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INSTITUTIONAL PLAN:

2012 – 2016



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HOPE

PROJECT



UNIVERSITEIT-STELLENBOSCH-UNIVERSITY

HOPE PROJECT

Prof H Russel Botman will be serving as Rector and Vice-Chancellor of Stellenbosch University for a second term of office from 2012 – 2016.

EXECUTIVE SUMMARY

The Institutional Plan of the University is the result of an iterative process. It is anchored in the *Strategic Framework for the turn of the Century and beyond*, and has a normative as well as strategic dimension. In it is embedded the vision and mission of the University, and it also encapsulates the overarching goals of the HOPE Project. It also hinges on a number of clearly articulated and time-bound institutional goals. As such, it gives impetus to the goal of taking the University to a level where it will be both distinctly different and better to what it was before and, in so doing, gaining a strategic and sustainable position as one of the top comprehensive, research-focused universities in Africa.

The Institutional Plan first started as the Overarching Strategic Plan (OSP) in 2007 and is a manifestation of the vision that the then newly appointed rector, Prof H Russel Botman, articulated for the University. The OSP encapsulated the vision of the Rector for the University as a carrier of hope, and defined five major development themes as axis for leveraging the institution to a position where it will be both sustainably different and better to what it was before. This challenging and paradigm-shifting plan was a major tool to capture the attention and support of key external and internal stakeholders and continues to give impetus to the University's ongoing transformational journey.

Since 2007, as organisational learning has continued, the plan has been refined and enhanced, both in terms of steering organisational efficiency, effectiveness and quantum paradigmatic changes in terms of how the University views itself, its worldview, the perception of 'we' in terms of an expanded view of the external as well as internal stakeholders that should be viewed and treated as integral part of the University; and, the associated behaviour of the institution as it manifests in terms of research, teaching and learning, community interaction and the various services rendered by the various professional support environments of the University.

The Institutional Plan is based on a range of subordinate functional as well as environmental plans – all of which are aligned within the framework provided by the Institutional Plan. This integrated approach is achieved by means of a dynamic process whereby institutional goals and strategic foci are cascaded into the University, and to which the various university entities respond via their differentiated entity level plans and budgets, which are in turn aligned in the context of the overarching institutional plan.

Mindful of the potential gap between planning and implementation, ongoing measurement and evaluation are key to the successful implementation of the institutional plan. It is facilitated by means of a range of tailor-made strategic business indicators (SBIs), which allows for tracking of the performance of University entities and also provides sound information for the ongoing steering of the University.

The Institutional Plan is a dynamic plan and evolves in terms of a rolling time horizon, as well as in terms of ongoing changes in the strategic contours within which the University has to navigate.

Finally, the Institutional Plan also is a key instrument to ensure that the budget is in service of the preferred strategic future as envisaged for the University. As such, it provides a suitable framework for the optimal allocation and expenditure of scarce resources and, where needed, the leveraging of resources in such a manner that organisational boundaries are straddled in order to achieve accelerated and multiplier effects.

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I. Context

The University's Institutional Plan serves as the starting point of the perennial rolling plans of the respective University environments. These plans then roll up to and are incorporated in the Institutional Plan. As such, the Institutional Plan is a dynamic and 'living' document that is used as an instrument to ensure the success of the University in a rapidly changing environment in which change is the only constant factor.

The Institutional Plan represents the idea of *standing in the future and building the present from the future*. It therefore commences with a clear concept of the University and a vision of where the organisation should be heading. It then converts this vision into a range of interrelated strategic objectives (current for the period 2012–2016) that were developed concurrently in the University and of which University managers at various levels take co-ownership; and the stipulation of a number of key foci within which the achievement of the stated institutional objectives should be pursued. It then crafts the major strategic thrusts of the University via a number of key strategic foci and then, by employing cascading mechanisms and processes, provides for the operationalising of the chosen strategies as they manifest in the rolling plans of the various University entities. Finally, it caters for a number of feedback loops to evaluate performance, a review of situational factors and the initiating of institutional learning at the efficiency, effectiveness and paradigmatic levels (refer Appendix A and B).

