NORTH-WEST UNIVERSITY
YUNIBESITI YA BOKONE-BOPHIRIMA
NOORDWES-UNIVERSITEIT
INSTITUTIONAL OFFICE

Annual Performance Plan and Strategic Plan North-West University 2017

Approved by Council on 16 March 2017

Office of the Vice-Chancellor

Table of Contents

1   Foreword

The Council of North-West University approved a new strategy and structure for the university in November 2015. The strategy aimed to create a more unitary university transformed and committed to making a significant contribution to higher education in South Africa and further afield.

Our strategy statement sums up the essence of our strategy: We need "to transform and position the NWU as a unitary institution of superior academic excellence, with a commitment to social justice".

The best part of 2016 was spent in planning and executing a significant change to the structure of the university to enable the implementation of the new strategy. Much work has been completed and a significant milestone has been achieved. Council and the Minister have approved a change to the statute of the university to reflect the approved structure.

While our efforts will be focussed on completing the restructuring that commenced in 2016, we outline in our annual performance plan for 2017, our roadmap for implementation of some important initiatives derived from our strategy.

Prof Dan Kgwadi
Vice-Chancellor: North-West University
16 March 2017

2 Strategic overview

Ten years after its founding by the merger of the former University of North West and the Potchefstroom University for Christian Higher Education, and the incorporation of the Sebokeng campus of Vista University, a process commenced in July 2014 to formulate a revised strategy for the North-West University (NWU). The strategy formulation process was informed inter alia by an internationally led evaluation of the extent to which the merger objectives and the mission elements of the NWU had been met. The strategy has now been approved by Council and comprises the following elements:-

2.1 Strategy statement

To transform and to position the NWU as a unitary institution of superior academic excellence, with a commitment to social justice.

2.2 Identity of the NWU

The North-West University was established by merger and incorporation in 2004 as a unitary multi-campus institution, with a single set of policies, systems and standards, driven by a set of constitutionally based values, promoting unity in diversity, developing its own brand and identity, and a unique institutional culture based on the unity and value system of the university.

We recognise that our university has in its first ten years made great strides in becoming a balanced teaching-learning and research university. We continually strive to achieve greater social cohesion, inclusiveness, and diversity among students and staff. In the light of this, the North-West University adopts the following identity to direct its activities for the period 2015 to 2025:

Our dream

To be an internationally recognised university in Africa, distinguished for engaged scholarship, social responsiveness and an ethic of care.

Our purpose

To excel in innovative learning and teaching and cutting-edge research, thereby benefitting society through knowledge.

Our brand promise

To be: dynamic values-driven, excellent.

2.3 Values

NWU will foster engaged and caring staff and students and embed the following foundational values, based on the constitutional values of human dignity, equality and freedom:-

    Ethics in all endeavours
    Academic integrity
    Academic freedom and freedom of scientific research
    Responsibility, accountability, fairness and transparency
    Embracing diversity.

2.4   Success model

PREAMBLE: The following measures of ultimate external, internal and financial success, collectively, signify a commitment by the NWU

- To conduct its core business at a high standard and in a nationally responsive and accountable manner
- To function as a unitary, integrated multi-campus university that will enable equity, redress, alignment and globally competitive teaching and research across all NWU campuses as defined in the success measures contained in the success model below

The university further commits to employ strategies and transformational practices and processes that will be:

- aimed at achieving sustainable competitive advantage
- responsible and risk-embracing in design and implementation
- intelligence-informed
- credible
- optimally-participative
- leadership-driven and collectively-owned.

INTERNAL SUCCESS MODEL

1. High quality teaching and learning: reflected in external peer reviews, student satisfaction, employer feedback, employability of work-seeking graduates employed/self-employed within 6 months in top 10% in Higher Education in South Africa. Generic set of appropriate national comparative indicators to be developed (and which are now reflected in the annual performance plan).

2. Research and innovation intensity: notable international profile and impact, ranked in top 5 in SA, ranked in top 500 globally

3. Community engagement: integrated into teaching and learning and research, aligned to community needs, participatory and partnerships, mutually beneficial, sustainable, developing culture of active citizenship and environmental stewardship, established and well-functioning campus structures involved in directly surrounding communities. Community engagement measure >80%

4. Clearly differentiating student value proposition: quality of core business, equity of access (with the redress of the past having been achieved), sense of belonging, empowering and supportive learning experience, seamless learning and teaching, functional multi-lingualism (that promotes equity of access, academic performance, student growth and employability), diverse and integrated student life, employability, responsible, active and caring citizens, knowledgeable to be leaders in developing our country and continent, aligned programme offerings that are locally and regionally relevant and internationally competitive, value for money. Value proposition measure >80%

5. <u>Size and shape</u> i.e. proportion of undergraduate/ postgraduate students, national/international students, proportions of major fields of study, contact and distance, proportion of students in residences, academic programme niches: national imperatives aligned/driven, employment creating in local contexts, maximum utilisation of assets/resources, growth-oriented, market demand linked, competitive, cost effective, appropriate and access-enhancing, availability of programme offerings on campuses, optimum teaching and research balance. Size and shape measure >80%

6. <u>People profile</u> (staff and students in every mode of delivery): must take cognisance of the principle that South African universities must be broadly representative of the population, with provision for measures to address the imbalances of the past. International students 15%

7. <u>Employer</u> of choice in Higher Education in South Africa for well-qualified staff and globally acknowledged academic staff and other knowledge workers, high staff retention >90%, local/international employment mix for academic staff (85:15). Employment market survey results in top 10% in Higher Education

8. <u>Academics</u> with an open mind-set (nationally and internationally), critical in thinking, respectful of the right to freedom of expression, commitment to and respect for the full scope of diversity, scholarship, commitment to students, active citizenry, good work-ethic, >70% PhD's, high-performance individuals (wholeness, results-centred, appropriate conduct, enthusiastic, team-oriented, relationship competent, personal leader, self-developing, effective follower, creative, change mind-set) >80%, Academic staff productivity (teaching and learning, and research) in top 25% of global benchmark

9. <u>Support staff</u>: critical in thinking, freedom of expression, commitment to and respect for full scope of diversity, commitment to students, active citizenry, high-performance individuals (wholeness, results-centred, appropriate conduct, enthusiastic, team-oriented, relationship competent, personal leader, self-developing, effective follower, creative, change mind-set) >80%

10. <u>Leadership and leaders</u>: participative, distributed, inclusive, communicative, decision-competent, effective managers, results-driven, accept personal responsibility <u>and</u> joint accountability, transformative outlook (personally and external contexts), innovative, coaching, leading commitment to diversity >80%

11. Fully engaged and satisfied <u>people</u>: engagement survey results exceeding global benchmarks, climate survey results consistent at desired levels >80%

12. Organisational <u>culture</u> enabled by leaders through policies, implementation strategies and deliberate actions. Culture evidenced by behaviours congruent with ethics, trust, care, value-based collective identity, integration, inclusiveness, participation, collaboration, innovation, valuing of academic freedom, learning, dedication to the core business, discipline, high-performance, joint and individual accountability, delivery of results, open and transparent communication, robust engagement, teamwork at leadership level, valuing of diversity, transformational: Culture measure >80%

13. Core people <u>practices</u> at competitive edge-creating level: talent management, performance development, people development (including leadership, self-leadership, change capacity, coaching and mentoring), differentiating employee value proposition, staff reward and recognition: in top 25% of

International benchmark in Higher Education. South African Board for People Practices (SABPP) and employee measure > 80%

14. Effective organisational <u>structure</u> and <u>management model in context of a geographically dispersed multi-campus university</u>: unitary university-based, discipline strengthening and performance-enabling, promoting and enabling interdisciplinary collaboration, integrated functioning inter and intra-campuses, optimally lean and flat, role clarity, rapid decision-making with delegated authority at appropriate levels, promoting effective communication, utility (easy external interface and internal work execution), fair and equitable asset and resource distribution throughout, efficient and value-contributing support services, cost effective, organisational sustainability. External expert assessment and internal measure >80%

15. <u>Environmental</u> practices and processes: promoting sustainability, best-practices practiced, Year on Year (YoY exceeding industry standard) reduction of carbon footprint, (YoY exceeding industry standard) reduction electricity and water usage, recycling effective, a culture of environmental stewardship in evidence amongst staff and students, integrated planned investments in green practices and infrastructure, green university in evidence, integration of principles of environmental sustainability in the curriculum: Environmental scorecard >80%

16. Governance, Risk, Compliance: Compliant with general and Higher Education sector specific legislation, all regulatory rules and procedures, and Institutional policies (100%)

17. Best-in-class <u>Information and Communications Technology</u>: enabling seamless, virtual, open and integrated teaching and learning capability and experience, as well as research delivery and communication, access to rich data sets, reliability and availability exceeding world-class benchmarks, architecture supporting multi-campus real-time teaching, bespoke <u>and</u> integrated systems and solutions at discipline level, optimum level of standardisation, at the edge of new developments and breakthroughs, cost effective and efficient systems (equipment, networks, solutions), strategic advantage <u>and</u> transactional excellence, best and balanced use of all media, speed and integration focus, user-focus i.e. user-friendly interfaces and user-competence developed, leveraged to reduce support service transaction cost (incl. optimally paperless) <u>whilst</u> improving service quality to staff and students including response and turnaround times, user satisfaction index. ICT measurement to foregoing criteria >80%

18. <u>Institutional Research and Business Intelligence</u>: strategic intelligence accessible for scenario development, trend analysis, strategic decision-making and integrated planning and reporting, best-in-class analytics incl. intelligent systems capability, real-time reporting enabled, accurate and reliable information, integrated and single data set, qualitative analysis enabled, webometrics position in top 1400 globally and top 5 in South Africa.

19. <u>Communications infrastructure and capability</u>: brand equity developing, enabling of effective leader communication, strategic, leading-edge channels, appropriate content, media risk and opportunity constantly managed, integrated, optimally-participative, executive leadership-owned. Higher Education survey performance in top 5. Internal measure >80%

FINANCIAL SUCCESS MODEL

1. Turnover mix (% of recurrent turnover)
    a. Subsidies (35%)
    b. Student fees (28.5%)
    c. Student accommodation and Food services (7.5%)
    d. Entrepreneurial (13%)
    e. Endowments and Donors (1.8%)
    f. State subsidised research (7%)
    g. Short courses (3%)
    h. Investment income (4.2%)

2. Growth in Turnover > 1,5% YoY real terms

3. Profitability/Reserves
    a. Net surplus on recurrent activities (5.2%)
    b. Student accommodation (full cost recovery and including provision for macro maintenance) (15%)
    c. Food services (full cost recovery) (15%)
    d. Short courses (after full cost recovery, which includes 20% indirect cost recovery for venues, use of equipment, library, systems, etc.) (20% net surplus)
    e. Entrepreneurial (after full cost recovery, which includes 20% indirect cost recovery for venues, use of equipment, library, systems, etc.) (10% net surplus)

4. Costs (% of recurrent turnover)
    a. Employees (49.5%)
    b. Operational (40%)
    c. Finance charges (1,3%)
    d. Depreciation (4%)

5. Balance sheet
    a. Gearing ratio (non-recurrent liabilities : equity) 19,7%
    b. Solvency (total liabilities : total assets) 30.5%
    c. Equity (available : total) 11.5%
    d. Return on Capital Employed (net current surplus : net assets) 7.5%

EXTERNAL SUCCESS MODEL

1. <u>Public sector reputation:</u> Collaborative university, preferred partner for public projects, national imperative aligned, clearly distinguished role in national development projects, national debate and policy/regulatory influencer, public opinion shaping, responsive and accountable, valued national-regional-local asset, prime example of true transformation and nation building, value for money, ranked in top 5 in SA

2. <u>Professional and Statutory bodies reputation</u> (e.g. Health Professions Council of South Africa (HPCSA), South African Institute of Chartered Accountants (SAICA), South African Institute of Professional Accountants (SAIPA), Chartered Institute of Management Accountants (CIMA), Engineering Council of South Africa (ECSA), South African Nursing Council (SANC), association of MBAs (AMBA), Law Society of South Africa (LSSA), General Council of the Bar of South Africa, National Health Research Ethics Council (NHREC)): Unconditional accreditations (100%), standard-setting, leading contributor, preferential bursaries, beyond compliance (see Financial Success Model and Audits)

3. <u>HE Professional bodies and Councils</u> (e.g. Higher Education South Africa (HESA), Council on Higher Education (CHE), South African Qualifications Authority (SAQA), National Research Foundation (NRF), Human Sciences Research Council (HSRC), Medical Research Council (MRC), Agricultural Research Council (ARC)): Unconditional accreditations (100%), standard-setting, leading contributor, preferential funding, research collaboration, beyond compliance (see Financial Success Model and Audits)

4. <u>Private sector</u> (South Africa and Sub Saharan Africa)

   a. Reputation: Preferred partner in contract research in selected areas, graduate professional development, life-long learning (short courses). Entrepreneurial, innovative, well-established and best-practice processes (licensing, patenting, collaborative platforms), ethical in sourcing income, high-performing graduates

   b. Post-graduate bursaries sponsored by private sector > 40% of total post-graduate bursaries

   c. Consistent growth in ventures and licensing agreements > 15% YoY

   d. Mature, dynamic and influential Joint Ventures in all relevant disciplines as well as in all development clusters

   e. National platforms hosted in all core strategic research/innovation areas

5. <u>Communities</u> (local and within chosen sphere of influence):

   a. Reputation: caring, diverse, catering for the disabled, local community change instrument, involved, developmental, learning with communities, valued and responsive partner, leading contributor to social justice,

b. Integrated with the third sector, Non-Governmental Organisations and community structures

c. Significant and growing footprint

6. Effective relationships with key stakeholder individuals (public sector, professional and statutory bodies, unions, media, community,, industry players/competitors): Ethical, professional, dispute/audit resolution, flagship reputation

7. <u>Student Market</u> (parents, prospective students, schools)

   a. University of choice reputation based on: quality education, employability-creating qualifications, value-laden environment, diverse cultural experience, rich/diverse learning experience, social integration, full demographic access across school quintiles, healthy student life, caring residence environment, affordability, safety > 90%

   b. Preferred relationship status at dynamic set of core feeder schools

8. <u>Higher Education Sector reputation</u> (International and National):
   a. Globally renowned for rated researchers worthy of attracting top scholars
   b. Recognised as a leading contributor to the African knowledge society
   c. The most responsive university to national imperatives in the South African HE Sector
9. <u>Alumni, Donors, Convocation</u>

   a. Reputation: Brand promise congruent, proud to be associated with university, special and sustainable relationships with alumni and donors, strategic interfaces with alumni and donors, communicative and engaging

   b. Willingness to send children to NWU

   c. Consistent growth in endowments and donations

10. <u>Strategic Business Relationships</u> (key suppliers, core business partners, Public Private Partnerships, technology, local suppliers): Market-focused, edge-creating, developmental, risk-appetite enhancing, sustainable, ethical, beyond Black Economic Empowerment compliant, income-generating

11. <u>Union relationships</u>: fully engaged participants in the future of NWU based on a formal, dynamic compact delivering results, harmonious, co-operative and honest relationships

12. <u>Media relationships</u>:

   a. <u>Radio, television and print</u>: Constructive engagement, reputation enhancing, balanced and accurate reporting, willingness to publish good news, balanced coverage of range of activities, pro-active engagement before reporting, NWU opinion leaders prominent

b. <u>Social and online media</u>: active presence and engagement, database enriching and intelligence generating, reputation enhancing, integrated with marketing communications, integrated with research

<u>NOTE ON MEASURES AND METRICS</u>: Where measures and metrics have not been allocated to success measures these will be developed during the further strategy participation and institutional planning process.

2.5 Competitive strategy

The competitive strategy of the NWU will be to further strengthen and/or develop the following market differentiators:

1. Learning and teaching flagship programmes
2. Research and innovation flagship programmes
3. Technology
   3.1. e-learning: technology supported multi-modal teaching and learning (including ODL)
   3.2. e-research
   3.3. e-business
4. NWU Brand enabled by marketing and communication, internationalisation, Vice-Chancellor as prominent brand ambassador, all staff in particular NWU leaders and leading academics, prominent alumni
5. Multi-campus value proposition

2.6 Strategic agenda

The strategic agenda for the NWU executive team is as follows:

1. Academic talent management
2. Learning and teaching innovation
3. Research and innovation acceleration
4. Financial viability improvement interventions
5. Field of study mix migration to SET and Commerce
6. ICT planning, investment, deployment and utilisation
7. Student access, retention and success advancement
8. Community integration, relevance and impact
9. Transformation acceleration
10. Institutional culture re-design and development – leadership, staff and students
11. Organisation structure and operating model re-design

2.7 Market direction decisions

Decision 1: Grow student enrolment by > 1,5% year on year, with a priority on Science, Engineering and Technology (SET) and Commerce at each site whilst realising the significant opportunity for growth at Vanderbijlpark.

Decision 2: While realising growth in all fields of study, change the **contact** FTE mix in the fields of study through aggressive growth in SET, significant growth in Commerce and moderate growth in Humanities

(including Education). This will change the ultimate contact FTE mix to SET 35% (from 32%, DHET expectation 30%), Humanities 35% (from 40,3%. DHET expectation 40%), Commerce 30% (from 27,4%, DHET expectation 30%).

Decision 3: Increase research and innovation intensity whilst simultaneously investing in innovative teaching and learning practices. This ultimately will direct the NWU from a balanced teaching learning and research university, towards an innovation and creativity-led university in all its core functions of research, teaching and learning with an increased postgraduate market focus.

Decision 4: Maintain the current campuses and centres and grow virtual access through investment in innovative teaching and learning.

Decision 5: Accelerate the rapid re-positioning of distance learning to reflect Decision 2 above with full undergraduate qualifications as well as to reflect decision 1 above. Integrate ODL programmes into faculties.

2.8 Student equity targets

The following student equity targets have been approved until 2025 by Council and will be rolled out in terms of the periodic enrolment plan submitted to the Department of Higher Education and Training:-

Contact	2015			2020			2025		
	MC	PC	VTC	MC	PC	VTC	MC	PC	VTC
African	96.7%	21.8%	76%	95%	30%	77.2%	93%	44%	81%
Coloured	0.9%	4.9%	1.4%	1%	7%	1.4%	1%	5.6%	1.4%
Indian	0.5%	1.5%	1.8%	0.6%	2%	1.4%	0.6%	1.4%	2%
White	1.8%	71.7%	20.6%	3.4%	61%	20%	5.4%	49%	15.6%

Distance	African	Coloured	Indian	White
2020	70%	3%	3%	24%
2025	71%	5%	7%	17%

2.9 Long term goals

Goal 1: Promote excellent learning and teaching and reposition the NWU to attain the size and shape required by the market direction decisions.

