NELSON MANDELA

UNIVERSITY

Annual Performance Plan: 2021

Compiled by the Office for Institutional Strategy

3 December 2020

NELSON MANDELA UNIVERSITY ANNUAL PERFORMANCE PLAN: 2021

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FOREWORD BY CHAIRPERSON OF COUNCIL

In South Africa, access to quality and affordable post-school education continues to be in high demand, especially given the ambitious participation rate targets in the National Development Plan (NDP) and the need to accommodate high proportions of our youth who are not in employment, education or training (so called NEETs). The demand to demonstrate the responsiveness and impact of higher education institutions is simultaneously increasing, particularly in developing nations.

Universities in Africa are increasingly called upon to participate more actively in addressing the developmental needs of the continent, with specific reference to the African Union Agenda 2063. African universities are well placed to build effective transdisciplinary networks which focus on addressing complex, real-world challenges facing the continent such as food security, environmental sustainability, conflict, poverty, and the burden of disease.

Against this background, it is of paramount importance that Nelson Mandela University positions itself strategically in the service of society, primarily through its core mandates of learning, teaching, research, innovation and engagement. As the only university in the world to carry the name of Nelson Mandela, our institutional identity and core academic missions are underpinned by our namesake's values and principles. The University's positioning strategy is a critical precondition to thrive within the context of the prevailing complex challenges confronting the higher education sector such as policy uncertainty, slow economic growth, and intensifying global competition for talent and funding.

A comprehensive review of the University's Vision 2020 strategic plan and the initial scoping of our Vision 2030 strategy are aimed at propelling the institution into the next decade as a university in the service of society. The wide-ranging organisational redesign process undertaken over the course of the last two years served as a major recalibration to ensure that the University's structures, systems and processes are agile, fit for purpose and strategically aligned.

In other substantive areas of focus, the University is reconfiguring its paradigm of engagement in alignment with an equalising and non-paternalistic approach that more meaningfully converses with and contributes to alleviating human precarity by releasing the agency of communities to co-create sustainable solutions to the challenges they are confronted with. Promoting student access for success continues to remain paramount, with a specific focus on various strategies to improve success rates, as well as graduate and research outputs. Strategic resource mobilisation interventions geared towards expanding access for the so-called "missing middle" and postgraduate students who do not qualify for the National Student Financial Aid Scheme (NSFAS) are also vital especially for academically deserving students from disadvantaged backgrounds, many of whom are the first in their families to pursue a university qualification.

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To this end, the University seeks to contribute to advancing a more socially just, humane and sustainable world through the following strategic priorities, namely:

- Embrace a distinctive educational purpose and philosophy that contributes to student access and success.
- Develop and cultivate an engaged, innovative scholarship culture that generates knowledge recognised for its contribution to sustainability.
- Foster an affirming, transformative institutional culture that promotes diversity and social cohesion.
- Enhance long-term financial sustainability through innovative resource mobilisation and responsible stewardship.
- Position the University as an employer of first choice by investing in talented, high-performing staff.
- Provide and sustain enabling systems and infrastructure that promote an exceptional experience for students, staff and key stakeholders.

In pursuing these strategic priorities, the University will strive to promote the public good through the expansion of human understanding, pushing forward the frontiers of knowledge in all knowledge domains, and cultivating graduates who make a positive impact on society through responsible citizenship.

OFFICIAL SIGN-OFF

It is hereby certified that the Nelson Mandela University Annual Performance Plan for 2021:

- Was developed by the senior management of the Nelson Mandela University under the guidance of the Vice Chancellor, Professor Sibongile Muthwa;
- Was prepared in alignment with Nelson Mandela University's revised Vision 2020 Strategic Plan and the emerging Vision 2030 Strategy; and
- Accurately reflects the performance targets which Nelson Mandela University will endeavour to achieve given the resources made available in the budget for 2021.

AMBASSADOR NOZIPHO JANUARY-BARDILL
CHAIRPERSON OF COUNCIL

PROFESSOR SIBONGILE MUTHWA
VICE-CHANCELLOR

SECTION A: SITUATIONAL ANALYSIS

1. Performance delivery environment

Higher education plays a major role in the development of a vibrant society and is key to delivering the knowledge requirements for development that will enhance the quality of life for all citizens. The constant and increasing rate of change in the higher education sector, nationally and globally, is influenced by a range of external drivers, most recently the COVID-19 global pandemic, coupled with rising societal expectations in respect of the role of universities in contributing to the public good. The COVID-19 pandemic has significantly accelerated digital transformation within a global context where social distancing, blended learning and digitalised service delivery are rapidly becoming the norm. More fundamentally, COVID-19 is challenging deep-rooted notions of when, where, and how education is delivered to promote lifelong learning, as well as how universities contribute to socially engaged and innovative scholarship to improve the conditions of those who are most vulnerable in society.

Within this context, the University seeks to position itself intellectually within a differentiated post-schooling landscape through several game-changing trajectories, such as:
- Re-centering Africa through our commitment to awakening African scholarship, epistemologies and systems of thought, expanding our partnership footprint on the continent, and developing the next generation of African scholars and academics who advance excellence through their scholarly contributions.
- Revitalising the humanities and fostering transdisciplinary collaboration.
- Positioning the University as the leading Ocean Sciences destination in the country, and in the longer term, on the African continent.
- Transforming health sciences education towards the establishment of the tenth medical school in the country.
- Repositioning and advancing the praxes of an engaged, transformative university which is locally and globally responsive.
- Embracing humanising pedagogical approaches and student-centric support that liberate the full potential of our students and enhance holistic student success.

Although much of the attention of higher education institutions has been necessarily focused on emergency measures to mitigate the adverse consequences of COVID-19 on the 2020 academic calendar, it is crucial that universities start thinking ahead and design forward-looking strategies that will enhance their strategic positioning and future sustainability. To this end, the University is currently distilling Vision 2030 strategic priorities and enablers to achieve its aspirations in the service of society. Following internal and external stakeholder engagements, we will seek firm approval of the Vision 2030 strategy from Council in the first quarter of next year to guide our future-focused strategic

trajectories, opportunities and risks.

As part of the strategic planning process, the context within which the University operates must be continuously evaluated to assess the impact of external and internal environmental trends on decision-making, strategy and resourcing, including the legislative mandate within which all South African post-school education and training (PSET) institutions operate.

2. Legislative mandate

Within the context of higher education and training, key legislation and policy frameworks guide the purpose and mandate of public universities in South Africa. The most pertinent legislative frameworks are discussed below.

In its policy brief on education during COVID-19 and beyond, the United Nations observes that the COVID-19 pandemic has caused one of the most significant disruptions of education systems in history, affecting nearly 1.6 billion learners in more than 190 countries across all continents. More than 166 countries implemented various forms of national lockdown as a response to curbing the spread of the virus, which resulted in the closures of schools and other learning spaces impacting on 94 per cent of the world's student population. Universities across the world, including South Africa, are implementing various emergency interventions to recover the 2020 academic year against the backdrop of a dismal global economic outlook, with very low economic growth and increasing rates of unemployment.

Considering the negative impact of the COVID-19 pandemic on an already flailing economy, President Ramaphosa outlined the South African Economic Reconstruction and Recovery Plan on 15 October 2020 to provide an overview of national government strategies aimed at stimulating equitable and inclusive growth. Despite all it challenges, the current conjuncture presents an opportunity to build a new, inclusive economy that benefits all South Africans by decisively addressing low and declining economic growth, falling per capita incomes, low investment, as well as high and deeply entrenched levels of inequality, poverty and unemployment. The identified areas of emphasis include economic growth, job creation and infrastructure investment. The eight priority areas include the following priority interventions, namely: aggressive infrastructure investment; employment orientated strategic localisation, reindustrialisation and export promotion; energy security; support for tourism recovery and growth; gender equality and economic inclusion of women and youth; green economy interventions; mass public employment interventions; strengthening food security; and macro-economic interventions.

Higher education is a key role player in achieving the priorities and outcomes articulated in the Medium-Term Strategic Framework, 2019–2024 since it enhances skills and improves worker productivity. Priority 3 of the MTSF focuses on education, skills and health with an emphasis

on the achieving the following outcomes, namely: expanded access to PSET opportunities; improved success and efficiency of the PSET system; improved quality of PSET provisioning; and a responsive PSET system. The MTSF 2019-2024 serves as a five-year roadmap towards achieving the targets set in the National Development Plan 2030. An assessment of progress made by universities towards achieving the NDP targets is outlined below.

NDP 2030 Targets	Progress
Increase enrolments from 950 000 to 1.62million (GER of 30%)	1.085 million enrolments in universities in 2018 GER increased from 17.7% in 2010 to 21.6% in 2018
Ensure that disadvantaged students are fully subsidised	In 2016, 26.4% of university graduates were supported by NSFAS funding
Increase graduates from 170 000 to 425 000, particularly in scarce skills areas	227 188 graduates in 2018
Increase doctoral graduates from 1 420 per annum to 5 000 per annum (100 per million)	Increase in doctoral graduates from 28 per million in 2010 to 58 per million in 2018
Expand the number of PhD qualified staff from 34% to over 75%	Average of all academic staff with PhDs was 47% in 2018 and 35% in 2010
A quarter (25%) of all degrees obtained should be postgraduate degrees (with emphasis on black-African and female students)	22% in 2018
Expansion of distance education	Enrolments in distance programmes have increased at Unisa by 80 000 (or 27.4% growth from 2010)
75% throughput (Note: A throughput rate must not be confused with a graduation rate. A graduation rate is simply a ratio of graduates in a given year divided by enrolments in that year.)	The overall graduation rate was 20.9% in 2018
Increase research outputs in form of research publications	Research publications have increased by 93% between 2010 and 2017
Create research environment that is welcoming to all	Female doctoral graduates and African male plus female graduates increased to 1 440 in 2018.
Strengthen universities that have embedded culture of research	Although informally acknowledged as a subgroup of traditional universities, "research universities' are not funded as such.

Source: Analysis of PSET Trends towards achieving NDP 2030 (2020)

The National Development Plan views the main functions of universities in society as follows, namely, they: educate and train people with

high level skills for the employment needs of the public and private sectors; are the dominant producers of new knowledge; critique information and find new local and global applications for existing knowledge; and provide opportunities for social mobility thereby strengthening equity, social justice and democracy. To this end, the White Paper for Post-School Education and Training (2013) sets out a vision of a differentiated post-school system that supports a wide range of citizens in accessing diverse opportunities for further study and self-advancement to prepare them for meaningful livelihoods. In keeping with the NDP and MTSF targets, the White Paper furthermore rightfully emphasises that, while enhancing access, universities also need to focus on improving student success and throughput rates, to move towards achieving the national benchmarks of 80% and 25% respectively.

The National Plan for Post-School Education and Training, 2017 is a roadmap for the development and reinvigoration of post-school education and training from 2018 to 2030. It provides an implementation framework to achieve the following broad policy goals of the White Paper, namely, to:

- Develop an integrated post-school system by 2030 that is purposefully differentiated to meet the wide range of education, training, skills development and knowledge demands of the country.
- Ensure the delivery of a diverse range of quality post-school qualifications and programmes that are responsive to the needs of students, society and the world of work.
- Simplify and better integrate the post-school system so that qualification pathways and articulation possibilities are clear and appropriate opportunities can be accessed by students.
- Build the capacity of postschool institutions to grow, transform and become more sustainable, with a focus on the human capacity necessary for teaching, research, support, engagement, management and governance.
- Support the continued implementation of systemic initiatives that will result in improved quality of programmes and curricula, excellent teaching and learning, and significantly improved student success and throughput.
- Ensure that the PSET system works towards common goals, by aligning the planning, funding and monitoring of the different components of the PSET system, wherever possible.
- Increase collaboration and resource-sharing across the system, while ensuring the development of a diverse set of institutions and qualification types.

The NPPSET outlines the vision for a single, coordinated PSET landscape with a diverse range of players as depicted in the diagram below:
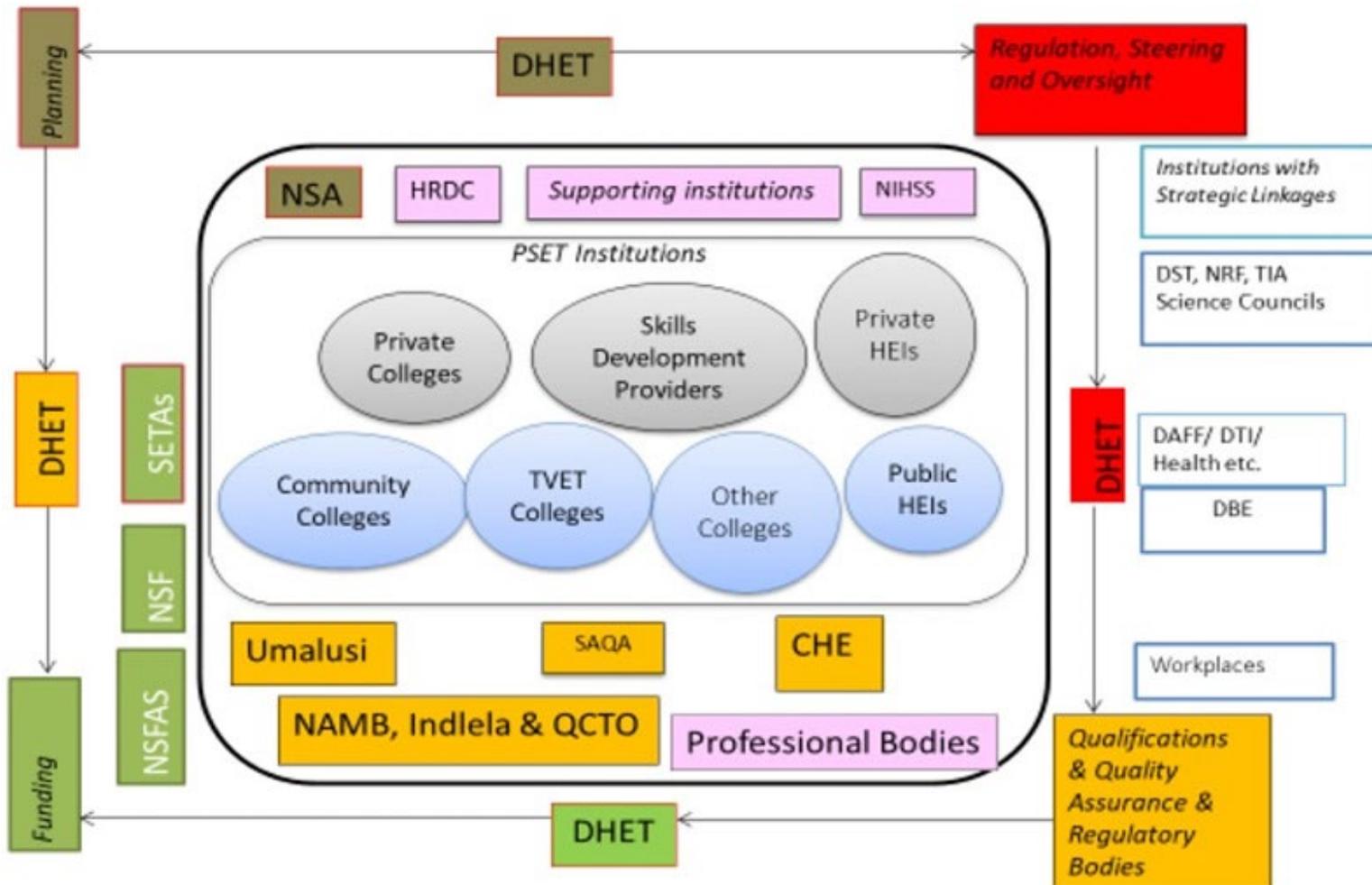
Source: Towards a National Plan for Post-School Education and Training: process, parameters and possibilities (2019)

The White Paper on Science, Technology and Innovation, 2019 sets the long-term policy direction to ensure a growing role for science, technology and innovation (STI) in improving economic competitiveness and creating a more prosperous and inclusive society. The White Paper on STI introduces policy approaches to ensure an open, responsive and diverse knowledge system, including adopting an open science paradigm, supporting a diversity of knowledge fields, advancing a greater focus on inter- and transdisciplinary research, and

acknowledging the contribution of the humanities and social sciences to addressing complex societal problems. Furthermore, the White Paper introduces a systematic approach to expanding the internationalisation of STI and science diplomacy with a strong focus on the African continent to support a pan-African agenda.

Against this comprehensive legislative backdrop, Nelson Mandela University will distinguish itself through novel approaches to the curriculum, teaching and learning, research, innovation and engagement in keeping with the mandate endowed upon South African public universities. The University will strive to position itself strategically within a differentiated PSET system through its transformative and values-driven ethos, its comprehensive academic programme and qualification mix, and its engaged, innovative inter- and transdisciplinary scholarship that contributes to socially just and sustainable futures. In doing so, it is important to analyse the strengths, challenges, opportunities and threats confronting the University to assess how institutional strategy optimises and addresses these within an increasingly resource constrained context.

3. State of the University

Nelson Mandela University situates its forward planning by taking cognisance of the strengths, challenges, opportunities and threats confronting higher education nationally and globally.

3.1 Strengths

Nelson Mandela University has been exploring how to give intellectual and pragmatic expression to its strategic intention to promote the public good in the service of society. The University is widely recognised for its socially responsive, engaged scholarship and innovation, which seek to co-create pioneering solutions to a broad spectrum of societal challenges in collaboration with key stakeholders. The University strives to facilitate convergence[1] – or the "coming together" - of University scholars and students across all disciplines with communities to address the so-called wicked problems confronting society and the planet by enhancing food security, accelerating inclusive economic growth, promoting universal access to quality healthcare and education, and protecting ecological diversity.

