WSU
Walter Sisulu University

ANNUAL PERFORMANCE PLAN 2020

MAY 2020

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FOREWORD

This 2020 Annual Performance Plan (APP) of Walter Sisulu University (WSU) is prepared and submitted to the Department of Higher Education and Training (DHET) in accordance with the requirements as outlined in the Regulations for Reporting by Public Higher Education Institutions, as gazetted in the Government Notice, 464 of 9 June 2014.

This plan is aligned to the approved enrolment plan for 2020 to 2025. Our understanding is that our reporting of performance against this APP will also take care of the reporting the major commitments made and contained in the enrolment plan. It also means that the new enrolment planning cycle 2020 to 2025 has officially commenced.

This APP is developed at a time when the University is in a process of developing its Strategic Plan to guide it in performing its operations and statutory functions through to 2030. It is possible to have some alignment of this APP to the new University strategic goals, objectives and performance indicators because these are already at the advanced stage of development. Nonetheless, the APP is aligned to provisions of the draft strategic goals and aspirations, as well as national targets as contained in the NDP 2030, provincial goals as outlined in the provincial development plan 2030 and the United Nations Sustainable Development Goals.

As a University located in the African continent, we continue to reinvent and position ourselves through making our programmes and research relevant and responsive to societal needs. The University seeks to produce graduates who are competitive at a global level and who will make a sustainable impact. At the same time our focus is on ensuring a sustainable and viable institution, with efficient and effective corporate governance and management systems being top priorities.

The University is committed to building a stable environment and a platform that will propel the University forward. We aim to put sound administrative systems in place and in particular, to improve the infrastructure for proper living and learning conditions for our students. We also need to ensure peace and stability on all our campuses.

The University finances have steadily improved over the past four years and although our financial performance is still short of ideal, our expenditure is within income levels and our cash flows have remained in positive territory. We are living within our means and will continue implementing austerity measures and financial discipline.

OFFICIAL SIGN-OFF

It is hereby certified that this 2020 Annual Performance Plan:

- Was developed by the University Management under the guidance of the WSU Council;

- Was prepared in alignment with the enrolment plan (2020–2025) and the principles underpinning the University's Strategic Plan (Vision 2030) which is currently under development; and

- Accurately reflects the performance targets which Walter Sisulu University will be striving to achieve in 2020, given the available resources and in terms of its 2020 budget.

Dr PS Jaca   Signature: _____

Deputy Vice-Chancellor: Institutional Support

Prof JR Midgley   Signature _____

Vice-Chancellor & Principal

Mr T Zakuza   Signature: _____

Chairperson of Council

1. STRATEGIC CONTEXT

The University has just completed a five-year strategic cycle (2015 to 2019) and is at present finalising its next planning cycle, which will extend ten years, to 2030. Work on the University's 2030 Strategic Plan started in October 2018 and Council will consider the *Strategic Plan 2030* during 2020, after which it shall come into effect immediately.

The 2015 to 2019 Strategic Plan was in essence a recovery plan, the University having been placed under administration in 2012, with normal operations resuming in 2015. The University remains mindful of its recent experiences and the need to ensure that the future is informed by the past. However, having successfully completed its recovery, WSU is now at a juncture where it can re-imagine its institutional identity and its operational processes.

Ideally, the 2020 APP should be located within and aligned to an approved strategic vision. However, given that the 2030 Plan is still being developed, this APP is based on provisional Vision, Mission, Values and Strategic Goals that still need final Council approval.

1.1. VISION AND MISSION

The following Vision and Mission informs this APP:

Vision:

A value-driven, technology infused African university providing a gateway for local talent to be globally competitive and making a sustainable impact.

Mission:

Through quality teaching, learning, research, innovation and community engagement, WSU responds to societal needs and delivers future-ready graduates who are responsible citizens able to address complex challenges in critical, ethical, scholarly, sustainable and entrepreneurial ways.

Purpose Statement:

WSU's purpose is to address societal grand challenges and change people's lives through:

- Graduating versatile, work-ready individuals;
- Producing relevant, innovative and impactful research; and
- Championing sustainable development and in particular, social justice.

Core Values:

Inspired by our icon tat'uWalter Sisulu and guided by our country's foundational values, WSU accepts the following core values:

- Academic freedom;
- Honesty and Integrity;
- Quality and Excellence;
- Dignity and Respect for person and property;
- Humility, Selflessness and uBuntu-Botho; and
- Caring service and Striving for the greater good.

2. SITUATIONAL ANALYSIS

2.1 THE ACADEMIC PROJECT

The University is acutely aware of its location and role in society and its obligations to contribute to the country and the region in which it is located; and especially, its role in providing access to quality educational opportunities to members of its surrounding communities. It sees itself as operating within a developmental paradigm, ensuring that the three core pillars of the academic project – Learning and Teaching, Research and Innovation, and Community Engagement – are aligned and contribute towards the University being relevant and engaged.

The University is primarily an access institution. Whether viewed from a household financial perspective, the nature of the Institution's academic programmes , or its strategic positioning in the eastern part of the Eastern Cape Province, WSU is often the only tertiary educational option for students from poor and rural households of the Province. The reality is that by far the majority of our students come from the eastern part of the Eastern Cape and the southern part of KwaZuluNatal, primarily from rural areas; and that the socio-economic conditions of families in these regions are severely compromised. Despite their potential and talent, these students often do not meet entrance requirements at other institutions. Access to, and a qualification from WSU therefore serves as an entry point to the job market, or a springboard towards another academic qualification – often at the very institutions for which they did not qualify in the first instance. For this reason, the University becomes a gateway to the world of work or to academia for many people.

WSU wishes to promote innovative research which supports its teaching and learning and community engagement mandates and which impacts on society. So, as well as promoting excellence in undergraduate and postgraduate studies, and research, the University will also strive for excellence in addressing some of complex societal challenges our communities face. In so doing we would follow and live out the vision of tat'uWalter Sisulu:

> "The battle shall have been won if by the turn of the next century poverty, squalor, degradation and disease shall remain but a distant and fading memory."

The academic endeavour also needs to be cutting edge. Society is not static and to be relevant, the University needs to be aware of and address environmental pressures and the increasing use of technology in the way in which the world operates.

"Scholarship of Engagement", as depicted in the diagram below, is used to provide a coherent and cohesive academic project, and an alignment of the above-mentioned three core pillars.
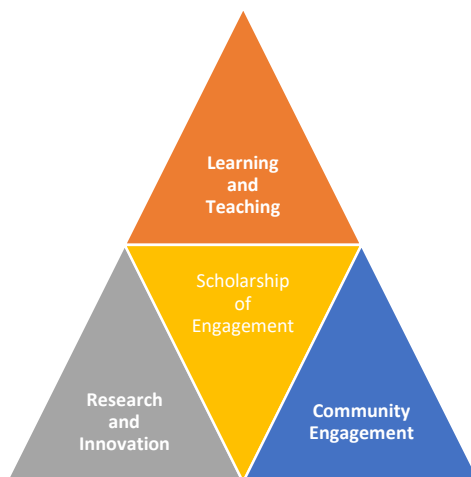
The scholarship of engagement is achieved through scholarship of Teaching and Learning, Engaged Research and Service or Experiential Learning/WIL and it is through such scholarship that the three pillars intersect, thus enabling the University to function as an engaged African University which addresses complex societal challenges in a scholarly manner.

