

4.1 Tracking undergraduate student success through cohort studies

Cohort studies enable throughput and dropout rates for specific cohorts of students to be determined and these provide the most reliable indication of student success in the higher education system.

Cohort studies are the study of first time entering undergraduate students, who in the data presented here, have been tracked over a 10 year period to determine the percentages who have dropped out from their studies or who have completed their studies. The purpose of extending the study over a 10 year period is to take cognizance of the distance education method of educational provisioning.

The DHET now has the ability to regularly and reliably conduct cohort studies and has recently conducted 2000-2012 cohort studies, focused on university 3 and 4 year undergraduate programmes from which the data in the tables below have been drawn.

The three and four year undergraduate programmes included in the cohort study are the National Diploma, Bachelor of Technology, undergraduate diplomas and certificates and professional 1st bachelor degrees.

In terms of the methodology used for the DHET cohort studies:

- only South African students are considered and the student's identity number is used to track progress;
- if a student drops out from one university and enters another institution, the student is not treated as a dropout;
- students who change courses are not treated as dropouts; and
- students who dropout and return at a later stage are accounted for.

4.2 Is overall success in the university system improving?

Attrition (dropout %) is one side of the success coin. The other side is throughput (graduate %).

An effective and efficient system is one that retains the students it admits **and** enables as many students as possible to complete their studies in regulation time⁶ or as close to it as possible, obviously without compromising quality.

Table 4.1 shows the cumulative percentage of students that dropout after successive years of study, for the student cohorts that entered 3 and 4 year university programmes from 2000 to 2012.

Table 4.1: Cumulative national dropout % by year (contact and distance programmes)										
Intake year	Number	DROPOUTS (%)								
	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8	Year 9	Year 10
2000	98095	31.5	36.9	41.3	44.3	45.5	46.7	47.3	47.0	47.1
2001	110279	29.6	38.4	41.8	44.4	47.0	48.0	47.8	47.9	47.3
2002	122945	30.9	37.7	39.7	44.3	46.2	46.5	46.6	45.8	45.4
2003	127507	26.4	34.8	39.1	42.9	44.3	44.5	43.7	43.2	42.9
2004	125823	26.9	35.3	38.7	41.7	42.7	42.3	42.1	41.9	41.0
2005	115311	25.1	33.4	35.6	37.9	38.5	38.8	38.7	37.8	
2006	119467	27.5	34.0	35.6	37.4	38.0	38.4	37.6		
2007	130150	26.3	32.1	33.3	35.7	36.6	36.3			
2008	129976	24.5	30.1	31.4	33.6	34.0				
2009	144035	21.1	27.0	28.7	29.9					
2010	147887	20.0	26.8	27.1						
2011	156929	21.3	26.4							
2012	150012	19.1								

The table shows that:

- after 1 year of study, 31.5% of the student cohort that entered in 2000 had dropped out. For the student cohort that entered in 2012, this figure had reduced to 19.1%;
- after 5 years of study, 44.3% of the student cohort that entered in 2000 had dropped out. For the student cohort that entered in 2009, this had decreased to 29.9%; and
- after 10 years of study, 47.1% of the student cohort that entered in 2000 had dropped out. For the student cohort that entered in 2004, this had decreased to 41%.

⁶ For a 3 year contact programme, 3 years would be regulation time, and for a four year programme it would be four years. The data presented here is for 3 and 4 year programmes combined. Graduate % after 5 years is selected as a point of comparison.

Clearly the system is becoming more successful in retaining students. This is despite the greatly increased numbers of student enrolments, and the reported increase in the number of learners entering higher education who are unprepared or underprepared for higher education studies.

Earlier cohort studies and other analyses highlighted the major problem of first year attrition, and the DHET and other role-players have implemented a range of initiatives to specifically address this problem including increased NSFAS funding, significant investment in student housing, foundation provision and teaching development grant activities such as first year experience programmes, academic development programmes, tutorial and mentoring programmes. These and other strategies implemented by universities and other role-players appear to be making a positive difference and the first year attrition is steadily decreasing as shown above.

The improvement becomes more apparent when only the contact programmes are considered, given that one university of the 23 under consideration was largely responsible for distance enrolments during this time.

Table 4.2: Cumulative national dropout % by year (contact programmes)										
Intake Year	Number	DROPOUTS (%)								
		Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8	Year 9
2000	70994	23.6	29.6	34.9	39.0	40.2	41.7	42.1	42.1	42.0
2001	81303	22.6	32.4	36.6	39.5	42.5	43.4	43.7	43.6	43.6
2002	90365	25.6	32.9	34.1	39.8	42.0	42.8	42.8	42.6	42.5
2003	96243	20.3	28.1	32.9	37.6	39.5	39.9	39.9	39.9	39.8
2004	94891	20.1	28.9	32.4	36.6	37.7	38.0	38.2	38.2	37.9
2005	85408	19.1	26.2	28.9	31.5	32.9	33.6	33.8	33.5	
2006	83518	18.1	24.7	25.7	28.5	30.0	30.5	30.5		
2007	88523	17.5	22.9	23.8	27.2	28.5	29.2			
2008	92387	16.6	22.0	23.4	26.2	27.5				
2009	109869	17.4	22.6	24.1	26.5					
2010	108055	15.4	21.1	21.4						
2011	104393	14.8	19.2							
2012	104723	14.4								

The table shows that:

- after 1 year of study, 23.6% of the student cohort that entered in 2000 had dropped out. For the student cohort that entered in 2012, this figure had reduced to 14.4%;
- after 5 years of study, 39% of the student cohort that entered in 2000 had dropped out. For the student cohort that entered in 2009, this had decreased to 26.5%; and
- after 10 years of study, 42% of the student cohort that entered in 2000 had dropped out. For the student cohort that entered in 2004, this had decreased to 37.9%.

The dropout rate for 3 and 4 year programmes is improving and can be improved even further. The dropout rate in distance programmes has a significant negative impact on the overall national dropout rate and particular attention should be paid to this.

Graduate %

For 3 and 4 year contact programmes in an efficient system, one would expect by year 5, the majority of students would have graduated. Table 4.3 shows the cumulative graduate % for 3 and 4 year contact programmes.

Table 4.3: Cumulative national graduate % by year (contact programmes)

Intake Year	Number	GRADUATES (%)							
		Year 1	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8	Year 9
2000	70994	18.8	35.1	44.2	49.3	51.9	53.4	54.4	55.2
2001	81303	18.3	34.3	42.9	48.2	50.6	52.0	53.0	53.7
2002	90365	18.4	34.5	44.2	49.2	51.6	53.0	54.0	54.7
2003	96243	18.6	36.9	46.5	51.7	54.1	55.6	56.6	57.3
2004	94891	18.7	37.1	47.5	52.9	55.5	57.2	58.2	59.0
2005	85408	19.8	40.0	51.3	57.1	60.0	61.6	62.7	
2006	83518	20.6	41.9	53.5	59.7	62.7	64.5		
2007	88523	19.5	41.3	53.9	60.4	63.7			
2008	92387	19.3	41.8	54.6	61.4				
2009	109869	17.5	40.4	53.5					
2010	108055	19.9	44.0						
2011	104393	20.0							
2012	104723								

The table shows that for the 2000 cohort, 44.2% had graduated after 5 years, whilst for the 2009 cohort, 53.5% had graduated after 5 years – an increase of 9.3%. Whilst the increase does point to an improving system, it can be argued that a 53.5% graduation percentage after 5 years for 3 and 4 year contact programmes is not good enough.

The throughput is improving for 3 and 4 year programmes, but is still relatively low. The system is getting substantially better at retaining students, but needs to more effectively convert retention into graduation in regulation time or as close as possible thereto.

What strategies do we need to put in place to increase the regulation time graduate %, and so enable students to exit the system more efficiently? This will create capacity for the system to accommodate greater numbers of students.

4.3 Is success differentiated by race and gender?

The South African higher education system must provide all students with reasonable and equitable opportunities for success regardless of race, class, gender, language, disability and cultural background. HEMIS data enables an analysis of student success (in terms of dropout % and graduate %) based on race and gender background. Is the system addressing the historical legacy of inequality with respect to these two areas?

The figure below illustrates dropout % for 3 and 4 year university programmes (contact and distance) after 1 year of study for the 2000 cohort and the 2012 cohort, by race and by gender.

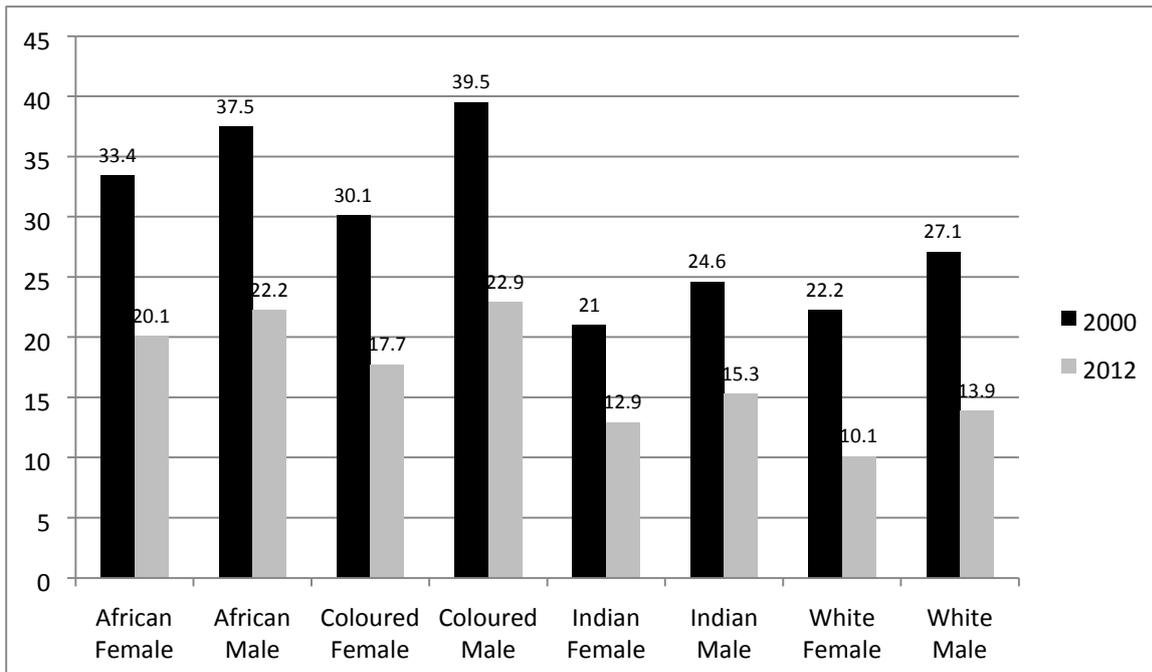


Figure 4.1: % national dropout after 1 year of study by race and gender for the 2000 and 2012 cohorts into 3 and 4 year university undergraduate programmes

Figure 4.1 shows that:

- in keeping with the overall national trend, the first year dropout rate has substantially decreased from 2000 to 2012 for all the groups depicted above;
- within each race group, for both years, females enjoy a lower dropout rate than males;
- Coloured males are the group at most risk of dropout after the first year, followed by African males, then African females, then coloured females. This is true for 2000 and for 2012;
- White females are the group that are best retained after 1st year, followed by Indian females, then white males, then Indian males; and
- Whilst the retention rate is increasing for all groups, disaggregated data still demonstrate apartheid – era patterns of inequality.

The figure below illustrates graduation % for 3 and 4 year university programmes (contact) after 5 years of study for the 2000 cohort and the 2009 cohort, by race and by gender.

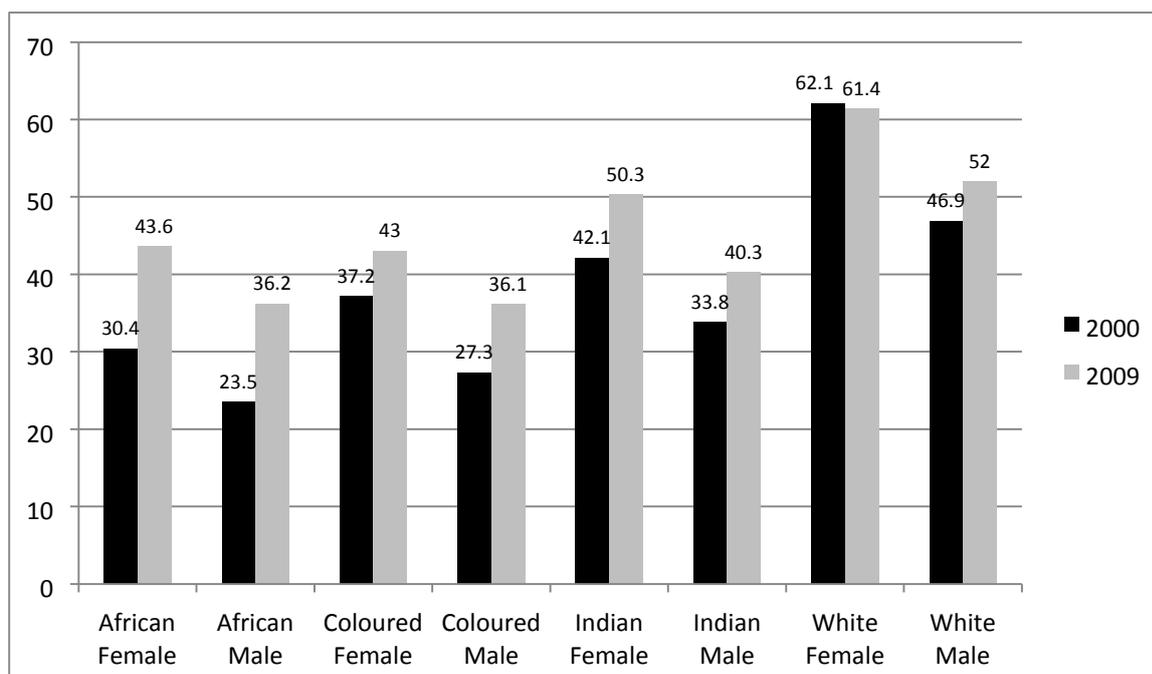


Figure 4.2: % national graduates after 5 year of study by race and gender for the 2000 and 2009 cohorts into 3 and 4 year university undergraduate programmes

Figure 4.2 shows that:

- despite a small decrease in graduate % after 5 years for the 2009 cohort compared to the 2000 cohort, white females have the best chance (61.4%) of graduating in regulation time or close thereto;
- the graduate % for the 2009 cohort for all other groups increased when compared to the 2000 cohort, with the change being greatest for African females (13.2% increase) and African males (12.7% increase);
- besides white females and white males, by 2009 all other groups had a 50% or less chance of completing in regulation time or close thereto;
- Coloured males (36.1%) and African males (36.2%) had, by 2009, the smallest chance of graduating in regulation time or close thereto; and
- while the graduation % is increasing for all the groups shown, disaggregated data still demonstrate apartheid –era patterns of inequality

Do we need to develop more nuanced strategies and targeted approaches to improve the chance of greater numbers of students from “at risk” groups graduating in regulation time or closer to it?

4.4 How is success differentiated by institution?

National averages regarding student success are useful because they allow us to identify systemic challenges and put systemic responses to these in place. However national averages hide performance at individual institutions, both excellent and poor performance. Increasingly there are calls for frank acknowledgement that performance across the system is highly differentiated and that approaches are needed which take into account what the situation at individual institutions is, and which puts in place differentiated strategies to strengthen performance where it needs strengthening.

The table and figure below is based on data drawn from a cohort study on the 2005 intake into 3 and 4 year undergraduate programmes at individual universities. For each university, the drop-out % after 1 year

(2006) and the graduate % after 5 years of study (2009) and after 9 years of study (2013) is shown. To enable comparison, the national figures for the same years are also shown.

The institutions are ordered from highest to lowest in terms of first-time entry enrolment share.

The table and figure show that:

- universities that are better able to retain students after the first year, and that have less than 15% first year dropout included UP (11.3%); UKZN (12.3%); NWU (12.7%); UL (13.8%); WITS (13.2%) and UCT (8.6%);
- universities that are within 5 percentage points below, or that are above the national average for 1st year dropout % by 2006 include UNISA (44.9%); TUT (26.5%); CPUT (21.8%); WSU (23.8%); VUT (21.2%); NMMU (21.3%); UNIVEN 27%; and UZ (23%). As indicated previously the UNISA dropout rate is particularly alarming; and
- 2009 represents completion of five years of study for the 2005 student cohort, and it could reasonably be expected that the majority of students in full-time programmes would have completed by then. This is only true for less than half (11) of the universities: UJ (52.8%); CPUT (52.5%); UP (62.9%); UKZN (65.3%); NWU (63.4%); UL (56.5%); SUN (67.3%); WITS (60.3%); UCT (70.6%); CUT (55.9%) and RU (75.6%). Three universities have a 2009 graduate % less than 40%: TUT (37.9%); WSU (37.2%) and VUT (35.9%). Clearly, much effort is needed across the majority of universities to improve the throughput rate.

Table 4.4: 2005 First-time entry enrolments, 2006 dropout %; and 2009 and 2013 graduate % for public universities.

	NAT	UNISA	TUT	UJ	CPUT	UP	DUT	WSU*	UKZN	NWU	UL*	VUT	UFS	SUN	WITS	NMMU	UCT	UNIVEN*	UWC*	UZ*	MUT*	CUT	UFH*	RU
FTEN	100	25	9.3	6.5	5	5	4.8	4.3	4.2	3.7	3.6	3.3	2.9	2.9	2.7	2.6	2.5	2.2	2	2	1.8	1.3	1.3	0.8
2006 D/O	25.2	44.9	26.5	19.6	21.8	11.3	19.8	23.8	12.3	12.7	13.8	21.2	15.6	12.5	13.2	21.3	8.6	27	18.3	23	17	18.7	17	12.5
2009 Grad%	40.7	8.7	37.9	52.8	52.5	62.9	46.1	37.2	65.3	63.4	56.5	35.9	47.3	67.3	60.3	49.7	70.6	41.7	48.4	44.7	47.5	55.9	47.7	75.6
2013 Grad%	52.5	18.6	51.3	64.7	63.9	78.6	60.5	47.2	78.6	71.8	68.6	49.9	59.4	80.8	79.5	61.7	86	51.8	58.8	50.8	55.7	67	60.1	83.9

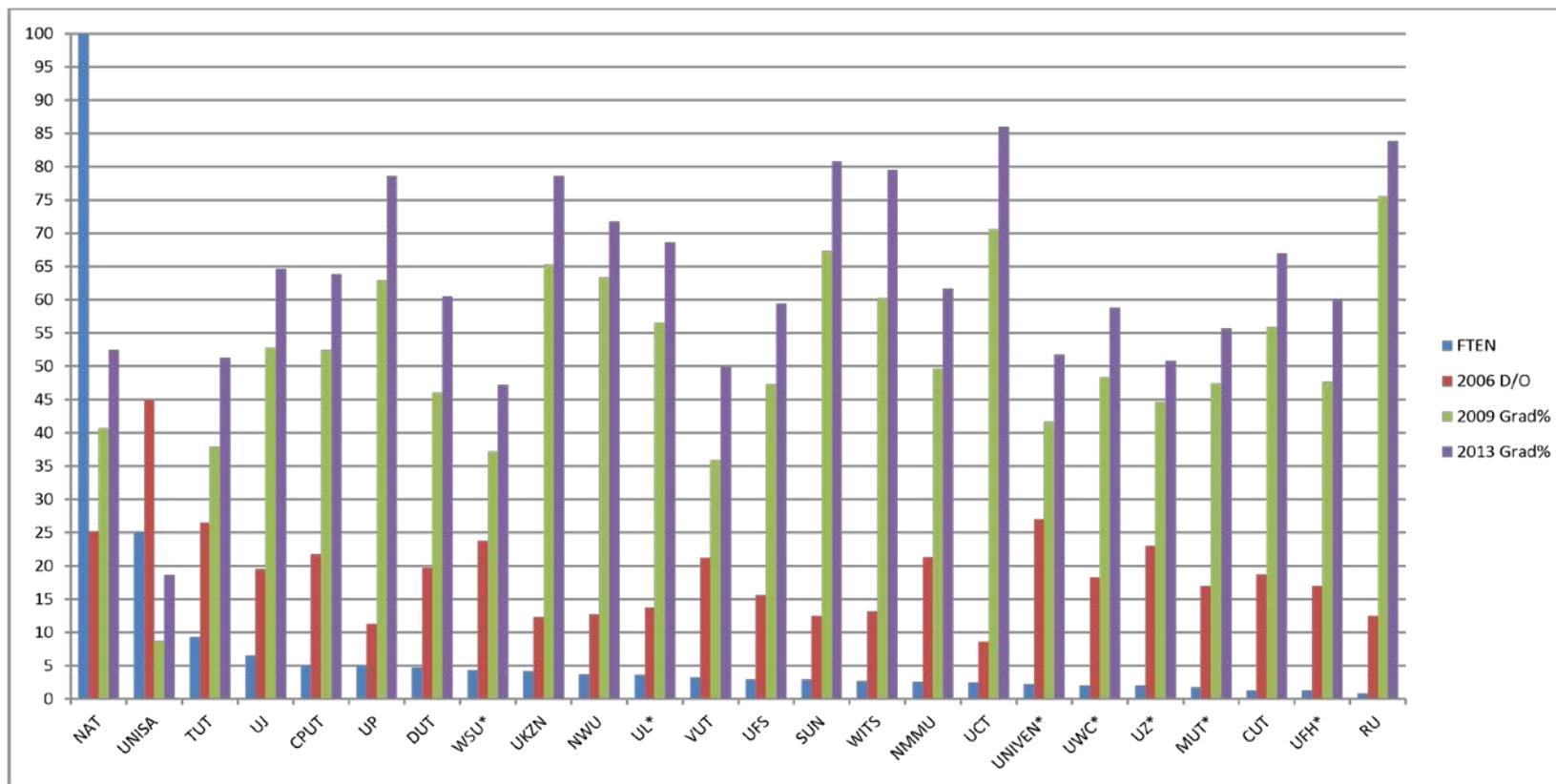


Figure 4.3: 2005 First-time entry enrolments, 2006 dropout %; and 2009 and 2013 graduate % for public universities.

- the large majority of UNISA students study part-time and it is expected that there would be low graduate numbers after 5 years of study. However, this should increase substantially after 9 years of study, but is not the case, as only 18.6% of the 2005 cohort had graduated after 9 years.

These data clearly show that we have a highly varied public higher education system with respect to student success. There are universities that have a low first year dropout rate and a high completion rate to graduation in regulation time or close thereto. Generally but not exclusively, these are the historically advantaged universities. We need targeted strategies to address the higher dropout rate and lower graduation rate at institutions where this is the case. These should be based on a clear understanding of the factors impacting on student success at each university. Data analytic capacity at institutional level should be strengthened across the system so that individual institutions can identify and understand prevailing patterns and put strategies in place to address them.

4.5 Is success differentiated by field of study?

National averages for programmes also mask performance differences that may exist with respect to field of study.

The figure below shows the dropout % for two cohorts of students after 1 year of study in different fields.

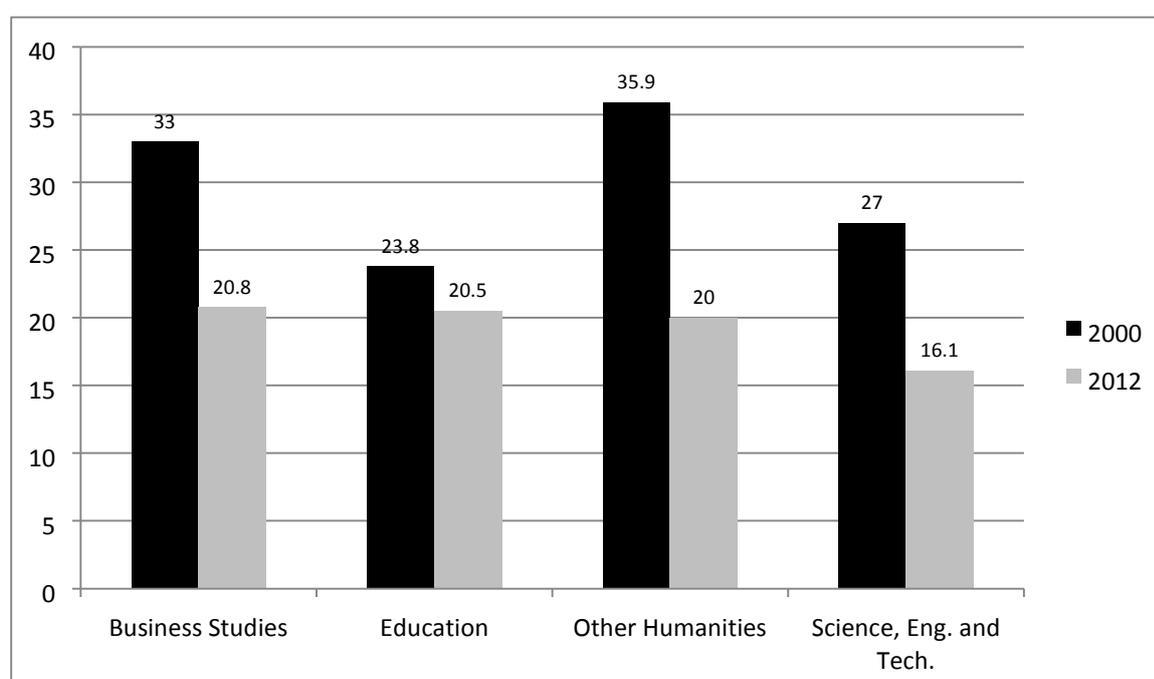


Figure 4.4: % national dropout after 1 year of study in different fields for the 2000 and 2012 cohorts into 3 and 4 year university undergraduate programmes

The figure shows that:

- between 2000 and 2012 the first year dropout rate has decreased significantly across all fields of study with business studies and humanities showing the greatest decrease; and
- the SET field shows the lowest dropout rate (16.1%) for the 2012 cohort.

The figure below shows the graduate % for two cohorts of students (3 and 4 years contact and distance programmes) after 5 years of study in different fields.

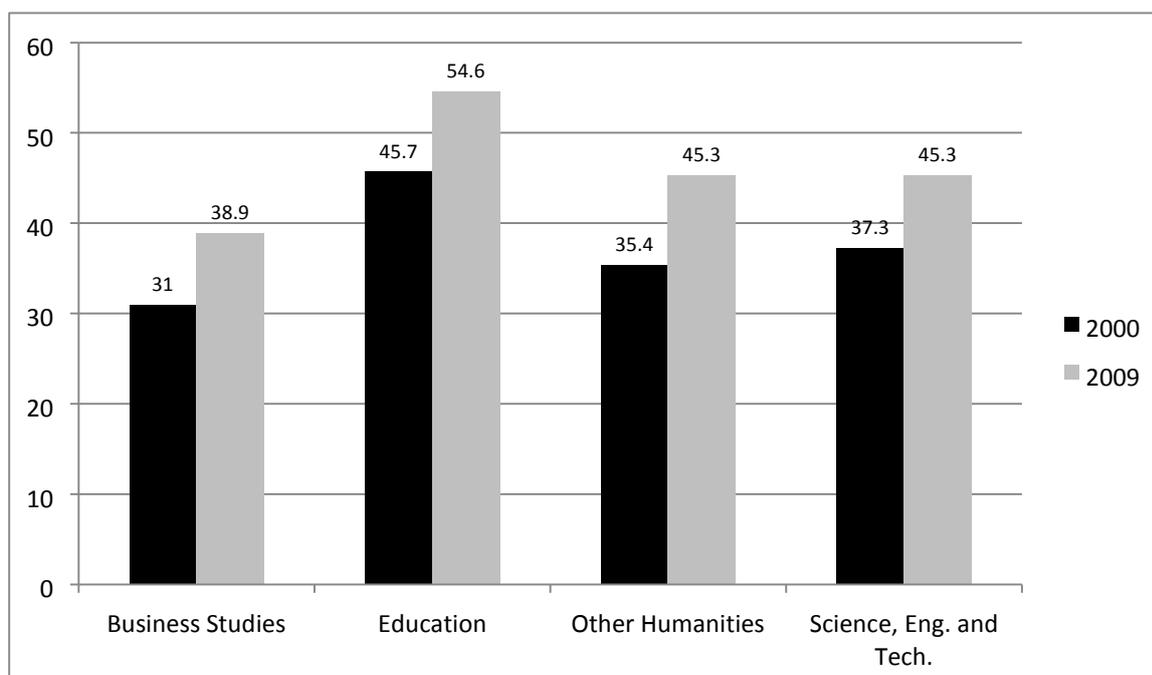


Figure 4.5: % national graduates after 5 year of study in different fields for the 2000 and 2009 cohorts into 3 and 4 year university undergraduate programmes

The figure shows that:

- for both the 2000 cohort and the 2009 cohort, the graduate % after 5 years of study has increased in all the fields and
- for both cohorts, the business studies group has the least graduate % after 5 years, whilst the education group has the highest. The education group is the only group that has a graduate percentage greater than 50% for the 2009 cohort.

Clearly, efforts to decrease dropout rates and increase graduation rates are having a positive impact across all study fields. There appears to be greater convergence across fields with respect to the dropout rate around the 20% mark. It is probably unreasonable to expect a zero dropout rate. However we do need to define what would be a reasonable dropout rate in our context, and to put in place strategies to achieve such. International comparative studies need to be done to set the benchmarks.

Graduation rates show greater variation across fields of study, and there is clearly room for improvement across all, but particularly in the business studies field.

We do need to drill down to more differentiated levels in this type of analysis and to identify what the success patterns are within disciplinary and subject areas in each of these broad fields. This will enable more targeted improvement strategies to be implemented. This level of analysis is probably best done at the institutional level, and in fact is already been done by some institutions. Data analytic capacity to carry out this level of analysis and to develop and implement productive strategies to address the issues that such analyses may highlight, needs to be built consistently across the system.

5 Postgraduate student success

5.1 Introduction

The National Development Plan (NDP) published in 2013 stresses that: “Higher education is the major driver of information and knowledge systems that contribute to economic development” (p 317). The importance of the growth of the research and innovation sector cannot be overemphasized. This is dependent on a successful and productive post-graduate sector within our universities.

Post-graduate programmes include honours level degrees and post-graduate diploma programmes which articulate to Master's degree programmes. The main focus in this section is on the growth in and nature of Masters and Doctoral graduates from 2003 to 2014,

The National Plan for Higher Education (NPHE, 2001) identified a number of targets and indicators, which will be used in this analysis to consider the extent to which transformation at the postgraduate level has taken place.

The indicators that are considered here are:

- The **growth of PG outputs** at the Masters and Doctoral level;
- **Growth** in research Masters as opposed to non-research Masters;
- **Demographic profile** of graduates, especially of blacks and women;
- **Fields of study** (to shift from humanities towards SET and Business and Management);
- Improving **throughput** of Masters and Doctoral students
- Increased recruitment of international students, particularly from the South African Development Community (SADC) (the SADC protocol on education suggests 5% of spaces)

In what follows, data on Masters and Doctoral graduates over the twelve-year period from the 2003 academic year through to the 2014 academic year, for which reliable HEMIS audited data are available are considered. This is followed by a discussion on the throughput of students in Doctoral programmes. The analysis is then utilised to answer/pose some questions, including:

- to what extent has the system transformed over this period?
- what are the critical policy and considerations given this analysis? and,
- How should we reimagine transformation at the PG level in the South African public higher education system?

5.2 Changes in the proportions of research and non-research Masters (2003 – 2014)

HEMIS distinguishes between research Masters, which represent the thesis based proportion of Masters programmes, and non-research Masters, which represent the coursework proportion of Masters programmes. The research portion of a single Masters may vary from about 25% through to 100%, depending on the particular programme, its focus and curriculum design.

Figure 5.1 shows the comparative growth of research Masters against non-research Masters.

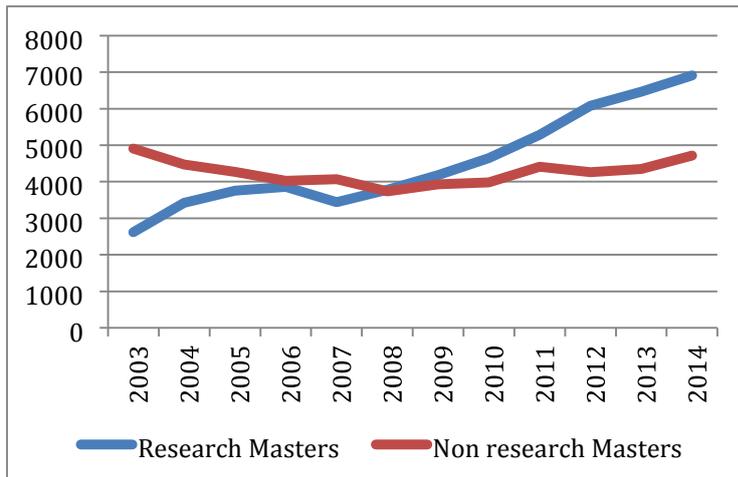


Figure 5.1: Number of research and non-research Masters graduates, 2003 to 2014

Figure 5.1 shows that the focus has moved towards a greater proportion of research masters over the years, likely driven by the funding framework, which rewards research outputs. The proportion of research overtook coursework elements in 2008. While this can be seen as a positive change in terms of improved research productivity, questions could be asked about the impact it had on the quality, depth and breadth of learning and knowledge acquisition as a result of less coursework.

5.3 Growth in Masters graduates overall and by field of study (2000 – 2013)

The total number of Masters graduates as well as the number of graduates in the various fields of study over the period are shown in Figure 5.2.

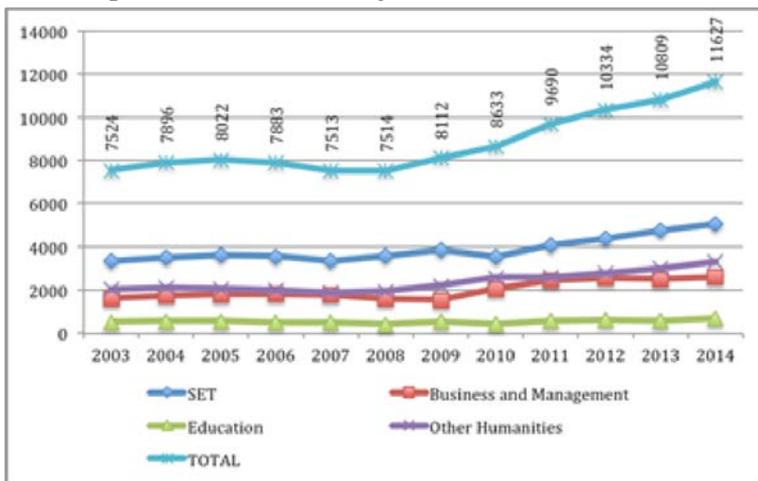


Figure 5.2: Number of Masters Graduates by field of study, 2003 to 2014

Figure 5.2 shows that:

- the output of M graduates from 2003 to 2014 grew at an average annual rate of 4.5% per annum. While there was a dip in the number of graduates from 2005 to 2008 (-2.1% growth), there has been a steady growth since 2008 at an average annual rate of 7.8% per annum;
- the majority of graduates are in the SET fields, followed by the humanities (excluding education) and Business and Management;
- the growth of M graduates in each of these fields over the years is as follows: SET, an annual average growth of 4.2% per annum (from 3346 M graduates in 2003 to 5037 in 2013); Other Humanities, an average annual growth of 4.8% per annum (from 2102 M graduates in 2003 to 3305

in 2013); Business and Management, an average annual growth of 5.1% per annum (from 1608 M graduates in 2003 to 2594 in 2013); Education, an average annual growth of 4.8% per annum (from 524 M graduates in 2003 to 691 in 2013); and

- the greatest average annual growth in M graduates has been in Business and Management fields, and the lowest in Education,

Figure 5.3 shows that in general the proportion of graduates across the fields have remained more or less the same over the years.

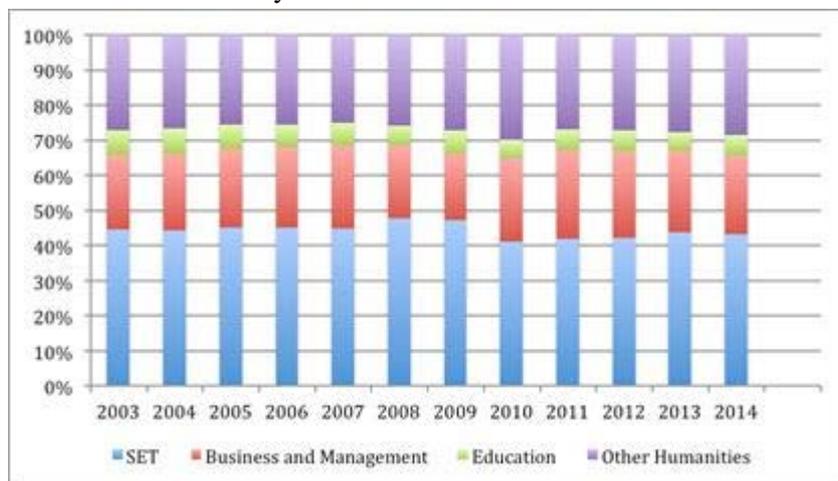


Figure 5.3: Fields of Masters graduates: 2003 to 2014

The National Plan for Higher Education (DoE, 2001) sought to change the focus of studies from the humanities towards the sciences and business and management. This has happened in undergraduate programmes, but it is clear from figure 5.3 that there has been no significant shift at the Masters level. The proportion of Masters graduates in SET needs to increase to over 50% if NDP targets are to be met.

5.4 Race profile of Masters graduates (2003-2014)

The 2014 mid-year population estimates released by Statistics South Africa show that Black Africans constitute approximately 80% of the total South African population, followed by Coloureds at 8.8%, Whites at 8.4%, and the Indians/Asians at 2.5%. In a truly transformed system it may be expected that we would have similar proportions of graduates at all levels in the system.

However a critical consideration in setting targets against the general population is the state of the Basic Education System. The pool of students coming into the university system is skewed towards those who have experienced a better quality of schooling, and therefore the pool does not match the general population. Therefore in this analysis comparisons need to be on the basis of the higher education population at undergraduate level, rather than on the general population statistics. These proportions, in 2014, were: 72% African; 16% White; 6% coloured; and 5% Indian (as compared with the proportions in 2003 of: 62% African; 25% white; 6% Coloured; and 7% Indian). It can immediately be noted that Africans and Coloureds are under-represented and Whites and Indians over represented when compared with the general population.

Figure 5.4 shows the demographic profile of M graduates according to South African population groups.

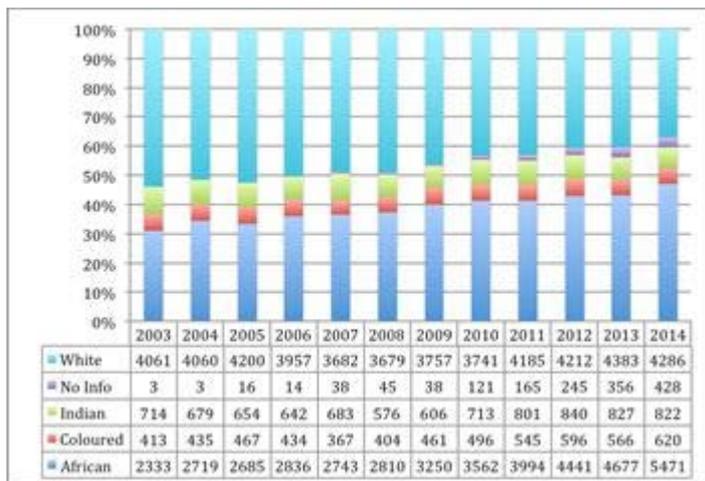


Figure 5.4: Masters Graduates by population group; 2003 to 2014

Figure 5.4 shows that:

- the number of African Masters graduates has more than doubled, increasing from 2 333 in 2003 to 5471 in 2014, an average annual growth of 11.2% per annum over the period. At the same time the number of white M graduates has increased very marginally from 4061 in 2003 to 4286 in 2014, that is an average annual growth of 0.5% per annum. Likewise the number of Indian and Coloured M graduates also increased at a much slower rate than African M graduates (Indian M graduates at an average rate of 1.3% per annum, and Coloured M graduates at 4.2% per annum);
- the proportion of African Masters graduates has increased from 31% in 2003 to 47% of in 2014, which is good news, however this is far cry from the general population statistic of 80%, or the overall higher education population enrolment at undergraduate level of 72% black African in 2014; and
- when the proportions of Coloured (5.5 % in 2003; 5.3% in 2014), Indian (9.5% in 2003; 7.1 in 2014) and White (54% in 2003; 36.9% in 2014) Masters graduates are compared with 2014 undergraduate enrolment proportions, it is seen that Indians (2.5% of UG) and Whites (25% of UG) are over represented and Coloureds are marginally under represented (7% of UG).

It is also interesting to note that over the years the number of students choosing to not disclose their population group has increased (from 3 in 2003 to 428 in 2014).

5.5 Profile of Masters graduates by race and field of study (2003-2014)

The NPHE (2001) highlighted the need to shift towards the SET and business and management fields.

Table 5.1 compares the proportion of Masters graduates by race and field of study in 2003 and 2014.

Table 5.1: Proportion of M graduates in each population group across different fields of study: 2003 and 2014

Year	TOTAL	SET	Business and Management	Education	Other humanities
African					
2003	2333	32.2%	16.1%	10.5%	41.3%
2014	5471	41.6%	22.7%	6.9%	28.7%
Coloured					
2003	413	28.8%	17.4%	10.9%	43.1%
2014	620	38.1%	22.6%	10.2%	29.2%
Indian					
2003	714	30.4%	30%	9.1%	30.5%
2014	822	46.8%	28.7%	5.6%	18.9%
White					
2003	4061	38.1%	23.3%	4.2%	34.4%
2014	4286	45.7%	21%	4.6%	28.7%

The table shows that for every population group there has been a marked shift towards SET fields, and in the case of Africans and Coloureds also a shift towards Business and Management fields. This was in line with the imperatives of White paper 3, and in line with the NPHE. However individually and collectively the proportion of SET graduates remains below 50%, the “at least” target set in the NDP.

5.6 Gender profile of Masters graduates (2003-2014)

Figure 5.5 shows the gender profile of Masters graduates from 2003 to 2014.