In keeping with the legacy and ethos of its iconic namesake, Mandela University places the pursuit of social justice at the heart of its academic core missions of learning, teaching, research, innovation and engagement. This aligns with the United Nations resolution in adopting the

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[1] Muthwa, S. (2018) *Taking Nelson Mandela University Boldly into the Future in Service of Society*, Inaugural Address, 17 April 2018

2030 Sustainable Development Goals wherein it is stated that: *"We are determined to take bold and transformative steps which are urgently needed to shift the world on to a sustainable and resilient path…We recognise that eradicating poverty in all its forms and dimensions, including extreme poverty, is the global challenge and an indispensable requirement for sustainable development. We are committed to achieving sustainable development in three dimensions – economic, social and environmental – in a balanced and integrated manner".*

This underscores the importance of universities contributing to building a more democratic, inclusive society in which the pursuit of knowledge is not for narrow competitive ends, but for improving the quality of life and work of all communities and citizens. Given its distinctive niche as a comprehensive university, Nelson Mandela University seeks to provide enhanced access and articulation opportunities within a wide range of general formative and vocational, career-focused qualifications from certificate to doctoral levels. The University has been systematically increasing access to higher education for first generation students from quintile one to three schools, with the proportion increasing from 24% in 2010 to 53% in 2020. The University embraces humanising pedagogies and practices that affirm the learning potential of every individual, including their unique personal histories and narratives. We recognise that access must be linked to success and various strategies are in place to provide supportive living and learning environments conducive to improved academic performance, including providing a range of student academic support and development services within and beyond the classroom.

The University makes a considerable investment in student academic support, including the following:
- An integrated early-warning data analytics system (RADAR), which monitors student academic performance and proactively identifies students who are academically vulnerable and in need of targeted support interventions.
- A range of student academic development and support services including peer support and mentoring, tutorials and supplemental instruction especially in high-risk or gateway modules, which have historically proven to be a barrier to student success.
- A first-year success (FYS) programme and various forms of extended curricula/foundation provisioning to assist vulnerable first-time entering students with the transition to university studies.
- Providing psychosocial and nutritional support to promote holistic student wellness.
- Developing the pedagogical, curriculum development and assessment skills of lecturers, particularly with the rapid transition to blended learning.

Added to the above, as part of our efforts to recover the 2020 academic year, all faculties adopted a phased approach to resuming learning and teaching activities online. While many students experienced this as challenging, the majority are persisting with the support of their lecturers. The University developed a second learning pathway to assist students who do not have access to mobile devices or data connectivity. The content and assessments on both learning pathways are equivalent.

3.2 Challenges

South Africa is one of the most unequal countries in the world and it is widely recognised that the expanded provision of quality higher education needs to break the cycle of inter-generational poverty and unemployment. Mandela University welcomes the commitment of national government to increase its investment in post-school education and training (PSET) to at least 1% of the GDP over the next five years. This is impacting positively on efforts to expand access to affordable, quality post-school education in line with the targets articulated in the NDP.

Nearly 70% of the University's first-time entering students hail from impoverished communities in the Eastern Cape, many of whom are the first generation in their families to pursue higher education studies. The changing profile of the University's incoming student population is also reflected in the proportion of NSFAS-funded undergraduate students, which has increased from 16% in 2010 to 51% in 2019 compared to the national average of 39%. While this is encouraging from a transformation perspective, experience has shown us that broadening access to students from economically deprived backgrounds carries additional costs due to the need for an ecosystem of wide-ranging student support services such as access to mobile devices and Wi-Fi connectivity on and off campus, student nutrition and food security, affordable on-campus student accommodation and transportation. This remains a challenge within a context of a declining economy and a constrained national fiscus.

Although institutional financial indicators show that the University has maintained a relatively healthy financial position, the full extent of the implications of the COVID-19 pandemic remain to be seen. The DHET has advised the sector that the 2020 Supplementary Budget Review has resulted in a downward revision to the Higher Education and Training budget vote for University Education of R382m, which equates to about 1.07% and will be pro-rated amongst universities. Furthermore, the sector has been advised that the revised Ministerial statement on funding for 2020 is to be used as the baseline for 2021 with no increase. This will have a significant impact on the University's 2021 budget given that we are projecting an increase in bad debt provision for tuition and student accommodation fees, as well as decreases in investment income.

Achieving a demographically diverse academic staff profile remains a further challenge for the higher education sector, with huge pressures on universities to transform in alignment with South Africa's employment equity goals. Concerted efforts are being made to diversify the academic staff profile at Mandela University through the rigorous implementation of employment equity targets and protocols, as well as various talent continuity strategies aimed at developing the next generation of academics. This will be especially critical as increasing numbers of senior academic staff with PhDs retire over the next few years. Overall, the University has made considerable progress in

diversifying the demographic profile of permanent academic staff over the 2010 to 2019 period, but efforts to develop the next generation of Black and female academics will need to continue to promote demographic diversity, especially at senior levels.

Gender-based violence (GBV) continues to be one of the most intractable challenges in South African society and the prevalence of GBV in institutions of higher learning is deeply concerning. South Africa has five times the rate of femicide than the global average, with women from low-income households and those aged between 18 to 24 years being most likely to have experienced physical violence. Given that women constitute 59 percent of all students at public HEIs in South Africa, addressing sexual and gender-based violence remains a high priority. The Policy and Strategy Framework Addressing Gender-based Violence in the Post-School Education Sector is an important step in this direction with its focus on improving survivor support services and challenging social norms that perpetuate gender inequality.

Mandela University has been championing sectoral efforts to promote gender equality and transformation through the launch of the Centre for Women and Gender Studies in October 2019. The Centre has been driving conversations and partnerships across the city and the province to establish an intersectional, inter-disciplinary gender equality agenda. This includes the *African Women's Intellectual Histories* research project and the *Online Reading with the Author Fridays* to facilitate engagements with a community of gender scholars, including postgraduate students. As part of its educational and advocacy mandate, the Centre has been conducting GBV training and is currently developing a training manual for different University stakeholders.

3.3 Threats

On a global scale, the World Economic Forum's Global Risks Report 2020 outlines powerful economic, demographic and technological forces that are shaping a new balance of power. The result is an unsettled geopolitical landscape marked by downward pressure on the global economy and rising citizen discontent with how national governments are addressing profound socio-economic inequalities. Climate change is resulting in natural disasters becoming more frequent and global temperatures set to increase by at least 3°C towards the end of the century. Biodiversity loss has critical implications for humanity, from the collapse of food and health systems to the disruption of entire supply chains. Non-communicable diseases– such as cardiovascular diseases and mental illness–have replaced infectious diseases as the leading cause of death globally, while progress against pandemics is being undermined by vaccine hesitancy and drug resistance. More than half of the world's population is now online while two-thirds own a mobile device. However, unequal access to the internet, the lack of a global technology governance framework and cyber insecurity all pose significant risks.

Among the many inequalities exposed by COVID-19, the digital divide is one of the starkest with 3.6 billion people globally remaining offline

with the majority living in developing countries. With only [37% of South African households](#) having consistent access to the internet through cell phones or computers, the departments of basic education and higher education and training were confronted with the near impossible task of continuing the academic year during the COVID-19 lockdown. This has foregrounded the urgent need to address the digital divide by reaching out to millions of marginalised learners with limited or no access to mobile devices and data connectivity, particularly in remote rural areas and impoverished townships.

Against this background, the [2016 declaration](#) of the internet as a basic human right by the United Nations Human Rights Council and the adoption of the African Union [Digital Transformation Strategy](#) in February 2020, become crucial policy instruments in erasing the digital divide by ensuring that access to digital technologies and the internet are regarded as basic rights. To achieve this, [multi-stakeholder collaboration](#) is needed between national government, the ICT and telecommunications corporate sector and development partners, to prioritise investment in ICT infrastructure to connect the highest number of people possible to the internet at affordable prices.

South Africa lags behind many of its counterparts for innovation around information and communications technology (ICT) systems, network connectivity and more sustainable technologies. This limits the ability of businesses and the public sector to deploy new technologies and transition into the fourth industrial revolution (4IR) and the green economy. However, it is encouraging to note that the [South African National Economic Recovery Strategy](#) seeks to release high-frequency spectrum by March 2021 and complete digital migration to reduce data costs for companies and households. National government is also developing innovative new models to provide low-income households with access to affordable, high-speed internet through connection subsidies for broadband and support for public WiFi hotspots.

South Africa remains the most unequal country in the world with a Gini coefficient of 0.68. This is evident in the vast majority of South Africans living in informal settlements, persistent wealth gaps across society and acute gender and youth imbalances in economic participation. Although 2.5 million jobs have been created over the past nine years, many South Africans remain unemployed. The results of the [Quarterly Labour Force Survey](#) (QLFS) for the second quarter of 2020 indicate that the number of employed persons decreased by 2.2 million to 14.1 million compared to the first quarter of 2020. According to the expanded definition of unemployment, the unemployment rate increased by 2.3 percentage points to 42% in quarter 2 2020 compared to quarter 1, which is reflective of the fact that people were available for work, but did not actively look for work due to the COVID-19 lockdown. This means that many South Africans are unable to live decent lives or pursue economic opportunities. This burden is disproportionately felt by the youth, women and people with disabilities and unlocking the barriers to full employment remains a critical priority.

3.4 Opportunities

The United Nations Sustainable Development Goals (SDGs) seek to address global challenges such as those related to poverty, inequality, global unemployment, climate change, and environmental degradation. Of the 17 SDGs, Goal 4 aims to *"ensure inclusive and equitable quality education and promote lifelong learning opportunities for all"* with one of the targets seeking to *"ensure equal access for all women and men to affordable and quality technical, vocational and tertiary education, including university"* by 2030. This positions higher education as crucial in promoting democracy and human rights, enhancing responsible global citizenship and civic engagement, facilitating intercultural dialogue, and fostering respect for cultural, religious and linguistic diversity, all of which are vital to achieving social cohesion. In addition to imparting skills required by the labour market, universities play a vital role in stimulating critical and creative thinking and generating knowledge for social, cultural, ecological and economic development.

The African Union Agenda 2063 also emphasises the importance of developing human capabilities and skills to drive innovation on the African continent. Through fostering better links with industry and alignment to labour markets, higher education can fulfil a critical role in developing much-needed human capabilities and skills in Africa thereby improving employability and entrepreneurship, especially among the youth and women. In the bid to cultivate a new African citizen who will be an effective change agent for the continent's sustainable development as envisioned by the AU and its 2063 Agenda, the African Union Commission developed a comprehensive ten-year Continental Education Strategy for Africa (CESA 16-25). The guiding principles underpinning CESA 16-25 include the recognition that knowledge societies are driven by holistic, inclusive and equitable education and lifelong learning to develop skilled human resources adapted to African core values and capable of achieving the ambitions of Agenda 2063. To this end, CESA 16-25 calls for national governments to honour their commitment to spend 1% of gross domestic product on research and to create "conducive environments" for innovation by providing adequate infrastructure and resources, including competitive awards to nurture young academics.

The COVID-19 lockdown restrictions foregrounded digitalisation and internet access as essential to sustaining livelihoods with millions of people continuing to use the internet to work and study from home for the foreseeable future. In South Africa, of the 14.2 million persons who were employed in the second quarter of 2020, more than half (58.1%) were expected to work during the national lockdown by the organisations they work for. Although most of those who worked during the national lockdown did so from their usual place of work, about 17% indicated that they worked from home. The proportion of those who worked from home was higher among professionals (44.7%) and managers (40.6%), indicating access to tools of the trade to facilitate work from home for these employees. COVID-19 has provided an opportunity to develop policy and regulatory frameworks that ensure a better employment future after the crisis by accelerating the digitalisation of work.

Resilient organisations are better able to adapt to change and complexity. As organisations shift to more remote work operations, there is a need to explore the critical competencies employees require to collaborate digitally and to transition performance goal-setting and employee evaluations. Roles and structures should be designed around outcomes to increase agility and empower employees with cross-functional knowledge and training. With a significant increase in remote working, more attention will need to be devoted to infrastructure – IT hardware, cyber-security measures and software - to aid collaboration, to measure staff performance and effectiveness, and to prepare teams for similar future disruption.

The University's emerging Vision 2030 strategic priorities will be crafted against the backdrop of the global, continental and national development goals articulated in the United Nations 2030 Sustainable Development Goals, the African Union Agenda 2063, and the South African 2030 National Development Plan (NDP) respectively. This will ensure that the University is poised to change the world through generating cutting-edge knowledge that contributes to a sustainable future. To this end, the University is breaking exciting new ground in respect of key strategic trajectories mandated by Council, namely, ocean sciences, the establishment of the country's tenth medical school and the revitalisation of humanities to foster transdisciplinarity.

Ocean sciences

The United Nations proclaimed 2021-2030 as the International Decade of Ocean Science for Sustainable Development in an effort to mobilise stakeholders worldwide behind a common framework that will serve as a pivotal driver in protecting the world's oceans. The Ocean Decade Implementation Plan seeks to strengthen existing capacity development, training and education to link with the relevant supply and demand of skills required by the oceans sector through academic and higher education opportunities.

By establishing the first dedicated Ocean Sciences Campus in South Africa, Nelson Mandela University aspires to be a higher education institution of choice for ocean sciences nationally and on the African continent. To this end, a comprehensive five-year ocean sciences strategy (2021-2025) is being developed as an integral part of the University's Vision 2030 strategic plan. This strategy will seek to scale up existing and emerging ocean sciences academic qualification offerings at under- and postgraduate levels across all faculties, develop short learning programmes (SLPs) offered through flexible modes of delivery to respond to the continuing professional development needs of various sectors of the oceans economy, and harness inter- and transdisciplinary research and innovation capabilities that contribute to addressing global sustainability challenges confronting our oceans. The University is also actively promoting extensive and ongoing engagement and collaboration with relevant industry, government, civil society and educational partners nationally and internationally to advance transdisciplinary scholarship and innovation to enhance our scientific, socio-economic and policy impact in the service of society.

Our vision is that the dedicated Ocean Sciences Campus will house transdisciplinary clusters of research chairs and entities, postgraduate students, postdoctoral fellows, visiting scholars and other partners who are working collaboratively to address grand challenges confronting our oceans and coastal communities. To this end, infrastructure developments funded by the Department of Higher Education and Training are enabling the University to invest in modernised laboratories, facilities and equipment on the Ocean Sciences Campus. As part of the current phase, the University envisages building an ocean sciences exploration centre, digital dome and multi-purpose facility to cultivate a national maritime consciousness through educational, scientific and advocacy programmes that are offered in close collaboration with relevant industry, government, educational and civil society partners.

Developing our ocean sciences niches leverages off our existing strategic advantages such as our five NRF-funded SARChI (South African Research Chairs Initiative) Chairs in Marine Spatial Planning, Ocean Science and Marine Food Security, Shallow Water Ecosystems, Law of the Sea and Development in Africa, and a bilateral Chair in Ocean Cultures and Heritage. In addition, the University has established various research entities such as the Institute for Coastal and Marine Research (CMR), the FishFORCE Academy, the Centre for Coastal Paleosciences and the Marine Robotics Unit to advance pioneering research and innovation in support of global, continental and national [Operation Phakisa](#) endeavours to unlock the economic potential of the oceans that promotes sustainable livelihoods for marginalised coastal communities.

Expanding the Faculty of Health Sciences towards the establishment of a medical school

There is a dire need to significantly increase the provision of adequately trained health care professionals, particularly medical doctors, to improve access to health care services. It is widely known that South Africa has a [shortage of medical doctors](#). This is while pressure on health services is growing as a result of COVID-19, HIV/Aids, tuberculosis, violent crime, and high mortality rates among children and pregnant women.

This context underscores the need for the tenth medical school in the country at Nelson Mandela University, which aims to offer a full undergraduate medical degree (MBChB) and to evolve further to offer medical specialist training a few years later. The Health Professions Council of South Africa (HPCSA) officially informed the University in July that the medical programme (MBChB) had received provisional accreditation and on 17 September the CHE indicated that all prior commencement conditions had been met by the University. Therefore, as soon as we obtain SAQA accreditation, the University will be on course to activate the applications process for the first intake of fifty medical students, hopefully from 2021.

The appointment of the first two waves of staff is nearing completion and all those who will be teaching on the medical programme relocated

to the Missionvale Campus in July 2020. The new medical school's operating model is highly dependent on technology and the installation of ICT equipment required in the refurbished Missionvale campus buildings has been completed. In addition, medical technologies for teaching and learning have been configured and the deployment of WiFi within the Dora Nginza hospital is underway.

Mandela University has been identified to partner with the National Department of Health in the Nelson Mandela Fidel Castro Medical Collaboration (NMFCMC) and all systems were in place to officially welcome the returning Cuban students on 7 September 2020. The University is hosting fifty of these students, currently in their fifth year of studying medicine and about to undergo clinical training for 18 months within the South African health system.

Revitalisation of the humanities and fostering transdisciplinarity

Cultivating humanity, as a core dimension of the identity and ethos of the University, requires that the frontiers between "science" and the "humanities" be reconceptualised and redrawn. To this end, it is crucial that the University revitalises the transformative potential of the humanities as part of its efforts to decolonise the curriculum and embody African-rooted knowledge generation. Across all knowledge domains, the University should be known worldwide for its scholarly formulation of the Mandela legacy and several scholarly projects are directly contributing toward revitalising the humanities.