The concept also provides a framework for developing areas of activity and performance criteria within each of these key functional areas. Where any two of the three pillars intersect some outcomes are yielded. When learning and teaching intersect with research and innovation, scholarship of teaching and learning improves and becomes an outcome. When research and innovation intersects with community engagement, engaged research improves and becomes an outcome. Lastly, at the intersection of community engagement and learning and teaching, service/experiential learning/WIL becomes an outcome.

This brief contextual overview illustrates the considerations that influenced and shaped the sections that follow.

2.1.1 LEARNING AND TEACHING

The primary goal for learning and teaching at WSU is to promote ***student access*** while improving ***student success*** and ***throughput***. We understand this to be aligned to the DHET's broader goals in terms of the 2020 to 2025 enrolment planning cycle. The University's overall learning and teaching philosophy is problem-based learning, which various departments and faculties have implemented and tested, and for which the Faculty of Health Sciences, in particular, has become well known.

HEADCOUNT ENROLMENTS

Learning and teaching at WSU takes place at four campuses, each with various delivery sites. The table below provides a summary of students enrolled at each campus from 2015 through to 2019. Out of the four campuses, Mthatha is the biggest in terms of student enrolments, and Queenstown the smallest.

Campuses	2015	2016	2017	2018	2019
Buffalo City	6 651	6 921	7 342	7 462	8 090
Butterworth	5 514	5 965	6 359	6 633	6 827
Mthatha	12 216	13 411	14 126	14 892	15 380
Queenstown	1 612	2 284	2 690	3 153	3 342
Grand Total	**25 993**	**28 581**	**30 517**	**32 140**	**33 639**

The University comprises twelve faculties across all its campuses and the table below presents student enrolments in each faculty during the last five years.

Faculties	2015	2016	2017	2018	2019
Buffalo City	**6 651**	**6 921**	**7 342**	**7 462**	**8 090**
Business Sciences	3 748	3 851	3 979	3 956	4 181
Science, Engineering & Technology	2 903	3 070	3 363	3 506	3 909
Butterworth	**5 514**	**5 965**	**6 359**	**6 633**	**6 827**
Education Butterworth	1 190	1 296	1 327	1 465	1 473
Engineering and Technology	1 916	2 067	2 211	2 298	2 405
Management Sciences	2 408	2 602	2 821	2 870	2 949
Mthatha	**12 216**	**13 411**	**14 126**	**14 892**	**15 380**
Commerce and Administration	2 873	3 191	3 401	3 560	3 603
Educational Sciences	5 047	5 334	5 418	5 770	6 110
Health Sciences	1 294	1 478	1 610	1 587	1 693
Humanities, Soc. Sci and Law	2 192	2 453	2 753	2 993	2 889
Natural Sciences	810	955	944	982	1 085
Queenstown	**1 612**	**2 284**	**2 690**	**3 153**	**3 342**
Economics & Info Sys Technology	1 373	1 787	1 982	2 160	2 215
Education (Queenstown)	239	497	708	993	1 127
Grand Total	**25 993**	**28 581**	**30 517**	**32 140**	**33 639**

In recent years WSU substantially exceeded its approved enrolment targets, primarily as a result of an increase in returning students who previously had been financially excluded but subsequently benefited through NSFAS's payment of historic debt. Our aim in 2020 is to keep FTEN enrolments steady and to decrease the overall enrolments through natural attrition (throughput and graduation of returning students), stricter registration controls using an electronic admission and registration system and more disciplined implementation of academic exclusion rules.

SUCCESS RATES

The table below presents a picture of the University's overall success rate which has dropped from 81.1% in 2015 to 79% in 2018. Furthermore, the University's academic enterprise structure changed in 2015 from four faculties in 2014 to twelve faculties from 2015 onwards.

Row Labels	2014	2015	2016	2017	2018	2019
Business Sciences		82,7%	81,4%	80,0%	80,6%	80,2%
Commerce and Administration		78,6%	76,5%	75,6%	76,0%	74,5%
Economics & Info Sys Technology		74,0%	77,3%	75,5%	72,9%	74,6%
Education (Queenstown)		90,0%	93,2%	91,9%	89,1%	90,9%
Education Butterworth		91,3%	92,1%	91,6%	93,1%	93,8%
Educational Sciences		83,2%	83,2%	81,1%	78,4%	84,3%
Engineering and Technology		73,3%	75,7%	75,7%	73,8%	68,9%
FAC OF BUS- MAN SCIENCES & LAW	80,0%					
FACULTY OF EDUCATION	84,8%					
FACULTY OF ENG AND SCIENCE	74,5%					
FACULTY OF HEALTH SCIENCES	88,5%					
Health Sciences		90,0%	87,7%	82,4%	84,9%	83,0%
Humanities, Soc. Sci and Law		77,9%	76,0%	73,7%	75,0%	74,9%
Management Sciences		80,1%	81,3%	82,4%	81,9%	80,2%
Natural Sciences		73,4%	67,4%	65,5%	72,7%	65,7%
Science, Engineering & Techno		75,3%	74,4%	75,6%	78,0%	74,6%
Grand Total	**81,1%**	**80,5%**	**80,3%**	**79,1%**	**79,0%**	**79,0%**

The Faculty of Education at the Butterworth Campus is currently the best performing, in terms of success rates, sitting at 93.1% in 2018. The Faculty of Natural Sciences has been the worst performing faculty for the past three years in a row, although its success rate has improved from 65.5% in 2017 to 72.7% in 2018, but again in 2019 performance went down to 65.7%.

ATTRITION, RETENTION AND THROUGHPUT

The University has improved its throughput rate of the enrolled cohort from 8% in 2015 to 14% in 2018, after the first year of study in all its programmes combined. On average, the attrition rate from the enrolled cohort has been constant at 15% from 2015 through to 2018.

	Year 1	Year 2	Year 3	Year 4	Year 5
	2015	2016	2017	2018	2019
2015 Baseline Cohort	10 824	10 824	10 824	10 824	10 824
Cumulative Graduates	867	1 609	3 360	5 428	5 592
% Cumulative Graduates	8%	15%	31%	50%	52%
Cumulative Drop-outs	0	1 596	2 271	2 844	3 371
% Cumulative Drop-outs	0%	15%	21%	26%	31%

	Year 1	Year 2	Year 3	Year 4	Year 5
	2015	2016	2017	2018	2019
Enrolments (Retained)	9957	7 619	5 193	2 552	1 861
% Enrolments (Retained)	92%	70%	48%	24%	17%
2016 Baseline Cohort		10 530	10 530	10 530	10 530
Cumulative Graduates		1 084	1 706	3 387	3 597
% Cumulative Graduates		10%	16%	32%	34%
Cumulative Drop-outs		0	1 500	2 353	2 922
% Cumulative Drop-outs		0%	14%	22%	28%
Enrolments (Retained)		9 446	7 324	4 790	4 011
% Enrolments (Retained)		90%	70%	45%	38%
2017 Baseline Cohort			10 483	10 483	10 483
Cumulative Graduates			1 244	1 966	2 060
% Cumulative Graduates			12%	19%	20%
Cumulative Drop-outs			0	1 613	2 343
% Cumulative Drop-outs			0%	15%	22%
Enrolments (Retained)			9239	6904	6080
% Enrolments (Retained)			88%	66%	58%
2018 Baseline Cohort				11 182	11 182
Cumulative Graduates				1 561	1 694
% Cumulative Graduates				14%	15%
Cumulative Drop-outs				0	1 628
% Cumulative Drop-outs				0%	15%
Enrolments (Retained)				9621	7860
% Enrolments (Retained)				86%	70%

Lastly, the University retention rate after the second year of study for the four-year period starting from 2015 through to 2018 has been sitting at 69% on average.