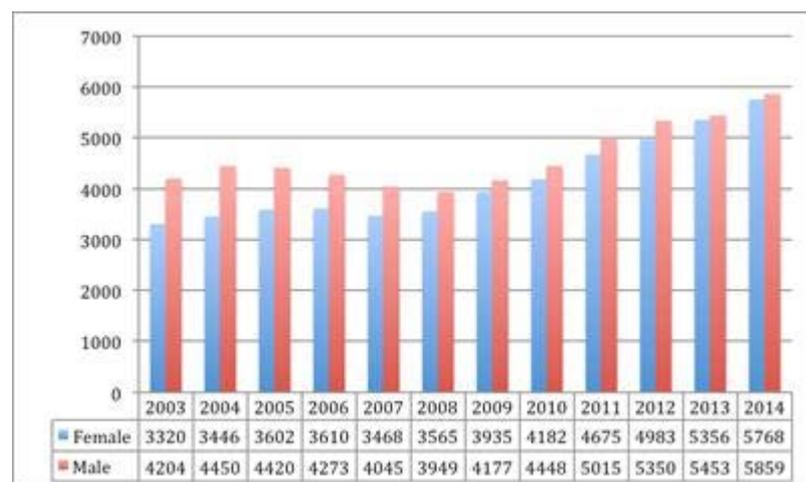


Figure 5.5: Number of Masters graduates by gender, 2003 to 2014

Figure 5.5 shows that:

- the majority of Masters graduates in 2003 were male (55.9%); and
- by 2014, this had shifted to a greater proportion of female M graduates (49.5%);

This is a significant move towards gender parity. However if one considers that in terms of the overall enrolment in universities, 58% (in the 2014 academic year) were female, then the M degree outputs are still skewed towards males, when compared to the general population in higher education. The Minister of Science and Technology (DST) has set a 55% target for women in PG programmes. We still have some way to go to reach this target.

5.7 Profile of Masters graduates with respect to gender and field of study (2003-2014)

Data with respect to the fields of study show that there has also been a shift from the humanities and education towards SET fields and Business and Management with respect to female graduates, as shown in Table 5.2 below.

Table 5.2: Proportion (number) of female Masters graduates in different fields of study: 2003 and 2014

Year	SET	Business and Management	Education	Other humanities
2003	33.9% (1126)	14.8% (493)	9.5% (314)	41.8% (1387)
2014	40.7% (2348)	18.7% (1081)	7.8% (447)	32.8% (1893)

5.8 Profile of Masters graduates by nationality (2003-2014)

One issue that is often raised in various quarters is the number of foreign post-graduate students studying in South Africa. While the inclusion of international students at our universities should be welcomed, is in line with one of the imperatives of the NPHE (DoE, 2002), and is required from South Africa in terms of a SADC protocol to which it is a signatory, it can be the case that if large numbers of successful graduates come from other African countries, then the data already examined above would not be a good reflection of the extent to which transformation imperatives are being achieved for South African students.

Table 5.3 shows the disaggregated numbers of Masters graduates that are South African nationals and foreign nationals (i.e. international graduates), separated into SADC graduates, graduates from other African countries and graduates from beyond Africa.

Table 5.3: Nationality of Masters graduates in 2003 and 2014

	No. of M Grads in 2003	% of M Grads in 2014	No. of M Grads in 2003	% of M Grads in 2014
SADC	482	6.4%	1505	12.9%
Other African	324	4.3%	795	6.8%
Other International	399	5.3%	307	2.6%
South African	6319	84%	9020	77.6%
Total	7524		11627	

The table shows that:

- the number of South African Masters graduates as a % of the total Masters graduates, was 84% in 2003 compared to 77% in 2014. This means that while the total number of South African M graduates grew, their proportion of all graduates decreased, while the proportion of international M graduates grew. This is a worrying trend; and
- the proportion of graduates from SADC countries doubled between 2003 and 2014, the proportion of graduates from other African countries also increased, whilst the proportion of graduates from countries beyond Africa decreased.

This implies that the overall increase in black African M students (shown in figure 5.4) to almost 50% of the total M graduates, is boosted significantly by foreign African nationals. Overall 22.4 % of all Masters graduates were foreign nationals in 2014.

5.9 Growth in doctoral graduates overall and by field of study (2003 – 2014)

The National Plan for Higher Education in South Africa (DoE, 2001) highlighted the importance of the growth in doctoral programmes, and noting that in 2001, approximately 0.8% of the total graduates from the public higher education system were doctoral graduates, set a target that at least 1% of graduates should be doctoral graduates by 2006. This target was achieved and by 2005, the percentage of doctoral graduates reached 1%. By 2014, the percentage is 1.2%.

Figure 5.6 below shows the growth in Doctoral graduates from 2003 to 2014, overall and by field of study.

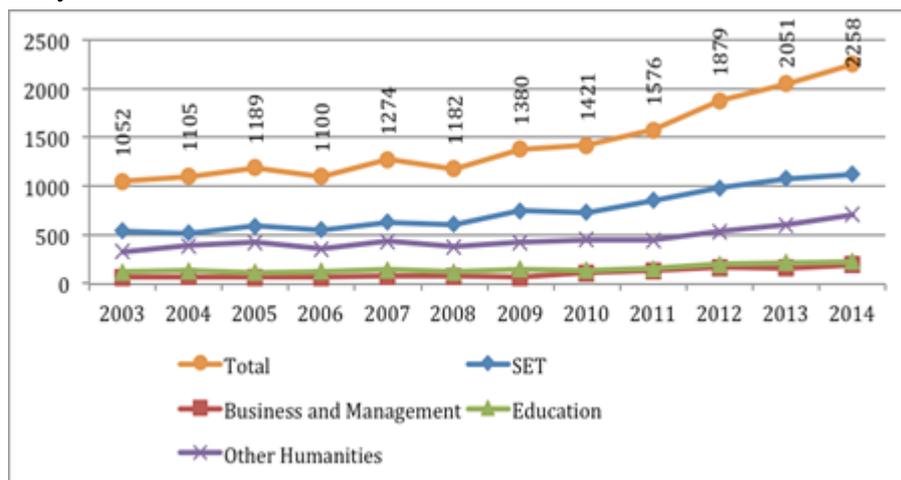


Figure 5.6: Number of doctoral graduates by field of study, 2003 to 2014

Figure 5.6 shows that:

- the number of doctoral graduates per annum increased from 1052 in 2003 to 2258 in 2014;
- between 2003 and 2008 the growth in graduates was small, at an average annual growth of 2.06% per annum. From 2008 to 2014, the numbers of Doctoral graduates almost doubled, from 1182 graduates in 2008 to 2258 graduates in 2014, an average annual growth of 13% per annum. This increase in the number of doctoral graduates coincides with the introduction of the Research Outputs policy in 2003, as well as other incentives in the system to support the growth of doctoral outputs put into place by the Department of Science and Technology; and
- the highest proportion of doctoral graduates is in the Science, Engineering and Technology fields, and this has consistently, since 2003 though to 2014, made up approximately fifty percent of doctoral graduates [in 2003, 51.6% (543 of 1052 doctoral graduates) and in 2014, 50.0% (1130 of 2258)]

While there has been significant growth in the output of doctoral graduates over the last seven years, this is still far short of the doctoral output per annum from the higher education system proposed in the NDP, an output of more than 5000 doctoral graduates per annum by 2030. To reach this output over the next fifteen years will require an average annual growth in doctoral graduates of 11% per annum. The current enrolment planning statement, which projects the public institutions growth in graduates up to the 2019 academic year, suggests an average annual growth of 6% per annum from 2014 to 2019. This projection is based on institutions analysis of the current fiscal situation. If the system is to grow to reach the NDP target for the growth in Doctoral graduates, significant additional funding will be required.

5.10 Race profile of Doctoral graduates (2003-2014)

Figure 5.7 shows the number of Doctoral graduates per population group from 2003 to 2014.

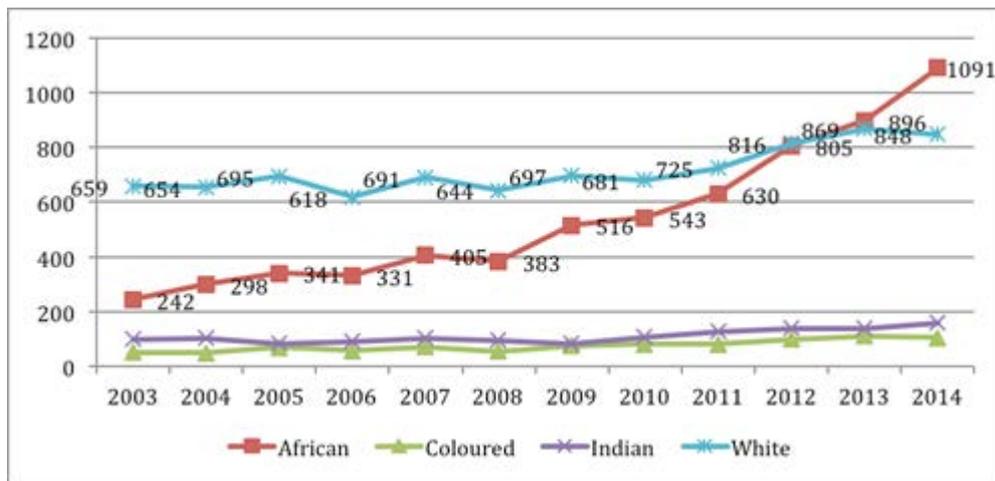


Figure 5.7: Number of doctoral graduates in public higher education institutions, by population group, from 2003 to 2014

The figure shows that:

- in 2003, the majority of doctoral graduates (62.6%) were White compared to 23% Black African, 9.4% Indian and 4.8% Coloured. By 2014 this had changed considerably with the majority of Doctoral graduates (48.3%) being Black African, compared to 37.5% White, 7.1% Indian and 2.3% Coloured;
- the greatest growth in doctoral graduates occurred in the Black African population (from 242 doctoral graduates in 2003 to 1091 in 2014, an average annual growth of 29.2%), while the growth in graduates of other race groups was much lower (average annual growth of 8.8% for Coloureds, 5.2% for Indians, and 2.4% for Whites) and
- the greatest movement occurred from 2008 onwards. This is a similar pattern to the Masters graduates.

If the system were perfectly balanced, one could expect the profile of doctoral graduates to reflect the general demographic profile of the higher education population, which it clearly does not. The system is still clearly biased towards White doctoral graduates, with the most under-represented being Coloured followed by African graduates.

5.11 Profile of doctoral graduates by race and field of study (2003 and 2014)

Table 5.4 shows the profile of doctoral graduates by race and field of study.

Table 5.4: Proportion of doctoral graduates in each population group across different fields of study; 2003 and 2014

Year	TOTAL	SET	Business and Management	Education	Other humanities
African					
2003	242	46.7%	4.5%	14.5%	34.3%
2014	1091	48.1%	8%	12.9%	31%
Coloured					
2003	51	54.9	2%	17.6%	25.5%
2014	106	48.1%	8.5%	17%	26.4%
Indian					
2003	99	39.4	12.1	18.2	30.3
2014	161	52.8	10.6	13.7	23
White					
2003	659	51.9	6.4	8.3	33.4
2014	848	51.5	9.1	5.4	34

The table shows that:

- there has been a significant shift towards SET for Indian students, a marginal shift by African students, a significant shift away from SET for Coloured students and a marginal shift away from SET for White students; and
- there has also been a proportional shift towards Business and Management for each group except Indian students.

5.12 Gender profile of doctoral graduates (2003-2014)

Figure 5.8 below shows the number of doctoral graduates by gender from 2003 through to 2014.

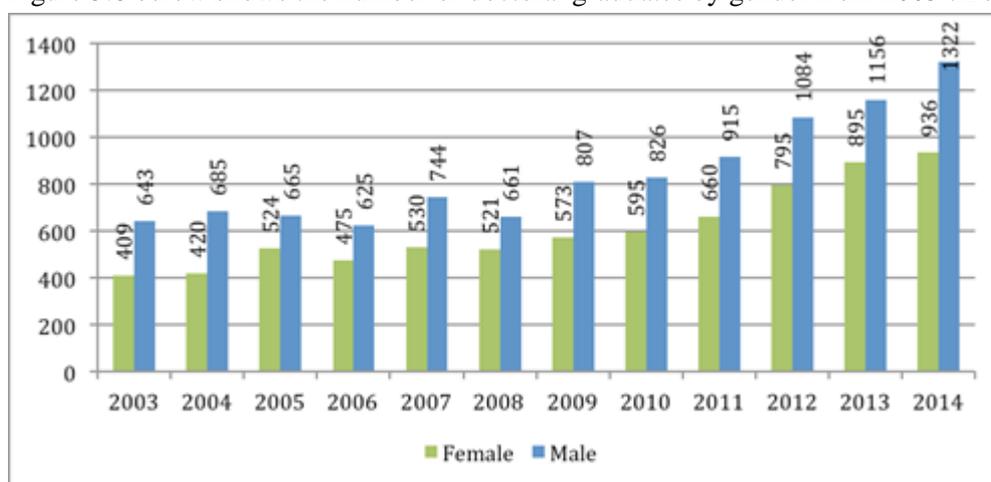


Figure 5.8: Number of doctoral graduates in public higher education institutions, by gender, from 2003 to 2014

The figure shows that whilst the outputs have increased over time, the proportion of female to male graduates has remained more or less static. While the percentage of females in the general population is approximately 54%, and overall, by the 2014 academic year the proportion of female student enrolments in higher education stood at 58%, the proportion of female doctoral graduates has remained fairly static over time, at around 40% of the graduates. This is a cause for concern. The system needs to grow the number and proportion of female doctoral graduates.

5.13 Profile of doctoral graduates by gender and field of study (2003 and 2014)

Data with respect to the fields of study show that there has also been a shift from the humanities and education towards SET fields and Business and Management with respect to female graduates, as shown in Table 5.5 below.

Table 5.5: Proportion (number) of female Doctoral graduates in different fields of study; 2003 and 2014

Year	Number	SET	Business and Management	Education	Other humanities
2003	3320	33.9%	14.9%	9.5%	41.8%
2014	5768	40.7%	18.7%	7.8	32.8%

5.14 Profile of doctoral graduates by nationality (2003 and 2014)

We also have to consider another variable before making any conclusions about the transformation of the system towards Black African doctoral graduates. To what extent is the profile a result of increased foreign doctoral students, particularly from the rest of Africa? Table 5.6 compares South African and Foreign doctoral graduates from 2003 to 2014.

Table 5.6: Nationality of doctoral graduates in 2003 and 2014

	No. of Doctoral Grads in 2003	% of Doctoral Grads in 2003	No. of Doctoral Grads in 2014	% of Doctoral Grads in 2014
Other foreign	114	10.8%	150	6.6%
Other African	75	7.1%	388	17.2%
SADC	40	3.8%	376	16.7%
South African	823	78%	1328	58.8%
Unknown	-	-	16	0.7%
Total	1052		2258	

The table shows that:

- in 2003 the proportion of doctoral graduates that were South African was 78%. By 2014, the South African proportion had decreased to 58,8%;
- the proportion of doctoral graduates from SADC countries increased from 3.8% in 2003, to 16.7% on 2014;
- the proportion of doctoral graduates from the rest of Africa increased from 7.1% to 17.2%; and the proportion of doctoral graduates from beyond Africa decreased from 10.8% to 6.6%.

A number of issues can be highlighted when considering this data. First, it is clear that the growth of black African South African doctoral graduates has been slow, and this is also why the pool of South African black academic staff, particularly at senior levels, remains small. Second, the profile of international doctoral graduates has changed from a more diverse global group towards the African continent. South Africa is therefore playing a greater role in the development of high-level African experts than ever before. Third, if we wish to transform our system so that it meets the development goals of the country, and specifically the contribution to research and innovation needed to boost our economic outlook and the demographic transformation of our academic staff, we have to find ways of ensuring that more South African Black African candidates are enrolled in and succeed in doctoral studies, especially in the SET sectors. It is a matter of concern that the demographic transformation of the profile of all doctoral graduates, is predominantly due to the increase in doctoral graduates from the rest of Africa.

5.15 Profile of doctoral graduates by institution (2003 and 2014)

How is the range of public universities performing with respect to the production of doctoral graduates?

Table 5.7 contains data that show the number of doctoral graduates produced by each university in 2003 and 2014, disaggregated by race.

Table 5.7: Number of doctoral graduates in 2003 and 2014, disaggregated by university and by race

		African	Coloured	Indian	White	Total
Cape Peninsula University of Technology	2003	0	1	0	1	2
	2014	2	4	0	2	8
Central University of Technology	2003	1	0	0	4	5
	2014	7	0	0	3	10
Durban University of Technology	2003	0	0	2	0	2
	2014	2	6	0	0	8
Nelson Mandela Metropolitan University	2003	4	5	1	21	31
	2014	13	11	3	23	50
North West University	2003	11	3	1	64	79
	2014	28	0	2	94	124
Rhodes University	2003	0	2	2	23	27
	2014	12	0	3	25	40
Tshwane University of Technology	2003	4	0	0	5	9
	2014	15	1	0	13	29
University of Cape Town	2003	10	4	5	44	63
	2014	11	15	9	81	116
University of Fort Hare	2003	0	0	0	0	0
	2014	16	0	0	3	19
University of Johannesburg	2003	19	2	5	65	91
	2014	18	4	7	43	72
University of KwaZulu-Natal	2003	18	1	29	23	71
	2014	41	2	41	47	131
University of Limpopo	2003	13	0	0	6	19
	2014	18	0	0	0	18
University of Pretoria	2003	26	1	7	112	146
	2014	36	2	7	108	153
University of South Africa	2003	15	1	7	43	66
	2014	55	5	8	46	114
University of Stellenbosch	2003	7	8	3	79	97
	2014	12	23	3	120	158
University of the Free State	2003	9	6	0	30	45
	2014	26	2	1	54	83
University of Venda	2003	0	0	1	0	1
	2014	1	0	0	0	1
University of the Western Cape	2003	2	6	0	5	13
	2014	12	20	6	10	48
		African	Coloured	Indian	White	Total
University of the Witwatersrand	2003	9	1	3	48	61
	2014	26	3	21	65	115
University of Zululand	2003	19	0	9	2	30
	2014	15	0	1	1	17
Vaal University of Technology	2003	0	0	0	2	2
	2014	0	0	0	0	0
Walter Sisulu University	2003	0	0	0	0	0
	2014	4	0	0	0	4

The table shows that:

- most universities have shown an increase in doctoral production when doctoral output in 2003 is compared with doctoral output in 2014;
- the university system is highly differentiated with respect to the production of doctoral graduates;
- there are a number of universities that produce high numbers of doctoral graduates. Eleven universities produced 40 or more graduates in 2014 including Nelson Mandela Metropolitan University; North-West University; Rhodes University; University of Cape Town; University of Johannesburg; University of KwaZulu-Natal; University of South Africa; University of Stellenbosch; University of Free State; University of the Western Cape and University of the Witwatersrand. With the exception of the University of the Western Cape, the rest are historically advantaged universities;
- it can also be seen that, with the exception of the University of KwaZulu-Natal, the historically advantaged universities each produce greater numbers of white doctoral graduates than any other group;
- the University of the Western Cape, a university considered to be historically disadvantaged, stands out for the significant gains it has made with respect to doctoral outputs over the period; and
- Rhodes University stands out as a small university which is able to produce high numbers of doctoral graduates.

In a differentiated higher education system, we need to understand what the role of each university must be with respect to the production of doctoral graduates, and support the universities towards fulfilling their role.

The glaring imbalances in doctoral graduates with respect to race at the historically advantaged universities is an issue that needs further attention.

5.16 Is doctoral throughput in the system improving? What do cohort studies show?

In considering the issue of the throughput of post graduate students, since there is no marker currently for first time entries into programmes, it is therefore not possible to undertake national cohort studies with the same accuracy as the undergraduate cohort studies for the system. Assumptions have to be made as to identify students who are first time entries into the programme. If a student is not present in the dataset the year before, s/he is considered a first time entry. However it is possible that some of the students counted in the cohort may have been registered in a cohort a few years earlier, have dropped out and then returned.

Comprehensive cohort analyses of Masters and Doctoral students have been undertaken for the 2006 to 2008, but have not as yet been updated with 2013 and 2014 audited HEMIS data, and therefore are limited. These cohort studies were undertaken by Charles Sheppard for the DHET and CHET. Studies were also undertaken on the 2003 to 2005 data for Doctoral degrees only. But these studies did not consider demographics, gender or nationality and therefore have limited value here in a paper that is focussed on assessing progress with respect to transformation imperatives. In what follows the data is considered first as the full set, and then differentiated with respect to South African students and international students. Thereafter the data is considered by gender and race. Only doctoral cohorts are considered.

The minimum time for a doctoral programme taken full time would be 3 years. However, the recent study undertaken for the DST by Johann Mouton has shown that the majority of students work while completing their Doctorates, and are therefore part time. Therefore the year of comparison in the following data is taken at 5 years.

Table 5.8: Doctoral graduate cohorts for 2006 to 2008: all graduates

Cohort	number registered in Year 1	% graduated within 3 years	% graduated within 4 years	% graduated within 5 years	% graduated within 6 years	% graduated within 7 years
2006	3,175	15.7%	26.6%	35.7%	42.6%	47.5%
2007	2,913	16.1%	27.1%	36.4%	43.2%	
2008	2,877	16.4%	27.9%	38.5%		

It is noted that there is a steady improvement of the throughput of Doctoral graduates within the five-year period, from 35.7% in 2006 to 38.5% in 2008. Considering the data for the 2006 and 2007 cohorts, it is clear that after the five year period, significant numbers of Doctoral candidates continue to graduate – by year 7 of the 2006 cohort, 47.5% of the cohort has graduated.

The cohort analysis has been broken down to reveal gender differences, as shown in Table 5.9. There is very little difference in the throughput rate between males and females.

Table 5.9: Doctoral graduate cohorts for 2006 to 2008 by gender

Cohort	number registered in Year 1	% graduated within 3 years	% graduated within 4 years	% graduated within 5 years	% graduated within 6 years	% graduated within 7 years
Female						
2006	1,339	15.2%	25.9%	36.0%	42.7%	47.8%
2007	1,193	15.9%	26.4%	35.3%	43.5%	
2008	1,169	15.1%	26.8%	38.8%		
Male						
2006	1,836	16.0%	27.0%	35.6%	42.6%	47.3%
2007	1,720	16.2%	27.5%	37.2%	42.9%	
2008	1,708	17.3%	28.7%	38.3%		

Table 5.10 provides a cohort analysis for doctoral students based on race.

Table 5.10: Doctoral cohorts 2006 to 2008, disaggregated by race

Cohort	number registered in Year 1	% graduated within 3 years	% graduated within 4 years	% graduated within 5 years	% graduated within 6 years	% graduated within 7 years
African						
2006	1,362	11.5%	22.4%	31.0%	37.4%	42.0%
2007	1,364	13.1%	24.0%	33.7%	39.7%	
2008	1,289	14.0%	25.2%	34.6%		
Coloured						
2006	143	11.9%	21.0%	32.9%	37.8%	44.8%
2007	138	13.8%	26.8%	37.7%	45.7%	
2008	164	12.8%	22.6%	34.8%		
Indian						
2006	252	17.1%	25.4%	32.9%	41.7%	46.8%
2007	192	10.9%	19.8%	26.0%	36.5%	
2008	211	16.1%	27.5%	38.4%		
White						
2006	1,418	19.7%	31.3%	41.1%	48.4%	53.2%
2007	1,219	20.4%	31.7%	40.9%	47.8%	
2008	1,213	19.4%	31.7%	43.3%		
ALL graduates						
2006	3,175	15.7%	26.6%	35.7%	42.6%	47.5%
2007	2,913	16.1%	27.1%	36.4%	43.2%	
2008	2,877	16.4%	27.9%	38.5%		

Looking at year 5 as the comparison year, it can be seen that African and Coloured students have the poorest throughputs followed by those of Indian origin, with white student throughput being just above that of international students (see Table 5.11 below).

In general however comparing the 2006 and 2008 cohorts there is improvement across all groups.

Table 5.11 and Table 5.12 provide a cohort study that disaggregates data with respect to SA graduates and international graduates.

Table 5.11: Doctoral graduate cohorts for 2006 to 2008: South African graduates only

Cohort	number registered in Year 1	% graduated within 3 years	% graduated within 4 years	% graduated within 5 years	% graduated within 6 years	% graduated within 7 years
2006	2,256	15.2%	25.1%	33.7%	41.0%	46.4%
2007	2,029	15.6%	25.2%	33.8%	40.9%	
2008	1,949	15.0%	26.3%	37.0%		

Table 5.12: Doctoral graduate cohorts for 2006 to 2008: international graduates only

Cohort	number registered in Year 1	% graduated within 3 years	% graduated within 4 years	% graduated within 5 years	% graduated within 6 years	% graduated within 7 years
2006	919	16.8%	30.1%	40.7%	46.8%	50.3%
2007	884	17.1%	31.3%	42.5%	48.4%	
2008	928	19.2%	31.5%	41.8%		

The throughput of international students is higher than of South African students. By the end of year five, 41.8% of the 2008 international Doctoral cohort had graduated as compared with 37% of the South African Doctoral cohort. However, it is noted that the throughput of South African Doctoral cohorts has improved over the three cohorts, from 33.7% in 2006 to 37% in 2008, whereas the throughput of the international cohort has fluctuated.

5.17 Some concluding remarks on the production of Post Graduates in South African universities

We have to address the issue of the high proportion of international graduates from public institutions. Policy decisions will have to be considered as to whether/ how we differentially subsidize foreign and South African students. Currently all PG students across the system are funded at the same level, and substantial output subsidy is paid to institutions that produce greater numbers of research Masters and Doctoral graduates.

The question of funding of Masters and Doctoral studies is a critical one. Firstly, the output subsidy funding for research M and Doctoral candidates is significant, and is provided by government regardless of the nationality of the graduate. Institutions have no incentive to ensure that they are supporting South African doctoral candidates, and because foreign candidates can pay for their studies (often supported by their governments), there has been a significant increase in the proportion of foreign graduates at both Masters and Doctoral level.

Should we be paying output subsidy funds for all foreign M and D candidates? While we need to recognise the role that South Africa plays in Africa with respect to higher education, and therefore need to ensure that we do support an internationalisation agenda and ensure that we support some foreign postgraduate students, we also need to be cognisant of the need to ensure that institutions are incentivised to support South African black candidates to success. Setting quotas for subsidisation purposes of foreign students may be one way to do this.

However there is another critical funding concern and that is the lack of student funding for post-graduate studies more generally. The NSFAS currently supports approximate 23% of the total undergraduate student population through loans (approximately 16% of the students through the DHET fund) and various bursaries (including Funza Lushaka, NRF scarce skills fund, and various SETAs). The NRF supports approximately 8% of the postgraduate students through various funding mechanisms (at Honours, Masters and Doctoral level. The NRF funding is spread across all categories of students and is not steered towards poor and working class youth who have completed an undergraduate degree.

This provides insight into one of the key challenges facing the transformation agenda with respect to postgraduate studies: lack of scholarships. We are increasing the enrolment of young black poor students in undergraduate programmes and opening up access into higher education by providing loans and bursaries, but after graduating there is no mechanism to assist young scholars to continue with their studies into postgraduate programmes.

Insufficient financial support is a key factor determining whether students continue or drop out in their PG studies. Moreover, this factor is correlated with race; in other words, insufficient public funding is hampering transformation of the postgraduate cohort by comparison to the undergraduate cohort.

The funding squeeze at the PG level has been identified as one of the major barriers to young black African South Africans advancing into the postgraduate space, and therefore a barrier to entering the academic profession.

We need to consider how to enable sustainable scholarship/ loan programmes for honours, Masters and Doctorate students, especially South Africans, and especially successful NSFAS graduates who are academic high flyers.

On a more data-related matter, it is suggested that as we move forward, a marker is put in place to indicate the first time a person is registered for any post graduate programme at Masters/ Doctoral level. This will enable reliable national Doctoral cohort studies over time.

The data shared in this section do show that the system has transformed significantly over the twelve years considered. However, the data also show that there is still a long way to go, both in terms of gender and race profiles as well as in the focus and fields of study.

6 Staffing South Africa's Universities

Table 6.1 below shows the numbers of university staff in permanent posts, and reveals several trends as well as underscoring the serious deterioration in staff numbers. The numbers of temporary staff are not included in the table as this category includes large numbers of staff who are appointed on a part-time basis, as well as tutors.

Table 6.1: Permanent staff 1994 - 2014

Personnel Category	1994	2004	2014	Growth/ reduction 1994 - 2014	% Growth/ reduction 1994 to 2014
Professional Staff: Sub-Total	16,047	20,267	24,803	8,756	54.6
Instruction/Research Professional	12,852	15,422	18,250	5,398	42.0
Executive/ Administrative/ Managerial Professionals	1,055	1,492	1,941	886	84.0
Specialist/ Support Professionals	2,140	3,353	4,612	2,472	115.5

Non-Professional Staff: Sub-Total	25,919	23,297	25,287	-632	-2.4
Technical Employees	2,527	2,681	2,901	374	14.8
Administrative Employees	8,974	12,981	17,171	8,197	91.3
Craft/ Trades Employees	957	804	738	-219	-22.9
Service Employees	13,461	6,831	4,477	-8,984	-66.7
TOTAL	41,966	43,564	50,090	8,124	19.4

The data in this table need to be viewed against the backdrop of a dramatic rise in student numbers. Since 1994, headcount enrolments have approximately doubled: from 495,356 in 1994 to 983,698 in 2013.

The table shows:

- a 42% rise in permanent instruction/research professionals which is clearly out of line with student growth;
- that the category of “specialist/support professionals” has more than doubled, reflecting the increasingly complex management needs of modern universities which are required to play increasingly diverse roles in society, and to account closely for the use of public funds. It is worth noting that universities themselves make the choices and decisions about what posts to fund within budgets;
- that there has been a very big reduction in the category of “service employees”, possibly reflecting the widespread use of outsourcing in respect of such staff to service providers.

Table 6.2 shows the proportion of permanent and temporary instructional staff at universities, differentiating between South Africans and foreign nationals.

Table 6.2: SA and foreign instructional staff in 2004 and 2014

	2004 [N=41,172]		2014 [N=50,491]	
	Perm	Temp	Perm	Temp
SA %	94.9	93.7	86.6	83.9
Number	14,637	24,129	15,811	27,703
Foreign %	5.1	6.3	13.4	14.1
Number	785	1,621	2,439	4,538

As can be seen, considerable change has taken place in the proportions of SA and foreign staff in permanent and temporary positions.

The table shows that:

- overall, the numbers of temporary staff have grown from 25,750 in 2004 to 32,241 in 2014 (at least partly as a result of the increased funding for tutorial programmes through the Teaching Development Grant); and
- in 2004, 94.9% of permanent staff were SA citizens, as were 93.7% of temporary staff, but in 2014 this had dropped to 86.6% and 83.9% respectively⁷. This suggests that growth in the system in terms of staffing was achieved largely through the employment of foreign nationals, particularly in respect of permanent posts (1,654 of the additional 2,828 permanent posts, and 2,917 of the additional 6,491 temporary posts).

⁷ Note that in 1994 the foreign/SA data were not disaggregated.

Table 6.3 below shows the substantial changes in population group for permanent academic and senior professional staff over the period 1994 – 2014.

Table 6.3: Permanent professional staff by population group: 1994 - 2014

Personnel Category	1994	2004	2014	Growth/ reduction 1994 to 2014	% Growth/ reduction 1994 to 2014
Instruction/ Research Professional					
White	10699	9831	9121	-1578	-14.7
Coloured	431	756	1165	734	170.3
Indian	535	1233	1533	998	186.5
African	1129	3563	6018	4889	433.0
All other	58	39	413	355	612.1
Executive/ Administrative/ Managerial Professionals					
White	907	933	875	-32	-3.5
Coloured	71	139	267	196	276.1
Indian	17	98	143	126	741.2
African	56	321	640	584	1042.9
All other	4	1	16	12	300.0
Specialist support professionals					
White	1711	2010	1924	213	12.4
Coloured	100	220	632	532	532.0
Indian	145	195	351	206	142.1
African	174	921	1678	1504	864.4
All other	10	7	27	17	170.0
Total for all groups	16047	24803	20267	8124	19.4

The table shows that:

- White staff have decreased in actual numbers, not only as a proportion of academic staff;
- African staff have experienced the greatest growth. In 2014, just over a third (33.6%) of the professional instructional staff at universities was African. While this is up from 23.7% in 2004 and 8.5% in 1994, it still demonstrates serious disproportionality in terms of national demographics; and
- White and Indian staff are over-represented and Coloured and Black staff severely underrepresented in the university workforce in these categories.

In 2014, 45.6% per cent of academic staff were women. However, women hold less than a third (31.6%) of senior academic positions (professor or associate professor levels).

42.9% (7,825) of the permanent instructional staff at universities had a doctoral degree in 2014. This is a considerable improvement on the percentage in 2012 (35.5%) but is still far too low to allow the sector to realise its ambitions and responsibilities. In summary, the data show that the South African university system as a whole is currently experiencing severe challenges in relation to the size, composition and capacity of its academic staff.

In an initiative to boost the academic profession, the DHET developed the “Staffing South African Universities” Framework (SSAUF), approved in January 2015.

The SSAUF takes as its starting point the urgent imperative to ensure that staffing capacity in our universities is fit for purpose, in size as well as expertise. At the same time, it takes very seriously the need to recruit, support and retain black academic staff to address their very serious under-representation at all levels in the sector. It also recognizes the need for more explicit attention to be paid to creating much wider awareness of academic work as a career that is both attractive and attainable for those with ability, and sets out ways through which staff at all levels can be effectively recruited, developed and inducted into an academic career. This should lead to greater retention of academics in the system, and to promotion opportunities for well developed, capable staff.

The SSAUF includes programmes designed to create opportunities for existing staff to enhance their research and teaching skills, improve their qualifications, and expand, build and exploit international networks. It also emphasizes the importance of forging closer links between industry, work and academia, of retaining, in appropriate ways, the knowledge and expertise of retiring academics, and of actively identifying and encouraging experienced senior staff outside of South Africa to take up positions (contract or permanent) at our universities to help provide and build capacity.

One of the five programmes in the framework, the “New Generation of Academics” Programme (nGAP), aims to identify and nurture academic talent early in the academic development trajectory, at senior undergraduate level or early post-graduate level; and support newly recruited academics to acquire doctoral degrees (or Master’s Degrees in selected fields); develop teaching expertise; and develop research skills, including scientific publication skills. In 2015, 125 posts were allocated, spread across all 26 universities, and the process for the 2016 next nGAP intake will begin in October 2015. It is envisaged that 400 posts could be supported across the sector, per annum, once the scheme is fully operational. An aligned development programme supports nGAP appointees to develop strong teaching and research competencies.

The nGAP programme is based on a funding model that sees the Department providing full funding (for salary and all development activities) for three years, and continuing to provide 50% of the funding needed for a further three years, after which institutions will provide full support. In other words, the nGAP initiative provides six years of funding to devote to effective development of highly functioning staff.

It should be noted that the SSAUF is not limited to recruiting and developing staff at the entry level: the nGAP initiative is one of several programmes. Its implementation as Phase 1 of the SSAUF has perhaps contributed to the perception that the recruitment and development of new young staff can address the challenge of loss of expertise of retiring staff. This is not the case: the Framework is intended to provide stronger support along the entire academic career pipeline.

7 Research output of universities

7.1 Background

In 2003, the then Department of Education published the *Policy and Procedures for the Measurement of Research Output of Public Higher Education Institutions (Research Output Policy) (2003)*. The policy aims to “encourage research productivity by rewarding quality research output at public higher education institutions”. The policy required that all public Higher Education Institutions (HEIs) must submit their subsidy claims for research outputs in the form of publications to the Department of Higher Education and Training (DHET), on an annual basis. The DHET allocates research subsidy based on unit calculations for approved publications. The policy recognises the major types of research output in the form of journals, books and conference proceedings which meet the specified criteria outlined in this policy.

This report contains an analysis of the number of units awarded to institutions for subsidy-earning research outputs in accredited journals, books, and published conference proceedings published from 2004 to 2013. This is to demonstrate the impact of the policy and the investment made by government towards funding research in the higher education sector. Whilst the Department’s Research Output Policy has contributed greatly to the increase in research productivity over the 10 years, growth must also be attributed to the contributions of a number of other role players such as the Department of Science and

Technology (DST) and the National Research Foundation (NRF), the National Institute of Health (NIH), European Union Framework Programmes, the Centre for Disease Control (CDC), etc. These organisations play a significant role through creating an enabling environment for research to be conducted, through provision of research grants to researchers and or institutions. It is this multi stakeholder contribution that has resulted in improved research productivity and improved quality of research emanating from South Africa in general and universities in particular.

7.2 Journal publications

Publications in approved journals have shown a steady growth over the years (2004-2013), as shown in Figure 7.1 below. Between 2004 and 2013, journal publication output units have increased from 5790.3 to 11 997.38, a 107% growth; thus an average annual growth of 10.7%.

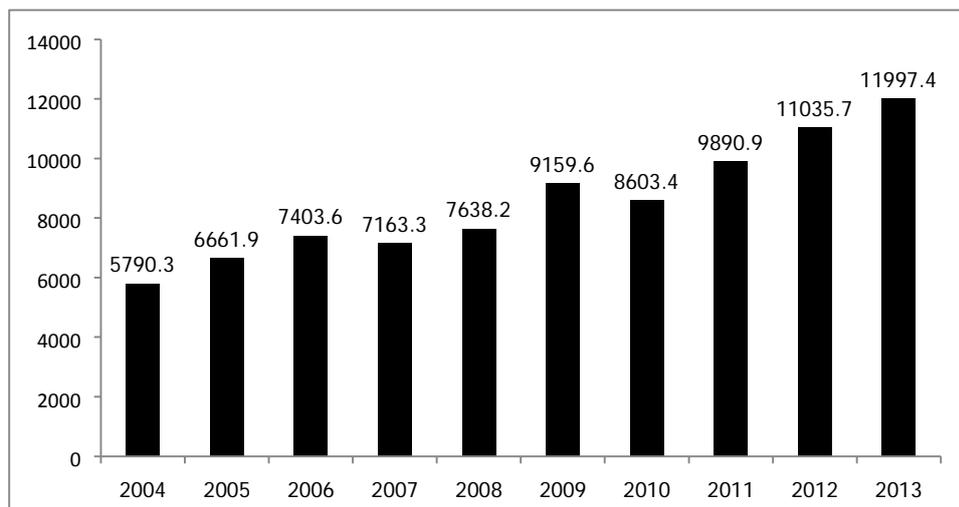


Figure 7.1: Research output units for Journals (2004-2013)

Publications in journals listed on the approved international indices, which are the Thomson Reuters ISI Web of Science Indices and the ProQuestIBSS index, remain relatively high, at around 60% and 10%, respectively (approximately 70% combined) (see Figure 7.2). The overall proportion of publications in journals listed on the two international indices can be taken as a measure of quality and impact of the South African research.

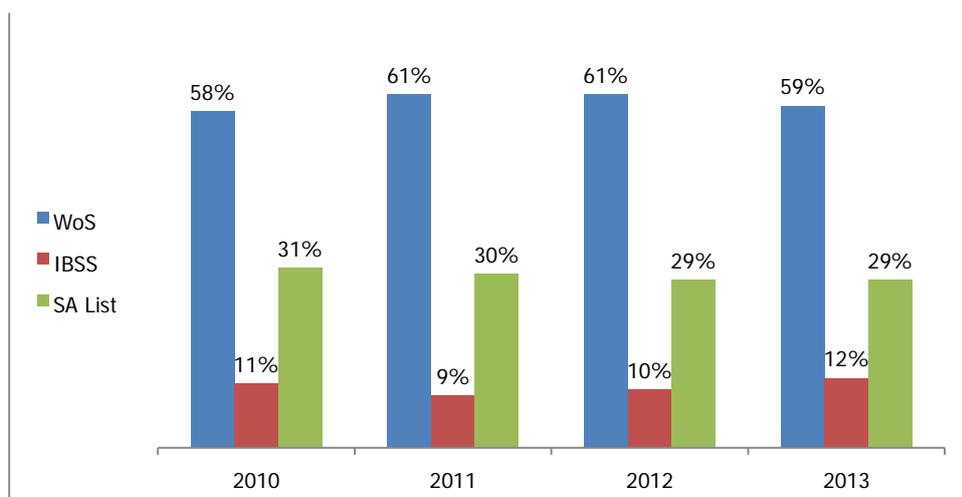


Figure 7.2: Proportion of Journal outputs per Index (2010-2013)

7.3 Book publications

There has been a significant increase in book publications between 2004 and 2013, as shown in Figure 7.3. Research publications in scholarly books for 2013 amounted to 774.37 units, up from 196 units in 2004, representing a 295% growth. This equates to approximately a 30% average annual growth. Although this is massive growth, book publications continue to constitute the least produced research output, accounting for approximately 6% of the overall annual output units. This lower productivity in books could be mainly due to the fact that it takes longer to produce books publications compared to the other types of outputs recognised by the Policy.

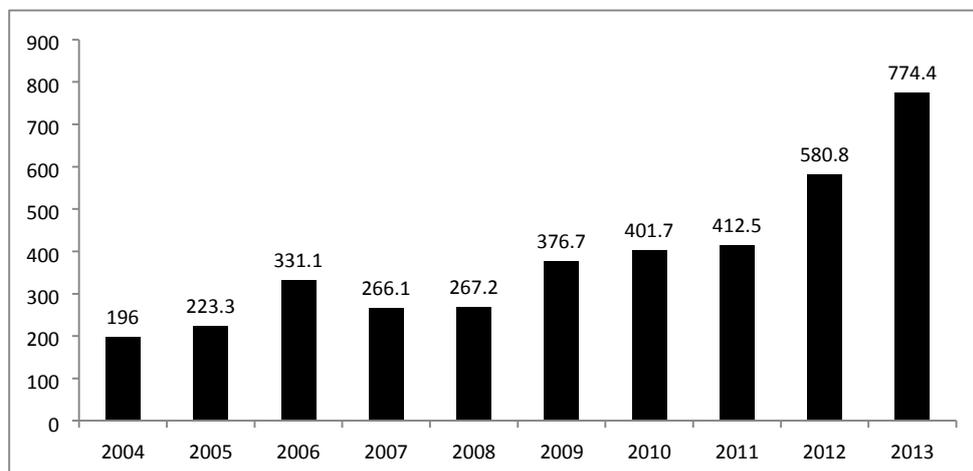


Figure 7.3: Research output units for Books and book chapters (2004-2013)

7.4 Conference Proceedings

Publications in conference proceedings accounted for 8% of the overall annual research publications outputs. Between 2004 and 2013, conference proceedings increased from 287.4 to 1236.92, respectively (see Figure 7.4). This is a staggering 330% growth, thus equating to an average annual growth of 33%. However, whilst conference proceedings play an essential and important role in some fields e.g. engineering, questions have been raised as to the impact of conference proceedings in the overall research sphere. Nonetheless, this type of productivity as recognised by the policy, has shown a dramatic increase over the years.