Goal 2: Intensify research and innovation.

Goal 3: Integrate and align community engagement with core activities (teaching and learning and research) and promote sustainability principles.

Goal 4: Develop a clearly differentiated student value proposition.

Goal 5: Develop and retain excellent staff and create an equitable staff and student profile.

Goal 6: Govern, lead and manage in a sustainable and transformed way with an effective operating model.

Goal 7: Develop best in class information and communications technology to support the core business.

Goal 8: Communicate, engage and develop core business capability to increase brand equity, leadership efficacy, and community solidarity.

Goal 9: Ensure the financial sustainability of the NWU.

3   Updated situational analysis

Strategic assumptions refer to key trends, developments, anticipated significant events, important current realities that will continue or may intensify, as well as anticipated risks and opportunities that are likely to impact the University in the short-, medium- and long-term.

3.1   Performance environment

The following is a summary of the strategic assumptions and illustrates the extremely challenging and in certain respects, the hostile environment facing NWU over the next ten years (these assumptions were developed afresh as part of the development of a new strategy for the NWU and have been updated where necessary):

Market size and growth	Undergraduate, postgraduate and international student demand growth	🟩
Customer segments	Dominated by lower socio-economic status	🟥
	More distance education likely	🟩
	Differentiation between vocational/technical	🟨
	Disabled increasingly important	🟨
Customer value expectations	Well-known student expectations continue	🟩
	Technology/blended learning expectations increasingly important	🟩
	Parent/sponsor expectations remain – high standards, traditions	🟨
	Government emphasis on access, success, transformation, employability, scarce skills production	🟨
	Business/Industry focus on work-readiness, partnerships	🟩
Teaching and learning	System expansion	🟩
	Funding limitations	🟥
	Tighter regulation	🟥
	Expansion of OER/MOOCs	🟩
Research and Innovation	High competitive intensity	🟥
	Internationalisation	🟩
	Favourable policy framework but bureaucratic and increasingly corrupt	🟨
	Migration from existing resource and service markets to knowledge economy	🟩
Competition	Global, increasingly intense, war for talent	🟥
	Reputation based on rankings, NDP support, transformation	🟨

The full set of common strategic assumptions are attached hereto as Annexure A.

4 Legislative mandates

Name of legislative act or policy	Key responsibilities placed on NWU
The Constitution of South Africa (1996)	The constitution enjoins the NWU to promote and protect the constitutional rights of members of the NWU and those with whom we deal.
Higher Education Act (101 of 1997)	The act regulates the establishment of universities and provides for how governance and management structures and offices are established. It also provides for the relationship with the Ministry. Numerous policy matters are determined in terms of the Act which directly affects how the NWU is governed and managed.
Statute of the North-West University (2005)	The statute describes the structure and functions of the NWU.
Universities Act, 1955, the Joint Statute and Joint Regulations	This legacy legislation still governs issues of the recognition of prior formal learning and matriculation exemption in respect of candidates obtaining non- NSC school leaving certificates.
South African Qualifications Act (58 of 1995)	This act regulates the National Qualifications Framework and the Higher Education Qualifications Sub Framework.
Protection of Personal Information Act (4 of 2013)	The act aims to protect personal information when the NWU collects, processes, stores and shares personal information. NWU will be held accountable in the event of the abuse or the compromise of personal information.
Consumer Protection Act (68 of 2008)	This act promotes the protection of consumers' rights and places obligations on the NWU to respect consumers' rights.
Promotion of Administrative Justice Act (3 of 2000)	This act places an obligation on the NWU to give effect to the right that administrative action must be lawful, procedurally fair and reasonable and that written reasons must be provided for administrative action as contemplated in section 33 of the Constitution.
Promotion of Access to Information Act (2 of 2000)	To give effect to the constitutional right of access to any information held by the NWU that is required for the exercise or protection of any rights; and to provide for matters connected therewith. The NWU is accountable to provide access to the information held by us, according to the prescriptions of the act.
Labour Relations Act (66 of 1995)	This Act governs labour relations and was enacted - · to give effect to section 27 of the Constitution; · to regulate the organisational rights of trade unions; · to promote and facilitate collective bargaining at the workplace and at sectorial level; · to regulate the right to strike and the recourse to lockout in conformity with the Constitution; · to promote employee participation in decision-making through the establishment of workplace forums; · to provide simple procedures for the resolution of labour disputes through statutory conciliation, mediation and arbitration (for which purpose the Commission for Conciliation, · Mediation and Arbitration is established), and through independent alternative dispute resolution services accredited for that purpose; · to establish the Labour Court and Labour Appeal Court as superior courts, with exclusive jurisdiction to decide matters arising from the Act; · to provide for a simplified procedure for the registration of trade unions and employers' organisations, and to provide for their regulation to ensure democratic practices and proper financial control; · to give effect to the public international law obligations of the Republic relating to labour relations; · to amend and repeal certain laws relating to labour relations; and · to provide for incidental matters

Name of legislative act or policy	Key responsibilities placed on NWU
Patents Act (57 of 1978)	This act regulates the registration, protection and enforcement of the university's registered patents.
Trade Marks Act (194 of 1993)	To provide for the registration of trade marks, certification of trademarks and collective trademarks; and to provide for incidental matters. It also regulates the protection of the university's registered trademarks.
Copyright Act (98 of 1978)	To regulate copyright and to provide for matters incidental thereto. This act gives the owner of a copyrighted work the exclusive right to perform certain specified acts in respect of his work, or to authorise others to do so, and therefore the right to prevent unauthorised persons from performing those acts.
National Student Financial Aid Scheme Act (56 of 1999)	Provides for the granting of loans and bursaries to eligible students at universities as well as for the administration of such loans and bursaries.
	To establish the National Student Financial Aid Scheme (NSFAS); to provide for the management, governance and administration of the NSFAS; to provide for the granting of loans and bursaries to eligible students at public higher education institutions and for the administration of such loans and bursaries; to provide for the recovery of loans; to provide for the repeal of the Provision of Special Funds for Tertiary Education and Training Act, 1993; and to provide for matters connected therewith.
Skills Development Act (97 of 1998)	Provides for the creation of a National Skills Agency, establishment of the Quality Council for Trade and Occupation and regulation of apprenticeships and learnerships and matters related to skills development.
	This Act was passed in order to develop and improve the skills of people in the workplace. The Act does the following:
	provides a framework for the development of skills of people at work
	builds these development plans/strategies into the National Qualifications Framework
	provides for learnerships that lead to recognised occupational qualifications
	provides for the financing of skills development by means of a levy-grant scheme and a National Skills Fund
Skills Development Levies Act (9 of 1999)	Payment for progressive and continuous skills development of staff.
National Research Foundation Act (23 of 1998)	To provide for the promotion of research, both basic and applied, and the extension and transfer of knowledge in the various fields of science and technology and indigenous technology; and for this purpose to provide for the establishment of a National Research Foundation; and to provide for incidental matters
Employment Equity Act (55 of 1998)	Employers are required by law to submit statutory employment equity reports; compile and implement an employment equity plan; conduct employment equity and diversity awareness training, compile workforce profiles which are representative of designated employees (Africans, Indians, Coloureds, White Women and People with Disabilities) amongst the economically active population.
Basic Conditions of Employment Act (75 of 1997)	To give effect to the right to fair labour practices referred to in section 23(1) of the Constitution by establishing and making provision for the regulation of basic conditions of employment; and thereby to comply with the obligations of the Republic as a member state of the International Labour Organisation; and to provide for matters connected therewith
Compensation for Occupational Injuries and diseases Act (130 of 1993)	To provide for compensation for disablement caused by occupational injuries or diseases sustained or contracted by employees in the course of their employment, or for death resulting from such injuries or diseases; and to provide for matters connected therewith
Occupational Health and Safety Act (85 of 1993)	The Occupational Health and Safety Act aims to provide for the health and safety of persons at work and for the health and safety of persons in connection with the activities of persons at work and to establish an advisory council for occupational health and safety

Name of legislative act or policy	Key responsibilities placed on NWU
National Health Act (61 of 2003)	The Act aims to ensure access to equal health services by establishing a national health system governing both public and private health services. The rights and duties of health practitioners are set out, and the right of children to basic nutrition and health care are protected, as well as the rights of vulnerable groups (e.g. women, older persons, and people with disabilities).

5   Annual Performance Plan and Key performance indicators 2017

5.1   Annual Performance Plan 2017

The annual performance plan is based on the strategy outlined above. The minimum data required in terms of the reporting regulations are included as Table 1:-

No	Goals and objectives	Weight	Sub-objectives	2017 Objective	2017 %	2017 Mid-year Objective	Lead KPI	Lag KPI	5-year target (2020)	10-year target (2025)	Champion	Team
1	Goal 1: Promote excellent learning and teaching and reposition the NWU to attain the size and shape required by the market direction decisions. (Weight: 20%)											
1.1	Implement comprehensive project for transformation of teaching and learning	3	1.1.1	Scientific analysis of the transformation of TL including aspects such as decolonization, and curriculum transformation etc.			Framework for Curriculum Transformation (as part of TL Strategy Implementation)		Completed project for transformation of teaching and learning; and successful implementation of TL strategy and plan.	Revised TL strategy, policy and plan fully implemented.	DVCTL	DEANS; Snr DIRCTL
			1.1.2	I) Formal approval of integrated teaching and learning and assessment policy by Council in Sept 2017. ii) Approval of glossary of teaching-learning related terms at ICTL meeting of Sept 2017 - as working document		Mapping process to determine gaps in existing TL-related NWU policies and requirements for 5 life-cycles of the Transformation of TL project completed and teams identified to develop guidelines for the concerned section of the TL policy	1) Integrated teaching and learning and assessment policy; 2) Comprehensive glossary of teaching-learning related terms.		i) Updated teaching and learning and assessment policy; ii) Up-to-date glossary of TL related terms	i) Updated teaching and learning and assessment policy; ii) Up-to-date glossary of TL related terms	DVCTL	DEANS; Snr DIRCTL
			1.1.3	Develop draft teaching and learning plan to support achievement of TL Strategy. Submit to ICTL meeting in September 2017		Mapping process to determine gaps in existing TL-related NWU policies and requirements for 5 life-cycles of the Transformation of TL project completed and teams identified to develop guidelines for the concerned section of the TL Plan	Draft teaching and learning plan		Approved, implemented, monitored and updated TL Plan	Approved, implemented, monitored and updated TL Plan	DVCTL	DEANS; Snr DIRCTL
			1.1.4	Align University Capacity Development Plan (UCDP) with priorities in TL strategy and plan.			UCDP approved by DHET	DHET approval of annual UCDP progress reports	Successful implementation of the UCDP	Successful implementation of the UCDP	DVCTL	DEANS; Snr DIRCTL
1.2	Ensure consistent external compliance and internal alignment of a sustainable NWU qualification and	2,5	1.2.1	Complete the process of curriculum mapping of programmes linked to HEQSF-aligned Category B qualifications to ensure			i) Curriculum mapping system active and module outcomes builder in place to achieve the set objective;	HEQSF-aligned NWU Programme and Qualification Mix (PQM) as reflected in 2018 faculty yearbooks	A responsive, externally compliant and fully aligned NWU qualification and academic	A responsive, externally compliant and fully aligned NWU qualification and academic	REG	DEANS; Manager Q&APP

No	Goals and objectives	Weight	Sub-objectives	2017 Objective	2017 %	2017 Mid-year Objective	Lead KPI	Lag KPI	5-year target (2020)	10-year target (2025)	Champion	Team
	academic programme offering.			external compliance and internal programme alignment as per project schedule.			ii) ICAS online system in Kuali in testing phase with a view to assist with ICAS approval process.		programme offering, and effective mechanisms are in place to ensure ongoing alignment and sustainable quality.	programme offering, and effective mechanisms are in place to ensure ongoing alignment and sustainable quality.		
			1.2.2	Develop and include the principles and responsibilities for qualification and academic programme planning, development and management in revised integrated TL and Assessment policy (cf. 1.1.2).			Revised Policy for TL and Assessment with clear delineation of principles, roles and responsibilities for qualification and academic programme planning, development and management	Systems and processes for the approval of qualifications and programmes function consistently and effectively.	Well maintained and responsive NWU Programme and Qualification Mix, with effective system for qualification and programme planning, management and review	Well maintained and responsive NWU Programme and Qualification Mix, with effective system for qualification and programme planning, management and review	REG	DEANS; Manager Q&APP
1.3	Implement coherent enrolment planning model.	2	1.3.1	Senate approval of plan for aligned enrolment plan, implementing NWU size and shape decisions as reflected in NWU strategy 2015 to 2025.			Strategy in place to align enrolment plan with size and shape indicators in NWU Strategy 2015 to 2025.	Enrolment targets achieved on annual basis within 2% range	Revised enrolment plan that achieves size and shape indicators by 2024.	Achieved size and shape indicators as per NWU Strategy 2015 to 2025.	DVCIPR	DVCTL; DEANS; HEADMIS
1.4	Provide an effective model, policies and structures for the provision of continuing education (CE) programmes.	3	1.4.1	Approval of continuing education policy.			Strategy, policy, model and structure for continuing education approved.	Ops and certification system implemented	Effective system for management of continuing education portfolio implemented at NWU and at a consortium of Universities as an additional revenue stream	Comprehensive portfolio of services to NWU and to a consortium of universities for the delivery of blended and online CE courses	DVCTL	SNRDIRUCE; DEANS, UCEDIR A&C
			1.4.2	Restructure current operational services to improve efficiency in service to academics	Structure implemented and staff transferred	OPS Structure implemented and staff transferred			High level of customer satisfaction (academics and Deans regarded as customers for OPS div)	High level of customer satisfaction (academics and Deans regarded as customers for OPS div)	DVCTL	SNRDIRUCE, UCEDIR OPS
			1.4.3	Database updated with new information (outstanding matters resulting from 2016 review resolved)					50% of listed courses developed in line with specific industry needs (sold before offering)	80% of courses sold before offering, and available for backlisting	DVCTL	SNRDIRUCE, UCEDIR BusDEV, UCEDIR A&C
			1.4.4	Implementation of two pilot projects for online provision of CE offerings.			Pilot reports and outputs ready to shape further implementation	Implementation of Pilot outcomes in other courses	70 % of courses with a blended learning component	80 % of CE courses blended or fully online, with at least 80 % of a	DVCTL	SNRDIRUCE, UCEDIR BusDEV

No	Goals and objectives	Weight	Sub-objectives	2017 Objective	2017 %	2017 Mid-year Objective	Lead KPI	Lag KPI	5-year target (2020)	10-year target (2025)	Champion	Team
										blended course facilitated online.		
			1.4.5	Policy on CE revenue generation developed and approved to enable accurate reporting on CE revenue generation.			System implemented	Cost recovery on CE across the board.	Turnover on CE grown to R300m, 20% top slicing achieved.	Agreed year on year increase in turnover and profit from CE achieved	DVCTL ECDIRFF	SNRDIRUCE, UCEDIR BusDEV, UCEDIR A&C
1.5	Effective framework for curriculum design and development.at macro, meso and micro level within CTL	2,5	1.5.1 Reclaiming curriculum design and development (macro, meso and micro levels) as key focus area of CTL	Develop a policy for curriculum design and development (macro, meso and micro levels) as part of Policy for TL & Assessment			Policy on curriculum design and development	Comprehensive support of Academic Planning on macro curriculum design level	Functional, comprehensive and integrated curriculum design and development strategy	Functional, comprehensive and integrated curriculum design and development strategy	DVCTL	DEANS, Snr DIRCTL, DIRCDDS
							Placement of curriculum design specialists in FA: Curriculum Design & Development	Fully integrated multi-disciplinary design and development teams per faculty	Effective capacity development for curriculum design and development at macro, meso and micro levels within CTL.	Effective capacity development for curriculum design and development at macro, meso and micro levels within CTL.	DVCTL	DEANS, Snr DIRCTL, DIRCDDS
							Establishment of a programme for the formal training of instructional designers	Funded enrolment of CTL staff in formal ID programmes	Sufficient instructional design capacity within CTL.	Sufficient instructional design capacity within CTL.	DVCTL	DEANS, Snr DIRCTL, DIRCDDS
							Establishment of a programme for the formal training of learning designers	Funded enrolment of CTL staff in formal learning design programmes	Sufficient digital media design and development capacity within CTL.	Sufficient digital media design and development capacity within CTL.	DVCTL	DEANS, Snr DIRCTL, DIRCDDS
			1.5.2 Develop strategy for the design of learning interfaces in order to support the use of innovative TL designs as per approved TL Strategy	Framework for learning interfaces approved.			Framework for design of learning interfaces		Implemented and updated framework for learning interface design	Implemented and updated framework for learning interface design	DVCTL	DEANS, Snr DIRCTL, DIRCDDS
			1.5.3 Faculty plans for development of learning interfaces.	Faculty plans for development of learning interfaces with targets for interactive electronic learning interface development.			NWU Transformation Plan for Use of Innovative TL Designs (priority list of programmes earmarked for transformation in terms of the optimal	i) Number of formal project-linked learning interfaces developed (ad hoc transformations cannot be tracked). ii) Faculty-level plans	75% of all programmes with electronic interactive learning interfaces	All NWU programmes use innovative TL designs as per TL Strategy, with optimal use of TL technology.	DVCTL	Snr DIRCTL; DIRCDDS; DEANS; CHDIRIT; DIRINFRPLAN