Our aim in 2020 is to focus on the already identified obstacles to success: to ensure that remedial action plans are in place for those courses with high failure rates, build on current student assistance programmes, and to continue with our staff skills development programmes.

2.1.2 RESEARCH AND INNOVATION

The Institutional Research and Innovation Strategy that will guide the University in its research and innovation endeavours for the next five years is currently being developed. Flowing from the understanding that research and innovation has not been a University strength in past years, the main goals for 2020 are to intensify the researcher development support and improve postgraduate supervision practices that will lead into improving research quality and research and innovation outputs.

DEVELOPMENT OF POSTGRADUATE STUDIES

Postgraduate studies at WSU suffers in respect of two fundamental prerequisites: the shortage of accredited postgraduate programmes on the University's postgraduate programme qualification mix (PQM) and a shortage of suitably qualified supervisors. In addition, a poor policy environment has compromised academic integrity and quality.

As indicated, postgraduate outputs are affected by the restricted number of approved programmes on the University PQM. The University has improved its number of Master's graduates, but the number of research Master's graduates remains small. For example, in 2018 the University graduated 46 Master's students, but only 11 of them completed a research Master's degree. The table below presents Research Master's and Doctoral graduates from 2014 to 2018.

	2014	2015	2016	2017	2018
Research Master's graduates	10	12	8	8	11
Doctoral graduates	8	15	12	9	6

To improve our research regulatory framework, key postgraduate management policies are being developed which will be presented to Council for approval during 2020.

In a further effort to improve fundamental conditions for postgraduate studies development, a concerted effort will be made to improve the University's postgraduate PQM.

In addition, the University is focusing on active postgraduate recruitment and pipeline development programmes, which should grow postgraduate numbers and also improve throughput success in future.

To improve students' graduate attributes and so impacting on quality, the University inaugurated postgraduate peer-to-peer research skills-sharing encounters between PhD and Master's candidates from WSU and other universities which will develop, support and mainstream intra- and inter-institutional (including international) postgraduate research. This programme will be developed further in 2020.

Most academics at WSU are not published scholars and accordingly are inadequately equipped to infuse fresh research-based pedagogical 'instincts' into their courses and supervision practices. As such, postgraduate students are taught and in many instances supervised by unpublished academics, resulting in them graduating without having acquired the confidence and critical finesse to operate in a competitive and knowledge-driven world. The First-time Author Support Programme, launched in 2019 and which will continue in 2020, aims to overcome this challenge.

RESEARCH DEVELOPMENT

Research output at WSU in terms of publication units (for accredited book chapters, conference proceedings and journal articles) is poor, both in terms of numbers and of quality. In 2014 accredited output amounted to 26.7 units. There has been some improvement of this low base since then, reaching 74 units in 2017 and 63.97 units in 2018. These figures would have been substantially better had the trend at WSU to publish in predatory journals been arrested earlier. For two years running, a number of articles submitted for accreditation were rejected for want of quality.

The research regulatory framework will be improved in 2020. Key research policies are currently under review and will be presented to Council for approval during the course of the year. In addition, the University is developing trans-, inter- and multi-disciplinary research niche areas focusing on cutting-edge innovation-driven research that will improve research output and quality and lead into registration of intellectual property rights.

Another important intervention, launched in 2019, is a First-time Author Support Programme that seeks to empower academics to become published authors in quality journals, through structured mentorship. The programme will continue in 2020, with the first tranche of tangible results likely to be seen in 2021. This specific intervention seeks to ensure that every WSU academic becomes a published researcher within the next few years: it will lead to an exponential growth in the University's research productivity profile.

Several other research productivity-focused interventions are underway, including a revamped postdoctoral research fellowship system, programmes to grow the number of NRF-rated researchers, new coaching initiatives aimed at empowering our researchers to become strong research fundraisers, and enlistment of experienced adjunct researchers to add verve to our research mentorship and output enhancement initiatives – to name just a few.

INNOVATION

The Office of Technology Transfer (OTT), funded by NIPMO through the DST, became fully functional in 2018. The activities of the OTT include the promotion of innovation and the registration of intellectual property rights. The table below indicates the improvement in this regard since 2017.

	2017	2018	2019
Invention Disclosures	0	2	2
Patent Applications	0	0	2
Copyright and Trademark Applications	0	1	0
Prototypes Developed	2	0	2
Innovation Projects Funded	4	4	4

Notable recent invention outcomes include a set of indigenous knowledge-based herbal tea prototypes known as *Creation Nervine* (with sedative effects to calm mental disorders) and *Creation Arthritis* (to relieve inflammation and pain associated with arthritis) developed by Prof Adebola Oyedeji's research team with funding assistance from the Technology Innovation Agency (TIA). Other major innovations are two ground-breaking inventions of prosthetic devices to assist below-knee amputation casualties by two Medical Orthotics and Prosthetics students, Zanodumo Godlimpi and Siphosethu Mgwili; and an aneaerobic biogas prototype for alternative renewable energy use developed by Dr Frank Unuofin's research team.

Our aim in 2020 is to build on these developments and improve the above statistics even further by encouraging staff, students and community members to think innovatively and to make use of the facilities that we have on offer to register their inventions.

2.1.3 COMMUNITY ENGAGEMENT

Given our pedagogical philosophical focus on Problem-based Learning, community engagement (CE) has become an integral part of Learning and Teaching at WSU, through Work Integrated Learning (WIL), Service Learning and Experiential Learning initiatives. As a result, a number of academic programmes require students to spend time in the workplace so as to integrate the theory they learn in the classroom with practice in the field. In some instances, the University also places unemployed WSU graduates for internship with the help of funding from the SETAs and NGOs.

CE has also been infused into research and innovation at WSU, as can be seen from the inventions presented under the innovation section above.

A number of University entities focus on CE initiatives. These include the National Pollution Laboratory, the Risk and Vulnerability Centre, Chair in Rural Development, the Institute for Advanced Tooling, the ICT for Rural Development CoLab, the e-Waste Recycling Project, the Insurance Assessors Training Programme and the Supplier Development Initiative.

All the above-mentioned initiatives will continue in 2020 and our intention is to expand their reach. In addition, two new CE projects will be launched in 2020: The Agribusiness Centre and a Centre for Entrepreneurship Rapid Incubator.

