

A VISION FOR SOUTH AFRICAN HIGHER EDUCATION

-transformation, restructuring & policy integration-

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SOUTH AFRICAN UNIVERSITIES VICE-CHANCELLORS ASSOCIATION

A Vision for South African Higher Education —transformation, restructuring & policy integration—

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A contribution to sectoral coherence, in response to the Minister of Education's restructuring proposals gazetted on 24 June 2002

Contents

Execut	ive Sum	mary	1
1.	Unity of purpose and higher education transformation		2
	1.1	SAUVCA's vision for higher education	3
2.	Issues in policy change and implementation		3
	2.1	Change co-ordination	3
		2.1.1 Constraints	4
	2.2	Restructuring	5
	2.3	Research	5
	2.4	Access, efficiency and quality	6
	2.5	The knowledge economy and the drive for innovation	6
	2.6	Academic planning	7
	2.7	Quality assurance	7
	2.8	National Qualifications Framework	7
	2.9	Governance	8
	2.10	Equity and labour issues	8
	2.11	Data collection and reporting	8
	2.12	Funding	9
3.	Developing the vision for higher education		9
	3.1	Principles and programme for action	9
	3.2	Concluding remarks	12
Apper	ndix A·	Change Initiatives in Higher Education	13

Executive Summary

This document outlines the vision of the South African Universities Vice-Chancellors Association (SAUVCA) for the public higher education system of the future, and for a productive partnership between the higher education sector, government and civil society.

Section 1 outlines the intent behind the aspirational framework SAUVCA envisions for transformation and restructuring of South African higher education. The essential elements of its vision are:

- a balance in focus on redress and the future of higher education;
- a critical partnership between the Ministry and the sector;
- integrative policy development;
- practical co-ordination of change initiatives and co-operative establishment of output goals; and
- targets and benchmarks.

Section 2 brings into focus key policy issues facing the higher education sector, and highlights SAUVCA's view on what is needed to facilitate partnership between state and sector (and in some cases civil society as well) in co-ordinating policy change and its implementation.

Section 3 suggests principles and a programme of action supporting the vision for higher education put forward in this document. It proposes a mechanism to ensure conceptual and practical alignment of change strategies across the Ministry of Education, government departments and the higher education sector.

1. Unity of purpose and higher education transformation

The finalisation of the National Plan for Higher Education (NPHE) marks the end of a sustained period of restructuring of South Africa's higher education system. We are now a long way from the divided and divisive inheritance of the apartheid years. There are immense opportunities to pursue the key goals of public higher education in South Africa, including economic development, high-level contributions to the knowledge economy, and the advancement of critical enquiry that is essential to a healthy democracy. This document outlines SAUVCA's vision for the public higher education system of the future, and for a productive partnership between the higher education sector, government and civil society.

SAUVCA agrees with the Ministry of Education that the higher education system has to be transformed to meet the challenges of national development and to enable South Africa to move with increasing confidence on to the world stage as an economic player of substance. Critically, SAUVCA believes that a sense of common purpose will be essential if the Ministry of Education's far-reaching restructuring plans are to be implemented successfully. Further, SAUVCA believes that it is now necessary to move from the level of general principles to practical matters, as these have significant implications for the successful implementation of restructuring proposals. We trust that decisions as to the extent, timing and method of restructuring will be informed by a clear understanding of what is needed in practice for the reconfigured system to be conducive to transformation.

Within the sector, a unity of purpose and intent that has long been absent is being forged and nurtured, on the basis of recognition that narrow institutional interests must be set aside to enable transformation, and that sectoral efforts must be more strongly integrated with the objectives of the NPHE. The sector is committed to building this sense of purpose beyond compliance, to rejuvenate an inclusive and dynamic system.

In the past months, university leadership has consulted widely within the sector and with various government ministries and business. This process has sharpened both our commitment to being partners in transformation, and our sense that adaptability and swiftness of response by all partners are of the essence. The rapidity of change in the modern world is compounded in South Africa by efforts to reverse the effects of generations of oppression and disadvantage. Thus more than ever before, SAUVCA believes that the higher education sector and the Ministry of Education should concentrate on identifying common ground. Only mutual and co-ordinated effort will ensure that South African higher education is integrated into the international community and produces graduates and research securing South Africa's place in the 21st century knowledge society and economy. An aspirational framework of the kind we envisage is based on an intimate understanding of the situation on the ground. It suggests a way between a well understood present and a passionately desired future.