No	Goals and objectives	Weight	Sub-objectives	2017 Objective	2017 %	2017 Mid-year Objective	Lead KPI	Lag KPI	5-year target (2020)	10-year target (2025)	Champion	Team
							use of TL Technology for the use of innovative TL designs)	for the development of learning interfaces.				
			1.5.4 Establishment of project management capacity to manage projects related to development of learning interfaces.	Draft UCDG funded incentive scheme for participation in projects aimed at learning interface development and integration of technology in learning.			i) Allocation of a substantial grant from the UCDP for incentive scheme for participation in projects aimed at learning interface development and integration of technology in learning. Ii) Establishment of project management capacity to manage projects related to faculty plans and process alignment with Tracks.	i) Uptake of vetted grants by programme leaders; ii) Managed project plan for transformation of learning designs	Project plan implemented, monitored and revised	All NWU programmes use innovative TL designs as per TL Strategy, with optimal use of TL technology.	DVCTL	DEANS, Snr DIRCTL, DIRCDDS
1.6	Systematic adoption and development of TL technology to enhance and support TL and the TL environment.	2,5	1.6.1 Training plan for academic staff participation in capacity development workshops for technology-enabled learning	Effective academic staff participation in capacity development workshops for technology-enabled learning according to training plan			Develop a technology-enabled learning training plan	Technology-enabled learning workshops scheduled and provided	Technology-enabled learning within academic programmes implemented successfully by all faculties.	All NWU programmes reflect use of innovative technology-enabled TL designs and with optimal use of effective TL technology according to the TL Strategy.	DVCTL	Snr DIRCTL; DIRCDDS; DIRAPD. DIRSSD, DEANS; CHDIRIT; CTL Manager TLE
			1.6.2 UCDG funded incentive scheme for participation in projects aimed at adoption of TL technology	Incorporate incentive scheme for participation in projects aimed at adoption of TL technology into NWU UCDP.			Develop a framework for participation by academic staff in technology-enabled learning projects	Technology-enabled learning projects scheduled and completed	Effective capacity development for adoption of TL Technology, presentation of TL technology-enabled learning and design and development of TL environment.	All NWU programmes reflect use of innovative technology-enabled TL designs and optimal use of effective TL technology and TL environment according to the TL Strategy.	DVCTL	Snr DIRCTL; DEANS, CTL Manager TLE
			1.6.3 Systematic process for the adoption of teaching and learning technology	i) Develop guidelines that define roles and responsibilities for collaboration and engagement with stakeholders to ensure that TL technology that			Develop an operational plan for TL technology aligned with the NWU TL strategy and strategic drivers and indicators that inform	i) TL technology operational plan developed and implemented; ii) Annual report to review and inform decisions on TL	TL technology that enhances and effectively supports TL technology-enabled learning and the TL	TL technology that enhances and effectively supports TL technology-enabled learning and the TL	DVCTL	Snr DIRCTL; DIRCDDS; DIRAPD. DIRSSD, CHDIRIT; DIRINFRPLAN,

No	Goals and objectives	Weight	Sub-objectives	2017 Objective	2017 %	2017 Mid-year Objective	Lead KPI	Lag KPI	5-year target (2020)	10-year target (2025)	Champion	Team
				enhances and supports TL and the TL environment at the NWU is investigated, researched, adopted, developed, implemented and reviewed; ii) Submit guidelines to ICTL in September 2017.			the use of TL technology, technology-enabled learning and the TL environment	technology , technology-enabled learning and the TL environment submitted; iii) Guidelines for the NWU TL environment developed and available	environment at the NWU is investigated, researched, adopted, and developed implemented and reviewed.	environment at the NWU is investigated, researched, adopted, and developed implemented and reviewed.		DEANS, CTL Manager TLE
1.7	Effective framework for academic professional development.	2,5	1.7.1	Design an integrated system for career path mapping of academics			Design a draft framework for career path mapping	Implemented plans for constructive development of academics as teachers captured in the personal development plans of all academic staff	Systematic and implemented strategy for academic professional development with professional career development pathways for all academic staff.	Systematic and implemented strategy for academic professional development.	DVCTL	DEANS; Snr DIRCTL, DIRAPD
			1.7.2	Redesign the mentorship programme for academics as university teachers			Establish an integrated mentoring system for academic staff	Effective faculty-level systems for the mentoring of academic staff	All members of academic staff participate in relevant mentoring programmes	All members of academic staff participate in relevant mentoring programmes	DVCTL	DEANS; Snr DIRCTL, DIRAPD
			1.7.3	Complete project to redesign system for student feedback on lecturers and modules (approval by ICTL September 2017).			Develop a new questionnaire reflecting different categories of the learning experience. Create various distribution options.	i) 70% undergraduate modules to be evaluated per semester. Ii) Evaluation and monitoring of the revised SLE process.	Systematic and implemented strategy for student feedback on teaching and modules, linked to performance agreements of academic staff	Systematic and implemented strategy for student feedback on teaching and modules, linked to performance agreements of academic staff	DVCTL	DEANS; Snr DIRCTL; DIRAPD; EXDIRPC
			1.7.4	Complete project to revise Institutional Course for New Lecturers (ICNL) (approval by ICTL).			Revised ICNL policy. Pilot revised structure from June 2017	All eligible new members of academic staff participate in the ICNL programme; ii) At least 80% overall satisfaction rate with the ICNL	Relevant ICNL programme	Relevant ICNL programme	DVCTL	Deans, Snr DIRCTL, DIRAPD
			1.7.5	Review Institutional Teaching Excellence Awards (ITEA) process to ensure appropriate staff participation.			Revised ITEA Policy. Expand award categories.	Percentage of eligible staff participating in ITEA (5% of permanent academic staff).	5% of permanent academic staff participate in ITEA on annual basis	5% of permanent academic staff participate in ITEA on annual basis	DVCTL	Snr DIRCTL, DIRAPD
			1.7.6	Effective participation by academic staff in professional development workshops			i) Develop participation strategy per Faculty. Ii) Recognise professional development in	i) Achieved targets for staff participation in professional development workshops. Ii) Achieve an 80%	i) Achieved targets for staff participation in professional development workshops.	i) Achieved targets for staff participation in professional development workshops.	DVCTL	Deans, Snr DIRCTL, DIRAPD

No	Goals and objectives	Weight	Sub-objectives	2017 Objective	2017 %	2017 Mid-year Objective	Lead KPI	Lag KPI	5-year target (2020)	10-year target (2025)	Champion	Team
							performance planning. Iii) Developed award systems for professional development (PD points)	satisfaction with PD opportunities and training	Ii) Achieve an 80% satisfaction rate with PD opportunities and training	Ii) Achieve an 80% satisfaction with PD opportunities and training		
			1.7.8	Develop a system for the management of academic professional development			implement academic professional development management software to manage APD at the NWU	Capture all APD activities on a centralised system, to enable effective management of APD information and planning of APD activities	Effective information and planning system for ADP activities	Effective information and planning system for ADP activities	DVCTL	Snr DIRCTL, DIRAPD
			1.7.9	Revised academic promotions policy to recognise excellence in teaching and learning.			Revised academic promotions policy, with effective recognition for teaching and learning.	Implemented institutional and faculty-level promotions process that recognises staff who excel in teaching and learning	Appropriate academic promotions policy, that recognises excellence in teaching and learning	Appropriate academic promotions policy, that recognises excellence in teaching and learning	DVCTL	EXDIRPC, Deans, Snr DIRCTL, DIRAPD
1.8	Improve student access and success by achieving these benchmarks.	2	1.8.1	Achieve targeted module attrition rates (= % difference between modules registered and modules enrolled for in a specific year).	10,90%				10,50%	10,20%	DVCTL	Deans, HEADMIS, Snr DIRCTL, DIRSADS
			1.8.2	Maintain the contact student success rate within the indicated range (as per approved enrolment plan).	85,10%				85,00%	85,00%	DVCTL	Deans, HEADMIS, Snr DIRCTL, DIRSADS
			1.8.3	Maintain the distance student success rate within the indicated range (as per approved enrolment plan.	80,20%				79,50%	80,00%	DVCTL	Deans, HEADMIS, Snr DIRCTL, DIRSADS
			1.8.4	Achieve the specified targets for the first-year dropout rate in undergraduate contact degrees.							DVCTL	Deans, HEADMIS, Snr DIRCTL, DIRSADS
			1.8.4.1	Three year degrees	17,60%				17,10%	16,60%	DVCTL	Deans, HEADMIS, Snr DIRCTL, DIRSADS
			1.8.4.2	Four year degrees	11,30%				11,00%	10,70%	DVCTL	Deans, HEADMIS, Snr DIRCTL, DIRSADS
			1.8.5	Achieve targets for qualification duration factor in undergraduate							DVCTL	Deans, HEADMIS, Snr

No	Goals and objectives	Weight	Sub-objectives	2017 Objective	2017 %	2017 Mid-year Objective	Lead KPI	Lag KPI	5-year target (2020)	10-year target (2025)	Champion	Team
				contact degrees (Qualification Duration Factor = Completion in Min time Plus 1 yr).								DIRCTL, DIRSADS
			1.8.5.1	Three year degrees	60,00%				61,00%	63,00%	DVCTL	Deans, HEADMIS, Snr DIRCTL, DIRSADS
			1.8.5.2	Four year degrees	92,00%				92,50%	93,00%	DVCTL	Deans, HEADMIS, Snr DIRCTL, DIRSADS
			1.8.6	Achieve graduation rates as per approved enrolment plan.	24,00%				25,00%	25,50%	DVCTL	Deans, HEADMIS, Snr DIRCTL, DIRSADS
2	**Goal 2: Intensify research and innovation. (Weight: 20%)**											
2.1	Achieve publication outputs and research masters and doctoral outputs as in Table 1.	12									DVCRI	
2.2	Improve ranking and rating of NWU.		2.2.1	Improve NWU ranking.	700+ ranking.			Achieve ranking in 700+ group.	NWU <600 rank.	NWU <500 rank.	DVCRI	
			2.2.2	Improve NWU QS Star rating.	4 star rating.	Submit NWU portfolio for rating (2nd round); monitor improvement plan and report.			4-5 QS star rating.	5 QS star rating.	DVCRI	
			2.2.3	Establish criteria aligned with e.g. 52 QS criteria and align MIS and initiatives accordingly.	Data submissions in MIS formats completed to facilitate future submissions and to inform plans.	Re-submit for re-evaluation. Plan data submissions with MIS to standardise for future submissions and to inform plans.	Complete submission for re-evaluation in standardised MIS format.		NWU MIS and research initiatives aim to address 90% of relevant international benchmarking initiatives.	NWU MIS and research initiatives aim to address 100% of relevant international benchmarking initiatives.		
2.3	Improve research output.		2.3.1	Improve number of NRF rated researchers (Total number, (A/B/C P/Y rated).	260	224		Number of NRF rated researchers.	298, (15/93/190).	Average of top 5 in South Africa.	DVCRI	
			2.3.2	Increase the number of new contract research projects as indicated.					15 new projects per year attracted.	55 new projects per year attracted.	DVCRI	
			2.3.3	Increase the number of research / innovation themes across a growing number of research entities, across campuses and faculties as indicated.	4				Five established themes, with 3 developed as innovation clusters.	Six established themes, with 6 developed as innovation clusters.	DVCRI	

No	Goals and objectives	Weight	Sub-objectives	2017 Objective	2017 %	2017 Mid-year Objective	Lead KPI	Lag KPI	5-year target (2020)	10-year target (2025)	Champion	Team
			2.3.4	Continuously manage the research management model to ensure that the number of research entities are increased to the number indicated.	41 total, 4 CoE, 11 units, 14 FAs, 12 Niches.	38 total, 3 CoE, 11 units, 13 FAs, 11 Niches.	Increasing number of research entities.		10 new research entities, >8 Centres of Excellence, >15 Units, >12 Focus Areas, > 8 Niche Areas.	10 new research entities, >10 Centres of Excellence, >18 Units, >15 Focus Areas, > 10 Niche Areas.	DVCRI	
			2.3.5	Increase the number of extraordinary research professors including SARCHI, NWU and Industry chairs.	12	10	Increase the number of extraordinary research professors at NWU.		35	50	DVCRI	
			2.3.6	Increase the number of post-doctoral fellows to the number indicated	200	190	Increase the number of postdoctoral fellows.		230	280	DVCRI	
			2.3.7	Investment in research infrastructure (NWU co-funding allocation, % of NWU turn-over)	0.5%		Increase investment in research infrastructure.		1%	1,50%	DVCRI	
			2.3.8	Increase the percentage of strategic funds allocated to emerging cutting edge research and innovation fields to the percentage of NWU turn-over indicated (NWU co-funding allocation, % of NWU turn-over)	Allocate part of strategic fund to research and innovation.	Plan allocation of strategic fund to research and innovation.			0,10%	0,20%	DVCRI	
			2.3.9	Take the necessary measures to at least retain the article equivalents produced annually by Post65 researchers as % of the total AEs, with the 6.5% AEs of 2015 (60.07 of 918.89) as base line - (Target 6.5%)								
2.4	Improve technology transfer and innovation as evidenced by the attainment of these objectives.	8	2.4.1	Increase number of disclosures to the number indicated	17	16	Increase disclosures to number indicated.		18 per year	25 per year	DVCRI	
			2.4.2	Increase number of local patents to the number indicated	6	3	Increase number of local patents to the number indicated		>50 (Total)	>100 (Total)	DVCRI	
			2.4.3	Increase number of international patents to the number indicated	3	6	Increase number of international patents to the number indicated		15 - 20 new; 40 / 50 total	30 - 40 new; 60 - 70 total	DVCRI	

No	Goals and objectives	Weight	Sub-objectives	2017 Objective	2017 %	2017 Mid-year Objective	Lead KPI	Lag KPI	5-year target (2020)	10-year target (2025)	Champion	Team
			2.4.4	Increase percentage of patents licensed to the number indicated	2 new	4 new	Increase percentage of patents licensed to the number indicated		60%	75%	DVCRI	
			2.4.5	Increase total number of licensing agreements to the number of agreements indicated	20%	30%	Increase total number of licensing agreements to the number of agreements indicated		40	60	DVCRI	
			2.4.6	Increase number of spin-offs to the number indicated	6 new	10 new	Increase number of spin-offs to the number indicated		25 new	40 new	DVCRI	
			2.4.7	Increase number of incubations to the number indicated	4 new	8 new	Increase number of incubations to the number indicated		10 companies / year	15 companies / year	DVCRI	
			2.4.8	Increase number of student companies to the number indicated	3 new	5 new	Increase number of student companies to the number indicated		10 companies / year	15 companies / year	DVCRI	
2.5	Increase second and third stream income to achieve the indicated targets.		2.5.1	Increase commercialisation income to the income indicated.	R 5 million	R 10 million		Commercialisation income increased to the target.	R 15 m / year	R 25 m / year	DVCRI	
			2.5.2	Increase number of innovation grants to the number (and value) indicated.	15 grants; R 25 million.	20 grants; R 40 million.	Increase innovation grants to the number and amount indicated.		R 50 m / year	R 80 m / year	DVCRI	
			2.5.3	Improve patent subsidies to the value indicated.	R 1.5 million	R1.5 million	Increase patent subsidies to amount indicated.		R 3 m / year	R 3 m / year	DVCRI	
			2.5.4	Increase number of assisted tenders to the number of projects indicated.	Assisted with 10 Projects	Assisted with 15 Projects	Increase number of assisted tenders as indicated.		20 per year	25 per year	DVCRI	
2.6	Improve fund-raising.			Establish appropriate funding benchmarks.	Increase a minimum of 10% on 2016 funds raised.				Increase by threefold the 2016 output.	Increase by six fold the 2016 output.	DVCRI	
3	Goal 3: Integrate and align community engagement with core activities (teaching and learning and research) and promote sustainability principles. (Weight: 10%)											
3.1	Improve student engagement in work integrated learning.	3	3.1.1	Increase percentage of programmes that include work-integrated learning and/or service learning based on the availability of funding	Initiate a process with stakeholders to ensure that at least one programme/ module per faculty are WIL/S-L based.	Progress on the design of the data base selected-depends on the IT project and DVCT-L team, in addition a survey to determine status completed.	Increase in percentage of programmes incorporating WIL and SL.		10%>baseline	15%>baseline	DVCTL	
			3.1.2	Increase percentage of students participating in WIL and SL programmes based on the availability of funding.	Deans budget to increase funding of WIL and curriculum renewal (OEP) , 3.1.1 will contribute to this objective	Have a baseline number of which WIL courses are registered currently from ICAS and faculty data and			10%>baseline	15%>baseline	DVCTL	

No	Goals and objectives	Weight	Sub-objectives	2017 Objective	2017 %	2017 Mid-year Objective	Lead KPI	Lag KPI	5-year target (2020)	10-year target (2025)	Champion	Team
						determine the number of students (actual no) to determine %						
3.2	Increase impact of research in community setting.	3	3.2.1	Measure and report impact of percentage of activities amounting to engaged research.	To align existing CE projects with impact study findings and needs assessments. Compare community needs with existing activities and create awareness among researchers to ensure a focussed approach. (there are 17 critical needs)Get one projects finalised and implemented, one funding application submitted and one in advanced phase of conceptualisation.	Initiate scholarship of engagement programme by meeting with deans and research directors: get have at least two transdisciplinary conceptual proposals in place			20%>baseline	40%>baseline	DVCRI	
3.3	Increase the number of community engagement activities and access to NWU expertise.	4	3.3.1	Increase number of impactful activities reported on CE database to demonstrate sharing of expertise with communities across all campuses	The roll-out of scholarship of engagement programmes, WIL and S_L modules (linked to scholarship programme) and recording of discipline based outreach on data base.	Have a verified database fully functional, completed training for faculty coordinators.			40%>baseline; Have at least 8 projects that are aligned with the 17 needs in communities	80%>baseline and have results on at least 12 projects that are fully aligned with the needs in communities.	DVCRI	
			3.3.2	Improve on access to university expertise by increasing the number of outreach programmes and requests handled; We are trying to move away from pure outreach to discipline based outreach this must be recorded by a coordinator in each faculty. Furthermore we have made a decision that where we can assist	Establish a one stop office for assistance where the correct baseline can be determined.	Appoint an officer that can measure the baseline and direct the public and internal stakeholders to outreach opportunities			20%>baseline	40%>baseline	DVCRI	