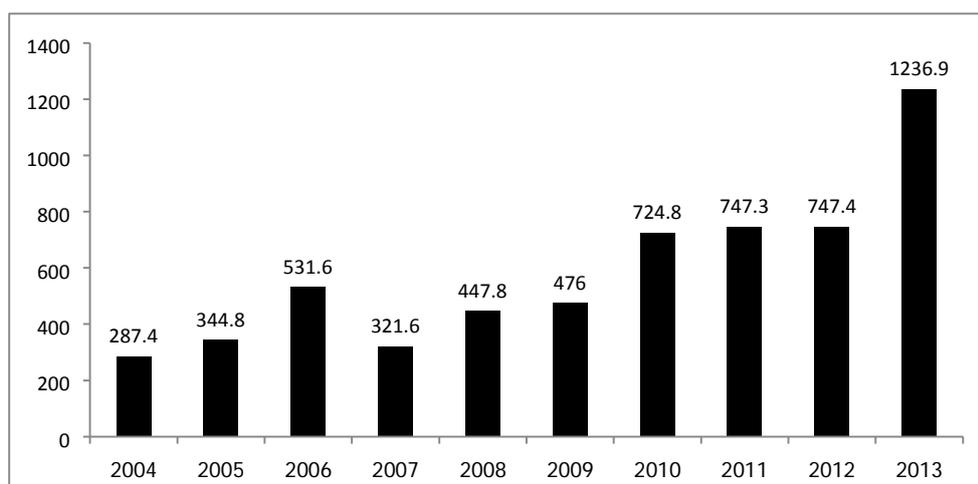


Figure 7.4: Research output units for conference proceedings (2004-2013)

7.5 Overall Publication Output Units by Broad Field of Study

Analysis of the 2013 output units by broad scientific field of study shows that more than half (53.4%) of all output units are produced by researchers in the Science, Engineering and Technology (SET) fields,

followed by Humanities (32.6%), Business and Commerce (8%), and Education 6% (Figure 7.5). This distribution is not significantly different in years prior to 2013.

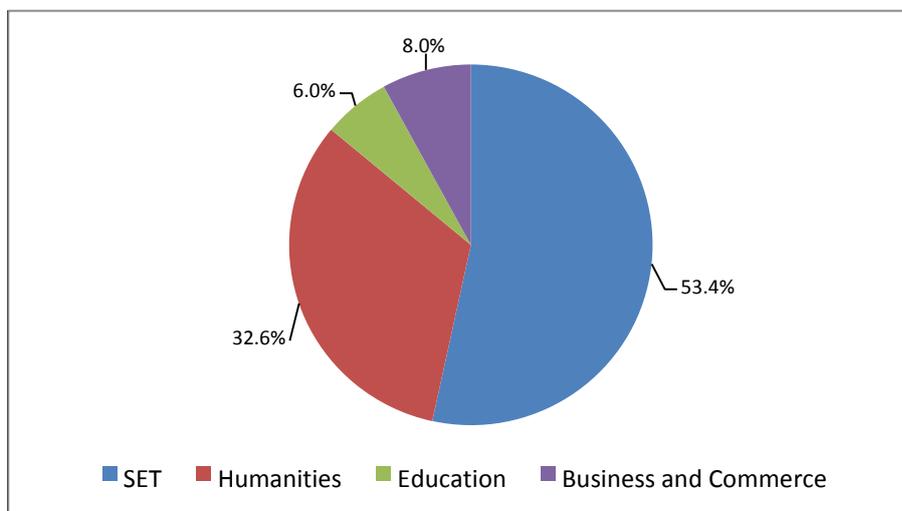


Figure 7.5: Total publication output units by broad field (2013)

7.6 Per Capita Output units

Figure 7.6 below shows the publication output units per permanent academic staff member from 2004 to 2013. The total publication output units per permanent academic staff member (or per capita output) for all institutions for 2013 was 0.79 units, a slight increase from 0.71 units in 2012, and 0.66 units in 2011. Generally, the per capita output across institutions has been on the increase since 2004, albeit at a slow pace for some institutions. This could be due to the very few numbers of active researchers out of total academic staff. Nonetheless, this however does reflect a slight improvement in research publication productivity rate across the system.

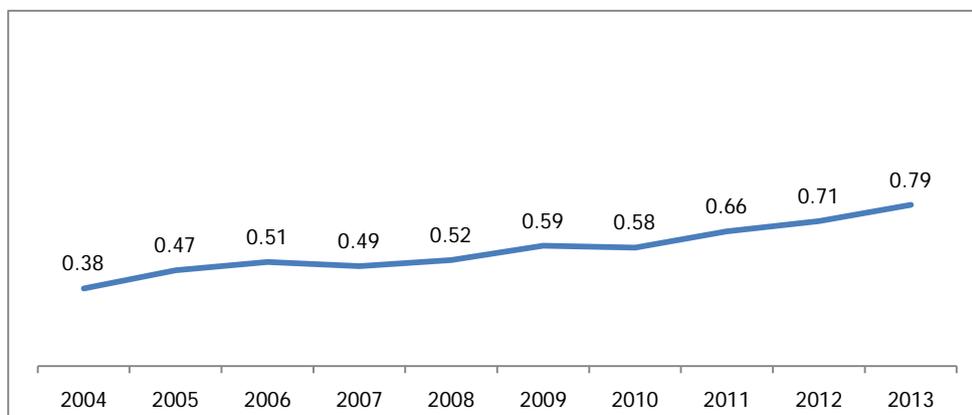


Figure 7.6: Per capita output units (2004-2013)

The per capita output units have shown a 107% increase between 2004 and 2013. This reflects an average annual growth of 10.7%. It must also be recognised that not all higher education institutions in SA are research intensive and hence the growth for the sector seem to be slow, but when comparing institutional data there are huge differences in performance among institutions.

7.7 Research outputs per institution

A list of all the institutions with their respective research publications outputs for 2013 is presented in Table 1. Institutions have been listed according to their volume of publications output units, from highest to lowest number of units.

Table 7.1: Publication Research Output Units per Institution, 2013

Institution	Book Units		Conference Proceedings Units		Journal Units		Overall Units in 2013	% Overall Sector Units
	Actual Units	% of total institutional outputs	Actual Units	% of total institutional outputs	Actual Units	% of total institutional outputs		
UKZN	79.09	4.9%	58.34	3.6%	1489.78	91.6%	1627.21	11.6%
UP	80.7	5.0%	119.64	7.4%	1415	87.6%	1615.34	11.5%
UCT*	111.61	7.2%	122.48	7.9%	1315.03	84.9%	1549.12	11.1%
SU*	105.41	7.1%	126.74	8.6%	1244.86	84.3%	1477.01	10.5%
WITS	109.45	8.4%	68.46	5.3%	1122.38	86.3%	1300.29	9.3%
NWU*	39.88	3.4%	119.98	10.3%	1009.68	86.3%	1169.54	8.3%
UNISA	38.21	3.7%	68.13	6.6%	923.7	89.7%	1030.04	7.4%
UJ	58.83	6.6%	182.5	20.3%	656.09	73.1%	897.42	6.4%
UFS	58.19	8.7%	33.02	4.9%	577.42	86.4%	668.63	4.8%
RU	20.17	4.4%	28.69	6.3%	405.49	89.2%	454.35	3.2%
UWC	29.62	7.3%	16.73	4.1%	360.02	88.6%	406.37	2.9%
NMMU	5.12	1.5%	84.16	24.6%	252.81	73.9%	342.09	2.4%
TUT	2.31	0.8%	65.37	23.5%	210.53	75.7%	278.21	2.0%
UFH	8.64	3.7%	11.26	4.8%	215.03	91.5%	234.93	1.7%
UL	0	0.0%	23.83	14.0%	146.19	86.0%	170.02	1.2%
UNIVEN	7.59	5.1%	9.15	6.2%	132.03	88.7%	148.77	1.1%
CPUT	2.54	1.7%	41.79	28.4%	102.98	69.9%	147.31	1.1%
DUT*	11.8	9.2%	17.37	13.6%	98.98	77.2%	128.15	0.9%
UNIZULU	0	0.0%	7.00	7.9%	82.08	92.1%	89.08	0.6%
VUT	0	0.0%	13.01	15.7%	69.88	84.3%	82.89	0.6%
CUT	0.44	0.6%	13.02	19.0%	55.02	80.3%	68.48	0.5%
SMU	0	0.0%	0	0.0%	57.00	100.0%	57.00	0.4%
WSU	4.31	8.9%	4.00	8.3%	40.1	82.8%	48.41	0.3%
MUT	0.46	2.6%	2.25	12.5%	15.3	85.0%	18.01	0.1%
TOTAL	774.37	6%	1236.92	9%	11997.38	85%	14008.67	100%

* = includes journal units owed from previous year. UCT = 3 units; SU = 3 units; NWU = 0.5 unit; and DUT = 2 units.

Out of the 24 universities listed about, 5 institutions (UKZN, UP, UCT, SU and Wits) receive approximately 55% of the total subsidy and the rest share the remaining 45%.

A direct correlation between institutional productivity and number of academics with **Doctoral degrees** has been noted. Table 2 below shows the total weighted research outputs (sum of publications units, research masters and **Doctoral** graduates) by universities in 2013. Not surprisingly, institutions with a higher number of staff with **Doctoral degrees** are more research active and generally show a higher weighted per capita output.

Table 7.2: Total weighted research output per university (2013)

Institution	Headcount of permanently employed academics	Headcount of Academics with Doctorate as Highest Qualifications	% of total staff with Doctorate	Total weighted research outputs
UP	1300	663	51%	3119.34
SU	1006	616	61%	2992.01
UKZN	1376	688	50%	2862.21
UCT	1093	725	66%	2806.12
WITS	1093	639	58%	2532.29
NWU	1288	640	52%	2180.54
UNISA	1631	629	39%	1947.04
UJ	1024	451	44%	1467.42
UFS	962	400	42%	1219.63
UWC	574	301	50%	1006.37
RU	351	198	56%	874.35
NMMU	327	163	38%	840.09
TUT	917	116	34%	526.21
UL*	884	194	21%	479.02
UFH	606	124	43%	449.93
CPUT	768	88	30%	331.31
DUT	579	131	17%	230.15
UV	337	139	16%	193.77
UZ	299	92	31%	159.08
CUT	291	47	13%	141.48
VUT	361	97	17%	126.89
WSU	576	80	14%	69.41
MUT	195	18	9%	18.01
OVERALL TOTALS/AVERAGE	17838	7239	37%	26572.67

From the data presented in the table it can be deduced that institutions in the lower part of the table may benefit from increasing the % of staff that hold Doctoral degrees, as one strategy to increase their research output.

Overall, the performance of the South African Higher education sector in terms of research productivity and quality is among the top in the world considering its size and financial resource. If anything, SA is punching above its weight. The Department will be implementing a revised policy to ensure further improvement in the quality of publications. Along with the policy various other interventions will be instituted to ensure sustainability and further growth in the system. The quality of publications will be of great focus as we need to gear towards research that can be translated to products, practices, policy that have social and/or commercial benefits.

The DHET does not currently collect data that provides race, gender and nationality profiles in respect of research output. This is an issue under discussion and it may be something that should be considered if targeted strategies to address equity issues with respect to research output and knowledge generation are to be implemented. This may be an issue that the summit wishes to grapple with, for example with regard to who is doing the research in South Africa, what choices are being made about research that is conducted, what knowledge is being generated, and what knowledge is not.

8 Conclusion

The data and analyses presented in this paper highlights that some gains have been made in growing and transforming the university sector over the last ten to twenty years. However, there are clearly significant challenges that still remain:

- Whilst DHET funding to universities has increased in nominal terms, in real terms it has decreased.
- The ability of the DHET to steer the system through the use of earmarked grants to address transformation imperatives has increased.
- DHET funding for universities is weighted in favour of support for the historically-disadvantaged universities.
- The magnitude of state funding to support poor students through the NSFAS has increased dramatically. However, we are still a long way short of achieving fee-free education for the poor.
- Enrolments at universities have increased, especially enrolments of students from previously disadvantaged groups, and the DHET target of a 20% participation rate is close to being achieved. However, the participation rates still strongly reflect apartheid-era patterns. The participation rate of African and coloured students in undergraduate programmes must be increased. It is gratifying that the participation rate of females is high in the system.
- Overall, the first-year dropout rate in undergraduate programmes is decreasing, and the ability of students to graduate in regulation time or close thereto is increasing. However, drop-out rates and throughput rates still reflect apartheid-era patterns with respect to race. The drop-out rates and throughput rates in the undergraduate distance programmes are a matter of extreme concern.
- Postgraduate enrolments are increasing as are the number of masters and Doctoral graduates but there is still a big need for further growth. Specifically, the enrolment and graduate share of Black South Africans has been on the decline and is an issue that must be attended to.
- Whilst academic staff numbers have increased, they have not kept pace with growth in student numbers, leading to increasingly unfavourable student-staff ratios.
- There is increasing reliance in the system on the use of temporary staff and foreign staff.
- Whilst the numbers of African and coloured professional instructional staff has substantially increased, serious disproportionality in terms of national demographics still remains.
- The research output of universities has dramatically increased, but the number of academic staff holding Doctoral degrees must still be significantly increased.

The purpose of the summit is to reflect on the achievements and on the challenges that remain, and to propose concrete actions which can be implemented to address the transformation challenges that persist.

This analysis suggests that we need to keep track of progress made in specific areas such as the following:

- The % of GDP allocated to higher education.
- Higher education expenditure as a percentage of education expenditure.
- % of poor students who benefit from fee-free higher education.
- % of loan funds recovered by NSFAS and reinvested back to support eligible students.
- Participation rate of Africans and coloureds in higher education.
- First year average dropout % in undergraduate programmes.
- First year dropout % in undergraduate distance programmes.
- First year dropout rate in undergraduate distance programmes for African and coloured students.
- Overall graduate % in regulation time in undergraduate programmes.
- Graduate % in regulation time for undergraduate distance programmes.

- Graduate % in regulation time for African and coloured students in undergraduate programmes.
- % of South African Black and coloured students that achieve Masters and Doctoral degrees.
- Proportion of South African Black students enrolled for Masters and Doctoral programmes.
- Throughput rate of South African black students in postgraduate programmes.
- % of South African black academics at universities.
- % of South African black academics at universities that hold Doctoral degrees.
- % of academics at HDIs that hold Doctoral degrees.
- Ratio of permanent instructional staff to temporary instructional staff.
- Ratio of Black South African instructional staff.
- % of South African black academics in the professoriate.
- % of research output units produces by black academics.
- % of blacks occupying management and leadership positions at universities.

How do we ensure that we can keep track of progress in these areas through a set of sophisticated, robust, reliable high-level indicators that are put in place for the sector and which also serve to measure progress in transforming the sector. Much work in this regard is currently underway, for example:

- The DHET is developing indicators that relate to financial health, governance and overall performance of the university sector.
- The DST has recently published a Research and Innovation Performance Framework which proposes a performance measurement system for research and innovation in the country. The Framework contains a wide range of indicators.

It is expected that the summit will also propose indicators that could be used to monitor progress towards higher education transformation goals.

As a system, we would collectively need to decide what the actual indicators and targets should be, and the time frames for their achievement. We would also need to collectively decide on actions that will enable the set targets to be met. These actions, targets and timeframes could be part of the National Plan for Post-School Education and Training that is currently being developed and could also be a part of institutional strategic plans. Whilst government will need to make a strong contribution to the effective roll-out of such actions, all role players and stakeholders would need to contribute. For example:

- In a severely constrained national fiscal context, how can resources be levered from other sources, including private business to support student financial access to universities, and higher education development in ways that address transformation imperatives, and are mutually beneficial?
- Is there a possibility of creating better efficiencies in the system in ways that will lead to more effective use of resources but which do not compromise quality and the essential nature of higher education?
- How can an appropriate portion of the resources that are available in the Sector Education and Training Authorities and the National Skills Fund be more coherently and effectively directed to support higher education transformation imperatives?
- Can we create a more coherent and coordinated system of national scholarships that more effectively manages the scholarships that other government departments and international partners avail for higher education, in ways that will build the higher education system and advance its transformation.
- With respect to greater representation of black academics and professors in the sector, what representation must be afforded to South Africans, without obviously excluding international participation which is essential for a vibrant university sector?

These are just some of the questions that could be considered: no doubt there are many more.



ANNEXURE 4

Transformation is a Must

**Briefing paper prepared for the second national
Higher Education Transformation Summit, 2015**

South African Union of Students

Brief literature review

The notion of „Quality of Student Life“ is founded on the concept of „Quality of Life“. Moro-Egido and Panades (2009) argue that Quality of Student Life variables are a composite of student and institutional factors that determine student satisfaction. Among these variables are social factors such as living on or off campus, self-evaluation, impact of recent events, and, most significantly, academic performance.

According to Yu and Lee (2008) the Quality of Life (QOL) of students spills over to their overall quality of life. The Quality of Student Life (QSL) is influenced by QOL, for example basic needs (biological and safety), self-esteem, and social life (Schmuck et al. 2000; Sam 2001; Chow 2005). In contrast, QSL is influenced by the following dimensions of student services in the university: for example, education service, administrative service, facilities service, student service management and many other service components (Simpson and Siguaw, 2000). Indeed looking at on and off campus contexts is important in order to understand the influence QOL has on QSL.

Yu and Lee (2008) define QSL as the overall satisfaction of students with respect to their university experience. Moro-Egido and Panades (2009) define QSL as the satisfaction of the students with the professional and academic aspects of the university.

In a study conducted by Benjamin (1994) on QSL at the University of Guelph (Canada) they discovered from students that the satisfaction of students is determined by on and off campus life domains and that these domains do not operate independently. In addition it is the latter domains that can amputate or serve as enablers for the student in their pursuit of academic achievement. Therefore tracking students' overall QOL does assist the university in achieving its core mandate of sustaining a good graduate throughput rate. If the former is neglected students may be alienated and as a result end up dropping out of the university.

The quality of life of students in our universities is largely influenced by the overall quality of life of the student of campus. Indeed it would be naïve to discuss transformation in higher education without first contextualizing it within the socio political and economic challenges faced by South Africa, both past and present. We are all clear on the cause of the existing disparities that still find expression in South Africa today, they are namely: colonialism, apartheid, white supremacy and other social ills. However, the SAUS will not detail that history but it is important to bear it in mind as we progress.

South Africa's challenges

SA, as it were, is what we would classify as a nation stuck in stabilisation (agreeing with Pons and Vignon). The financial ministry constantly has to make a trade-off between our debt to GDP ratio and other imperative socio-economic programmes in the country. What is further not helpful in this instance is the decline in the economic growth of the country which has also shrunk the fiscus of government. These are not easy trade-offs to make.

Poverty, infrastructure, unemployment, energy crises and basic education are chief among the challenges that need immediate attention in addressing overall transformation in South Africa. It is said that there is R9.4 billion owed to Eskom of which half is owed by Soweto: this will not assist us in trying to achieve economic growth. Makana municipality reportedly owed over R60 million to Eskom and this cannot be acceptable in a community that has over 70% of its community unemployed. Some of our teachers are also doing the country a disservice in that they do not teach children in our rural township schools: some arrive late and others don't arrive at all. This has long term repercussions on learners at high school and beyond.

It is one thing to offer a student a schooling opportunity but if you have done so outside the material conditions the child has to go back to after school, the intervention will be short lived. How does the government address social challenges under a declining economy without compromising stabilisation?

The SAUS believes that all sectors have a role to play in the economic transformation of our country. The role of the university should transcend being simply a knowledge production centre and move towards being a role player in building local communities. Universities must engage and try to find solutions to the complex challenges facing South Africa. The private sector must also play its role and partner with government in trying to achieve economic transformation. Otherwise it remains a fact that we are all compromised in the long term if we do not do the bit we can where we find ourselves.

The position of SAUS on universities

We refuse to believe that Stellenbosch is persistently, and under the watch of government, excluding the majority of its students by using Afrikaans as a medium to teach its students. Moreover, this is happening in a globalized world and in a South Africa that has come to accept English amongst all other languages as its tool

of communication, more especially as a tool of teaching in higher education. This of course is not to say the latter is *sine qua non* and that other languages cannot be used in view of our democracy. But on that very note languages cannot serve as a tool of exclusion and oppression of others. We welcome diversity but we reject this supremacist tendency or oppression of students who do not speak the language of Afrikaans in Stellenbosch.

We cannot have a situation where subjects are not accessible to students merely because of language; outside the languages themselves of course. This sort of injustice should be frowned upon by the department of higher education and by all members of society. The exclusionary teaching that manifests itself through language and, put squarely, a racist agenda in Stellenbosch is to the detriment of the black and white students who do not have access to this language. We call for the intervention of the Department of Higher Education and Training to act decisively on the exclusionary nature of Stellenbosch.

It was reported that a council member of Stellenbosch tweeted “Blade Ndzimande and his transformation will not win” (translated from Afrikaans). Another report stated that a local High School principal in Stellenbosch reportedly said to a black parent “I have no place for your child in my school, take your child to khayamandi”. These individuals are “leaders” in our society. Such regressive thinking is unacceptable, and they must account.

The acceptance of the colonialist, bigot and imperialist Cecil Rhodes is apparent in the history and institutional culture of Rhodes University in the 1900’s. Much of what characterised the history of the university is a clone of the character of Cecil John Rhodes the bigot. The history of Rhodes University is not something to boast about or be proud of, in fact it is far from what the university and its alumni perpetually deem it. It is a history of exclusion, oppression, dehumanisation of black people and segregation much fitting of the man Cecil Rhodes. And we still see remnants of that in Rhodes University today in different ways. Rhodes University in its past awarded honorary doctorates to people who founded acts that advocated for segregation and repression of blacks. The honorary doctorate was given to a J.H. Viljoen, the National Party’s Minister of Education in 1952.

Rhodes was built on heteronormative ideals and thus you see very few if any women in senior management positions, black or white. So the question we leave here is: how do we create an inclusive space and re-imagine a university that is welcoming to all when it has a name such as Rhodes University hanging over it?

We as the SAUS welcome the mobilization of different student movements across the country in a call for decolonising institutions of higher education. Among these groupings are Open Stellenbosch, Decolonise Wits, Rhodes Must Fall and The Black Students Movement. These movements have, amongst other achievements, heightened and intellectualized discussions around transformation across all universities. This ought to be celebrated.

SAUS believes that our future is bright. Decolonization is imperative in traditionally white institutions like Rhodes and Stellenbosch and equally so in the former Bantustan universities.

We as an organisation recognise that our universities were used to advance a colonial agenda and as such we must unmask all its remnants. The traditionally white institutions must become African institutions in Africa and not Western Universities in Africa. On the other hand the former Bantustan universities and their facilities must be improved in terms of facilities, as we know these institutions are historically deprived and we see the remnants of this today.

Areas of transformation in higher education

In trying to restore the imbalances of the past as articulated above, the SAUS has chosen to address a few key areas that need immediate attention from all stakeholders.

Higher education transformation musts

- Quality of education
- Symbols
- Black staff development
- Fee structures
- Improved quality of student services and safety

- ***The quality of education (pedagogy and epistemology)***

An overall review of undergraduate and postgraduate curricula needs to be undertaken, so as to assess the appropriateness and relevance of qualifications in terms of the social, ethical, political and technical skills and competencies embedded in them. This should be done in the context of post-apartheid South Africa and its location in Africa and the world. In short, does the curriculum prepare young people for their role in South Africa and the world in the context of the challenges peculiar to the 21st century?

Socrates concluded that education must be very personal. It must be concerned with the actual situation of the pupil, with the current state of the pupil's knowledge and beliefs, with the obstacles between that pupil and the attainment of self-scrutiny and intellectual freedom. Instead of this, we see an education system that is not reflective or reflexive. We see a student populace graduating with no knowledge of their ethnical or African history. What is a man if she or he does not know where she or he comes from? It is said that our history tells us about the present moment and that our present actions tell us where we are going. In light of the latter and our current education system we are condemned. The white paper of 2012 further argues that "the education and training system should not only provide knowledge and skills required by the economy. It should also contribute to developing thinking citizens who can function effectively and ethically as part of a democratic society. They should have understanding of their society, and be able to participate fully in its political, social and cultural life".

- **Symbols**

We as South Africans in all our diversity ought to ask ourselves the following questions about our heritage and about the monuments of South Africa. What do these monuments mean in light of our current democratic dispensation? How do we as South Africans celebrate the fallen "heroes"? More importantly how we move forward as a country united in our diversity?

- **Students and staff**

Student success after access

Universities should devise approaches that will improve throughput rates of students, while government, as part of its human capital development initiatives, should provide financial support to students who are studying in fields where skills are scarce. It is apparent that some students are failing to succeed because they are also doing other jobs in order to support their families. This applies largely to black students who cannot afford to study on a full-time basis.

Inadequate infrastructure (manifested for example in the poor state of student accommodation in many cases) makes it very difficult for universities to deliver on their core mandates (an example of this is WUSU).

Black staff development

There are inadequate networks and structures in place in institutions to identify and retain black and female members of staff. Institutional staff development programmes, aimed at black and female postgraduate students: where these networks exist they are racialized, intentional or not.

There is a lack of clear and established networks of retaining and developing black academics, and at the same time continued discrimination practices based on class, gender, race, historical imbalances and so on persist.

- **NSFAS and fee structure**

The SAUS acknowledges that DHET has rolled out funding to over 1 million disadvantaged students over the years. Secondly, the money of NSFAS has more than doubled over the past 7 years. The challenge we identify from where we stand as an organisation is the increase in the number of students wanting to go into institutions of higher learning. Coupled with the latter is a continuous increase of the cost of higher education at rates higher than inflation.

In the short term, the DHET needs to intervene on fee increments. Higher education inflation needs to be targeted across all institutions of higher learning.

The challenge of NSFAS

NSFAS is increasingly creating a debt society of which is regressive to the gains we are intent on acquiring. We cannot expect a student from Lusikisiki who has a NSFAS loan of R180 000, for example, to alleviate poverty in the family and yet have to pay a debt of R180 000. However, the job market is not favourable. It may be that there is a connection between the debt NSFAS students have and many others that they acquire whilst working trying to make up for the gap NSFAS payments leave, and unemployment. This may be a stretch but it's worth looking into. We have an increasing number of elderly black workers who are not retiring because they are held by debts. At the same time, we continue to stay in the households of our parents because they won't retire (we are unemployed because of them). It's all a vicious cycle that ought to be corrected and we believe that it can only be achieved via free education. And we certainly believe that through free education for the poor we will optimize economic transformation.

- **Improved quality of student services**

Education services, administrative services, facilities, student service and management are factors that contribute to the quality of life that a student has in university and it is these areas that lead to a student being able to self-actualize. Therefore the SAUS will continue to engage the department in order to fast-track transformation in these areas, otherwise student success will continue to be compromised.

SAUS Transformation vision 2025

SAUS understands and considers seriously the context of South Africa's economic climate which has been in decline for a number of years. The SAUS envisions a transformed education sector to be a sector that would have advanced the underlying factors:

- corruption-free universities;
- free quality education for the disadvantaged;
- Councils and senates that are diversified in accordance with the countries demographics;
- fully transparent Councils that fully account to the public and ministry of higher education;
- a shift from managerialism towards leadership by university leader-managers;
- a professoriate that is 27% black;
- more significant African curriculum and knowledge production;
- names of all universities across South Africa must represent the democratic ideals of South Africa; and
- all universities must abide by and implement the legislative framework of higher education.

The above should be utilized as a measure of how far the sector has come and what direction it ought to be taking.

The basic confrontation seems to be transformation versus decolonisation, education versus „being woke”¹ and indeed economic stabilization versus social welfare. It is up to us as a country what we choose to gravitate towards. We as South Africans have very important decisions to make and if we amongst all of that do not prioritize the students of this country we are doomed for failure.

¹ Defined as „being aware” www.urbandictionary.com/define.php?term=woke



ANNEXURE 5

Reflections on Higher Education Transformation

Discussion paper prepared for the second national
Higher Education Transformation Summit, **2015**

Universities South Africa

1 Introduction – the ‘system’

At the time of transition to democratic rule in 1994, South Africa’s century’s long, oppressive and divisive colonial and apartheid history left a higher education system deeply marked by its discriminatory and authoritarian legacies. This included, inter alia, a system structured along highly stratified racial, gender, class, cultural and spatial lines; skewed in its structural development; unequally financed; disarticulated from the most pressing economic and social needs of the majority; and internationally isolated and focused on the industrialised north with very few linkages with the developing world and the wider African continent. In short, the core logics of this system were almost diametrically opposed to the central tenets of the new Constitution (1997) that sought to create a non-racial, non-sexist, more equal and socially just social and economic order for South Africa.

Today, 21 years after the demise of the apartheid system, higher education has shifted, in its structural characteristics, from a fragmented and structurally racialised system of 36 public and more than 300 private institutions in 1994 to a relatively (at least formally) more integrated system of 26 public universities (traditional, comprehensive and universities of technology) and 95 private higher education institutions in 2015 (see Blom, 2015). 990 000 students are enrolled in the public higher education sector, and 120 000 in private institutions in the same sector, according to the 2013 statistics (DHET, 2013). The entire post-school education and training (PSET) sector is made up of more than 4 000 institutions: public and private Higher Education Institutions (HEIs); public and private Technical and Vocational Education and Training (TVET) Colleges; public and private Adult Education and Training (AET) Centres; and workplace-based education and training facilitated by Sector Education and Training Authorities (SETAs). More than two million students and learners were enrolled in PSET institutions by 2013. The FET/TVET sector comprised almost 680 public FET/TVET

and private FET Colleges in 2013, 50 of which were public and 627 private. The AET sector comprised over 3 200 public and private AET Centres in 2013 (DHET, 2013).

Taken as a whole, and compared with post-secondary education systems in comparable developing countries, the South African system resembles what is often referred to as an “inverted pyramid” – dominated in size, funding and status by universities, with a badly neglected, fractured and historically underfunded system of public and private sector colleges (Blom, 2015). This has only recently been fully recognised by policy-makers, as expressed in the Green Paper on Post-School Education and Training of 2013, which makes it clear that the long-term transformational requirements of the South African post school education and training system requires fundamental reconstitution, integration and systematic development to address the socio-economic development needs of South Africa.

This new PSET system is still in its early stage of development, with much work required in its planning, funding and institution building. Clearly, universities should play a key role in catalysing and enabling the successful emergence of the “college” components of the PSET sector via capacity building, collaboration, mutual exchanges of knowledge, and articulated pathways for students. Moreover, transformation goals also require a reconstruction of the articulations between universities and colleges if we are to foster an integrated system. In this context, it will become necessary for us to think of “university transformation” not in terms of the internal dynamics and requirements of the university system but crucially, also in relation to its role, functions and purposes within this wider post-school education and training system, as well as more widely within society and the economy. In a sense, universities have to achieve a double transformation: internally, to better reflect the transformational goals set by higher education policy and reflected in South Africa’s constitution, and externally, in reframing their role and contributions with the wider PSET and society.

2 Defining higher education transformation

In South African debates on higher education, the term “transformation” is generally held to refer to a comprehensive, deep-rooted and ongoing social process seeking to achieve a fundamental reconstitution and development of our universities to reflect and promote the vision of a democratic society. This entails a simultaneous process of eradicating all forms of unfair discrimination and creating a higher education sector that gives full expression to the talents of all South Africans, particularly the marginalised and poor. The transformation of higher education therefore refers to the active removal of any institutional, social, material and intellectual barriers in the way of creating a more equal, inclusive and socially just higher education system. As such, our understanding of the concept is one of designating a range of social, economic, cultural and political conditions and their institutionalised settings that should be reconstituted if higher education is to fulfil its democratic mandates.

The strategically most significant “objects” of HE transformation in South Africa, at the core, entail crucial aspects, such as governance, management and leadership, student environment (access, success), staff environment (equity), institutional cultures, teaching and learning, research and knowledge systems, institutional equity, and the political economy of higher education funding.

On the strength of the above, it is clear that one-dimensional or narrow conceptions of the remit and nature of higher education transformation cannot suffice in our context. This was the case, for example, in the Equity Index Report (2013), co-authored by Makgoba and Govinder, which provided what turned out to be a highly flawed and much discredited assessment of academic staff and staff equity, correlating this with research productivity, and projecting this as a measure

of the state of transformation of universities (see Moultrie and Dorrington, Dunne, 2014). Whilst racial staff equity is indispensable for transformation, it has to be linked to, and facilitate the simultaneous transformation of other dimensions of the system including gender, disability, and class, and the structures through which these relations are mediated. These include: curricula and epistemological frameworks; teaching; learning; research and engagement; student access and success; governance and management; ethics of leadership; and the wider role of the university in society.

A more complete framing of higher education transformation should perforce recognise the interconnectivity and simultaneity of race, class, gender, disability and other markers of social difference, and how such differences are constructed and reproduced in determinate relations of power and inequality in society and the economy. We must reject reductionist, essentialist and one-dimensional conceptions of transformation. After all, we talk about the higher education “system”, suggestive of a more or less integrated, but contradictory ecosystem comprising different social relations, practices, traditions, cultures, and so forth.

Finally, the critique of the nature and pace of the critical aspects of higher education transformation, such as student access and success, staffing, infrastructure, curriculum choices, and so forth, can hardly be sustained without also simultaneously asking hard questions about the role of the State and Capital in shaping the terrain of higher education, as well as the impact of social dynamics in civil society on universities:

- the extent to which *public funding regimes* governing NSFAS, subsidy and infrastructure development are able to support equity goals across the system coherently, systematically and successfully – particularly in the context of slowdowns in state expenditure levels and economic contraction;
- the extent to which the *private sector* actors promote views which confer lesser value on the social sciences and humanities studies and how this impacts on student choices; the role of professional councils in emphasising technical, career-focused content over holistic skills development, and narrow “instrumentalisation” of higher education; and
- the impact of civil society dynamics on universities, including violent protests recently reported at some university campuses.

3 Systemic transformation challenges

The Minister of Higher Education and Training, Dr Blade Nzimande, in his May 2015 budget speech in parliament, promised an uncompromising push for higher education transformation in the wake of various student-initiated movements, such as the “Rhodes Must Fall” campaign at the University of Cape Town (UCT); the “Open Stellenbosch” movement at Stellenbosch University (SUN); and transformation battles at North West University (NWU) and many other university campuses across the country. As Dr Nzimande stated, “Despite the significance of symbols, such as names and statues, we must not conflate these with more fundamental matters of transformation. There remains an urgent need to radically change the demographics of our professoriate; transform the curriculum and research agendas; cultivate greater awareness of Africa; eliminate racism, sexism and all other forms of unjust discrimination; improve academic success rates; and expand student support”.

Such criticisms clearly resonate strongly with the experiences of many black students and staff members at historically white universities, but they are by no means limited to these institutions. Any careful analysis of the data and experiences of stakeholders will reveal that all our institutions, historically white and black, face the multiple, both varied and common challenges of transformation. There are, to be sure, many good practices, pioneering experiments and in some cases,

noteworthy breaks in the proverbial “glass ceilings” to be found all across the sector, often led by groups of academics, innovative managers, student organisations and leaders. However, there are also many other instances of reactionary and unacceptable practices coexisting in the same “system”.

If we accept that “transformation” is a process, and not an absolute datum or historical point, we must also insist this assertion is not used as an excuse for shifting its imperatives to an indeterminate timeless future. Even changes that cannot be produced in a short time span have to begin somewhere, and that time is now.

Taken as a whole, the “state” of change in the sector is highly uneven, contradictory and complex. Thus, a better understanding of this landscape of change (or otherwise), requires us to disaggregate the most important areas in which we think a critical assessment should be made of higher education’s transformation “balance sheet”. We believe that the most important areas include: the teaching and learning environment; research and intellectual cultures; universities and their roles in society; the student environment; the staff environment; institutional cultures; governance, management and leadership; and funding and infrastructure.

Recent demands for “transformation” have come from a wide range of quarters including students, academic staff, administrative and the wider public, and have been articulated in diverse terms. At times they echo common themes and at other times raise institution-specific issues, often reflecting differing views or points of emphases. We believe that these emerging voices, together with other critical voices in the sector, mark an important historic moment in the history of our democracy, some 21 years since South Africa’s first democratic elections; a moment in which universities, perhaps for the first time, are being pressed by progressive voices to gain greater courage, vision and commitment to both internally transform themselves to better reflect the promise of our Constitution; to become advocates for a more socially-just and equal social and economic order. In a sense, it could be contended that the current “legitimation crisis” of universities is also a legitimacy crisis of the existing social order.

If one reflects on the history of “transformation struggles” in South African higher education, themselves marked by moments of “punctuated crises”, it can be seen that there are important historical continuities between current demands for transformation and previous generations of critical voices for change in the sector; most notably, the militant voices on university campuses of the late 1980s and early 1990s, and even earlier periods, such as the Black Consciousness period of late 1960s and 1970s when progressive voices (students, academic and administrative staff) vigorously campaigned for key social demands touching on the nature, purposes and role of our universities. Many of these demands were eventually captured in the vision, mission and policy goals set out by the first democratically-elected Government after 1994.

Their most eloquent expression is to be found in the White Paper on Higher Education Transformation of 1997, and reflected, in some measure, in the Higher Education Act of 1997. In the years thereafter, subsequent policy interventions dealt with issues that were not clearly spelt out in the first generation policies; notably, the National Plan for Higher Education (2001); a New Institutional Landscape for Higher Education (2002); the Report of the Ministerial Committee on Transformation and Social Cohesion and the Elimination of Discrimination in Public Higher Education Institutions (2008); the Declaration of the Higher Education Summit (2010); the National Development Plan (2012); the terms of reference of the Ministerial Oversight Committee on Transformation in South African Public Universities (2013); and more recently, the White Paper for Post-school Education and Training (2014)³.

The cornerstone higher education policy document that clearly states the transformation imperatives facing the sector, inherited from colonialism and apartheid, has been the White Paper on HE Transformation (WPHET) of 1997. The WPHET calls for a new system of higher education based on:

- equity of access and fair chances of success to all who are seeking to realise their potential through higher education, while eradicating all forms of unfair discrimination and advancing redress for past inequalities;
- meeting, through well-planned and co-ordinated teaching, learning and research programmes, national development needs, including the high-skilled employment needs presented by a growing economy operating in a global environment;
- supporting a democratic ethos and a culture of human rights by educational programmes and practices conducive to critical discourse and creative thinking, cultural tolerance, and a common commitment to a humane, non-racist and non-sexist social order; and
- contributing to the advancement of all forms of knowledge and scholarship, and in particular addressing the diverse problems and demands of the local, national, southern African and African contexts, and upholding rigorous standards of academic quality.

The WPHET was followed, some 16 years later, by the White Paper on Post-School Education and Training (2013) (WPPSET) that provided an integrated policy framework for an expanded, differentiated and internally articulated post-school education and training system in which universities are located. The WPPSET asserts the following:

“It is close to twenty years since South Africa discarded the apartheid regime and replaced it with a democratically elected government. Much has been achieved since then, but much remains to be done to rid our country of the injustices of its colonial and apartheid past. Deep-seated inequalities are rooted in our past; it is not by accident that the remaining disparities of wealth, educational access and attainment, health status and access to opportunities are still largely based on race and gender. A growing black middle class has been empowered by the new conditions created by the arrival of democracy, and its members have managed to transform their lives in many ways. However, the majority of South Africans have still to attain a decent standard of living. Most black people are still poor; they are still served by lower-quality public services and institutions (including public educational institutions) than the well-off. Patriarchy, also a legacy of our past, ensures that women and girls continue to experience a subordinate position in many areas of life, including in much of the education and training system”.

It further contends that “other inequities also exist irrespective of race or gender, although often aggravated by them: differences based on socio-economic status, ability/disability, or health status (especially HIV/AIDS status). People born and living in poor rural areas have fewer opportunities than urban residents, and those in townships and informal settlements do not fare as well as their suburban counterparts. The main victims of the growth in unemployment are the youth, the particular focus of the DHET’s attention. Historical disadvantages need to be redressed if we are to move towards a more just and stable society”.

The above clearly sets out a range of formidable challenges to our universities. And some 21 years after the fall of the apartheid system, it is appropriate for us to take a sober, balanced and self-critical look at how far we have come in taking up the challenges set by South Africa’s Constitution and policies on higher education.

If we can periodise the last 21 years of higher education development, we can possibly distinguish between two overlapping phases. The first phase, roughly from 1994 to 2007, tended to take as its main and understandable focus, the setting up of the new system - macro-structural, planning, governance, and regulatory and funding norms for the post-apartheid higher education system. This took an enormous amount of time, resources and struggles, taking on many of the “first generation” transformation questions that faced higher education in the period immediately after the demise of the apartheid system, of integrating the racially-segregated universities into a single system of higher education; de-racialising the policy system on the basis of which that system previously functioned; imposing common funding, planning and steering norms to guide the development of the new system; setting up the National Student Financial Aid Scheme (NSFAS), the Council for Higher Education (CHE), and so forth.

Although some legacy issues (e.g. some post-merged institutional dynamics, structural under-funding of the new system) of this first phase still remain unsolved to date, the major elements of this period of institution-building are now largely in place, functioning in a relatively more integrated, national and regulated environment than in the apartheid milieu.

In the second phase, from around 2008 to date, policy attention shifted to within-system issues, such as the effectiveness (impact) and efficiency (costs) of higher education; institutional culture; language policy and practices; equity of access and success; the production of new generations of academics; and diversifying the equity profile of staff, and so forth. The new focus on these issues, in large measure, is the result of growing pressures from within higher education itself – radical student voices, unions, institutional forums, academics and leaderships across the sector – and from outside the gates of universities (political parties, social movements, etc.). The logical thrust of many of the critiques being offered by this new generation of voices appear to point towards not only the limits of present institutional, social and funding arrangements within higher education, but also its root causes in the nature of the post-apartheid political and economic “settlements”; a critique of not only higher education, but of the nature of the economic and political system.

4 How have we done and what has to be done?

If we examine the higher education transformation “balance sheet” of the past 21 years since democracy in dispassionate, self-critical and balanced terms, it would surely reveal a mixed picture characterised by advances in specific areas, often in sharp contrast with substantive parts of the higher education landscape, which has hardly changed in 21 years. In the section below, an attempt is made to provide a critical, but summary assessment of eight (8) of the most critical areas of higher education transformation, touching on: the challenges of governance, management and leadership; the student environment (access and success); the staff environment (equity); institutional cultures; the teaching and learning environment; research and intellectual cultures; the role of universities in society; institutional equity; and the political economy of higher education funding.

In assessing the gains, failures and challenges of each of these aspects of the higher education environment, it seems necessary for us to view them as inter-connected with one another, and as integral to a relatively integrated, but contradictory system of higher education, in which institutional transformation trajectories are simultaneously shaped by the intersection of State policies on: funding and steering; institutional strategies; social forces within and beyond universities; and crucially, the economic system. The stresses and pressures for change from within universities, we believe, cannot be properly understood in isolation from the wider socio-economic and political order in which higher education is embedded.