3. KEY PERFORMANCE INDICATORS

3.1. ACCESS

Calendar Year	2018		2019		2020	
Key Performance Indicator	Target	Actual	Target	Provisional	Target	Strategies/Activities/Projects to achieve the set target
A. Access (Enrolments)						
Student Headcount Totals	29 100	32 123	29 715	33 600	30 269	Implement exclusion policy and enrolment only on accredited programmes.
Foundation First-Time Entering	1 500	1 309	1 700	2 203	1 675	Enrol only in approved Foundation programmes
First-Time Entering Undergraduate	7 300	7 056	7 400	7 176	7 100	Enforce quota restrictions, monitor enrolment and daily reporting.
Headcount Total UG	27 500	29 788	28 000	30 887	27 819	Enforce all of the above strategies
Headcount Total PG	1 600	2 335	1 715	2 713	2 450	Targeted marketing to pipeline UG students to build appetite for PG studies.
Enrolments by Major Fields of Study	29 100	32 123	29 715	33 600	30 269	Quota transfer only allowed across faculties/departments in similar CESM groups
SET	8 602	8 515	9 354	9 389	8 778	
BUS/MAN	8 864	10 062	8 189	10 235	9 383	
EDUCATION	6 217	5 679	6 366	5 844	5 146	
OTHER HUM	5 417	7 866	5 806	8 132	6 962	

The University set its headcount enrolment target for 2020 at around 30,000, which is 3,000 lower than the 2019 actual enrolments, because of a stricter enforcement of exclusion rules.

In order to maintain the planned shape, a university has to monitor its enrolment and manage this process carefully, while ensuring that it meets its set quotas and not over-enrol at the same time. WSU will further ensure that we maintain our academic shape and where transfer of quotas between faculties and/or academic departments is inevitable, this will be done within the same parameters that were initially set in our enrolment plan.

3.2. SUCCESS

Calendar Year	2018		2019		2020	
Key Performance Indicator	Target	Actual	Target	Provisional	Target	Strategies/Activities/Projects to achieve the set target
B. Success						
Overall Degree Credit Success	75%	79,0%	75,0%	Not available	80,0%	Initiatives to improve student success include:
Degree Credit Success UG	75%	80,1%	75,0%	Not Available	81,0%	- FYE project, Extended degree programmes,Tutorship and PAL programmes
Degree Credit Success PG	75%	61,6%	75,0%	Not Available	65,0%	- Writing centres to improve student writing skills, and Academic support
Success Rate by Fields of Study						
SET	74%	76,7%	73,8%	Not Available	77,5%	
BUS/MAN	71%	76,3%	71,3%	Not Available	76,9%	
EDUCATION	84%	82,7%	84,6%	Not Available	85,9%	
OTHER HUM	73%	79,3%	73,3%	Not Available	80,4%	
Total Graduates	6 605	7 130	6 928	Not Available	7 068	Early warning system and Students at Risk are just some projects to improve student throughput
Graduates UG	6 210	6 371	6 510	Not Available	6 491	and ensure that intervention is made early enough before students drop-out of their programmes.
Graduates PG	396	759	417	Not Available	577	
Undergraduate Output by Scarce Skills						
Engineering	234	369	255	Not Available	266	
Life and Physical Sciences	124	98	144	Not Available	148	
Animal Sciences	0	0	0	Not Available	0	
Human Health	238	262	259	Not Available	260	
Teacher Education	959	1 454	975	Not Available	1 096	

The University views success from a number of dimensions. It is important to highlight the progression of students in terms of their academic journey, retaining students until they complete their qualifications within acceptable time, the completion of the qualifications, and the time to completion. Success targets for the 2020 academic year have been set as follows: overall success rate at 80%; and undergraduate programmes success rate at 81%. The support that the University receives from DHET through various grants enables the University to implement various projects and initiatives to ensure that the students it attracts develop the required skills to progress academically and graduate within acceptable time limits.

3.3. EFFICIENCY

Calendar Year	2018		2019		2020	
Key Performance Indicator	Target	Actual	Target	Provisional	Target	Strategies/Activities/Projects to achieve the set target
C. Efficiency						
Instructional/Research Professional Staff	-	878	-	888	-	Discretionary grant funding set aside to enrol staff for teaching qualifications:
Headcount of Permanent Instr./Res. Staff	636	620	650	623	589	- Wits and Rhodes programmes for academic staff to improve teaching qualifications
FTE for Instr./Res. Staff	760	816	762	784	750	- nGap programme supported through earmarked grant from DHET.
% Staff with Doctoral Degrees	15%	12,6%	16,9%	15,3%	14%	
% Staff with Masters Degrees	36%	38,2%	36,2%	38,0%	40%	
Number of nGap Staff	4	11	4	16	4	
FTE Ratio of Students to Staff	31,0	34,1	31,5	35,2	33,8	

The University views efficiency in terms of the FTE ratios of students to staff, the quality of teaching and learning within the Institution, our throughput and success rates, the calibre of graduates, and the quantity and quality of our research outputs. The University therefore now controls FTEN enrolments in terms of realistic enrolment targets, and invests effort in different programmes to ensure that we have qualified academics with the requisite skills to produce the desired efficiencies. To improve the number of staff with Master's qualification the University does not appoint any individual with less than a Master's degree, and it has also opened up fair opportunities for all academic staff with lesser qualification to study further.

3.4. RESEARCH OUTPUT

Calendar Year	2018		2019		2020	
Key Performance Indicator	Target	Actual	Target	Provisional	Target	Strategies/Activities/Projects to achieve the set target
D. Research Output						
Publication Units	65	64	70	Not Available	90	First-time Author Support Programme
Publication Units per Permanent Instr./Res. Staff	0,10	0,10	0,10	Not Available	0,15	New research funding/incentive framework, and stipulation and monitoring of minimum publication output per staff, as part of new institutional research strategy
Masters Graduates (Research only)	20	8	26	Not Available	31	Active PG recruitment and pipeline development programme
Doctoral Graduates	10	3	14	Not Available	12	PG Peer-to-Peer research skills-sharing encounters

WSU has reverted to a 'back to basics' approach to improving research productivity. The University is starting afresh by building its foundation in research and innovation, through intensifying researcher development support and improving postgraduate supervision practices. Secondly, the University will develop its research and innovation niche areas. Our aim is to improve research productivity incrementally over time, building upon the work that has been ongoing in recent years and the implementation of the strategies indicated in the table above.

3.5. INNOVATION

The promotion of innovation and the registration of intellectual property rights form part of the Office of Technology Transfer (OTT)'s functions. The aim for 2020 is to build on and take further the work that started in 2017 and continued through to 2019 by encouraging staff, students and community members to think innovatively and to make use of the facilities that we have on offer to register their inventions.

Description	2017 Actual	2018 Actual	2019 Actual	2020 Target
Invention Disclosures	0	2	2	3
Patent Applications	0	0	2	3
Copyright and Trademark Applications	0	1	0	2
Prototypes Developed	2	0	2	3
Innovation Projects Funded	4	4	4	5

3.6. COMMUNITY ENGAGEMENT

Community engagement at WSU seeks to address community and country needs, especially in the rural communities it serves. As such, the establishment and maintenance of strong and mutually benefitting relationships with communities are essential. The ultimate goal of Community Engagement at WSU is development. The engagement activities and projects falling under community engagement are classified according to four broad categories: Engagement through Outreach and Community Service; Engagement through Professional/Discipline-based Service Provision; Engagement through Teaching and Learning; and Engagement through Research and Scholarship. WSU is hosting and managing National Water Pollution Laboratory – testing water quality along SA Coastal Waters (KZN, EC, WC and NC) and islands in the

Southern Ocean for safety for consumption, fishing and swimming. WSU is also a centre for implementing the International Society of Hypertension project where it measures blood pressure, weight and height in the communities; the purpose is to give health advice and refer people who have hypertension and are not on treatment to hospitals for attention.