No	Goals and objectives	Weight	Sub-objectives	2017 Objective	2017 %	2017 Mid-year Objective	Lead KPI	Lag KPI	5-year target (2020)	10-year target (2025)	Champion	Team
				with redundant assets, we shall donate these to NWU registered projects first. A guideline is currently being developed for the donation of assets to projects. Community partners are registered on data base								
4	**Goal 4: Develop a clearly differentiated student value proposition. (Weight: 5%)**											
4.1	Develop a framework for student access, retention, attainment and success.	1	4.1.1	Submit framework for SARS for approval to ICTL in September 2017.		Broad consultation on SARS framework and feedback from: Faculties, Admissions, Student Development (CTL) and Bursaries and consolidation of feedback by July 2017	Approved framework for SARS.	Implemented strategies for student access, retention, attainment and success, as reflected in targets for student access and success as per objective 1.8.	i) Integrated and implemented strategy for student access and success; ii) Strategy review in 2020.	Integrated and implemented strategy for student access and success.	DVCTL	DEANS; Snr DIRCTL; DIRSADS; EXDIRSTLIFE
4.2	Develop a systematic strategy to support and broaden student access within the SARS framework.	1	4.2.1	Conduct a pilot project for student admission and placement, and report to Senate in May 2017.			Validated placement and assessment battery developed.	i) Effective admission and placement advice provided to new students; ii) Risk profile of new entering students provided to faculties on annual basis.	Effective model for student admission and placement.	Effective model for student admission and placement.	DVCTL	EXDIRSTLIFE; HEADS: Acad Literacy Centres; Snr DIRCTL; DIRSADS; HEADS: Student Counselling
			4.2.2 Strengthen provision of access programmes	Obtain Senate approval for introduction of a campus-based Science preparatory programme from 2018 onwards;			Senate approval of a preparatory programme in Science for implementation in 2018.		UnivPrep programme replaced by formal Higher Certificate (Foundation) within DHET framework		DVCTL	DEANS; Snr DIRCTL; DIRSADS;
				Submit proposal to DHET, CHE and SAQA for formal approval of Higher Certification (Foundation) following DHET approval of framework for the HC.			Development of curricula for Higher Certificate (Foundation) following approval of DHET policy in 2017; in order to replace UnivPrep programme.		Higher Certificate (Foundation) programmes approved and implemented.	Higher Certificate (Foundation) successfully implemented, monitored and reviewed.	DVCTL	DEANS; Snr DIRCTL; DIRSADS;

No	Goals and objectives	Weight	Sub-objectives	2017 Objective	2017 %	2017 Mid-year Objective	Lead KPI	Lag KPI	5-year target (2020)	10-year target (2025)	Champion	Team
			4.2.3 Development of coherent profiling system for first-year students on the basis of current profiling projects		Administer STARS survey on all campuses			Integrated first-year profiling and support system in place.	Risk profile report of all participating first-year students in STARS survey provided to each faculty.	Integrated instrument providing feedback on student profiling; coherent system to develop early warning and tracking system of all first-year students.	Coherent system to develop early warning and tracking system of all first-year students.	DVCTL	DEANS; Snr DIRCTL; DIRSADS; Heads: Academic Literacy Centres; WORKWELL
					Continue StudyWell project to support student success in the first year (first-year experience).			Online Analytical Processing tool (OLAP) to track and monitor adjustment needs of first-year students.		Integrated instrument providing feedback on student profiling; coherent system to develop early warning and tracking system of all first-year students.	Coherent system to develop early warning and tracking system of all first-year students.	DVCTL	DEANS; Snr DIRCTL; DIRSADS; Heads: Academic Literacy Centres; WORKWELL
4.3	Develop a systematic strategy for student success within the SARS framework.	1	4.3.1	Supplemental Instruction presented in at least 30% of at-risk modules.			i) Policy for student access and success as part of Integrated Teaching and Learning Policy cf 1.1. ii) Effective student success programmes. SI-on-line and peer mentoring on-line for all ODL students	Supplemental Instruction presented in at least 30% of at-risk modules.	Effective student success programmes. SI-on-line and peer mentoring on-line for all ODL students	Effective student success programmes.	DVCTL	DEANS; Snr DIRCTL; DIRSADS
			4.3.2	Achieve an increase of 10% in participation rate of first-years students in academic mentoring programme at each campus.			i) Policy for student access and success as part of Integrated Teaching and Learning Policy cf 1.1. ii) Effective student success programmes. SI-on-line and peer mentoring on-line for all ODL students	10% of first-year students in contact programmes participate in academic mentoring programme.	i) Training for mentors standardised - same training for mentors and tutors across sites @NWU; ii) Effective mentoring programme, with regular monitoring and review	Mentoring programme expanded to include open distance learning. ODL facilitators standardised training provided by CTL (PD)	DVCTL	DEANS; Snr DIRCTL; DIRSADS
			4.3.3	Consolidation of faculty level reports on actions to support at-risk students after first semester examinations.							DVCTL	DEANS; Snr DIRCTL; DIRSADS
4.4	Develop and implement an NWU employability strategy.	1	4.4.1	Employability Strategy.	Survey 2014 -2016 graduates to establish		Benchmarks for graduate employment rates.		NWU achieves benchmarks for	NWU achieves benchmarks for	DVCTL	MANCAREER

No	Goals and objectives	Weight	Sub-objectives	2017 Objective	2017 %	2017 Mid-year Objective	Lead KPI	Lag KPI	5-year target (2020)	10-year target (2025)	Champion	Team
				benchmarks for graduate employment rates.					graduate employment rates	graduate employment rates		
			4.4.2	Embed NWU graduate attributes in all academic programmes.			Curriculum design and development policy and support as per objective 1.5 includes strategies to support embedding of graduate attributes in academic programmes		NWU graduate attributes embedded in all academic programmes	NWU graduate attributes embedded in all academic programmes	DVCTL	Deans, MANCAREER, Snr Dir CTL, Dir CDDS,
			4.4.3	Set a benchmark for graduate employment rates.				Graduate employment rates achieved	Graduate employment rates achieved	Graduate employment rates achieved	DVCTL	Deans, MANCAREER
4.5	Establish a functionally multilingual university environment aimed at the promotion of equity of access, academic performance, student growth and employability.	1	4.5.1	Language audit completed for the revision of the NWU Language Policy. Consultation process for the revised version is completed. The revised policy is approved by Council in Nov 2017.			Policy approved by Council.		The intellectualisation of the Sesotho and Setswana is visible	The NWU's implementation of functional multilingualism remains as a market differentiator for the university.	REG	DEANS, LANGUAGE DIRECTORATE
5	Goal 5: Develop and retain excellent staff and create an equitable staff and student profile. (Weight: 10%)											
5.1	Improve staff and student equity in order to promote diversity at all campuses.	5	5.1.1	Improve student equity by recruiting and enrolling students in the demographic mix reflected in the enrolment plan (see student equity table).					As per enrolment plan and student equity targets.	As per student equity targets in the student equity table.	EXDIRCRM	
			5.1.2	Improve the staff equity profile by implementing and achieving the targets set out in the employment equity plan.			Establish Council approved faculty and support departments equity plans.	Percentage of targets in the employment equity plan achieved.	As per employment equity plan.	As per employment equity plan.	EXDIRPC	
5.2	Develop and increase the number of academics with an open mind-set (nationally and internationally), critical in thinking, respectful of the right to freedom of expression, commitment to and respect for the full scope of diversity, scholarship, commitment to students, active	1		Design, implement and monitor a systematic intervention to promote the outcomes in the goal including critical diversity literacy.					A significant cohort of academic staff developed and exhibiting high performance in all of the 5.2 listed goal focus areas.	A transformed cohort of academics who are sought after for their national and international outlook in all of the 5.2 goal focus areas	EXDIRPC	

No	Goals and objectives	Weight	Sub-objectives	2017 Objective	2017 %	2017 Mid-year Objective	Lead KPI	Lag KPI	5-year target (2020)	10-year target (2025)	Champion	Team
	citizenry, good work-ethic											
5.3	Develop and increase the number of support staff: critical in thinking, freedom of expression, commitment to and respect for full scope of diversity, commitment to students, active citizenry, high-performance individuals	1		Design, implement and monitor a systematic intervention to promote the outcomes in the goal including critical diversity literacy.					A significant cohort of support staff developed and exhibiting high performance in all of the 5.3 listed goal focus areas	A transformed cohort of support who are sought after for their national and international outlook in all of the 5.3 goal focus areas	EXDIRPC	
5.4	Increase the number of staff who are fully engaged and improve the climate at all workplaces	0,5	5.4.1	Identify barriers to full staff engagement and design plan to remove barriers and improve engagement.					Significantly improved staff engagement based on improvement from baseline.	Fully engaged staff and positive climate measured through engagement index and climate surveys.	EXDIRPC	
			5.4.2	Improve climate at all NWU workplaces.	Conduct baseline climate survey.		Employee climate survey.	Employee retention rate.	Significantly improved climate from baseline.		EXDIRPC	
5.5	Organisational culture enabled by leaders through policies, implementation strategies and deliberate actions. Culture evidenced by behaviours congruent with ethics, trust, care, value-based collective identity, integration, inclusiveness, participation, collaboration, innovation, valuing of academic freedom, learning, dedication to the core business, discipline, high-performance, joint and individual accountability, delivery of results, open and transparent communication, robust engagement, teamwork at leadership level,	1		Improve the culture measure: conduct an organisational climate survey on a three-year cycle to capture the various items that are relevant for measurement of organisational climate (frequency of cycle depends on outcomes of surveys)	An organisational culture dip stick conducted.				A defined desired NWU-wide organisational culture achieved.	A thriving culture of excellence in relationships, diversity management, high performance, ethics and academic freedom and other stated aims in goal 5.5 with visible impact.	EXDIRPC	

No	Goals and objectives	Weight	Sub-objectives	2017 Objective	2017 %	2017 Mid-year Objective	Lead KPI	Lag KPI	5-year target (2020)	10-year target (2025)	Champion	Team
	valuing of diversity, transformational.											
5.6	Develop and maintain a compelling employee value proposition	1		Improve the assessment of NWU as an employee with a compelling EVP.	Establish NWU employee value proposition elements.				Distinct and compelling employee value proposition.	Employee value proposition creates distinct competitive edge.	EXDIRPC	
5.7	Increase internationalisation of the academic staff at NWU.	0,5		Increase the percentage of international academic staff.	4,50%				10%	15%	EXDIRPC	
6	Goal 6: Govern, lead and manage in a sustainable and transformed way with an effective operating model. (Weight: 5%)											
6.1		1		Implement the 2017 statute and ensure an environment conducive to the management of a smooth transition between the one statutory environment to the next, including the appointment of staff in accordance with the prescripts of the 2017 statute	100% compliant to new statute, 12 months after the approval of the statute	50%					REG	
6.2		1		Finalise the implementation of the organisational structure in accordance with the decisions by Council on 8 Dec 2016	100% implemented after a year	50%					REG	
6.3		1		Integrated functioning of support services across sites of delivery.	100%	50%	Role clarity is evident and aligned work-flow descriptions, quality manuals developed.				REG	
6.4		0,5		Establish integrated risk management model.	Framework implemented	50%	Development of framework and approval thereof.				REG	
6.5		0,5		Compliance to relevant instances of legislation, all regulations, rules, procedures and NWU policies	100%	Compliance universe defined. Compliance audit completed.					REG	
6.6		1		Ensure a smooth transition of distance students to an NWU operating model after the termination of the OLG contract.	100%		Systems, logistics and financial management in place.				REG	
7	Goal 7: Develop best in class information and communications technology to support the core business. (Weight: 5%)											
7.1	Improve the balance of eResearch, eLearning and eBusiness enablement form the	0,5		Measure and improve the balance (based on maturity, budget allocation and number/size of projects	8%,27%,65%	6%,26%,68%	Balance target for 2017 achieved.		20%,30%,50%	30%,40%,30%	DVCRI	

No	Goals and objectives	Weight	Sub-objectives	2017 Objective	2017 %	2017 Mid-year Objective	Lead KPI	Lag KPI	5-year target (2020)	10-year target (2025)	Champion	Team
	current balance of 4%, 25%, 71% (respectively, in terms of resources invested).			and by benchmarking against 5 top SA universities and Educause).								
7.2	Improve the balance of information technology input and effort towards running, growing and transforming the business from the current balance of 75%, 20%, 5%.	0,5		Measure and improve the balance (based on budget allocation, services, people responsible, and the division of projects into the three areas and benchmark against the top five South African universities and Educause).	70%,22%,8%	Measurement Methodology established and baseline 100%			65%,25%,10%	60%,27%,13%	DVCRI	
7.3	Increase the efficacy of client communications.	0,5		Develop appropriate metric.	70% positive based on customer survey. Develop appropriate analytics instruments.	Develop communications impact assessment methodology / tools. Develop continued improvement methodology.			85% positive based on customer survey	95% positive based on customer survey	DVCRI	
7.4	Develop a system to monitor and assess IT impact on all NWU processes	0,5		Improve the information technology impact on all NWU processes.	Present first usage analytics and NWU-wide process automation trends. Set targets.	Establish baselines: IT usage analytics, level of process automation			NWU @ top 25% in terms of external survey	NWU @ top 10% in terms of external survey	DVCRI	
7.5	Establish a culture of continuous improvement in IT service delivery.	0,5		Employ annual surveys of students and staff as well as daily feedback; Implement an agile empowerment strategy.	Plan and send out surveys to students and staff. Implement daily feedback for all services. Start to implement empowerment strategy	Plan surveys. Put processes and tech in place for daily feedback. Put empowerment strategy in place.			Integrate feedback in yearly strategy planning and put continuous improvement plan in operation	Integrate feedback in yearly strategy planning and put continuous improvement plan in operation	DVCRI	
7.6	Develop a IT Business Continuity Plan and align uptime reporting towards the plan	0,5		Categorise different systems in terms of "time to restore" and "data loss" (1h/1h, 1day/1day, 1week/1week) and establish baseline.	Add system owners' responses. Finalise plan and report on implications. Align reporting on uptime with plan.	Add system owners' responses. Finalise plan and report on implications.	IT Business Continuity Plan developed.		Have a fully operational plan with reporting to system owners and Governance committees. Refine plan every year.	Have a fully operational plan with reporting to system owners and Governance committees. Refine plan every year.	DVCRI	
7.7	Implement modern information technology principles, architectures, frameworks and open standards. (Also including mix of	2		Develop benchmark based on the top five South African universities and Educause and Gartner benchmarks.	Review infrastructure and application architectures. Document plan and action items	Finish reviews and benchmark criteria			60% Dependent on budget and staffing.	80% Dependent on budget and staffing	DVCRI	

No	Goals and objectives	Weight	Sub-objectives	2017 Objective	2017 %	2017 Mid-year Objective	Lead KPI	Lag KPI	5-year target (2020)	10-year target (2025)	Champion	Team
	closed source, open source, cloud, outsourced, etc)											
8	Goal 8: Communicate, engage and develop core business capability to increase brand equity, leadership efficacy, and community solidarity. (Weight: 5%)											
8.1	Enhance and promote the NWU's profile.	3	8.1.1	Increase the Advertising Value Equivalent (AVE) by R500 000,00.		Increase the AVE by R250 000,00.	Number of media engagement activities.	Increased Advertising Value Equivalent	Annually compare media monitoring reports and adjust targets accordingly. Aim for R500 000 worth of more positive publicity (advertising equivalent). NWU experts quoted 10% more in the media	Annually compare media monitoring reports and adjust targets accordingly. Aim for R500 000 worth of more positive publicity (advertising equivalent). NWU experts quoted 10% more in the media	EXDIRCRM	
			8.1.2	Create awareness and increased usage of the NWU social media platforms.	Maintain current NWU official social media accounts users and followers and increase the number of followers by 5%.		Increased number of users and followers of official NWU social media accounts.		Significant improvement in followership and usage of social media channels.	Optimal followership and usage patterns of social media channels.	EXDIRCRM	
			8.1.3	Production and distribution of corporate and special publications and material (print and online) targeting all stakeholder groupings.		Production and distribution of at least two communication tools per stakeholder group.	Conceptualise and produce communication channels per stakeholder grouping.	Increased awareness and participation/feedback from stakeholders.	Develop and distribute appropriate content according to content survey, re-evaluate and adjust targets accordingly – 10% increase in success rate	Develop and distribute appropriate content according to content survey, re-evaluate and adjust targets accordingly – 10% increase in success rate	EXDIRCRM	
			8.1.4	Improved NWU performance to Rank Top 2000 on different global ranking scales; Webometrics global position: Top 1500; 4ICU global position: 550; Alexa global position: 11 000.	Conduct survey to determine improved user experience.	Approved website content management framework and launch of the redesigned website.	Redesigned and user-friendly NWU website communication channels targeting stakeholders.	Improved ranking by external independent agencies. In goal 8.1.4.	Improved NWU performance to Rank Top 1500 on different global ranking scales; Webometrics global position: Top 1400; 4ICU global position: 540; Alexa global position: 10 000.	Improved NWU performance to Rank Top 1400 on different global ranking scales; Webometrics global position: Top 1300; 4ICU global position: 520; Alexa global position: 8 000.	EXDIRCRM	
			8.1.5	Improved NWU performance on different South African ranking scales to Top 9; Improved performance and achievement of the following by December 2017: Webometrics SA -			Redesigned and user-friendly NWU website communication channels targeting stakeholders.	Improved ranking by external independent agencies	Top 7	Top 5	EXDIRCRM	

No	Goals and objectives	Weight	Sub-objectives	2017 Objective	2017 %	2017 Mid-year Objective	Lead KPI	Lag KPI	5-year target (2020)	10-year target (2025)	Champion	Team
				10; 4ICU SA: 6; Alexa SA: 43.								
			8.1.6	Implementation of two multi-media marketing campaigns to support improved recruitment of students.		One multimedia marketing campaign implemented.		Number of enquiries and applications for admission as a student.	In accordance with enrolment plan.	In accordance with enrolment plan.	EXDIRCRM	
			8.1.7	The review and implementation of the revised NWU corporate identity.			Implementation of the revised corporate identity guidelines.		Brand audit conducted to determine application of unitary brand as per brand policy and corporate identity guidelines	Review progress made in implementation of brand audit findings, and submit report and recommendations	EXDIRCRM	
8.2	Facilitate opportunities for stakeholder engagement.	2	8.2.1	Hosting of at least 20 stakeholder engagement sessions and/or initiatives.		Approval of the stakeholder engagement framework; 10 stakeholder engagement sessions hosted successfully.	Number of sessions/events hosted		Host at least 30 stakeholder engagement sessions; conduct annual survey to determine effectiveness of stakeholder engagement sessions.	Host 40 stakeholder engagement sessions.	EXDIRCRM	
			8.2.2	Improve special and sustainable relationships with alumni via strategic communication and engagement channels.	Implementation of alumni engagement initiatives and achievement of a 5% increase in satisfaction rate among alumni from previous survey.		Improved alumni satisfaction with NWU engagement.		Increase satisfaction with NWU engagement with alumni by 30%.	Increase satisfaction with NWU engagement with alumni by 50%.	EXDIRCRM	
9	**Goal 9: Ensure the financial sustainability of the NWU. (Weight: 20%)**											
9.1	Achieve the following ratios on the financial statements	5	9.1.1	Subsidies: recurrent turnover (%)	43,3%		Minutes of the various meetings where the ratios were measured/monitored during 2017 and where the action plans were listed to steer/manage the ratios	Addendum to final management statements for the year ended 31 Dec 2017: Financial Ratio's (approved by IM/Finance Committee/Council)	41,0%	35,0%	EXDIRFF	
			9.1.2	Student fees: recurrent turnover (%)	32,8%				33,0%	28,5%	EXDIRFF	
			9.1.3	Student accommodation and Food services income: recurrent turnover (%)	8,4%				8,0%	7,5%	EXDIRFF	
			9.1.4	Other income sources: recurrent turnover (%)	12,8%				14,0%	24,8%	EXDIRFF	
			9.1.5	Investment income: recurrent turnover (%)	2,7%				4,0%	4,2%	EXDIRFF	
			9.1.6	Net surplus: recurrent turnover (%)	1,0%				2,5%	5,2%	EXDIRFF	
			9.1.7	Employee cost: recurrent turnover (%)	54,2%				53,0%	49,5%	EXDIRFF	
			9.1.8	Operational cost: recurrent turnover (%)	41,6%				40,5%	40,0%	EXDIRFF	