1.1 SAUVCA's vision for higher education

Higher education transformation in South Africa must bridge the divide between an apartheid past and a rapidly developing knowledge economy as the context of the future. To meet the challenges of transformation, national policy since 1997 has set in motion a restructuring plan and change initiatives that require concerted effort and intensive resource application by the state and the higher education sector. SAUVCA has formulated a vision which it believes will offer strong support to transformation goals and effective efforts to drive them forward. The key elements of this vision are:

- A balance in focus on redress and the future of South African higher education.
- A partnership critically, between the Ministry and the sector, and drawing in other government departments as well as civil society – to ensure productive cooperation in three key dimensions: integrating, implementing and monitoring policy.
- Integrative policy development to ensure that complex policy streams achieve anticipated benefits.
- Practical co-ordination of inter-related change initiatives to ensure proper sequencing of action and best use of resources.
- Co-operative establishment of output goals, targets and benchmarks, so that the
 effectiveness of policy, its implementation, and partnership itself, can be
 continuously tracked and monitored.

Clearly, these elements of the vision must be grounded in sound principles, and given substance in a programme of action: these aspects are given attention in Section 3 of this document. First, it is important to take a step back, to assess complexities in current policy and implementation that have had an important part in motivating the formulation of SAUVCA's vision.

2. Issues in policy change and implementation

2.1 Change co-ordination

Over 30 change initiatives from various government departments currently demand higher education management time and financial resources. (These issues are summarised in Table 1 in Appendix A.) SAUVCA accepts and supports the legitimacy of the policies. At the same time, it recognises that if policy objectives are to be attained, co-ordination is essential to ensure the best use of limited resources. As with countries such as New Zealand, the Ministry of Education may be well advised to put in place measures to ground the planning mechanisms in a single instrument. At a minimum, the

Ministry of Education and the sector must work more closely together to support the need for co-ordination.

2.1.1 Constraints upon change co-ordination

In terms of the strategic goals and objectives presented in the NPHE and the policy directives which have followed, the university sector must deliver specific results, many of which could be evaluated against international benchmarks. In principle, evaluating performance is a positive development to support goal achievement. At the same time, it is important to acknowledge constraints under which the South African higher education system is operating:

- The output from schools is influenced by the legacy of apartheid. Universities continue to receive students who are ill-prepared for tertiary studies. In compensation, institutions must allocate resources in ways and on a scale generally unknown to those systems that have developed the benchmarks. Performance measures need to be constructed so as to support the academic development initiatives of institutions.
- A critical shortage of the skilled persons required by universities is a further consequence of apartheid. While the higher education sector must contribute to overcoming this problem, the implications of the current lack cannot be ignored.
- The geographical location of institutions presents anomalies and constraints needing to be taken into account. Thus proposed mergers in cases where the affected institutions are great distances apart may not achieve benefits anticipated in the policy documents.
- There will be additional constraints on the success of proposed mergers. These
 will include the challenges faced in amalgamating historically strong and
 weaker institutions, new mixes of urban and rural locations and issues of access
 and quality.
- Many of the goals in the multiple and parallel policies to be implemented by the higher education sector are costly in their implications for time, financial and human resources. Co-ordination and investment are necessary if institutions are to retain and nurture their best staff and the graduate students who are potentially the new generation of academics. Further, some boldness in creating incentives is needed to maintain the health of the system: this could include investments by the state in improving academic salaries and enticing good students to senior postgraduate study.

Against this background, the following sections bring into focus key policy issues facing the higher education sector, and highlight SAUVCA's view on what is needed to facilitate productive partnership between state and sector (and in some cases civil society as well) in co-ordinating policy change and its implementation.