Universities are microcosms of society, and their nature, role and functions cannot be adequately understood outside of their problematic intersection with state, markets and civil society. A failure to grasp the impact of these forces, particularly State policy and Markets, on universities, and therefore their conditioning effects, will result in an over-estimation of the “agency of possibility” of universities, the exoneration of state policy and capitalist markets in crucial aspects of the reproductive logics of universities, and a reliance on “voluntaristic” notions of political change. Can we truly achieve a fully transformed higher education system in the context of the failure of state policy to adequately support public higher education and an economic order that distorts its purposes?

Whilst a critique of the effects of state policy and market forces on the state of our universities, by no means should exonerate institutions from having to face up to their role in framing institutional responses to these pressures and expectations, we also believe that the critique of university transformation must, *per force*, entail a critique of the dominant social and economic order in which universities in South Africa are expected to promote distinctly “public good” purposes in the context of declining levels of State funding and inequalities in the economy and labour markets generating distortionary effects on universities.

4.1 Governance, management and leadership

If we compare the present governance arrangements at most universities to that which existed in the period immediately after the transition of apartheid, there can be little dispute that we have seen major shifts away from racially-based, authoritarian, discriminatory, exclusionary and elitist regimes of the apartheid era. This was largely due to sweeping new changes in governance requirements made possible by the introduction of the Higher Education Act of 1997. The Act enabled a new policy and regulatory dispensation, which reconstituted the internal governance arrangements of universities and its oversight by Government and Parliament. It provided for a new set of principles, such as cooperative governance, transparency, democracy and inclusivity, and the creation of broadly more representative Councils, Senates and other committees, as well as new structures, such as Institutional Forums.

The new policy framework was both prompted by, and itself facilitated, intense political pressures from students and staff in the 1990s, to bring about wide-ranging changes: more diverse Councils; a new generation of black Vice-Chancellors and senior leaders; new union and stakeholder voices; and a revisioning of the public mandates of universities to support the national development objectives of the country. However, these disruptive changes were by no means uniform across the sector, with some more conservative university Councils remaining largely intact and with this, dominant sub-cultures and networks. Public attention, at the time, seems to have been largely focused on historically black universities and former technikons that were rocked by instability and leadership crises.

Taken as a whole, although the post-1994 period saw many “top-level” changes in Council and senior university leaderships, it did not necessarily see transformation “trickle down” to the “lower” levels, especially in Senates, Faculties and university administrations – what many consider to be the sources of “deep power” within universities.

Similarly, and perhaps because of this, many of the dominant “*cultures of governance and leadership*” simply morphed into the new era, with its essential features, symbols and practices left more or less unbroken. The politics of governance was the subject of intense policy debates in the early 1990’s, and the push by progressive voices led to the principles of cooperative governance, transparency and consultation inscribed into the statutes of most universities. However, by the end of the decade, there appears to have been a shift away from “cooperative” to “corporate” governance norms, especially

with the introduction of King 3 reporting and DHET reporting standards; the former, with its origins in the democratic struggles of the 1990s, with the latter transposed from the private sector in the 2000s. There appears to be various points of tension in university governance, often tied up with how different interests groups are able to gain access to, or are marginalised from, key decision-making structures rooted in these different traditions of governance.

Although the quality and stability of university governance at a number of universities (e.g. Zululand, Walter Sisulu, TUT) has recently been under media and public scrutiny, it is by no means a recent issue. Indeed, much of the first decade after the transition to democracy was consumed by major upheavals and crises around the “political” legitimacy of university leaderships, including Councils. In many instances, fairly successful transitions came about, with a number of universities experiencing relative stability over the years. However, instability persisted at a number of universities despite changes in leaderships, with persistent problems of maladministration, instances of corruption, weak systems, and lapses of proper oversight and risk management.

Between 1994 and 2012, the Ministry of Higher Education and Training appointed no fewer than 14 assessors and administrators to deal with various crises at specific higher education institutions, ranging from governance breakdown, maladministration and the near collapse of institutions. Although this is often directed AT HDIs, there have been leadership problems across the sector. The fact that universities face such problems from time to time is not the key problem, which is rather how they deal with them. After all, corporate and public institutions also face these challenges in their life histories. If, however, such problems become endemic, ingrained and self-perpetuating, thus undermining the normal functioning and integrity of an institution, they require more fundamental interventions.

It is also important to note that all complex institutions are internally differentiated, largely for functional purposes, such as the distribution of various teaching, research, engagement and administrative functions, usually organised along the lines of faculties, departments, schools, centres, institutes, and intellectually, “schools of thought”, disciplinary networks, etc. This feature often tends to lead to the evolution of particularistic networks, relationships and forms of identity. When such associations, however, tend to crystallise along racial, class, gender, sexual orientation lines or other discriminatory courses, it directly undermines the principle of inclusive diversity, especially if dominant sub-cultures act as “political power blocs” conserving arcane and reactionary interests in blatant opposition to progressive transformation goals.

Some writers have pointed to the role that alumni, “ethnic”, academic, intellectual and political “cabals” play as “shadow governments” on some campuses, by promoting “race” and “ethnic” (and one might add, gendered) networks and career advancement (see Law, Phillips and Turney, 2004). Such networks are often based on various regimes of patronage and the accumulation of power, influence and resources that do not have the principle of equal opportunity as their inherent basis. Whilst sub-cultures and networks forming to promote and facilitate various kinds of administrative, functional and intellectual activities is an inescapable feature of university life, when such networks mutate into exclusionary associations or “fraternities”, circulating and monopolising opportunities and resources in research and exchange experiences, they undermine the very idea of the university as “an open society”. This forms part of the much talked about institutional culture at universities.

Going forward, a number of *interventions* may be necessary to deepen the quality of transformation in governance, management and leadership:

- the possible establishment of a *Higher Education Leadership Academy* could be considered: this could assist all institutions to develop the requisite expertise in academic and administrative leadership and at management and governance levels; and
- efforts to reach consensus amongst higher education institutions on the principles underpinning their “cultures of governance”, including the right balance between “cooperative” and “corporate” principles and modes of governance, need to be undertaken.

4.2 The student environment: equity of access and success

Gross enrolment data since 1995 show a dramatic expansion of South Africa’s higher education system, marked by almost consistent increases in overall and particularly, black enrolment patterns, in sharp contrast to the period before the onset of democratic rule. Between 1995 and 2014, the sector grew from 480 000 to 980 000. From 2007 to 2012, black African and coloured student headcount numbers increased from 476 768 to 662 123 and from 49 069 to 58 692 respectively; whilst Indian and white student headcount numbers fell from 52 596 to 52 296 and from 180 463 to 172 654 respectively, for the same period (CHE, Vital Stats, 2012). Headcount enrolment by gender for the same period shows male enrolments growing from 338 549 to 398 368, whereas female enrolments grew from 422 535 to 554 840. The racial profile of HE headcount enrolments compared to the general racial population spread of black Africans (80%), coloureds (9%), Indians (5%) and whites (9%) in 2012 shows that black African students comprised 69%, coloureds, 6%, Indians, 5%, and whites, 18%, of the overall student population (ibid).

The massive increase in gross enrolments, and the changing social composition of the student population since 1994 had a dramatic impact on the demographic profiles of student populations in historically white universities, although its “spread rates” were not uniform across the sector, with some institutional data showing slower rates of intake of black students. Enrolments at historically white institutions show “a lower proportion of black representation than their demographic representation, and white students remain concentrated at the historically white institutions. Conversely, the historically black institutions remain almost exclusively black. Social class is a factor at play here: if access, opportunity and outcomes were previously shaped by “race”, they are now also (perhaps largely) conditioned by social class” (HESA, 2014).

Whilst we have seen major changes in gross enrolment rates and the social composition of our student population, South Africa’s gross participation rates (the measure of higher education enrolment relative to schooling population) if compared to other middle-income countries, is still significantly low. At the time of transition to democracy, the gross national HE participation rate was 17%, but the rate of participation for black African, coloured and Indian students stood at 9%, 13% and 40% respectively, in contrast to 70% for whites (HESA, 2011). By 2012, the participation rates of black African and coloured students were 16% and 14% respectively, if compared to 47% for Indian and 55% for white students for the same year; and with a gross national participation rate of 19% (CHE, Vital Stats, 2012). With a real growth of only 2% between 1994 and 2011, South Africa still lags considerably behind OECD participation rates in most OECD countries, and is some way behind the projected target of 25% set by the National Development Plan (NDP) for 2020.

At the same time, increased enrolments for much of the same period have not been mirrored by comparable rates of student academic success, particularly among black students, if measured by throughput, success, graduation and drop-out rates. The data shows, for example, black African, coloured and Indian students achieving 74%, 77% and 78% in average course success rates respectively, with white students achieving a national average of 84%; and 74% for male and 78% for female students respectively. Graduation data for 2011 show a national average of only 15%, compared to international norms of 25% for three-year degree programmes. In 2010, the black African graduation rate stood 16%, and that for white students, at 22%, with an average of 17% (CHE, 2012:9). In so far as throughput and drop-out rates for a three-year degree at contact institutions are concerned, 16% of African students that began study in 2005 graduated in the minimum three years, 41% graduated after six years, and 59% had dropped out. In the case of white students the comparative figures were 44% of students graduated in the minimum three years, 65% graduated after six years, and 35% had dropped out (CHE, 2012:51). The figures for three-year diplomas at contact institutions were worse: after six years 63% of African students had dropped out and 45% of white students (CHE, 2012:50). A recent CHE study notes that “only about one in four students in contact institutions...graduate in regulation time”; only 35% of the total intake, and 48% of contact students, graduate within five years”, and that “it is estimated that some 55% of the intake will never graduate” (CHE, 2013:15).

It is widely agreed that this scenario of an expanded higher education system marked by *‘a lack of growth, low participation, high attrition, low completion and variable quality’* needs to be urgently and decisively turned around. Its causes are typically multi-fold and multi-dimensional. This includes, inter alia:

- significant parts of the academic systems across all universities that have not fully adapted to being more responsive to the realities of highly segmented, socially diverse and cognitively differentiated learning communities; and many institutions where student support systems are weak, under resourced and unable to provide high-quality, holistic student life experiences;
- inadequate student financial support to ensure the costs of study (tuition, accommodation, books, transport, meals and subsistence) for particularly poor and working class students, are fully covered via an optimal, effective and well-governed NSFAS dispensation; and with this, weak national and institutional support systems that are often unable to provide the necessary infrastructure, facilities and services to underpin a better student funding model;
- unacceptably and unsustainably high student : lecturer ratios at many institutions across the system, reducing the ability of lecturers to effectively attend to student needs;
- unevenly spread high-quality teaching and learning infrastructure, including optimised teaching venues, able to provide equity of access to students, and the ability to harness complementary social technologies such as blended learning;
- curriculum structures at undergraduate degree levels, typically designed for highly compressed learning experiences favouring a smaller segment of the student population, not accommodating multiple temporal tracks, and not making sufficient provision for differentiated forms of teaching and learning support; and
- historically low perceived status of learning, and learning as scholarship and praxis, in contrast to the disproportionate importance and ideological status conferred on the “research” mission of university by leaderships, media and ranking systems.

- In tackling the challenges of both improving the rates of participation and enrolment to match the development needs of South Africa and drastically refining the quality and equity of academic success across the system, several *interventions* may have to be implemented in order to go forward:
- a nationally-coherent system of student academic development to cope with diverse learning communities, supported equitably across the system with high-quality teaching and learning and social support;
- a properly funded NSFAS system underpinned by competent and optimally resourced student support services and infrastructure at institutional levels, particularly accommodation, transport and social services;
- the construction of a wider and more diversified public-private funding system to drastically boost gross funding for student financial aid by engaging the Public Investment Corporation (PIC), the Development Bank of SA (DBSA), the Unemployment Insurance Fund (UIF) and commercial banks in raising the current levels of investment;
- investment in decreasing unacceptably high student: lecturer ratios within benchmarked norms across the sector via dedicated remedial interventions via the subsidy formula;
- targeted support for improvements in the scope and quality of the teaching and learning infrastructure, especially at historically disadvantaged universities and campuses;
- consideration for the CHE-mooted idea of developing a four-year undergraduate degree structure, taking into account the complexities and challenges this will bring, but which should provide for a more flexible and realistic basic undergraduate degree framework to respond better to our differentiated learning communities; and
- ensuring all universities recognise, promote and support teaching and learning as critical to the core functions of the academic system, and able to draw on the best policy, system and intellectual and technical support from within the university system.

4.3 The staffing environment at universities

This dimension of the social transformation of universities is perhaps the most glaring collective failure of the sector to date. Overall, university staffing demographics, and that of the academic class in particular, stand in sharp contrast to the changes we have seen in 21 years in the student enrolment patterns of our universities. “Racism and patriarchy as key features of colonialism and apartheid profoundly shaped the social composition of academic staff” (HESA, 2014). In 1994, 83% of academics at South African universities were white, and 68% male, with black academics comprising 17% in the context of black South Africans constituting 89% of the population. The under-representation of black Africans was especially severe; making up almost 80% of the population, they constituted 10% of the academic workforce.

Over the past two decades there has been some movement, but, as is well known, not adequately across the system, more especially at historically white universities. In 2012, of the full-time permanent academic staff of 17 451, 53% were white and 55% male. The distribution of academics across universities has continued to broadly follow the historical contours of “race” and ethnicity (DHET, 2010); and in many cases, these patterns have been perpetuated in the recruitment strategies of universities.

Post-1994, South African universities are faced with three broad challenges in respect of academic labour. First, the system, as a whole, desperately requires the production and retention of an expanded academic labour pool with a more sustainable age and experiential profile. Significant parts of the current system, particularly at poorly resourced institutions, are struggling with unacceptably high student: lecturer ratios.

The large increase in student enrolments over the past 20 years “has not been accompanied by an equivalent expansion in the number of academics” (DHET, 2013: 35). Expanding higher education enrolments and the establishment of new universities mean that a larger academic workforce is required. Given the current retirement age, varying between 60 and 65, in the coming decade over 4 000 (27%) of current academics will retire, including 50% of the most highly qualified professors and associate professors (HESA, 2014).

The second, and simultaneous challenge is changing the social composition of the academic work force through active, directly resourced and targeted equity interventions. Clear policies and instruments to enable this to take place should be put into place at all institutions, aligned to, and aided by a sustainable budget. Councils, VCs and institutional leaders should take direct responsibility for driving the targets and outcomes set for changing the social profile of the academic community at all our universities. The third challenge is to significantly raise the intellectual and academic capabilities related to teaching and learning, research and community engagement that are fundamental to the transformative role of our universities (ibid). Our task is therefore to grow (academic corps), recompose (demographic profile), and raise the transformational capabilities of all academics.

“A failure to invest in and cultivate the next generations of high quality academics will have far-reaching consequences. Social equity and redress and the scope and pace of the deracialisation and degendering of the academic workforce will be compromised. The quality of academic provision will be increasingly debilitated, with consequences for the capabilities of universities to produce high quality graduates and knowledge. The goal of transforming and developing South African universities, including enhancing their teaching and research capabilities, will be constrained. The ability of universities to contribute to development and democracy through new generations of outstanding scholars that are committed to critical and independent scholarship and social justice will be hampered” (HESA, 2014). The greater inclusion of blacks and women in knowledge production, and transforming the very forms of production of knowledge is a necessary condition for a transformed higher education system.

A number of *interventions* are required to be simultaneously implemented at both institutional and sector levels, including:

- rapid expansion of the Next Generation Academic Programme (nGAP), with double the amount of annual funding to achieve scale across the sector and sustained over the next two decades to systematically recruit, grow, retain and develop equity staff at all levels – and funded by an additional Treasury allocation, rather than ad hoc allocations from the National Skills Fund;
- strong, explicitly rendered institution-based policies and programmes, supported by resources and staff, to translate national imperatives into institutional advances in support of equity staff, and leaderships, up to Vice-Chancellors and Councils taking direct responsibility for ensuring its success;
- considering the establishment of a Higher Education Academy to provide dedicated and comprehensive development support for academic leadership, especially providing opportunities for equity staff development; and
- developing structured mentorship and coaching programmes at institutional levels to support aspirant academic leaders, especially those from equity backgrounds, to ensure there is the transfer of knowledge and expertise.

4.4 The cultural and social environment at universities

This issue – commonly termed “institutional culture” – is, apart from equity, one of the most publicly charged aspects in higher education transformation debates today. Its resurgence in higher education and media debates is largely, though not exclusively due to critical voices and pressures arising from new student movements and academics critical of the existing order. It has thus far found its most articulate and robust expression in the “Rhodes Must Fall” movement, and has generated fierce debates on the role of “culture” in the intellectual assumptions on which most universities in South Africa have been founded, including the dominance of Eurocentric epistemology, pedagogy and curricula, and its silences, if not hostility to knowledge, culture, ideas and traditions from and about African realities, and more specifically, black experiences.

These voices point to the *cultural* origins and production of social power via which, it is argued, dominant subcultures succeed, over time, in controlling and shaping political, social and intellectual authority at universities. Institutional culture, thus understood, refers to the cultural framework (norms, values, codes, rituals, symbols and practices) via which social and intellectual behaviour is regulated within universities, and particularly within academic systems. The social and cultural assumptions are inscribed through more or less cohesive formal, semi-formal and informal codes and prerequisites into different parts of the regulatory and decision-making systems of universities, including its symbolic orders, over time becoming “naturalised” as “the way things are done”. This “default logic” is not only used as a means of seeking acceptable levels of conformity of those “inside”, but also often acts to screen out and marginalise dissident voices. Its power is reinforced by a dominant sub-culture succeeding in asserting its values and ways of thinking about the world as the “institutional” codes of conduct, and ensuring a form of social hegemony.

There has been much written about the sense of deep alienation and marginalisation felt by many black students at former white universities, and the frustrations of black staff wishing to find their place within an established order of social relations and power; for black students, having few black role models within the academy, and not seeing their own existential experiences being sufficiently reflected in largely Eurocentric curriculum systems; and black academics, struggling with a sense of powerlessness, having to fit into an order requiring no dis-establishment. The sense of alienation has fuelled deep anger and resentment, itself acting on the back of a more general critique of the black intellectual and his/her social experiences since the transition to democratic rule: feelings of economic and social impotence, despite the transfer of political power to majority rule in 1994.

However, it must be said that no South African university is without challenges with respect to the search for institutional cultures fully embracing and promoting the principles of diversity, inclusivity, multiculturalism and equality. After all, our students and staff bring their cultural beliefs and ideas into the university, and, like all human beings, draw on them to make meaning of the new realities of the university environment. Here, they have to establish relationships with institutions already set in particular ways in which they often struggle to “see themselves” in the symbolic orders (rituals, symbols, heritages), languages, and canons of knowledge production on which our institutions are founded. It is clear that the issue of overcoming the alienating conditions of blacks at many historically white universities require firm and clear interventions. However, “alienation” is experienced, albeit in different forms across the sector, including historically black universities. If racism has been cited as a dominant form of alienation at many historically white universities, there have been many reports of ethnicity, tribalism, patriarchy, homophobia, sexism and xenophobia at a number of historically black universities.

It is clear that we need to overcome the categories of “black” and “white” institutions, even with the “historical” prefix, as they simply perpetuate unreconstructed legacies in different forms. For this to happen, all our institutions should eradicate reactionary and arcane cultural and social practices, and fully embrace our nation’s diversity. Furthermore, under-developed universities should be fully recapitalised to ensure they can provide equitable access and support to achieve success. To create a university system based on the principles of inclusivity, diversity and equity means we must, per force, promote non-racist, non-sexist, non-homophobic and anti-discriminatory institutional cultures for all students and staff – a precondition for democratic citizenship at universities.

For institutional cultures to shift, it is necessary, indeed vital, for demographic diversity to be fully realised in our staffing structures. A multicultural and diverse staffing complement brings with it new experiences, identities and cultures on the basis of which we can build *new* institutional cultures. The inclusion of blacks and black women in particular, especially in the academic system, is a necessary, but not a sufficient condition for the transformation of the university; it must be accompanied by the *simultaneous* transformation of the cultural codes through which institutions derive identities and modes of “being”.

Institutional cultures directly shape, and are shaped by, the dominant social, cultural and intellectual relations that make up the “*social structure of the academy*” - a “system of rules and practices that condition the terms of production and dissemination of knowledge. The social structure of the academy consists of rules, institutions, and practices, and is embodied in the actions, thoughts, beliefs, and “durable dispositions of individual human beings, and provides the networks via which roles and powers are assigned to groups and individual actors, with their distributive consequences” (Keet, 2014).

Until recently, despite periodic incidents and criticisms in the media, very little systematic work has been done at a national level to transform university institutional cultures. Usually, responses have been ad hoc, institution-specific, incident-related, and not incorporated into the wider cultural frameworks defining institutional cultures. If we are to confront and successfully tackle the challenges of institutional cultures at universities, a number of *interventions* may have to be considered, *inter alia*:

- universities initiating “social audits”, with *multi-stakeholder participation*, of all university cultural frameworks – symbols, rituals, language and communication practices and systems, associated networks – against the requirements of the Constitutional promise of an open, democratic, inclusive, diverse and affirming environment; and tabling measures with university communities for its recodification and re-development;
- adopting university-based *Institutional Culture Charters* stating explicitly each university’s core principles, values, and commitments to students and staff; and ensuring that this is built into all staff induction and student orientation programmes;
- putting in place institution-wide *Institutional Culture diversity management programmes* to involve all levels of university staff and students, and creating institutional capability and resources to make this effective; and
- implementing and ensuring the responsiveness of robust anti-racist, anti-sexist and other anti-discriminatory policies and programmes to hold individuals or groups accountable for behaviour antithetical to a transformed university environment.

4.5 The research and intellectual cultures at universities

In terms of *research capacity and output*, it is widely agreed that South Africa's science and knowledge production system fares well in relation to the rest of Africa. It produces the bulk of scientific research in Africa, and a virtual doubling of the number of postgraduate (postgraduate diploma/honours, master's and doctoral) students; the 138 608 students making up 15.5% of the total student body; 99 224 (71.6%) were black students and 77 957 (56%) were women students (CHE, 2012: 20). During the same year, there were some 40 124 graduates: 30 083 postgraduate diploma/honours graduates; 8 618 master's and 1 423 doctoral graduates; 25 404 (63.3%) of these graduates were black and 23 782 (59.3%) were women (ibid: 21).

However, if benchmarked in international terms, there are shortcomings and constraints. Postgraduate student enrolments and outputs remain low in relation to the national economic and social development needs. Between 1995 and 2010 there was a marginal increase of 1.8% in the size of the postgraduate student body. There are relatively poor graduation rates for master's (19% against a benchmark graduation rate target of 33% established by the 2001 National Plan for Higher Education) and doctorates (13% against a target of 20%) (NPC, 2011).

There are also differing graduation and success rates between black and white students: in 2010, graduation rates were between 24% and 34% for black students and 37% for white students; postgraduate success rates were between 65% and 74% for black students and 80% for white students (CHE, 2012.:10;12). Whereas South African universities produced a total of 1 423 doctoral graduates in 2010, the University of Sao Paulo in Brazil alone produced 2 244 doctoral graduates. Korea and Brazil produce 187 and 48 doctoral graduates per million of population respectively, compared to South Africa's 28 doctoral graduates per million of the population.

Only 34% of academics have doctoral degrees, which is generally a prerequisite for undertaking high quality research and supervising doctoral students. The research performance of universities is highly uneven, with 10 universities producing 86% of all research and 89% of all doctoral graduates. South Africa also lacks the dense networks between universities, state and business that are found in other countries, which facilitate the movement of people, knowledge, expertise and experience between universities, the public and private sectors, and innovation. It has been suggested that "there is every indication that knowledge output (as measured in terms of article production) may have reached a plateau at around 7 500 article equivalents per year (which constitutes about 0.4% of the total world science production)"; that it is doubtful that doctoral graduations can be increased unless "a number of systemic constraints, such as the size of the pipeline from honours onwards and the limited supervisory capacity in the system" can be addressed, and that "both the volume of output and overall productivity of institutions will decline" unless the academic work force is broadened considerably to include "many more black (and to a lesser extent female) academics who publish and regenerate the workforce" (Mouton, 2010).

The 2012 Green Paper acknowledges that "the number of overall postgraduate qualifications obtained, particularly PhD graduates, is too low." (DHET, 2012: 11). One "significant constraint on the ability of many students to obtain master's and PhDs" was poverty "as poor students are under enormous pressure to leave university and get a job as soon as possible" (ibid.: 13). It is recognised that "overall postgraduate provision deserves attention and that we need to drastically increase the number and quality of both the master's and the PhD degrees obtained" (ibid.: 42). It is suggested that "improvement of undergraduate throughput rates must be a key strategy for increasing graduate outputs... and providing larger numbers of students available for postgraduate study" (ibid.: 42). The NPC proposes that "by 2030 over 25 percent of university enrolments should be at postgraduate level" (15.5% in 2010) and emphasises that "the number of science,

technology, engineering and mathematics graduates should increase significantly”; more specifically, by 2030 there should be “more than 5 000 doctoral graduates per year” (1 423 in 2010) and “most of these doctorates should be in science, engineering, technology and mathematics” (NPC, 2012: 319).

The target of 5 000 doctoral graduates by 2030 is ambitious. A major constraint is that funding for postgraduate study (especially full-time study) through the National Research Foundation, and the size of the awards provided is severely inadequate. If South Africa is to ensure greater opportunities for participation by indigent students in postgraduate study, significantly more investment will be needed in postgraduate and especially doctoral level study. At many South African universities the availability of research infrastructure, facilities, and equipment is a constraint on the greater enrolment and production of postgraduates and especially doctoral graduates; this is so even at the 12 universities that produce 95% of doctoral graduates and the bulk of peer-reviewed scientific publications. The challenge of the enhancement of institutional capacities is, however, not reducible to infrastructure; it also relates to the academic teaching and supervision capacities to expand current and mount new doctoral programmes, and the institutional capacities for managing substantial expansion in postgraduate programmes.

In so far as improving the proportion of academics with doctoral qualifications is concerned, the NPC target of 75% by 2030 may be extremely ambitious, not least for the reasons noted above. It will require a dedicated national programme, supported by adequate funding. Yet it cannot be assumed that academics with doctorates will be accomplished supervisors of doctoral students; attention has to be given to equipping academics to supervise effectively through formal development programmes, mentoring and experience in co-supervising, alongside experienced supervisors. More effective supervision could contribute to improving current below benchmark postgraduate throughput and graduation rates.

Clearly, if HE is to reach the targets set by the NDP as stated above, a number of policy interventions are required:

- a nationally-funded Staff Doctoral Programme to enable all universities, particularly those with fewer
- “research-intensive” capabilities, to grow the ratio of academic teaching staff with doctorates in line with the required projections, and support for their supervisory and research capacity development; and
- in line with the above, developing a nationally integrated Post-Graduate Development Programme aimed at boosting rates of production of post-graduates, including doctorates, aligned to NDP targets, by combining institution-based and nationally-funded initiatives more systematically.

In relation to the intellectual dimensions of the social relations of knowledge production, there is still a great deal of rethinking and transformative work ahead. The production of knowledge (research, teaching) and its dissemination via curricula and pedagogical processes are socially-mediated processes framed in complex ways by the intersections of race, class, gender, culture, historical experience, language and context.

From a historical perspective, higher education in South Africa and on the wider African continent, perhaps more than Latin America and Asian countries which were under the yoke of colonial conquest and domination, has been deeply embedded in, and developed largely along, the intellectual pathways of western epistemologies of knowledge. Like our institutional cultures, much of our scholarly systems and canons of knowledge – with their strong bases in disciplines - arose from, and largely evolved within, the discourses of western thinking. For a long time, and to a great extent today,

very little indigenous knowledge has found its way into these scholarly systems; and where it has, has been either relegated in the hierarchies of worthiness, or marginalised or distorted, and largely read through the lenses of western narratives.

It is true that “western” thought is not internally homogeneous, neither has it remained invariant over time, with African scholars having made major contributions to its development. Yet, it is also true that the imperial and racist assumptions of western thought were used to rationalise and impose centuries of brutal colonial and imperial rule. Moreover, many of these assumptions – despite the emergence of progressive and “enlightened” traditions within western thought – have continued to shape the terms of post-colonial “settlement” and “development” across the African continent since the 2nd World War.

A key challenge at the heart of higher education transformation in South Africa therefore is how to engage effectively with the historical “legacies of intellectual colonisation and racialization” and patriarchy (Du Toit, 2000: 103). Du Toit argues “that the enemy” in the forms of colonial and racial discourses “has been within the gates all the time”, and that they are significant threats to the flowering of ideas and scholarship (ibid: 103). He links these discourses to institutional culture and academic freedom: cultures characterised by colonial and racial discourses endanger “empowering intellectual discourse communities” and the “ongoing transformation of the institutional culture” is therefore a “necessary condition of academic freedom” (ibid.).

Higher education transformation entails decolonising deracialising, demasculinising and degendering South African universities, and engaging with ontological and epistemological issues in all their complexity, including their implications for research, methodology, scholarship, learning and teaching, the curriculum and pedagogy. It presents the challenge of creating institutional cultures that genuinely respect and appreciate difference and diversity – whether class, gender, national, linguistic, religious, sexual orientation, epistemological or methodological in nature – and creating spaces for the flowering of epistemologies, ontologies, theories, methodologies, objects and questions other than those that have long been hegemonic in intellectual and scholarly thought and writing. Thus, Mamdani argues that “the central question facing higher education in Africa today is what it means to teach the humanities and social sciences in the current historical context and, in particular, in the post-colonial African context” (2011). Moreover, he asks what it means to teach “in a location where the dominant intellectual paradigms are products not of Africa’s own experience but of a particular Western experience” (Mamdani, 2011: ibid).

This highlights the point that questions of social exclusion and inclusion in South African higher education extend well beyond issues of access, opportunity and success. They also include issues of institutional and academic cultures, and largely ignored epistemological and ontological issues associated with learning and teaching, curriculum development and pedagogical practice.

Going forward, it may be necessary for more systematic research, led by the National Institute for the Humanities and Social Sciences (NIHSS), in conjunction with key research groups at universities, to enrich curriculum innovations in issues such as:

- decolonisation, deracialisation and degendering of both the social and natural sciences, and an exploration of critical alternatives to dominant discourses, such as “neo-liberalism”, “Eurocentrism” and histories of scientific thought;

- development of a national scale research programme, drawing on both universities and civil society based institutional capabilities, in reclaiming and positioning the contributions of African thought, ideas, history, culture, values and existential experiences (in all their social and intellectual diversities) to the sciences and humanities; and
- innovative, discipline-based and trans-disciplinary curriculum experiments, led by scholars in the field, thus fostering critical thinking and reasoning, not only in the social sciences and humanities, but also in the natural sciences.

4.6 The role of universities in society (engagement)

One of the less emphasised aspects of higher education transformation relates to the purposes and roles of universities in society, and more specifically, their *engagement in society*. Whose interests do we serve? How should we understand “public good” and “public service” mandates in the context of the impact of private norms and demands on universities? Who are our articulated communities of interests? And, how best can we ensure that our scholars and staff use the knowledge and resources of our universities to work towards a more equal and socially just world?

In the years before 1994, during the apartheid and colonial periods, the dominant patterns of university engagement were shaped in direct and deliberate ways by hegemonic interests of ruling elites within the State and Capital. Indeed, university elites for long periods actively collaborated with ruling elites in government and capital to promote, justify and enable the pursuit of white minority interests; English speaking universities (e.g. UCT, Wits, Natal, Rhodes), as is well known, supported the training of elites, particularly in mining, financial and commercial capital; and Afrikaans universities (e.g., Stellenbosch, Pretoria, UFS, Potchefstroom) aligned themselves closely to the Afrikaner nationalist project of apartheid state building, the enforcement of “separate development”, the rising influence of Afrikaner capital, etc; and controlling black universities to perpetuate ethnic balkanisation and the training of the black petty bourgeois. Although radical students and academics dissented at various stages, at times building democratic linkages with black communities, for example during the black consciousness period and the 1980s, official university doctrines were, by and large, allied to ruling interests.

In the post-apartheid period, the Mandela-led Government brought about a radical policy reorientation of the role of universities in society, aligned to supporting the democratic project; to “contribute to the common good of society through the production, acquisition and application of knowledge, the building of human capacity, and the provision of lifelong learning opportunities”, and “to the common good of society through the production, acquisition and application of knowledge, the building of human capacity, and the provision of lifelong learning opportunities” (WPHE, 1997). Universities, in the new policy framework, are mandated to perform three inter-related missions: teaching, research and engagement. However, whilst the policy and regulatory bases of teaching and research have been relatively well supported, though as argued above not adequately developed, the same cannot be said of “engagement”. To date, there is no policy framework governing university engagement.

This may be less due to a lack of conceptual clarity about the nature, objects and different forms of engagement, but perhaps because of its policy and funding implications. Despite the policy vacuum, most universities have evolved engagement policies, and all are engaged in society in a myriad of different ways: “top-driven” and “bottom-driven” linkages; short-, medium- and long-term relations and programmes; industry-centred, civil society-based, labour-focused, public sector and government networks, and so forth. Typically, academics engage via their research projects, as well as training and educational projects with diverse societal interests, both in SA and internationally. Similarly, academics are

involved in an almost infinite range of political, professional, cultural and social projects in society. Student bodies (political, academic, sporting, cultural, professional, etc.) also have diverse linkages in industry and civil society.

It seems neither necessary nor possible to mediate such “horizontal” linkages centrally, and they are in fact, a healthy sign of an open, democratic society. At the same time, institutions should perhaps consider the following:

- setting core values, principles, goals and preferences for societal engagement, thereby fostering the search for a more equal, socially just and democratic society;
- encouraging partnerships in which students and academics join forces to work in democratic alliances with poor and marginalised communities;
- actively funding civic duty and community service of students;
- providing support for partnerships aimed at promoting democratic empowerment and building social capital “from below” with an explicit focus on poor communities;
- using discoveries and innovations as “open source” social technologies for the promotion of “public good” instead of its privatisation and commercialisation where there is a clear case for public interests trumping private gain; and
- negotiating partnerships with the State and Capital on terms which could best advance “public good” interests and democratic goals.

4.7 Institutional equity and transformation

An important dimension of transformation relates to institutional inequities, particularly the impact of accumulated undercapitalisation of many historically black institutions (HBIs) and/or campuses inherited from HBIs as a result of merger/incorporation processes in 2005. Many HBI universities or campuses still face formidable challenges stemming from long legacies of chronic underfunding in infrastructure, staff and student services that, despite periodic, but generally wholly inadequate, policy interventions by Government since 1994, have not yet tilted the balance of economies within these institutions towards lasting sustainability. However, policy interventions alone are not sufficient to meet the challenges of structural inequality for most of these institutions. Fundamentally, many face significant problems in their underlying *business models and economies*, being located in small, rural or peri-urban areas, primarily serving students from poor communities and relatively disarticulated from the urban corporate support networks enjoyed by their urban counterparts.

Unless these two issues, inadequate policy support and economic disarticulation, are resolved, it is unlikely that these institutions will be able to successfully promote the goals of higher education transformation. Firstly, without proper infrastructure, services, solid management and governance systems, they cannot provide equitable services to, and/or attract and retain good quality staff and students. Secondly, without full financial aid, particularly via NSFAS, they will continue to endure chronic instability and dropout rates. And, thirdly, without integration into a supportive local and regional economic system, it is hard to see how they can adequately meet their differentiated mandates of research, teaching and engagement roles in wider society. Therefore, the recapitalisation and economic integration of former HBIs and campuses are a *sine qua non* for both their internal transformation and for playing a transformative role in their wider environments.

It cannot be expected, either by default or design, that HBIs should carry a disproportionate social responsibility - relative to their size and internal demographic composition - of enrolling students from poor communities, whereas a similar class

demographic is often not reflected in the enrolment patterns of many other institutions across the higher education sector. Critics are often quick to point out that former white universities enrol numerically larger numbers of poor students than individual HBIs, ignoring the fact that HBIs still enrol a far greater proportion of students from working class/poor backgrounds. It surely should be a serious consideration that universities and the State agree on setting targets for the enrolment of students coming from poor and dysfunctional schooling backgrounds. Why should this responsibility only or mainly fall on former HBIs? After all, setting enrolment targets for working class students is a common and longstanding practice in countries, such as the UK, to break down inherited and reproductive class inequalities.

Interventions that may be required in this regard include:

- adequate financial recapitalisation of, and administrative capacity building at HBI campuses, focused on core infrastructure in teaching and learning facilities, student accommodation, transport and technology systems;
- closer linkages and integration of rural universities into local and regional economic systems with strong support from local government, business and communities; and
- DHET and universities agreeing on enrolment targets to include proportion of students from working class and poor backgrounds.

4.8. The funding environment in higher education

Is it possible to create a fully transformative and transformed higher education, in which universities have the capacity to fulfil their complex public mandates, in the context of declining (relative to operating costs) levels of state funding to universities? Can we truly achieve student equity of access and success in the context of underfunding the financially-needy and academically-deserving students from rural and urban working class communities? Can we expect universities to produce high rates of student success in the context of large student: lecturer ratios? Can we realistically expect universities to finance the costs of creating low-cost, high quality student accommodation?

Since 1994, Government's support for higher education has been significant. The funding of universities has been on an upward trend, from R11 billion in 2006 to R26 billion in 2013. At the same time, it should be noted that higher education expenditure has been declining in student per capita terms, and in the costs of running universities. It is also declining as a percentage of the Government's budget and of GDP: from 0.76% in 2000 to 0.69% in 2009 (2011: 292). This decline in Government subsidies has put pressure on the other two sources of income available to universities, namely tuition fee income and third stream income (typically research grants, contract income, donations etc). While universities have increased levels of third stream income to some degree these increases have by no means compensated for the decline in Government subsidies, thus leaving universities in increasingly worsening financial positions, compounded by crippling student debt.

Although the allocation to the NSFAS is set to increase from R5.1 billion in 2013 to R6.6 billion in 2016/17, the recent student protests at some universities highlight the sad reality that the allocation is not adequate to meet the funding needs of students eligible for NSFAS loans and bursaries. Apart from the inability of NSFAS to fund the increasing number of eligible students already in the system, three other factors are likely to compound the funding challenge of universities in the coming period:

- the White Paper on Higher Education and Training (ibid) sets a target of university participation rate at 25% by 2030 (representing an enrolment of around 1.6 million students) through planned growth. It also reaffirms the principle of

the cost recovery of loans as the basis for a sustainable national student financial aid model. It further makes a commitment to progressively introduce "free education for the poor in South Africa as resources become available";

- the NDP (2012) also proposes an increase of gross enrolments from 950,000 in 2010 to 1 620,000 in 2030. The Plan admits that a "greater understanding within government is required to acknowledge the importance of science and technology and higher education in leading and shaping the future of modern nations" (ibid). Given this acknowledgement, and despite recognising that funding for higher education as a proportion of GDP has declined, it is disappointing that in a report bristling with targets, the Plan refrains from setting a target for increased GDP funding for higher education, noting only that "additional funding will be needed" (2012: 293) to fund the targeted expansion in enrolments and research. It is becoming self-evident that without such a guaranteed increase in state revenue, attempts at expansion cannot succeed; and
- the class of 2013 achieved a National Senior Certificate (NSC) pass rate of 78%, the highest since 1994. The number of bachelor's passes increased by 60%, and the number of overall passes increased by 32% (DBE, 2014). It is projected that this number of passes will increase in the coming years, putting pressure on universities and other post-school education and training institutions.

Fundamental questions arise: how is the projected student enrolment growth in universities going to be funded? How will NSFAS support be sustained over time, in order to make possible increased participation in higher education to meet both equity and growth targets? What is required to plan for, and adequately resource the expected growth, given the tighter fiscal space and the funding shortfall for students who are already in the system? How does the state align the policy aspirations expressed in the White Paper and NDP and available funding to ensure that enrolment growth, equity and quality are all pursued simultaneously?

5 Differentiation, transformation and the idea of the university

Our higher education system has differentiated itself for well over four decades now, beginning prior to the collapse of the apartheid system to date, yet our policy and funding system has not explicitly come to terms with and provided for an adequate framework for supporting differentiation. The residues of the "classical" university type still form a dominant major part of our thinking, public discourse, the intellectual system of knowledge production, funding models and current strategies of national higher education development. The most well-known, but inadequate mode of differentiation is that stemming from the "institutional landscape" reforms introduced by Government from 2005, with the creation of the so-called "universities", "comprehensive universities", and "universities of technology" types to designate morphologically distinctive types of educational offerings and forms of knowledge creation? Whilst the exact boundaries marking the transition from one to the other institutional "type" is less than clear, and often disputed in the literature, the higher education system has also not been able to codify their supposedly differentiated funding and policy support requirements.

Moreover, beyond these broad distinctions, universities are differentiated across a range of markers including: programme configurations and areas of specialisation; their links to segmented and specialised local, regional, national and international markets for students, staff, resources and intellectual exchanges; their internal funding models; their skills profiles and strategic orientations; the nature and intensity of their links to industry, commerce and public sectors; their application of knowledge and strategies of innovation; their pedagogical and curriculum praxis, and so on.

Whilst almost all university leaders recognise these distinctions, they do not nearly coincide with institutional-type demarcations depicted at policy level, as all universities have evolved in a myriad of ways of combining their teaching, research and engagement praxes. All our universities embrace, and should embrace, the three core mandates of teaching and learning, research and engagement. It is therefore curious to see attempts by some universities to artificially distinguish their institutions as “research” universities, as if they eschew their other mandates and/or imply, by default, that the rest of the university system does not embrace research as a core part of their differentiated mandates.

This attempt at projecting the elite “research” university often sits alongside an unspoken “hierarchy of knowledge” (“higher” and “lower”), which is itself tied up with value assumptions and preferences; the elitist pretensions of some universities pitched as “global” or “international”, whilst others are being deemed, by default, as “local” or “regional”, and yet others as “national” in their nature and ambitions. It is also tied to the implicit or explicit privileging of “research”, and particularly “blue sky” research amongst the three institutional mandates of universities, and with this, promoting by some university leadership, the myth of the so-called “research” universities as the apex-type university in the South African higher education system. The unstated claim underpinning this logic is that such universities constitute the “idea of the archetypal university” in South Africa.

This patently *ideological construction* of the post-apartheid university system needs to be contested and debunked if we are to develop a conception of the university system as open, discursive, multipolar, and not arranged along some kind of imperial, hierarchical and self-interested lines which put competition and mimicking a European or North American ideal of the university over collaboration, collegialism and a commitment to tackling the deep-seated issues of African development, whilst holding onto an internationalism that is normatively based on the values of democracy, social justice, equality and human solidarity.