Since March 2020, the work of the Transdisciplinary Institute for Mandela Studies (TIMS) has taken place in the virtual realm as a result of the COVID-19 pandemic. The TIMS website foregrounds the Memorandum of Understanding (MoU) signing ceremony that took place earlier this year. National and international collaborators, Professor Verne Harris from the Nelson Mandela Foundation and Professor Xolela Mangcu from George Washington University continue to provide collaborative input to advance the work of TIMS.

Over the past months, the Faculty of Humanities has also been pursuing a series of strategic interventions to reposition and recentre the humanities and social sciences and foreground social justice. As part of these endeavours, the Faculty is engaged in recurriculating the BA undergraduate degree programme to ensure that this important general formative qualification cultivates critically conscious graduates. The University has furthermore approved seed funding to revive the Raymond Mhlaba Centre for Public Management and Leadership with the aim of transforming this entity into a transdisciplinary hub of excellence. The Centre will serve as a vehicle for research, engagement and professional development in critical public policy areas such as good governance, ethical leadership and effective service delivery.

In addition to the above, we have initiated a Senior Professors project to advance the University's academic reputation particularly as it relates

to revitalising the humanities and cultivating transdisciplinarity. Earmarked funding has been allocated to attract and retain established scholars at a professorial level and, to date, eleven applications have been received and a second level of engagement is currently underway in order to ensure that the project encompasses the required knowledge areas.

4. Planning assumptions

Planning assumptions describe projected external and internal conditions important to achieving the strategic aspirations, goals and targets articulated in a strategic plan. Nelson Mandela University's planning is informed by a framework for identifying macro-level factors in the wider environment that significantly impact on the functioning and sustainability of higher education institutions nationally and globally. This facilitates thinking about the different ways the future could unfold and anticipating the different factors that inform robust planning and decision-making. In this regard, there is a need to: (a) outline current uncertainties related to COVID-19, and what they might mean for plausible futures for which universities should prepare; and (b) identify factors that universities should be considering now, when planning for the future under COVID-19.

There are several 'axes of uncertainty'[2] about how the pandemic will unfold that should be considered together when planning for the immediate and longer-term future, namely:

- **Social distancing restrictions:** Will social distancing and other precautionary measures be similar to how they are now, less restrictive, or more restrictive? Will measures be applied as broadly as they are now, or become more targeted to specific groups, characteristics or functions?
- **Impact on people:** How many of our staff and students will get sick? Will we lose substantial workforce capacity? Will we face widespread grief, burnout and mental health impacts related to illness, death or isolation? How will those populations currently marginalised by society or within the University community be disproportionately impacted by the pandemic?
- **Universities as part of society:** Will we all stay in our roles as usual even if working remotely? Will university resources be called upon in new ways to support the pandemic response? Will public funding for universities be diverted? How should the University respond?

Given the range of uncertainties currently facing universities with COVID-19 and the numerous broader forces that will influence how the pandemic will unfold, several concrete actions can be taken. First, we can use the possible future situations to 'test' how well the decisions and plans we are currently making could hold up under a range of different futures. Second, we can use possible future scenarios to assess

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[2] Majowicz SE (2020). What might the future bring? COVID-19 planning considerations for faculty and universities. Epidemiology and Infection 148, e92, 1–5. https://doi.org/10.1017/S0950268820000898

what plans we would wish to implement, if certain futures come to pass. Third, we can use the broad list of factors to 'test' whether decisions and plans being made now might need to change if these factors change. Fourth, we can apply an equity lens throughout our planning and decision-making, to ensure that we do not perpetuate or amplify existing barriers or disadvantages through our decisions. Specifically, we can work towards equitable policies, plans and decisions by recognising and rectifying historical injustices and providing resources according to need. Finally, the axes of uncertainty and identified macro-environmental factors can be expanded, both as the pandemic unfolds and new knowledge is generated, by integrating perspectives from a wide range of backgrounds to identify additional key uncertainties about the future and key planning considerations.

Against this conceptual framework, various key questions need to be posed to frame forward planning and these are outlined below.

Student access

- As a comprehensive university, what is the ideal mix of undergraduate (UG) certificates, diplomas and degree qualifications to cater for the profile of incoming students from the schooling and college sectors?
- What kinds of extended programme and foundation provisioning mechanisms should be in place to facilitate the transition from schooling to university studies for incoming students who show potential, but do not qualify for direct admission to their programmes of choice, especially in scarce skills fields?
- What should the balance be between extended programme offerings and Higher Certificates in catering for different profiles of incoming students?
- How do we increase our first-time entering student enrolments to ensure we meet the targets set in our enrolment plan?
- What strategies need to be developed and implemented to improve the conversion of applications and admissions to registrations?
- How do our admission requirements and programme mix impact on widening access for increasing numbers of incoming first-time entering students, especially from Quintile 1-3 schools?
- What are our targets in respect of the demographic profile of our students?
- What are the underpinning principles and goals of our student enrolment and recruitment strategy?
- If we wish to target other markets and expand our geographical footprint, what strategies do we need to put in place to make this possible?
- What are the implications for student housing and financial aid, bursaries and scholarships if we expand our footprint to attract high-performing, financially needy under- and postgraduate students from other parts of the country, the continent and the globe?
- What targets inform our international student recruitment and enrolment strategies at under- and postgraduate levels?

Academic programme and qualification mix

- What qualification types and modes of delivery would be best suited to different markets (e.g. school leavers versus adult learners)?
- How do we package our programmes and qualifications in a manner that facilitates micro-credentialing and the offering of credit-bearing short learning programmes?
- In what ways are we designing our programmes and qualifications to promote disciplinary depth and expertise whilst simultaneously facilitating inter- and transdisciplinarity?
- In what ways do our curriculum, programmes and qualifications develop our desired graduate attributes and equip graduates for the future world of work and entrepreneurship?
- Are the naming conventions and curricula of our programmes and qualifications perceived as attractive and responsive to our transformation imperatives and the markets we serve?
- What strategies need to be in place to increase our postgraduate enrolments? What impact will increasing proportions of digitalisation and blended modes of delivery have on our enrolments and learning and teaching strategies?

Student success

- What impact is the COVID-19 pandemic likely to have on student success and throughput?
- What strategies do we put in place to address declining student success rates, especially with increasing proportions of incoming students from historically disadvantaged backgrounds?
- What impact will the rapid transition to blended and digital modes of delivery have on student success? How do we promote student success through technology-enabled tools and strategies?
- How do we make best use of the University Capacity Development Grant to promote student success across all faculties through high-impact practices such as academic advising, peer mentoring, tutorials and Supplemental Instruction?
- How should we improve our tracking of student success, especially in high-risk gateway courses and modules, to facilitate early support interventions and prevent dropouts?
- Should we be prioritising first-year students for placement in on-campus student accommodation given the evidence that this contributes to improved academic success and first-year student retention?
- How do we reduce the achievement gap in success rates on the basis of gender and population group?

Research and innovation

- What strategies are required to ramp up research productivity and outputs across all faculties and academic ranks?
- What impact do the increasing levels of "juniorisation" of academic staff have on research outputs and postgraduate supervisory capacity?
- How do we make optimal use of our HEAVA professors and research associates to improve our research outputs and postgraduate supervisory capacity?
- What strategies are required to systematically increase the proportion of academic staff with PhD qualifications?
- How do we address high student: staff ratios and heavy teaching loads to ensure that every academic staff member is given a fair opportunity to improve their qualifications, produce research outputs and supervise postgraduate students?
- In what ways do we scale up research outputs and impact in alignment with our strategic growth areas and institutional research themes?
- What role should research chairs and entities fulfil in enhancing research output and productivity?
- How do we leverage funding and additional postgraduate supervisory capacity through our international partnerships?

Staff profile

- What talent attraction, retention and management strategies need to be in place to ensure that the University becomes a destination of choice for high-performing staff?
- What should the ideal ratio of academic: PASS staff be? What strategies are required to achieve this ratio over time?
- What levels of investment are required over time to address unacceptably high student: staff ratios in certain fields of study/faculties?
- What strategies do we have in place to achieve our employment equity targets at institutional, faculty/divisional and departmental levels especially in occupational categories and levels which are not demographically representative?
- What impact will digitalisation have on ways of working and talent management requirements?
- How will the University sustainably address skills shortages in mission critical areas within a context of resource scarcity and financial constraints?
- How do we facilitate the development of the next generation of socially diverse academics while retaining sufficient seniority across academic departments and faculties to provide mentorship, postgraduate supervision and research output capacity? What talent continuity plans need to be in place to achieve this?

Sustainability and stewardship

- What strategies are in place to enhance the long-term financial sustainability of the University especially within the prevailing context of economic stagnation and decline?
- What are the resource implications in terms of the expanded support required to facilitate student access and success for NSFAS-funded and "missing middle" under- and postgraduate students who experience difficult material conditions?
- What targets and priority areas should inform our strategic resource mobilisation interventions?
- What innovative strategies and operating models can be implemented to generate third stream income, improve efficiencies, reduce costs and enhance sustainability?
- In what ways might our resource allocation models need to be adapted to support strategic imperatives such as digitalisation, transformative engagement and transdisciplinarity?
- What levels and types of investment are required going forward in a context of digitalisation?

In preparing our Annual Performance Plan for 2021, the University continues to foreground the strategic imperatives articulated in our revised Vision 2020 strategic plan while we continue to craft our Vision 2030 strategy for approval by Council in the first quarter of 2021.

SECTION B: STRATEGIC OVERVIEW

The Vision 2020 Strategic Plan outlines the University's vision, mission, values, educational purpose and philosophy, distinctive knowledge paradigm, desired graduate attributes, and strategic priorities.

Vision

To be a dynamic, African university recognised for its leadership in generating cutting-edge knowledge for a sustainable future.

Mission

To offer a diverse range of life-changing educational experiences for a better world.

To achieve our vision and mission, we will ensure that:
- Our values inform and define our institutional ethos and distinctive educational purpose and philosophy.
- We are committed to promoting equity of access and opportunities to give students the best chance of success in their pursuit of lifelong learning and diverse educational goals.
- We provide a vibrant, stimulating and richly diverse environment that enables staff and students to reach their full potential.
- We develop graduates and diplomates to be responsible global citizens capable of critical reasoning, innovation, and adaptability.
- We create and sustain an environment that encourages and supports a vibrant research, scholarship and innovation culture.
- We engage in mutually beneficial partnerships locally, nationally and globally to enhance social, economic, and ecological sustainability.

Values

We hold ourselves accountable to our core values in the execution of our vision and mission, the design of our academic programmes and curricula, the delivery of our services, the ways in which we interact with our stakeholders, and in the evaluation of our performance.

Respect for diversity

- We reflect and serve diverse regional, national and global communities.
- We promote an open society where critical scholarship and the expression of a multiplicity of opinions and ideas are actively encouraged.
- We foster an environment in which diversity is appreciated, respected and celebrated.
- We foster a culture that welcomes and respects diverse identities, heritages and life experiences.

Excellence

- We promote, recognise and reward excellence in our teaching, learning, research, engagement and service delivery.
- We provide a supportive and affirming environment that enables students and staff to reach their full potential.
- We pursue inclusive excellence by embedding equality of access and opportunity to all persons in our policies, processes, systems and practices.

Ubuntu

- We are a people-centred university.
- We respect the dignity of others.
- We recognise our mutual interdependence.
- We promote compassionate and responsible citizenship.

Integrity

- We commit ourselves to the highest standards of personal honesty and exemplary moral character.
- We conduct our activities in an accountable and transparent manner.
- We ensure the integrity of our information, systems and processes.
- We acknowledge our personal responsibility for ethical and professional behaviour towards others.
- We accept responsibility for our actions and the consequences thereof.

Environmental stewardship

- We care about the natural environment and recognise our responsibility to conserve, protect and properly manage natural resources for current and future generations.
- We promote the integration of sustainability principles into our academic practices, operations and design of physical infrastructure.
- We encourage mutually beneficial and sustainable approaches to community service and engagement.
- We inspire students and staff to embrace responsible environmental stewardship.

Social justice and equality

- We are dedicated to the realisation of a socially just, democratic society that promotes equality for all irrespective of race, gender, sex, pregnancy, marital status, ethnic or social origin, sexual orientation, age, physical and learning abilities, national origins, religion, conscience, belief, culture and language.
- We cultivate living, learning and work environments that enable students and staff to realise their full potential, without fear of discrimination or harassment.
- We develop our graduates as globally competent citizens who generate, apply and transfer knowledge to contribute actively to advancing social justice, inclusion and equality.

Distinctive Knowledge Paradigm

In responding to the opportunities that arise from being a comprehensive university, Nelson Mandela University will adopt a distinctive knowledge paradigm characterised by the following principles:
- An open-ended, discursive paradigm based on critical thinking, open-endedness, the primacy of rational discourse in the disputation and scrutiny of all ideas, and the provisional nature of all truth claims.
- The idea of the University as an 'open society' of scholars committed to the production and dissemination of knowledge that can have a liberating effect on our world.
- A commitment to the application of knowledge to advance democracy, social justice, public good and liberation of the human condition from all forms of discrimination and injustice.
- Freedom of expression and thought in speech, writing and all art forms.
- Advancement of strong disciplinary knowledge whilst aspiring to foster trans-disciplinary thinking in our scholars and students.

- A commitment to ethical knowledge, neither harmful to the natural nor the social environment, such that it promotes a sustainable future for our planet and all its inhabitants.

Educational Purpose and Philosophy

- We provide transformational leadership in the service of society through our teaching and learning, research and engagement activities. To achieve this, we are committed to developing the human potential of our staff and students in the full spectrum of its cognitive, economic, social, cultural, aesthetic and personal dimensions in the pursuit of democratic citizenship.
- We adopt a humanising pedagogical approach that respects and acknowledges diverse knowledge traditions and engages them in critical dialogue in order to nurture a participative approach to problem-posing and -solving, and the ability to contribute to a multi-cultural society.
- We inspire our stakeholders to be passionate about and respectful of an ecologically diverse and sustainable natural environment.
- We will be known for our people-centred, caring, values-driven organisational culture that will encourage all members of the university community to contribute optimally to its life.

Desired Graduate Attributes

Through benefitting from a life-changing educational experience, Nelson Mandela University graduates will be known for demonstrating the following graduate attributes:

In-depth disciplinary/interdisciplinary knowledge

- The ability to engage in the expanding knowledge base of their disciplines/professions.
- Excellence in both the art and science of their disciplines/professions.
- Awareness of the latest advances in and technical competencies required by their disciplines/professions.
- Leadership in the production of new knowledge and understanding through inquiry, critique and synthesis.
- An appreciation of the interdisciplinary nature of knowledge that combines breadth and depth of understanding.
- An awareness of the global context of their disciplines/professions.

Social awareness and responsible citizenship

- Commitment to ethical conduct, social awareness and responsible citizenship.
- An acknowledgment of and respect for constitutional principles and values such as equality, diversity, inclusion and social justice.
- Commitment to improving local, national and global sustainability.
- Make a meaningful and positive contribution to society as visionary, globally competent citizens who can show leadership in different contexts.

Adaptive expertise

- The ability to apply knowledge and skills in a range of contextual and conceptual frameworks.
- Ability to anticipate and accommodate change, ambiguity and differing views.
- Self-management including the ability to work autonomously, exercise initiative, and apply time management and organisational skills.
- Demonstrate resilience and perseverance in dealing with complex, difficult and unpredictable situations and challenges.

Creativity, innovation and entrepreneurial mindset

- Ability to think creatively and to generate a range of innovative ideas that are appropriate to the particular context.
- Innovative and imaginative in their approach to problem solving.
- Commitment to innovative thinking to advance scholarly excellence.
- Demonstrate a proactive 'can-do' attitude with the drive to identify novel opportunities and possibilities.

Critical thinking

- The ability to understand, interrogate and apply a variety of theoretical and philosophical positions and objectively assess the merits of competing and alternative perspectives.
- The capacity for critical reflection and the ability to use appropriate knowledge and skills to solve complex, open-ended problems.
- Ability to conduct research and think analytically to provide insight into contemporary problems in a constructive way.

Excellent intra- and interpersonal skills

- Self-awareness and emotional intelligence.
- The capacity to sustain intellectual curiosity and a willingness to improve personal performance through self-reflection, the pursuit of lifelong learning, and building networks.
- The ability to relate to and collaborate with others, individually or in teams, to exchange views and ideas and to achieve desired outcomes.
- Openness to objective and constructive feedback from supervisors and peers.
- Able to negotiate difficult situations, diffuse conflict and engage constructively in purposeful debate.
- The ability to function in a multi-cultural and -lingual context.

Excellent communication skills

- The ability to articulate knowledge, skills, and ideas confidently and coherently in visual, verbal, written and electronic forms in a variety of contexts.
- Respect for the multitude of voices, stories, perspectives and knowledge systems.
- Ability to articulate ideas assertively and persuasively.

Strategic priorities and goals

Six strategic priorities underpin Nelson Mandela University's Vision 2020 strategic plan and high-level goals have been articulated for each of these priorities to ensure that the University achieves its strategic aspirations.

Strategic priority	Goals
1. Embrace a distinctive educational purpose and philosophy that contributes to student access and success.	• Diversify and modernise the Nelson Mandela University branding, student recruitment and enrolment management strategy to expand our national footprint and recruit talented students and staff. • Provide a range of access routes and learning pathways that attract and retain a diverse, talented student population reflective of a vibrant, African university.