Key Objective	High level Indicators	2020 Target	Strategies/projects/activities to achieve output
Ensure that 50% of all undergraduate programmes contain a credit-bearing community engagement component.	Percentage of infusion of community engagement	50%	Faculty-based workshops on the infusion of Community Engagement will be held. The community engagement committees of departments and faculties will monitor and oversee the infusion of community engagement into the curriculum.
Ensure that 100% of students are timeously placed for service learning and/or work integrated learning in all relevant programmes.	Percentage of students timeously placed for service learning and/or work integrated learning in all relevant programmes	90%	Partnerships with communities, public and private sectors will be strengthened. Students will be compelled to attend all student preparedness programmes. The community engagement committees of departments and faculties will monitor and oversee WIL and Service Learning programmes.
Increase the number of research projects that address the prioritized community needs to at least one per department.	A number of research projects that address the prioritized community needs.	40	The community engagement and research committees of departments and faculties will monitor and oversee the work of the departments in the development of the research projects with the communities (e.g. industry partners).
All academic programmes infuse rural development in their content.	Number of academic programmes with infused rural development	30%	Faculty-based workshops on the infusion of rural development will be held. The rural development committees will monitor and oversee the infusion of the rural development into the curriculum.
Full implementation of all MoU's to reinforce partnership agreements at all times.	Percentage implementation of MoU's with key partners.	80%	Intensify the roll-out of projects flowing from the current MoU's/MoA's. The community engagement committee will review the MoU's and assist the departments and faculties in identifying new projects and partners.

3.7. OPERATIONAL EFFICIENCY

Management of operations at WSU has for some time been sub-optimal. Following a period of imposed external administration, the University is operationally back on track, with a strong emphasis on reducing leakages caused by inefficient operations. To date, the focus has been on the following operational areas:

- Governance: Governance at WSU is generally good and Council and other governance structures like the Institutional Forum function effectively and efficiently. An outstanding issue for completion in 2020 is the finalization of our Institutional Rules.
- External audit: For a number of years the University has consistently had qualified audit opinions and in 2018 we had a disclaimed opinion. The target is a clean audit for 2020, but given the declared national Disaster and consequent huge disruptions to university operations this target may be difficult to achieve; and to submit the documents to the DHET within the deadlines.
- Academic Administration: Poor administration, especially around admissions and registrations, is a major cause of student protest action and unfortunately also opens opportunities for untoward practices. The University has a definitive management policy direction to move all academic administrative operations from manual processes to online systems.
  - o The migration of admission and registration processes was implemented in 2019 for 2020, but resulted in many teething problems which need to be ironed out before 2021 admission and registration processes commence.
  - o Enrolment practices have improved over the past few years. First-year enrolments are generally well managed, but controls over returning student numbers are inadequate. Students who were previously excluded financially were able to return when NSFAS covered their historic debt, causing a bulge in returnees, but these students are beginning to graduate and we expect the pressure from this quarter to slow down in future. Our focus in 2020 will be to implement our exclusion rules more strictly, in the hope that this not only frees up space for better performing students to be admitted, but will also encourage pipeline students to take their studies more seriously.
  - o Online progression and exclusion processes will be implemented in 2020.
  - o Online submission of examination papers by academic staff is being developed.
- Human Resources: Operations within this major expenditure area are carefully monitored, although a risk of budget overruns remains real. The divisional management model in terms of which the University's Institutional Office and its four Campuses operate is naturally more labour intensive than structures found at unitary institutions, which forces human resource operations to be on the high side of the expenditure matrix.
  - o Recent expenditure has been close to the 58%–62% norm and the University continues of use standard this as its expenditure target.

- The University has streamlined its organizational structure, although there is room for further efficiencies once academic programmes have been assessed for quality, uptake (need) and relevance.
- Applications to fill existing positions and/or for new posts are carefully scrutinized before permission is granted for them to be advertised.
- To improve academic leadership and academic qualification mix, all professorial vacancies have been and are being advertised.
- We have a concerted staff qualification improvement programme in place and academic staff are being supported to upgrade their qualifications with our aim being to improve the number of doctoral qualifications.

- <u>Student Issues</u>: The focus in 2020 will be on improving student support services.
  - Personal safety and security
  - Health and wellbeing, especially improved clinic and mental health services
  - Student development programmes
  - Improved living conditions
- <u>Property Management</u>: Proper living conditions have been a major bone of contention for many years, and possibly also the single-most source of conflict and protest action. Large-scale inefficiencies and opportunities unacceptable practices and loss of income have been found in this area. The University has accordingly reconstructed the business management of its property operations and consolidated them in a single business entity.
  - The newly formed Estates Division will manage all aspects around student residences, staff accommodation, leased properties and revenue generation from WSU infrastructure stock. The Division will be staffed and fully operational by the end of 2020.
  - A system of online residence allocation has been in place for a few years, but it has not been functional, leading to frustration and student protest action. The system will be re-imagined in 2020 for smoother implementation in 2021.
  - The management of private student accommodation is a mess. An appropriate lease management system will be developed in 2020 for implementation in 2021. All 2021 leases will be in place by December 2020.
  - The management of staff accommodation has been left unmonitored. Allocations appear to be made ad hoc, records are incomplete, unauthorized sub-letting exists and fringe benefit tax issues have arisen. The Estates Division will regularize all these aspects in 2020.
- <u>Financial</u> : Efficiencies will be effected in the following areas:
  - Allocation of the limited resources of the University to support the achievement of the University's strategic objectives so as to allow expenditure to be in line with approved budget;
  - Improved balance sheet: Dec 2019 vs Dec 2020:
    - Increase in reserves:
    - Reduction in bad debt;

- o Cash flow managed without using overdraft facilities;
- o Functional separate management systems for council-controlled and residence finances;
- o Improve the administration of financial aid unit and recovery of amounts due from funders;
- o Implement reporting tools and dashboards to assess and monitor financial performance;
- o Improve financial policy environment and address outstanding audit matters;
- o Limit the unsustainable increase in student debtors through consistent application of the minimum initial payments and special cases registration;
- o Online procurement processes implemented and automation of all other business processes and effective use of ERP system;
- o Functional asset management system; and
- o Improved third-stream income.
- Infrastructure Management: Efficiencies will be effected in the following areas:
  - o Improved management of infrastructure grants, ensuring that allocated funds have been spent and no existing grant with unspent money is older than 5 years;
  - o Institutional and Campus infrastructure development master plans developed;
  - o Iphulo refurbishment complete;
  - o KTC and KGB refurbishment 50% completed;
  - o Potsdam residence complex refurbished; and
  - o Butterworth water supply project completed.
- ICT: The following projects will be completed:
  - o Ubiquitous Wifi on all campuses;
  - o Migration from Groupwise to Office 365 completed;
  - o ITS functional throughout the University's operations;
- Facilities: Improved occupational health and safety on all campuses.