As such, the Institutional Plan is aimed at building and managing a high-performing portfolio of faculties and value-contributing professional service units; capturing synergy among related programmes (research, teaching and learning, community interaction) and University entities, and leveraging it into a sustainable competitive advantage for the University; establishing and steering of resource allocation priorities; and reviewing of the plans proposed by deans and professional service unit managers (in terms of alignment as well as the extent to which they contribute to the achievement of the overarching strategic goals of the University).

It further also is important to note that the Institutional Plan is aimed at limiting to a minimum the large-scale fluctuations in the resource allocations to the respective University environments from year to year. Such fluctuations are undesirable for various strategic and operational reasons, and in this regard the Institutional Plan plays a very important role in ensuring the required perennial stability and systemic sustainability of the University.

2. Process overview of the Institutional Plan

The process of the initial establishment and subsequent annual revision (with a rolling time horizon) of the Institutional Plan starts with two formal planning events – the Summer and Winter Institutional Planning Forums. During these two planning occasions, there is incisive consideration, among others, of the nature and impact of the strategic contours within which the University must navigate strategically in the relevant perennial planning horizon; agreement is obtained on the specific strategic foci for the planning horizon; and the Vision and Mission of the University are again calibrated (which also implies that consideration is given to the continued relevance of the existing Vision and Mission, as well as to potential changes when necessary).

The outputs of the preceding processes are then embodied in the University's annual planning and budgeting processes, during which the respective University environments revise their perennial rolling plans and compile enabling budgets, with macro-indicators as point of departure. These plans and budgets are then presented to the respective faculties and non-academic centres of responsibility of the University. University Management focuses on achieving synergy between the respective environments in order to ensure the systemic sustainability of the University, both strategically and operationally. This necessitates, among others, a strategic exchange and balancing action between the plans of the respective University environments, which are also aimed at the servicing of the strategic objectives and strategies of the University through resource allocation by way of approved budgets – and strategic allocation of funds (*the budget in service of the University's strategy*).

The outcomes of the processes discussed briefly above provide Management with the necessary building blocks to compile and annually revise the Institutional Plan for the perennial planning period, given the rolling planning horizon.

3. Locus of the Institutional Plan

Responsibility for the Institutional Plan is located in the office of the Rector and Vice-Chancellor. As such, it conveys the correct message to the institution as a whole, in that it represents the highest level of integrated planning in the University and therefore requires the direct attention of the most senior executive leader of the institution. It is also indicative of the fact that the leadership for the efficiency, effectiveness as well as paradigmatic transformation of the University emanates from the Rector's office. The fact that the Institutional Plan is cascaded into the University from this office also provides a sound dynamic framework to ensure the optimal alignment of all other levels of planning within the framework provided by the Institutional Plan.

The office of the Rector and Vice-chancellor is also where the integration between the University's Institutional Plan and its overarching HOPE Project commences. This high-level integration process is of vital importance and ensures that the HOPE Project is not viewed and managed as a 'stand-alone' project, but rather as an integral component of the University's core functions.

4. The points of departure and strategic foci of the 2012–2016 Institutional Plan

The Institutional Plan is based on a number of points of departure, which include the following:

- It is anchored in the Vision and Mission as contained in the approved *Strategic Framework for the Turn of the Century and beyond*;
- It integrates the five development themes of the University's HOPE Project;
- It uses the set of approved strategic management indicators (SMIs) that have been in operation since 2006;
- It integrates the approved projects that were launched in the core functions of the University as part of the HOPE Project;
- It is based on a strategic portfolio approach, which necessitates a balance between the respective University environments in the portfolio.