It is in this context that the transformation imperative has to grapple with the idea of “what kinds of universities” we strive to establish: an extension of the European or North American ideal (itself fully reflective of those realities) or the evolution of universities fully embracing and drawing on their African existence and identities as currency in a wider cosmopolitan and democratic internationalism.

6 ‘Measuring’ progress in transformation:

Whilst this document does not attempt to develop a *theory* of higher education transformation, it hopes to provide a heuristic and critical framework for enabling us to recognise the multi-dimensionality, interconnectivity and relational nature of that which we seek to transform. The precise ways in which specific institutional cultures “construct” these relations is a matter of further empirical investigation, not possible in this framework document.

Furthermore, there can be no absolute state or end point of transformation for the simple reason that societies are inescapably in states of transition, and change is a permanent feature of life. We must resist simplistic, cartoon-like media descriptions of universities as either “transformed” or “untransformed”, as if this depicts a singular empirical datum. Transformation per definition is a set of social changes at various internal states of transition along a continuum. We must insist on asking “what” exactly is being referred to when we characterise the “state of transformation” in a particular setting, and how this relates to other elements in the same system. Hopefully, a more complex system revealing uneven, contradictory and convergent processes of change and resistance to change will emerge, so that we can appreciate the full “balance sheet” of social transformation in higher education.

As we build a better understanding of the uneven, contradictory “states of transition” within this system, and the powerful mechanisms and constructs shaping institutional cultures, it must be borne in mind that there is always a level of indeterminacy of how these mechanisms and constructs shape individual behaviours; that we are talking about a living system inhabited by human beings who are irreducibly complex, whose identities and responses to their worlds cannot be “fixed” in a static set of representations of social orders, and that they always have the capacity for self-reflection and change. After all, true transformation such as that envisaged by our Constitution cannot emerge only on the basis of the law, policy, compliance or force. It has to emerge as deeply personal, emotional, intellectual, if not “spiritual” (in the sense of the human spirit) from within us all if it is to lead to a lived experience.

Universities South Africa is engaged in a productive consultative process to develop an open-ended and flexible *transformation barometer*. The broad themes to be captured in the barometer are institutional culture; equity and redress; research, scholarship and post-graduate studies; leadership, relations with external stakeholders and community engagement; and teaching and learning. As this process unfolds, sets of indicators will be developed to be adapted to the contextual realities of individual institutions. We hope to enrich a compliance approach with more substantive indicators for transformation that can guide transformation charters, transformation plans and transformation reports. In this process, student and other voices will feature strongly and deepen our interpretation of national policy imperatives.

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ANNEXURE 6

Transformation in Higher Education

**Discussion paper prepared for the second national
Higher Education Transformation Summit, 2015**

Council on Higher Education

Introduction

More than two decades into the democratic era, the legacy of exclusion and marginalisation, and skewed representivity in South African higher education remains pervasive. Its depth and impact has been brought to public attention periodically through disruption at our universities, often finding violent and destructive expression.

Much as the violence and destruction have been [correctly] roundly condemned by several higher education leaders and commentators, what is brought sharply to our attention is that the most critical challenges facing the reconfiguration of higher education continue to be the social justice imperatives of equity and redress.

Undoubtedly, reform efforts in higher education have led to noticeable changes since the 1997 White Paper. Restructuring has indelibly changed the landscape of higher education from the racially imbricated architecture of the apartheid state to that of the democratic one. Student enrolment has changed markedly to come ever closer to national demographics. However, while the South African higher education sector today is profoundly different from the apartheid inheritance, it has some distance to travel before it can be declared that the imbalances of our past legacy have been eradicated, and that

transformation goals have been fully achieved. It is apposite therefore to be gathered at this conference convened by Minister Blade Nzimande to reflect on the transformational challenges that should preoccupy us for the foreseeable future, triggered in part by the restiveness experienced on many campuses with the perceived slow pace of change in a number of institutions.

Higher education can and should be a major catalyst for development in all its dimensions, and the wider transformation of our society. We therefore should take particular notice when key constituencies and interest groups in our society are persistently arguing that higher education is not fulfilling these purposes, and might in instances be a conservative force reproducing the status quo. Candid and dispassionate reflection is therefore called for.

We are of the view that in the context of the knowledge economy, the focus on high level skills development and the need for redress, the transformation of what Ngara (2003) refers to as the ‘core function domain’ of higher education, has the potential to address the enduring inequalities of our society and play a critical role in an emerging, non-racial, progressive democracy. Moreover, producing critical, independent citizens and skilled and socially-committed graduates who would be capable of contributing to social and economic development (CHE, 2013) must cement the preeminence of HE’s role in the development of our society to its full potential. Central to this mandate is for higher education to give attention to the challenges, obstacles and affordances which might inhibit or enhance the university’s capacity to fulfil its core functions – research, teaching and learning and social engagement (Cloete & Maasen, 2015). This again underscores the importance and value of periodic reflections like the one that brings us together here.

Transformation and knowledge production

The rapid advancement of new technology has had disruptive influences on HE administration and delivery, opening up new avenues for recruitment, student support, research collaboration, staff development, and teaching and learning resource development. Formerly exclusive sources of knowledge production, custodianship and dissemination continue to recede in dominance as knowledge becomes widely and often freely available to a global student population, catching the traditionally dominant knowledge producers in a defensive stance, or having to play catch-up in this seemingly unpredictable and largely uncharted terrain. Social media platforms such as Wikipedia, YouTube and Google, and the MOOC phenomenon, have dramatically and possibly irreversibly altered the ways in which knowledge is created and consumed, and educational opportunities made accessible to legions of the marginalised in society. Increasingly amateurs are involved in compiling and curating knowledge. In this ephemeral world, the credentials of higher degrees as the markers of expertise have diminished in status and influence. It would be remiss of us not to give attention to these forces and consider their implications for strategic action as a transformational imperative.

A central transformation challenge in knowledge production is the extent to which we continue business as usual while the requirement is to take a fresh look at knowledge production processes, repositories, and avenues for dissemination, and the role of private enterprise in this. The most critical challenge we confront in public higher education is that the bulk of knowledge produced is funded by the public purse at every step of the way, then placed in private repositories which public institutions and scholars have to pay exorbitant amounts to access. This must change. Publicly funded knowledge outputs must as a principle, be placed in the public domain. A radical overhaul of the knowledge production, publication, dissemination and funding processes is called for.

Higher education institutions will have to question traditional paradigms, drive new approaches to teaching and learning which harness the affordances of technology, and give sustained attention to the persistent challenge of promoting access with success in our developmental context.

To be truly transformative in our approach, institutional missions and plans must support national developmental goals. A corollary is that HE must be adequately funded and the quality of provision boldly and robustly assured by the agencies tasked with these functions. The burgeoning demands in delivery, expansion, accountability and reporting have occurred in the face of resourcing which has not kept pace.

Transformation, however it is conceived, is about shifting a learning and teaching institution from one state to another and involves the people who teach and who conduct research, those who come to learn and those who are employed in the organisation to support its core work (Soudien, 2013). Transformation of knowledge production extends far beyond the achievement of an equitable demographic composition of the student body in terms of access and success, the achievement of equity in the staff body, improvement in research outputs, and the production of high-level skills for the economy, much as all these are vitally important. To be truly transformative, our higher education system will play a significant role in helping to build an open, democratic, post-apartheid society and an informed, critical, and socially aware citizenry. Central to this challenge is to address the legacy of inequality, the wealth gap, and increasing polarity in our society by exploring avenues that will take us towards greater equity.

A transformed higher education system will be one in which deserving students have a range of higher education and other post school opportunities to access education. The White Paper on PostSchool Education canvasses this point sharply in that these opportunities would include ones which are more directly vocational, to those that prepare students for professional practice, or that lead to socio-economic development. Others would prepare them to join the ranks of the next generation of academics, thereby ensuring the sustainability and growth of the higher education system. It is a higher education system in which energies are focused on the core functions of teaching and learning, and research, and in which those energies extend to scholarly engagement with a range of different

communities for their upliftment. It is also one in which matters such as accommodation, finance, institutional cultures, and extra-curricular activities are conducive to the knowledge project, and one in which the campuses are safe, nurturing and stimulating environments, ensuring the primacy of academic activity. Finally, it is one in which the probabilities of dropping out or failing are remote. Battering down the doors to gain entry into our HE institutions will be a pyrrhic victory politically and in terms of policy goals while the patterns of dropout and failure continue.

Work in progress

The transformation of the HE system as described above is plainly work in progress, beset by many challenges. It is also a highly contested space, with different and sometimes competing conceptions of where it should be headed and what needs to be done to get there.

It is clear from performance data, however, that much needs to be done to achieve the idealised state sketched above. In terms of output overall and equity of outcomes in particular, graduate production remains very low and is far from meeting the country's needs in relation to both development and social cohesion. A substantial improvement in equity of opportunity and outcomes for students remains an elusive transformational goal. The CHE's report on curriculum reform indicates that on the basis of the performance of the 2006 first-time entering cohort, one in four contact students drop out before their second year of study and only 52% of contact students, graduate within the regulation time, resulting in an attrition rate of 40%. The CHE's *VitalStats 2013* publication indicates that 27% of the 2006 cohorts, 27% of the 2007 cohorts and 29% of the 2008 cohorts completed a 3-year diploma, a 3-year or a 4-year degree in regulation time, which indicates an enduring problem (CHE 2015, Figure 125). A transformed higher education system would make it possible for students who put in the necessary effort to be able to complete their studies in the requisite time, without the distractions of funding difficulties, and the hurdles that inappropriately designed curricula and nonconducive learning environments impose.

Many of the difficulties experienced by students when they reach university flow from problems in the schooling sector, but these are unlikely to be fully resolved in the near future and the higher education sector is responsible for addressing the needs of the students it serves. This will require rethinking many of the current curriculum structures, including teaching and assessment approaches, and reflecting carefully on institutional cultures.

Transformation is fundamental change process meant to overhaul thinking, attitudes, ethos, belief systems, policies and behaviours – all underpinned by sustained reflection and action. The transformation of teaching and learning, coupled with broader debates about knowledge and social justice, will be negatively affected if transformation is not viewed holistically.

Managing the demands of different stakeholders, while fostering the independence of a healthy higher education sector focused on quality in teaching, increasing knowledge production and increasing

relevance to a developing African country, requires extensive skill in negotiation and prioritisation and inspired leadership towards a clear vision of the future for the system. The CHE has been a significant national structure in steering a shift towards a more reflective approach to teaching and learning and in opening debates about the extent to which the system is fulfilling its role. Through the institutional audits and the Quality Enhancement Project (QEP), the CHE has adopted a deep understanding of quality, resonant with institutions making explicit their teaching and learning goals and strategies, and then reflecting on whether such goals and strategies are appropriate for their context. It also involves thinking through, in regard to the national transformation and development agenda (fitness of purpose), whether their internal processes, structures and activities enable them to fulfil these goals and strategies (fitness for purpose). The promotion of student access *with* success is at the heart of such projects.

Responding to challenges

One of the most important transformational challenges is to produce and retain a new generation of academics, while changing the historical social composition of the academic work force. To achieve this, the necessary intellectual, academic and teaching and learning capabilities essential to produce high quality graduates must be cultivated assiduously. While access has increased significantly, equity of opportunity and outcomes are dependent on transformed environments within institutions, and mentoring and support, and should be viewed as a wider movement towards democratising education and facilitating students' possibilities to succeed. Innovative pedagogical approaches, sustained student support and the development of flexible curricula all offer potential means of addressing the high dropout and low throughput rates. In order to achieve the aim of better output of critical graduates, policy and scholarship on teaching and learning is a dire necessity.

Curriculum responsiveness to transformation challenges should be an integral part of achieving the wider societal goals of a socially committed and critical citizenry that embrace the values of non-discrimination and tolerance (Ogude, Oosthuizen & Nel, 2005). Teaching and learning strategies and curriculum development should take into consideration global standards, while at the same time be based on contextual learning needs. In the digital era, particular attention needs to be given to what has crystallized in the discourse on gradueness as 21st century skills.

Transformation should also improve the learning experience for students with disabilities – one of the most marginalised and under-served constituencies. Attitudinal and environmental barriers preventing students and staff members with disabilities from participating fully in the teaching and learning process should come under appropriate scrutiny and lead to a barrier-free environment. Transformed higher education institutions would respond to the challenge by creating an enabling institutional culture sensitive to diversity and social inclusion, with conditions that stimulate development, and which result in providing lifelong learning opportunities for all students and staff.

Knowledge of transformation is dependent on knowledge for transformation and has to be shared, discussed and confronted in order to identify strategies for implementation. A sober view of the power of executive management, and the roles of staff members, students and stakeholders is necessary to challenge higher education institutions to interrogate the underlying assumptions of their transformation trajectory.

Unbundling what is

While there appears to be no contestation about the importance of transformation in the sector or a shortage of public commitment, frameworks, charters and strategic plans – there seems to be no ‘common’ window through which progress (or the lack thereof) of the sector can be assessed. The difficulty is that we do not have agreed upon indicators across the sector which would enable us to obtain a snapshot of progress that is being made towards the achievement of transformation. There is also little agreement about what it is and what it could and should be. In taking it forward, it is not essential that there is complete consensus around what is meant by a ‘transformed higher education sector’. However, broad agreement or ‘reasonable consensus’ on the key indicators/benchmarks of transformation and how we reflect and report on them is required, taking into account the complexity of what transformation entails. This is especially necessary given the historical configuration of the system, and the post- 2004 restructuring of the higher education system and its concomitant challenges as we see them across the sector.

Scrutinising the successes and failures of teaching and learning in terms of both the equity and development agendas is not a straightforward matter. While numerical reporting on quantifiable transformation indicators such as figures for race, gender in staff and student bodies is relatively simple to produce across the sector, it is much more difficult to evaluate those aspects of the White

Paper goals that cannot be quantified. Transformation appears in many cases to have been reduced to the pursuit of demographic equity. While this has a firm place in understanding societal change, it does not help an understanding of the true political or moral imperatives for transformation. Measuring certain dimensions of transformation such as equity focuses only a particular dimension or aspect of rather than the concept as a whole.

Challenges include different conceptions and interpretations of transformation, whether transformation can actually be measured accurately, and how the measures are used in assessing progress or the lack thereof. The over-reliance on hard facts and aspects that can be measured quantitatively often means universities are only assessing the formal side of ‘how things are done’ and losing sight of the principles behind the concept itself. This approach in isolation could encourage playing the numbers game in order to beat the reporting system, and underplay the qualitative interactions required for a critical and robust discourse.

While the goals of the development of a transformation measurement tool seem highly desirable, the question is how one would achieve this kind of overview and detailed assessment on a system-wide basis. As Professor Gordon Zide has argued, ‘no one university in South Africa can claim to be totally transformed’ (Zide, 2013). While indicators such as research throughput rates are sometimes used as a measure of the success of an institution, ‘the real measure of a university's transformation is how well it responds to societal needs’. The challenge is then to produce something that is useful while at the same time does not oversimplify issues of great complexity. Given that transformation is a multilayered concept, the means to achieve it must similarly be multifaceted. One project or programme will not lead to success on its own. A multiplicity of programmes addressing different aspects of higher education transformation taken together in a holistic way – the support elements such as funding and housing, making academia attractive to a new generation of academics, and above all, addressing all aspects of curriculum and teaching and learning - will together lead to a transforming higher education system. The result will be a system in which students are achieving their full potential, in which knowledge is continually being stretched and deepened, and in which the outcomes are such that higher education leads the economic, political and social development necessary for equity.

Asking the difficult questions

What kind of education do we provide to students who pass through our institutions, and how does this contribute to the principles of social justice and equity? Are we sufficiently sensitive to the diversity among our students and do we cater adequately for this in the educational process?

How do we achieve student access with success on sufficient scale? How can we harness the affordances of technology optimally in pursuit of this goal?

What are the layers of knowledge that a student needs to negotiate in order to be successful? What adaptations are necessary for lecturers to teach a transformed curriculum to a transformed student body?

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ANNEXURE 7

The National Research Foundation and its contribution to the transformation of Higher Education: Prospects and Challenges

Briefing paper prepared for the second national Higher Education Transformation Summit, 2015

The National Research Foundation

The National Research Foundation (NRF) receives its mandate from the NRF Act (No. 23 of 1998), which came into effect on 1 April 1999 and established the NRF as an autonomous statutory body. Section 3 of the Act states that the object of the NRF is to:

“Support and promote research through funding, human resources development and the provision of the necessary research facilities in order to facilitate the creation of knowledge, innovation and development in all fields of science and technology, including indigenous knowledge and thereby contribute to the improvement of the quality of life of all the people of the Republic of South Africa”.

The NRF fills a dual role. Primarily, it fulfils an agency role where it interprets national policy and contributes to the National System of Innovation (NSI) by supporting fundamental research or knowledge generation and the concomitant human capacity development through its grant-making, and science advancement activities. In addition, the NRF also provides cutting edge, state-of-the-art research platforms through its National Research Facilities (NFs).

In contributing to the Higher Education (HE) Summit, this brief discussion paper focuses on the central theme of Research and Engagement. It highlights some of the challenges/issues of transformation, the current status with regard to transformation, and the gains and actions or interventions the NRF instituted to support and enhance transformation in HE to contribute to the nation-wide transformation agenda. In executing its mandate the NRF primarily works in partnership with and through the HE institutions, science council sectors, and to a lesser extent, directly with the public. The NRF interfaces with national policies, plans and strategies within the HE and NSI landscapes. Therefore, it takes into account the HE Act (No. 10 of 1997), the White Paper on Post-Secondary Education and Training of

South Africa and the Department of Higher Education and Training (DHET) 2014-2019 Enrolment Plan.

Within the National Science, Technology and Innovation landscape the NRF also takes into account SA's National Research and Development Strategy (NRDS), the DST's Ten Year Innovation Plan, the SA Strategy for Paleosciences, the National Space Strategy, the Bio-economy Strategy, the Nanoscience and Nanotechnology Strategy, Indigenous Knowledge Systems, and the National Development Plan 2030.

The implications of these frameworks are that the NRF views the challenges of HE in South Africa (such as those associated with transformation, the challenges of access to higher education, the quality of higher education activities and its outputs, representivity in terms of race, gender, physical and mental abilities, etc.) as its own challenges in meeting its mandate. The NRF continuously considers HE policies and strategies as critical inputs that guide the design and implementation of some of its interventions and programmes. For instance, in the early days of its existence, the NRF took on board some of the key aspects of the *White Paper on Education* and the HE Act such as the recognition of the different modes of knowledge production, the need for quality control at both institutional and programme levels (working closely with the CHE – HEQC), the need for and role of HE in national development, and the demographic transformation to achieve human resource equity to design its programmes.

In developing a holistic approach to HE transformation in SA, the entire education pipeline needs to be considered. The challenges of low school pass rates, higher education enrollments and access, a low number of qualified supervisors and an inadequate rate of doctoral production are challenges that directly affect the NRF and which it has a responsibility to address or contribute towards addressing. Similarly, the challenges of under-representation of women and black academics and researchers is a challenge that affects the NRF.

The NRF views itself as a critical player in addressing these challenges. It believes that without a representative, inclusive and truly transformed HE sector, improving the quality of lives of all people of the Republic of South Africa is virtually impossible. The nature, form and type of knowledge generated and by whom are as critical as to who accesses this knowledge and utilizes such knowledge, and for what purpose. Furthermore, it would be safe to argue that the larger the size of and the broader the population of the nation that is involved in generation of knowledge, the larger the numbers of quality outputs to address human challenges required for use by the broader community.

One of the key NRF cross-cutting strategic goals is that of transformation. Transformation also acts as and is considered a key guiding principle for NRF research investments. How does the NRF view and reflect transformation as a strategic goal? Following NRF *Vision 2015* in which the focus was on "Worldclass research, a transformed society and a sustainable environment", a new strategy called *NRF Strategy 2020* was developed and presented to the NRF Board for approval. One of the primary foci of the new strategy is transformation of the research workforce funded by the NRF over the next five years.

The previous strategy, viz., NRF *Vision 2015*, advanced five strategic goals. Key amongst these was the attainment and/or contribution towards the attainment of a *Representative Science System [NSI]* - in effect a transformed society that is representative. To address this strategic goal the NRF presented specific key performance indicators that relate to transformation and data collected over the period. The NRF created a Human Capacity Development Excellence Pipeline which catalyzed the transition of the next generation/new researchers to early career researchers and then to established researchers. Embedded within this pipeline was the HCD transformation imperative driven by different funding instruments. The NRF firmly places Excellence and Quality at the centre of its decision-making processes. The NRF also believes that Excellence and Transformation are not mutually exclusive and that it requires all system role players to think differently and innovatively to achieve a common good. Within the NRF processes, excellence and quality cannot be compromised. But it is also recognized that our science community comprises persons at different levels of their development as researchers. Robust support systems are available to guide grant applicants to produce quality research proposals that can

be funded. Various funding instruments are available to cater for applicants across the researcher development spectrum.

Following on from the *NRF Strategy 2020*, the organisation is in the process of developing “*An Integrated NRF Strategy for Transformation*”. The primary focus of this strategy is on the grant-making side of the NRF business with the objective of addressing the transformation of the research workforce funded by the NRF. Integrated with, and aligned to this strategy is the transformation of the NRF workforce. Regarding the former, numerous innovative and directed interventionist strategies have been/are being developed which will be discussed. An updated “*NRF Employment Equity Plan 20162020*” has been developed to address the latter.

In conclusion, transformation of HE cannot be achieved in a vacuum. University transformation has to be re-imagined. It is critical that all parties linked to HE function as a collective and foster sustainable partnerships that will deliver a transformed workforce within the HE landscape and NSI of South Africa.



ANNEXURE 8

The Transformation of South African Higher Education

Concept paper prepared for the second national Higher Education
Transformation Summit, 2015

**The Ministerial Oversight Committee on Transformation in
South African Public Universities, September 2015**

Real transformation can neither condone “business as usual” nor can it be done “on the cheap”.

1. **Background**

- i. The Ministerial Oversight Committee on the Transformation in [the] South African Public Universities (TOC) was established on 10 April 2013 in terms of notice in the government gazette (vol. 574, no 36356). The purpose of the Committee is to monitor progress on transformation in public universities and to advise the Minister.
- ii. The coming into existence of the TOC, more than four years after the release of the Report of the Ministerial Committee on Transformation and Social Cohesion and the Dave Cooper states that Elimination of Discrimination in Public Higher the trends reflect a Education Institutions (Soudien Report 2008), higher education system happened in a context where the complaints that has shifted since received by the South African Human Rights 1988 from one that Commission (SAHRC) since 1996, reproduces serious consistently confirmed alienation, racial social inequality based discrimination, xenophobia and related

particularly on ‘race’ intolerances across the education sector¹, categories to which including higher education. The figures students are assigned, captured in these reports also substantiate to one that reproduces claims of widespread human rights violations an equally serious social linked to the equality clause² in the South inequality based, by African Constitution, including gender-based 2012, on students’ ‘race’ discrimination. The TOC continues a long class’position. Tradition of struggles against racism and other forms of social exclusion and seek to promote human dignity in universities over many years.

Higher Education in a Nutshell

- iii. Higher education has shifted, in substantive respects, from a fragmented and structurally racialised system of 36 public and more than 300 private institutions in 1994 to a relatively more integrated, ‘system-like’ formation of 26 public universities (traditional, comprehensive and universities of technology) and 95 private higher education institutions in 2015 (Blom, 2015). Nine hundred and ninety thousand (990 000) students are enrolled in the public higher education sector, and 120 000 in private institutions in the same sector, according to the 2013 Statistics (MHET, 2013). *Despite this shifts transformation remains “painfully slow” and real and meaningful transformation is yet to be addressed.*
- iv. There are at least **three different typologies** of universities in South Africa.
 - (i) The apartheid-referenced ‘historically white’, English/Afrikaans speaking, ‘historically black’, rural African³, Indian, coloured universities and Technikons;
 - (ii) the official typology of traditional, comprehensive and universities of technology (National Working Group, 2002);
 - (iii) Cooper’s (2015) proposed typology of three bands based on postgraduate enrolments and staff publications as indices of research-intensiveness at each institution: these are (a) five ‘upper band’ universities (b) seven ‘middle band’ universities and (c) eleven ‘lower band’ universities. As he says, these bands reveal rather than conceal the historical position of these institutions and therefore provide a more rigorous foundation on which to ask the question as to how race and class affect opportunities within the South African higher education system.

2. Critical Transformation Challenges South African Universities Face

South African universities face many critical transformation challenges that have been studied, described and researched through academic papers, commissioned and other reports. The common challenges are: —*Disempowering and Alienating* Institutional Cultures; Poor Equity Profiles; Poor Staff Qualifications; Poor High-level Knowledge; and Skills Production; an Imitative Approach to Knowledge Production; Poor Understanding of the nature of our Students and Staff; Failure to confront the politics of epistemology and a pervasive culture of passive resistance to transformation. All these challenges are linked to “*recalcitrant colonial-apartheid values and whiteness culture (euro centrism)*”.

i. Institutional Culture

Over the past two decades of democracy, questions about the institutional culture of universities have been raised and been the subject of much public debate and scrutiny. The type of incidents arising in universities raise concerns about societal identity, values, ethics and the morality that shape universities in South Africa. The moral dilemmas we find ourselves in are structurally-anchored and the product of a socio-economic order that has persisted in the post-apartheid period, although in a subtle mutated form. The institutional cultures of our universities, 21 years after democracy, show limited shifts in the colonial

¹ See Annual Reports of the South African Human Rights Commission since 1997: <http://www.sahrc.org.za/home/index.php?ipkContentID=13&ipkMenuID=14>

² Section 9: Equality - (3) The state may not unfairly discriminate directly or indirectly against anyone on one or more grounds, including race, gender, sex, pregnancy, marital status, ethnic or social origin, colour, sexual orientation, age, disability, religion, conscience, belief, culture, language and birth. (4) No person may unfairly discriminate directly or indirectly against anyone on one or more grounds in terms of subsection (3). National legislation must be enacted to prevent or prohibit unfair discrimination.

³ We utilise Cooper’s usage of the apartheid race categories, used in lower case, to highlight the racially defined disadvantages that were shaped by apartheid policies. The category ‘black’ will refer collectively to the historically

apartheid based values system that shaped universities prior to 1994. Every study or report undertaken so far, has described the culture as —alienating, disempowering with pervasive racism (Dladla 1994, Soudien 2008, and National Working Group (NWG) 2002). Institutional cultures are also expressions of the persistent manner in which the broader socio-economic system articulates with and shapes and enforces hierarchies of privilege. For the University system, these hierarchies of privilege have been both at an institutional and individual level. The higher education system, in spite of all our attempts at an alternative paradigm, *rather than reducing inequality appears to be reproducing and entrenching inequality and discriminatory practices in society* (Cooper).

ii. **A crisis of staffing and high level-skill knowledge production**

South African universities face a serious crisis now and in the future in four areas: an ageing professoriate; high student/staff ratios; low levels of academic staff qualifications and low levels of high-levels skills production. These 4 are interlinked. Of the 17800 permanent academic staff at Universities almost half are over the age of 50 and a significant number will retire within five years. The government has, over the past 20 years, more than doubled the size of the student population. But the rise in student numbers from 480,000 to 980,000 has not been matched by staff increases. In the same period - 1994-2014 - permanent academic staff positions have only gone up from 12800 to 17800. The system only provided some 5000 new permanent staff for 500,000 new students. This has seriously affected teaching quality and the academic profession itself. The ratio of permanent staff to student numbers has risen from 39 in 1994 to 55 in 2014.

To attain even the very modest staff student ratios of 1994 the number of new permanent staff should have been at least eleven thousand – doubling the permanent staff to match the doubling of the students (Bozzoli 2015). The changes in higher Qualifications of staff are also a challenge education must be with only 34% holding PhDs (ASSAF 2010) viewed in a context with the National Development Plan (2011) where the notion of a setting a target of 75% of academic staff to `traditional` student is no hold a PhD qualification by 2030. The system longer valid, either in has also failed to meet its minimum research South Africa or other productivity requirement of one SAPSE Unit parts of the world. Per academic staff per year set by the NWG in 2002 and its high-level knowledge production in terms of postgraduate supervision and throughput. The per capita research productivity was 0.34 in 2001 and 0.71 in 2013 (Mouton 2015). This can only be described as inefficient and poor. Government has grossly neglected the staffing needs of University academics. A bold plan is essential, with resources to support and to address urgent staffing requirements.

iii. **The politics of epistemology**

Key questions that need to be addressed are: How do we engage a diversity of students with really useful knowledge or with knowledge that does not dislocate them from their context and identity? What kind of students do we need for what kind of society? These questions are premised on, amongst others, Anne Edwards's (2014) research which makes it very clear that engaging students in their own learning is the single most important aspect to ensure their success – this is done through student centred pedagogy and curriculum. This means that if students are to succeed, we need to know who they are and what matters to them. She maintains a dual focus on learners and the knowledge and knowledge practices into which they are inducted by the teachers. She argues that teachers need to create an environment which assists students' self-regulation so that they are —agentically in control of their own learning.

By looking at knowledge historically, Michelson (2015) shows that epistemological hierarchies are imbedded in discourses of gender, race and class; in so doing, she addresses epistemology as politics.

oppressed _race_ groups consisting of individuals classified under apartheid as African, coloured or Indian; the usage of the term _black_ was the one adopted by the anti-apartheid liberation movements. It should be noted as well however, that use of these socially constructed race categories does not imply acceptance of their validity or value as classificatory terms. (Cooper 2015: 238)

Taking both Edwards's (2014) and Michelson's arguments, in order to transform universities and ensure students success, we need to understand who the students really are and we need to acknowledge the politics of epistemology. This is essential to _decolonise 'the curricula within our African historic contexts and realities.

iv. **Student and Staff Equity**

The higher education system is perceived to be reproducing the individual and institutional inequalities that were entrenched by apartheid and this is in spite of policy reform changes in the higher education landscape. The reproductive impulses are easily verified by the massive empirical data at our disposal which underscore the fact that the systemic challenges that the higher education sector inherited from the colonial-apartheid past, despite several and significant shifts (e.g. enrolment patterns, student financial aid), have not fundamentally changed. The _system 'still reproduces student and staff development outcomes reflective of the enduring legacies of our past. The Vital Statistics (2014) report of the Council on Higher Education (CHE), which captures audited data from 2007 to 2012, confirms that despite some significant progress in enrolment rates, our higher education system still reproduces much of the racialised participation rates of the past. The annual reports of the Employment Equity Commission demonstrate the same patterns for higher education and other societal sectors.

a. **Who are the staff?** The figures that indicate the extent of change in staff demographic profiles at universities since 1994 are stark (see for example, Makholwa 2015). They suggest that painfully little has been done, at least not on a systematic basis, by higher education's leadership, nationally and institutionally, to _grow 'black academics of all genders. This has resulted in transformation inertias across the national system. The figures for disabled staff and students are even worse, though some improvements are noticeable.

b. **Who are the students?** The changes in higher education must be viewed in a context where the notion of a 'traditional' student is no longer valid, either in South Africa or other parts of the world. The dominant notion that shapes university administrative structures, is that of a predominantly homogeneous population of 18-24 year olds who *"_have time on their hands"* (SAQA/DLL 2015) to study full time and to attend classes during the day. Michelson (2015) adds that in general terms the university globally and the way it/we conduct teaching and learning has the young, prosperous white heterosexual male body as its reference.

3. Cooper (2015) argues, in a _new, post-Marikana phase of real transformation 'we need to know through further research, movements across institutions in relation to social class. Alongside and related to this, the _traditional division between full-time and part-time learning is increasingly becoming less distinct' (McLinden 2013: 6), and students are looking for more flexible ways of studying that fit with their work, family and other commitments. In particular, HBUs's student profiles are different from most HWUs; the majority of them are women, are financially stressed and are engaged in paid or unpaid work. The majority also _drop out'or _stop out'for a range of economic or academic reasons. The maintenance of a particular conception of who the majority of students are, is an example of the HWU/ middle class view continuing to dominate understandings of higher education in South Africa. Most of the students, according to this argument, are therefore _non-traditional'. This is preposterous.

4. **Highlights of Transformation 'attempts' at South African Universities**

i. At the onset of democracy in 1994, the Mamdani and the Makgoba episodes at UCT and Wits respectively drew the attention of the public to certain impulses within some universities to preserve the status quo and resist different ways of thinking about universities. The hearings associated with the 'Soudien Report' a few years later, catalysed by the Reitz incident at the University of Free State, again showed the difficulties confronted by universities when attempting to change racist practices and develop more inclusive policies. The Soudien Report, several University Climate Surveys and

the recently released —Luisterl Video made by some students and a staff member at the University of Stellenbosch highlight tenacious racism. Complaints of racism from staff and students at historically white universities (HBUs) suggest that ‘whiteness’, particularly white maleness, is privileged and is often associated with ‘quality’ and ‘high standards’. ‘Blackness’ on the other hand is often associated with ‘inferiority’, ‘ineptitude’, ‘stupidity’, ‘corruption’ and a ‘decline in quality and standards’. Racism in the post-apartheid period is also perceived by some to be ‘in reverse’. There are some white students and staff who complain about reverse racism, interpreting affirmative action and redress measure as restrictive of access and opportunities for a new generation of post-apartheid white students. By some, there are also critiques of the ways in which redress strategies are conceptualised and of the reification and re-inscription of the offensive racial categories used by the apartheid state.

- ii. We have also seen violent protests by students over: limited financial aid funds; initiation practices which led in one instance to the death of a black student at the University of the North West; references to Nazi-ism by white students at the University of the North West and black students at Wits University; the insidious nature of sexual harassment and sexual assault; dissatisfaction of many students with the language policies; the content of the curricula; and the ‘colonial nature’ of South African Universities.
- iii. The Rhodes Must Fall Movement, Open UCT, Open Stellenbosch, Open Wits and Open Rhodes movements have featured prominently in the news. These movements predominantly represent the voices of students who were —born free, and who are in pursuit of second order substantive change, that is framed by new values and a post-colonial definition and conception of the South African University. The questions we are faced with are: how do we move our moral and ethical compass so that we can lead change in society rather than simply mirroring it? Why have we failed so dismally in building democratic practices and a new values base? What needs to be done?
- iv. All the above highlights support the conclusions of the Soudien 2008 report i.e. *‘transformation is not only painfully slow but also that discrimination in particular to racism and sexism is pervasive in our institutions’*.
- v. To redefine the post-apartheid university has been an insurmountable task and in spite of a new political order, Constitution and Bill of Rights, the dominant belief systems of students, staff and institutional leadership⁴, the educated elite of the country, continues, in many instances, to perpetuate and further entrench discriminatory practices and preserve and retain old forms of privilege.
- vi. The current embedded colonial-apartheid narrative has failed higher education and its transformation programme. The creation of a new narrative of real, radical transformation is a matter of urgency.

5. **Transformation Deferred**

- i. Equality as a right, value and principle, is a central theme of our Constitution⁵ and higher education policy⁶. Its systematic deferment from policy and practice, except at the level of rhetoric, has resulted in the unfettered growth of inequalities on the back of predatory economic arrangements and the

⁴ By using this term, we are not referring to Vice Chancellors but to all levels of leaders/managers in universities.

⁵ Kate O’Reagan, 2013: ‘Equality is a central theme of our National Constitution. It permeates the constitutional text. Right at the start, in Section 1, the Constitution provides that the founding values of our Constitution are (amongst others): human dignity, the achievement of equality, the advancement of human rights and freedoms, as well as the principles of non-racism and non-sexism. The pervasiveness of equality is evident elsewhere as well: Section 39, a provision which guides the interpretation of the Bill of Rights stipulates that in interpreting the Bill of Rights, a court must promote the values that underlie an open and democratic society based on human dignity, equality and freedom’.

⁶ See Badat (2010): The Higher Education Act declared the desirability of creating —a single coordinated higher education system, restructuring and transforming —programmes and institutions to respond better to the human resource, economic and development needs, redressing —past discrimination, ensuring —representivity and equal access and contributing —to the advancement of all forms of knowledge and scholarship, in keeping with international standards of academic quality, and expertise necessary for the growth and prosperity of a modern economy (ibid:1.3)

wholesale commodification and corporatisation of education at almost all levels, which valorises competitive individualism and elitism, which undercut human solidarity.

- ii. University leaders and managers have options to challenge the status quo, although the pressures to ride the globalising waves, turning universities into corporations, are great. Few people expect universities to work against these impulses in totality. However, many are disappointed that universities may have given up on possibilities of alternatives, besides poorly funded, small initiatives; this in the light of recent memories of university struggles against apartheid colonialism, the dramatic evidence of planetary degradation, and gross inequalities to which the current economic system contributes.

Transformation of Higher Education

Two National Policies underpin the process of Transformation of Higher Education. These are The Education White Paper 3: The Programme for the Transformation of Higher Education (July 1997), and The White Paper on School Education and Training (MHET 2013). The White Paper on Post-School Education and Training (PSET) (Minister of Higher Education and Training [MHET] (2013) emphasises the importance of the integration and articulation of the system for education, training and development. The White Paper advocates higher education (HE) programmes and modes of provision that are responsive to students' needs and realities and _which take into account their varying life and work contexts, rather than requiring them to attend daily classes at fixed times and central venues' (MHET 2013: 48).

- iii. The Minister of Higher Education and Training, Blade Nzimande, in his May 2015 budget speech in parliament, promised an uncompromising push for higher education transformation in the wake of various student-initiated movements such as the Rhodes Must Fall campaign at the University of Cape Town (UCT); the Open Stellenbosch movement at Stellenbosch University (SUN); the transformation battles at North West University (NWU); and similar ones at various institutions of higher education across the country. However, such criticisms are by no means restricted to these institutions as the transformation challenge, read in its widest, multidimensional meaning, affects all institutions, both historically black and white, albeit in differential terms. Our view _Despite the significance of is that no single South African higher symbols such as names education institution today can claim to and statues, we must not have overcome these challenges which are conflate these with more inscribed in differential forms and states of fundamental matters of transformation across the institutional transformation. There landscape (see Govinder et al 2012). Remains an urgent need to historically black institutions have to radically change the confront quality as a major factor in their demographics of our transformation projects going forward. In a professoriate; transform the meeting with the Transformation Oversight curriculum and research Committee on 26 May 2015, the Minister agendas; cultivate greater also foregrounded the transformation awareness of Africa; challenges at Historically Disadvantaged eliminate racism, sexism Universities (HDIs) in relation to and all other forms of unjust functionality, efficiency, quality and good governance, in addition to the challenges discrimination; improve academic success rates; experienced at other _types' of universities. Between 1994 and 2012 the Minister and expand student appointed 14 assessors to deal with public support', Minister Blade higher education institutions in crisis; this Nzimande, Parliament, May includes governance breakdown, 2015. Mal-administration and near collapse of institutions (see Lange and Luescher Mamashela, forthcoming). These are described as follows: _Factional councils that have failed to exercise their fiduciary responsibility; a lack of leadership and absence of efficient administrative systems; academic matters often involving weak, marginalized or dysfunctional senates; maladministration, corruption and financial crises' (*ibid*).
- iv. The real demand for equality and diversity has been limited by the emergence of the discourse on transformation tension, which reduces the transformation project to trade-offs between equity and quality; redress and efficiency; and change and development (for example, Cloete and Moja, 2007 and Cloete, 2014). This leads to only one particular conception of excellence and quality being possible. The Africa Summit on Higher Education in Dakar and Johannesburg confirm this as a system-wide pathology. There has been, at a deep level of inequality, a seamless continuity between pre- and post-1994 higher education in South Africa.

The way Forward (What is to be done now)

v. Create an alternative new Transformation Narrative

After 21 years, taking into account both evidence and experience, the time is ripe for a new narrative. *A narrative of Transformation that confronts our reality: Africans in Africa living through a globalising world and places Knowledge at the centre of transformation.* In addition, two daunting obstacles should be acknowledged if universities are to act agentially: _the persisting power and prestige of market thinking, even in the aftermath of the worst market failure in eighty years‘[...] the active encouragement [and] the rancour and emptiness of public and support of universities discourse‘(*ibid*). Both these obstacles have (staff and students) to be crowded out morals from the market; leading, together with making the emergence of ethical democratic others, public debate, communities almost impossible. The role scholarship and social that universities were meant to play, that is, activism, in the collective contributing to social and public will search for a more socially, formation based on solidarity has not economically and materialised. Instead, in the space of the environmentally just _social ‘we have crafted the conditions for a society, are called for. Ethic of materialistic hedonism that is in the process of overwhelming us all. Neo-liberal values have become a _global culture: competition, deception, and imitation have replaced the ideals of justice‘ – _where people are rewarded for their greed— with increasingly little room for the expression of higher human values and qualities such as generosity, compassion, social solidarity, selflessness, and willingness to fight for justice‘⁷. The active encouragement and support of universities (staff and students) to be leading, together with others, public debate, scholarship and social activism, in the collective search for a more socially, economically and environmentally just society, are called for.

vi. Establish more definitively through a National process (drawing on data available and undertaking new research if necessary) who our universities are (African Universities *versus* Universities in Africa, imitative and mimicking *versus* original universities), who our university staff are (support, academics, leadership), and who students are in terms of race, gender, age, social class, life-style including working status, etc.

vii. Build incentives so that scholarship, pedagogy, research and administration respond to who we (i.e. staff and students) are, and to the social, economic and environmental justice imperatives, at local, regional and global levels.

viii. Prioritise _transformative machinery _in universities, through adequate funding, and their placement at the centre of the institution; they need to be institutionally appropriate to change institutional cultures, to have deliverables and operate against set targets which are integrated into IOPs and against a national transformation framework.

ix. Develop a major initiative to build the next generation of quality scholars and academic leadership through a bold, well-resourced initiative, building on other initiatives that are already under way through DHET and DST.

x. Ensure that the `transformative machinery` at the level of government is unambiguous in terms of its responsibilities.

xi. Real transformation can neither condone _business as usual‘ nor can it be done‘ on the cheap.

⁷ See Fotopoulos, T. (2008). Values, the Dominant Social Paradigm and Neoliberal Globalisation. *The International Journal of INCLUSIVE DEMOCRACY*, vol.4, no.1.

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ANNEXURE 9

Scope and Terms of Reference of Commissions

Second National Higher Education Transformation Summit, 2015

The purpose of the Summit is to reflect on changes in the sector since the first 2010 HE Summit held at CPUT, and to provide opportunities for critical dialogues on transformation in higher education with a view to seeking consensus amongst stakeholders on content, priorities, key indicators and strategies to realise such transformation. The Summit will provide a broad platform for discussion, and may not address all transformation issues. The Summit will strive to achieve its aims through a rich mix of inputs and commission-based discussions.