2.2 Restructuring

The implementation of mergers as gazetted on 24 June 2002, could precipitate a crisis, as the intensive resource demands of the envisaged process add to the burden on a system engaging other complex policy processes. SAUVCA urges the Ministry of Education to give full consideration to adopting a phased approach to restructuring, and in line with this, makes the following recommendations to mitigate any unintended consequences of a restructuring programme:

- The consultation process should be improved, given the need for mutual support between the state and the sector if restructuring is to succeed.
- The importance of learning from experience should be taken into account. A
 once-off reduction in the number of institutions from 35 to 21 entails the risks of
 moving in the dark. Learnings gained from mergers with the best chance of
 success could feed key insights into a phased process.
- The availability of resources should be clearly stated. Inadequate resources will
 threaten the success of any restructuring exercise and SAUVCA's conservative
 calculations have pointed to substantial resource needs.
- Factors predicting successful mergers should be realistically assessed. These are likely to include willingness, proximity, and probable academic and efficiency gains.
- A realistic timeframe for implementing restructuring proposals should be agreed.
 Shared vision and due diligence require such a basis.

2.3 Research

Transformation of the research enterprise requires increased research output, particularly by black and women researchers; increased funding, linked to appropriate reward for research outputs; focused efforts to build research capacity; and identification of factors enabling retention of research capacity.

The following matters are receiving the attention of the sector:

- Gaining proper support for the distinctive role of higher education in producing new foundational knowledge: without this, South Africa will continue to erode its intellectual capital and the fundamental knowledge base needed to fulfil national development objectives.
- Joint planning and partnerships: discussions have been initiated with the National Research Foundation (NRF), the Department of Science and Technology (DST), Science Councils and the South African Research and Innovation Management Association (SARIMA) on ways of responding to the crisis in research capacity and output. There is a clear need to build a coordinated partnership which leads to a framework for concerted action.

Measurement of research outputs and associated funding: SAUVCA supports the
decision to revise the current system of measuring research outputs rather than
to develop a new one. It remains concerned about the proposed reduction in
research allocation to universities (these difficulties are being taken up through
the Finance Committee).

2.4 Access, efficiency & quality

The three major objectives of the NPHE are improving access (increasing student numbers), improving efficiency (making better use of resources), and enhancing the quality of outputs, particularly graduates' knowledge and skills and the creation of new knowledge. These crucial objectives are in significant tension with each other and these tensions must be acknowledged by both the Ministry of Education and the sector if they are to be addressed and monitored effectively.

In illustration of the point: the rationale for improving access is to address equity concerns and to meet human resource needs. This NPHE objective requires participation of previously disadvantaged students and necessitates more flexible entry requirements. Since the numbers of learners leaving school with adequate preparedness for higher education remains small, institutions must take this into account in teaching and learning. The time and resources required for this are in tension with the goal of increased efficiency. In another respect, improving access is in tension with improving quality at the research end. Students from impoverished families are significantly less likely to pursue postgraduate studies, even if bursaries are found for them, as they are under strong family pressure to become income earners. The HIV/AIDS epidemic will significantly aggravate such problems.

2.5 The knowledge economy and the drive for innovation

The knowledge economy – an economy in which applied information is used in all sectors to improve productivity and seek competitive advantage through innovation – has had a fundamental impact on universities as producers of knowledge. Universities need not only to keep abreast of socio-economic changes in the global environment, arising from the unprecedented rate of production of new knowledge and scientific or technological innovations, but also to find an appropriate place for themselves to flourish in this landscape. The role of universities and other higher education institutions in the knowledge economy is therefore a critical question confronting SAUVCA and South African higher education. It has many implications – not least for planning – all of which require the investment of significant energy and resources.

2.6 Academic planning

The higher education sector must achieve a closer collective alignment with national strategic goals through academic planning. After more than five years of sustained effort in various domains, it is now possible to envisage an integrative academic policy conducive to the achievement of sound institutional and system planning and funding, effective quality assurance, and substantially improved efficiency and effectiveness of academic processes in institutions. Pulling all the existing policy initiatives together into a coherent system is a massive task requiring considerable skill, time, and strength of purpose. Integrative practical thinking is required on: the implementation of the New Academic Policy, the National Qualifications Framework (NQF) and the setting of qualification standards, quality assurance and programme accreditation, and higher education system planning and funding (the NPHE and Programme and Qualification Mix/PQM exercise). SAUVCA concisely set out its view of what is required in its response to the New Academic Policy and the South African Qualifications Authority (SAQA) level descriptors (May 2002).