Description	2018 Actuals	2019 Actuals	2020 Target
Governance and Academic Administration			
- Institutional Rules	• No institutional rules in place.	• No institutional rules in place.	• Institutional rules in place.
- Online Applications for Admission.	• Number of online applications: 0	• Number of online applications: 10%	• Number of online applications: 100%
- Online Programme Registrations	• Number of online registrations: 70.1%	• Number of online registrations: 83.5%	• Number of online registrations: 100%
Human Resources			
- Leave Management	• Manual leave system.	• Online leave management implemented.	• Analyze and report leave across the University.
- Single and harmonized University structure.	• Personnel structure not harmonized.	• Personnel structure not harmonized.	• Implement a harmonized Personnel structure.
- Personnel costs Management	• 66%	• 64%	• Maintain expenditure within 62% norm.
- Improve academic staff qualifications (Master's and PhD's)	• Master's = 36%; PhD's = 16%	• Master's = 36%; PhD's = 17%	• Increase Master's to 39%; PhD's to 19%
- Ensure the ration of academic staff to support staff costs is at 60:40	• 60:40	• 60:40	• 60:40
Property and Infrastructure Management			
- Property Management	• Manual Residence allocation	• Piloted Residence allocation system (RAS)	• Enhance Residence allocation system (RAS) to address system glitches. • Establish Estates Division to manage WSU property. • Develop Lease Management System • Conveyancing of WSU Properties – 80%

Description	2018 Actuals	2019 Actuals	2020 Target
- Infrastructure Management * Refurbishments	• Potsdam residence complex: 50% completed • Butterworth water supply project: 0% completed • Iphulo residence: 0% completed KTC and KGB residence: 0% completed	• Iphulo residence: 75% completed • Zamukulungisa 200 and 400 seater auditoriums (R64m): 100% Completed	**Student Residences** • Old Potsdam Student residence complex (R22m): 70% completed • Iphulo Student Residence (R54m): 100% completed • Zamukulungisa Student Residence (R100m) – 20% Completed • Ibika Student Residence Refurbishment (R20m) – 50% **Maintenance and new Infrastructure Provision** • Mthatha NMD Sewer Reticulation Systems & Water Reticulation Systems Refurbishment (R10m): 100% Complete • Mthatha NMD Roads Infrastructure Refurbishment (R11m): 100% Complete • Butterworth, Ibika Campus Sewer Reticulation Systems (R1.5m) – 100% Complete • Butterworth, Ibika Campus Water supply Project (R10m) – 100% Completed • Butterworth Disabled Access-Elec Engineering Blg (R700k): 100% Complete

Description	2018 Actuals	2019 Actuals	2020 Target
			• Potsdam Solar Farm (R10m): 90% Complete • WSU Security Upgrade (R1.8m): 100% Complete • Butterworth Res Maintenance and Fencing (R5m): 100% Complete • Refurbishment of East Teaching Malls (R8m): 70% Complete **Research, Learning and Teaching Spaces:** • Upgrade and expansion of the DWESA Research Station (R10m): 100% Complete • Refurbishment and expansion of the National Pollutions Lab (R5m): 100% Complete • Upgrade of Natural Sciences Laboratories at NMD (R20m): 90% Complete • New Ibika Education Lecture venues (R80m): 20% Complete • Mthatha Faculty consolidation (R 137 184 700.00): 30% Complete • Mthatha Electronic Resources/Computer Lab (R12m): 90% • Butterworth Well founded Labs (R4m): 100%

Description	2018 Actuals	2019 Actuals	2020 Target
			Entrepreneurial Hubs: • The Centre for Entrepreneurship Rapid Incubator (WSU- CfERI) in conjunction with SEDA (R1.5m): 100% The Small Enterprise Development center for Agricultural Businesses Projects (R3.5m): 100%
Information and Communication Technology (ICT) - Ubiquitous WiFi on all campuses - Offsite Data backup storage (As the strategy for disaster recovery plan) - Oracle Database Cloud based data backup solution (As the strategy for disaster recovery plan) - Migration email system to Office 365 - The Indoor WIFI installation (Student residents and Classrooms and other WSU facilities)	• WiFi installation on Hotspot areas • The process of building the offsite data backup storage stared • The implementation of the cloud-based data backup solution • Groupwise email system	• WiFi installation on Common areas • The process of building the offsite backup storage fully completed. • The implementation and deployment of the cloud-based data backup solution was 100% completed (IST is data backup is hosted on this cloud-based facility) • Groupwise email system • The Indoor WIFI installation (Student residents and Classrooms and other WSU facilities)	• WiFi presence 100% on all campuses • A fully functional offsite backup data center. • A fully functional cloud-based data backup solution for ITS • Email system fully migrated to Office 365 • 50% of indoor WIFI must be completed.

Description	2018 Actuals	2019 Actuals	2020 Target
- WSU website revamp - Replacement of old Network core switches (in order to reduce network downtimes)		• The process of revamping the university website was initiated • Replacement of old Network core switches	• A fully completed WSU revamped website. • Replacement of all old Network Core switches.
Technology infusion in T&L	**Technology:** WiseUp based on Blackboard platform **Usage:** Active Courses: 967 Active Instructors: 1 139	**Technology:** Blackboard Mobile App and Bb Collaborate are fully functional **Usage:** **Active Courses**: 1 779 **Active Instructors**: 1 122	**Technology:** Blackboard Analytics **Usage:** **Active Courses**: 4 792 (Actual) – 4684 (target) target exceeded because of new courses introduced in 2020 academic year. **Active Instructors**: 1 438 (actual) – target (4 684)
Number of e-resources available as unlimited access to staff and students through the library website /HelpDesk/ Digital Library.	e-books: 9 000+ e-journals: 122 000+ e-research tools: Workshop for staff and PG students on 'Turn-it-in' and 'Endnote': 10 platforms	e-books: 15 000 e-journals/e-articles: 190 000 e-research tools: Open access granted to staff and PG students on 'Turn-it-in'.: 15 platforms	e-books: 15 000 + Free E-Books/ E textbooks (Covid19 Publisher's treat) e-journals/ e-articles: 200 000 e-research tools: 15 platforms
Finance			
Build reserves	R44m	TBA	Achieve a surplus of 3% to 5% on the operating budget annually
Automation and utilisation of ERP	Key systems not optimally used and processes are manual	Key systems not optimally used and processes are manual	Implement and optimize the following modules: • Requisitioning • Financial aid • Invoicing

Description	2018 Actuals	2019 Actuals	2020 Target
Improve the liquidity of the University	Overdraft facility used	Overdraft facility not used in 2019 Working capital reserves of R200m	• No use of overdraft facility • Increase working capital reserves by R200m
Increasing throughput	-	Throughput rate 15%	Increase throughput and post graduate output by 5% pa
Improve third stream income	R30m	R20m	Increase third stream income by R10m
Tuition fees are set at levels that financially viable	Tuition fees increased by CPI	Tuition fees increased by CPI	Evaluate viability of programmes and propose adjustments to fees to a break-even position for all programmes
Residences achieve a break-even position at a minimum	Loss position on residences	Loss position on residences	Break even position by 2022
Limit the unsustainable increase in student debtors	Outstanding debt increased by R203m in 2019	Outstanding debt increased by R64m in 2019	Reduction of outstanding debt by +/-5% pa
Improve and optimize the NSFAS claims	-	1121 out of 23 280 students were incorrectly approved for funding by FAB	Students incorrectly approved for NSFAS funding to decrease by 10%
Achieve payroll spending ratios	Payroll costs 62.0% of recurring income	Payroll costs 62.8% of recurring income	Payroll costs within 58-62% of recurring income

4. BUDGET CONSIDERATIONS

The South African economy has performed poorly and the fiscal environment is therefore constrained. For historical and legacy reasons, the University operates from a very low financial base. To achieve financial viability, all departments have been requested to make a concerted effort to cut costs, improve cost efficiencies and exercise financial discipline. As with the prior year, a break-even budget has been prepared for 2020, but it is becoming increasingly difficult to maintain expenditure within revenue. Funding from government and tuition fees have been limited to inflation, while compensation and other costs have increased at a rate exceeding inflation.