Furthermore, given Management's 'reading' of the strategic contours within which the University has to navigate successfully during the planning period, the current Institutional Plan has the following specific strategic foci:

- *The knowledge base of the University's staff (particularly academic staff)*. Although this might sound like a cliché, it is a fact that the main element of the University's lasting competitive advantage is based on the expertise of its staff – as producers, conveyers and appliers of knowledge.
- *Diversity of both the staff and student corps*. The need to diversify both the staff and student corps (race and gender) is a self-evident strategic focus. In this regard, various interested parties post challenges to the University that are aimed particularly at the relevance and accessibility of the institution in service of the broader South African community.
- *Student success*. Although the University as a whole is very well positioned in terms of student success, it is extremely important that the gap between the success levels of the respective racial groups should be bridged.
- *Systemic sustainability*. It naturally is of fundamental importance to ensure the continued existence of the University. This requires very close attention being paid to accomplishing a systemic balance between University activities (research, teaching, community interaction and support activities), people (staff and students), facilities (including physical buildings and infrastructure, as well as technology – also the interaction with/impact on the natural environment), the encouraging of sustained innovation, and financial sustainability. In brief: the use of an appropriate balanced scorecard for the University.

5. Institutional objectives (2012 to 2016) with regard to the four strategic foci

The institutional objectives with regard to the different strategic foci are as follows¹:

- **Knowledge base**
 - Objective 1: Increase percentage of postgraduate students from 32% to 37% (aiming for 40%)
 - Objective 2: Increase postgraduate qualifications awarded to 1,5 per SLE
 - Recruit, establish, develop and retain scarce skills via the academic and enabling elements of the HOPE Project

- **Diversity**
 - Objective 1: Staff diversity: increase percentage of coloured, black and Indian permanent members of staff from 38% to 53%
 - Objective 2: Student diversity: increase percentage of coloured, black and Indian students from 24% to 33%
 - Increase the attractiveness of the University as a preferred choice for studies as well as a preferred employer, via the impact of the HOPE Project

- **Student success**
 - Objective 1: Increase undergraduate success rate from 82% to 85%
 - Objective 2: Retention rate of first-year students: 88%
 - Objective 3: Shorten completion time for Master's and doctoral students by 15%
 - Objective 4: Accommodation: 55% undergraduate and minimum of 7% postgraduate
 - Objective 5: 50% of EDP students accommodated in residences
 - Objective 5: Minimum of 60% undergraduate Afrikaans
 - Objective 6: Make a fundamental contribution to student success by way of the academic and enabling elements of the HOPE Project

- **Systemic sustainability**
 - Objective 1: Relative level of operating balances – as agreed
 - Objective 2: Totally integrated planning and budget approach
 - Objective 3: Create space in the budget
 - Objective 4: Make a fundamental contribution to the systemic sustainability of the University through the impact of the HOPE Project

¹ These objectives need final standardisation

6. The institutional strategies for achieving the institutional objectives

The strategies that are followed to be able to achieve the objectives (as described on page 8) are contained in the following table.

Table 1: Institutional objectives and strategies

Strategic Focus	Institutional Strategies ²
Knowledge base	<ul style="list-style-type: none"> • Implement integrated inter-generational staff plans for all University environments • Undertake directed strategic recruitment to attract and retain the best expertise • Focus on the career development of young academics (including postdocs) to ensure sufficient exposure, satisfactory knowledge transfer and optimal use of mentorships • Use the Doctoral Academy to increase the academic expertise level of the University even further • Reward achievement
Diversity	<p>Staff:</p> <ul style="list-style-type: none"> • Accelerated diversification among senior staff • Make provision for succession • Develop and implement Personal Development Plans for all permanent members of staff • Use existing remuneration strategies to acknowledge and remunerate scarcity • Develop a welcoming and inclusive institutional culture <p>Students:</p> <ul style="list-style-type: none"> • Implement enrolment planning to ensure the correct balance • Undertake directed recruitment to attract under-represented students • Ensure preferential residence placement for at-risk/under-represented students • Implement Language Plans in such a way that they promote diversity • Increase, up to within realistic limits, recruitment bursaries and levels of financial support for students • Place sustained emphasis on all aspects of campus safety
Student success	<ul style="list-style-type: none"> • Further development of the First-year Academy • Emphasise technologically mediated instruction • Ensure optimal utilisation of physical facilities (classrooms and other teaching and living-and-learning spaces) • Promote innovation in teaching and learning • Place greater emphasis on tutorships • Implement the commuter service and cluster approach • Financial support
Systemic sustainability	<ul style="list-style-type: none"> • Implement a full-cost approach • Maintenance, upgrading of facilities, and extensions in context of approved master plan • Monitor and integrate the sustainable footprint of HOPE Projects into the core functions of the University • Develop and implement integrated budget approach with regard to all income and expenditure • Ensure optimal use of balance funds • Identify and utilise achievable opportunities for greening the University • Ensure that the interaction between support services and academic environments is characterised by optimal value addition

