

*"Revitalising and Transforming the Academic Profession"*

## **POLICIES AND PROCESSES FOR PHASES 1 and 2 OF THE NEW GENERATION OF ACADEMICS PROGRAMME (nGAP) [2015/16, 2016/17 COHORTS]**

### **Introduction**

1. The Minister approved the 'Staffing South Africa's Universities' Framework (SSAUF) in January 2015.
2. This document should be read in conjunction with the approved SSAUF document and the University Development Grant (UDG) document (yet to be discussed with universities before it is finalised).
3. The New Generation of Academics Programme (nGAP), which involves recruiting new academics as part of the nGAP, is one of the programmes within the SSAUF.
4. The first phase of implementation of the nGAP involves the recruitment of new academics as part of a 6 year programme beginning in 2015/2016 and ending in 2020/2021.
5. The second phase of implementation of the nGAP involves the recruitment of new academics as part of a 6 year programme beginning in 2016/2017 and ending in 2021/2022.
6. The 6 year period is specific for each nGAP post, and starts on the date that the post-holder takes up the position.
7. This document is intended to provide a standard set of policies and processes to guide the implementation of these two phases of the nGAP.

## The nature of the New Generation of Academics Programme (nGAP)

8. The nGAP is intended to support universities to recruit new academics in line with their staffing and development plans.
9. The nGAP will enable the newly-recruited lecturers to benefit from teaching development and research development opportunities, as well as enable them to register on master's, doctoral or post-doctoral programmes, depending on their individual needs.
10. Table 1 below illustrates 6 key aspects of the nGAP:

**Table 1: The 'New Generation of Academics' Programme (nGAP)**

	Stage 1 Development Programme			Stage 2 Induction and early career development		
	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6
<b>Employment</b>	√ [reduced workload] 20%	√ [reduced work load] 20%	√ [reduced work load] 20%	√ [increasing work load] 50%	√ [full work load]	√ [full work load]
<b>Master's/Doctoral/ Post- Doctoral<sup>1</sup> Study</b>	√	√	√	PhD possibly still completing		
<b>Mentoring</b>	√	√	√	√		
<b>Participation on the SSAU- Development Programme</b>	√	√	√	√	√	√
<b>Infrastructure &amp; equipment</b>	Contributions towards costs (e.g. office, laboratory, computer)					
<b>International mobility</b>	The intention is to support one international mobility opportunity					

1. The workload for nGAP lecturers who already hold a doctoral degree and who may embark on post-doctoral studies should be negotiated.

Each aspect of the programme listed in Table 1 is discussed in greater detail below:

### 10.1 Employment

- nGAP lecturers are appointed on a permanent, full-time basis from the outset.
- nGAP lecturers have to fulfil probationary requirements as would any other lecturer.
- The recruitment and appointment of nGAP employees will take place in accordance with the university's policies and procedures.
- The university will provide the management and administrative support required to perform the recruitment and appointment functions.

- The university is the employer, and the nGAP lecturer has to comply with line management processes that are in place at the university.
- Beyond monitoring the appointment and continued employment of the nGAP lecturer, and ensuring that specific conditions of the nGAP are adhered to, the DHET does not play any further role with respect to the employment relationship between the university and the lecturer.
- A specific condition of the nGAP regards the workload allocation for the nGAP lecturer which is indicated to be 20% in the first three years of the programme for those lecturers needing to complete a master's or doctoral degree. This will enable sufficient time to be available to complete the appropriate postgraduate study programme, and to participate in approved development activities. nGAP lecturers who already hold a doctoral degree, and who embark on post-doctoral studies, should be allocated a 50% workload allocation for the first three years.

#### 10.2 Master's/Doctoral/Post-Doctoral study

- On appointment, the nGAP lecturer must be immediately supported to enroll for a relevant postgraduate programme in his/her lecturing discipline. Depending on what qualifications are already held by the lecturer, enrolment could be for a master's, doctoral or post-doctoral programme.
- Funds to enable the enrolment of the lecturer on the relevant programme and to undertake the study and research work for the programme are included in the funds that the DHET allocates to the university for the lecturer's participation on the nGAP.
- Study should take place at a university and with a supervisor that has recognised and demonstrated expertise in the area of study. The mentor allocated to the newly-appointed lecturer should assist with making this decision. The intention is that the newly-appointed lecturer receives the highest level of supervision possible, from recognised experts in the discipline.