There is a huge range of issues that falls under the banner of university transformation and many possible different layers of discussion. While the Summit must, on the one hand, allow for broad discussions amongst the widest range of higher education stakeholders, it must also be able to identify key national policy and planning issues to guide the systemic work needed over the next five years. Transformation should not be seen as some separate process taking place outside the core business of universities and the system. Areas that need to change and are labelled as transformation should be a central and core concern of all of those studying and working in the higher education system, whether those are students, academic staff, administrators, managers, Council members, activists or bureaucrats. Summit discussions are therefore central to national and university level strategic planning.

Moving from this premise, the Summit Commissions could potentially address any set of issues. The Commissions therefore have to be focused, and cannot address everything, but they must at the same time, allow a diversity of voices. What is clear from recent public debates, new forms of activism and debate on some campuses, and the analysis of the Transformation Oversight committee and others, is that the use of the term transformation to describe forms of change needed in our HE system may have become redundant, and is certainly over-used and perhaps superficially understood. It is for this reason that the Summit has not chosen to address every transformation issue, but rather to focus on burning issues, and trying to come to terms with some of the most acute challenges in the system. These are not

necessarily only the issues that are being talked about the most or the loudest. The discussions will be guided by the papers presented and the inputs of the respondents. It must be acknowledged that there is likely to be overlap between the commissions.

Each Commission will produce a report on its discussions, which will provide substance for the overall Summit report; a point form report back of key recommendations will be provided in the plenary on the final day; and discussions at the Commissions will feed into the process of producing a Summit statement. Commissions should attempt to articulate the key transformation challenges in the area under discussion and provide between 5 to 10 concrete strategies for improvement and action in that area, and also indicate the levels at which the strategies or actions should be implemented, as well as by which organisations. The Commissions should, wherever possible, provide concrete ideas about how the National Plan for PSET could take a particular issue forward. One way of doing this will be to encourage discussion about how funding, policy mechanisms, infrastructure, quality assurance and forms of leadership and management can assist progress in each area. Where commissions make proposals about actions and where possible enabling resources that are needed to address the issues, it will also be important that the role-players who need to put the actions in place are also clarified.

The Commissions will be supported by a range of discussion papers and briefing papers prepared for the Summit, by the inputs, presentations and discussions at the Summit, including during the Commissions. The papers can be found on the Summit website (www.dhet.gov.za/Summit).

Commission1: Institutional Environments

This Commission has a potentially huge scope, but unlike the previous Summit (that had sessions on student experience and staff experiences separately) this one focuses very specifically on institutional environments as needing to be addressed to advance change in higher education. By foregrounding institutional environments, the Summit is taking note of the fact that the lack of change to institutional culture is thought to be a major barrier to transformation, particularly on formerly white campuses.

The key questions to be explored are:

- What do we mean by “institutional culture”?
- How do we understand the institutional environments across the system?
- In what ways do institutional cultures currently constrain or enable institutions to be responsive to the needs of a democratic South Africa in the 21st century?

There are more specific questions about student experiences that link to student epistemological access and academic success, and that overlap with the session below. There is no specific Commission dealing with academic staff as there was previously, and so the voices of university staff in relation to their working environments need to be addressed here also.

- How do university staff experience living and working in higher education institutions?
- What are the challenges/obstacles that must be dealt with to ensure a higher education system that is welcoming and supportive of the diverse range of staff in South Africa and that provides all staff reasonable opportunities for success?

The Commission will need to address race, as a significant issue across the system. However, it will also need to balance the discussion with a focus on gendered environments, on issues of disability and other forms of exclusion and/or inclusion. The discussion should be focused on what kind of institutional environments we want to have, and what can be done to make positive shifts.

Commission 2: Access and Success - transitions into and through higher education

The key concern for this Commission is what we know about the relatively low student success rates across the system, the relatively low throughput rates and what can be done to improve these, which includes addressing epistemological access and the gap between school and university for many students. This includes a huge range of issues, including student financial support and the role of NSFAS, student housing and living conditions of students, the importance of teaching and the role of teaching staff (and their professional development), and the structure and flexibility of curricula. Issues of what is being taught and how are also important, and institutional environment discussions also relate to student success.

Key questions that might arise in this Commission include:

- What do prevailing patterns of student access and success suggest about higher education transformation?
- How do students experience living and learning in higher education institutions? In particular, what is the experience of students from historically disadvantaged groups, and students from poor economic backgrounds?
- What are the challenges/obstacles that must be dealt with to ensure a higher education system that is welcoming and supportive of the diverse range of students and that provides all students with a reasonable chance of success?
- What are the underlying epistemologies, assumptions and practices that underpin higher education curricula, teaching and learning? How do these constrain or enable quality and meaningful teaching, learning and research in higher education contexts?

Again, this Commission has a potentially broad brief, but must focus specifically on issues that are seen to directly affect the success of students in the system. Language may come up as a significant issue, and should be discussed here, though it may also come up in the Commission on Institutional Environments.

The issue of student funding and the call for fee-free higher education may be a priority discussion point in this commission.

Commission 3: Research and Engagement

Research and engagement, and specifically engaged research and the linkages between community engagement and research, will be the focus of the two papers being prepared for this Commission. This is important for asking the questions about underlying epistemologies, assumptions and practices underpinning higher education research in South Africa. It is also important for understanding the imperatives of policy to align HE and development and to move away from the focus on just increasing research outputs, but also improving quality and addressing the underlying assumptions of research.

A key issue for this commission will also be the next generation issues and the development of PhDs and scholars in their early careers.

Key questions might include:

- What support is the system providing for the development of new academics and what can be improved? The “Staffing South African’s Universitie” Framework (SSAUF) is critical here, but so are many other initiatives, such as the work conducted by the National Research Foundation and many institutionally-based initiatives. Are the current funding models adequate?

- What are the more intangible factors that impact on the development of academic careers and how can those be supported?
- Support for new and early career academics is one end of the spectrum. Transformation of the professoriate is at the other end, and this will also likely be a large focus in the commission. How do we grow the numbers of Black and women professors in the system?
- The link between research and innovation in higher education needs to be concretised. How do we create the support structures, the policies and the mechanisms that are needed for institutional research to lead to new innovations?

Issues relating to internationalisation and infrastructure may also come up here.

Commission 4: Leadership, management and governance

Key questions for this Commission to address are:

- What kind of leadership is required to shift current university cultures to address transformation concerns?
- Do the management and governance structures in South African higher education institutions adequately understand the transformation imperatives to which the sector generally, and their institutions specifically, must respond, and what their roles are in addressing these imperatives?
- What needs to be done to support deep understanding of transformation imperatives in governance and management of higher education institutions, and to develop the capacity to address these imperatives?

This Commission will probably address a range of issues and all forms of leadership and governance, including student leadership, the roles of Councils and Senate, the relevance of Institutional Forums, the challenges of student participation in university governance, and the challenges of university leadership in the current context.

Other issues that may be picked up in this commission relate to the broader purposes of institutions and this may be the place to discuss the purpose and value of a differentiated higher education system within a transformed, integrated and coordinated South African post-school education and training system. What kind of higher education institutions would give effect to the purpose (of building a coordinated and integrated PSET system)?

Participation in Commissions

Delegates will be requested to select the commission in which they would like to participate. Commission participation is on a first-come, first-serve basis. The maximum number that can be accommodated in a commission is 100. Once this number is reached, the registration for that commission will be closed and delegates will be requested to register for another commission where spaces are still available.



ANNEXURE 10

Institutional Cultures/ Environments

Briefing paper prepared for the second national
Higher Education Transformation Summit, 2015

André Keet¹

Preliminary remarks

1. This was not an easy assignment, especially since the major concepts at play, *institutional culture* and *transformation*, are generally regarded as slippery and their over-proximity in our everyday talk about the sector give it the appearance of floating signifiers. Those who shy away from it probably know the *material* stakes that are carried by these concepts. Such wariness has become a discourse in itself, aimed at certain ends. For others, that which is invoked when these concepts are used is more important than its “attached” meanings. And then there are those who are aware that our concepts are of necessity fragile, since they are sometimes called upon to stand proxy for that which is not yet cognisable². I attempt to take these different positions into account.
2. The “racialised” categories used in this paper are inevitable and do not undercut my broader political understanding of *Black*. Similarly, the use of institutional categorisations do not confirm an unsophisticated, naive adherence to such hierarchies; they are simply employed to make my arguments more intelligible in the morass of “race” and “orders” in which we find ourselves. I also work with broad generalisations; my apologies. This is not to discount the varieties of contexts

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and histories which the limits of a paper such as this precludes pursuing. Micro-institutional cultures and dispositions can thus not feature in my analysis. I also include myself as an institutional and sector agent throughout the analyses in this briefing paper. In addition, my style is speculatively analytical, and *political*; something for which I make no apology.

3. I have worked on these ideas in various capacities: as a member of the Transformation Oversight Committee (TOC); as a role-player in the transformation work of Universities South Africa²; my work on Critical Studies in Higher Education Transformation; and my daily engagements with friends and colleagues. This needs be acknowledged alongside my gratitude to so many students who freely invite me into their space, are hospitable when I invite myself, and willingly share their experiences.
4. Higher education, nationally, regionally and globally, is faced with an infinite number of challenges. These range from those related to globalisation and the predation of neo-liberal logics, to matters of access, throughput and participation rates, research, teaching and learning, internationalisation, differentiation, diversifications, funding, student aid, and its responsiveness to societal challenges. This briefing paper does *not* focus on these, though it may become clear how some of these challenges are intertwined with what we call *institutional culture*. In addition, I take for granted that universities and the social realities of the societies and communities within which they are located, mirror each other to a large extent. I am *not* dwelling on this truism.
5. Two other types of analyses with import for reflecting on *institutional cultures* need to be flagged here, though they do not feature in any substance in this briefing paper. First, the discourse on contradictions and tensions within the higher education sector, with certain conceptions of excellence and quality in tow, has a profound impact on how we think and do transformation. This particular understanding of transformation as demanding trade-offs between equity and quality; redress and efficiency; and change and development have already been explored by others (Cloete *et al.* 2002; Cloete and Moja, 2007 and Cloete, 2014). Second, the interplay between the mission, mandates and roles of higher education has consistently being explored by Bidet's writings (2006; 2007; 2010; 2013)³ as a useful reminder of the larger purposes of the sector.

² This paper draws on work done with Derrick Swartz, the Vice Chancellor of the Nelson Mandela Metropolitan University for Universities South Africa, 2015.

³ See Badat, 2007: The role of higher education must necessarily intersect and effectively engage with the economic and social challenges of local, national, regional, continental and global contexts. These challenges include the imperatives of economic growth and development; the ability to compete globally; job creation and the reduction/elimination of unemployment and poverty; the effective delivery of social services and the threat of HIV/AIDS and other diseases. The challenges also encompass the imperatives of equity and redress; social justice; the democratisation of state and society, the building of a culture of human rights, creating a vibrant civil society, and promoting a culture of vigorous and critical intellectual public discourse. At the same time, in playing its role, higher education must also be guided by and embody specific *principles* and *values*. These include: equity and redress, quality, development, democratisation, academic freedom, institutional autonomy, effectiveness and efficiency, and public accountability'. He identified five roles for higher education (Badat, 2013:5-6): (i) 'to produce *graduates* that possess values, knowledge, attitudes and skills acquired through thoughtfully designed and implemented formative and professional teaching and learning programmes that engage simultaneously with disciplinary, historical, ethical, cultural, economic and learning issues; (ii) to undertake *critical social and scientific inquiry* and imaginative and rigorous scholarship – of discovery, integration, application and teaching - that serves diverse intellectual, economic and social goals and the greatest public good; (iii) to contribute to forging a *critical and democratic citizenship*. Vibrant and dynamic societies require graduates who are not just capable professionals, but also thoughtful intellectuals and critical citizens that respect and promote human rights; (iv) to *proactively engage with our societies* at the intellectual and, more

Introduction – provisional definitional frameworks?

6. Five operative concepts are evident in this briefing paper: institution, institutional culture, institutional environments, higher education and transformation. Simplistically speaking, the concept of *institution* refers to “complex social forms that reproduce themselves, such as governments, the family, human languages, universities, hospitals, business corporations, and legal systems”⁵; it refers to “regular patterns of behaviour that are regulated by norms and sanctions into which individuals are socialized. Institutions are thus an ensemble of social roles” (Turner, 2006: 300).
7. *Institutional environment*, for the purposes of this paper, refers to a “relatively enduring quality of the organisation which is experienced by its members” (Burton, 1999). *Higher education*, here, designates the 26 public universities; located in a system that has shifted, in substantive respects, from a fragmented and structurally racialised system of 36 public and more than 300 private institutions in 1994, to a relatively more integrated, “system-like” formation of 26 public universities (traditional, comprehensive and universities of technology)⁶ and 95 private higher education institutions in 2015 (see Blom, 2015)⁷. This paper focuses on public higher education institutions.
8. *Institutional culture*, to align with its conventional understandings and misunderstandings, refers to the deeply embedded patterns of organisational behaviour and the shared values, assumptions, beliefs, or ideologies that members have about their organisation or its work (Peterson & Spencer, 1991: 142). It has, over the past 20 years, become an area of keen interest for studies in higher education (Tierney, 1988; Sporn, 1996, Higgins, 2007; Jacobs, 2014). Jacobs (2014: 466), in the South African higher education context, aims at constructing constitutive meanings of *institutional culture*, based on a literature review. “This review revealed a large set of constitutive meanings, which was narrowed down to the four most frequently recurring meanings, namely: (1) shared values and beliefs; (2) language; (3) symbols; and (4) knowledge production” (*ibid*).

generally, cultural level. This requires universities to not just transmit knowledge to people in the wider society, but to have a two-way engagement with the wider society; a reflexive communication if you like; (v) to *actively engage with their wider contexts and societal conditions*. Our universities must engage effectively with the economic and social challenges of our local, national, regional, continental and global contexts; with the tasks of economic development and the ability to compete globally; job creation and the elimination of unemployment and poverty; the effective delivery of social services and the threat of HIV/AIDS and other diseases”.

⁵ Stanford Encyclopaedia of Philosophy: <http://plato.stanford.edu/entries/social-institutions/> [accessed 12 January 2013; and 15 April 2015]. For a comprehensive analysis of the various meanings of social institutions, see Joao De Pina-Cabral (2011).

⁶ These are: Cape Peninsula University of Technology (CPUT), Central University of Technology (CUT), Durban University of Technology (DUT), Mangosuthu University of Technology (MUT), Nelson Mandela Metropolitan University (NMMU), North-West University (NWU), Rhodes University (RU), Sol Plaatje University (SPU), Sefako Makgatho Health Sciences University (SMU), Stellenbosch University (SU), Tshwane University of Technology (TUT), University of Cape Town (UCT), University of Fort Hare (UFH), University of Johannesburg (UJ), University of KwaZulu-Natal (UKZN), University of Limpopo (UL), University of Mpumalanga (UM), University of Pretoria (UP), University of South Africa (UNISA), University of the Free State (UFS), University of the Western Cape (UWC), University of the Witwatersrand (Wits), University of Venda (UV), University of Zululand (UZ), Vaal University of Technology (VUT), and Walter Sisulu University (WSU).

⁷ Nine-hundred-and-ninety thousand (990 000) students are enrolled in the public higher education sector, and 120 000 in private institutions in the same sector, according to the 2013 statistics (DHET, 2013).

Jacobs's work (*ibid*) also brings *language* as a constitutive meaning of *institutional culture* into sharper focus; something that has significance for our current debates that relate to certain types of higher education institutions.

9. Putting Higgins's (2007) implosion of the concept aside for now, *institutional culture*, for the most part in this piece, denotes the totality of regimes of praxes within universities that normalise *the productions and distributions of patterns⁴ of recognitions and misrecognitions* according to norms that construct subjectivities, without these norms themselves being subjected to scrutiny⁵. These subjectivities carry cultural identities that are determined by various categories: race, class, religion, sexuality, gender, ability, ethnicity, etc. Following Odora-Hoppers (2009) usage of Kwando's work (2003), the concept of *institutional culture* also signifies the assemblage of university practices that disallows us to suspend "that which is taken for granted" (*ibid*) in our daily professional life.
10. The last operative concept for this briefing paper is *transformation*. Reflections on higher education transformation in South Africa generally choose the policy starting-points reflected in the report (1996) of the National Commission on Higher Education (NCHE); the White Paper on Higher Education (1997); the Higher Education Act (1997); the National Plan for Higher Education (2001); the Report of the Ministerial Committee on Transformation and Social Cohesion and the Elimination of Discrimination in Public Higher Education Institutions (2008); the Declaration of the Higher Education Summit (2010); the National Development Plan (2012); the terms of reference of the Ministerial Oversight Committee on Transformation in South African Public Universities (2013); and the White Paper for Post-school Education and Training (2014)⁶⁷.

⁴ These patterns can be challenged by focusing on the following areas that constitute them in the first place: *Institutional culture* (governance and management; professionalisation of "transformation" work; the social structure of the academy; and language and symbols); *Equity and redress* (access and success – staff and students; race, gender, disability and other categories; and the heterogeneity of difference); *Research, scholarship and post-graduate studies* (knowledge transformations; diversity and inclusivity; recognised research on "race", "gender", "disability" and social justice); *Leadership, relations with external stakeholders, and community engagement* (diversity, training, development and professional growth, transformational leadership; and socially just, diverse, and inclusive community engagement); *Teaching, learning and curriculum* (enrolment planning for inclusivity; critical pedagogies; transformed curricula and diversity competencies) (see Keet and Swartz, 2015: A Transformation Barometer for South African Universities, Universities South Africa). Another way of putting this is via Mbembe's *Decolonizing Knowledge and the Question of the Archive* (2015): the patterns of *misrecognitions* can be confronted by *demythologizing whiteness*, including its iconography; the *decolonization of buildings and of public spaces*; the *democratization of access*; the *decommissioning of a lot of what passes for knowledge in our teaching*; the *decolonization of the systems of management insofar as they have turned higher education into a marketable product bought and sold by standard units*; and the *decolonization both of knowledge and of the university as an institution*.

⁵ I rely here on Butler's work in *Frames of War* (2010) and my use of "recognition" includes conceptions of "redistribution" and "representation" (See Honneth and Fraser exchange, 2003).

⁶ The draft social inclusion policy framework of the Department of Higher Education and Training includes a comprehensive list that constitutes the South African post-school legal and policy architecture as it relates to transformation: Department of Education, National Education Policy Act (Act no. 27 of 1996); Department of Education, White Paper 3 on the Transformation of the Higher Education System, 1997; Department of Education, Education White Paper 4 – A Programme for Transformation of Further Education and Training, 1998; National Student Financial Aid Scheme Act, 1999, and subsequent amendments; National Policy on HIV/AIDS, for learners and educators in public schools, and students in Further Education and Training Institutions (1999); Department of Education, National Plan for Higher Education, 2001; Department of Education, White Paper 6: Special Needs Education: Building an Inclusive Education and Training System,

⁷ ; Department of Education, *Report of the Working Group on Values Education, 2001*; Department of Education, Values Manifesto, 2001; Department of Education, Bill of Responsibilities for the Youth of South

11. Transformation of higher education is generally conceptualised around the following principles, as expressed in the White Paper on Higher Education and Training of 1997: equity and redress; democratisation; development; quality; effectiveness and efficiency; academic freedom; institutional autonomy; and public accountability. Work within the sector with the Transformation Managers Forum suggests that the following themes are central to transformation: institutional culture; curriculum and research; teaching and learning; equity and redress; diversity; social cohesion and social inclusion; and community engagement. Recent demands for “transformation” come from a wide range of quarters and are articulated in varied forms, but do not appear to be fundamentally different in substance and style from similar calls made at various periods over the past 20 years. These demands usually include the “Africanisation¹¹” of universities; the “decolonisation” of knowledge and curricula reform; equality of access and success; better facilities and better support systems; demographic representation at all levels of the academy, and across university structures; democratic and inclusive institutional cultures; and universities being more responsive to the vast developmental needs and challenges of their environments, and society in general.

2010; Department of Higher Education and Training, Adult Education Act (Act 52 of 2000) as amended by the Higher Education and Training Amendment Act of 2010; Department of Higher Education and Training, Skills Development Act, 2010; Department of Higher Education and Training, Formal Further Education and Training College Programmes at levels 2 to 4 on the National Qualification Framework, 2011; Department of Higher Education and Training, National Skills Development Strategy 111 (2011); Department of Higher Education and Training, the Green Paper for Post-School Education and Training, 2012; Department of Higher Education and Training, the White Paper on Post-School Education and Training, 2013; Further Education and Training Colleges Amendment Act, 2012 (Act no. 3 of 2012).

Strategic Documents and Reports include the following: Department of Education, *The Ministerial Report on the Elimination of Discrimination and Promotion of Social Cohesion in Higher Education Institutions* (Soudien Report, November, 2008); Department of Higher Education and Training, Council on Higher Education (CHE) Report on student engagement (2010); Department of Higher Education and Training, National Skills Development Strategy 111; Department of Higher Education and Training, Human Resource Development Strategy for South Africa (HRD-SA) 2010-2030, (2010); Outcome 5 of Government’s 12 performance outcomes: “A skilled and capable workforce to support an inclusive growth path” (2010); Department of Higher Education and Training, *Report on the Charter of Humanities and Social Sciences*, 2011 (HSS Report); Framework for co-operation in the provision of career development (information, advice and guidance), 2012; Presidency, National Planning Commission, The National Development Plan, Vision 2030, 2011.

¹¹ For discussions, debate and critique of “Africanisation” see for instance wa Thiongo; Garuba; Nymnjoh; Mbembe; and Ntsebeza.

¹² The official differentiation is as follows: 11 universities (RU, NWU, UCT, UFS, UFH, UKZN, UL, UP, SU, UWC, Wits); 6 universities of technology (TUT, CUT, CPUT, MUT, DUT, VUT) and 9 comprehensive universities (UJ, NMMU, UNISA, UV, UZ, WSU, SMU, MU, SPU). MU and SPU opened their doors in 2014, whilst SMU “opened its doors in January 2015. “(a) *Universities*: offer basic formative degrees such as BA & BSc, and professional undergraduate degrees such as BSc Eng and MB ChB. at postgraduate level offer honours degrees, and range of masters and doctoral degrees. (b) *Universities of technology*: offer mainly vocational or career-focused undergraduate diplomas, and B Tech which serves as a capping qualification for diploma graduates offers a limited number of masters and doctoral programmes. (c) *Comprehensive universities*: offer programmes typical of university, as well as programmes typical of a university of technology” (Cloete, 2010). ¹³ Cloete (2014: 1356-7) presents 3 categories: high, medium, and low knowledge producing groups. Unsurprisingly, “it shows the universities of Cape Town, Rhodes and Stellenbosch in the high knowledge producing category, while all the other universities (with the exception of Walter Sisulu and Limpopo) are in the and needed, differentiation within the system produces a variety of institutional cultures and environments; so historically determined, imported into the present, and projected into the future. It further adds to the massive complexities that are associated with universities and the efforts to transform them in socially-just directions. The question that should be raised here

Africa, 2008; Department of Higher Education and Training, Higher Education Laws Amendment, Act 26 of

has less to do with differentiation *per se*; rather, it has more to do with the violent expression of institutional hierarchies that circulate recognitions and misrecognitions along “race”, gender, class and other lines; and how it discursively produced ahistorical and monolingual notions of “excellence” and “quality”. Differentiation is thus not performed as an inclusivity of *differences* and contexts; but as an adjudicatory tool that frames students and institutions alike, with the framers “preparing and structuring [...] public [and institutional] understanding”¹⁴ as an ideology masquerading as non-ideological. In essence, these hierarchies in the higher education system in South Africa, come to determine the norms that produce student and other institutional subjectivities that are worthy of recognition on a national and institutional scale. This inevitably yields the categories of misrecognition directed at those individuals and institutions who are not eligible for and who remain outside of the realm of such recognition.

medium category, and all the universities of technology are in the low knowledge-producing grouping”. When one puts aside the *politics* of this kind of categorisation and the limited way in which knowledge is being perceived here, these analyses confirm the historical-reproductive impulses of the system. Cooper (2015: 239), suggests a different form of higher education institution categorisation based on “research-intensivity; [...] this yields five “upper band” universities, seven “middle band” universities” and eleven “lower band” universities”¹³ within which the race-class nexus is expressed; The upper band consists of UCT, UKZN, SU, UP, and Wits; the middle band is made up of NWU, UJ, UNISA, UFS, NMMU, UWC and RU; and the lower band includes UL, CPUT, TUT, UZ, UFH, CUT, DUT, VUT, UV, WSU and MUT. Again, the imitative force of the system is verified. Nevertheless, Cooper’s (*ibid*: 258-259) analyses contain instructive insights. First amongst these is that since 2012, within the upper band, a slower intake of South African *African* students (except Wits and UKZN) is occurring and a limited number of students of all racial groups from working-class or even lower-middle-class backgrounds are enrolling at UCT, and probably others as well. Furthermore, the middle band, though they had close to a 100% white student population in the 1980s, have a majority South African *African* students (except UWC). The student body in the lower band institutions is almost fully *African*, and the majority come from poor family backgrounds. In this band there is also an “absence of any substantial entry of white students (or other non-african students)” (*ibid*). My apologies for having to use the concept of *African* in this way: *Black Africans* excludes ‘*Coloured*’ *Africans* and ‘*Indian*’ *Africans* to make clearer the arguments Cooper is forwarding. He, himself uses it a specific way (Cooper, 2015: 238): “The category black” will refer collectively to the historically oppressed groups consisting of individuals classified under apartheid as African, Coloured or Indian; this usage of the term “black” was the one adopted by the anti-apartheid liberation movements. It should be noted as well however, that the use of these socially constructed race categories in the discussion does not imply acceptance of their validity or value as classificatory terms. ¹⁴ Butler (2010: xv).

The System – varieties of categorisations

12. Apart from the formal policy differentiations¹² of traditional universities, comprehensive universities and universities of technologies, other typologies are taking root¹³. The inevitable,

Institutional Culture

13. Higgins (2007: 107) in *Managing Meaning: the constitutive contradictions of institutional culture* suggests that “as it has come to be understood in South Africa, institutional culture refers to the dimension of social and pedagogic communication as it operates both formally and informally, in both teaching and more generally in student life on South African university campuses. In particular, it has come to refer specifically to the forms of cultural and intellectual capital that come together in much critical thinking as whiteness”. As the concept emerged via organisational studies to name the underlying assumptions and institutional behaviours “ready” to be manipulated instrumentally to serve transformation imperatives, its instrumental promise “gives way to a nuanced and inevitable realisation of the real difficulties of intervening in the complex reality that organisational culture names” (*ibid*: 110).

14. Understandably, acknowledging institutional culture as a hard-to-define phenomenon (Jansen, 2004) and a slippery notion (Ensor, 2002) has become in itself a discursive (Van Wyk, 2009; Vincent, 2015) trend; in part drawing from the productive analysis that Higgins offers. The complex reality of organisational culture” (Higgins, 2007: 110) has nevertheless been highly successful in one aspect of transformation: “the administrative attack on and undermining of academic culture [...] as the new global common-sense of the neo-liberal redefinition of the aims of higher education” (*ibid*: 122).
15. Vincent (2015: 24) has a point when she says that “one way of understanding institutional culture [...] [is] through the stories we tell about it and ourselves and ourselves in relation to it – and indeed the stories that the institution itself, *qua* institution tells, authorises, negates, suppresses, circulates and propagates”. Institutional culture, in short, can be understood as something that is narrated”; and at times it is critical that such narrations emerge through lived experience; in other words, institutional culture is structural and material. This can also be applied to Jansen’s analyses in *Knowledge in the Blood* (2009) on the University of Pretoria, and *Leading for Change: Race, intimacy and leadership on divided university campuses* (2015) in relation to the University of the Free State.
16. The deeply embedded patterns of organisational behaviour and the shared values, assumptions and beliefs that float as the definitional markers of *institutional culture* are resident within all types of universities in South Africa, to make an obvious point. *Institutional cultures* are historically produced and are chiefly disclosed by the ways in which the key functions of the university are executed *and* not executed; teaching and learning, research and community engagement. If, as Higgins (2007) argues, *institutional culture* has become a buzzword, the question to be asked is: What is the process of becoming a buzzword trying to disclose? I would suggest that it wants to reveal the perversion of the system at its core. Within the very process of *institutional culture* becoming a buzzword resides the experiences of students and staff doomed, for now, to use a deficient register of articulation; a lack that is now being addressed by the new student movements. In the absence of a sharper idiom, it emerges as the most “usable” concept to capture a variety of challenges⁸.
17. But, it would be a mistake to limit our analyses to *institutional culture* as the generator of alienation and the *misrecognitions* of *Blacks* on historically white university campuses. *Institutional cultures*, as it steers forms of doing, also results in governance breakdowns¹⁶, maladministration and the near collapse of institutions (see Lange and Luescher-Mamashela, forthcoming). These are described as follows: “Factional councils that have failed to exercise their

⁸ The Minster (May, 2015) captures the challenges as follows: “There remains an urgent need to radically change the demographics of our professoriate; transform the curriculum and research agendas; cultivate greater awareness of Africa; eliminate racism, sexism and all other forms of unjust discrimination; improve academic success rates; and expand student support”¹⁵. Other demands include the “Africanisation¹⁵” of universities; „decolonisation“ of knowledge and curricula reform; equality of access and success; better facilities and better support systems; demographic representation on all levels of the academy, and across university structures; democratic and inclusive institutional cultures; better responses to academic and financial exclusions and universities being more responsive to the vast developmental needs and challenges of their environments. ¹⁶ In addition, we have not yet „managed to discover why HDIs have failed to come out of the vicious circle of poor governance and management“ (with associated poor quality of teaching and learning) which bedevil the life chances of millions of our young people (attributed to an observer who cannot be named here). Studying HDIs through the lens of these six economies may provide answers; the reasoning behind the six economies is applicable across Cooper’s three bands of universities. Of course the contexts and histories differ, but to a large extent, the operations of the six economies vary only in terms of the size of budgets, financial reserves, skin pigmentations and cultural self-understandings.

fiduciary responsibility; a lack of leadership and absence of efficient administrative systems; academic matters often involving weak, marginalized or dysfunctional senates; maladministration, corruption and financial crises” (*ibid*).¹⁷ Mohammedbhai (2015) argues that corruption has become widespread in African universities - endemic; and one may argue, it has become part of the *institutional culture* of universities. Governance problems, dishonesty amongst students, dishonesty amongst staff, admissions, fake degrees and degree mills across university types are highlighted in his analysis. In addition, to be brutally truthful, we have to acknowledge that a big segment of the system in Cooper’s lower band (2015) which serves almost entirely *African* student bodies represents a big risk to the sector and scuttles the aspirations of our students and the development of the country. The quality of the educational experience and student life, together with questionable academic and administrative cultures, suggest an urgent need for systemic interventions. Needless to say, historical inequities that have been carried through to the present are a key contributing factor.

18. Another common mistake is to lock our understanding of “dysfunction” into an audit, management and governance discourse. Despite wobbly conditions across the sector, one has to ask why conceptions of “dysfunction” are limited to governance and management. However, if the notions of “dysfunction”, “corruption” and “maladministration” are widened to include various closed and self-interest driven networks, then all universities across the three bands are soaked in it. Networks around contracts, council complexes, academic buddy-systems, intellectual cabals, research-cliques and publications gangs are endemic to the entire system as an expression of the nature of the sector globally and regionally. Different institutions and types of institutions use different formulas, but similar logics. Taylor (2015: 208-210) gives us a sense of how this institutional corruption diminishes the capacity of universities to achieve their purposes in his contemplations on *Philosophy*; this analysis may be applicable across various disciplines. Networks are, of course, central to academic, intellectual and social projects. It is when they turn cabalistic, self-serving and chauvinistic that they serve exclusionary purposes along various fault lines such as “race”, gender, language, episteme, culture according to the steering power of money, credentials, prestige and privilege. A caution here, that for us working in and for higher education transformation, is not to generate *alternative dogmas* as the opposites of that which we work against; we are called upon, via sharper categories of self-understanding to resist new chauvinistic tendencies in favour of inclusive, progressive academic communities that serve our students better.
19. One way to introduce sharper and more critical forms of self-understanding into the academy, is to view *institutional culture*, partly, as the collective expression of at least six *economies*¹⁸ operating within the academy and university administration that produce and reproduce the social structure of the academy¹⁹. Let me hasten to say: the six-economies-analysis is not meant as a totalizing critique of the academy. Rather, it should be viewed as an interpretive scheme for de-familiarising our ways of seeing and doing that have become normative preconditions for participating in access to the implications academic and university life and as such are drawing the contours of our moral and other considerations as knowledge and teaching practitioners within university spaces. We seldom have of our participation within these economies in the ways that it co-constitutes *institutional culture*.

¹⁷ Between 1994 and 2012 the Minister appointed 14 assessors to deal with public higher education institutions in crisis; ¹⁸ See Keet and Swartz for Universities South Africa, 2015.

¹⁹ As an example: Nazeema Mohamed’s quarterly review for Universities South Africa (September, 2015: 3) captures the convergence of material and epistemic economies in the following way: “Some black academics have argued that merit and skill is not the real issue and that there are many suitably qualified black scholars who find it difficult to enter academia.

20. The social structure of the academy, though embedded, is disclosed in equity patterns, promotions, privileges; the way in which scientific authority is distributed and transferred; and the constitution of university committees, such as disciplinary, ethics and research committees. *Management* economies distribute the variety of codes by which institutions operate; it includes its social organisations, the templates on which various decisions are made, and the variety of decision making platforms that are demanded by the pragmatics of university management. The *administrative* economy refers to the circulation and distribution of administrative and regulatory power and control; access to systems and the codes and rules by which these systems operate. In the case of *material* economies, privileges and benefits, financial and otherwise, are circulated within established networks that reaffirm the *power-positions* of those *already* on the grid. *Sociocultural* economies ensure the flow of beliefs, customs and behaviours that affirm the status quo; in, for instance, the way in which the social myth of “white excellence” became *the* standard. *Affective* economies circulate collective emotions and affect. For instance, the case in which the “white subject” “is presented as endangered by imagined others whose proximity threatens not only to take something away from the subject (jobs, security, wealth), but to take the place of the subject”²⁰, is a case in point. Another example relates to intellectual entrepreneurs around black suffering, as well as the emotions that are politically mobilised around the language debates within our universities. *Intellectual* and *epistemic* economies safeguard the movement and predetermined transfer of scholarly authority and credentialisation according to established institutional and sector-based rules that reproduce the social structure of the academy, by regulating who has access to the “games” that set up the “rules”. Similarly, Taylor (2015: 204) argues that universities’ orientations are in part shaped by epistemic cultures. *Political* economies here refer to the circulation of political beliefs and ideologies, *and* to the “social relations, particularly power relations, that mutually constitute the production, distribution, and consumption of resources” [...]; social relations organised around power or the ability to control other people, processes, and things, even in the face of resistance”²¹. These economies are linked into extra- and semi-attached university outfits, centres and networks, and sometimes permeate entire university operations.
21. It does not necessarily follow that all these economies always expressed themselves in negative, undesirable or damaging ways. On the contrary, they may be, and sometimes are, appropriate, necessary and productive. At issues here is whether we apply them as critical interpretive schemes for making sense of how we understand ourselves and how we do our work; *and*, in what ways we examine them as partly constitutive of the social structure of the academy and the culture of our institutions. They do feature in various formulations for calls to shift *institutional cultures* as ways to counter estrangements and discriminations, but they seldom co-star in our reflections on our own praxes. Nevertheless, they are instrumental in steering our conscious and unconscious mental structures that are converted into social practices from where symbolic and other forms of violence stem, corporeally and materially felt as such. It should thus, at least figure in our own categories self-understanding. Here, again, we should not limit our scrutiny to the usual “discursive” suspects of “white” institutional culture, important as they may be, but rather cast our analytical nets across the entire sector.

These academics believe that their failure to enter academia is more about an old guard wanting to preserve the status quo and positions of white privilege”.

²⁰ Ahmed, 2004.

²¹ Mosco, 2009.

22. Another, probably one of most crucial, aspects of *institutional culture* relates to knowledge, its disciplines and its disciples. How knowledge is produced, organised and adjudicated as knowledge *always* holds the prospects, often expressed in action, to generate patterns of exclusion on the basis of a variety of discriminatory categories. Racism, sexism and other discriminations as constituting agents (with concomitant social practices) of the disciplining of knowledge within, for instance, philosophy, anthropology and other humanities and social science disciplines are nowadays an accepted fact, supported by years of research and analyses. Moreover, the disciplining of knowledge in medicine, health, engineering, natural- and agricultural sciences within which academic subjectivities are organised, seem to produce professional dispositions that support exclusionary institutional cultures. These disciplines, apart from the circulation of scientific racisms within them, are thus implicated in the discriminations we experience on our campuses and elsewhere as “the ideological functioning of sciences”, not simply because on the level of the ideal structure patterns of *inclusions and exclusions* or patterns of *recognitions and misrecognitions* are observable. Neither only because at the level of their technical use in society these patterns play themselves out. “Nor simply at the level of the consciousness of the subjects that built” these sciences”; they are *always already* implicated where ideology takes hold of scientific discourse at the very point “where science is articulated upon knowledge” (Foucault, 1969: 141-142). Teaching and learning, curricula choices, and research and assessment that are not carefully reflected upon, tend to foster uncritical dispositions that advance the ideological functions of the sciences. This is another motivation for the academy to develop more accurate categories of self-understanding because higher education in South Africa and on our continent suffers a profound constraint: the western disciplining of knowledge. Here one can summon Ndlovu-Goshen’s⁹ argument that “the worst form of colonization [...] on the continent is the epistemological one (colonization of imagination and the mind) that is hidden in institutions and discourses that govern the modern globe”.

Implications

23. The *six economies* influentially steer institutional cultures. They more often than not give rise to unethical, self-interest driven and embedded networks that startlingly have become normalised as academic practice and here, as in the entire briefing paper, I include myself. Sometimes operating as sanctioned and legalised corruption, they can only frame students by the norms which govern the logic of the six economies. That is, behind the *regimes of recognition and misrecognition* of student subjectivities that are produced and distributed by *institutional culture*, varieties of combinations of economies rule, sufficiently powerful for academic agents to “preserve their view of themselves as moral agents whilst inflicting harm on others” (Bandura, 2002). In essence, academics, by and large, lack honest, objective, and accurate categories of self-understandings, both about themselves as professionals and the institutions to which they are attached; a fact that may explain the docility of academics amidst progressive student movements. *Not because they are inherently bad people, far from it.* Rather, it is because they are caught up in legitimating practices that must ensure the active presence of past privileges within the academy; a point equally applicable to academics from all backgrounds in post-1994 South Africa. They are, by a variety of constraining and steering factors called upon to convert these privileges into rights so as to normalise their exercise (an insight from Bourdieu, 2014). “Bourdieu believed that an analysis of the social structures of the academy would

⁹ Ndlovu-Gatsheni, S.J., 2013. *Coloniality of Power in Postcolonial Africa: Myths of Decolonisation*. [e-book] Dakar: Council for the Development of Social Science Research in Africa. Available at: http://www.codesria.org/IMG/pdf/2Coloniality_of_Power_Ndlovu_Chapter_2.pdf [Accessed on 20 November 2013], p.63.

disclose the categories of its self-understanding and the social derivation of thought that it employs (*ibid*: xii). Only on this basis can it (the academy) expect to make decisive progress” (Keet, 2014: 105). In mirrors held up to the academy by the new student movements, we can see the demands to develop more accurate categories of self-understandings, not about what we think we do, but about what we *actually do*; this is a disruptive, but not a bad space to be in at all.

24. Students and staff are processed and framed by *institutional culture*, conventionally understood *and* when viewed as being bolstered by its operating economies; it is an inescapable matter of fact. As this framing actively produces selective versions of social reality (what is excellence? who and what count as recognisable? etc.)¹⁰, it also discards other alternative versions: “making a rubbish heap whose animated debris provides the potential resources for resistance” (Butler, 2010: xiii). From this debris, the university-based social movements are emerging. They may source their energy from the desire to fight financial exclusion, cultural injustice, epistemic violence, or other forms of misrecognition, but they here, and they are real. We are, across the system and across our various subjectivities, recruited into this frame (*ibid*: xii). Within the various types of higher education institutions, the frame initiates conceptions of students (and some staff) as unequal; non-adults who are interdicted from real participation in the daily discourse of university life. Thus, it attempts to set the rules of engagement with its own debris. However, students’ substantive strategies have shifted to such an extent that they resist re-conscription, contesting the frame and its efforts of annexing them. The unfortunate, and sometimes violent bypassing of formalised structures (such as SRCs etc.) is, at its core, not a statement of disrespect for these structures as part of democratic policy. Rather, it is a refusal to be recruited into the very frame that generates the institutional culture which they have as a target; a matter that will require “new” policy thinking. The trick here, again, is not to think of an agency that can, at all times resist this framing; it is about categories of self-understanding that will reveal our complicity, so that we can be reminded, where and how to work at de-ratifying any totalising frames, even if they implode the economies within which we are located. Those who work with qualitative data and engage with students on a regular basis will know how management, administrative, material, socio-cultural, affective, intellectual, and political economies operate as integrated wholes at various levels of our universities; *producing and distributing orders of recognitions and misrecognitions*, to the benefit of some, and to the pain and anger of others.

¹⁰ A brilliant formulation of this framing is found in Shose Kessi’s (25 September 2015) analyses. In higher education discourses, similar ideas about black students and black staff as lacking in competencies are presented as given, without an analysis of the institutional structures and cultures, as well as the social, historical, and material contexts that continue to exclude and devalue the contribution of black scholarship. The social movements sweeping across the higher education landscape in South Africa are, however, very different from these apolitical versions of black suffering. At the University of Cape Town (UCT) for example, the Black Academic Caucus, a group of over 80 black academics representing all faculties, is engaging in institution-wide conversations and actions to address the exclusion of black experiences and scholarship in the areas of curriculum, research, staff recruitment and development, and institutional culture. The fundamental logic is that black scholarship prioritises the needs and aspirations of the majority of people in this country and continent. These initiatives are not separate from our social and historical context, in particular the material, symbolic and structural conditions brought about by colonisation and apartheid. On the contrary, these initiatives are a direct result of our affective and bodily experiences as black scholars and as black people in this country and continent. The fall of Rhodes was symbolic of the need to dismantle the racist, masculinist culture of our institution (city, country and continent) and has led to many critical debates about dismantling whiteness and patriarchy in the lived experiences of black staff and students. [accessed 26 September 2015 <http://thoughtleader.co.za/blackacademiccaucus/2015/09/25/of-black-pain-animal-rights-and-the-politicsof-the-belly/>].