2.7 Quality assurance

The higher education sector gave widespread support to the establishment of the Higher Education Quality Committee (HEQC) as the national agency for quality assurance, as well as its mandate as set out in the HEQC founding document. SAUVCA members have collaborated to build capacity in this field within institutions and to provide essential support to the HEQC in the formulation of its policies. Attention to capacity-building initiatives, an assessment of QA implications for the range of SA institutions, ensuring their readiness to implement QA practices in the context of immense change, are some of the immediate challenges. Ongoing co-operation is required to support the quality assurance enterprise.

2.8 National Qualifications Framework

The problems associated with implementing the NQF in higher education are well-documented. They relate in large part to the over-bureaucratisation of setting standards and registering qualifications. Accordingly, SAUVCA welcomed the Study Team report re-assessing the implementation of the NQF. It is important to re-assert the crux of our submission to the Ministers of Education and Labour: there is a need to work towards greater coherence and stability in generating and registering standards and qualifications, so that the process contributes substantially to building and monitoring quality opportunities for learning. We also asserted the need to recognise differences between sectors, to develop standards close to the operative context, to involve the mainstream, and to recognise the range of reference points necessary to the establishment of higher education standards. In particular, we argue that explicit specification of behavioural or competence outcomes is not appropriate for degree and postgraduate qualifications, although generic specifications may be useful.

2.9 Governance

"Co-operative governance", given substance in the Higher Education Act of 1997, set out to draw higher education stakeholders together in sustaining the key roles of institutions and in heightening public accountability. Five years on, it is common cause that governance structures as currently configured do not always optimally support the objectives of higher education. This situation has not necessarily been aided by piecemeal amendment of the Act. SAUVCA contends that problems prevailing in governance practice in some institutions, as well as in the relationship between institutions and the state, must be addressed as a priority; and acknowledges that the Minister has requested policy advice on this matter from the Council on Higher Education (CHE). Consensus on the basis for appropriate legislation and codes of practice to promote effective higher education governance is urgently needed. In particular, there is a danger that the complex functional relationship between the Minister and the sector, between central steering and institutional autonomy, will be reduced to what can be established in a court of law.

2.10 Equity and labour issues

South Africa's labour legislation, including the Employment Equity Act, the Skills Development Act, and the Access to Information Act, is founded on important principles for a democracy. Yet from an institutional perspective, implementation puts pressure on scarce resources, while conflicts between policy goals in practice means that the academic project may be subordinated to other considerations. The provision of additional resources would better enable institutions to comply with this legislation, and to avoid any adverse effects on efficiency and quality.

2.11 Data collection and reporting

SAUVCA recognises the centrality of accurate databases and reporting systems in enabling academic planning and enforcing accountability. There is a danger that data collection and reporting demands on the sector from the Department of Education will consume human and financial resources disproportionate to the benefits received – e.g. benefits of the costly conversion from the South African Post-Secondary Education system (SAPSE) to the Higher Education Management Information System (HEMIS) are in question, while the need to run both systems simultaneously has impeded efficiency and done little to improve quality. The new comprehensive annual reporting system promises greater advantages, but both the Department of Education and institutions should monitor implementation to ensure these are achieved.

2.12 Funding

Resource allocation must be aligned to the policy framework in respect of both routine funding and mergers. While a new funding formula has been called for and promised, progress to date has been slow with attendant planning implications (not least for institutional programme and qualification mixes and the reshaping process, as institutions are obliged by market forces to maximise the state funding they can attract). The restructuring exercise, involving mergers as well as the establishment of new National Institutes of Higher Education in the Northern Cape and Mpumalanga, will consume vast resources over a number of years. Within the sector, there are concerns that the new funding proposal divorces funding from what is required to implement policy and sustain the core functions of teaching and research; and that mergers could impoverish these core functions as institutions have to pay for them. SAUVCA urges the Ministry of Education to attend to appropriate funding as it implements its plans and to engage the sector fully in the development of funding approaches.

3. Developing the vision for higher education

This document earlier set out the key elements of SAUVCA's vision for higher education. To recap, these are: a balance in focus on redress and the future of higher education, a critical partnership between the Ministry and the sector, integrative policy development, practical co-ordination of change initiatives and co-operative establishment of output goals, targets and benchmarks.