#### 10.3 Mentoring

- A mentor should be appointed for each nGAP lecturer from the point of taking up the position, and at least for the first four years of the lecturer's participation on the programme.
- Under normal circumstances, the mentor should not be the student's supervisor as the roles are different.
- Mentors are envisaged to be experienced and successful academics. Recently retired recognised disciplinary experts also recognised as good teachers could be considered for the mentorship role.

- The mentor should not be a current employee of the university as it is expected that all new lecturers should be mentored by seniors in their discipline as a matter of course. The funds provided for this must enable the provision of dedicated mentor support. It is possible that an appointed mentor can be responsible for more than one nGAP lecturer.
- The duties of mentors will include keeping close track of agreed developmental milestones and plans, providing assistance with the preparation of a personal plan for professional development, advising on professional development activities that should be undertaken, assisting where necessary with the process of registering for a PhD/Master's programme, assisting with such matters as personal problems, time management, and financial management, and creating opportunities for reflective discussions on teaching and research experiences, opportunities and challenges.

#### 10.4 Participation on the Staffing South Africa's Universities' Development Programme (SSAU-DP)

- The SSAU-DP comprises of a basket of formal and non-formal development courses that provide development opportunities for academics in teaching and research.
- The development opportunities may take the form of enrolment on formal qualifications and/or through completing relevant short courses or modules.
- Universities will submit programmes and courses that they wish to be recognised as part of the SSAU-DP. These will be reviewed by the national nGAP review committee for inclusion on a national; database of programmes and courses that are recognised to be part of the SSAU-DP.
- nGAP lecturers are expected to undertake research development opportunities and teaching development opportunities.
- nGAP lecturers will be expected to maintain a Professional Development Portfolio (PDP) which provides evidence of participation in development programmes recognised through the SSAU-DP. These will be reviewed annually and will inform the feedback that the DHET will annually provide to each nGAP lecturer. At the end of the 6 years the PDP will be used to determine satisfactory conclusion of the lecturer's participation in the nGAP.

#### 10.5 Infrastructure and equipment

- Each appointed nGAP lecturer is provided with a fund allocation for infrastructure and equipment to support his/her work.
- The funds can be used to provide an appropriate and appropriately equipped workspace for the nGAP lecturer.
- The funds could be used to purchase items such as ICT equipment, research software, recording equipment and the like.

## 10.6 International mobility

- Funds are provided to enable one international mobility opportunity for the nGAP lecturer.
- The mobility opportunity should take the form of an international visit to spend some time at a university which has demonstrated expertise in the discipline and research focus the nGAP lecturer is pursuing.
- The visit should serve the purpose of enhancing and informing the research work that the nGAP lecturer is undertaking, and to enable the nGAP lecturer to establish links and possible collaborations.
- The visit should take place at an appropriate time to enable the lecturer to benefit maximally from the experience.
- The nGAP lecturer's supervisor and mentor should advise on the place and time of the visit.

### **Financial management of nGAP funds allocated by the DHET to universities**

11. The university is required to create a separate cost centre for each phase of the nGAP (i.e. a cost centre for Phase 1, another for Phase 2.) in its financial system; and within this, to manage the fund allocation for each nGAP lecturer appointed in the phase.
12. nGAP funding covers a six year period to enable full participation of each nGAP lecturer on the programme. The 6 year period is specific for each nGAP post, and starts on the date that the lecturer takes up the position.
13. The funds allocated to support the participation of the lecturer on the nGAP can only be used for the following activities over the six years of the nGAP, as spelled out in Table 2 below.

**Table 2: Allocation of funds for nGAP Phase 1 and Phase 2 implementation**

<b>nGAP component</b>	<b>Maximum amount that can be paid from the DHET funds (Phase 1)</b>	<b>Maximum amount that can be paid from the DHET funds (Phase 2)</b>
Salary costs of the nGAP appointees	R400 000 per nGAP appointee per year for each of the first three years	R429 622 per nGAP appointee per year for each of the first three years
	R300 000 per nGAP appointee for the fourth year (university contribution to meet gap)	R324 622 per nGAP appointee for the fourth year (university contribution to meet gap)
	R200 000 per nGAP appointee for the fifth year (university contribution to meet gap)	R219 622 per nGAP appointee for the fifth year (university contribution to meet gap)
	R100 000 per nGAP appointee for the sixth year (university contribution to meet gap)	R114 623 per nGAP appointee for the sixth year (university contribution to meet gap)
A contribution towards registration and tuition fees for postgraduate studies of the nGAP employee	R45 000 per nGAP appointee over the full registration period	R45 000 per nGAP appointee over the full registration period
Costs associated with assigning a mentor for each nGAP employee	R80 000 per nGAP appointee over the first four years of the nGAP programme	R80 000 per nGAP appointee over the first four years of the nGAP programme
Costs associated with nGAP employees' participation in the Staffing South Africa's Universities Development Programme (SSAU-DP)	R120 000 per nGAP appointee over the full programme	R120 000 per nGAP appointee over the full programme
Costs of infrastructure and equipment needed to support the work of nGAP employees.	R109 879 per nGAP appointee over the full programme	R120 000 per nGAP appointee over the full programme
International conference/mobility participation costs <sup>1</sup>	R20 000 per nGAP appointee over the full programme	R20 000 per nGAP appointee over the full programme
<b>TOTAL</b>	<b>R2 174 879</b>	<b>R2 332 733</b>