25. Accurate forms of self-understanding that can make lucid to ourselves, our locations within *institutional culture* will require courageous objectifications because we are generally incapable of “providing [ourselves] with a representation of the reality in which [we] are immersed” (Boltanski, 2009: 60); a point confirmed by critical sociological studies. Deafness and ignorance (learned unknowledge) are functions of this lack of self-understanding, demonstrated with force in the puerile responses from within the higher education sector to the Soudien Report (2008). The report is littered with cautions and references in relation to *institutional culture*, something that most of the HEQC audits also highlight. The Soudien report suggests that “transformation could be reduced to three critical elements, namely policy and regulatory compliance; epistemological change, at the centre of which is the curriculum; and institutional culture and the need for social inclusion in particular” (2008: 36). The report recounts many painful stories that demonstrate how staff and students are dislocated and misrecognised within university spaces; a trend confirmed by the articulations from the Rhodes Must Fall Movement, Open Stellenbosch, Transform Wits, the Black Students Movements, and student formations on most of our historically “white” campuses. Though protests at HDIs since 2009 have mainly focused on student finances and academic exclusions, the quality of academic staff and the quality of the academic experience are increasingly verbalised; a trend that connects student voices across the sector. It will be foolhardy to think that the protests in HDIs and other “types” of universities are totally delinked from one another. They may differ in many respects, but the conjunction of subject-formation and the discursive privileging of the white western subject in our teaching, curricula and research across all “types” of universities, is bringing student voices together in its heterogeneity. Safety and security on one campus, financial exclusions on another, survivalist battles here, and cultural and epistemic injustice there, are all placed on a grid of *misrecognition*, with connections, shifts and disconnections of all kinds. Amidst these, students make careful choices on how to formulate demands based on contexts, timing and strategy, thus placing the entire system under analytical student-driven surveillance.
26. Universities as institutions are powerful and *institutional cultures* are compelling and create patterns of consistency and regularity. These patterns are brought into question at moments of disputes, such as the many instances we now experience on our campuses; these are educational moments to embrace.

Redirections

27. Higgins’s (2007) caution that *institutional cultures* as a concept and instrument for transformation defeating its own logic, has some measure of truth, only if we wholly subscribe to the development of its meaning via organisational studies. Nevertheless, the self-destruction of the concept (*ibid*) can, in fact, be an ally in our efforts of naming that which is referred to when the notion of *institutional culture* is invoked. Many contributions in *Being at Home: Race, Institutional culture and Transformation at Higher Education Institutions in South Africa* (Tabensky and Matthews, 2015) attempt to do so. The notion of *institutional culture* invokes a sense of tradition, and mobilises a logic of common sense, comfort, cosiness and security. This not only makes its implosion helpful but also steers us to abandon any romantic notion of *institutional* inclusivity as allowing “something” into a space that belongs. Such belonging, common sense and cosiness should not be even close to any discussion on the nature of the university. Common sense, as Boltanski (2013: 55) argues, too rapidly reduces *radical uncertainty* and an *unease* which haunts real social life on a daily basis. This haunting is ever present and brought to life by our daily disputes; a form of thinking that would have better prepared us to make sense of contemporary student movements and protests.

28. New kinds of sociological research that accept Higgins's implosion of the concept of *institutional culture* are required. In the wake of its collapse as a meaning-making frame, perhaps we should start thinking along the lines of *socially-just institutional orientations*; a concept that favours a politics (and suffering) of the present¹¹ where the dead can "nevertheless play a highly active and productive role" (see Boltanski, 2011: 60). If we can tie the notion of *socially-just institutional orientations* to a politics of the present, we may be able to judge *institutional culture* not on the basis of its traditions, embedded common sense, and taken-for-granted assumptions, but on the way it, in the present, *produces and distributes regimes of recognitions and misrecognitions* along the fault lines of race, gender, sexuality, class ethnicity, etc.
29. Innovative understandings and interpretive schemes that can de-familiarise that which is taken for granted should be forged. Not only because our students deserve better, but also because defamiliarisation should be a crucial element of any scholarly disposition. We have to challenge the institutional cultures of HDIs that normalise fragile conceptions of quality and service and apply the same energy to challenge warped and self-referential conceptions of quality and excellence in other types of institutions. In addition, we have to defy institutional cultures rooted in traditions, culture and forms of doing that are incapable of reading the present and future differences and heterogeneities amongst students, knowledges and staff that are presented to it.
30. In the articulations of students over the past few months through an infinite number of radio interviews, meetings, protests, memoranda, television debates, and social media discussions, we got a clearer glimpse of their humiliating experiences at the nexus between self and structure; between their subjectivities and the culture of the institutions which they attend. They are adept at formulating their captivity within institutions which provide them with a fleeting picture of the structural "imprisonment" of all, including university managements who by default *must* emerge, not as targets, but as important holding spaces for student experiences. Students are not blind to the constraints that weigh in on the entire sector and its actors. Nevertheless, they demand a form of cultural and cognitive justice in the actions of managers and academics that have not yet taken shape in the way universities "see" and "cognise" students. A reasonable demand, by all counts. Nevertheless, students will be challenged, as university transformations attempt to play itself out in the future, not to generate new dogmas and new forms of unproductive violence's. Rather, as they have proven to a large extent, novel forms of a politics of solidarity and proximity across various divides are shaping a rational social and intellectual project across our campuses.
31. Even as the robustness of student engagements grow, they sense, as some research has shown, the power of *institutional culture* and its structuring impulses on students, university leadership and academics alike. The elements of what we "dislike" about the "new" students politics, is a call for us "to get over ourselves"; to put it bluntly. In rejecting the violence and destruction of property as we should, we must nevertheless resist the employment of an idea of decorum and politeness that,

¹¹ Boltanski (2004: 192): „[T]here is room also for a *politics of the present* which, without seeking support from an accusation turned towards the past or from a justification of the future consequences of its actions, would be orientated entirely towards present suffering and *present victims*. Is it not true that there is often confusion between these three *political orders* which have supported criticisms arising from the use of the argument from pity in politics, with, in particular, a denunciation of those in power who exploit past victims in order to take possession of the future while ignoring present suffering? On the other hand, without leaving the framework of a politics of pity which has been unsurpassable for two centuries, by focusing on the present the humanitarian movement can even so stay closest to compassion, one of whose principal features is, as we saw at the start of this book, the *presence* of that which arouses it. To be concerned with the present is no small matter. For over the past, ever gone by, and over the future, still non-existent, the present has an overwhelming privilege: that of being real.“

in most instances, result in the co-option of the student voice and practices. Instead, we should read what we observe on our campuses as an expression of the limits of regulatory-consensus politics. What is emerging is an *agonistic politics* that is infinitely more capable of creating the conditions of the vibrant the democracy for which we all yearn; one that can shift the social structure of the academy and open its epistemic prisons to free us all. This may, by all accounts, assist with sharpening the quality of *the political*, institutionally and nationally.

32. Though the battles on our campuses speak to much wider and deeper issues, there are elements of party political jostling being imported into university spaces in very morbid and counterproductive ways. This particular trend needs to be examined by students and stakeholders themselves if we want a fighting chance for inclusive *and* heterogeneous narratives of change to be conceptualised and performed within university environments. Mbembe (20 September, 2015) is right in linking the developments on campuses to our national political discourse, and the demands emanating from the everyday survivalist struggles of communities who still aspire to the idea that post 1994 should be “better” for all. Though party politics seems to creep in from time to time, *the political* (the everyday struggle for social justice) seems to eclipse the *Political* (actions in alignment with party political discourses) at least as far as the broad conglomerate of student mobilising forces are concerned. The *socially-just institutional orientation* we refer to would require a *just* inclination in process, strategy and substance in which we can have consensus on key ethico-political democratic principles whose meanings are open to interpretations and dissent; a conflictual consensus as Mouffe (2013: 8) would say. If nothing else, this is what we should value from emerging student movements. The pragmatic coordination required to make the university “work” according to its taken-for-granted understandings of itself does not need the flattening of dissent and antagonism. In fact, it is precisely this dissent that will contribute to more sophisticated types of self-comprehension; pragmatics and antagonisms can jointly coordinate and enrich the conditions required to run massive and complex institutions.
33. In the dissent that presents itself as antagonisms resides an instructive proposition for how we view *institutional cultures*. Subjects and their subjectivities not only enter institutions that already operate on pre-determined templates. They enter with an expectation to be part of a “dynamic social process” within which they want to re/ negotiate the terms of *their* recognition, on which basis they can be part of an ongoing social exchange of constitution and reconstitution; antagonism can be lived within and among subjects as a dynamic and productive political force (see Butler, 2010: 140-114). We have to abandon the pre-determined templates as forms of nonthinking that want “to secure a judgment, even if the [template] is clearly false” (*ibid*: 144). Our social processes must see and foresee an explosion of existing and emerging *differences* that demand the right to own social spaces that is a public, common good (see Mbembe, 2015: 5).

When these come together as “animated fields of difference” within the student social movements of our times, they do so on the basis of political opposition to certain practices “that effect exclusions, abjections, partially or fully suspended citizenship, subordination, debasement, and the like” (Butler, 2010: 147). *Socially-just institutional orientations* will be expressive of these antagonisms; not as an impasse, but as progressive movements that will better serve the core mandates of the university.

34. Institutional cultures are also functions of, *and*, constitutive of structural captivities and a range of “impossibilities”. It should be abundantly clear that our vice-chancellors and university senior leadership are caught up in various dilemmas which are now, not for the first time, partially being disclosed by student movements. What is also clear is that the majority of our university leaderships are competent and proficient in many respects and committed to university transformation; the DHET is emerging as a key and capable driver of change; communities of practice are operating productively in various university spaces; and the quality of most of our students’ analyses and mobilising practices are growing in substance and strategy. At issue here is how “one plays the game” and at the same time “change its rules” without imploding the system, whilst simultaneously creating the conditions for self-generative and organic student movements to emerge with their own modes of articulation, their own idioms, regimes and practices.

Key Questions

- a. In what ways can we rethink the limits of the idea of *institutional culture* to make way for working towards *socially-just institutional orientations*?
- b. How can *institutional culture* advance recognitive justice (based on recognition, redistribution and representation) and cultural justice (the equal responsibility to suspend that which is culturally taken for granted)?
- c. How can we employ the insights and challenges placed before us by student voices to rethink the nature of the university in relation to Africanising institutional culture and the decolonisation of the university?
- d. To develop inclusive and non-alienating academic practices, how do we shovel in ways to reveal how the social structure of the academy co-constitutes *institutional culture* for our research and teaching and learning to shift in socially-just directions?
- e. How do we think *institutional culture* as a challenge across the different types of universities; as a sort of demand for collective responsibility and joint accountability for “quality” university education across the sector?
- f. What would an *institutional culture* do that is not only inclusive by making space for various “existing” subjectivities, but provides the mechanisms and space for students and staff to continuously renegotiate the terms of inclusion and recognition as ways to disrupt the frames imposed on them?
- g. How can *institutional culture*, in our minds, become a standard focus of analyses that challenge gender-based discrimination, ethnicism, chauvinism, ableism, sexual violence, as well discrimination based on sexual orientation, class and social status?

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ANNEXURE 11

Critical Moments, processes of social exclusion and inclusion: black student narratives

Briefing paper prepared for the second national
Higher Education Transformation Summit, 2015

Dr Peace Kiguwa¹

In this paper, I explore an aspect of transformation within higher education institutions that is not always immediately visible or obvious in the dominant discourses of transforming the academy. This aspect, I argue, is however central to how we may begin to engage and change institutional cultures within much higher education settings, including an understanding of how racialization continues to be a foregrounding influencing factor in interaction amongst different raced bodies in the academy. In order to do this, I rely on the theoretical works and analyses of Pierre Bourdieu (particularly his notion of habitus' and the reproduction of doxa'), Nirwar Puwar's analysis of bodies out of place', and Sara Ahmed's emphasis on the emotional registers' of different bodies in place.

These different theorists engage the idea that relations of social reproduction (and inequalities) may be reproduced via real material practices of exclusion as well as within nuanced and intricate forms of

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representation, attachments and entrenched ways of being and acting within the social world. These ways of being and acting may in turn be influenced by particular emotional registers that inscribe how different bodies may occupy social place, enact identities within institutions and so on. The work of Bourdieu, for example, in his notion of habitus', engages the role of those unconscious ways of being, acting, thinking, feeling, interacting with others etc. that belong to particular class socializations.

These different habit uses' inform and influence how members from different social classes may implicitly reproduce and sustain their already entrenched class divisions – by influencing how individuals and members of the group may behave, interact with each other, challenge the status quo, resist particular social practices etc. For Bourdieu, the habitus is most effective precisely because it is largely unconscious: it assumes a way of knowing 'one's place in the world that becomes common sense and very often unquestioned. It is such unproblematized internalizations of our different social habit uses – whether gender, racial, class etc – that makes it possible to reproduce doxa' or the status quo (of social inequalities). What Bourdieu is alerting us to here is the important role of working with different social groups' socialized habit uses in any transformative practice.

While Bourdieu fails to properly engage and analyse the implied emotive component of habitus, the works of Nirwar Puwar and Sara Ahmed have been very useful in allowing me to think about exactly *how* habitus works – how inequalities may be re/produced within different moments of encounter between the student body, between students and academic staff, and between students and other significant members within institutions of higher learning.

Both Puwar and Ahmed have argued for more focused analyses of the role and importance of emotions in how we may think about social relations of power more generally. Importantly, their works demonstrate the processes of exclusion that are influenced by the emotional registers of individuals and members of social groups that are related to broader social inequalities and relations of power. For example, in her book *Space Invaders: Theorising Bodies out of Place*, Puwar attempts to theorize what it means to be a body out of place'. Part of her argument and analysis holds that when certain bodies enter spaces that are or were not originally designed with them in mind, there is very often a —collision of representations. These collisions of representations influence how these bodies both experience their occupation of that space and even how these experiences may be voiced and challenged. I have engaged this notion of collision of representation to think about the dominant discursive reproductions that tend to accompany notions of —students at risk, for example.

These reproductions often hide other invisible discursive reproductions related to race – in particular—the black student. Students entering many institutions of higher learning implicitly engage in different ways with these invisible constructs of race and academic citizenship.² More than this, I would also argue that students entering institutions of higher learning – and particularly historically white institutions of higher learning – experience different moments of racialization and reracialization that influence their academic citizenship. I am particularly interested in how certain institutional cultures of practice, for example, may inadvertently and explicitly function in exclusionary (and inclusionary) ways for such students. Part of my argument is that such moments are held together by emotional registers that influence how many black students experience their occupation of social and academic spaces, as well as their sense of belonging within the institution.

Part of my work therefore has been to grapple with those moments—interactional moments with staff, other students, moments within the classrooms, moments of participating in different academic activities etc. It is very often within these moments that entrenched ways of knowing, being and engaging one's social world come to the fore, informing how students work with race, and how students may experience exclusion. Elsewhere, I have argued that these different emotional registers are precisely what holds race in place, what sustains and reasserts practices of racialization (Kiguwa, 2015).

Debates on transformation within the higher education system continue to unfold but perhaps the most pertinent of these have centred on two key focal areas: structural and ideological issues of transformation (Soudien, 2010a; 2010b). Students entering the university field are uniquely located within matrices of power and subjectivity that tend to intersect with other categories of subjectivity. These intersections influence and frame the ways that they occupy social and academic spaces and subject positioning and interpellation within the field.

My research reveals both positive and negative thematic patterns and often conflictual moments of belonging and alienation within the university space for many black students. This complexity is further heightened by embodiments of cultural capital and the influences of these attributes in influencing how students not only consciously navigate the field as black bodies but also how they are racialised by others within the field. The research further reveals dual processes of subjectification and resistance in students' academic enculturation processes. These processes of being *visible*, *invisible* and *hyper-visible* are not only racialised but also central to how racial embodiment comes to re/assert itself in social and academic spaces. Subjectification is evident in how blackness is differently made visible for some black students that are dependent on the currencies of cultural capital. And yet, the stories of negative

² I would also argue that this holds true for academic staff. We implicitly work with racialized constructs that may inform our practices of engaging a community of practice.

experiences related to the institutional context are at times mediated by other stories of strategic interaction and resistance within the field that allow some students to obtain particular rewards and benefits related to their deployment of blackness.

The students' mediation of their field does not reveal a determinist passive reaction to the context but rather demonstrates moments of agency and resistance in how students deploy race to make sense of their positioning within diverse contexts in the institution. Despite this, these practices of resistance are not always void of relational configurations of power but may in fact reinforce and reproduce these configurations. Students' racial scripts do not always allow for active participation and enculturation of academic citizenship and instead produce passive forms of engagement and mediation within the institution. Engaging the subjective experiences of race and schooling requires that we adopt multiple layers of analysis that allow for critical interrogation of performative politics within higher education contexts (Kiguwa, 2014).

To this end, I want to think about transformation beyond the 'numbers game': to engage our current thinking of transformation to encompass the formal and informal institutional cultural practices that become sites for students' re/racialization as well as their functional role in reinforcing experiences of un-belonging and exclusion of black bodies. Part of this means critically understanding how racialization is imbued with emotive registers, such as shame and anxiety, amongst others – and how these registers further reinforce how students may choose to participate in these different institutional cultural practices.

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ANNEXURE 12

Access and Success – Transitions into and through higher education

Briefing paper prepared for the second national
Higher Education Transformation Summit, 2015

Merridy Wilson-Strydom¹

Purpose

The issues of access and success are vast, complex, contested, and fundamental to meaningful transformation within the higher education sector. Much has been written on this topic, in academic publications, reports, policy documents, and in the media. The purpose of this paper is not to summarise these debates. This important task has recently been comprehensively done by Lewin and Mawoyo (2014)² who use a detailed desktop review and interviews with university staff (mostly those working in academic development) to identify academic (both staff and student aspects) and non-academic factors (such as financing, living conditions, socio-cultural and systemic factors, and institutional cultures) affecting access and success, as well as a review of interventions to improve success.

This paper aims to contribute to the existing body of work by drawing on research that focuses on students' lives and everyday educational experiences in school and at university. The paper argues for a rethinking of what university readiness means, and the implications of this for student retention, throughput and, ultimately, success. The paper ends with recommendations for action proposed as a platform for a deeper conversation about access and success, a conversation that is rooted in the realities of students' lives.

Background

South African higher education has made notable progress in terms of widening access. This was recently highlighted by the CHE during its presentation of the 20-Year Review to the Parliamentary Portfolio Committee (Parliamentary Monitoring Group 2015). Overall enrolment has grown from 495 348 in 1994 to 983 698 in 2013. African students accounted for 42.5% of enrolment in 2004 and this

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² <http://kresge.org/sites/default/files/Issues%20and%20Interventions%20in%20South%20African%20Universities.pdf>

proportion grew to 70.1% in 2013 (CHE 2015). Yet, cohort studies have shown that approximately 30% of students drop out of university in the first year, and about 55% of all students never graduate. These figures are even more concerning when we consider how the numbers are skewed by race (and class – although this is harder to measure), with estimates being that under 5% of African and coloured youth succeed in higher education (CHE 2013). This is clearly an issue of injustice, and so turning this tide must be central to any higher education transformation efforts. As powerful as these numbers can be, what they don't tell us is anything about the students' lives and the numerous social justice issues that play out on a daily basis. The capabilities approach (Sen 1999; Nussbaum 2011) – the theoretical framework that informs this research – calls on us to consider individual wellbeing and quality of life as central metrics. As such, we need to ask questions about what students are able to be and to do in their lives as students, and we need to understand students' achievements as well as the opportunities that are (or are not) available to them.

Access injustices

In September 2010 and February 2014 first-year students at the University of the Free State (UFS) drew pictures of their experience of coming to university. These drawings visually highlighted the injustices faced by many students, despite being granted a place at university (and so being positively counted in our access statistics). Where universities increase access without improving chances of success they create new forms of injustice, whilst seeking to overcome old forms.

One student in the 2010 group drew herself on a swing, swinging above the world and stated 'Can c the whole world before me – a new one to experience.' Another student drew himself pushing against a high brick wall that he could not see over. On his side of the wall it was dark and on the other side of the wall was sunshine and success. Similarly, a student in the 2014 group depicted his degree as a monster.

These examples highlight the differences in quality of life or well-being of these students. How can we begin to knock down the brick walls and defeat the monsters that many students are up against when they start at university?

This paper seeks to contribute to our understanding of access issues from a social justice perspective by:

1. drawing on research focused on both the schooling and university ends of the transition (which is seldom done in studies on access);
2. rethinking what it means to be ready for university;
3. proposing a list of capabilities for university readiness; and
4. reflecting on what universities could do differently in an effort to confront the monsters and brick walls faced by many students.

Evidence base

Table 1 summarises the data on which this paper draws.³ The iterative use of quantitative and qualitative data collected from high school learners, first-year students, and first-year lecturers in the Free State allowed for a rich, multi-faceted and multi-dimensional analysis of university transitions. Table 1: Summary of evidence base

Level of Study	Sample	Date	Type of data
Schooling	2816 grade 10, 11 and 12 learners (sampled from 20 schools)	2009	Quantitative survey
	33 grade 11 and 12 learners who participated in a university readiness programme during June/July school holidays	2010	Qualitative – interviews, written reflections
University	128 first-year UFS students	2009	Qualitative – focus groups
	142 first-year UFS students	2010	Qualitative – focus groups and visual methods
	14 lecturers teaching first-year students	2010	Qualitative - interviews
	23 first-year social work students	2014	Qualitative and quantitative – reflections, group discussions, questionnaires
	40 first-year students	2014 (ongoing to 2016)	Qualitative - visual methods, participatory workshops, interviews

Eligibility versus readiness

“It’s like getting thrown into the deep end of life...without a life jacket! (First-year student)

Being *eligible* for university (meeting admission criteria) does not necessarily mean that one is *ready* for university (Conley 2008) and this was clearly evident from the student data, even for students entering university with top school leaving results.

While the gap between school and university in terms of content knowledge (and to some extent learning skills) is often noted and is the subject of much media attention when the grade 12 results are released each year, this study shows that the gap is about much more than subject or content knowledge, as important as this is. Rather, university readiness is multi-dimensional.

Capabilities for university readiness

A comprehensive analysis of the access, readiness and transitions literatures globally and in South Africa, capabilities approach theory and applications in higher education was done to propose a theoretical list capabilities for readiness. The voices of the high school learners and students could then ‘speak back’ to the theory and through this process, a list of 7 clusters of capabilities for university readiness emerged.

³ For more details on the research and the detailed findings please see Wilson-Strydom (2015; 2014a; 2014b).

This list highlights the multi-dimensional nature and the complexity of transitioning to university, and shows what students ought to be able to be and do as they enter university. When readiness is approached in a multi-dimensional manner it becomes clear that all students are ready in some ways and not ready in others.⁴ This approach helps us to move beyond the all too common deficit understandings of certain groupings of students being ready and others not (Lewin and Mawoyo 2014; Whittaker 2008; Smit 2012). Ideally, opportunities to develop these capabilities should be intentionally created at high school and during the first year.⁵ The data highlighted how decisions made (or sometimes forced) at high school continue to have implications for students at university. It is thus insufficient to begin tackling readiness and transition challenges only once schooling has been completed.

Table 2: Capabilities for university readiness

Dimensions of readiness	Description – capabilities for university readiness
Decision-making	Being able to make well-reasoned, informed, critical, independent and reflective choices about postschool study
Knowledge and imagination	Having the academic grounding for chosen university subjects, being able to develop and apply methods of critical thinking and imagination to identify and comprehend multiple perspectives and complex problems.
Approach to learning	Having curiosity and a desire for learning, having the learning skills required for university study and being an active inquirer (questioning).
Social relations and social networks	Being able to participate in groups for learning, working with diverse others to solve problems or complete tasks. Being able to form networks of friendships for learning support and leisure.
Respect, dignity and recognition	Having respect for oneself and for others, and receiving respect from others, being treated with dignity. Not being devalued, or devaluing others because of one's gender, social class, religion or race. Valuing diversity and being able to show empathy (understand and respect others' points of view). Having a voice to participate in learning.
Emotional health	Not being subject to anxiety or fear that diminishes learning. Having confidence in one's ability to learn.
Language competence and confidence	Being able to understand, read, write and speak confidently in the language of instruction.

Towards a deeper understanding of students' experience

Within the capabilities approach, human diversity is seen as fundamental, rather than incidental, to our understanding of any situation. This is equally true of access issues. Individual and social diversity

⁴ Similarly, during the CHE 20-Year review discussions with the Parliamentary Portfolio Committee on Higher Education it was noted that cohort studies show that dropout is an issue for all students and not only groupings commonly regarded as 'at risk' (Parliamentary Monitoring Group 2015).

⁵ The longitudinal study referred to in the last line of Table 1 shows that these capabilities remain relevant across the undergraduate experience, although the level at which students need to function across each dimension increases. Further research is needed to confirm this emerging finding.

matters greatly for the development of capabilities for university readiness. In capabilities language, this diversity can be expressed using the concept of conversion factors. These are personal, social and environmental factors that influence the extent to which a given student can convert the resources at their disposal (such as having a place at university or NSFAS funding) into meaningful opportunities and achievements (Robeyns 2005; Walker and Unterhalter 2007). While resources are critical for success we should not assume that equality of resources necessarily implies equality of access or success.

We need to understand the social conditions that either enable or constrain the development of capabilities for university readiness. At the personal level, particularly important conversion factors included having developed a will to learn (curiosity and desire for learning), having confidence to learn, and one's home language in relation to the language of instruction. At the social level, class, gender, school context and culture, quality of teachers, quality of subject choice, freedom to choose school subjects, and home environment created both enabling and constraining conditions for the diverse students in this study – and sometimes in unexpected and intersecting ways. Universities need to develop much deeper, contextualised understandings of who their students are and the complex web of conditions that influence what they can and cannot be and do as students.⁶

Amartya Sen (2009) reminds us that although an ideal world (or higher education access context) may be out of reach given current conditions, there are numerous 'remediable injustices' around us that we ought to work to change. The current access dilemmas we face, and complexity of factors that affect access and success, should thus not limit our thinking about what the transition into and through university ought to be like for our students. To move beyond the status quo, we need to ask different questions and apply new theoretical approaches to understanding access and success.

Recommendations for university action

Based on this study, the following recommendations for what universities could do to improve access and success have emerged:

1. Forge meaningful, long term partnerships with schools to create more easily visible access pathways from high school into university and to assist with decision making about courses of study much earlier than at the point of application or registration.
2. Adopt educationally intentional approaches to marketing at schools – focusing less on selling the given university and more on raising awareness about the range of capabilities underpinning readiness and providing substantive information about what it means to study at university – so confronting the gap between eligibility and readiness.
3. Embrace a more comprehensive and multi-dimensional understanding of access and readiness: this understanding ought to infuse the ways in which universities work – at all levels (administratively, academically and outside of the formal curriculum).
4. Assist first-year students to understand the complexity of university *readiness* (as opposed to *eligibility*), and to see that they are not alone when they are confused and scared or lack confidence in their ability as a university student.
5. Integrate across the curriculum opportunities to learn the required academic behaviours and learning approaches, including language competence and, importantly, confidence.
6. Create more flexible learning pathways through higher education and multiple opportunities to develop university readiness capabilities to accommodate the diverse personal, social and environmental factors that impact on students' lives, and hence, their success.

⁶ A similar point was made in the Commission on Student Experience at the 2010 Summit on Higher Education Transformation (CEPD and DHET 2010, 16).

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ANNEXURE 13

Research and Engagement

Briefing paper prepared for the second national
Higher Education Transformation Summit, **2015**

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Abstract

This paper argues that discussions about the ways in which universities engage with their local, regional and national contexts are inextricably bound up with conceptualisations of the developmental role of universities, and efforts to transform the knowledge project of universities. Given the constraints on the length of the paper, the focus is on engaged research and not on engaged teaching and student volunteering. Examples are provided of different ways in which universities are helping to improve the quality of people's lives in South Africa through engaged research. Drawing on the results of a national survey, the paper argues that whilst a lot of progress has been made towards institutionalizing engagement the progress is uneven and a lot more needs to be done to move engagement from the periphery of the institutions to the centre. Some recommendations are provided for enhancing and expanding engaged scholarship.

The White Paper 3 on Higher Education Transformation of 1997 laid the foundation for encouraging institutions to grapple with their role in relation to advancing reconstruction and development. It referred to a key mandate of higher education as being to address social and economic development

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through responsive educational and research programmes and recognized community service as a key vehicle for promoting critical citizenship (DoE, 1997).

Whilst the White Paper for Post School Education and Training of 2013 acknowledges that “Community Engagement (CE) in its various forms has become a part of the work of the universities” (DHET, 2013:39), neither it nor previous policies contain any strategies for strengthening or expanding this work.

In assessing whether it is sufficient for government simply to acknowledge that „engagement has come to be seen as part of the work of universities, we need to ask three important questions.

- First, given the pervasive inequalities that continue to characterize our society should the question of how our public universities engage with these inequalities not be integral to any discussion about transformation of higher education?
- Second, should we not be interrogating the extent to which universities have **consciously organized themselves** to play active developmental roles in society?
- Third, if we accept that engagement on the part of universities is a key vehicle for addressing the development needs of our society, what needs to be done to enhance and expand engaged scholarship?

In the 2014 Global Universities Network for Innovation (GUNi) International Report of Higher Education, Hall suggests that “that the sharing of knowledge across and through the boundaries of the community and the university plays a central role in the re-imagining and self-renewal of society” (GUNi, 2014:39). To address global grand challenges such as poverty, inequality, various forms of discrimination, climate change, food security etc., it was recognized in a communique at the end of the conference, that universities would need to think about the kind of transformation that would be needed in their governance structures, curricula, in resourcing both pure and applied research and extra-curricular activities to enhance their responsiveness (GUNi, 2014).

According to the Diagnostic Report of the National Planning Commission (NPC), released in June 2011, poverty is still pervasive and insufficient progress has been made in reducing inequality. Millions of people remain unemployed, spatial and structural patterns exclude the poor from the fruits of development, infrastructure is poorly located, under-maintained and insufficient to foster higher growth, there is a widespread disease burden, public services are uneven and often of poor quality, and South Africa (SA) remains a divided society (NPC, 2011).

In the South African context given the extreme injustices that continue to characterize our society it is argued that how universities engage with their society should be seen as integral to the transformation agenda. This view has been strongly echoed in the student protests that are spreading across the country. As Mbembe, in reflecting on the Rhodes Must Fall (RMF) movement at UCT has said, “They [the students] are asking **new questions about the politics of the production, circulation and redistribution of knowledge** [my emphasis]. They are reading new texts. They want to reform the classroom, the modalities of teaching and learning, the spatial and symbolic environments the universities are, how to turn them into liveable and habitable spaces for all” (Mbembe 2015: 1).

Or, as Kamanzi, an active member of the RMF movement, has said, “In calling for “decolonisation” the very basis of the universities” construction comes into question and it becomes necessary for us to conceptualise how we battle against the legacy of separation that the walls of the institution were built to protect. We must therefore facilitate an environment where members of the university can conceptualise ways to subvert the physical space and **more crucially we must open up channels to engage with members of society that are not formally part of the university structures** [my

emphasis] in ways that go beyond top-down open lectures that do little more than reinforce “who” has been traditionally allowed to claim authoritative knowledge” (Kamanzi 2014-2015).

The transformational value of the community- university partnerships lies in an understanding of the fundamental role knowledge plays in confronting and changing the unequal and unjust ways in which society distributes rights and opportunities. The concept of engagement helps to capture the need for universities to engage with other social partners in the quest to generate knowledge that is appropriate for understanding our realities, and ensuring the maximum impact of universities’ research.

This view is echoed by Nyamnjoh, who argues that “legitimately and meaningfully enlivening accounts of Africa entail paying more attention to the popular epistemologies from which ordinary people draw on a daily basis, and the ways they situate themselves in relationship to others within these epistemologies. Considering and treating the everyday life of social spaces as bona fide research sites entails, inter alia, taking the popular, the historical and the ethnographic [method] seriously, and emphasizing interdependence and conviviality. It also means encouraging „a meaningful dialogue“ between these epistemologies and „modern knowledge” (Nyamnjoh 2012: 18).

It was this transformational potential of engagement of universities with communities to generate new, socially robust knowledge, and educate students for critical citizenship, that made the Council on Higher Education (CHE) embed a focus on community engagement into the institutional audit criteria (CHE, 2007). The inclusion of a criterion on Community Engagement (CE) was designed to get universities to integrate a focus on CE into their management, planning and budgeting systems. Sadly, an assessment conducted by Hall in 2009 suggested that after the first cycle of audits, CE was largely under-theorised and marginal in the universities (CHE, 2010).

During the period 2009 – 2014 there was a strong emphasis on building the field of CE at institutional level. The results of a national survey, conducted in 2014 of institutionalisation of CE, to which 19 out of 23 institutions responded (a response rate of 82%), indicated that CE was on institutional agendas at a symbolic level (CHE 2015 in press). 18 institutions reported that their strategic plans contained objectives related to CE and/or social responsiveness.

However, responses to questions designed to assess the extent to which institutions had been able to move CE beyond the level of rhetoric to the centre of the academic project were much more uneven. For example, nine of the 19 institutions had integrated criteria related to engagement into performance review systems for academic staff and only five considered commitment to, and experience of, engagement in the hiring academic staff. This is significant because integrating engaged scholarship into performance review and selection criteria is critical for demonstrating that value is attached to explicit connections being made by academics between their scholarship and the social context in which they find themselves, as well as to the production of a wide range of socially useful outputs. Six institutions have established initiatives aimed at building the capacity of staff in relation to engagement; and eight provide awards to recognize outstanding contributions to engagement (CHE, 2015). These results indicate while there has been some movement towards institutionalization of CE, significant challenges continue to remain with regard to efforts to move engagement to the centre of institutions. One of the reasons provided for the lack of detailed national policies on CE, and for hampering its effective institutionalization, is that conceptual frameworks on CE differ so much across the system that it is difficult to define exactly what CE is. Whilst it is indeed true that efforts to reach consensus on a single conceptual framework for community engagement across the sector have failed, it is significant that the responses to the survey revealed a good deal of consensus on “common elements which all institutions believe should characterise the field of CE” (CHE: in press).

These are that:

- engagement can take multiple forms but for academics it **must involve interconnections with research and/or teaching**²;
- the activities should have an intentional public purpose or benefit;
- community engagement involves universities and multiple social partners, but excludes interaction with other academic constituencies;
- the interactions between universities and social partners should be characterised by reciprocity and mutual benefit;
- community engagement is a key mechanism for building civic consciousness amongst students and plays a role in building their commitment and capacity for critical citizenship;

It is suggested that the elements listed above can provide the basis for defining the field of practice referred to most commonly as CE. This more open-ended approach accommodates a view that conceptual frameworks should be contextually relevant. As the contexts of SA universities differ, so too will the conceptualisations of CE differ. However, it is important to recognize that these elements do not necessarily constitute the ingredients for a transformative approach to CE. A transformative approach to CE would require an explicit orientation towards identifying and challenging addressing inequalities and injustices.

We turn now to some examples, which illustrate how engaged research is helping to improve the quality of lives of the most marginalized sections of our society. The examples are derived from conference reports, journal articles, books and institutional reports (CHE 2010; HESA 2009; CHE 2015 (in press); University of Fort Hare et al, 2011; Kruss et al, 2013).

- Research hubs with academics, practitioners, NGOs, business and government testing new insights, evidence and innovations to solve climate and development challenges in working class communities;
- Research on channelling waste water out of informal settlements with the Water Research Commission and local communities;
- Exploring factors contributing to the full range of inequalities in South Africa and policy interventions needed to address these in a conference and on-going workshops with researchers, NGOs, and government;
- Collaborative research on settlement upgrading proposals working with community leaders and residents and NGOs;
- Generating sustainable livelihoods using marine and other natural local resources working with government and local communities e.g. traditional fishing communities;
- Researching proposals for long-term sustainable food security via a multi-stakeholder initiative (the Southern African Food Lab), including small hold farmers;
- Research on how risk management can be strengthened in informal settlements by bringing stakeholders to work together in flood dialogues to inform the development of holistic responses;
- Constructing small scale cooperatives drawing on local resources and interdisciplinary groups of academics;

² Many institutions internationally use the term 'engaged scholarship' to capture the interconnectedness with teaching and research. However, others argue that the notion of scholarship, even if broadly defined to cover the notion of openness to debate and critique, is too exclusionary.

- Collecting knowledge about child poverty dynamics to develop an evidence base to inform pro poor policy development with children’s networks and researchers; and
- Facilitating access to health care through integrating research into the activities of a people’s health network.

Different methods of engagement are used depending on the research questions to work within specially created “boundary zones” (Nyden 2005), but many common principles underpin the approaches such as valuing local epistemologies; joint decision-making and determination of research questions and methodology; reaching agreement on expectations and roles and responsibilities of different players; highlighting voices of community partners; and providing feedback to the partners on the research.

In at least one university a unit has been established for brokering partnerships between the university and community organisations around research questions identified by communities which form the basis of students’ research dissertations. The agreements between the parties specify outputs which will be developed for the community partner in addition to the academic outputs.

There is lots of evidence of how academics are using the knowledge generated through engaged research to challenge hegemonic theories of development and design contextually relevant curricula, which contain alternative ways of explaining development challenges and original solutions to problems – drawing on different disciplines and epistemologies.

Innovative approaches to knowledge sharing are often used including the use of festivals, plays, exhibitions, web-sites, joint preparation of educational materials and booklets, short films and involving community members in formal teaching.

Reflections

One of the biggest challenges militating against institutionalization involves broadening the scope of what is understood and recognized as “scholarship”. Coupled with this, is the need for recognition for the many different kinds of outputs which emanate from engaged scholarship such as legislation, policies, plans and applied research outputs and the different formats used for dissemination of research.

Challenging dominant notions of what counts as excellence in scholarship and scholarship itself will require a willingness to challenge practices which advance particular types of research measured by rankings at the expense of institutions’ their civic, social, and educational missions (Talloires Network, 2015).

A third challenge relates to the lack of funding for activities associated with engagement such as field work, transport, production of popular materials which has impacted negatively on the growth of engagement.

Recommendations

Internationally there are numerous examples of how governments, at a system level, have helped to create a more enabling environment for promoting engaged scholarship, such as the establishment of earmarked funds which institutions can bid for to seed new initiatives, the establishment of brokering entities at universities, the provision of national awards, and the widening of criteria used for measuring the quality of research to include considerations of the impact of research, where applicable, on wider society. Opportunities for funding should also be explored with provincial and local governments through identifying mutually beneficial activities and entering into agreements around the financing of these.

The DHET should also consider establishing a small unit to help promote the institutionalization of engagement within the fabric of the universities and support the development of strategic focus areas for engaged scholarship across the system, perhaps in partnership with the National Research Foundation.

The National Development Plan suggests that the potential and capacity of South Africa to address its pressing needs will depend on adopting an approach that “systematically includes the socially and economically excluded, where people are active champions of their development” (NDP 2011:3). Implicit in the notion of inclusive development is the need for collaboration between different social partners. Whilst acknowledging the different developmental paradigms informing engaged scholarship, we have demonstrated above that engaged scholarship is a key vehicle for addressing development needs facing the country. However, given the pervasive nature of poverty and inequality in our country, a transformative approach to engagement requires public universities consciously to allocate resources to generate knowledge to promote a more equitable and sustainable social order. A transformative approach also entails creating an enabling environment within universities for transforming the politics of the production, circulation and distribution of knowledge and re-thinking what constitutes a “good university” in the South African context.

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ANNEXURE 14

Postgraduate Supervision and Mentorship:

Lessons from the classroom

Briefing paper prepared for the second national
Higher Education Transformation Summit, 2015

Tshilidzi Marwala¹

Abstract

This paper focuses on the identification of factors that are necessary for the successful supervision of postgraduate students. It is based on lessons that I have drawn from the classroom as a supervisor of 19 doctoral and 46 master graduates of whom 31 were black South Africans. In particular, the paper deals with how to transform the South African academy especially in relation to bringing more black South Africans into the mainstream of academic life.

Introduction

Much has been written about South Africa as a developmental state. What is often overlooked is the fact that for South Africa to be a dynamic developmental state, appropriately qualified human capacity is a critical requirement. What is this developmental state and what does it intend to achieve? The goal of our developmental agenda is to attain a society where the greatest number of people are intellectually, socially, economically and politically empowered. In order to achieve this goal we require that the greatest number of people is educated at all levels.

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This paper, which is an extension of a contribution published in the *Mail and Guardian* (Marwala 2015), concentrates on lessons drawn from my experience as a supervisor of 19 doctoral and 46 master students, to identify key strategies that may assist in expanding postgraduate training. The postgraduate students that I have supervised came from diverse backgrounds in terms of religion, nationality, gender and academic backgrounds.

Why is it important that South Africa educates its people at the postgraduate levels? It has been found that there is a relationship between the number of masters and doctoral graduates and the number of innovation products as measured by the number of patents and industrial designs. Now the question that lingers in people's minds is whether the fact that the number of innovation products is correlated to the number of postgraduates implies that there is a causal link between the number of postgraduates and innovation products. After all there is an ancient dictum that states that "correlation does not necessarily imply causation". On discerning causation from correlation on this particular matter, however, it is found that there is in fact a causal link between the number of postgraduates and innovation products. Innovation products are an important component of industrialization. For example, when an organization develops a plant to manufacture products, for instance cell phones, the manufacturing line needs to be designed to meet local needs and this often entails innovation. So in summary postgraduate training is a critical component of our industrialization strategy.

Identification of Potential Students

Given that postgraduate training is a necessary condition for innovation and industrialization, it is important to explore how one can design mechanisms which increase and capacitate postgraduates. First, it is necessary to identify potential postgraduate students early when they are still at undergraduate levels and employ them as research assistants so that they experience what a research career is all about. In order to achieve this one needs to undertake good research, which is up to date, and is introduced to undergraduate students, often as supplementary reading.

Having a dynamic laboratory with state of art equipment which students can explore and learn from is also important. In order to build this environment, resources are necessary and therefore when an academic applies for grants he/she should put undergraduate student assistantship as part of the grant.

Furthermore, it is important that the students in the group are diverse especially in terms of race and gender distribution. I have often found that once one attracts a black South African student into a research group and supervises him or her well, there is an avalanche of black South African students entering postgraduate studies. It often helps that even at the leadership levels, there is diversity, and I have found that creating visiting positions in the research group and attracting black South Africans as Visiting Lectures or Professors often serves as an attractor of black South African students. I have benefitted greatly from appointing doctoral graduates, who are based at Science Councils such as the Council for Scientific and Industrial Research (CSIR) and industries such as Eskom, as visiting academics.

Once students are appointed as student research assistants they should be engaged and required to participate in research activities such as postgraduate seminars and be involved in all aspects of research work, even if it is on a small scale like taking readings in a research experiment or making sure that a paper to be published is referenced in a style required by the relevant journal. These undergraduate student assistants should be introduced to the research community by sending them to conferences even if these are local conferences.