The document also alluded to the need to ground vision in sound principles, and to add substance in a programme of action. SAUVCA, in consultation with various ministries and business stakeholders, has drafted core principles that seek to integrate and prioritise the Ministry of Education's policy initiatives within an aspirational framework. The vision can be tied to measurable deliverables and benchmarks as a means of unifying the sector in strategic collaboration with the Ministry of Education.

3.1 Principles and programme of action

This section proposes principles to support the vision that has been formulated, notes some implications for the current situation, and suggests, at a high level, a possible programme of action.

 Higher education institutions are under a dual obligation to redress the past and to engage proactively with contemporary practices and challenges.

A vision for higher education must balance a retrospective focus on addressing the apartheid legacy, with a clear picture of where our universities, and other higher

education institutions, are headed. The system restructuring that will take place in the coming years must allow the affected institutions not only to continue producing appropriately qualified graduates and generating excellent research, but also to develop according to the social and economic imperatives of the 21st century.

 The pressure upon higher education sector time and resources lies chiefly in the speed at which change occurs and continues to occur; this is intensified by the impact of information and communication technology on society.

The idea of redressing past injustices without simultaneously addressing future needs assumes a static and impervious society that no longer exists in South Africa. The NPHE does not sufficiently match a focus on addressing the effects of apartheid with a vision for meeting South Africa's future development needs as linked to the global context. The restructuring process must encourage and empower institutions to develop and innovate in a competitive international environment.

 The redress of historical inequality and assurance of higher education's future success are only achievable through co-operation between the sector and the Ministry of Education.

The Ministry of Education's current approach to restructuring situates the Department of Education at the centre, with the attendant risk that it may seek – or be seen to seek – to impose its will on higher education institutions in disregard of the conventions and practices which safeguard institutional autonomy. This approach will result in a hermetic and unresponsive mode of planning at a dangerous remove from the dynamics of change. An effective relationship between the Ministry of Education and institutions must be far more interactive. This would necessarily entail: co-operatively negotiated transformation based on economic and social aptness; the establishment of sector-wide education targets, measuring progress against these targets and jointly reflecting on the results with a view to adaptation; introducing strict governance procedures that assure accountability and transparency on the part of institutional management; and developing management capacity for effective policy implementation.

The optimal higher education sector for South Africa is characterised by a pattern of interconnectedness throughout the system. The sector must be mapped out to promote a coherent internal and external network enabling the integration of policy to support the achievement of key goals such as increased access, efficiency, quality, articulation and new opportunities.

The constant introduction of new policies and of amendments to these increases sector overload and is leading to paralysis in certain areas of higher education. That these policies are in many instances piecemeal rather than integrated, results in ongoing fragmentation of the system, in diametric opposition to the goals of restructuring. A sustainable model for the Department of Education must be based on a continuum spanning the spectrum of investment in education (e.g. \rightarrow school \rightarrow further education and training \rightarrow higher education \rightarrow post graduate education \rightarrow entrepreneurial

knowledge commodity (patents) → life long learning → literacy → worker education). For its part, SAUVCA supports an approach that would: formulate a sectoral map out of which a systemic model of higher education can evolve; develop networks intra- and inter-institutionally, as well as with the Department of Education and external stakeholders in a co-ordinated fashion; and introduce appropriate measurable indicators and benchmarks allowing for ongoing assessment of institutional performance within the context of achievable co-ordinated national goals.

 Broad stakeholder agreement must inform a more nuanced and integrated vision of the sector, together with an aligned set of output goals and targets, which harness energies around common purpose and enable inherent tensions to be monitored and managed.

SAUVCA believes that reaching agreement on broad visionary principles, connected to central goals that are clear and convincingly related to the needs of national development, will be a key means of promoting the co-ordinated progress and impact of the higher education system. The NPHE has gone some way towards establishing output goals. However, because of their high level of generality and the tensions between them, these goals are still far from being effectively operationalised at either national or institutional level. Fostering collaboration on the desired outputs of higher education would be a key step for the sector in establishing public recognition of its strategic value to the country.

 Producing for a knowledge economy requires operating within a different mode of production.