No	Goals and objectives	Weight	Sub-objectives	2017 Objective	2017 %	2017 Mid-year Objective	Lead KPI	Lag KPI	5-year target (2020)	10-year target (2025)	Champion	Team
			9.1.9	Finance cost: recurrent turnover (%)	0,2%				0,5%	1,3%	EXDIRFF	
			9.1.10	Depreciation: recurrent turnover (%)	3,0%				3,5%	4,0%	EXDIRFF	
			9.1.11	Available equity: total equity (%)	5,0%				7,6%	11,5%	EXDIRFF	
9.2	Optimise and align tuition fees by evaluating the current tuition fee model, governance/ processes. Propose changes to above and develop an implementation plan as part of the project.	5		Final tuition fee project feedback report ready by 29 Sep 2017, including proposed enhancements and an implementation plan.			Minutes of Steerco / IM meeting where the project charter were approved (management determine the project outcome and approve the scope of the project).	Final feedback report on tuition fee project (approved by Steerco / IM).				
9.3	Optimise and expand continuing education income by developing and implementing a financial model as part of the Continuing Education Strategic Project (refer to goal 1.4)	5									DVCTL	
9.4	Review financial sustainability of academic programs/modules by means of a financial viability study.	3		Develop a user friendly financial viability process/model that can be annually updated with ease.			Minutes of Steerco / IM meeting where the project charter were approved (management determine the project outcome and approve the scope of the project).	Final feedback report on viability process/model (approved by Steerco / IM)	Evaluate 20% of modules and / or programme combinations per annum.	Proper financial viability process / model in place and used consistently in decision making.	EXDIRFF	DVC TL, REG, DEANS
9.5	Implement infrastructure policy that focuses on optimal space management and link requests to strategic initiative and financial viability analysis, as well as space norms.	2		Include link to strategic initiatives and space norm compliance as part of all infrastructure recommendations (IM and Council); analyse current space allocations to determine under/ over-provision.					Introduce space charges in 2018; include financial viability analysis in 2019.	Proper infrastructure management system in place as part of integrated planning model.	EXDIRFF	

5.2 Table 1: Key Performance Indicators

Key Performance Indicators			Actual 2015	%	Target 2016	%	Target 2017	%	Mid-year target	5-year target (2020)	10-year target (2025)
A. Access	1.2.1	First-time entering undergraduates	9407		11076		13728		none		
Headcount totals	1.2.2	Headcount enrolments (Total) (Growth %)	64070	1,5%	69277		71738		none	1,50%	1,50%
	1.2.3	Headcount enrolments (Contact)	37943	59%	42147	61%	39430	55%	none	65%	65%
	1.2.4	Headcount enrolments (Distance)	26127	41%	27130	39%	32308	45%	none	35%	35%
	1.2.5	Headcount enrolments (Foundation provisioning)	2958		3509		3565		none		
	1.2.6	Headcount enrolments - total UG	50655		52303		56444		none	75%	70%
	1.2.7	Headcount enrolments - total PG	13415	20,9%	16974	24,5%	15294	21,3%	none	25%	30%
Enrolments by Major Field of study	1.2.8	Science, Engineering, Technology	14025	21,9%	16109	23,3%	11319	15,8%	none		
_	1.2.9	Science, Engineering, Technology (Contact)	12863	33,9%	15476	36,7%	11299	28,7%	none	35%	35%
	1.2.10	Business / Management	10899	17,0%	11468	16,6%	11050	15,4%	none		
	1.2.11	Business / Management (Contact)	10859	28,6%	10751	25,5%	11050	28,0%	none	27,50%	30%
	1.2.12	Education	22887	35,7%	27735	40,0%	38077	53,1%	none		
	1.2.13	Education (Contact)	3268	8,6%	4981	11,8%	6531	16,6%	none	12%	13%
	1.2.14	Other Humanities	16259	25,4%	13965	20,2%	11292	15,7%	none		

Key Performance Indicators			Actual 2015	%	Target 2016	%	Target 2017	%	Mid-year target	5-year target (2020)	10-year target (2025)
	1.2.15	Other Humanities (Contact)	10953	28,9%	10939	26,0%	10550	26,8%	none	25,50%	22%
	1.2.16	Distance education enrolments	19619		22754		31546		none		
B. Success	1.2.17	Graduates UG	11467		10867		11482		none		
	1.2.18	Graduates PG	4130		5666		4362		none		
	1.2.19	Success rate	83,90%		83,62%		83,64%		none		
Undergraduate output by scarce skills	1.2.20	Engineering	301		276		223		none		
	1.2.21	Life and physical sciences	587		487		463		none		
	1.2.22	Animal and human health	671		499		597		none		
	1.2.23	Teacher education (CESM07 - All Education)	5026		5376		6250		none		
		Teacher education (Bed & PGCE) - DHET submitted	820		929		1397				
	1.2.24	Success rate (Scarce skills) - All Education included	83,00%		85,40%		81,60%		none		
		Success rate (Scarce skills) - For Education (BEd and PGCE only)	92,00%		88,00%		91,00%				
C. Efficiency	1.2.25	Headcount of permanent instructional / research professional staff	1453		1432		1485		none		

Key Performance Indicators			Actual 2015	%	Target 2016	%	Target 2017	%	Mid-year target	5-year target (2020)	10-year target (2025)
Instructional / Research professional staff	1.2.26	FTE of permanent instructional / research professional staff	1365		1534		1577		none		
	1.2.27	% Staff with doctoral degrees	51%		54%		56%		none	58%	65%
	1.2.28	Number of nGAP staff	6		4		3		none		
	1.2.29	Ratio of FTE students to FTE Permanent Instructional / Research staff	31,19		30,9		28,3		none		
D. Research output	2.1.1	Publication units per FTE staff	0,9		1,09		1,16		none	1,25	1,5
	2.1.2	Research masters graduates	521		462		486		none	550	650
	2.1.3	Doctoral graduates	222		173		157		none	200	250

5.3 Table 1a: Student equity targets (as per enrolment plan)

Objectives	2014 actual data	2015 actual data	2016 objective	2016 objective %	2016 preliminary actuals	2016 preliminary actuals %	2017 Target as per enrolment plan	2017 Target %	5-year target 2020)	10-year target 2025)
African %)	64.25%	70.06%	41427	59,80%	43015	67,08%	45573	63,53%	60%) 43402	
Coloured %)	4.25%	4.82%	1842	2,66%	2864	4,47%	3845	5,36%	2%) 1305	
Indian %)	0.77%	0.73%	497	0,72%	548	0,85%	556	0,78%	1%) 560	**<< 2019 approved enrolment targets**
White %)	28.16%	24.39%	25511	36,82%	17686	27,58%	21764	30,34%	38%) 27495	
Female %)	67.50%	67.22%	42206	60,92%	42898	66,90%	49818	69,44%	60,92%) 42206	
Student Mix: Potchefstroom Campus Contact										
African %)	20.61%	21.83%	6796	28,50%	4852	22,40%	3612	17,30%	30%	44%
Coloured %)	4.81%	4.93%	999	4,19%	1126	5,20%	1031	4,94%	7%	5.60%
Indian %)	1.30%	1.53%	340	1,43%	332	1,53%	282	1,35%	2%	1.40%
White %)	73.29%	71.69%	15712	65,89%	15349	70,85%	15954	76,41%	61%	49%
Female %)	58.60%	57.95%	13838	58,03%	12276	56,67%	11771	56,38%	54.00%	50.00%
Student mix: Mafikeng Campus Contact										
African %)	96.98%	96.69%	11223	98,69%	10807	97,55%	11425	96,98%	95%	93%
Coloured %)	0.92%	0.93%	48	0,42%	95	0,86%	110	0,93%	1%	1%
Indian %)	0.59%	0.50%	22	0,19%	45	0,41%	51	0,43%	0.60%	0.60%
White %)	1.49%	1.87%	79	0,69%	130	1,17%	195	1,66%	3.40%	5.40%
Female %)	56.29%	56.07%	6284	55,26%	6164	55,64%	6654	56,48%	53.00%	50.00%
Student mix: Vaal Triangle Contact										
African %)	74.93%	76.76%	4864	70,21%	5323	78,95%	5175	76,44%	77.20%	81%
Coloured %)	1.53%	1.62%	126	1,82%	104	1,54%	111	1,64%	1.40%	1.40%
Indian %)	1.84%	1.84%	96	1,39%	125	1,85%	127	1,88%	1.40%	2%

Objectives	2014 actual data	2015 actual data	2016 objective	2016 objective %	2016 preliminary actuals	2016 preliminary actuals %	2017 Target as per enrolment plan	2017 Target %	5-year target 2020)	10-year target 2025)
White %)	21.71%	19.77%	1842	26,59%	1189	17,64%	1357	20,04%	20%	15.60%
Female %)	63.07%	61.78%	4241	61,22%	4238	62,86%	4107	60,66%	55.00%	50.00%
Student mix: Distance										
African %)	84.73%	89.85%	18544	68,35%	22033	89,43%	25361	78,50%	70%	71%
Coloured %)	5.73%	6.42%	669	2,47%	1539	6,25%	2593	8,03%	3%	5%
Indian %)	0.16%	0.12%	39	0,14%	46	0,19%	96	0,30%	3%	7%
White %)	3.16%	3.61%	7878	29,04%	1018	4,13%	4258	13,18%	24%	17%
Female %)	80.04%	76.81%	24363	57,80%	20220	82,07%	27286	84,46%	70.00%	50.00%

5.4 Earmarked grants

Table 2: Earmarked grants (funding envelopes and infrastructure projects

Grant	Earmarked Allocation (Rand)	Breakdown of allocation		Linkage to performance indicators	Midyear performance indicator
		Budget {R}	Projects		
Teaching Development Grant *	**13 112 000**	4 117 400	1. Development of university teachers and teaching	1. Maintain Graduation Rates as per approved NWU Enrolment Plan, namely 23% in 2015, 24% in 2016 and 23% in 2017. Aim to maintain rate at 24% in 2017.	
		5 583 580	2. Tutorship and Mentorship programmes	2. Maintain an overall Success Rate of 84% for contact students and 83% for distance students in 2015, 2016 and 2017.	
		500 000	3. Enhancing the status of teaching	3. At least 75% of academic staff obtain an average score of 75% or more in student lecturer evaluations.	25% of allocation spend by June
		1 445 000	4. Researching Teaching and Learning	4. At least 5 publications on teaching and learning and higher education research per year.	
		169 200	5. Managing the TDG	5. Timely submission of narrative and financial reports on the TDG, and satisfactory audit report.	
		1 296 820	6. University priorities	6. Maintain Graduation and Success Rates as indicated.	
		13 112 000			
Research Development Grant	**9 356 000**	950 000	1. Mentoring/Supervisor training programmes	1. Improve the number of staff members who can mentor/supervise students in line with the NWU strategic plan.	
		1 200 000	2. Research capacity development programmes	2. Increase the number of staff members active in research outputs in line with NWU strategic plan.	
		470 000	3. Employment of contract staff	3. Employ contract staff to improve research support and administration of RDG grants.	
		4 000 000	4. Post-graduate study support programme for developmental staff	4. Improve the number of staff members with PhDs in line with NWU strategic plan.	25% of allocation spend by June
		986 000	5. Post-doctoral research fellowship programmes	5. 150 Post-Doctoral fellows supported on 3 campuses.	
		1 750 000	6. Academic exchange and mobility programmes	6. Increase number of co-publications in line with NWU strategic plan.	
		0	7. Topping up of externally funded research professors program	7. Co-funding for expensive research equipment leading to increase in publication outputs of 5% in the relevant groups.	
		9 356 000			
Foundation Provision Grant	**19 703 000**			1. Increased numbers of students were enrolled thus meeting the approved enrolment target in Foundation Programmes.	
				2. Foundation funds are also allocated for Foundation Programme laboratory equipment and marketing purposes.	25% of allocation spend by June
				3. Sufficient staff linked to Foundation Programmes have been appointed and are remunerated from the grant.	

Clinical Training Grant	**12 270 000**	2 547 252	Pharmacy	1. Implementation of new pharmacy clincal training programme.	25% of allocation spend by June
		1 090 803	Dietetics	2. Larger numbers of students placed in clinical settings.	
		4 243 638	Nursing PC	3. More co-operation agreements with the public and private	
		4 388 307	Nursing MC		
		12 270 000			
Veterinary Sciences Grant	**5 065 000**			1. 10% growth in graduate output.	25% of allocation spend by June
				2. Increased pass rate by mid-year exam.	
				3. Increase community and training impact by introduction of meat inspection training and by placement for final year students.	
				4. 10% increased WIL placement for students.	
nGAP Grant	**5 060 391**		Allocated posts:		25% of allocation spend by June
			1. Physics	Recruitment of suitable new academics as part of the	
			2. Business Management	'New Generation of Academics' Programmes (nGAP),	
			3. Industrial Engineering	which forms part of the SSAUF programmes ('Staffing	
			4. Nursing Sciences	South Africa's Universities' Framework).	
			5. Financial and Chartered Accountancy		
			6. Financial and Chartered Accountancy		
			7. Information Technology		
			8. Law		
			9. Social Sciences		
			10. Information Technology		
Infrastructure and Efficiency			Individual projects have not yet been approved by DHET		
			Submitted 30 June 2016		
NOTE:	*		Plan Overview regarding the allocation amount per programme has been submitted to the DHET on 30 January 2017.		
			No approval has been received from the DHET to date.		

6. Overview of 2016 budgets, cash flow and MTEF estimates

6.1. Budget process and overview

6.1.1. Budget process

The aim during the budget process is to ensure through proper processes and structures that the distribution of NWU resources is aligned, equitable and transparent to support the core business strategies of the NWU and in doing so, to ensure financial sustainability.

Each budget unit (three campuses and the Institutional Office) takes ownership of its own budget and has a budget committee that oversees the budget process of the budget unit. The Institutional Budget Committee (with representatives from all the budget units) is the committee that recommends the budget to the Institutional Management team, which approves the budget and recommends it to the Finance Committee. The Council finally approves the budget at the recommendation of the Finance Committee. The NWU budget process is thus an interactive process whereby different levels of management take ownership and participate actively in compiling the budget for the next year, taking into account the trends of the past, risks and concerns, benchmarking as well as future goals/plans.

The budget was compiled per budget unit based on ratios (expenses measured as percentage of core business income, which is tuition and subsidy) with a break-even budget (in income stream 1 and 4) on a cash flow basis as a goal. The following ratios were used as steering mechanisms:

- Contribution towards the shared cost of the Institutional Office as percentage of core business income
- Staff cost as percentage of income
- Operating cost as percentage of income
- Capital cost as percentage of income
- Strategic expenses, such as new personnel cost fund, strategic fund, infrastructure expense, macro maintenance expense as percentages of core business income

The ideal remains that the ratios will be used to steer the NWU towards the ideal combination of income and expenses, not only for the NWU as a whole, but also per budget unit and also on lower levels, with the main purpose of ensuring financial sustainability in the long term for NWU.

6.1.2. Budget baseline

Equitable and transparent resource allocation which is aligned with the Institutional Plan is a key factor to ensure that agreed outputs are achieved. As the strategy team is busy finalising the new strategy for the NWU the mission elements in the current Institutional Plan cascaded down into goals and action plans, were used as baseline during the budget process.

6.2. Assumptions used in preparing the budget

6.2.1. General assumptions used for 2016 budget

6.2.1.1. The new Institutional Plan, should the new NWU strategy be approved, will take effect in 2017. This means that the Budget for 2016 were based on the existing Institutional Plan.

6.2.1.2. The recommended expenses provide for the increase in inflation rate and where applicable for the decrease in the value of the rand.

6.2.1.3. Subsidy income was calculated according to the Funding Framework as per the Ministerial Statement on University Funding – November 2014. The funding allocated to stand in for the no fee increase short fall was taken into account from 2016.

6.2.1.4. Tuition fees were not increased by an annual percentage. The carry-through of the differentiated premium on first year modules that was implemented for the past three years (2013 – 2015) was also not implemented further as from 2016.

6.2.1.5. All budget units had to prepare an integrated budget (all income streams).

6.2.1.6. As from 2015 a book entry is made in the financial records to transfer the contribution from external funds (income streams 2, 3 and 5) to income stream 1. The result thereof is that only income stream 1 (subsidy and tuition fee) and income stream 4 (investment income) were taken into account to get to a break-even cash flow budget.

6.2.1.7. The goal was to maintain the 2015 expense ratios as listed in 5.1.1.

6.2.2.   Assumptions used in 2017-2018 forecast

6.2.2.1. Subsidy block grant will increase each year with the 2016/2017 percentage as per Ministerial Statement on University funding - November 2014 = 5,5%. The additional funding received for the no tuition fee increase short fall will increase with the same percentage as the block grant.