² These institutional strategies are put into practice in the enabling strategic plans (at functional levels) in the portfolios of the three Vice-Rectors and the Executive Director: Operations and Finance respectively; and cascaded to the respective faculty plans of the respective deans

7. Cascading to the respective University environments

The strategic foci and associated institutional objectives provide the basis for and framework within which the respective University environments must adapt their perennial plans with the rolling time horizon, with a specific focus on 2012.

In this further rolling out of the planning process:

- o The respective faculties and non-academic centres of responsibility are then contracted to the institutional objectives in a differentiated manner;
- o Measurement and evaluation of each faculty's contribution to the achievement of the institutional objectives takes place via the related SBIs;
- o The planning by the University's environments took place in the context of the macro-indicators and from the point of departure that, as far as is practically possible, the action plans for 2012 should take place from the existing resource allocation to that specific environment.

A closer analysis of the environmental plans of the respective faculties, particularly in relation to their strategic positioning as well as in terms of the building blocks on which this was built, shows a number of interesting similarities. These similarities are not coincidental, but rather a direct function of the extent to which the respective faculties play into the four strategic foci of the University. At the same time, it also emphasises the unique context of each environment; and the environment-specific contributions that enable the University, as a comprehensive university, to gear up further to an institutional position of being permanently better and different (differentiated) in the group of HE institutions in Africa. The strategic positioning of the respective faculties is summarised cryptically in the following table. The various plans also provide for single, double and triple loop learning. In this manner the efficiency, effectiveness and appropriate paradigmatic transformational learning of the University is provided for in a dialectic manner.

Table 2: Institutional Plan 2012–2016: Strategic position of faculties

	Strategic positioning	Building blocks for achieving and maintaining unique strategic competitive advantage
AgriSciences	Leading agricultural faculty in Africa	<ul style="list-style-type: none"> • Only independent agricultural faculty in SA • Ties with industries and with Elsenburg College • Leading research in a number of niche areas • Ties with government • Ability to generate third stream income
Economic and Management Sciences	Accessibility and relevance of academic offering	<ul style="list-style-type: none"> • Accessibility (undergraduate) (parallel option) • Postgraduate: globally competitive in niche areas • Unique postgraduate programmes • Postgraduate success rates • Leading research in niche areas • Unique centres and institutes • Professionally accredited BAcc programme
Health Sciences	Global research leader in selected niche areas	<ul style="list-style-type: none"> • Unique nature of clinical training (Ukwanda) • Good ties with province • Centres of excellence • Preferred partner for medical research • Research excellence in chosen niche areas • Quality of staff • International stature and accreditation of medical training • Strong ties with communities