The policies presently before the sector assume a notion of the student as a "product" whereas, in fact, the knowledge economy is driven by intellectual capital and a more sophisticated understanding of knowledge production. The danger is that current policies may "produce" a student ill-prepared for the new economy. What is required is a system that:

- enthusiastically exploits the potential offered via information and communication technology interventions;
- continually benchmarks South African higher education with current developments in education internationally, taking care to understand the benchmarks in context;
- is geared towards networking and creating stronger ties with business and other Ministries and departments in the constant drive to maximise research potential via patents and partnerships;
- will re-evaluate the old and cumbersome categories of institutions that are fast becoming redundant and imaginatively integrate the many elements of higher education into a holistic system;
- will transcend the understanding of higher education as either "contact" or "distance";
- will become a leader in the dissemination of information, the building of new knowledge through research, the implementation of prevention

- strategies and involvement in sustainable outreach programmes in the HIV/AIDS context:
- will make profitable use of South Africa's position as an economic centre for the Southern African Development Community (SADC) and the New Partnership for Africa's Development (NEPAD).

If an invigoration of higher education is to occur, the vision supported by these principles must be brought to life through a close and ongoing working relationship between the sector (SAUVCA and other) and the Ministry of Education. The CHE (apart from the HEQC component) is a policy advisory body and not designed for "project management" on a national scale.

SAUVCA and the Ministry of Education should establish a higher education network to be co-ordinated at Ministry level.

This network would be mandated with ensuring conceptual alignment of strategies within the Ministry of Education as well as between departments. In addition, it would make use of the major resource base at SAUVCA's disposal to ensure successful coordination, integration and implementation of policies. Specifically, it is envisaged that this network would be mandated to implement higher education vision and goals in consultation with the Ministry of Education.

3.2 Concluding remarks

A compelling vision, sound relationships, policy integration, and practical investments to support implementation are essential for the success of any transformation and restructuring plan of the magnitude contemplated for South African higher education. Through this document, SAUVCA has put forward principles to inform a reinvigorated vision of higher education, and suggested an approach to translate the vision into action. We have invited renewed relationships within the sector, between the sector and the Ministry of Education, and between South African higher education and the global knowledge economy. Moreover, we have highlighted critical challenges, opportunities and problems that require skilful co-ordination and application of appropriate resources. Complexity notwithstanding, this vision is based on a sure sense of hope and the confidence of success.

Appendix A

Change initiatives in higher education

Over 30 change initiatives from various government departments currently demand higher education management time and financial resources.

Table 1: Policy Issues Requiring Integration

Restructuring

- National Working Group proposals
- Minister of Education's proposals for restructuring
- o Merger discussions, with array of attendant issues
- o Regional aspects of restructuring
- Formation of new types of institutions e.g. Institutes of Technology, National Institutes of Higher Education, comprehensive institutions

Research

- o Programmes for capacity building
- Emphasis on innovation
- Ratings for researchers in Humanities

Academic Planning

- Provisions of National Plan for Higher Education (NPHE)
- Mission and niche documentation
- o Programme and Qualification Mix (PQM)
- Regional discussions/proposals on identified programmes
- Three-year rolling plans
- Changing admissions requirements
- Implementing National Higher Education Information and Application Service (NHEIAS)

Quality Assurance

- o Institutional audit framework proposals
- Programme accreditation framework proposals
- o Research framework being prepared
- Teaching and Learning support framework in progress
- o Institutional visits by Higher Education Quality Committee (HEQC) now under way

• National Qualifications Framework: Programmes & Qualifications

- New academic policy
- o Revision of South African Qualifications Authority (SAQA) under way
- Outcomes-based formats for programmes/qualifications
- Procedures for registration/approving funding of new programmes
- Regional clearing of new programmes

Governance

 Council on Higher Education (CHE) Policy Report: Promoting Good Governance in South African Higher Education

Equity & Labour Issues

- o Implementation of labour legislation
- o Employment Equity Act
- Institutions formulating equity policies, plans and reports
- Skills Development Act
- Transformation processes within institutions

Data Collection & Reporting

- Changeover from SAPSE (South African Post-Secondary Education system) to HEMIS (Higher Education Management Information System)
- Production of institutional annual reports
- o Issues of reporting vis-à-vis governance, with reference to King Report II
- Responding to requests for information from government departments

Funding

- New funding formula awaited will impact on academic planning and PQM
- o Funding for mergers, for redress, for deficits