In addition to living within our means in 2020, or aim is to ensure a positive cash flow in 2020 and to build suitable reserve to cover expenditure for the first three months in 2021.

A further target is to control the escalation of student debt and to improve our debt collection as compared to 2019.

4.1 ASSUMPTIONS IN PREPARING THE BUDGET

The Finance Division has modelled the likely scenario with regard to key revenue and cost variables as follows:

a. Subsidy income (the block grant allocation, based on 2018 data incorporating teaching input units, teaching output units, research output units representing 56% of total income, is expected to increase by only 5% on 2019 actual subsidy earned;
b. Tuition Fee income, representing 43% of total income, is estimated to remain at the same level as 2019. Although tuition fees are expected to increase by 5.4% (CPI) on 2019, this will be offset by the decrease of 4.3% in enrolments;
c. Other revenues, representing 1% of total income, are estimated to increase by 46%. The significant increase is due to the very low base from 2019;
d. Staffing costs, representing 64% of total costs, are estimated to increase by 6.4% (based on the 3-year deals negotiated with the union); and
e. Other specific operational costs, such as utilities and contracted services have been estimated to increase by between 5 and 6% (depending on the cost type).

Applying the above, and in order to achieve a break-even budget, require that other costs, such as general expenses and travel, need to remain at the same level as 2019.

The key assumptions in preparing this budget are:

a. CPI of 5.4%;
b. Agreed salary increase for 2020 (6.4%);
c. Tuition fee increase of 5.4% (CPI); and
d. Residence fees – overall fee increase of 7.4%.

4.2 THE BUDGET

The following table reflects the WSU budget for the 2020 financial year, split between council-controlled academic and administrative operations and student housing management operations.

	Council Controlled R'000	Residences R'000	Total R'000
Government grants - Council Controlled	997 918	-	997 918
Residence fees	-	660 287	660 287
Student Fees	764 020	-	764 020
Sundry income	25 000	-	25 000
Total revenue	**1 786 938**	**660 287**	**2 447 225**
Bad debts	107 264	6 681	113 945
Computer expenses	48 538	-	48 538
Hire: Leased residences	-	527 896	527 896
Employee expense - Academic	686 208	-	686 208
Employee expense - wages	451 879	33 382	485 261
Depreciation	33 920	-	33 920
General expenses	224 067	497	224 564
Research and innovation	17 488	-	17 488
Contracted services	115 224	26 083	141 308
Municipal charges	29 221	46 660	75 880
Capital expenditure	54 823	-	54 823
Repairs and maintenance	53 131	7 048	60 179
Travel - local	30 452	-	30 452
Total expenditure	**1 852 215**	**648 246**	**2 500 461**
Surplus including capital expenditure	**(65 277)**	**12 041**	**(53 236)**
Add back capital expenditure	54 823	-	54 823
Surplus excluding capital expenditure	**(10 454)**	**12 041**	**1 587**

The table below presents WSU's overall budget for 2020, indicating the percentage variance between 2019 forecast and 2020 budget.

	2019 Budget R'000	2019 Forecast R'000	Variance ('19 Budg - '19 Fore) R'000	2020 Budget R'000	Variance ('19 Fore to '20 Budg) R'000
Government grants - Council Controlled	954 822	954 822	0%	997 918	5%
Residence fees	452 355	613 822	36%	660 287	8%
Student Fees	735 158	765 486	4%	764 020	0%
Sundry income	20 966	17 145	(0)	25 000	46%
Total revenue	**2 163 301**	**2 351 275**	**9%**	**2 447 225**	**4%**
Bad debts	16 890	123 560	632%	113 945	-8%
Computer expenses	45 265	45 576	1%	48 538	6%
Hire: Leased residences	354 529	493 839	39%	527 896	7%
Employee expense - Academic	646 616	613 595	-5%	686 208	12%
Employee expense - wages	457 264	433 913	-5%	485 261	12%
Depreciation	24 000	32 000	33%	33 920	6%
General expenses	248 230	224 564	-10%	224 564	0%
Research and innovation	-	-	0%	17 488	0%
Contracted services	126 575	132 808	5%	141 308	6%
Municipal charges	67 156	71 993	7%	75 880	5%
Capital expenditure	79 100	51 720	-35%	54 823	6%
Repairs and maintenance	60 500	56 559	(0)	60 179	6%
Travel - local	27 271	30 452	0	30 452	-
Total expenditure	**2 153 395**	**2 310 579**	**7%**	**2 500 461**	**8%**
Surplus including capital expenditure	**9 906**	**40 696**		**(53 236)**	**-231%**
Add back capital expenditure	79 100	51 720		54 823	6%
Surplus excluding capital expenditure	**89 006**	**92 416**		**1 587**	**-98%**

The table below presents WSU budget projections for the next three years: 2020 through to 2022.

	2020 R'000	2021 R'000	2022 R'000
Revenue			
Government grants	997 918	1 047 813	1 100 204
Student Fees	764 020	805 277	848 762
Sundry income	25 000	35 000	49 000
	1 786 938	**1 888 091**	**1 997 966**
Expenditure			
Employee costs	1 138 087	1 209 786	1 286 003
Bad debts	107 264	96 537	86 884
Contracted services	115 224	122 484	130 200
Research and innovation	17 488	34 976	37 179
Repairs and maintenance	53 131	63 757	76 509
Other expenses	366 197	377 183	388 499
	1 797 392	1 904 724	2 005 274
Deficit	**(10 454)**	**(16 633)**	**(7 308)**
Employee costs as a % of income	**64%**	**64%**	**64%**

5. INSTITUTIONAL RISK REGISTER

Risk Num	Risk Description	Contributing Factors (Root Causes)	Residual Risk Rating	Risk Acceptability	Actions to further improve the management of the Risks (Mitigation Plan)	Risk Owner
1	Inadequate (Insufficient), inappropriate (Not appropriately designed) and poorly maintained infrastructure and equipment to support academic enterprise.	- Lack of Infrastructure and development strategy. - Insufficient maintenance staff, skills and capacity. - Inadequate/outdated equipment. - Insufficient infrastructure and maintenance budget.	16	Unacceptable	- Updating the maintenance plans that are adequately resourced. - Develop campus based maintenance plans. - Identify key positions for critical functions and outsource where required. - Develop the SOP on specialised equipment. (e.g. Medical faculty equipment) - To conduct Equipment and Laboratories Audit to ensure that they are Health and Safety compliant. - Develop ICT equipment standard and replacement policy.	Executive Director : Ops and ICT