Military Science	Academic shaping of all SANDF officers	<ul style="list-style-type: none"> • Uniqueness – only faculty of military science in Africa • Emphasis on peace and security • Ties with SANDF • Association with SU • Relevance of programmes • Research expertise and research outputs in niche areas • Preferred access to SADEC security community • SIGLA • Academic success rates
Engineering	Measurably the best engineering faculty in South Africa and among the top 200 internationally	<ul style="list-style-type: none"> • Success and sustainability of the undergraduate growth plan, including student diversity expansion and a multilingual offering in all engineering programmes, while maintaining a 74% graduation of the original first year cohort • Successful strategic plan for research growth and post graduate expansion to 30% of the student corps • Quality and relevance of contract research and community interaction, supported by a third income stream that exceeds the faculty's allocation from student fees and state subsidy • Infrastructure expansion through substantial external funding, to support student and research growth strategies
Arts and Social Sciences	Best postgraduate component with regard to faculties in SA	<ul style="list-style-type: none"> • Quality of undergraduate students • Extensive and relevant postgraduate programme offering (M and D) • Graduate School and ADA that attract PhD students from Africa • Quality of postgraduate study supervision • Retention of postdoctoral fellows • Scope and impact/relevance of HOPE Projects (Cruise and DIMP) • Broadening diversity of senior staff
Science	Maintain and build on position of being listed in the top 500 science faculties (QS)	<ul style="list-style-type: none"> • NRF-rated staff • Qualification levels of staff • Number of diverse postgraduate students • Centres of excellence, institutes and SARCHI chairs • Undergraduate pass rate • World-class analytical and research facilities • Programme portfolio • Research outputs • Ability to generate third money stream income
Education	The leading academic education institution in Africa	<ul style="list-style-type: none"> • Investment in teaching practice to improve quality of teachers • Focus on teaching qualifications, with emphasis on re-accumulated BEd • Influence of researchers in teacher training in SA • Research driven • NRF ratings • Preferred destination for postgraduate training

Law	Set the standard in the country for training excellent legal students and promoting jurisprudence through relevant research outputs of a high quality	<ul style="list-style-type: none"> • Full-time young M and PhD students who focus on social justice and human rights • Alumni involvement • Retired academics as research fellows and mentors • Support for postgraduate studies • “Growing own timber” via postgraduate programmes • Professorial chairs
Theology	Highest academic quality in Christian Theology on the Continent	<ul style="list-style-type: none"> • Extension of staff capacity • Strategic local and international partnerships • Improved student success • Bursaries with a view to the promotion of diversity • Research development • Focus on both student and staff wellness • Relationships with more denominations

The aforementioned, along with the enabling plans of the support environments, represent elements that contribute to the institutional strategic portfolio of the University. Naturally, this necessitates a very careful balancing of the multitude of environmental strategies – tuned in to the institutional objectives and in the context of the four core foci of the University.

8. Implementation and regulation

This is obviously of key importance and necessitates an integrated approach and the full attention of all university managers. In this regard, the University pay attention to all the principle tasks of strategy implementation, as per Thompson and Strickland (1994: 217)³, namely:

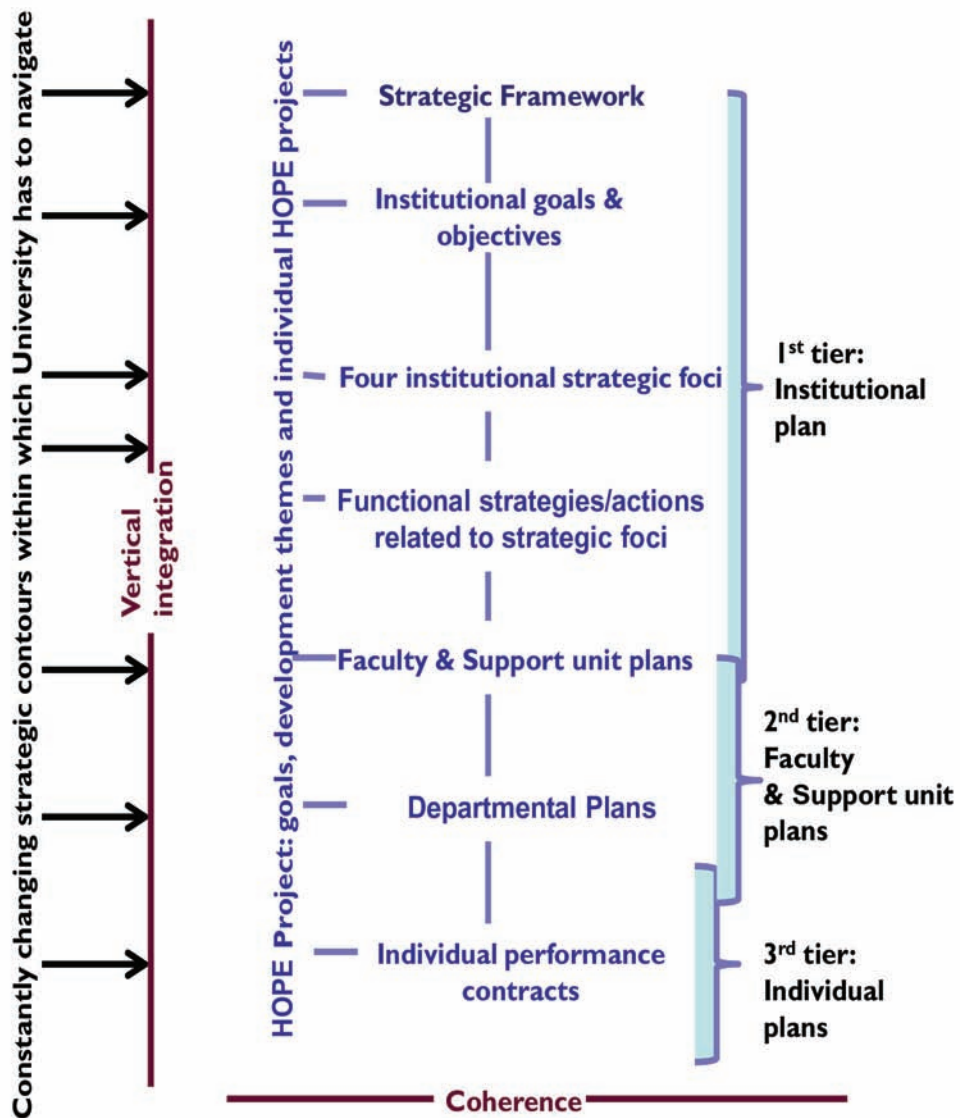
- Building an university capable of successful strategy execution;
- Exercising appropriate strategic leadership at all university levels;
- Continuously shaping the corporate culture to fit the strategy;
- Designing and implementing rewards and incentives that are tightly linked to performance objectives and strategy;
- Installing and aligning administrative support systems (policies, procedures, information systems and controls);
- Establishing a strategy-supportive budget.

Implementation takes place on different University levels:

- **Institutionally** by the Rector and his management team in relation to the implementation of overarching institutional strategies;
- **Per faculty/support service environment** in the context of approved environmental plans and budget apportionments;
- **Use of steering mechanisms**, such as the Strategic Fund, to calibrate the strategy further where necessary and to support its implementation;
- **Strict discipline and the use of standardised processes** to grant HOPE Project status to initiatives and to provide approved HOPE Project initiatives with development support. In this manner it is ensured that approved initiatives directly resonate in the core business of the respective University environments;
- **Continuous monitoring** via normal management mechanisms (regular management meetings, monthly reports where appropriate);
- **Formal measurement and evaluation of the performance of environments** (particularly with regard to faculties) by way of the University's set of approved strategic management indicators (SMIs);
- **Evaluation** of the extent to which service environments succeed in providing the necessary enabling services to line environments in both an appropriate and effective way, with corrections where necessary.

³ Thompson, A.A. & Strickland, A.J. *Strategic Management: Concepts and cases*, 7th ed. Homewood, IL, 1994.

Institutional Plan: Cascading, Coherence and integration



APPENDIX B

Strategic Management Indicators (SMIs)

Group	Indicator
Related to SU Vision	Per Vision element
Excellence	<ul style="list-style-type: none"> • Publication output (SU funded) • Expertise structure of staff • Number of evaluated CI staff • Success rate of undergraduate students • Postgraduate qualifications awarded
Scholarly and scientific practice/Africa focus	<ul style="list-style-type: none"> • Percentage postgraduate students from other African countries • Established partnerships in Africa
Role playing	<ul style="list-style-type: none"> • Innovation • Community interaction • Third money stream income
Diversity	<ul style="list-style-type: none"> • Diversity of instruction/research personnel • Diversity of postgraduate students • Diversity of first-time entering first-year students
Additional (external) indicators	<ul style="list-style-type: none"> • Utilisation of CI staff • Utilisation of CI staff (SU funded) • Relative operating (current) balance