Strategic priority	Goals
	• Cultivate a humanising ethos of teaching, learning and assessment where all students are empowered to achieve their full potential. • Encourage staff to use reflective teaching practices and embrace multiple forms of technology to enhance the flexibility of learning and programme delivery. • Enhance student success through effective, ongoing tracking of student academic performance and the provision of holistic support and development within and beyond the classroom. • Design curricula that embed diverse knowledge paradigms to prepare our students as democratic citizens with adaptive expertise and a critical consciousness. • Reinvigorate the curriculum transformation process across all faculties with a defined set of epistemological and curriculum statements that embrace decolonisation, social justice, democracy, equality, sustainability, ecological justice, globalisation, technological change and the changing nature of work.
2. Develop and cultivate an engaged, innovative scholarship culture that generates knowledge recognised for its contribution to sustainability.	• Promote responsiveness of research, scholarship and innovation to local, national and global needs. • Provide leadership in generating cutting-edge, impactful scholarship that contributes to addressing complex sustainability and national developmental challenges such as poverty, inequality and unemployment. • Develop and sustain distinctive transdisciplinary niche areas and institutional research themes, which optimise existing and emerging research, scholarship and innovation capabilities. • Recruit and retain established and emerging scholars and research chairs who are leaders in their fields and who will contribute positively to the research strategy of the University. • Develop and promote the research capacity and productivity of emerging and established scholars, as well as postgraduate students.

Strategic priority	Goals
	• Support research and engagement entities as institutionalised mechanisms to promote trans-disciplinarity and the scholarship of engagement. • Engage in strategic partnerships that enhance the local, national and global profile of the University, support the development of staff and student exchanges, contribute to access to funding, and broadening international networks especially on the African continent.
3. **Enhance long-term financial sustainability through innovative resource mobilisation and responsible stewardship.**	• Embed sustainability and stewardship in the culture and practices of the University, through the broadest engagement with staff, students, employers and partners in the community and in government. • Accelerate the implementation of the institutional financial sustainability plan, including strategic revenue mobilisation and cost management strategies. • Optimise the academic programme portfolio of each faculty to promote financial viability and maximise subsidy yield. • Improve financial sustainability by diversifying and growing income streams. • Develop and implement models to promote strategy-aligned budgeting and resource allocation that foster innovation and sustainable growth.
4. **Foster an affirming, transformative institutional culture that promotes diversity and social cohesion.**	• Foster a transformative, values-based institutional culture that gives expression to the legacy and values of Nelson Mandela and creates affirming, collegial spaces for all students and staff. • Develop and implement instruments to effectively deal with all forms of discrimination and gender-based violence. • Effectively monitor and evaluate the implementation of transformation interventions at all levels and across multiple dimensions to enhance responsiveness to national policy mandates. • Enhance competitiveness by implementing strategies to improve the University's contribution to advancing broad-based black economic empowerment (BBBEE).

Strategic priority	Goals
	• Accelerate the diversification of the equity profiles at senior occupational levels, as well as for academic employees. • Promote social cohesion, multi-culturalism and diversity through vibrant intellectual, social, cultural, sport, recreational and other campus life events for staff and students. • Embed inclusive language practices in policies, systems and processes at all levels within and beyond the classroom. • Implement integrated health and wellness interventions for students and staff on all campuses, including nutritional support for indigent students.
5. **Position the University as an employer of first choice by investing in talented, high-performing staff.**	• Position the University favourably as an employer of first choice for talented staff through a progressive remuneration strategy, employee wellness programmes, and an integrated promotions and performance management system. • Embrace a transformational leadership philosophy that contributes to developing the next generation of leaders at all levels. • Embed a culture of accountability that encourages staff to take responsibility for their conduct and performance. • Design and implement learning, development, reward and recognition systems that motivate staff to achieve their full potential. • Implement values-driven institutional culture and change management interventions at all levels to facilitate social cohesion and respect for diversity. • Nurture constructive, mutually respectful employee relations that promote fair and equitable treatment of all staff.
6. **Provide and sustain enabling systems and infrastructure that promote an exceptional experience for students, staff and key stakeholders.**	• Review governance, stakeholder engagement, institutional operations and organisational design arrangements to promote fitness-for-purpose, effectiveness and efficiency. • Develop, maintain and refurbish flexibly designed, modernised living and learning infrastructure on- and off- campus. • Progressively expand on-campus student accommodation through innovative partnership arrangements and funding models.

Strategic priority	Goals
	• Continuously improve efficiencies in space optimisation and utilisation in a multi-campus context. • Implement automated systems and processes to promote the strategic agility and responsiveness of decision-making and service delivery. • Strengthen the University's capacity to support online delivery of courses, programmes and library content, and the use of technology-enhanced teaching and learning including access to mobile devices.

Progress in achieving the above strategic priorities and goals is monitored using a range of key performance indicators informed by national higher education policy goals. The University has developed a multi-dimensional institutional monitoring, evaluation (M&E) and reporting framework to track institutional performance as it relates to strategy implementation, transformation and sustainability. This serves to ensure that the strategic directional aspirations articulated in Vision 2020 are translated into action at all levels of the University and that Council is provided with comprehensive quarterly performance reports which outline progress, or the lack thereof, in respect of strategy implementation.

Various strategic milestones have unfolded over the course of the past three years that have significantly shaped institutional strategy at Nelson Mandela University including the renaming of the University; the comprehensive review of Vision 2020; the Vice-Chancellor's listening campaign and inaugural address; and the organisational redesign process. Given that we are in the final year of implementing our Vision 2020 strategy, the focus has shifted to crafting the University's Vision 2030 strategy to chart our strategic trajectory over the next decade.

A high-level strategy map outlining the key Vision 2030 strategic priorities and enablers has been developed and will be refined based on stakeholder engagements during the final quarter of 2020. Following these engagements, the Vision 2030 strategy will be submitted for approval by various institutional governance structures, including Council, during the first quarter of 2021.

SECTION C: ANNUAL PERFORMANCE PLAN 2020: KEY PERFORMANCE INDICATORS

Nelson Mandela University's academic size and shape targets constitute the basis for monitoring and evaluating progress at institutional level in meeting our Vision 2020 strategic priorities as it pertains to key performance indicators such student enrolments, student success, instructional staff headcounts and qualifications profile, as well as research outputs. The University carefully monitors enrolment and other key performance indicators against the six-year enrolment plan approved by the Department of Higher Education and Training (DHET), as well as the targets contained in its Vision 2020 strategic plan and Annual Performance Plan (APPs).

Due to our commitment to promoting student access for success through high-quality educational provision and student support, the University pursues a sustainable growth strategy in terms of its student enrolments, staff capacity, financial resources, and infrastructural facilities. Of significance in this regard is the need to maintain a delicate balance between undergraduate diploma and degree enrolments, as well as between under- and postgraduate enrolments, as well as various fields of study. Furthermore, enrolment targets have been informed by various considerations, such as: the distinctive academic character of the institution as a comprehensive university; the qualifications profile and research outputs of academic staff; the student intake profile; and the impact of the implementation of the HEQSF on curriculum renewal.

In terms of its enrolment profile, while the majority of students continue to be enrolled at undergraduate level, Nelson Mandela University will strive to progressively increase its share of enrolments at postgraduate level given the demand for high-level skills, knowledge generation and innovation, and the development of a new generation of demographically diverse academics. Postgraduate enrolment growth will be managed responsibly after careful consideration of the postgraduate supervisory capacity and qualification profiles of permanent academic staff.

Although Nelson Mandela University strives to achieve the indicators and targets in the approved Enrolment Plan (2020-2025), the targets in the Annual Performance plan 2021 deviate from those in the enrolment plan. The APP 2021 targets are informed by recent data trends especially those observed in 2020, which were significantly impacted upon by the COVID-19 pandemic. It is anticipated that the pandemic will continue to impact on student enrolments and achievements in 2021.

Key performance indicator	Target year n-3	Target year n-2	Target year n-1	Target year n	Mid-year performance targets
			2020	**2021**	**2021**
	HEMIS 2018 Audited	**HEMIS 2019 Audited**	**Based on preliminary 2020 data for A as well as APP 2020 targets for B & D**	**Reviewed targets based on the latest data trends**	
A. Access					
Headcount totals					
First-time entering undergraduates	6 076	6 355	5 340	6 320	6 320
Headcount enrolments	28 507	29 490	29 351	29 786	29 396
Headcount enrolments (Foundation Provisioning)	1 747	1 840	2 232	2 435	2 435
Headcount enrolments total UG	23 945	25 044	25 444	25 746	25 432
Headcount enrolments total PG	4 210	4 076	3 699	3 791	3 715
Occasional Students	352	370	208	249	249
Enrolments by major field of study					
Science, Engineering, Technology	11 000	11 251	10 544	10 656	10 517
Business/management	9 131	9 036	9 137	9 316	9 194
Education	1 930	2 053	2 298	2 357	2326
Other humanities	6 447	7 147	7 372	7 457	7 359
Distance education enrolments	13	12	13	18	18

Key performance indicator	Target year n-3	Target year n-2	Target year n-1	Target year n	Mid-year performance targets
			2020	2021	2021
	HEMIS 2018 Audited	HEMIS 2019 Audited	Based on preliminary 2020 data for A as well as APP 2020 targets for B & D	Reviewed targets based on the latest data trends	
B. Success (APP 2020 targets for 2020)					
Graduates UG	5 797	5 520	6 006	5 743	5 743
Graduates PG	1 605	1 431	1 583	1 490	1 490
Success rate	79%	79%	79%	80%	80%
Undergraduate output by scarce skills					
Engineering	405	433	462	452	452
Life and physical sciences	235	200	278	225	225
Animal and human health	619	506	642	535	535
Teacher education (including PGCE)	442	408	420	432	432
Scarce skills success rate	86%	86%	87%	87%	87%

Key performance indicator	Target year n-3	Target year n-2	Target year n-1	Target year n	Mid-year performance targets
			2020	**2021**	**2021**
	HEMIS 2018 Audited	**HEMIS 2019 Audited**	**Based on preliminary 2020 data for A as well as APP 2020 targets for B & D**	**Reviewed targets based on the latest data trends**	
Teacher Education					
B Ed	327	308	301	325	325
PGCE	115	100	120	107	107
Total	442	408	420	432	432
C: Staff profile					
% staff with doctoral degrees	46%	45%	47%	46%	46%
Number of NGAP staff	8	12	14	16	16
Ratio of FTE students to FTE instructional/ research staff	28:1	27:1	30:1	27:1	27:1
D. Research output (APP 2020 targets for 2020)					
Publication units per FTE staff	0.6	*0.7	0.7	0.8	0.8
Research master's graduates	293	262	297	275	275
Doctoral graduates	102	97	106	102	102
Publication units	442	*473	473	480	480

*This data is preliminary. Final data will only be available by the end of 2020 once DHET has reviewed the publication output units for books, chapters in books and conference proceedings.

1. Student access

In line with its vision and mission, Mandela University has been systematically increasing access to higher education for first generation students from socio-economically disadvantaged backgrounds, particularly those from schools in quintiles one to three, which are the most deprived. Various interventions have been designed and implemented by the University to promote student access for success.

First-time entering undergraduate students

First-time entering undergraduate students increased from 5 325 in 2010 to 6 355 in 2019, which was a 19% increase, but then declined sharply to 5 340 in 2020 which was approximately the same number as in 2010. The first-time entering student undergraduate intake for the period 2010 to 2020 is shown in Figure 1 below.

Figure 1: First-time entering students 2010 to 2020
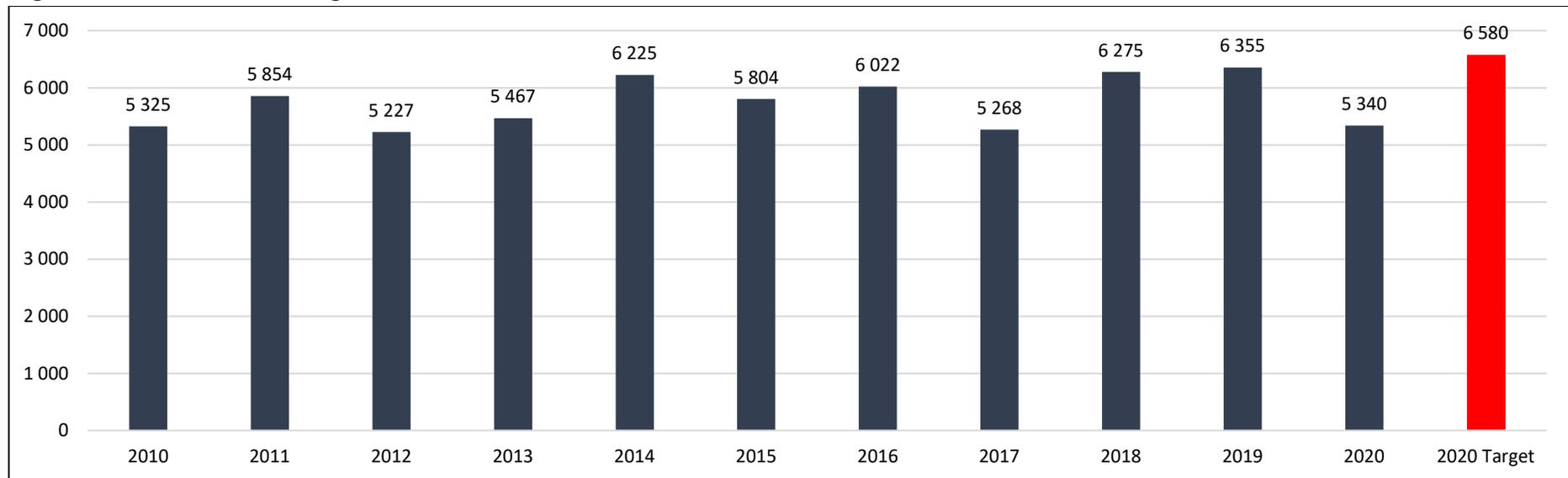
Looking at the trend over the period, the first-time entering undergraduate intakes appear to be very erratic, with the highest intake in 2019. This can be attributed to the expanded financial aid provided by national government, which enabled more students from poorer

backgrounds to access higher education. Only 5 340 first-time entering students registered in 2020, which was 1 240 less than the target of 6 580. If this trend continues, the University will need to scale down future projections of first-time entering students as part of the mid-term enrolment planning review in 2022.

Although the University will probably not achieve the original first-time entering target of 6 820 for 2021 as projected in the Enrolment Plan for 2020 – 2025, the University expects a much higher intake in 2021 in view of the sharp increase in first-time entering admissions which is currently standing at 15 055 compared to 11 655 at the same time last year, which is a 29% increase. The uptake of offers was 45% in 2019 for the 2020 academic year and, if the same uptake is applied to the current admissions for 2021, the University is projecting a first-time entering enrolment of 6 320 students in 2021. This represents an 18% increase from 2020 to 2021.

It must also be noted that, due to the comprehensive nature of the University's Programme and Qualification Mix (PQM), we are increasingly observing the trend of students accessing undergraduate diplomas and degrees via alternative access routes such as the Higher Certificate. This impacts on first-time entering enrolments given that these students are not classified as first-time entering students despite the fact that they are enrolling for the first time in the diploma or degree qualification.

Student headcount enrolments

Total enrolments for the University grew at 3.0% on average per annum from 26 305 in 2015 to 29 576 in 2019, but then declined to 29 351 (-0.8% decline) in 2020.

Figure 2 shows the deviations of Nelson Mandela University's headcount enrolments from the enrolment targets (which were adjusted from the targets in the original enrolment plans to new targets in the recent annual performance plans based on the trends observed). It is very difficult to achieve the exact headcount enrolment targets due to the volatility of the context within which higher education institutions operate. An example of this is the deviation in 2017 (-3.6% below the target of 28 658) which can be attributed to the impact of the protracted #FeesMustFall 2016 campaign. In 2018 and 2019, the headcount enrolments surpassed the Annual Performance Plan target by 1.2% and 1.6% respectively, due to the expanded financial assistance to students after the introduction of fee-free higher education for the working class and poor, as well as the introduction of new programmes. Most of the increases were experienced in returning senior students who would previously have dropped out due to financial reasons.

Figure 2 – Deviations of Nelson Mandela University actual headcount enrolments from targets: 2015 – 2020
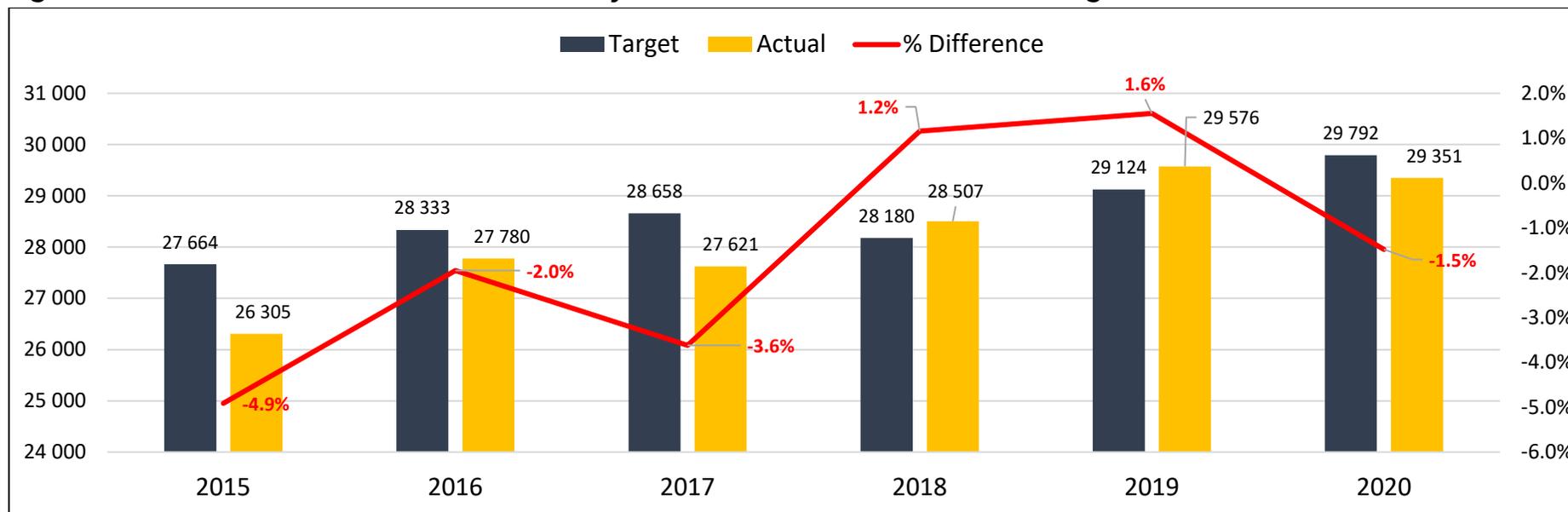
As a result of debt relief measures implemented in 2016, Nelson Mandela University experienced a 5.6% growth in headcount enrolments from 2015 to 2016. First-time entering enrolments increased by 3.8% from 2015 to 2016 compared to the total increase of 5.6%. This implies that a higher growth has occurred in returning senior students. However, in 2017, the University experienced a drop in enrolments of -0.6% which has resulted in the University not achieving the enrolment planning target of 28 658.