Creating an Environment for Successful Supervision

One very important factor of postgraduate supervision is to create an environment that encourages innovation, creativity, intellectual development and success. What differentiates world class universities from ordinary universities is the environment for student training. For example, the average completion rate for postgraduate training in South Africa is lower than that for countries such as the UK, China and USA. Furthermore, the period of completion of postgraduate training is generally longer in South Africa than in the UK, China and Japan.

The great weakness in our postgraduate training is the limited level of the postgraduate ecosystem, which is measured by the number of students working in one area. In this regard, it is often the case in theoretical sciences that if one reveals an idea, researchers in the advanced North are able to research it faster because of their relatively larger postgraduate ecosystem. The South African Research Chair Initiative (SARChI) of the Department of Science and Technology (DST) managed by the National Research Foundation (NRF) is specifically intended to create an ecosystem that has a large number of students, postdoctoral fellows and senior researchers working in the same area.

This ecosystem is not going to be effective unless it is diverse in terms of nationality, race, gender, academic backgrounds and religion. Consequently, a SARChI chair which is not diverse is limited in terms of scope of innovation, creativity and success. This diversity opens the students' minds and promotes innovation. It capacitates the students to see the world with multi-dimensional lenses and thus empowers students with skills to confront problems with diverse strategies to maximize the attainment of workable solutions.

How does a supervisor build such a diverse group of students? First, it is important to be open to new ideas and be willing to recruit students not only domestically but also internationally. Second, the supervisor must be willing to collaborate with other researchers, especially internationally. Third, supervisors should transcend disciplinary boundaries to create a multi-disciplinary team. For example, it is often beneficial to have a sociologist within a team of engineering students. Of course, certain disciplines such as artificial intelligence, which involve computer science, psychology and biological sciences, are better aligned to building multi-disciplinary teams than others such as mathematics.

Postgraduate supervision should not end with the students graduating but should extend well into the graduates' research careers. I have often found that it is beneficial to let some of my master's graduates pursue doctoral qualifications elsewhere in the world as they act as good ambassadors and build international networks for our research enterprise. In this regard, some of the students I supervised, and who were incidentally black South Africans, went on to complete their doctoral qualifications in universities such as Oxford, Cambridge, Harvard, Purdue, Rutgers, Concordia and British Columbia.

Financial implications

Building research student teams requires financial resources because the team not only needs to be paid stipends, but also requires well equipped laboratories, running costs and conference attendance support. Excellent research students are attracted not only by the academic capacity of supervisors but also by the financial resources required to make postgraduate studies successful. Science Councils such as the NRF and the Council for Scientific and Industrial Research (CSIR) have research grant funds that are accessible to academics, provided that they are in line with the developmental agenda of South Africa. Furthermore, it is also important for academics to access grants in the private sector and internationally. Accessing private sector grants requires that the research that is being conducted is in line with the objectives of companies. In this regard academics must spend time in industry trying to understand what industry requires and use this information to apply for grants that will be used to support postgraduate students and research projects.

It is also important to offer the students international experience: this can be achieved by encouraging and enabling them to participate in international conferences. International conference participation is best done after students have conducted a substantial body of work that can be presented. This is because it is generally fruitless to send postgraduate students to international conferences if they do not have papers that they are presenting. Another mechanism for giving students international experience is to put them on exchange programmes whereby an overseas student comes to a laboratory in a South African university and the local students go to overseas laboratories. I have found that this is best done if there are ongoing collaborative relationships between academics from different countries. The NRF has bilateral agreements with sister institutions overseas to promote the mobility of students and staff.

Conducting research that matters is a good mechanism for attracting excellent students. For example, problems that define our times such as big data, the internet of things, climate change, inequality or poverty seem to attract students. Documents such as the Millennium Development Goals and the World Economic Forum report are good reference sources on what problems define our times. One can even use technologies such as topic identification software to identify problems that are attracting attention and thus have the potential to mobilize resources. This should be treated with caution, however, because we cannot know in advance which research actually matters in the future.

What is to be done?

In line with the old dictum that says that “the aim of revolutionaries is not merely to understand the world but to change it” and in answering the call of what is to be done, I propose a few ideas to take this conversation forward.

Industry, academia and government collaboration is not only desirable but a necessity. For example, of the more than 200 SARChI Chairs awarded by the DST, there is no comparative investment in these research chairs from the private sector. Therefore, we need to identify industry partnerships for these chairs so that we can expand them in terms of their number and the depth of their activities. The NRF proposal scheme includes provision for research assistantships. However, this is not enough, and therefore other Science Councils should come to the fore to capacitate this important component of postgraduate training.

It has been my observation that black academics are better able to attract black postgraduate students and therefore initiatives such as the SARChI Chairs, which are overwhelmingly occupied by white academics, should make provision for deputy Chairs who could address the racial demographic dilemma of this initiative.

The Department of Higher Education and Training recently introduced the nGAP initiative which is intended to broaden and transform the academic establishment. Again this should be leveraged with industrial players to expand their number, for example by encouraging an nGAP Chemistry Lecturer to be jointly supported by a Chemical Company.

We need to introduce joint appointments with Science Councils and industries of academic staff.

Finally, we need to introduce the concept of visiting academics as a national project to allow movement of academics from industry to academia and vice versa as well as movement of academics from and into South Africa.

Reference:

T. Marwala, Postgrad study key to development. *Mail & Guardian*, September 4 to 10 2015, p 35.



ANNEXURE 15

Governance and Management in Higher Education

Briefing paper prepared for the second national
Higher Education Transformation Summit, 2015

Cheryl de la Rey¹

Governance, management and leadership represent three separable but overlapping concepts: what do they mean for the transformation of South African universities?

The point of departure for governance is the legislative and regulatory framework. After the Constitution, the primary legislation to which universities are subject is the Higher Education Act which “prevails over any other law dealing with higher education other than the **Constitution**” (Section 70 HEA). With respect to transformation, one of the objectives of the Higher Education Act 1997 was to establish a single co-ordinated higher education system which promotes co-operative governance and provides for programme-based higher education to respond better to the human resource, economic and development needs of the country. Redressing past discrimination, representivity and equal access are indicated as well as the promotion of the values which underlie an open and democratic society based on human dignity, equality and freedom, respect for freedom of religion, belief and opinion.

Within the legislative framework, higher education institutions are juristic persons with the Council of the institution as the governing body of the juristic person. Councils consist of not more than 30 members with the number of persons and the manner in which they are elected to the council determined

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by individual institutional statutes. At least 60 per cent of the members of the council must be persons who are neither employed by, nor are students of, the institution.

One of the main tasks of the Council is to appoint the Vice-Chancellor (VC) or Principal who is responsible for the management and administration (section 30 HE Act) of the institution and is in effect the chief executive officer. The Registrar and all other members of the executive are appointed to assist the VC in managing the institution.

With respect to race and gender equity policies and institutional culture in particular, the Act makes provision for Institutional Forums. Councils are required to take advice on transformation from the Institutional Forum. The Minister of Higher Education and Training has recently initiated a process to ensure that Institutional Forums play a key role in transformation of institutions.

Whilst the Student Representative Council (SRC) is referred to in the HE Act, its composition, constitution, functions and elections are determined by institutional statutes. As the governing body for students, SRCs have a significant leadership role to play and this includes transformation.

The legislative framework is clear: Councils govern and the VC and Executive must manage the institution. Senates are the bodies responsible for the academic matters of the institution: teaching and research in particular. To be effective a Council may and must delegate some of its powers under the Act (with some stipulated exceptions) to the VC who may further delegate to executive members.

Whilst volumes have been written on governance, leadership and management, at the operational level the boundaries between these differing roles are often blurred either intentionally or unintentionally, and this can lead to serious problems which from time to time have required intervention by the Minister.

Sound governance, strong management and wise and accountable leadership are essential requirements for transformation of the post school education and training sector as envisioned in the White Paper. Acting in the public interest, in other words in the interests of the all the people of South Africa and in the interests of the broad development agenda, is the fundamental principle that should inform the exercise of governance, leadership and management. It should be self-evident too that for Councils to govern in the broad public interest, the composition of Councils should reflect the diversity of the South African public. Whilst this is necessary, it is not sufficient.

The Constitution and the Higher Education Act provide a sound and clear framework for the governance and management of public higher education institutions. To ensure relevance, there have been several amendments to the Higher Education Act of 1997 and it is currently under review. At the level below the HE Act, there are the institutional statutes which specify the composition of each institution's Council. It is important that these institutional statutes are reviewed from time to time in response to a changing context and in relation to transformation imperatives at the institutional level.

But even with a good legislative and regulatory framework, it often goes awry. Many analytic pieces have been written about governance lapses both locally and internationally in the public and private sectors alike. Based on these analyses and recent experiences of South African higher education institutions, what follows is an explication of some key factors that affect governance, management and leadership.

Election, Appointment and Composition of Councils

The intention of the legislation is that Council members do not represent a particular group or stakeholder body, and that each individual member must apply her/his mind in the interests of the institution and the wider public good. Furthermore, the stipulation that 60 percent of the Council must not be staff or students is intended to ensure the independence of Council and to avoid conflicts of interest.

In practice many members are appointed through nominations by stakeholder groups such as local government, convocation, staff and student organizations. The question of whether the individual Council members appointed via these electoral processes represent the respective stakeholder group typically arises. Often the group that elected or nominated the individual believes that a particular Council member(s) represents their voices and interests. This can lead to situations where Council members may believe that they need a mandate before expressing a view or that their most important role is to protect or advance sectorial or factional interests. Examples of this include student Council members who find themselves having to deal with tuition fee increases and staff members who as Council members must decide on salary increases.

Institutional statutes typically specify the number of members elected by convocation or alumni associations. Although universities have thousands of alumni, the overall trend is that relatively small numbers of alumni actively participate in alumni bodies. This creates a scenario where narrow sectorial interests can take hold. The challenge for alumni groupings is to focus on the wider longterm interests of the institution.

Some Essentials

The mix of expertise and skills among Council members is critical for good governance especially financial expertise and experience. Such expertise is also necessary at the level of the executive management. A key area where expertise is essential is finance. University financing is complex consisting of several funding streams, each with its own set of requirements. Also related to finance is the matter of remuneration of Council members. Council members should serve motivated by the desire to contribute to the public good rather than self-interest or for material gain. It is acceptable that costs associated with attendance such as travel are reimbursed or paid for by the institution and an honorarium is paid. A cap could be set to avoid increases in the frequency of meetings in order to increase payments.

Then there are the basics: attendance and preparedness. Being at meetings regularly and preparing for the meetings is basic but critical. Many busy individuals take on a long list of boards and then find it difficult to manage their time. On the other hand the management must consult in planning meetings, ensure advance notice and timely distribution of documents so that members have ample time to prepare. Universities are notorious for distributing voluminous documentation making it difficult for Council members to exercise their duties diligently. Decision-making becomes compromised when there is inadequate information. The Vice-Chancellor and executive, typically the Registrar, must ensure that Council has adequate information in order to make informed decisions.

Respect, Trust and Public Good

Within a Council there are 30 individuals usually from diverse backgrounds with a range of skills and experiences. Each individual should feel respected and as a collective there should be trust among the members and between the Council, the Vice-Chancellor and the executive management. Sub-groups, insider channels of communication with line managers and the like can lead to suspicion and lack of trust. It is often the case that staff members, students, businesses and political groups try to lobby

Council members on particular issues. It is helpful when Council members declare that this has happened. Good governance requires honest and robust debate. Interests should be declared openly and should be subject to robust debate and challenge. Factionalism and cabals diminish good governance and sound management. Political factions focussed on narrow interests can lead to breakdowns.

The relationship between the VC, the Chairperson of the Council and Council members should be open and constructive with the Council members feeling free to provide critique, advice and guidance. Typically all executive members attend Council meetings and not only the VC. This fosters accountability and openness and this is further enhanced by the inclusion of students and nonexecutive staff as council members. The VC should not be a member of any subcommittee that decides on her/his remuneration and the audit committee must meet the requirement of independence.

The best interests of the institution and public accountability are the guiding objectives. A code of conduct, clear statements of values, explicit commitment to anti-discrimination, equity and fairness should be the navigational markers for the conduct of the Council and management. Before assuming office members should declare any business, commercial or financial activities undertaken for financial gain that may lead to a conflict or possible conflict of interest with the institution.

Strategy, transformation and sustainability

Councils are responsible for institutional strategy. Transformation is an integral component of institutional strategy with key considerations being how the institution can best serve and/or align with public good imperatives and social developmental priorities. Enrolment growth, enhancing access, determining tuition fees and staff salaries, pursuing research agendas and creating enabling conditions are all interconnected issues of strategy and transformation. Council and Senate may jointly nominate committees to perform functions that are common to the Council and the Senate. Enhancing access and student success, a transformation priority, must be based on a deep understanding of student life and students' experiences and the SRCs have a vital leadership role in this regard.

Accountability

It is the Council's duty to require regular reports from council sub-committees, the senate and the Institutional Forum and the management. The recent changes in reporting regulations are designed to enhance accountability with particular attention to transformation. Performance management systems with measurable indicators related to transformation can be effective in monitoring and evaluation. Annual institutional plans that are approved by Councils as well as the annual reports on performance, both of which are submitted to the Minister, should not be seen as instruments for bureaucratic compliance, but rather as useful mechanisms for improving public accountability and fostering transformation.

Concluding Remarks

Debates about higher education and transformation tend to assume an *a priori* understanding of the nature and role of universities. The history of universities shows that with changing times there have been fundamental changes in the core mission of universities - teaching, then teaching and research and more recently community engagement, entrepreneurship and innovation. As Richard Pring noted,

universities are “part of a wider network of social and educational institutions and this network will constantly be changing in recognition of or in response to changing economic and social factors”.²

Across the world there is a diversity of universities, estimated at about 18 000. Some are dedicated almost entirely to professional and vocational education and training; others continue the tradition of intellectual pursuit organised by disciplines. In many universities, old traditions based on the pursuit of truth and critical inquiry sit alongside the new which are shaped by professional bodies that focus on competencies, customer relations and client services. Transformation is about the identity and role of universities in South Africa today and in the future. This is a central issue for university leaders and it is a question that should frame choices about institutional strategies and plans.

The concept of cooperative governance presumes a shared understanding of the distinct, equally important and functionally interdependent roles and responsibilities of each of the governance and management structures. What is also required is that through engagement and dialogue we deepen our understanding of the contribution higher education must make to building an inclusive society, providing equal opportunities and helping all South Africans to realise their full potential.

² Pring R. *The Changing Nature of Universities: economic relevance, social inclusion or personal excellence?* Institute for the Advancement of University Learning, University of Oxford. 2001, p. 1.
www.learning.ox.ac.uk/iaul/ProfPring.pdf



ANNEXURE 16

South African Higher Education Transformation: What is to be done?

A Working Paper on key policy issues from a student movement perspective¹,
prepared for the second national Higher Education Transformation Summit,
2015

David Maimela²

INTRODUCTION

1. Higher education (HE) transformation has been a terrain of struggle for various forces and a policy priority for the democratic government at least since the appointment of the National Commission on Higher Education (NCHE) in 1995 by the late President Nelson Mandela.
2. Since then, many ideas and policies have emerged to shape the higher education landscape in South Africa, from enrolment planning to funding, to governance and democratisation, to articulation and differentiation, etc.

¹ The author is writing from a student and student movement perspective based on the fact that he served as a President of SASCO previously and is currently a post-graduate student.

² Maimela is a former President of SASCO (2007-2008) and currently works as Researcher at the Faculty: Political Economy at Mapungubwe Institute, MISTRA.

3. From the outset, we need to clarify that this paper does not seek to evaluate the success or failure of the myriad of ideas and policies that have governed higher education since 1994. Neither will the paper regurgitate the major policy debates and discourses.
4. Further, the paper will not dabble in the philosophical and academic debates, important as they are, about the purpose and role of higher education in transforming society. Such debates have been had and will continue to be had. Although the paper focuses on the transformation of higher education itself, the reader can make inferences in relation to how a transformed HE education sector will contribute to the transformation of society.
5. Furthermore, the paper does not give a historiography or timeline of key turning points in the history of education broadly and higher education in particular; nor does it do so in relation to the period after 1994.
6. The purpose of this working paper is straight and brief: it is to discuss a selected list of pertinent unresolved and urgent policy issues in higher education. The issues are subjectively selected on the basis of the tension or stagnation they cause in the system. Ultimately, some ideas and policy options are suggested as a way forward and in some instances, progressive policy is endorsed. And by no means is the selection of discussion or issues exhaustive. If anything, as a ‘working paper’, the ideas put forward are preliminary; however, they are presented in a manner that suggests that *decisive action* is required to move them forward!

WORLD OUTLOOK – FRAMING THE DISCUSSION

7. The first point of departure for the student movement has always been the truism that ‘*we are members of the community before we are students*’. Put otherwise, this means that students are social constructs of their society and the issues they confront in the community are qualitatively the same as those they confront and seek to resolve in the campus setting. Further, it is an acknowledgement that the university is an institution within a particular time and space, never an island. It too, is a product of the polity. As such, it has to be responsive and relevant to the society it serves.
8. The second point of departure draws from the popular mandate of the Freedom Charter of 1955. The Charter declares that the ‘doors of learning and culture shall be open to all’. The Charter is deliberate in its phrasing when it says ‘ALL’. This means that no position of social disadvantage must hinder access to education and cultural actualisation.
9. At all times, the struggle for the transformation of HE must be understood within the context of time and space. Whereas under a racist white South African state, as Badat observes; ‘...the twin concerns of the South African state were guaranteeing capital accumulation on the basis of cheap unskilled black labour and consolidating the structures of white political domination and privilege’³, today the new democratic state has the strategic responsibility to transform the sector in favour changing expectations and demands, most of which have been precipitated by the 1994 political victory. Except for the rise of the finance and service sectors, a consequence of global capital

³ Badat, S. 1999. Black student politics, Higher Education and Apartheid. From SASO to SANSCO, 1968-1990.

⁴ These are academics and researchers who have sought to characterise our political economy, especially since the 1980s up to date. They have published works that explain the changing as well as the unchanging nature of our political economy that reproduces the same reality.

restructuring (See Sampie Terreblanche, Seeraj Mohamed, and Nicolas Pons-Vignon⁴), the fundamental economic structure of the South African economy has remained the same: minerals and energy complex.

10. What does this mean for the purposes of understanding the struggles to transform higher education? We suggest that it means the following:

- a. that the struggle for education transformation must be understood within the context of the nature of our political economy and the interaction between the two;
- b. that long before Apartheid (1948), white minority interests had always sought to use education as one of the key levers for social engineering; and
- c. that the inequality that exists today, speaks to all manner of social deprivation of the vast majority of black people from earning better incomes, gaining skills, enjoying social mobility and being part of development.

11. Of course South Africa is a capitalist social formation. As a general rule, the dominant political economy structures of any epoch or society, tend to influence and direct development in all other spheres of society, so that even the mental or cultural production of that society resembles the basis of material production of the very society. Cultural institutions such as universities are not immune from this influence.

12. In the *German Ideology*, Karl Marx makes the point even clearer:

‘The ideas of the ruling class are in every epoch the ruling ideas, i.e. the class which is the ruling material force of society, is at the same time its ruling intellectual force. The class which has the means of material production at its disposal, has control at the same time over the means of mental production, so that thereby, generally speaking, the ideas of those who lack the means of mental production are subject to it...The individuals composing the ruling class...they rule as a class and determine the extent and compass of an epoch, it is self-evident that they do this in its whole range, hence among other things rule also as thinkers, as producers of ideas, and regulate the production and distribution of the ideas of their age: thus their ideas are the ruling ideas of the epoch.’⁴

What is transformation?

13. According to Badat, with whom the paper agrees, ‘transformation should be conceptualised as the *movement* from one set of social structural conditions to another set of fundamentally new social structural conditions through purposeful and deliberate social action on the part of social actors. In these terms, ‘transformation’ must be understood as a double *process*: a process of the *dissolution* of an existing set of social relations and social, economic, political, ideological and cultural institutions, policies and practices; and a process of the *recreation* and consolidation of an alternate set of social relations and social, economic, political, ideological and cultural institutions, policies and practices’.⁵

⁴ Marx, K. *The German Ideology*, 1845.

<https://www.marxists.org/archive/marx/works/1845/germanideology/ch01b.htm>

⁵ Badat, S. (Undated). *Fourteen Theses on the Role of Higher Education in the Transformation of Society*. A paper prepared by Badat as a participant in the international project of the Centre for Higher Education Research and Information at the Open University and the Association of Commonwealth Universities on *The Role of Higher Education in the Transformation of Societies*.

14. In other words, any project that lays claim to the concept of transformation, must at a bare minimum, aspire and actually seek to realise fundamental and thorough-going change. Anything short of this understanding will be pretentious and an exercise in merely marking time.

What is public policy?

15. Public policy can be understood as the interaction between intentions, actions and outcomes. Public policy implies official decision-making especially at a political strategic level such as at the party, cabinet or legislative levels. In terms of process, public policy involves initiation, formulation and implementation and review or evaluation. Policy review can feedback to initiation, formulation and implementation of policy. These are distinct but interrelated processes in policy-making.
16. It is important that we conceptualise what public policy is because; we need to be clear about the instrument or a set of instruments available to the various contending forces in the struggle for higher education transformation.

THE MEANING OF THE RECENT STUDENT UPRISINGS

17. Besides the demographic changes taking place both in higher education and in society (the rise of the new generation), the recent protest movements in historically white institutions are an emphatic statement of disapproval on the lack of transformation in the sector. The students are asking the simple and yet profound questions: what is the meaning of struggle and freedom? What is the pace and quality of change in the university when juxtaposed with the expectations and promise of 1994? What is the direction of this change, if any? Who benefits?
18. It seems that the students are saying, by and large, that we are merely marking time - that there is no transformation in higher education at least in so far as it is conceptualised above. Managers of universities have failed the transformation project. The fact that a generation later, we return to the Mamdani and Makgoba questions, means that we have indeed been marking time. And certainly, if we do not respond to the questions of the students decisively, a generation later, we will ask the same questions again.
19. But students are also saying that the movement for transformation will succeed if it comes from above and below. If the political leadership and university managers recommit themselves at all to the project of transformation, then the students are willing to use their agency to support genuine efforts for transformation. This new broad movement for transformation must be harnessed for better outcomes. Institutions and policies for transformation can only succeed if the momentum is kept alive from below.

GOVERNANCE AND DEMOCRATISATION

20. The commitment to democratisation means that we should strive to democratise all our public spaces and institutions; especially so that they gain more legitimacy and become more inclusive. For some time now, the higher education sector has been grappling with how best to govern the sector and the results show a mixed picture.
21. For some institutions, a well-run university is one that conforms to formalities: compliance with the so-called 'good governance' principles, a phrase which simply refers to corporate culture and capture. This means that:

- many of our councils see themselves as corporate boards running corporate entities and our vice-chancellors see themselves as CEOs;
- by and large, the end-game is about keeping a positive balance sheet to the detriment of all other important values, activities and outcomes;
- due to the funding model and other demands on the fiscus, universities are managed in such a manner that increasingly; they are exclusive, bordering on being 'private'. In fact, our public universities in South Africa are semi-private institutions if one looks at the fee structures;
- increasingly, almost all universities have adopted the corporate language and culture of 'client-service provider' relations. Students are now clients and in this context, the fundamental rationale for relations with learning and teaching, is through money. Those who have money have easy access. Those without money find it hard to gain access; and
- for the university to survive, generate income and surplus, it must establish income generating schemes which sometimes take away precious time from teaching and learning as academics are increasingly committed to a myriad of consultancy-oriented centres. In some instances, some universities have expenditure items that really make the case for further and diversified streams of income unavoidable. To the extent that these expenditure items advance knowledge and the core tasks of a university, they are welcome. However, some of the items are unnecessary luxuries such as the built infrastructure that requires maintenance and therefore escalation of costs.

PROPOSALS

Do away with Councils and IFs!

22. Clearly there is a need to rethink our democratisation efforts and models. The Institutional Forum (IF), meant to drive transformation, has failed to perform its tasks because of two fundamental reasons:
- first, it does not have decisive powers; it serves as a body of opinion. So, by design, the IF was almost set up to fail; and
 - second, the idea that one can separate issues of transformation from issues of governance is fallacious. Therefore, there is an overlap between Councils and IFs in terms of scope of work or mandate.
23. We suggest that we do away with Councils and IFs and introduce democratic University General Assemblies (UGAs) in which all constituencies will be represented and heard equally. The UGAs must be founded on principles of fairness, social justice, democracy, equality, representivity, **public accountability**, etc. The community, management, students, workers, academics, must be represented in the assembly. The UGAs will decide on all key strategic governance and transformation issues in the university/institution, including mandatory charters in the mould of the *Education Charter* of the 1980s. The UGAs will be the new highest decision-making bodies. The meeting intervals, protocols and other modalities can be clarified in a separate law amendment process.
24. Among others, the UGAs must vote for and appoint the rectorate in an open contestation that is open to the public with open and publicly declared scorecards, requirements, process, etc.

Increase the autonomy of the SRC!

25. Clearly, the Student Representative Council (SRC) is an important and necessary organ. However, the autonomy and effectiveness of the SRC has been under question for some time now. It has also been experiencing relatively low levels of voter turnout year after year; the further we move away

from the 1994 moment. Most universities have reduced the autonomy of the SRC through funding, narrow managerialism, corporate culture and other measures that close the space for democratic engagement. The narrow conception of power and authority has made it possible that SRCs are feared and seen as disruptive in the 'university enterprise', whereas, SRCs are partners and yes, creative disruptors in the transformation project. No institution is as more democratic as the SRC in the university setting: They are elected annually and not appointed. They are mandated structures. They hold regular popular assemblies for accountability purposes and so on.

26. We propose the following funding models and structures to increase the autonomy and vibrancy of the SRC:

- the first one is a reformist option: a return to the original democratic funding for the SRC as envisaged across generations of the revolutionary student movement. The original funding model for the SRC is that, as a principle, every student must fund the SRC. This means that for every student registered, there should be earmarked fees for purposes of funding the establishment and operations of the SRC. The SRC Fee/Levy must be determined and adjusted annually. In instances where the student population is low, other institutional and community sources of funding must be sought to augment the coffers of the SRC. As a principle, university management must not determine SRC funding;
- the second option is to adapt the Student Union model of the United Kingdom to the South African conditions. The SRC will be established as a non-profit organisation and yet voted for and accountable to the students through the normal democratic processes and as well as to the community via annual reports to the Department of Social Development as required by existing law. It will still source its funding per every student registered and have the possibility to raise funds as an autonomous entity, including owning property and investing in productive activity to generate more funds. Some campus commercial activities should be owned by SRCs. Student Sports and Culture and related activities should be firmly under the control of the SRC for resource generation, active engagement with the students, increasing legitimacy, improving profile, engaging with the community, etc.; and
- further, the SRC must invest in policy and research capacity so that students continue their role of impacting society beyond campus life.

The South African Union of Students and campus politics

27. Instead of creating space for democratic culture and debate, some universities have adopted a conservative posture that closes space for democratic engagement. Increasingly, student politics are emasculated. Some managers dream of universities existing in a utopian apolitical society. Nowhere in human history have we had a non-political society. The idea of killing the rich student political culture is counter to democratisation and therefore the transformation project.

28. The South African Student Union (SAUS) should be a union of students and not merely SRCs. It should be accountable to its national conference, democratically constituted by all SRCs in the country. It should be recognised in official government policy. It should also register as a nonprofit organisation which is partly funded by students. It should be possible for campus SRCs and SAUS to negotiate a model for a split of the SRC Levy on an equitable basis.

29. We propose that the SRC election model for each institution be freely and democratically decided by the students. No manager should interfere in popular platforms of the students and no manager should be allowed to ban student politics as a culture.

The role of student support and funding in achieving access and success

30. Access across the post-school system is dependent but not limited to two fundamental things: student support and funding. Student support is crucial in a transitional society like ours, as well as a society that is struggling to produce better outcomes at school level. In the long-term, if we improve the outcomes at school level, student support at university or TVET will play a slightly different role to the current one (managing transition to university, crisis management, etc). In addition to better school level outcomes, we need better articulation between the school and postschool systems.
31. NSFAS should continue as a prime funder that gets us closer to free education for the poor. As a principle, all students who finish on record time should have their loans converted into bursaries. And other incentives should be built into NSFAS scheme so that we have various categories of beneficiaries based on academic performance and the needs test. DHET should continue its efforts to cancel the national Student Debt which runs into billions of rands now. The interest charges should continue to be low and only chargeable as a fixed amount once the student starts employment. Black listing of students must be outlawed completely.
32. New creative ways to encourage private sector financial support must be sought. The 2015 Wits SRC 1 Million Campaign has many lessons for SRCs and universities.
33. The current funding model is such that universities with higher research output (historically white) get more funding in the form of earmarked funds and other grants. Among others, funding is based on the principle of 'sharing of costs' because higher education has public and private benefits. Therefore, from a funding standpoint, our public universities are semi-private. In addition, it is important to note that historically white institutions still attract higher private sector and donor incomes compared to historically black institutions. The skewed nature of the funding reflects the unresolved national question and the coloniality that still plagues the system.
34. Historically black universities still get less funding due to the legacy of incapacity induced by Apartheid. The current White Paper on the Post-Schooling system attempts to return to the 'redress fund' principle. The Paper states that 'universities with lower levels of research output must be supported through planning and funding to develop their research capacity in particular areas of specialisation, as well as to develop a research culture'⁶.
35. We support the return to heightened and dedicated focus aimed at addressing the unique needs of historically black institutions. But two things are worthy of noting:
 - first, public accountability for previous and new funding and related support should be a priority for historically black institutions. The underdevelopment of historically black institutions is not only about funding but; other related aspects too; and
 - second, the question of spatial design (geographic location) will continue to burden historically black institutions. The wider South African political economy must find creative ways to deal with the *periphery*.

⁶ White Paper for Post-Schooling Education and Training, 2013.

DIFFERENTIATION AND ARTICULATION

36. We support the renewed efforts to deal with articulation in our differentiated system. We believe that government should press harder and faster to ensure that our universities are more differentiated and that the system is well articulated from school to TVET and right up to university. Public policy in this instance seems to be on track.
37. More importantly, we need to move faster in terms of understanding education provision for the future and how it will affect the university degree, access to higher education, institutional types, performance, quality, funding, etc. To quote Nathan Harden:

‘We are all aware that the IT revolution is having an impact on education, but we tend to appreciate the changes in isolation, and at the margins. Very few have been able to exercise their imaginations to the point that they can perceive the systemic and structural changes ahead, and what they portend for the business models and social scripts that sustain the status quo. That is partly because the changes are threatening to many vested interests, but also partly because the human mind resists surrender to upheaval and the anxiety that tends to go with it. But resist or not, major change is coming. The live lecture will be replaced by streaming video. The administration of exams and exchange of coursework over the internet will become the norm. The push and pull of academic exchange will take place mainly in interactive online spaces, occupied by a new generation of tablet-toting, hyper-connected youth who already spend much of their lives online. Universities will extend their reach to students around the world, unbounded by geography or even by time zones. All of this will be on offer, too, at a fraction of the cost of a traditional college education’.⁷

38. It is possible that technological revolution may solve half of our challenges of access to higher education but; it will require a bold and visionary political leadership as well as university managers willing to lead the next major innovation in the sector.

TECHNICAL AND VOCATIONAL EDUCATION AND TRAINING (TVET)

39. In so far as the TVET sub-sector is concerned, we agree and endorse the following key policy decisions:

- the introduction of NSFAS in the colleges;
- the efforts to make TVET colleges institutions of ‘first choice’ for the youth through improving quality, funding, infrastructure, governance and programme options; and
- the efforts to ensure that TVET programmes are well articulated in the higher education or post-school system.

CONCLUSION

40. As stated in the introduction, the purpose of this working paper is to discuss a selected list of pertinent unresolved and urgent policy issues in higher education. The issues are subjectively selected on the basis of the tension or stagnation they cause in the system. If anything, as a ‘working paper’, the ideas put forward a preliminary; however, they are presented in a manner that suggests that decisiveness is required to move them forward!

⁷ Harden, N. 2012. *The End of the University as We Know It*. The American Interest. Vol 8, No. 3. <http://www.the-american-interest.com/2012/12/11/the-end-of-the-university-as-we-know-it/>

41. In some instances, the paper does not seek to introduce new ideas but rather endorses progressive ideas or policy that is already in place.
42. Some of the suggested ideas may be regarded as radical by some. However, if the conception of 'transformation' proffered here is anything to go by, then describing the ideas as radical is a misnomer. In any case, democracy thought of as less radical, is no democracy at all.
43. The university managers may continue to mark time and fail the transformation test but the voices from below will expose and hold them accountable.
44. The government must really take its tasks to hold universities publicly accountable seriously. The deal since 1994 was that universities will enjoy autonomy and the people of South Africa will hold them publicly accountable through the government of the day. There is no institutional autonomy without public accountability and no institution is autonomous from transformation.
45. From students to managers to government, we need urgent, decisive and visionary leadership. The new broad movement for transformation must triumph!



2ND NATIONAL
HIGHER EDUCATION
SUMMIT

15-17 OCTOBER '15

DEPARTMENT OF
HIGHER EDUCATION
& TRAINING

Transforming Higher
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Programme

Second National Higher Education Transformation Summit

International Convention Centre, Durban, KwaZulu-Natal
15-17 October 2015



higher education
& training

Department:
Higher Education and Training
REPUBLIC OF SOUTH AFRICA

The Second National Higher Education Transformation Summit is convened by Dr BE Nzimande, Minister of Higher Education and Training and organized by the Department of Higher Education and Training with assistance from the Durban University of Technology

The broad purpose of the Summit is to provide opportunities for critical dialogues on aspects of transformation in higher education, with a view to seeking consensus amongst stakeholders on content, priorities, key indicators and strategies to realise such transformation. In addition, the Summit discussions and resolutions will help in informing the National Plan for Post-School Education and Training that is being developed by the Department of Higher Education and Training, and to ensure that the Plan is suitably responsive to key transformation imperatives in the sector.

Thursday 15 October 2015

07h30:09h00	Registration and morning tea/coffee
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Time	Item	Presenter(s)	Venue	Doc. Ref.
Session I				
Chair of Session: Mr M Manana (MP), Deputy Minister of Higher Education and Training				
09h00:09h05	National Anthem	DUT Choir	Plenary Room	-
09h05:09h15	Greetings and Welcome	Mr S Mchunu, Premier of KwaZulu -Natal		
09h15:09h25	Introduction of the Deputy President	Dr B Nzimande, Minister of Higher Education and Training		
09h25:09h55	Address by the Deputy President	Mr C Ramaphosa, Deputy President of South Africa		
09h55:10h00	Vote of thanks to the Deputy President	Mr M Manana, Deputy Minister of Higher Education and Training		

10h00:10h30	Tea break
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Session 2				
Chair of Session: Mr GF Qonde, Director General, Department of Higher Education and Training				
10h30:10h40	Message of Support from the Chairperson of the Higher Education and Training Portfolio Committee	Honourable P Phosa (MP)	Plenary Room	-
10h40:10h50	Message of Support from the Vice-Chancellor of the Durban University of Technology	Prof A Bawa	Plenary Room	-
10h50:10h55	Introduction of the Minister	Mr G Qonde	Plenary Room	-
10h55:11h30	Address by the Minister of Higher Education and Training	Dr B Nzimande		-
11h30:11h45	Questions of clarity from the floor	Facilitated by session chair		-
11h45:12h45	The White Paper on Post-School Education and Training's vision of a transformed higher education system: Where are we going and what's been done so far?	DHET Panel		Annexures 1, 2 & 3
12h45:13h30	Discussion from the floor	Facilitated by session chair		-

13h30:14h30	Lunch break
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Session 3**Chair of Session: Dr D Parker**

14h30:15h45	Re-imagining University Transformation : <ul style="list-style-type: none"> • What does a transformed higher education sector look like? • Where are we as a sector with regard to transformation? What have been the gains, and what are the pressing issues that still need to be addressed? • What actions need to be implemented in order to address the issues? • How do we determine whether the sector is making progress in addressing these issues? 	Mr T Thothela South African Union of Students Prof D Swartz Universities South Africa Prof N Baijnath Council on Higher Education Dr B Damonse National Research Foundation Prof M Makgoba Transformation Oversight Committee	Plenary Room	Annexure 4
				Annexure 5
				Annexure 6
				Annexure 7
15h45:16h15	Respondents	Prof K Ratele Mr N Nombelani		-
16h15:17h00	Discussion from the floor	Facilitated by session chair		-

17h00:17h30: **Launch of *Independent Thinking for Life-Long Learning*, a new Post School Education and Training newspaper supplement. International Convention Centre; Durban**

Programme Director: Mr M Ntsasa, Independent Media

17h00:17h45 Light snacks, drinks and music entertainment

17h45:17h50 Welcome by Mr GF Qonde, Director General, Department of Higher Education and Training

17h50:18h05 Address by Dr BE Nzimande, Minister of Higher Education and Training

18h05:18h10 Independent Media Video plays

18h10:18h25 Speech by Ms K Brown, Group Executive Editor, Independent Media

18h25:18h30 Vote of thanks

19h00:22h00 Dinner Launch of the 'Staffing South Africa's Universities' Framework; International Convention Centre; Durban

Programme Director: Mr GF Qonde, Director-General, Department of Higher Education and Training

18h30: 19h00	Guests are seated
19h00: 19h10	Minister arrives
19h10: 19h20	Welcome
19h20: 19h45	Starters are served, music entertainment
19h45:20h15	Minister's address
20h15:21h00	Main course is served, music entertainment
21h00:21h30	First nGAP appointees are introduced to the Minister
21h30: 21h35	Vote of thanks
21h30: 22h00	Dessert and coffee/tea is served, music entertainment

Juice will be served with dinner: A cash bar will be available .

Friday, 16 October 2015

07h30:08h00	Morning tea/coffee
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Time	Item	Presenters	Venue
08h00:08h15	Outline of the day's programme	Dr D Parker	Plenary Room
Session 4			
Chair of Session: Prof I Rensburg			
08h15-09h30	Student perspectives on higher education transformation with a focus on the student experience and the student vision of a transformed higher education sector	Mr M Ntuthuko (SASCO) (see Annexure 16)	Plenary Room
		Mr N Ngqulu (PASMA)	
		Mr M Mogatosi (DASO)	
		Mr M Morolane (EFFSC)	
09h30:10h00	Discussion from the floor	Facilitated by session chair	

10h00:10h30	Tea break
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Session 5			
Chair of Session Prof R Vithal			
10h30:11h50	Knowledge and curriculum transformation in higher education	Prof S Mohamed	Plenary Room
		Dr L Lange	
		Ms L Naidoo	
11h50:12h15	Respondent	Dr N Toni	
12h15:13h00	Discussion from the floor	Facilitated by session chair	
13h00:14h00	Lunch		

Time	Item	Presenter(s)	Venue	Doc.Ref.
Session 6: Commissions				Annexure 9
14h00:17h00	Commission 1: Institutional environments	Facilitator: Ms N Mohamed Presentation: Prof A Keet Presentation: Dr P Kiguwa Respondent: Prof G Khunou	Plenary Room	Annexure 10 Annexure 11
	Commission 2: Access and success: Transitions into and through higher education	Facilitator: Ms N Badsha Presentation: Dr M Wilson-Strydom Respondent 1: Dr K Masha Respondent 2: Dr A Van Zyl	Breakaway 1	Annexure 12
	Commission 3: Research and engagement	Facilitator: Mr T Kulati Presentation 1 (research development focus): Prof T Marwala Presentation 2 (engaged research focus): Ms J Favish Respondent 1: Professor T Douglas Respondent 2: Dr T Auf der Hyde	Breakaway 2	Annexure 13 Annexure 14
	Commission 4: Leadership, management and governance	Facilitator: Dr J Mabelebele Presentation: Prof C de la Rey Respondent 1: Prof B O'Connell Respondent 2: Mrs P Mnganga	Breakaway 3	Annexure 15

Saturday 17 October 2015

07h30:08h00	Morning Tea/ coffee
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Time	Item	Presenter(s)	Venue
Session 7: Commissions			
08h30:09h30	Review of draft Commission Reports	Commission 1 Facilitator/Reporter	Plenary Room
		Commission 2 Facilitator/Reporter	Breakaway 1
		Commission 3 Facilitator/Reporter	Breakaway 2
		Commission 4 Facilitator/Reporter	Breakaway 3

09h30:10h00	Tea break
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Session 8			
Chair of Session: Mr G Qonde, Director - General, Department of Higher Education and Training			
10h00:10h10	Commission 1 Report	Commission 1 Reporter	Plenary Room
10h10:10h20	Commission 2 Report	Commission 2 Reporter	
10h20:10h30	Commission 3 Report	Commission 3 Reporter	
10h30:10h40	Commission 4 Report	Commission 4 Reporter	
10h40:11h00	Discussion from the floor	Facilitated by session chair	
11h00:11h30	Reflections on the Summit: What has been included, and what have been the gaps and silences?	Prof A Habib (Universities SA) Mr S Badi (SAUS)	
11h30:12h00	Lessons and insights from the region and the continent	Dr I Mandaza (Executive Director, Sapes Trust; Zimbabwe)	
12h00:12h30	2 nd National Higher Education Summit Statement on transformation priorities that must be addressed in the sector	Mr GF Qonde	
12h30:13h00	Minister's closing statement	Dr BE Nzimande	

12h30:13h30	Lunch
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Annexures

Annexure 1	Report on progress made in implementing the recommendations of the 2010 higher education summit	DHET
Annexure 2	Addressing systemic higher education transformation	DHET
Annexure 3	Transforming access, success, resourcing and researching in higher education: What do the data say?	DHET
Annexure 4	Perspectives on higher education transformation	South African Union of Students
Annexure 5	Perspectives on higher education transformation	Universities South Africa
Annexure 6	Perspectives on higher education transformation	Council on Higher Education
Annexure 7	Perspectives on higher education transformation	National Research Foundation
Annexure 8	Perspectives on higher education transformation	Transformation Oversight Committee
Annexure 9	Brief for Commissions	Summit Organizing Committee
Annexure 10	Institutional cultures/Environments	Prof A Keet
Annexure 11	Critical Moments, processes of social exclusion and inclusion: black student narratives	Dr P Kiguwa
Annexure 12	Access and success- transitions into and through higher education	Dr M Wilson-Strydom
Annexure 13	Research and engagement	Ms J Favish
Annexure 14	Postgraduate Supervision and Mentorship: Lessons from the classroom	Prof T Marwala
Annexure 15	Managing and governing towards institutional transformation: the role of management, council and student leadership	Prof C De La Rey
Annexure 16	South African Higher Education Transformation: What is to be done?	SASCO

These documents will be posted on the summit website and copies will also be made available for each delegate as part of the summit document pack.