6.2.2.2. Subsidy earmarked grants will increase each year with the 2016/2017 percentage as per Ministerial Statement on University funding - November 2014 = 4,8%

6.2.2.3. NWU will maintain its share in the sector.

6.2.2.4. Student growth = 2% each year based on the budgeted 2016 student numbers.

6.2.2.5. Tuition fees were increased by an annual percentage of at least 9,5% for 2017 and 2018. The carry-through of the differentiated premium on first year modules that was implemented for the past three years (2013 – 2015) were not taken into account for 2016. The continuation of the premiums were taken into account for 2017 and 2018. The table below summarise the original planned phased in process. The implementation of the annual tuition fee increase and the premiums were flagged as high risk income items in the revised APP, if DHET continue to regulate tuition fee increases.

YEAR	MODULES BEGINNING WITH "1"	MODULES BEGINNING WITH "2"	MODULES BEGINNING WITH "3"	MODULES BEGINNING WITH "4"	MODULES BEGINNING WITH "5"
2013	10.00%	-	-	-	No roll-over premium. Modules is for post graduate diplomas.
2014	10.00%	10.00%	-	-	
2015	10.00%	10.00%	10.00%	-	
2016	-	10.00%	10.00%	10.00%	
2017	-	-	10.00%	10.00%	
2018	-	-	-	10.00%	

6.2.2.6. Rental income (included staff residences) increase each year with 5,5%

6.2.2.7. State research contracts and specifically THRIP funding (specifically funded activities – restricted) decreased over the past years. In the forecast a net increase of 3% was used (combination of decrease in funds and a CPI increase).

6.2.2.8. Residences on Potchefstroom and Mafikeng Campuses are on full capacity, a growth of 5% each year on Vaal Triangle Campus is included in the forecast.

6.2.2.9. The initial planned 2016 percentage fee increases in residences and meals fees are used for 2017 and 2018.

6.2.2.10. The interest on student debtors is 1,6% of tuition fees (same as 2016 budget).

6.2.2.11. Personnel cost: Growth in current structure from 2016 to 2017 = 8,4% (including COLA, IRR, Promotions) minus new management model savings of 1% for 2017 and another 1% for 2018 as part of roll-out process. A further 0,5% of recurrent income need to be saved in 2018 to contribute to the increase in the surplus as percentage of recurrent income.   The result is no new staff cost fund for 2017.

6.2.2.12. Cleaning contract: No extension on services - only maintain contract. Increase each year (as in current contract) = 7%

6.2.2.13. Security contract: No extension on services - only maintain contract. Increase each year (as in current contract) = 8%

6.2.2.14. Other contracts: No extension on services - only maintain contract. Increase each year (as in current contract) = 8%

6.2.2.15. Maintenance increase each year with 6,5%

6.2.2.16. Rates and utilities increase each year with 10%

6.2.2.17. In the cash flow projection the tuition fees were adjusted downwards with 5% to accommodate the cash flow decrease because of the increase in bad debts.

6.2.2.18. Capital fund for buildings and macro maintenance will be provided for in total due to affordability, and pending the highest priorities. There may be a deviation / transfer between buildings and macro maintenance.

6.2.2.19. Strategic fund is maintained (there MAY be a shift from operating cost to personnel cost – refer to 5.2.2.11).

6.2.2.20. Bad debt will not increase beyond the level than provided in 2016.

6.2.2.21. Currency will not depreciate any further than in 2015.

6.3 Budget for the period 2016 to 2019

Table 3: Consolidated budget: 2016 – 2019

LINE ITEM	COUNCIL CONTROLLED: UNRESTRICTED				SPECIFICALLY FUNDED ACTIVITIES: RESTRICTED				STUDENT AND STAFF HOUSING				TOTAL BUDGET			
	2016	2017	2018	2019	2016	2017	2018	2019	2016	2017	2018	2019	2016	2017	2018	2019
	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000
TOTAL INCOME	3 131 362	3 317 920	3 592 196	3 862 325	153 854	201 967	214 045	226 846	317 158	339 988	360 593	383 302	3 602 375	3 859 875	4 166 834	4 472 473
STATE GRANTS	1 463 947	1 587 878	1 673 241	1 762 872	-	-	-	-	17 053	11 369	5 684	-	1 481 000	1 599 247	1 678 925	1 762 872
EARMARKED STATE GRANTS	60 784	70 228	73 740	77 427	-	-	-	-	-	-	-	-	60 784	70 228	73 740	77 427
TUITION AND OTHER FEES	1 203 483	1 264 703	1 422 167	1 569 497	-	-	-	-	-	-	-	-	1 203 483	1 264 703	1 422 167	1 569 497
RENTAL INCOME	21 244	21 955	23 273	24 669	-	-	-	-	-	-	-	-	21 244	21 955	23 273	24 669
INCOME FROM CONTRACTS, GRANTS & DONATIONS	61 003	47 542	50 394	53 418	131 053	178 756	189 481	200 850	-	-	-	-	192 056	226 298	239 876	254 268
RESIDENCES - STAFF	-	-	-	-	-	-	-	-	3 274	3 479	3 757	4 058	3 274	3 479	3 757	4 058
STUDENT ACCOMMODATION FEES AND MEALS	-	-	-	-	-	-	-	-	296 831	325 140	351 152	379 244	296 831	325 140	351 152	379 244
SALES OF GOODS AND SERVICES	210 582	221 131	238 822	257 927	20 115	21 598	22 894	24 267	-	-	-	-	230 697	242 729	261 715	282 195
INVESTMENT INCOME	110 319	104 482	110 559	116 515	2 686	1 613	1 670	1 728	-	-	-	-	113 005	106 095	112 229	118 243
LESS: TOTAL EXPENDITURE	3 118 369	3 307 718	3 545 475	3 793 288	145 919	191 551	203 006	215 147	301 835	321 183	339 618	359 945	3 566 123	3 820 452	4 088 099	4 368 380
PERSONNEL COST: ACADEMIC	1 039 502	1 110 042	1 185 154	1 268 350	13 411	17 605	18 658	19 774	-	-			1 052 913	1 127 648	1 203 812	1 288 124
PERSONNEL COST: NON-ACADEMIC	832 847	889 363	949 542	1 016 199	26 519	34 812	36 894	39 101	35 580	38 326	40 648	43 208	894 946	962 502	1 027 085	1 098 508
CONTRACTS - CLEANING	17 348	18 770	20 309	21 975	10	13	14	16	18 127	19 423	21 015	22 739	35 485	38 206	41 339	44 729
CONTRACTS - SECURITY	17 481	18 705	20 014	21 415	5	7	7	8	4 669	7 111	7 608	8 141	22 155	25 822	27 629	29 563
CONTRACTS - OTHER	15 419	16 683	18 051	19 531	3	3	4	4	2 035	2 013	2 178	2 356	17 457	18 699	20 233	21 892
MAINTENANCE	133 871	141 903	150 418	159 443	3 581	4 701	4 983	5 282	25 421	26 516	28 107	29 793	162 873	173 120	183 507	194 518
RATES AND UTILITIES	77 579	93 055	101 895	111 575	21	28			45 926	48 181	52 758	57 770	123 525	141 263	154 653	169 345
OTHER OPERATING EXPENSES	860 906	898 954	962 124	1 029 758	102 369	134 381	142 445	150 963	165 254	175 489	183 959	193 443	1 128 529	1 208 825	1 288 528	1 374 164
DEPRECIATION	116 200	115 700	134 800	142 900	-	-	-	-	-	-	-	-	116 200	115 700	134 800	142 900
FINANCE CHARGES	7 216	4 542	3 168	2 142	-	-	-	-	4 824	4 125	3 345	2 495	12 040	8 667	6 513	4 637
RECURRENT SURPLUS	12 993	10 202	46 721	69 037	7 935	10 416	11 039	11 699	15 323	18 805	20 975	23 357	36 252	39 424	78 735	104 093
NON-RECURRENT INCOME	1 252	1 255	1 300	1 300	-	-	-	-	-	-	-	-	1 252	1 255	1 300	1 300
SURPLUS FOR THE YEAR	14 245	11 457	48 021	70 337	7 935	10 416	11 039	11 699	15 323	18 805	20 975	23 357	37 503	40 679	80 035	105 393
													37 503	40 679	80 035	105 393

6.4 Cash flow projections

Table 4: Cash flow projections of revenue and expenditure for years 2017 – 2019

	2017	2018	2019
	R'000	R'000	R'000
REVENUE (A):	**3 859 875**	**4 166 834**	**4 472 473**
STATE GRANTS	1 599 247	1 678 925	1 762 872
EARMARKED STATE GRANTS	70 228	73 740	77 427
TUITION AND OTHER FEES	1 264 703	1 422 167	1 569 497
RENTAL INCOME	21 955	23 273	24 669
INCOME FROM CONTRACTS, GRANTS & DONATIONS	226 298	239 876	254 268
RESIDENCES - STAFF	3 479	3 757	4 058
STUDENT ACCOMMODATION FEES AND MEALS	325 140	351 152	379 244
SALES OF GOODS AND SERVICES	242 729	261 715	282 195
INVESTMENT INCOME	106 095	112 229	118 243
EXPENDITURE (B):	**3 982 239**	**4 190 264**	**4 451 001**
PERSONNEL COST	2 048 044	2 184 160	2 335 221
CONTRACTS - CLEANING	38 206	41 339	44 729
CONTRACTS - SECURITY	25 822	27 629	29 563
CONTRACTS - OTHER	18 699	20 233	21 892
MAINTENANCE	173 120	183 507	194 518
RATES AND UTILITIES	141 263	154 653	169 345
OTHER OPERATING EXPENSES	1 208 825	1 288 528	1 374 164
FINANCE CHARGES	8 667	6 513	4 637
REDEMPTION ON LOANS	7 912	8 692	8 584
CAPITAL EXPENSE	198 484	250 010	268 348
CAPITAL EXPENSE AGAINST RESERVES	113 197	25 000	
NON-RECURRENT INCOME (C)	**1 255**	**1 300**	**1 300**
NET INCREASE/(DECREASE) IN CASH (A-B+C)	**-121 109**	**-22 130**	**22 771**
CASH AT THE BEGINNING OF THE YEAR	**220 000**	**98 891**	**76 761**
CASH AT END OF YEAR	**98 891**	**76 761**	**99 532**

6.5 Budget capital plan

6.5.1 Long term capital expenditure plan and proposed borrowings

Table 5: Long term capital expenditure: 2016 – 2019

SUMMARY OF INFRASTRUCTURE PROJECTS FOR APP 2016 - 2019					
	Carried over to 2017 from 2016		Recommended for 2017	2018/2019	2020 onwards
	2015 & 2016 carry over to 2017	2016 funds pending approval			
MAFIKENG CAMPUS	*Schedule A*		*Schedule B*		
NWU Reserves	26 155 153	-	-	-	-
NWU Capital fund	7 000 000	9 657 140	12 875 000	11 000 000	
External funding	6 000 000	60 350 000	-	-	3 000 000
DHET projects	-	24 743 373	-	36 000 000	
RCS & MS3	-	-	12 555 000	15 000 000	-
Macro and Deferred Maintenance	-	-	13 089 414	-	-
Minor Building Works	-	-	1 630 000	-	-
SUBTOTAL	**39 155 153**	**94 750 513**	**40 149 414**	**62 000 000**	**3 000 000**
TOTAL		174 055 080			
POTCHEFSTROOM CAMPUS	*Schedule C*		*Schedule D*		
NWU Reserves	32 600 000			25 000 000	
NWU Capital fund	-	6 109 252	19 200 000	58 947 280	18 000 000
External funding	2 000 000	-	15 500 000	-	
DHET projects		18 007 880	-	-	
RCS & MS3	8 427 211	-	27 697 779	-	-
Macro and Deferred Maintenance	-	-	45 887 513	-	
Minor Building Works	-	-	2 945 000	-	-
SUBTOTAL	**43 027 211**	**24 117 132**	**111 230 292**	**83 947 280**	**18 000 000**
TOTAL		178 374 635			

VAAL TRIANGLE CAMPUS	*Schedule E*		*Schedule F*		
NWU Reserves	-	-	-		
NWU Capital fund	-	5 813 158	-	31 500 000	31 140 000
External funding	-	-	48 500 000	-	-
DHET projects	-	52 000 000	-	-	-
RCS & MS3	6 000 000	-	15 210 000	-	-
Macro and Deferred Maintenance	-	-	8 974 212	-	-
Minor Building Works	-	-	-	-	-
Campus funds (NWU Funds)	-	-	1 000 000	-	
SUBTOTAL	6 000 000	57 813 158	73 684 212	31 500 000	31 140 000
TOTAL		137 497 370			

	Carried over to 2017 from 2016				
	2015 & 2016 carry over to 2017	2016 funds pending approval	Recommended for 2017	2018/2019	2020 onwards
INSTIUTIONAL OFFICE			*Schedule G*		
NWU Capital fund	-	-	1 000 000	-	-
NWU Reserves	-		-	-	-
External funding	-	-	-	-	-
DHET funding	-	-	-	-	-
RCS & MS3	-	-	-	-	-
Macro and Deferred Maintenance	-	-	3 708 861	-	-
Minor Building Works	-	-	593 000	-	-
TOTAL	-	-	5 301 861	-	-
NWU TOTAL			230 365 779	177 447 280	52 140 000

Mafikeng Campus

				2015&2016	
	Project Request	**Comment**	**Source of funds**	**Funds Approved**	**Funds Pending Approval**
		Schedule A : Project commitments carried forward from 2016			
1	New Law Building	Construction in process. Expected date of completion	Nwu Capital fund 2016 (R5m) and Reserves (R15 523 233+R2 976 777)	23 500 000	
2	Refurbishment and Macro and Deferred Maintenance of Library in phases	Construction in process. Expected date of completion	NWU Capital fund 2015 (R4 016 812) & Macro Maintenance 2015/6 (R3 638 331.44)	7 655 143	
3	Additional office space for Commerce and Administration	Procurement in process	NWU Capital fund	1 500 000	
4	New facility to house optical telescope (phase 1 in 2016)	Planning completed. Project delayed. Awaiting campus to source external funds to fund balance of project	NWU Capital fund and external funds	500 000	350 000
5	New disability unit (external funding)	Amount excludes escalation. Awaiting campus to source external funding. Concept design completed	External funds		15 000 000
6	Refurbishment of Building A2 (Base Building)	Subject to DHET approval of funds (Currently being evaluated by DHET). Planning completed	DHET and NWU		13 779 326
7	Deferred Maintenance in CLB	Subject to DHET approval of funds (Currently being evaluated by DHET). Planning completed	DHET and NWU		14 733 034
8	Deferred Maintenance in Physical Science Building	Subject to DHET approval of funds (Currently being evaluated by DHET). Planning in process	DHET and NWU		5 888 153
9	Refurbishment of Building A1 (Admin Building)	Tenders completed. Awaiting remainder of funds (R45m) to be approved.	External (SASRIA)	6 000 000	45 000 000
				39 155 143	**94 750 513**

	PROJECTS FROM THE APP (2016 - 2018) AND NEW REQUESTS RECEIVED IN 2016					
	Project Request	Comment	Source of funds	Schedule B - Recommended for 2017	2018/2019	2020 onwards
10	Additional lecture rooms (Phase 1)	Concept completed to install lecture rooms in Building A1	NWU Capital fund	8 000 000		
11	Additional lecture rooms (Phase 2)					
12	Additional student housing	Part of DHET 2015 application - funds not approved. Next round of DHET funding	DHET Infrastructure		36 000 000	
13	Upgrading of emergency power capacity		NWU Capital fund		9 600 000	
14	Additional parking area (Post grad housing)		NWU Capital fund		1 400 000	
15	New facility to house optical telescope (phase 2)	Recommended for 2020 onwards with external funding. Final scope unknown	External funding			3 000 000
16	Additional parking area (Library and adjacent buildings)		NWU Capital fund	875 000		
17	Additional space for IT Service Desk	In space currently occupied by admissions (temporary until Admin Building has been repaired)	Minor Building Works	900 000		
18	Construction of a piggery on Molelwane Farm	Subject to essential information to be provided by the Faculty	NWU Capital Fund	4 000 000		
19	Purchase of a new building for the School for Business and Governance	Full investigation in 2017 including possible alternatives.	Reserves IS 3		15 000 000	
20	Deferred Maintenance James Moroka Residence (B2)		RCS	5 175 000		
21	Upgrading of residences (Kayalitsha Residence - Phase 3) and Mbada Residence (Phase 4)		RCS	6 900 000		
22	Partitioning of groceries store	Subject to strategy for stores to be developed	Minor Building Works	450 000		
23	Groundwater infrastructure at Molelwane Farm (Boreholes etc.)	Test drilling for potential additional boreholes	Minor Building Works	280 000		
24	Replace window frames in bathrooms at Lost City Residence		RCS	480 000		
25	Macro and Deferred Maintenance	Budget allocation awaited	NWU Macro and Deferred Maintenance	13 089 414		
				40 149 414,00	62 000 000,00	3 000 000,00

Potchefstroom Campus

Schedule C : Project commitments carried forward from 2016

	Project Request	Comment	Source of funds	2015 & 2016		2017
				Funds Approved	Funds Pending Approval	Funds pending approval - Schedule D
1	Macro Maintenance of Drakenstein Restaurant	Construction to commence in November 2016	RCS	8 427 211		
2	Internal furbishment of new Biological Building (phase 2)	Construction to commence in October 2016.	NWU Capital fund(R24,5m) 2015 Reserves (R5,5m), 2016 Reserves (R2,6m) and R2m External funds	34 615 062		
3	Deferred maintenance of Building G1 and G3	Awaiting feedback from DHET	DHET & NWU		11 797 132	
4	Deferred maintenance and refurbishment / remodelling of Library (phase 4&5)	Awaiting feedback from DHET	DHET & NWU		12 320 000	
5	Macro Maintenance of Oosterhof Residence		RCS			15 307 779
				43 042 273	**24 117 132**	**15 307 779**

		PROJECTS FROM THE APP (2016 - 2018) AND NEW REQUESTS RECEIVED IN 2016				
	Project Request	**Comment**	**Source of funds**	**Schedule D - Recommended for 2017**	**2018/2019**	**2020 Onwards**
6	Additional space for C-Text	Awaiting approval of external funding	External	9 000 000		
7	Additional space for the School for Biokinetics, Sport and Recreation and the HPI	Planning in 2017	NWU Capital funds		10 647 280	
8	Facility for Occupational Hygiene	Urgent requirement to accommodate new program which has already been implemented	NWU Capital funds	9 800 000		
9	Emergency power for the Engineering Complex and Theology		NWU Capital funds			11 500 000
10	Refurbish former church into lecture room facility	Urgent requirement due to growth in student numbers over the past five years	NWU Capital funds	8 500 000		