The University is working progressively towards more integrated, digitalised and responsive enrolment management systems and processes to ensure that the large number of offers made to applicants translates into actual enrolments. In 2018, headcount enrolments increased to 28 507 compared to 27 621 in 2017, which represents an increase of 3.2%. An even bigger growth was experienced in 2018 to 2019, when headcount enrolments increased from 29 351 to 29 576, which is an increase of 3.8%. As a result of the decline in 2020, the actual headcount enrolment of 29 351 was -1.5% below the target headcount of 29 792.

Despite the encouraging upward trend for the period 2017 to 2019, the University has tempered its growth targets as originally planned for in the Enrolment Plan (2020 – 2025) since it is anticipated that the enrolment growth will become more stable. It is also anticipated that the COVID-19 pandemic, which especially affects international student enrolments (of which a substantial number are enrolled at postgraduate

level historically), will lead to lower growth levels in enrolments.

The University is also mindful that the overall student success rate has declined. Consequently, a moderate headcount enrolment growth is proposed to enable the University to ensure that it promotes student access for success through a range of support interventions within and beyond the classroom. It is estimated that the total headcount enrolments will increase from the current 29 351 in 2020 to 29 786 in 2021, which is an increase of 1.5%. Although the total headcount enrolments declined from 2019 to 2020, enrolments at undergraduate level increased by 1.6% from 25 044 in 2019 to 25 444 in 2020. In view of this trend, but considering the current circumstances, the University proposes a 1.2% growth in undergraduate enrolments from 25 444 in 2020 to 25 746 in 2021. This is slightly higher than the 2021 undergraduate enrolment target of 25 671.

The profile of the student intake has been changing rapidly over recent years, which will be discussed in more detail in the section on student success. In recent years, the University has been enrolling much higher percentages of students from quintiles 1 to 3 schools. This led to increases in foundation programmes offered in the form of extended programmes.

Figure 3 – Percentage undergraduate students enrolled in extended programmes
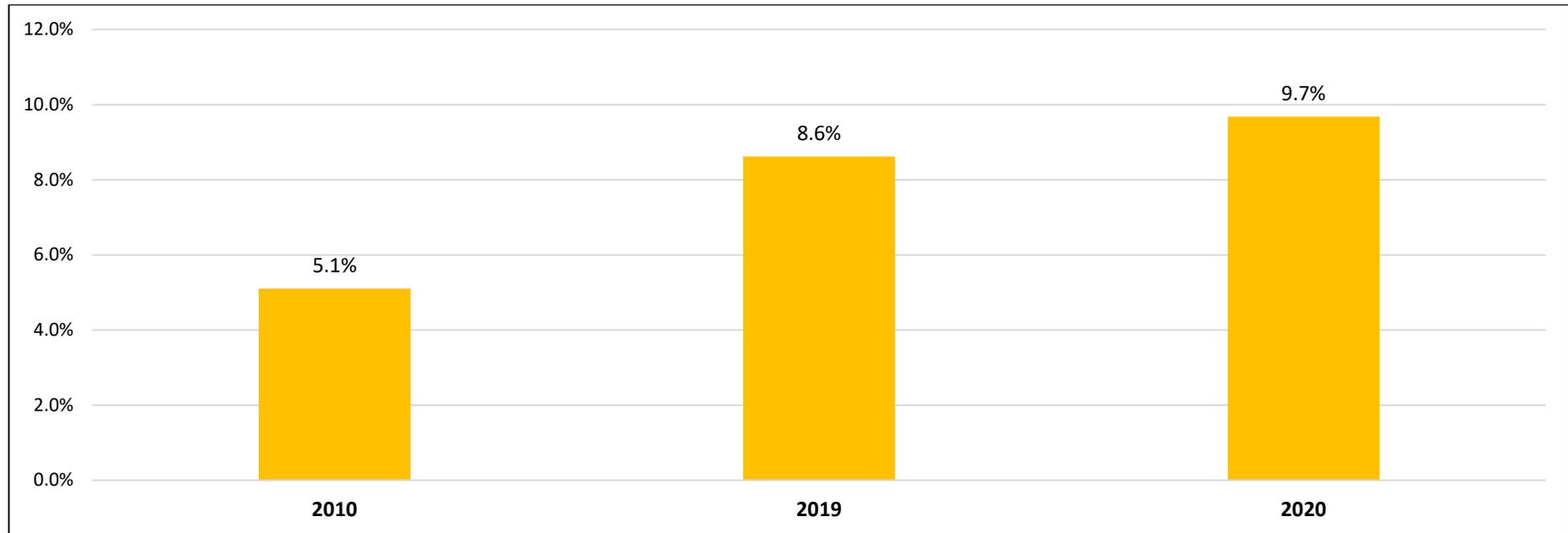
Drawing a higher percentage of students from more disadvantaged backgrounds also led to a rapid increase in extended programme enrolments, which almost doubled from 1 149 in 2010 to 2 232 in 2020. As indicated in Figure 3 above, the percentage undergraduate students in extended programmes increased from 5.1% in 2010 to 8.6% in 2019 and a further increase to 9.7% in 2020. The enrolments in DHET-approved extended programmes increased from 1 747 in 2018 to 2 232 in 2020, which represent a 13% average annual growth. The University proposes a target of 2 435 for foundation programme enrolments, which is an increase of 9% from the 2020 enrolment.

Occasional student enrolments are difficult to predict. Enrolments increased from 352 in 2018 to 370 in 2019 but dropped substantially to 208 in 2020. In view of the significant decline in 2020, the University projects an enrolment of 249 in 2021. The 2020 APP targets were based on the Enrolment Plan (2020 – 2025) targets. The 2020 APP targets and the mid-year actuals are indicated in the table below:

Table 1 – Mid-year actual headcount enrolments compared to the targets in the APP 2020

	2020 APP targets	Mid-year actual for 2020
First-time entering undergraduates	6 580	5 340
Headcount enrolments Total	29 792	29 351
Headcount enrolments UG	25 124	25 444
Headcount enrolments PG	4 347	3 699
Occasional students	321	208
Distance education enrolments	17	13

In view of recent data trends at postgraduate level, the University recognises that the targets set for postgraduate enrolments in the Enrolment Plan (2020 to 2025) were too high and has therefore set more realistic targets for the APP 2021. The actual postgraduate headcount enrolment of 3 699 for 2020 was much lower than the APP 2020 target of 4 347, as shown in Table 1. The University has not achieved its enrolment targets at postgraduate level, particularly in Master's programmes. Master's enrolments increased from 1 767 in 2010 to 2 076 in 2013, but have been declining since, resulting in 1 713 enrolments in 2020 which was lower that the enrolments in 2010. PhD enrolments increased from 446 enrolments in 2010 to 632 in 2019, but then declined to 565 in 2020.

The enrolment declines in M&D qualifications will have an adverse impact on the expansion of the available pool of researchers, innovators and the next generation of academic staff. Such declines will furthermore have a particularly negative impact on the subsidy generation of the University, since postgraduate enrolments and graduate outputs are funded at much higher levels than undergraduate students. Funding support for postgraduate students and restricted postgraduate supervisory capacity remain the most significant impediments to increase

postgraduate enrolments and graduate outputs.

Declines in international student enrolments also contributed to the decline in postgraduate enrolments. Over the period 2010 to 2020, international postgraduate enrolments declined by -3.7% on average per annum. The University proposes a postgraduate headcount enrolment of 3 791 which is an increase of 2.5% from the 3 699 postgraduate enrolments in 2020. The APP 2021 postgraduate enrolment target is 15% lower than the Enrolment Plan (2020 – 2025) target of 4 466, but the University does not anticipate that it will be able to achieve the postgraduate enrolment planning targets with the current challenges.

Low postgraduate enrolment is a systemic challenge which is not unique to Nelson Mandela University. In recognition of the need to increase enrolments at the postgraduate level, the University set an ambitious enrolment target and increased funding for scholarships. However, due to historic debt, nearly 30% of scholarships awarded by the university as Postgraduate Research Scholarships (PGRS) were not taken up. Some recommendations for increasing postgraduate enrolment that are at various stages of implementation are presented below:
- Collaboration with faculties to design, develop and implement mechanisms to track student progress and introduce interventions at an early stage where needed.
- Broad-based research skills development workshops.
- Financial assistance at levels that will improve chances of access and success.
- Annual marketing campaigns to recruit talented postgraduate students.

In addition to the above, the following strategies are being explored in relation to addressing declines in international enrolments:
- The International Office is working with other support service divisions, such as Marketing and Communication division and ICT Services, to avoid duplication and promote service integration. This includes developing student recruitment, brand visibility and profiling strategies that feed from the Internationalisation and Marketing and Communication strategies of the University.
- During 2021, the International Office will partner with the faculties and the Office for Institutional Strategy to set enrolment targets for international students to inform student recruitment plans. This is particularly important within the context where we continue to attract postgraduate students whose applications are declined, because either these programmes are full or there is a lack of postgraduate supervisory capacity.
- The processing of international student applications and admissions previously done by the International Office has since been successfully migrated and integrated into the Registrar's division effective 1 October 2020. This is a major achievement that addresses what was otherwise a major risk in the system. It will increase the pace of processing applications and admitting students and strengthen the integrity of such processes.

- The International Office is also working on a strategy to develop virtual programmes as both a response to COVID-19 challenges, but also as means of taking advantage of the opportunities presented by the 4IR context. Specialists will be appointed to assist with increasing both inbound and outbound international student mobility.
- The International Office has just finalised a strategic plan for the revitalisation of semester study abroad programme, short learning programmes and internship programmes. This plan is based on a hybrid approach of virtual and actual movement of students.

Over the period 2015 to 2017, Nelson Mandela University has grown more in contact enrolments, in the SET fields and at postgraduate level, and the University has remained close to the expected increase in teaching input units for the years 2015 to 2017. For the years 2018 and 2019 the University deviated more than the allowable 2%, based on the targets that were initially set in the approved enrolment plan for 2018 and 2019. The deviation for 2020 is expected to be -8.2%. This is a direct result of decreases in SET and postgraduate enrolments. As indicated above, the University has since lowered the targets in the APP for 2021, since the original targets for postgraduate enrolments were not achieved. The deviations from the approved and actual TIUs are outlined in Table 2 below.

Table 2 – Deviations of actual TIUs from approved TIUs, 2015 to 2020

	2015	2016	2017	2018	2019	2020
Approved TIUs	47 719	49 730	51 064	52 978	54 265	54 194
Actual TIUs	46 918	49 985	51 014	50 669	50 937	*50 068
Deviation	-1.7%	0.5%	-0.1%	-4.4%	-6.0%	-8.2%

* 2020 is preliminary

The actual teaching input units in 2015 were 46 918 compared to the approved funded teaching input units of 47 719, which is -1.7% less than the approved target, but still falls within the acceptable range (2% range). Similarly, the audited actual teaching input units for 2016 which determined the 2018 subsidy were 49 985, compared to the approved funded teaching inputs of 47 730, which is a small deviation of 0.5% and again within the allowed acceptable range. The 2017 teaching input units were 51 014 compared to the preliminary approved teaching input units of 51 064, which is -0.1% below the approved target. Due to the non-achievement of the postgraduate enrolment targets the 2018 deviation is -4.4%. The decline in SET and postgraduate enrolments led to a -6.0% deviation from the approved funded teaching input units, which will have a negative impact on the teaching input subsidy allocation to the University. The preliminary teaching input unit data for 2020 shows a -8.2% deviation from the 54 194 approved teaching input units. Should these trends continue, the University will have

to substantially adjust its enrolment and enrolled full-time equivalent targets as part of the mid-term review in 2022 for the period 2023 to 2025. The University will continue to implement strategies to reduce these deviations.

Student enrolments by major field of study

Nelson Mandela University student enrolments according to major field of study have changed considerably over the period 2015 to 2020 (see Figure 4). Enrolments in SET increased from 35% to 39% of enrolments from 2015 to 2018, declined slightly to 38% in 2019 and further declined to 36% in 2020. Human and social sciences enrolments changed from 21% to 24% over the period 2015 to 2019 and increased further to 25% in 2020. Enrolments in business and management sciences declined from 35% to 31% from 2015 to 2020, largely due to changes in admission requirements for diploma programmes. Enrolments in education increased slightly from 7% (for the years 2015 to 2019) to 8% of total enrolments in 2020.

Average annual growth rates in the three sub-fields of SET over the 2015 to 2020 period were as follows: 2.3% in natural sciences; 3.1% in engineering and technology; and -1.3% in health sciences. Enrolments in business, economic and management sciences declined by -0.6% on average per annum over the 2015 to 2020 period. Enrolments in education increased by 5.8% and enrolments in the humanities and social sciences by 5.9% on average per annum from 2015 to 2020. It is expected that enrolments in business and management fields of study will begin to increase again, although the proportionate impact on the academic size and shape will only reflect after a few years. As reflected in the average annual growth rates, enrolments in the humanities and social sciences have increased steeply as a result of large numbers of students that did not meet the increased admission criteria for the business and management sciences diploma programmes, opting to enrol in programmes in the human and social sciences.

Figure 4 – Percentage distribution of student headcount enrolments by major field of study- 2015-2020 and projected 2021
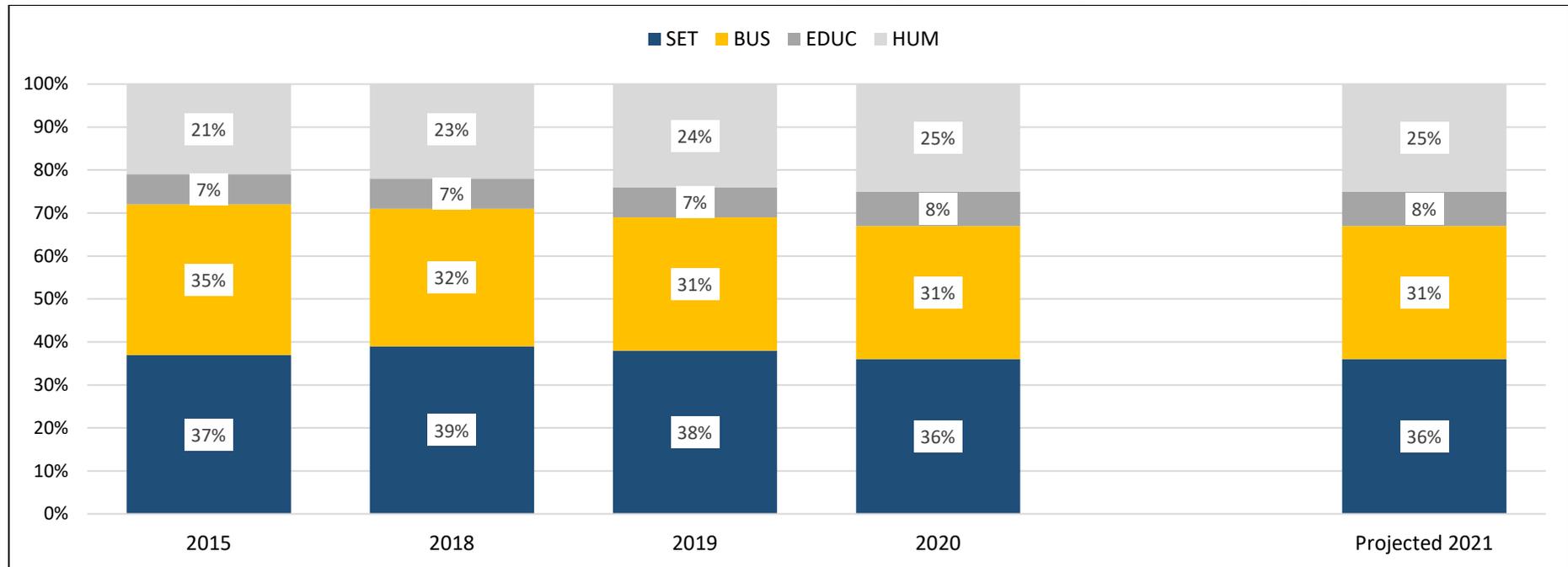
Although differential growth rates are projected for the various major fields of study, the shape of enrolments in the various major fields of study are projected to constitute approximately the same proportions of the total enrolments in 2021 as in 2020. It is projected that enrolments will increase as follows in the four major fields of study from 2020 to 2021:

- Science, engineering and technology increasing from 10 544 to 10 656 (36% of total enrolments);
- Business and management sciences from 9 137 to 9 316 (31% of total enrolments);
- Education from 2 298 to 2 357 (8% of total enrolments); and
- Human and social sciences increasing from 7 372 to 7 457 (25% of total enrolments).