Risk Num	Risk Description	Contributing Factors (Root Causes)	Residual Risk Rating	Risk Acceptability	Actions to further improve the management of the Risks (Mitigation Plan)	Risk Owner
2	Non-compliance with Occupational Health, Safety and Environment Act.	- Lack of supervisory reviews and monitoring with regards to Occupational Health, Safety and Environment (OHS&E). - Inadequate OHS&E resources. - Inadequate OHS&E Policy and SOP. - Inadequate servicing and maintenance of Health, Safety and Environment equipment.	20	Unacceptable	- Appointment of Institutional Health and Safety Personnel. - Develop OHS&E SOP and Institutional Incident and Accident register. - Legal Appointments of OHS&E personnel. - Workshop with Executive management on OHS&E. - Develop an SOP for all University locations to account for personnel in a buildings at a point in time. - Updating OHS&E policy	Executive Director : OPS & ICT
3	Shortage of appropriately-qualified academic staff.	- Lack of/Non implementation of a staff qualification enhancement strategy. - Rigid Recruitment strategy. - Historically, the minimum qualification requirements were lower. - Lack of ability to attract staff to our rural locations. - Lack of resources on training and development of staff. - Inadequate research infrastructure.	20	Unacceptable	- Develop a policy on academic qualification enhancement program. - Develop and Implement a plan to increase the number of staff with Master's and Doctorates qualifications through academic qualification enhancement program including research. - University to match the (Construction Education and Training Academy) CETA mandatory grant allocation.	Executive Director : Human Resources

Risk Num	Risk Description	Contributing Factors (Root Causes)	Residual Risk Rating	Risk Acceptability	Actions to further improve the management of the Risks (Mitigation Plan)	Risk Owner
		- Limited postgraduate programmes.				
4	Library-centred e-learning teaching methodologies not utilised.	- Lack of e-skilled staff - Inadequate developmental training - Staff not up to date with latest teaching and learning methodologies - Lack of e-learning resources - In ability to build a platform to take advantage of Fourth Industrial Revolution (4IR).	20	Unacceptable	- Update Learning and teaching technology strategy document. - Course outlines and lecture material made available on-line and aligned with e learning strategy. - Evaluate the current infrastructure to ensure that it supports e -learning. - Develop a strategy to identify opportunities that will allow WSU to full take advantage for 4IR.	DVC:AAR Senior Director : Teaching and Learning Senior Director: Library Deans
5	Non-accreditation of academic programmes.	- Non-compliance with prescribed regulatory bodies (DHET, CHE and SAQA) requirements. - Inadequately qualified academic staff. - Inadequate Teaching and Learning infrastructure.	20	Unacceptable	- Ensure that lecturer/course evaluations are conducted as per policy. - Reassess all academic programmes against HEQC Programme Criteria. - Address all internal and external related findings.	DVC AAR ED: Institutional Research and planning

Risk Num	Risk Description	Contributing Factors (Root Causes)	Residual Risk Rating	Risk Acceptability	Actions to further improve the management of the Risks (Mitigation Plan)	Risk Owner
6	Inadequate research environment and administration to accelerate research productivity and innovation.	- Inadequate research strategy and framework. - Researchers do not develop funding proposals to obtain research funding. - Lack of innovation culture. - Lack of adequate research qualification. - Inadequate research incentive system. - Research capacity development and innovation budget not in place.	12	Cautionary	- Complete the development of the research policy, framework and Strategy. - Staff supported to attain masters and doctoral qualification. - Increase the number of Post graduate supervisors and post graduate students exposed to special interventions in scholarly writing and thesis development.	DVC AAR Senior Director : Research and Innovation
7	Inadequate implementation of community engagement strategy.	- Academic programmes that do not infuse community engagement in their content. - Inadequate applied research.- No MoUs with relevant Municipalities and key strategic partners.- Non responsive curriculum.	10	Cautionary	- Curriculum development to include service learning. - Community linked research project per department.- Offer credit-bearing short course learning programmes in response to community needs. - Carry out needs assessments jointly with the municipalities.- Develop MoUs with all municipalities within which WSU is situated.	DVC : AAR, Director : Community Engagement and International Partnership, Deans

Risk Num	Risk Description	Contributing Factors (Root Causes)	Residual Risk Rating	Risk Acceptability	Actions to further improve the management of the Risks (Mitigation Plan)	Risk Owner
8	- Inadequate (Insufficient), inappropriate (Not appropriately designed) and poorly maintained residence infrastructure. - Inadequate Recreational facilities.	- Lack of Infrastructure and development strategy. - Insufficient maintenance staff, skills and capacity. - Insufficient infrastructure and maintenance budget. - Lack of budget for sporting activities. - Inadequate control of external residents.	16	Unacceptable	- Updating the maintenance plans that are adequately resourced. - Identify key positions for critical functions and outsource where required. - Develop Sports and Recreational funding strategy.	ED Ops & ICT
9	Inadequately defined organisational model.	- Divisional management model is not properly refined to eliminate inefficiencies through uniformity. - Inefficient business processes. - Legacy culture.	20	Unacceptable	- Refine divisional management model to enhance effectiveness and submit to council for approval. - Complete match and place process. - Develop a divisional Standard Operating Procedure (SOP) Manual. - Develop framework to embed institutional culture.	Executive Director : Human Resources

Risk Num	Risk Description	Contributing Factors (Root Causes)	Residual Risk Rating	Risk Acceptability	Actions to further improve the management of the Risks (Mitigation Plan)	Risk Owner
10	Insufficient sustainable financial resources	- Lack of qualified operational personnel - Inadequate staff development - Ineffective implementation of divisional model '- Lack of sustainable Cash Flow - Systematic risk (expectation of free education) - High level of historic debts. - Inadequate control systems to monitor inefficiencies and wastage (utilities and travel) - Low third stream income generation	13	Cautionary	- Remedial Action from Internal Audit and External Audit for 2019. - Revised organogram for Institutional Finance team. - Implement budgetary controls within ITS. - Dashboards for all Key Finance Areas.	Chief Financial Officer
11	Poor work ethic, low productivity and legacy culture.	- Absence of fully implemented performance management system. - Untransformed institutional culture relating to work ethic and productivity enhancement. - Insufficient management capacity. - Lack of employee	16	Unacceptable	- Develop and implement a Performance Management System (PMS). - Develop framework to embed institutional culture. - Establish wellness strategy for human capital.	Executive Director : Human Resources

Risk Num	Risk Description	Contributing Factors (Root Causes)	Residual Risk Rating	Risk Acceptability	Actions to further improve the management of the Risks (Mitigation Plan)	Risk Owner
		wellness management system.				
12	Inadequate data validation, retention and security (hard and soft copy).	- Lack of institutional central repository facility. - Inadequate adherence to document management policy. - Limited use of electronic data management systems. - Human error and lack of capacity. - Lack of adequate IT infrastructure. - Business processes not automated. - Business processes/ Standard Operating Procedures (SOP) not properly defined. - Weaknesses on internal control process.	20	Unacceptable	- Develop appropriate repository for electronic and physical storage. - Develop and establish an off site cloud back up system. - Identify/procure appropriate Electronic Document and Records Management System (EDRMS). - Develop approval of Access Policy/PAIA Manual - Training of staff on relevant systems and induct them thereof. - Follow up on Internal Audit findings and Implement corrective actions.	Registrar

Risk Num	Risk Description	Contributing Factors (Root Causes)	Residual Risk Rating	Risk Acceptability	Actions to further improve the management of the Risks (Mitigation Plan)	Risk Owner
13	Inadequate integration, transformation and brand management systems	- Protest culture dominates stakeholder interaction with Management - Legacy culture within delivery sites. - Alumni loyalty to legacy institutions dominate loyalty to merged institution. - Segmented conditions of employment. - Lack of communication. - High dependence on government funding.	8	Cautionary	- Implementation of the transformation policy - Update employee data base. - Develop a branding strategy implementation plan.	MCA