	Project Request	Comment	Source of funds	Schedule D - Recommended for 2017	2018/2019	2020 Onwards
11	New lighting system for the Sanlam Auditorium		External funds	1 000 000		
12	New synthetic cricket nets	Minor Building Works	Minor Building Works	150 000		
13	Facilities for Geology (details unknown)	To form part overall planning of Faculty's future vacant spaces resultant from new Building for Biological Sciences.	NWU Capital funds			6 500 000
14	Interim spaces for Geology	Attend to OHS issues	Minor Building Works	300 000		
15	Indoor sport centre (details unknown)	Recommended for 2020 onwards	NWU Capital funds			
16	Third phase of the Biological Science Building	Second and third floors. Planning and tenders in 2017	NWU Capital funds		48 300 000	
17	Upgrading of lab G19 in Building C6 for technology and physical science practicals		Minor Building Works	150 000		
18	Additional lecture room	Construction of a larger lecture room is required for the campus. Investigation in 2017	NWU Reserves		25 000 000	
19	Replace emergency spiral staircases at Building G2 with stairs that adhere to statutory requirements	OHS requirement	Minor Building Works	900 000		
20	Refurbish Room 201 in G16 to accommodate 33 post grad students		Minor Building Works	400 000		

53

	Project Request	Comment	Source of funds	Schedule D - Recommended for 2017	2018/2019	2020 Onwards
21	Upgrade of RIIP/CENQUAM Kitchen		Minor Building Works	45 000		
22	Refurbish Lecture Room G08 in Building F12		Minor Building Works	350 000		
23	Refurbish existing lab for PhASRec - isotope analysis lab (K3, 104)	Temporary solution to address shortage of space	Minor Building Works	400 000		
24	Hydrogen Test Facility with infrastructure services	Awaiting details to estimate. Cost of infrastructure to be included in external funds sourced	External funds			
25	Facility to house construction of solar car	Cost of infrastructure to be included in external funds sourced	External funds	5 500 000		
26	New services infrastructure and roads to accommodate Engineering Research	Cost of infrastructure to be included in external funds sourced. Planning by PIP	Minor Building Works	250 000		
27	2 lecture rooms for UODL	Utilise current facilities which are not utilised and convert into lecture rooms in Building B7. Second lecture room already dedicated to UODL in Building B5.	NWU Capital funds	900 000		
28	Macro Maintenance of Opirif		RCS	10 000 000		
29	Macro Maintenance of PSV		RCS	1 350 000		
30	Upgrade swimming pool area at PSV		RCS	200 000		
31	Macro maintenance of Astrovilla		RCS	840 000		
32	Macro and Deferred Maintenance Projects			45 887 513		
				111 230 292	83 947 280	18 000 000

Vaal Triangle Campus

Schedule E : Project commitments carried forward from 2016

	Project Request	Comment	Source of funds	2015 & 2016		2017
				Funds Approved	Funds Pending Approval	Funds Pending Approval - Schedule F
1	10 Yr Macro Maintenance of Vergelegen and Jasmyn Residence	To be completed in phases (First half of Vergelegen to be upgraded in 2016) (Phase 2 application received. Construction phase in 2016/2017 when project approved)	RCS	6 000 000		15 210 000
2	Construction of additional student housing	Awaiting DHET approval	DHET & NWU		55 560 000	
3	Deferred Maintenance Teaching and Learning Areas (Building 25)	Awaiting DHET approval	DHET & NWU		2 253 158	
4	Lecture rooms complex	450 lecture room. Not regarded as the top priority by the campus. Planning has not yet started	R4m NWU Capital 2015 & R7,210m (NWU Reserves 2015) R13,790m (NWU Capital 2016)	R25 000 000 (Campus requested funds to be allocated for alternative project)		
				6 000 000	57 813 158	15 210 000

	Project Request	Comment	Source of funds	Recommended for 2017 - Schedule F	2018/2019	2020 onwards
		PROJECTS FROM THE APP (2016 - 2018) AND NEW REQUESTS RECEIVED IN 2016				
5	Convert Building 24 into Great Hall	To commence after construction of admin building	NWU Capital Funds			24 640 000
6	Nursing and Health Sciences	Strategic plan for development of Health Sciences on the campus is required. Facilities requirements not yet finalised	NWU Capital Funds		25 000 000	
7	Admin building in Phases	Planning in 2017 based on new campus support structure.	External funds as secured by campus (Sale of property)	48 500 000		
9	Increase emergency power		NWU Capital Funds			6 500 000
10	Residence upgrade	RCS to provide details	RCS			
11	Macro and Deferred Maintenance		Macro Maintenance	8 974 212		
13	Additional space for Optentia	Discussion room and office space for international guests	Campus	1 000 000		
14	Additional entrance / relocated entrance for campus	Planning in 2017 and execution in 2018/2019	NWU Capital Funds		6 500 000	
				73 684 212	**31 500 000**	**31 140 000**

IO

	Projects approved in 2016 that will carry over into 2017					
	No projects					
	PROJECTS FROM THE APP (2016 - 2018) AND NEW REQUESTS RECEIVED IN 2016					
	Project Request	**Comment**	**Source of funds**	**Recommended for 2017 - Schedule G**	**2018/2019**	**2020 onwards**
1	Macro and Deferred Maintenance		Macro Maintenance	3 708 861		
2	Minor Building Works		Minor Building Works	593 000		
3	Relocations due to restructuring		NWU Capital fund	1 000 000		
				5 301 861		

RATIOS AS PER FINANCIAL SUCCESS MODEL (which informs the APP)

	2016	2017	2018	2019	2020	2020 revised	2025	2025 revised
COST RATIOS								
Employees	54,1%	54,2%	53,5%	53,4%	50,0%	53,0%	49,5%	52,0%
Operational	41,4%	41,6%	41,2%	41,0%	41,0%	40,5%	40,0%	40,0%
Finance charges	0,3%	0,2%	0,2%	0,1%	1,0%	0,5%	1,3%	0,5%
Depreciation	3,2%	3,0%	3,2%	3,2%	4,0%	3,5%	4,0%	3,5%
PROFITABILITY/RESERVE RATIOS								
Recurrent surplus on recurrent turnover	1,0%	1,0%	1,9%	2,3%	4,0%	2,50%	5,2%	4,00%
	100%	100%	100%	100%	100%	100%	100%	100%
TURNOVER MIX RATIOS (currently need to combine Entrepreneurial, Endowments and Donors, State subsidised research and Short courses as on								
Subsidies	42,8%	43,3%	42,1%	41,1%	37,5%	41,0%	35,0%	
Student fees	33,4%	32,8%	34,1%	35,1%	28,5%	33,0%	28,5%	
Student accomodation and Food services	8,2%	8,4%	8,4%	8,5%	7,5%	8,0%	7,5%	
Other income sources	12,4%	12,8%	12,7%	12,6%	22,5%	14,0%	24,8%	
Investment income	3,1%	2,7%	2,7%	2,6%	4,0%	4,0%	4,2%	
	100,0%	100,0%	100,0%	100,0%	100,0%	100,0%	100,0%	0,0%

Contol totals - link with table 3 in this document				
	54,1%	*54,2%*	*53,5%*	*53,4%*
	41,4%	*41,6%*	*41,2%*	*41,0%*
	0,3%	*0,2%*	*0,2%*	*0,1%*
	3,2%	*3,0%*	*3,2%*	*3,2%*
	1,0%	*1,0%*	*1,9%*	*2,3%*
	100,0%	*100,0%*	*100,0%*	*100,0%*
	42,8%	*43,3%*	*42,1%*	*41,1%*
	33,4%	*32,8%*	*34,1%*	*35,1%*
	8,2%	*8,4%*	*8,4%*	*8,5%*
	12,4%	*12,8%*	*12,7%*	*12,6%*
	3,1%	*2,7%*	*2,7%*	*2,6%*
	100,0%	*100,0%*	*100,0%*	*100,0%*

Actuals for 2014 and 2015 (use audited unconsolidated statement of comprehensive income)

	2014	2015		
COST RATIOS				
Employees	50,4%	52,3%		
Operational	41,8%	38,9%		
Finance charges	0,4%	0,3%		
Depreciation	4,1%	4,7%		
	96,7%	96,2%		
PROFITABILITY/RESERVE RATIOS				
Recurrent surplus on recurrent turnover	3,3%	3,8%		
TURNOVER MIX RATIOS (currently need to combine Entrepreneurial, Endowments and Donors,				
Subsidies	39,7%	39,3%		
Student fees	31,3%	33,6%		
Student accomodation and Food services	8,5%	8,3%		
Other income sources	16,9%	15,3%		
Investment income	3,7%	3,5%		
	100,0%	100,0%		
Available equity: Total equity	13,2%	6,2%	8,4%	**2016 half**

6.6 Institutional risk register

Table 6: Priority risks and mitigating strategies

	RISK CLUSTER	STRATEGIC RISKS (2014)	OPERATIONAL RISKS (2015)	OPPORTUNITIES AS EVIDENT FROM THE NWU INTERNAL AND EXTERNAL SUCCESS MODEL (2015-2025)

FUNDING	**1 Insufficient funding for higher education**	Funding model for HE is not sustainable	Financing model still in progress and this causes a risk
			
			Sustainability of student bursaries under threat – possibility of bursary(such as Thuthuka) being suspended
			Decreases in subsidy results in necessity of funding elsewhere
			Growing student debt is a cause for concern
				Financial viability improvement interventions: Optimise and expand income streams (e.g. short-course intensification, optimise on-campus and off-campus student mix (in line with enrolment plan) to maximise income, market related student fees, optimal use of blended learning and infrastructure, development of entrepreneurial/innovation income (invest in support capacity to optimise quality of business plans and proposals), strengthen contract research capability, develop strategic business relationships with view on income-generation and international funding opportunities, investment income maximisation, aggressive strategy to attract donation / endowment income)
				
				NWU Internal Success model: - Financial success model
				   1. Turnover mix (% of recurrent turnover)
				      a. Subsidies (20%)
				      b. Student fees (38%)
				      c. Student accommodation and Food services (5%)
				      d. Entrepreneurial (14%)
				      e. Endowments and Donors (5%)
				      f. State subsidised research (5%)
				      g. Short courses (3%)

		#Fees must fall campaign might have a detrimental effect on the funding of universities The financial sustainability of the university could come under pressure as a result of internal (structure) and external (sector) factors.	Large no of PG students reliant on bursaries Severe austerity environment not favourable to universities Resource allocation between campuses to be balanced.	
	2 NSFAS centralised financial system increases eligibility risk for students		High number of students reliant of NSFAS funding Limited funding from NSFAS	

ACADEMIC MATTERS	**3 Shortage and loss of academic staff; also challenges in regard of staff recruitment and retention and staff morale**	Staff recruitment and retention	General shortage of manpower evident
			Loss of competent staff
			Challenges iro staff recruitment and retention
			Capacity is lacking to attract and keep good academics
			
			High volumes of work load
				NWU Internal Success model:
				Academic Talent Management:
				Aggressive initiative to recruit and retain top academics in particular Black staff
				Accelerate and increase pipeline for future academics with particular focus on Black and female staff.
				  NWU to be positioned as employer of choice in SA HE environment. for well-qualified staff and globally acknowledged academic staff and other knowledge workers, high staff retention >90%, local/international employment mix for academic staff (85:15). Employment market survey results in top 10% in Higher Education
				  Fully engaged and satisfied people; engagement survey results exceeding global benchmarks, climate survey results consistent at desired levels >80%

	RISK CLUSTER	STRATEGIC RISKS (2014)	OPERATIONAL RISKS (2015)	OPPORTUNITIES AS EVIDENT FROM THE NWU INTERNAL AND EXTERNAL SUCCESS MODEL (2015-2025)
ACADEMIC MATTERS (CONTINUED)	**4 Standards gap between basic and tertiary education**	Students not adequately prepared for HE studies	Inadequate secondary schooling poses difficulties for universities Quality of students attending university is declining Students are underprepared for university study	NWU Internal Success model: Clearly differentiating student-value proposition, amongst others equity of access.
	5 Drop-out rates	Student throughput	Throughput rates might not be sustained owing to lower standard students entering HE Poor throughput rates (both UG and PG) may lead to faculties not reaching targets and strain on resources	NWU Internal Success model: High quality teaching and learning: reflected in external peer reviews, student satisfaction, employer feedback, employability of work-seeking graduates employed/self-employed within 6 months in top 10% in HE in SA. Generic set of appropriate national comparative indicators to be developed
	6 Relevance and quality of programmes; also of teaching technologies	The lack of alignment across the NWU in regard of the programme offering and programme approval process. Inadequate understanding of the legal and regulatory implications of MOU's and contracts (including internationalisation of degrees through the offering of joint degrees with international universities) Delivery channels pose a risk to the sustainability of the NWU	Lack of alignment of programmes across campuses Slow external approval process of programmes poses a challenge Limited programme offerings poses a risk Available technologies not in support of NWU strategy of blended learning Conversion to an electronic learning-platform environment is too slow Optimal integration of distance students at systems levels Quality across campuses differs Overall quality of formative and summative assessments is a matter of concern	Fast-track and mainstream blended learning as a teaching and learning design within all modes of delivery (including a broader spectrum of programmes offered by distance) Compile strategy and implementation plan to introduce blended learning in on-campus and off-campus method of deliveries with focus on maximising income and financial viability keeping in mind the return on investment (in terms of infrastructure and IT) needed AND to achieve higher outputs at reduced cost per output ("do more with less")
	7 Skills mismatch of students into labour market (mix and level) considering mega trends	Gaps are evident between skills required in the workplace and the content of the academic programmes offered	The inability to have a smooth integration of WIL into the mainstream offering Inadequate field trips and WIL integration	NWU internal success model: Field of study mix migration to SET and Commerce: Align recruitment and academic support strategies Develop capacity in SET generally and particularly at VTC and ODL.
	8 "Publish or perish" R&D < % of GDP		Drop in NRF ratings of staff is a matter of concern Large numbers of M and PhD students, but slow throughput rates Pressure on the research time of academic staff	NWU internal success model: Research and innovation intensity: notable international profile and impact, ranked in top 5 in SA, ranked in top 600 globally

	RISK CLUSTER	STRATEGIC RISKS (2014)	OPERATIONAL RISKS (2015)	OPPORTUNITIES AS EVIDENT FROM THE NWU INTERNAL AND EXTERNAL SUCCESS MODEL (2015-2025)
COMMER-CIALISA-TION			Sustainment of research trajectory might be at risk owing to restructuring Unsatisfactory research productivity	
	9 Inability to commercialise opportunities	Non-formal programmes not managed optimally and might lead to penalties/litigation	Overly reliance on ETDP SETA and provincial education departments for expansion opportunities	NWU Internal Success model: - Financial success model 1. Turn-over mix Short courses (3%) 2. Profitability Short courses (30-40%) NWU External Success model: Private sector reputation: Preferred partner in contract research in selected areas, graduate professional development, life-long learning (short courses). Entrepreneurial, innovative, well-established and best-practice processes (licensing, patenting, collaborative platforms), ethical in sourcing income, high-performing graduates.
STUDENT EXPERIENCE	**10 Violence and unrest**	Student unrest situation at campus levels		
		The adequacy of security services (incl electronic equipment) at campus levels to contain possible unrest situations		
	11 Integration of student life across the NWU	Equity of provision of student housing across the NWU. Integration of minority groups across the NWU into student activities		NWU Internal Success model: Clearly differentiating student value proposition: diverse and integrated student life
COMPLIANCE	**12 Fraud risks**	Invalid contracts may lead to litigation. Also delays in delivery, financial loss and reputational damage because of inadequate contract management	Fraudulent and dishonest activities by university staff	NWU Internal success model: Governance, Risk, Compliance: Compliant with general and Higher Education sector specific legislation, all regulatory rules and procedures, and Institutional policies (100%)
		Information governance risks, especially iro possible degree fraudulent activities,	Possibility of fraud on replacement degree certificates Fraudulent activities iro claiming of bursaries	

	RISK CLUSTER	STRATEGIC RISKS (2014)	OPERATIONAL RISKS (2015)	OPPORTUNITIES AS EVIDENT FROM THE NWU INTERNAL AND EXTERNAL SUCCESS MODEL (2015-2025)
		uncontrolled data hand-overs, possible unauthorised access to IT systems	Lack of electronic leave system might bring about fraudulent reporting of leave statuses The risk of unlawful access to student system might lead to fraudulent capturing of marks Unauthorised access to databases	

Annexure A: Common Strategic Assumptions for NWU Strategy: 2015 to 2025

Strategic assumptions refer to key trends, developments, anticipated significant events, important current realities that will continue or may intensify, as well as anticipated risks and opportunities that are likely to impact the University in the short-, medium- and long-term. The following assumptions underpin the NWU strategy:

1	Market Size and Growth Assumptions	Implications for NWU
1.1	Undergraduate student demand	
1.1.1	Learners exiting the school system with an NSC with endorsement for degree study will continue to grow (but at a slower rate than expected by the NDP and the White Paper on Post-School Education and Training). The majority of students will be underprepared for university tuition.	Competition will intensify amongst tertiary institutions (including from non-traditional universities) for the limited pool of adequately prepared students, particularly for those adequately prepared in mathematics and science. The increase in participation rates will be difficult to realize due to the relative under preparedness in mathematics, science and accounting.
1.1.2	The demand by students for day tuition will increase (eliminating the need to pay for residences or lodgings).	Reduction in enrolment by students from distant metropoles.
1.1.3	Increased demand for distance, technology-enabled tuition and flexible tuition models.	Development of new tuition models, learning materials, reliable technology solutions, and systems of student tracking will be essential. Integration of distance provision into mainstream NWU planning, systems and policies will be required. Delivery model, investment requirements and financial/funding model will have to be developed/tested/refined.
1.1.4	Demand for teacher training and teacher further training will increase. Competition for market share will be intense.	A differentiated student value proposition as well as aggressive marketing will be required.
1.1.5	Demand for functional multilingualism will remain. Preference for tuition in Afrikaans will however decline in medium- to long-term and demand for English tuition will grow. The drive to enhance other African languages will remain unclear.	Teaching/learning and administrative environments will experience significant infrastructure and capacity strain. Polarities, both internally and externally will make it difficult for the NWU to manage its own language affairs. Language will increasingly become a focus of equitable access debates and lead to increased student activism.
1.2	Postgraduate student demand and market size	
	Moderate growth in postgraduate student demand. Black South African postgraduate student market size will remain very limited.	National funding initiatives to increase postgraduate production will become more important. Failure to achieve sufficient demographic representation of academic staff is highly likely. Focus on performance-based incentives tied to transformation initiatives will be required.
1.3	International student demand	
	Demand by international students will increase for both undergraduate and postgraduate studies as well as in distance mode delivery.	International profiling of NWU, international collaboration, ODL tuition in SADC and the effective management of regulatory barriers to international student recruitment will be increasingly important.
2	Customer Assumptions	Implications for NWU
2.1	Student Market Segmentation	
2.1.1	Socio-economic status and financial aid: Enrolment growth will be dominated by students from a lower socio-economic status who will increasingly depend on financial aid. NSFAS unlikely to satisfy student demand for financial aid. These students will, in general, be underprepared for university tuition.	The financial model and sustainability of NWU will be under strain. Pressure to provide ODL offerings, its associated technologies as well as on internal alignment requirements will increase. ODL likely to be considered as major vehicle for addressing expanding demand and as potential lower-cost tuition model. Pressure to develop academic literacy

		and academic support capacity and to extend support drastically. Student activism and militancy likely to increase.
2.1.2	Contact and distance mix: Mix will change in favour of distance with distance provision but very differently configured than NWU's current UODL(s).	As per 1.1.3
2.1.3	Training needs: Greater differentiation required between vocational and technical training at undergraduate level (diplomas) and a balance between professional and general formative degrees.	Refinement of academic mission to cater for both the professional and general formative qualifications will be essential. Academic staff with the appropriate work experience for vocational and technical qualifications will be required. Potential for more differentiated campus profiles will emerge.
2.1.4	Disability: Increased importance of students with disabilities.	Physical environments at all campuses that address the needs of such students will be required. A deepened understanding of the institutional challenges of supporting students with disabilities will be essential.
2.2	Value expectations: All students	
2.2.1	The well-known expectations that will continue to be important: quality education, graduate employability, affordability, value for money, safe and secure environment (physical security, drug free), rich student life (residence, cultural, sport), academic and psycho-social support, well-resourced (amenities, service provision, transport). Expectations of equity between NWU campuses will increase in importance among students.	Programme relevance and quality, student administration, student life management, funding model, efficiency and costs will require increased focus across NWU. Perceived inequity in respect of any value expectation will increase student activism/militancy and will demand increased management attention.
2.2.2	Emerging value expectations that will be increasingly important: A blended learning environment with seamless technology. Interactive learning, accessible anywhere anytime, compatible with multiple devices, abundance of bandwidth. New learning styles of shorter time-spans, bit-size information, interactive, collaborative (networking, immediate feedback expected, integration with social media platforms).	As per 1.1.3. Ongoing research into the design of electronic learning materials to ensure optimal accessibility on many devices will be essential. Access to devices by lower socio-economic status students may lead to inequalities of outcomes and will require attention. The role of academic staff will change to learning facilitator of student learning. Focus of academic development will shift fundamentally.
2.3	Value expectations: Postgraduate students (in addition to 2.2)	
	The well-known value expectations that will continue to be important: high quality and committed supervision by leading academic supervisors, research support, vibrant academic culture, adequate and dedicated working spaces, adequate financial support and opportunities for international exposure.	The critical importance of this segment for the sustainability of NWU will require a coherent, integrated strategy that should include acquiring additional NRF rated researchers, uniform policies and monitoring systems, investment in facilities and spaces and student financial support.
2.4	Value expectations: International students	
	The well-known value expectations that will continue to be important: internationally comparable quality, a cosmopolitan cultural environment, high/adequate proportion of international staff, and student support.	The critical importance of this segment for the reputation of NWU will require a coherent, integrated strategy to better address and invest in all value expectations.
2.5	Value expectations: Parents and Sponsors (Parents and sponsors will continue to have similar expectations to 2.2 above)	
2.5.1	High academic standards.	Standards of all qualifications at all campuses in all modes of delivery will have to be verifiable and nationally comparable.

2.5.2	Continuation of character and traditions of campuses (Alumni).	Perception and reputation management will be important if the transformation process is perceived to threaten alumni support. Re-positioning strategy will be critical to replace potential sense of loss with a positive narrative.
2.6	Value expectations: Government (Dept. of Higher Education and Training; Dept. of Science and Technology; other Departments)	
2.6.1	Overall: Contribution to the achievement of key goals expressed in the National Plan for Higher Education (2001), the National Development Plan (2011), White Paper for Post-School Education and Training (2013), and other policy documents.	The NWU strategy will require emphasis on access, student success and transformation. Integrated and robust plans, objectives, performance management and monitoring systems will be required in respect of these: Access at all campuses reflected in academic planning including preparing learners from disadvantaged groups; Success supported by extended programmes, mentoring, tutoring, and supplemental instruction and Transformation including diversity targets for staff and students, curriculum transformation, institutional culture.
2.6.2	Specific: Graduates who are employable and able to contribute to national development, scarce skills production, linkages with vocational education and training, increasing knowledge production and innovation.	A fundamental re-think of desired future NWU typology will be required. NWU strategy to clearly indicate alignment value expectations in respect of market direction, fields of study mix, qualification pathways, programme relevance, modes of delivery, work integrated learning, collaboration with TVET sector, scarce skill provision (SET and school teachers) and expansion of internationalisation.
2.7	Value expectations: Business, Industry, NGO's	
2.7.1	The value expectations in respect of graduates will continue to be important i.e. employability and work-readiness.	Increasing engagement with business and industry will continue to be important to align work integrated learning to curricula, to embed critical cross-field outcomes in curricula, as well as to balance general educational goals and industry/professional body expectations.
2.7.2	The expectation to partner with business and industry will increase.	Expanding research and innovation, consulting, work integrated learning, and community partnerships will be increasingly important.
2.7.3	To make significant contribution to the development of scarce skills, will become increasingly important to business and industry.	PQM as well as academic planning and capacity alignment will be required.
3	**Higher Education Assumptions**	**Implications for NWU**
3.1	Teaching and Learning	
Note: Assumptions related to HE system expansion, ODL, access, financial aid, increased competition, ODL expansion, TVET sector collaboration, graduate employability, impact of technology and scarce skills supply, academic staff supply are captured elsewhere in the document.		
3.1.1	Funding for infrastructural development/expansion will be limited.	Infrastructural capacity will not keep pace with enrolment growth. ODL expansion, blended learning technologies and the redesign of existing learning spaces will require focus.
3.1.2	Regulatory system will become tighter with more intrusive reporting and monitoring requirements: Programme approval processes, regulation of continuous education (short courses) and earmarked grants will be increasingly burdensome and stricter. Increased DHET reporting on transformation, social inclusion and social injustice.	Increasing state control and centralisation will erode academic freedom and affect relative institutional autonomy. Regulatory conformance, QA, well-conceptualized programmes will be paramount. Evidence of serious transformation will be required.
3.1.3	Open Educational Resources (OER) use will increase and may	Open Education Resources University (OERu) partnership, international

		possibly improve the quality of educational provision. Expansion of Massive Open Online Courses (MOOCs) will continue.	network development, participation of academics and contribution of modules will be required. International learning material quality will become the new benchmark and Northern Universities will increasingly influence content. MOOC's will create new competition. Academic resistance to facilitation vs. producing learning materials will emerge.
3.2		**Research, Innovation and Community Engagement**	
3.2.1		<u>Typology:</u> Universities striving to become centres of excellence will compete more intensely for collaboration with science councils and other R&D role players. Teaching and learning, and research and innovation will remain the primary drivers of the emerging typology, with community engagement and partnerships remaining critically important in the South African context.	Unbridled competition between universities and pressure for shorter term gains (such as commercialisation and/or community developmental goals) will be felt by NWU. Engaging in thematic collaboration with multi-disciplinary R&D on the entire value chain will be critical for success. Simultaneous focus on R&D and on the quality of teaching and learning to improve the quality of higher education will remain critical.
3.2.2		<u>Internationalisation:</u> Universities will become increasingly globalised and differentiate their brands through rating and ranking systems as well as through web presence. Competition for international students will be fierce.	A comprehensive international collaboration strategy should consider opportunities like co-branding, resource sharing (joint degrees, co-chairs, collaborative research, and complementary skills development), regional collaboration, research and innovation programmes, and international student recruitment/exchange.
3.2.3		<u>Policy and funding framework:</u> Policy framework will remain favourable and will help firms and encourage institutions to discover new lines of competitive advantage and generate technological innovation and broad-based, export-led economic growth. Government will increasingly partner with the private sector to raise the level of R&D and the state will continue to play an active role both in funding research and development. Research funding will however be inadequate and competition for funding will be fierce.	Bureaucratic impediments including corruption, the increasing expectations to engage communities, pressure for short-term gains will need to be managed/mitigated. Government and industry relations to encourage R&D funding growth will be critically important. Community engagement and partnerships will continue to be relevant. International funding sources and smart partnerships will be essential.
3.2.4		<u>Innovation:</u> Public policy will focus on research and development in existing areas of competitive advantage, where global markets are set to grow i.e. high-value agriculture, mining inputs and downstream processing, innovation to meet environmental and energy efficiency objectives, and financial services. In the short-term, foci will include expansion in high-skills supply, improving education throughput at primary and secondary levels, reliable energy and water supply, local service delivery, intensifying research and development spending, opportunities in existing industries and community development. The next phase will include resource-cluster development for the mining industry, combining production of capital goods, provision of engineering services, and targeted beneficiation opportunities, laying the foundations for more intensive improvements in productivity. Towards 2030 even greater emphasis will be placed on innovation,	A comprehensive innovation strategy should consider opportunities like: • the inclusion of preparatory work linked to innovation and research in undergraduate programmes • implementation of a regional innovation structure and the development of knowledge partnerships to create new mechanisms for collaborative knowledge generation • stimulation of multi-, inter- and trans disciplinary research and the diversification of research income • the steering and management of research outcomes towards innovation and commercialization and a move towards a cluster approach to support the development of the knowledge economy • focus on social and other national imperatives, strengthening the legitimacy of the institution, while finding new sources of funding • improved response to government requests for researchers to participate in expert panels, contribute to white-papers, etc.

	improved productivity, and more intensive pursuit of a knowledge economy and better exploitation of comparative and competitive advantages in an integrated continent.	
4	**Competition Assumptions**	**Implications for NWU**
4.1	Competitive intensity and differentiation: The competitive intensity in Higher education locally, regionally and globally will increase and differentiation will remain extremely challenging.	The strategic agenda will by necessity have to focus on market niches, research output, quality learning programmes, calibre of academics, strategic partnerships and market direction (fields of study and geographic footprint). Managing the reputational complexity and the reputational risk of transformation will require evidence of credible transformation as well as skillful strategic communication to all stakeholders.
4.2	Resources: There will be significantly increased competition amongst institutions for resources, students, staff and prestige. The calibre of academics will remain the fundamental basis of competing and the war for top scientific talent will be fierce.	
4.3	Reputation: The quality of an institution evidenced by rankings, ratings and its performance in respect to National Developmental needs as well as the transformation agenda of South Africa, will ensure long term sustainability.	
4.4	Focus: Academic niches / specialisations and industry focus will be key to survival and a precondition for strategic relationships.	
4.5	Strategic relationships: Collaborations/partnerships will become the new competitive battleground for survival and success. Global, African, regional and local relationships with government, other universities, the research community, industry and big business as well as with communities.	
5	**Income, Capital and Funding Assumptions**	**Implications for NWU**
5.1	DHET Funding: Subsidy income will reduce due to the establishment of new universities, ongoing reviews of the DHET funding model and a decline Government spending relative to GDP. (Transformation may be prioritised ahead of financial sustainability and if not achieved, a major portion of subsidy income might be at risk)	Own income generation, review of non-financially viable core and non-core activities, increased efficiencies and effectiveness and disciplined cost management will be essential. A more cost-effective management model will be required. Non-viable programmes will have to be phased out. NWU will not be financially sustainable (all other parts of the financial model remaining the same). A revision of the resource allocation model will be required for equitable and transparent resource allocation, optimal 'business' ownership/focus, budgetary control and strategic imperatives.
5.2	Tuition and related fees: There will be a decline in NSFAS funding in real terms, reliance on bursaries will increase and bad debts will increase.	The decline in NSFAS support students will become more demanding and student militancy will escalate. Cash flow will be at risk and NWU will become increasingly unsustainable financially. New cost effective tuition (incl ODL) to better utilise existing capacity, fundraising, maximising post graduate funding opportunities will be required and increases to contact student fees will be unavoidable. Resource allocation as per 5.1 applies.
6.3	ICT in Teaching and learning: ICT will enable improved learning	ICT investment in infrastructure, support and teaching/learning solutions

	and success/throughput and will underpin an integrated and immersive teaching / learning value chain.	will determine the NWU market share in the full teaching/learning value chain as well as in the student life cycle from student access through to continuous professional development.
6.4	ICT for Research: Broadband networks, big data capabilities (storage and analytics), high-performance computing will develop to cater for research needs and will be networked to other (C) HPC's. National repositories, and data bases will in time be successfully shared. Digital instrumentation will increasingly be linked and shared in a virtual national network.	Larger scale benefits with communities of practice will require appropriate international and local partnerships, the use of Internet II and appropriate outsourcing.
6.5	Communities: The digital divide will be reduced driven by technology development and the broader access to online education. Communities will experience access to technology as levelling of the playing field and being empowered.	NWU and its activities will become increasingly accessible to the community posing opportunities for greater legitimacy and credence as an institution for the public good and the requirement for increasing community responsiveness and infrastructure capacity.
7	**People Assumptions**	**Implications for NWU**
7.1	The shortage in scarce skills areas, particularly in SET and commerce fields, as well as in senior staff categories, will increase. Competition for talent will intensify.	It will be increasingly difficult for NWU to attract and retain staff. A comprehensive talent management strategy will be critical and should include: increasing internal development, succession planning/pipeline management, effective mentoring and performance development processes, a progressive apprentice supervision model, an employee value proposition that increases engagement/belonging, competitive compensation, counter-poaching strategies/practice for scarce skills and a special scarce skills recruitment-retention practice/programme.
7.2	The talent pool for black academic staff will remain small and competition for black academics will intensify.	An aggressive staff development programme for black academics from among NWU postgraduate students and other recruits will be essential. Also refer 7.1 above.
7.3	Organisational culture, staff engagement and commitment, as well as staff productivity will become increasingly important in building competitive advantage in Higher Education.	People practices and leadership behaviour related to employee engagement and productivity will increase in importance i.e. training, mentoring, coaching, performance management, appropriate disciplinary action and leadership communication/visibility. The desired NWU culture will have to be defined and actively developed by its leadership.
7.4	SETA rebates for staff development will reduce.	Creative alternatives to sustain and increase own funding for staff development will be required failing which NWU will become less competitive.
7.5	Unemployment will increase.	Projects and training programmes with an impact on employment will become more important. The temptation of 'mission drift' towards a vocational training institution will have to be managed.
7.6	Pressure to comply with the Employment Equity Act will intensify.	A credible EE plan, rigorous implementation at an increased pace supported by capacity building and incentives will be essential. Also refer to 2.6.1
7.7	Trade unions will play a more prominent role.	Union pressure for salary increases and to influence managerial decisions whilst NWU will raise the bar on staff efficiencies, will require constructive/collaborative management-union relationships.

8	Regulation, Governance and Legal Assumptions	Implications for NWU
8.1	The regulatory environment will become more stringent. The powers of the ministry to intervene in domestic university management activities will increase.	The position of the NWU council as highest decision-making body and autonomy will be threatened. Continued engagement with all tiers of government to develop a healthy relationship and strengthen the social compact will be crucial.
8.2	Foundational governance principles, inherent to higher education, such as cooperative governance, accountability and relative autonomy and the role of university councils will continue to be diluted.	It will be increasingly important to appoint individuals in governance bodies (council, senate, and institutional forum) who are properly equipped, as well as to inculcate ethical values and good corporate governance principles as a core and measurable aspect of the way in which these bodies conduct their business.
8.3	Legislation will increase in volume and complexity. The risk and consequence of non-compliance will escalate.	An active, business case-based, edge-creating and mature risk-management approach will be necessary to ensure compliance, ethical standards and business continuity. The negative effect on the management of the core business, and the increasing risk to business continuity will require active management. Also refer 3.1.2 above.
9	Community Assumptions	Implications for NWU
9.1	Regional / local communities will increasingly expect • mutually beneficial relationships with the NWU • community-relevant learning programmes • social skill and other development interventions • access to technology • involvement in addressing socio-economic issues through relevant research and implementation of expertise • open and transparent engagement	Mutually beneficial relationships, community partnerships, structured and well-managed community interaction, sufficient proof of benefits/feedback to communities and an institutional data base of community projects to support planning/reporting will be required. Focus will be required on programmes that build capacity, alleviate socio-economic conditions and increase employability. Opportunities to improve the NWU reputation and to extend community development nationally should be exploited. The most pressing and relevant socio-economic issues and mutually beneficial applied research with income generation as well as community sustainability should be prioritised. Also refer to 6.5.
9.2	The community in general will • need clarity on what differentiates the NWU from other universities • perceive the NWU, as a national asset and part of their heritage.	Continued and clear communication regarding the activities, characteristics, strengths and areas of special expertise, national relevance on a wider basis will be increasingly important.
9.3	Pressure from certain community focus groups to provide funding for financially impaired students will continue.	Perceptions that the student demographic is determined by racially-driven selection, and of being an ivory tower among communities in need will have to be managed and counteracted by more support and access to higher education, as well as through projects aimed at the sustainability of rural communities.
9.4	Community activism, political unrest, protests and demands will escalate and will increasingly impact Higher Education. Community expectations and attitudes will increasingly be reflected in the student population.	Increasing politicisation of and activism by students from communities surrounding campuses will by necessity have to be managed actively. Strengthening NWU relationships with local communities, promoting the NWU value proposition within communities and mobilising students in larger numbers in community projects will require more attention.
10	Alumni Assumptions	Implications for NWU
	Alumni groups will maintain an interest in the university and its	Alumni relations to ensure continued support and strategies to counteract

	future development. Alumni will remain a significant influencer in the success of NWU.	the risk of potential loss of support will be increasingly important. Also refer 2.5.2 above.