2. Student success

At Nelson Mandela University, student success is defined as is being self-aware, understanding one's own strengths and weaknesses, mindfully setting and achieving one's personal goals with persistence and commitment, and taking co-responsibility with staff and support

structures to progress academically, and to graduate as holistically developed, responsible citizens. The University makes a considerable investment in student development and support, which yielded a remarkable improvement in success rates from 76% in 2010 to 83% in 2016. Unfortunately, this pleasing trend did not continue into 2017 largely due to the rolling impact of the prolonged Fees Must Fall student protests and shutdown in 2016. However, a student data analytics programme called Siyaphumelela (together we succeed), supported by grant funding from the Kresge Foundation, made it possible for the University to develop an integrated early-warning, data tracking system to monitor student academic performance to identify and support students who are academically vulnerable. This has significantly boosted our capacity at institutional and faculty levels for using cohort analyses to better understand underlying causes of high student attrition, throughout the academic cycle of a student, and to use this information to structure targeted student support strategies.

The student success rate is defined as the percentage of enrolled credits that were successfully completed. Figure 5 shows that the University was very successful in improving the success rate of students with an increase from 76% in 2010 to 83% in 2016, but then declined to 79% in 2017. The success rate improved to 80% in 2018 and but declined back to 79% in 2019.

Figure 5: Nelson Mandela University Success Rates by population group, 2010 - 2020
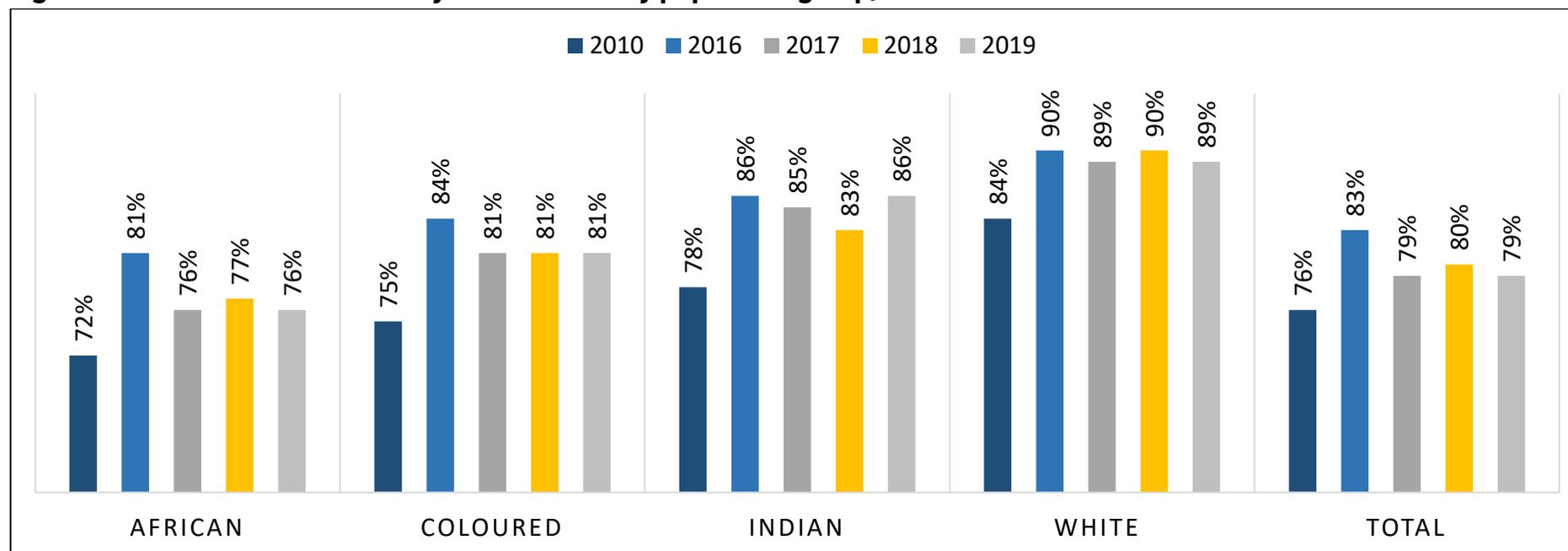
Other factors that need to be considered are that the student demographics of the University have changed considerably over recent years and a much larger percentage of new matric first-time entering students are from Quintile 1 to 3 schools. Furthermore, 68% of our students are from the Eastern Cape and a significant proportion are from disadvantaged socio-economic and schooling backgrounds. This significantly increases the demand for academic and other forms of student support to ensure that academically vulnerable students are given the best chances for success. Figure 6 below shows that new school-leaving, first-time entering students from quintiles 1, 2 and 3 schools increased from 24% in 2010 to 53% in 2020. Concomitantly, the percentage from quintiles 4 and 5 declined from 55% to 38% and students coming from private and other schools also declined from 21% to 10%.

Figure 6: New matric first-time entering students by quintile school, 2010 and 2020
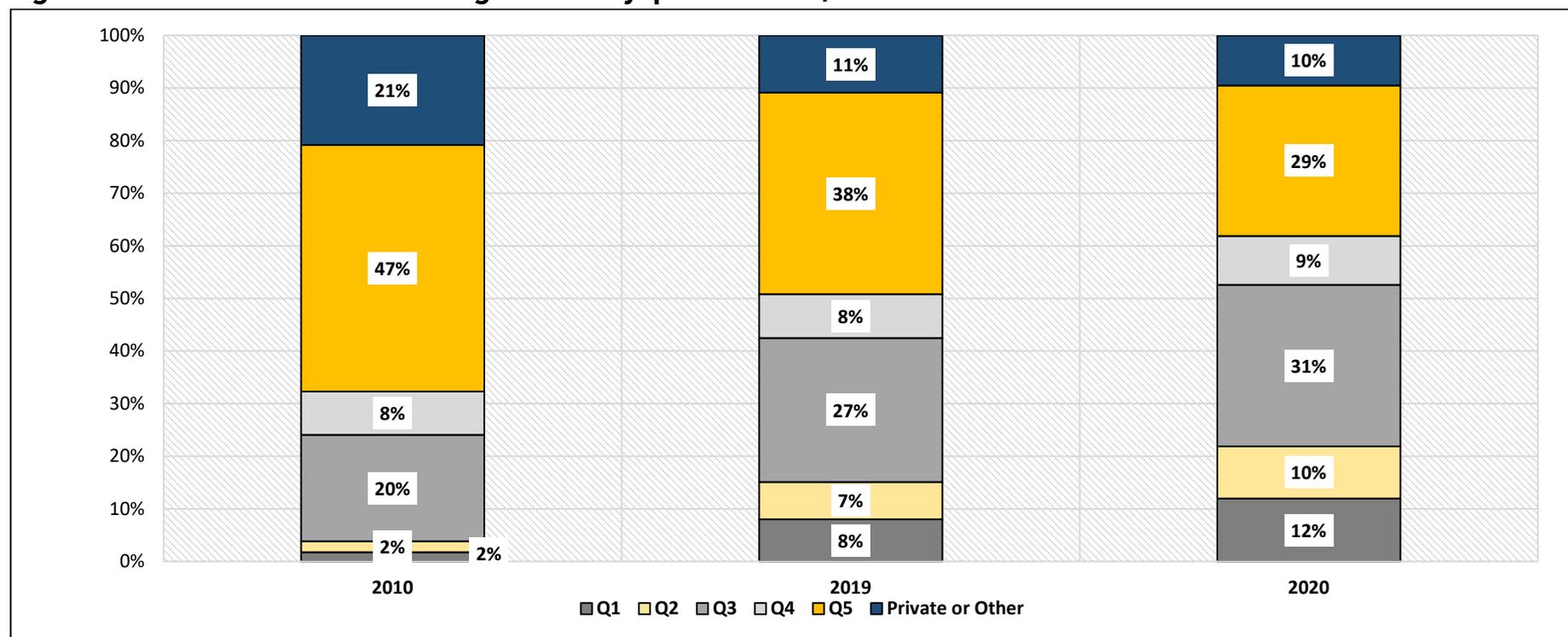
The changing profile of the incoming student population is also reflected in the increased percentage of NSFAS-funded undergraduate students. At Mandela University, the percentage of NSFAS-funded students increased from 16% in 2020 to 51% in 2019 compared to the

national average of 39%. Along with the impact of the COVID-19 pandemic, the University expects that it will take a few years to improve the success rates back to the 2016 level and this will require even more intense student success interventions on a wider scale. In view of these factors, the University estimates that the total success rate (coursework and research modules) will increase to 80% in 2021.

To achieve this, it will also be critical to attend to student retention and throughput, especially as it relates to closing the success "gaps" by gender and population group. From the cohort analyses below (Tables 3, 4 and 5), attention needs to be devoted to targeted academic support interventions for male and black African undergraduate students to reduce dropout rates and enable these students to graduate in minimum time. This is particularly important with the change in NSFAS funding rules which have introduced a ceiling on financial assistance of up to minimum time plus one year.

Table 3: 2013 First-time entering cohort: Throughput and dropout rates for three-year diplomas by gender and population group

Gender	2013 First Time Entering	Graduated in minimum time (3 yrs) %	Graduated in minimum time plus 2 years %	Dropped out in first year %	Dropped out in minimum time (3 yrs) %	Dropped out in minimum time plus 2 years %
Female	1 225	27%	54%	25%	37%	41%
Male	1 327	21%	44%	29%	44%	48%
Grand Total	**2 552**	**24%**	**49%**	**27%**	**41%**	**45%**

Population Group	2013 First Time Entering	Graduated in minimum time (3 yrs) %	Graduated in minimum time plus 2 years %	Dropped out in first year %	Dropped out in minimum time (3 yrs) %	Dropped out in minimum time plus 2 years %
African	1 739	20%	47%	28%	41%	46%
Coloured	321	24%	50%	26%	39%	43%
Indian	16	25%	63%	6%	25%	38%
White	476	36%	54%	26%	40%	42%
Grand Total	**2 552**	**24%**	**49%**	**27%**	**41%**	**45%**

Table 4: 2013 First-time entering cohort: Throughput and dropout rates for three-year degrees by gender and population group

Gender	2013 First Time Entering	Graduated in minimum time (3 yrs) %	Graduated in minimum time plus 2 years %	Dropped out in first year %	Dropped out in minimum time (3 yrs) %	Dropped out in minimum time plus 2 years %
Female	785	30%	56%	22%	32%	35%
Male	651	19%	47%	23%	36%	44%
Grand Total	**1436**	**25%**	**52%**	**22%**	**34%**	**39%**

Population Group	2013 First Time Entering	Graduated in minimum time (3 yrs) %	Graduated in minimum time plus 2 years %	Dropped out in first year %	Dropped out in minimum time (3 yrs) %	Dropped out in minimum time plus 2 years %
African	798	19%	47%	24%	36%	42%
Coloured	177	24%	53%	23%	35%	42%
Indian	35	29%	57%	20%	29%	37%
White	426	36%	62%	19%	30%	33%
Grand Total	1436	**25%**	**52%**	**22%**	**34%**	**39%**

Table 5: 2013 First-time entering cohort: Throughput and dropout rates for four-year degrees by gender and population group

Gender	2013 First Time Entering	Graduated in minimum time (4 yrs) %	Graduated in minimum time plus 2 years %	Dropped out in first year %	Dropped out in minimum time (4 yrs) %	Dropped out in minimum time plus 2 years %
Female	551	52%	71%	12%	23%	29%
Male	297	28%	51%	18%	39%	49%
Grand Total	**848**	**44%**	**64%**	**14%**	**29%**	**36%**

Population Group	2013 First Time Entering	Graduated in minimum time (4 yrs) %	Graduated in minimum time plus 2 years %	Dropped out in first year %	Dropped out in minimum time (4 yrs) %	Dropped out in minimum time plus 2 years %
African	376	29%	55%	17%	34%	45%
Coloured	185	44%	69%	9%	25%	31%
Indian	26	35%	62%	4%	35%	38%
White	261	65%	74%	15%	23%	26%
Grand Total	**848**	**44%**	**64%**	**14%**	**29%**	**36%**

Graduate outputs

The total graduates for undergraduate programmes declined by -4.8% from 5 797 in 2018 to 5 520 in 2019. This could be linked to the decline in success rate since 2017, which will impact on completion rates. The discontinuation of programmes with accreditation problems as well as the phasing out of B Tech degrees also contributed to this decline.

The total graduates for postgraduate programmes declined by -10.8% from 1 605 to 1 431, which is a direct result of the decline in postgraduate enrolments in recent years. In view of the observed declines the targets originally set for 2020 of 6 006 undergraduate and 1 583 postgraduate graduates will most probably not be achieved. It is expected that the COVID-19 pandemic will also have a negative impact on student success and graduate outputs in 2020. Taking these trends and current challenges into account, the University projects 5 743 graduates at undergraduate level and 1 490 graduates at postgraduate level.

Figure 7: Percentage undergraduate students that are NSFAS-funded: 2010 – 2019
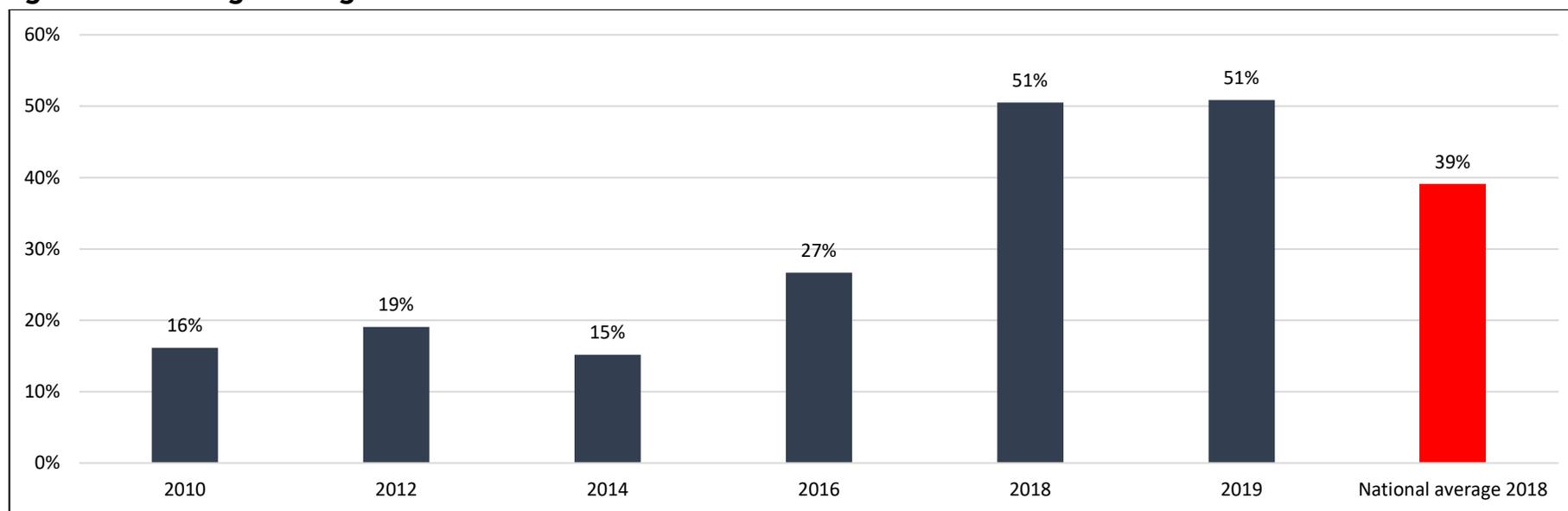
Nelson Mandela University has been successful in producing more graduates in 2019 than the targets in the scarce skills field of engineering. The University was, however, not able to reach the original targets set for life and physical sciences graduates, animal and human health sciences and initial teacher education.

Table 6: Nelson Mandela University undergraduate output by scarce skills, 2019

Undergraduate output by scarce skills	APP 2019 Target	Actual 2019 Output
Engineering	421	433
Life and physical sciences	292	200
Animal and human health	584	506
Teacher education	411	408
B Ed	*314*	*308*
PGCE	*97*	*100*

In 2019, the University had 433 engineering graduates, which is 12 more than the target of 421. This is an improvement on 2018 when the University had 405 engineering graduates, which is 23 less than the 2018 target of 428. Although the outputs have improved slightly, it is important to note that the University finds it difficult to substantially increase enrolments in engineering due to the poor mathematics and physical science results of applicants, especially those coming from Quintile 1 to 3 schools in the Eastern Cape. There is a concerted effort in the Faculty of Engineering, the Built Environment and Technology to improve student success to increase the number of students that complete their qualifications.

The number of graduates in life and physical sciences declined in 2019 to 200, which was 92 below the target of 292. The data shows a decline in the number of graduates in many of the undergraduate BSc degrees, the reasons for which still need to be established. Various B Tech degrees were phased out and have not yet been replaced by advanced diplomas and this contributed to the non-achievement of the targets.

Enrolments and, consequently, graduation outputs in initial teacher training are improving, but the targets for teaching training were adjusted downwards in the Annual Performance Plans for 2018 and 2019 compared to the original targets in the enrolment plan, which were 467 for 2018 and 491 for 2019. The targets were adjusted to 400 in 2018 and 421 in 2019. The enrolments in initial teacher training are highly correlated to the number of available bursaries. The University had three more PGCE graduates than the 2019 target of 97, and six fewer BEd graduates in 2019 than the target of 314.

The Faculty of Health Sciences has historically produced more graduates than the targets, although in recent years the number of graduates in Human Health Sciences has been declining sharply. In 2017, there were 544 graduates in animal and human health sciences, 13 more than the target of 531. In 2018, there were also 19 more graduates than the target of 600. The University exceeded the 2018 target of 539 in the original mid-term revised enrolment plan (2016-2019) by producing 80 more graduates (619). In 2019, the graduates dropped to 506 falling short of 78 graduates compared to the target of 584. The main reason was the discontinuation of the offering of the Higher Certificate (Pharmacy Support) and Advanced Certificate (Pharmacy Technical Support) due to accreditation challenges.

In view of these trends, the following graduate output targets are set for 2021:
- Engineering – 452
- Life and physical sciences - 225
- Animal and human health – 535
- Teacher education – 432 (B Ed – 325; PGCE – 107)

3. Academic staff profile

In analysing the highest formal qualification of the permanently appointed academic staff at Nelson Mandela University, it is apparent that the percentage of staff with Doctoral qualifications has decreased from 46% in 2018 to 45% in 2019. This was largely because of retirements and resignations of highly qualified, senior academic staff members, as well as challenges in filling vacancies that arise in faculties, particularly in scarce skills fields of study. This will have a detrimental impact on postgraduate supervisory capacity over time, and the University is already experiencing declining postgraduate enrolments.

The intention is to reverse these trends through investing in developing the next generation of academics, supporting staff to obtain their Doctoral qualifications so that they are equipped to supervise Master's and Doctoral candidates and produce quality research publications, and prioritising the filling of academic vacancies across all faculties particularly those with the highest student: staff ratios. This can be supported through significant investments in research capacity development interventions such as the Teaching Replacement Grant (TRG) and the Research Development Fund (RDF). These grants are specifically targeted at improving the University's accredited and subsidisable research outputs by funding teaching replacements for academic staff who wish to spend dedicated time to improve their qualifications or to write for publication in DHET-accredited publications.

The estimated target for staff with doctorates has been set at 46% for 2021. This target will be achieved through appointments of staff with Doctorates to replace retiring highly qualified staff, filling of vacancies with highly qualified staff wherever possible, and encouraging existing staff to obtain Doctoral qualifications. This is especially crucial given the high correlation between academic staff with a Doctoral qualification and research outputs, as well as the need to enhance the capacity of academic staff to supervise higher proportions of M&D enrolments.

Student: staff full-time equivalent (FTE) ratios

The student: staff FTE ratio for the University decreased from 31: 1 in 2010 to 27: 1 in 2019, which is a positive improvement and slightly lower than the national average of 28: 1 for all public universities in 2018. The student: staff FTE ratio is, however, still unacceptably high in certain faculties. The University has been addressing this by making a change to the resource allocation model, which determines the budgets for funding academic staff posts in faculties. Fifty percent of budgets for academic posts allocated to faculties is now based on their variances from national averages for student: staff FTE ratios for contact universities, whilst 50% is based on their subsidy and fee income. This has brought about a more equitable allocation of funding for the appointment of academic staff in faculties. The University proposes to maintain the 27: 1 student: staff FTE ratio for 2021 but will strive to lower the ratio in faculties where the ratios are much higher than the national contact

offering averages for the relevant fields of study.

Research output

The University's research agenda is driven by the Vision 2020 strategic priority to develop and cultivate an engaged, innovative scholarship culture that generates knowledge recognised for its contribution to sustainability. As a comprehensive university, Mandela University seeks to promote the convergence of inter- and transdisciplinary "blue sky" and applied research as a centrepiece of progressive scholarly inquiry. This includes concerted efforts to revitalise the humanities whilst consolidating our strengths in science and engineering to foreground the scholarly contributions of all disciplines and fields of study.

The audited HEMIS data shows that the University experienced a decrease in Master's research output units from 316 in 2014 to 266 in 2015, accounting for a decrease of -15.8% in one year. This increased to 292 in 2016, and to 304 in 2017, accounting for a 4.3% increase from 2016 to 2017. In 2018, the University had 293 Master's research outputs, which represents a -3.6% decrease from 2017 to 2018. A further decline was experienced in 2019 when the University had 262 Master's research outputs, a decline of 11% from 2018. The University needs to devote specific attention to improving the Master's research outputs back to former levels by reversing the trend of declining Master's enrolments.

An analysis of enrolment trends from 2015 to 2019 shows that Master's enrolments declined at an average annual rate of -0.7%. Master's enrolments increased by 3.5% from 1 917 in 2015 to 1 984 in 2016. A further increase of 2.0% was experienced from 2016 to 2017, with 2 024 enrolments in 2017. In 2018, the enrolments declined to 1 966 (-2.9%) and in 2019 a further decline was experienced with only 1 863 Master's enrolments in 2019, which was a decline of -5.2% from 2018. This declined further to 1 713 in 2020, representing a decline -8.1% from 2019. The decline is Master's enrolments is directly linked to the significant decline in international enrolments. Since the previous target for Master's research outputs of 310 for 2021 is now deemed too optimistic, Nelson Mandela University has adjusted its target in the APP for 2021 to increase the research Master's outputs to only 275 in 2021.

The University currently has 302 academic staff members with PhDs. The current ratio of Master's student enrolments to academic staff with doctorates is 5.7: 1 and the ratio of doctoral student enrolments to academic staff with doctorates is 1.9: 1. It is important to increase the number of academic staff members with PhDs to ensure that the postgraduate supervisory capacity keeps pace with the demand for Master's and doctoral student supervision, since not all academic staff members with doctorates supervise postgraduate students.

Nelson Mandela University experienced a relatively small overall increase in doctoral student enrolments over the period 2015 to 2019. The

doctoral enrolments increased from 581 in 2015 to 641 in 2016, which represents a 10.3% increase in one year. This was followed by a decrease in enrolments to 602 from 2016 to 2017. The doctoral enrolments then increased to 627 in 2018. In 2019, these enrolments stayed basically the same at 632 enrolments, but declined by 11% in 2020 to only 535 doctoral enrolments. The University had 92 doctoral graduates in 2017, 102 in 2018 and 97 in 2019. The target for 2021 has been set at 102.

The breakdown of the various publication unit types for 2018 and 2019 was as follows (2019 still to be approved by DHET):

Table 7 – Nelson Mandela University research publication outputs 2018 and 2019

Type	2018	2019	% change
Journal articles	351	389	10.8%
Books/chapters	41	27	-34.1%
Conference proceedings	49	57	16.3%
TOTAL	442	473	7.0%

Despite heavy teaching loads (full time equivalent staff: student ratio of 1:27 in 2019), and the fact that only about 30% of academic staff published at all in recent years, the research trajectory of the University with regards to research publications shows an upward trend. The University has being doing very well with regard to increases in research publications, which increased from 256 in 2010 to 442 (73% increase) in 2018 with a further increase of 7% to 473 in 2019. Table 4 shows that journal articles increased from 351 in 2018 to 389 in 2019, which is a 10.8% increase. Books and chapters in books decreased by -34.1% from 41 in 2018 to 27 in 2019. The increase in conference proceedings was 16.3% from 49 in 2018 to 57 in 2019. The research publication units increased on average by 7.0% per annum over the period 2010 to 2019. Taking into consideration the number of publication units produced for the period 2016 to 2019, the University has set a target of 480 for 2021.

SECTION D: EARMARKED GRANTS: 2020/21

		Breakdown of allocation			
Grant	Earmarked allocation	Budget	Projects	Linkage to performance indicators	Mid-year performance indicator
Clinical Training Grant **Awaiting DHET award letter for 2020/2021 allocation** **(Not yet received)**	**R20 652 000**	R5 423 422	Pharmacy	Project plan already submitted to DHET - History shows 100% performance on projects.	50% of budget spent by June 2021 (Actual spend to be considered in line with the date of receipt of funds)
		R11 230 331	Nursing Sciences		
		R1 168 909	Biomedical technology		
		R972 714	Emergency Medical Care		
		R985 105	Radiography		
		R472 933	Dietetics		
		R398 585	Biokinetics		
Infrastructure & Efficiency Grants (2017/2018)	**R61 801 582** Efficiency 4	R6 736 365	University Projects - ICT	Increased / upgraded university infrastructure	Complete

Grant	Earmarked allocation	Breakdown of allocation		Linkage to performance indicators	Mid-year performance indicator
		Budget	Projects		
		R29 565 217	Maintenance CSIR	Increased / upgraded university infrastructure	100% of budget to be spent by June 2021
		R25 500 000	Ocean Sciences Building	Increased / upgraded university infrastructure	50% of budget to be spent by June 2021
	R50 000 000 *Efficiency 6*	R50 000 000	Student Housing	Increased / upgraded university infrastructure	Complete
Infrastructure & Efficiency Grants (2018/2019)	**R155 550 561** *Efficiency 7*	R155 550 561	Various	Increased / upgraded university infrastructure	50% of budget to be spent by June 2021
Infrastructure & Efficiency Grants (2019/2020)	**R53 130 179** *Efficiency 7*	R 53 130 179	Various	Increased / upgraded university infrastructure	50% of budget to be spent by June 2021
Infrastructure & Efficiency Grants (2020/2021)	**R37 744 345** *Efficiency 7*	R37 744 345	Various	Increased / upgraded university infrastructure	50% of budget to be spent by June 2021
	R35 855 925 *Interest utilised*	R4 855 925	Felsted building re-purposes - Bird street	Increased / upgraded university infrastructure	100% of budget to be spent by June 2021
		R6 000 000	Water reservoir – George	Increased / upgraded university infrastructure	Complete

		Breakdown of allocation			
Grant	**Earmarked allocation**	**Budget**	**Projects**	**Linkage to performance indicators**	**Mid-year performance indicator**
		R8 000 000	Furntech building – George	Increased / upgraded university infrastructure	Complete
		R10 000 000	Law faculty additions – Embizweni		100% of budget to be spent by June 2021
		R7 000 000	Reclaimed water scheme – South		Project to be completed by June 2021
Infrastructure & Efficiency Grants (2018/2019)	**R11 000 000**	R11 000 000 *Efficiency 7*	University Projects - ICT	Increased / upgraded university infrastructure	100% of budget spend by 30 June 2021
Infrastructure & Efficiency Grants (2019/2020)	**R6 600 000**	R6 600 000 *Efficiency 7*	University Projects - ICT	Increased / upgraded university infrastructure	80% of budget spend by 30 June 2021
Infrastructure & Efficiency Grants (2020/2021)	**R4 750 000**	R4 750 000 *Efficiency 7*	University Projects - ICT	Increased / upgraded university infrastructure	50% of budget spend by 30 June 2021
Budget Facility for Infrastructure (BFI Funding) for Student Housing 2018/19	**R33 500 000** *Efficiency 8*	R33 500 000	Student Housing	Increased / upgraded university infrastructure	Complete

		Breakdown of allocation			
Grant	Earmarked allocation	Budget	Projects	Linkage to performance indicators	Mid-year performance indicator
Budget Facility for Infrastructure (BFI Funding) for Student Housing 2019/20	**R33 500 000** *Efficiency 9*	R33 500 000	Student Housing	Increased / upgraded university infrastructure	100% of budget spend by 30 June 2021
University Capacity Development Grant	**R25 876 120**	R5 004 193	Project 1: Peer Learning Circles to enhance student success	Increasing number of peer learning facilitators and sustaining learning circles for them in the following areas: First-Year Success; SI; Tutors and Mentors; Writing Development; PG Orientation; Beyond the Classroom (Co-curricular); & Internships	50% of budget spent by 30 June 2021
		R1 126 909	Project 2: Nurturing Emerging Scholars and Teachers (NEST)	Increase in activities to nurture emerging scholars and teachers who are Senior Buddies, SI Assistant Coordinators, Teaching and Research Assistants, and Writing Coordinators	50% of budget spent by 30 June 2021
		R6 772 000	Project 3: Supporting Early Career Academics as Emerging and Engaged Scholars	Enhancing and increasing activities to support early career academics in terms of induction activities, mentoring, teaching practice development, supporting masters & doctoral studies, developing research supervision practice, and article writing capacity development	50% of budget spent by 30 June 2021
		R5 350 139	Project 4: Supporting Mid-Career & Senior Academics	Enhancing and increasing activities to support mid-career & senior academics ito enhancing teaching facilitation, academic leadership development, mentoring & coaching, innovation grants, and supervision practice development	50% of budget spent by 30 June 2021

Grant	Earmarked allocation	Breakdown of allocation		Linkage to performance indicators	Mid-year performance indicator
		Budget	**Projects**		
		R3 803 713	Project 5: Teaching Dev linked to Institutional & Faculty Priorities	Opportunities for teaching development linked to discipline-based T&A practices, Blended learning and TEL, Humanising pedagogy, teaching innovation grants and recognition, and rewarding T&L excellence	50% of budget spent by 30 June 2021
		R1 373 645	Project 6: Curriculum Development	Increase T&L and curriculum development opportunities and creating space (time) for curriculum development activities	50% of budget spent by 30 June 2021
		R1 373 645	Project 7: Project Management	Appoint staff (project manager and researchers) to manage the UCDP projects	50% of budget spent by 30 June 2021
Foundation Provision Grant	Earmarked Grant NMU Allocation **R11 891 593** Total for 2020: **R23 188 593**	R1 597 253	Arts	75% success rate	50% of budget spent by 30 June 2021
		R6 565 973	Business & Economic Sciences	75% success rate	50% of budget spent by 30 June 2021
		R1 346 212	Engineering, Built Environment & IT	75% success rate	50% of budget spent by 30 June 2021

Grant	Earmarked allocation	Breakdown of allocation		Linkage to performance indicators	Mid-year performance indicator
		Budget	**Projects**		
		R3 167 070	Law	75% success rate	50% of budget spent by 30 June 2021
		R8 880 467	Science	75% success rate	50% of budget spent by 30 June 2021
		R1 631 618	Teaching & Learning	75% success rate	50% of budget spent by 30 June 2021
COVID - 19 Responsiveness Grant (CRG1) **(Existing interest approved by DHET for use)**	**R9 312 257**	R9 312 257	Academic Recovery and Campus Readiness Plans	To recover and complete the 2020 Academic year and ensure readiness of campus in light of COVID-19	N/A – 100% of budget already spent in 2020
COVID - 19 Responsiveness Grant (CRG2) **(Not yet received)**	**R15 431 000**	R15 431 000	Academic Recovery and Campus Readiness Plans	To recover and complete the 2020 Academic year and ensure readiness of campus in light of COVID-19	100% of budget spent by June 2021

SECTION E: LONG-TERM CAPITAL EXPENDITURE PLAN AND PROPOSED LONG-TERM BORROWINGS

Description	Project value	Source of funds			2020	2021	2022	2023
		DHET	Own funding	Borrowings				
Student residences: Development of 2000 beds	R596.6m	R66,6m R75m R50m R33.5m R44.6m Note 1 R33.5m	R17.1m	R302.9m Note 2	R150m	R186m	R194m	R30m
Development of the initial phase of a Life Rights Retirement Village	R87.4m		R87.4m Note 3			R44m	R41m	R2.4m
Infrastructure damaged due to #fees must fall (insurance claim)	R5.8m		R5.8m			R5.8m		
Re-integration of previously outsources contracts infrastructure as per new business model	R10m		R10m		R8.5m			

Description	Project value	Source of funds			2020	2021	2022	2023
		DHET	Own funding	Borrowings				
Capital maintenance as per 5-year plan Residence capital maintenance projects	R28.22m				R8.09m	R8.24m	R6.79m	R5.1m
General capital maintenance projects	R233.98m				R50m	R40m	R53.7m	R34.5m
Transportation Hub	R5.9m		R5.9m		R5.9m			
Missionvale Campus Security	R12.9m		R12.9m		R12.9m			

Note – Long-term capital expenditure plan and proposed long term borrowings excludes efficiency funded capital projects except for Student Residences.

Note 1 – Interest earned on DHET allocated I&E Funding. Ministerial approval granted.

Note 2 –Ministerial approval granted.

Note 3 – Seed funding to be recouped by sale of units. Ministerial approval to be obtained. Project located in Investment Company.

SECTION F: 2021 BUDGET AND THREE-YEAR FINANCIAL PROJECTIONS (2021-2023)

Budget process and overview

Through budget directives, the University strives to optimally resource its Strategic Programmes, Strategic Projects, Operations and Overheads, Infrastructure and Support Services at optimal levels while driving strategic initiatives and growth areas in a sustainable manner. A surplus from council controlled recurrent operations, before finance income, is budgeted. Finance income is utilised to grow reserves, seed new initiatives and strategy. The university's budget is based on an Institutional Resource Allocation Model that allocates high level block allocations of resources to the Academic Project and its Strategic Programmes, Professional and Administrative Support, Strategic Projects, CAPEX, Bursaries, Overheads and Earmarked Accounts and Other Expenses that are further distributed via budgetary processes and allocation models. These processes are performed by various committees that are representative of directorates within the university to ensure inclusivity of stakeholders. These committees allocate funds based on models and processes informed by the Vision, Strategic Plans and Council's performance objectives. A three-year Annual Performance Plan (APP), cash flow and reserves accumulation plan support's the budget as to monitor and evaluate future sustainability.

The 2021 Budget and three-year financial projection has taken into the impact of COVD-19 and the completion of the 2020 academic year by the end of February 2021. As the resourcing envelope is largely dependent on subsidy and fees, any material variances on the current assumptions will have a significant impact on the financial projections. The university was required to implement significant interventions as to balance the 2021 budget, reprioritising and re-setting baseline budgets while prioritising the academic project.

An institutional Resource Allocation Model (RAM) informs the total budget and allocation of funding. Within this framework more definitive funding models and processes are employed to distribute block funds across the University.

The institutional RAM process is summarised as follows:

- Estimate revenue resources

- Top slice for institutional overheads and strategic allocations

- Allocate earmarked income (all earmarked income identified is allocated according to the applicable business plan, contract or agreement i.e. student accommodation, earmarked funding, facilities etc.)

- Allocate salary block funding
  - o The salary budget (Council Funded) benchmark will be revised during the 2020 budget cycle, taking into account the organisational redesign, remuneration harmonisation process, revised baseline of the academic block allocation and change in operational subsidy funding in the medium term
  - o The resource allocation model and budget directives will determine the block amount available for the salary budget allocation.

    - Academic staff budget
      - An Academic RAM is utilized to allocate funding to faculties
    - Professional Administrative Support Staff (PASS) budget
      - Management Committee of Council (MANCO) members are given a block allocation based on the budget directives
    - Provision is made for a remuneration contingency to fund adjustments of the staffing costs including annual increase costs

- Allocate operating block funding
  - Operating block allocations are split between Academic block funding and Professional Administrative Support Staff (PASS) block funding.
    - The Academic Block allocation is determined based on the current budget allocation as the baseline adjusted with the inflationary increase and growth in student FTE's prescribed in the budget directives

    - The Academic RAM model is then applied and allocated to faculties who are required to distribute their allocations per school & department

    - The Professional Administrative Support Staff (PASS) operating block allocations are informed by the budget directives for the applicable budgeting cycle. MANCO members will receive operating budget for their core business in two block allocations where applicable:
      - o Corporate Overheads/ earmarked allocations as per budget directive and allocated from a zero base
      - o MANCO member's operational allocation as per budget directive.

    MANCO members will be requested to distribute operating budget within their directorates

Assumptions used in preparing the budget (2021 – 2023)

- Inflation rate used in estimates: 2020 (3.2%), 2021 (4.1%), 2022 (4.4%) and 2023 (4.5%)

1. **Subsidy**
   - The latest MTEF, Medium Term Budget Policy Statement and correspondence from DHET was used as a basis to inform the calculations

   - Net Block Grant Subsidy for operations in 2021 is an estimated baseline equal to 2020 adjusted allocation; 1.7 % 2022 & 1.7 % 2023

   - Other subsidy sources that are earmarked allocations from the DHET, reflected in central budget are for Foundation Programmes and Interest & Redemption. Other DHET earmarked grants i.e. Clinical Training Grant and University Capacity Development Grant are managed as a ring-fenced funds. Budgets are based on latest MTEF.

2. **Fees**
   - Tuition
     - 0.5 % growth in 2021 according to adjusted estimate; 1% for 2022 to 2023
     - 4.7% = fee increase scenario (2021); 5% (2022 - 2023)
     - Bad debt provision of 8% provided for 2021 - 2023
   - Residences
     - Fee increase scenario of 6.7% for 2021; 7% (2022 - 2023)
     - Bad debt provision of 3% provided for 2021 – 2023
     - Increase in beds as per roll out of additional 2000 beds in a phased approach
     - Off Campus – agency fund therefore only commissions receivable budgeted for. Net position reflected.

3. **Other Income**
   The following activities fall under other income which have their own assumptions
   - International Office
     - 2021 budget assumptions on an adjusted baseline + growth of 1 % applied for 2022 & 2023

- o   levy increase in line with tuition fee increase of 4.7% (2021) and 5% for 2022 to 2023
- o   30% of revenue applied in central budget
- o   70% of revenue applied to salary & operating budgets of this activity
- Facilities
  - o   Revenue estimated on all facilities for 2021 (new baseline) increased by 10% for 2022 & 2023
- Sundry Income
  - o   Forecasts use 2021 adjusted budget as baseline
  - o   Average increase of 10% for 2022 & 2023
- Trust / Strategic Resource Mobilisation and Advancement Office (SRMA)
  - o   Bursaries received from Trust – no allocations for 2021 - 2023
  - o   SRMA operational expenses recouped – the corresponding salary & operating budgets are reflected under the expenditure line items

4.   Strategic Allocations

- 2021 baseline used for 2022 to 2023. This is non-recurrent key institutional projects and includes funding shortfall on new Medical School financial model for which resources are being mobilized.

5.   Salaries

- The academic salary block is calculated using the 2020 salary Block allocation, adjusted with the effect of the 2020 general salary increase and the 2021 planned enrolment target % adjusted down to 0.50% (which resulted in a 7 % increase on baseline). This is increased by average CPI % for 2022 and 2023, taking student growth of 1% into account
- The PASS salary budget is calculated using the 2020 salary budget as a baseline, adjusted with 2020 MANCO approved recurrent additions and adjusted with the effect of the 2020 general salary increase. Where departments/units/sections have moved, in relation to the VC and MANCO members, the relevant baseline salary budgets were moved based on the principle of funding to follow function. A budget adjustment of 7% (2021), and average CP% (2021 & 2022) applied to the baseline
- The new Medical School, Residences, Foundation Programme, SRMA, International Office & Facilities budget within their business model. The net salary adjustment on baseline is 2021 (4.02%), 2022 (8.47%) and 2023 (13.84%) as applied to these line items. The impact of re-integration of approved previously outsourced service workers has increased the Residences and Facilities baselines. The full earmarked grant for the Foundation Programme is ring fenced and applied. The effect of phased in new student accommodation is included

- Council has approved staffing structures through the Organisational Redesign process. The implementation of these structures is dependent on affordability within the 65% benchmark of Council

6. **Supplies & Services**

The following activities fall under supplies & services which have their own assumptions:

- SRMA – 2021 budget zero based with inflation adjustments for 2022 & 2023
- Operations & Overheads – 2021 budget used as baseline (overheads – zero base, academic project (increased by inflation + planned enrolment growth adjusted to 0.50%, operations – baselines reset / zero based taking into account trend - analysis) Average increase of inflation +1% for 2022 & 2023 on adjusted baseline
- Building Maintenance Projects – mainly funded from earmarked reserves for 2021 to 2023 with a budget from operations being R 5 million increased by inflation for 2022 to 2023
- International Office – 70% funding model – operations balancing amount from 70% revenue less salary costs
- Facilities – 2021 zero based budget used as baseline increasing by 5% for 2022 to 2023
- Residences – zero based budget 2021 increase by 5% 2022 to 2023 taking cost of operations increase for phased in new beds as well as cost abandonment factor due to new support business models
- Foundation Programme – total earmarked allocation (DHET earmarked grant) + central allocation (Council) minus salary budget
- Bursaries and financial aid allocation baseline in 2021 excluding GAP funding phase out now managed by institutions. Baseline increased in 2022 – 2023 at same rate as tuition fee increase plus growth

7. **Provisions**

- Depreciation – 2021 to 2023 budget based on current fixed asset register adjusted for CAPEX movement
- Accumulated leave – 2021 to 2023 budget based on leave balance estimates per staff adjusted by the estimated salary adjustments

8. **Finance Costs**

- Forecasts made according to existing and forecast amortization tables taking into account new student accommodation loan funding

9. **Other Operations**
   - Post-retirement benefits – 2021 budget based on latest actuary evaluations. 2022 & 2023 adjusted by 4%

10. **Investment Income**
   - Investment income based on cash flow / investment forecasts and estimates

11. **Specific Provisions**
   - Efficiency funding escalation provision – based on latest estimates available
   - Transfer to reserves are budgeted for to build up earmarked reserve funds

12. **Non-Recurrent Income & Expenditure**
   Represent earmarked funding for capital projects. This budget is based on approved allocations by the DHET (revenue) and the cash flow projections on how the funds will be spent during 2021 and the following years (expenditure). As funds will not necessarily be spent in the year received/funded/budgeted, there needs to be transfers from previous years. This budget also includes other non-recurrent project expenditure on deferred maintenance and new capital projects funded from reserves.

13. **Transfer from Reserves**
   Reflect the funding of projects from reserves. For 2021, it includes a COVID-19 Contingency Reserve (R10m) and 2020 Academic Year Recovery Reserve (R21.89 m).

14. **Non-Council Funded Income & Expenditure**
   Represent activities that include research, engagement, projects etc. that are controlled via funds. It is assumed that all revenue generated is expensed.

SECTION G: BUDGET 2021 – 2023

NELSON MANDELA UNIVERSITY
CONSOLIDATED INCOME STATEMENT

	2020	2021	2022	2023
	Forecast	Forecasted Budget	Forecasted Budget	Forecasted Budget
INCOME	2 199 445 248	2 258 704 843	2 395 179 190	2 575 378 327
SUBSIDY	1 261 733 840	1 261 590 040	1 282 095 017	1 307 195 050
FEES	853 678 662	909 887 090	1 018 032 516	1 164 547 664
Teaching	756 432 387	796 659 943	850 001 543	909 333 369
Residences	97 246 275	113 227 147	168 030 973	255 214 294
OTHER INCOME	84 032 747	87 227 713	95 051 658	103 635 614
EXPENDITURE	2 227 499 500	2 258 209 282	2 417 609 478	2 594 379 062
STRATEGIC ALLOCATIONS	83 474 358	70 901 030	70 901 030	70 901 030
SALARIES	1 391 018 398	1 450 587 359	1 521 760 512	1 607 319 586
SUPPLIES AND SERVICES	627 563 094	608 104 511	667 218 068	742 397 374
PROVISIONS	99 406 357	103 207 808	105 602 772	108 044 013
Depreciation	89 343 143	93 574 551	95 574 551	97 574 551
Accumulative Leave	10 063 214	9 633 257	10 028 220	10 469 462
FINANCE COSTS	9 234 293	8 078 573	34 103 896	46 972 930
OTHER OPERATIONS	16 803 000	17 330 000	18 023 200	18 744 128
Post-retirement benefits	16 803 000	17 330 000	18 023 200	18 744 128
SURPLUS/(DEFICIT) from OPERATIONS	(28 054 252)	495 561	(22 430 288)	(19 000 735)

NELSON MANDELA UNIVERSITY
CONSOLIDATED INCOME STATEMENT

	2020	2021	2022	2023
	Forecast	Forecasted Budget	Forecasted Budget	Forecasted Budget
SURPLUS/(DEFICIT) from OPERATIONS C/F	(28 054 252)	495 561	(22 430 288)	(19 000 735)
INVESTMENT INCOME	171 550 440	114 384 526	114 306 973	111 537 215
LESS : SPECIFIC PROVISIONS	132 336 272	79 886 288	52 205 290	49 237 706
Escalation - Efficiency Funded Projects	37 336 272	14 886 288	12 205 290	9 237 706
Transfer to reserves	95 000 000	65 000 000	40 000 000	40 000 000
SURPLUS/(DEFICIT) from OPERATIONS & INVESTMENT INCOME	11 159 916	34 993 798	39 671 395	43 298 774
NON RECURRENT INCOME	75 994 345	-	-	-
DHET / Donor Grants - Efficiency funding	75 994 345	-	-	-
NON RECURRENT EXPENDITURE	593 486 435	505 729 005	190 000 000	70 000 000
Deferred maintenance / projects funded from reserves	102 845 168	135 729 005	75 000 000	70 000 000
Efficiency Funding	490 641 267	370 000 000	115 000 000	-
TRANSFER FROM EFFICIENCY FUNDED RESERVES	428 226 502	370 000 000	115 000 000	-
TRANSFER FROM RESERVES	89 265 588	135 729 005	75 000 000	70 000 000
		-		
SURPLUS/(DEFICIT) (COUNCIL FUNDS)	11 159 916	34 993 798	39 671 395	43 298 774
NON COUNCIL FUNDED SURPLUS / (DEFICIT)	-	-	-	-
Income	464 320 942	380 721 789	399 757 879	419 745 773
Expenditure	464 320 942	380 721 789	399 757 879	419 745 773
		-		
SURPLUS/(DEFICIT) (ALL FUNDS)	11 159 916	34 993 798	39 671 395	43 298 774

SECTION H: CASH FLOW PROJECTIONS 2021 – 2023

	2021	2022	2023
Opening Bank balance	**89 942 645**	**90 000 000**	**90 000 000**
Income (A)	**3 533 513 226**	**3 750 936 028**	**3 981 822 815**
Subsidy	1 452 992 665	1 535 076 544	1 622 085 457
Tuition & residence fees	1 353 431 983	1 434 637 902	1 520 716 176
Fee shortfall subsidy			
Earmarked grants			
Investment Income	114 384 526	114 306 973	111 537 215
Other Income	612 704 053	666 914 610	727 483 968
Expenses (B)	**3 485 818 390**	**3 779 629 362**	**4 114 275 138**
Staff Costs	1 496 285 432	1 571 099 704	1 649 654 689
Other Expenses (operational & capital)	1 989 532 958	2 208 529 659	2 464 620 449
Inflow/(Outflow) (A-B)	**47 694 836**	**-28 693 334**	**-132 452 323**
Bank Balance before transfer from earmarked investments	**137 637 481**	**61 306 666**	**-42 452 323**
Transfer from/(to) earmarked investments	**-47 637 481**	**28 693 334**	**132 452 323**
Closing Bank balance	**90 000 000**	**90 000 000**	**90 000 000**

SECTION I: INSTITUTIONAL RISKS AND MITIGATING STRATEGIES

The Institutional Risk register, Coronavirus Task Team Update, ICT Risk Register, and Medical School Project Risk Register are submitted to ARC and Council for approval on a quarterly basis.

1. Significant Institutional Risks

At the Council meeting held on 1 October 2020, Council referred the Institutional Risk Register back to ARC and executive management to revise the Register and to more accurately reflect the risks, as well as the inherent and residual risk ratings.

The University is in the process of crafting the Vision 2030 strategy to take us into the future in the service of society. After a thorough analysis of global mega-trends impacting on our planning accompanied by a comprehensive review of Vision 2020, senior management has identified future-focused strategic priorities and enablers to form the basis of broad-based stakeholder engagements set to unfold as part of developing Vision 2030. This transitional, high-level Vision 2030 strategic framework has been used as a point of departure in identifying the key institutional risks confronting the University and it is envisaged that the risk register will be further refined as we distil our decadal institutional strategy.

2. Progress towards the Institutional Risk Register

A Strategic Risk Assessment workshop was held on 29 October 2020 to review and identify strategic risks in alignment with the draft new Vision 2030 Strategic Priorities and Enablers. The workshop was attended by both MANCO members and Extended MANCO members and was facilitated by PriceWaterhouseCoopers (PWC). The objectives of the workshop were to:
- Identify as many risks and opportunities in relation to institutional priorities and enablers.
- Assess the level of exposure in terms of impact and likelihood at an inherent and residual level.
- Identify existing and future key controls to identify and manage each risk.
- Based on the level of exposure to identify the most significant risks and opportunities.
- The institutional position responsible for identifying and managing each risk.

At the time of the workshop, the following key factors in the external environment that impact on the University were identified:
- Ongoing COVID 19 pandemic that impact on the University operations as a whole.

- Declining South African economy resulting in pressure on the fiscus.
- Reduced government funding for the higher education sector.
- Disruptive technologies and impact of the Fourth Industrial Revolution.
- Inequality in society.

MANCO at its meeting on 2 November 2020, established a small task team to refine the identified risks aligned to the Vision 2030 strategic priorities. In addition, various opportunities were also identified and during the forthcoming stakeholder engagement processes for Vision 2030, it is envisaged that these will be refined in order to develop a robust Opportunities Register.

3. Emerging themes

A wide range of risks were identified and the process to prioritise the various risks has started. Certain themes have emerged and include research and postgraduate studies, ICT and digitalisation, sustainability, and people and skills.

4. Next steps

A risk register should be a 'live' document, since changes in the external and internal environments in which the University operates, may result in changes to the identified risks and opportunities over time. This may necessitate revised responses to manage them and new risks may become apparent which may require changes to the risk register. Furthermore, since the existing risk culture and risk management processes are developing, further enhancements to the risk registers will be made as the risk culture matures.

The Task Team will continue the work on refining the Institutional Risk Register in consultation with executive management.

As part of an integrated approach to strategy and risk management, the refined Vision 2030 strategy and institutional risk register will be submitted to Council for approval in the first quarter of 2021.

CONCLUSION

The higher education sector, as with the broader national and international economy, will be under significant pressure in the foreseeable future. The global COVID-19 pandemic has created a protracted period of extreme uncertainty and the prevailing operating environment requires that the University acts decisively on what it knows by adapting strategic and operational responses as situations evolve.

As we craft our Vision 2030 Strategy, while simultaneously implementing our academic and service continuity recovery plans, we will continue placing our shared humanity and the pursuit of social justice at the centre of our decisions and actions. This will ensure that we are optimally positioned to navigate the turbulence of our immediate and longer-term future as a collective. The University will strive to ensure that its core missions of learning, teaching, research, innovation and engagement promote social justice, equality, inclusive economic growth and sustainability. To achieve this, wide-ranging and multi-dimensional strategic interventions will be implemented to fulfil this mandate by devoting attention to enhancing student access to a broad range of life-changing educational opportunities in alignment with our mission as a comprehensive university. Mandela University will also devote attention to generating pioneering research and innovation and deepening transformative engagement in the service of society. Strategic enablers to make this possible include investing in talented, demographically diverse and high-performing employees, enhancing the agility and digitalisation of integrated institutional systems and processes, and promoting long-term financial sustainability through innovative resource mobilisation and responsible stewardship.

We salute the courage and fortitude of our students and employees over the past year in persevering with our mission to complete the 2020 academic year while navigating the wide-ranging challenges associated with the COVID-19 pandemic. We also express our sincere appreciation to the Mandela University Council for its unwavering support, steady oversight and judicious stewardship.