1. Can be topped up from SSAU-DP participation allocation

14. The university and nGAP lecturer must manage the costs of the individual items listed above within this overall allocation. Budget virements are allowed but permission must be requested from the DHET before implementing the changes.

15. The university must maintain a budget which clearly shows how the funds are used over the six years of the programme, and a report on the budget for each nGAP lecturer must be included in the annual reports on the nGAP programme submitted by the university.
16. The university will credit the nGAP account annually with interest as calculated by the university in accordance with its financial policy regarding trust fund accounts, which is subject to change from time to time. Detail of this policy will be made available to the DHET and amendments thereto will be communicated to the DHET in advance. The interest earned on the balance of the funds may be used to offset inflationary increases and administrative/management expenses related to nGAP costs.
17. All expenditure debited against the nGAP fund will be subject to the provisions of the university's financial policies and normal institutional audit protocol.

#### **Application for and allocation of nGAP posts**

18. The DHET will issue a call for applications for nGAP posts from universities for each phase, by August of the financial year preceding the start of the phase.
19. Each call will be accompanied by a proposal template and a set of criteria against which applications will be assessed.
20. Universities are expected to submit their applications by the end of November of the financial year preceding the start of the phase.
21. A review team to assess the applications will be convened in January of the financial year preceding the start of the phase.
22. As the number of posts that are available during the first two phases are limited to about 100 per year, post allocations are generally shared out equally between institutions that make applications that are approved. The progress of implementing the preceding phase is also taken into consideration when allocating posts. A more nuanced post distribution mechanism will be developed for phase 3 onwards.
23. The funds that will be needed to enable the appointment of nGAP scholars into the allocated posts, and to support their full participation over the six years of the nGAP, will be transferred to each university before the end of March of the financial year preceding the start of the phase. These funds can only be utilised on confirmation that the university agrees with the policies

and processes for managing the nGAP, as described in this document, through signing the agreement document that will be sent to universities and submitting it to the DHET.

### **Recruitment and appointment of nGAP employees**

24. By the end of April, the university will receive formal notification from the Director-General (DHET) on the specific posts that have been approved for filling at the university, and recruitment processes to fill these posts can only begin on receipt of this notification.
25. nGAP posts allocated to the university which are not filled by the university by the end of November will automatically lapse and the funds will be reallocated for use in the next Phase.
26. The recruitment and appointment of nGAP employees will take place in accordance with the university's policies and procedures. The university will provide the management and administrative support required to perform the recruitment and appointment functions.
27. Apart from institutional advertisements, DHET will create a composite nGAP vacancy list for posts that will be supported in the Phase. The advert will be advertised nationally and at institutional level through various means, including electronic and print-based media. The advertisements will, among others, clearly indicate that the posts are institution-based and permanent.
28. The DHET will be entitled to participate, via a DHET representative with observer status, in the short-listing and interview process and must be notified in good time by the university of short-listing and interview dates.
29. Selection and appointment of employees will be made with due observance of the policy and criteria of the university regarding job titles (academic status), post descriptions, competency profiles of candidates and any other relevant institutional priorities and criteria, as well as the criteria linked to the transformational agenda of the nGAP.
30. Following the short listing and interview process, the university will make recommendations regarding the appointment of candidates to the DHET, which will confirm or reject the recommendations of the university and forward such recommendations to the Director-General or his nominee for final approval. Recommendations will only be rejected if the criteria developed by the DHET for nGAP appointments have not been met. The submission of recommended candidates must include a copy of the advertisement of the post, HR report on applicants' shortlisting and interview process, a copy of the recommended candidate's CV, ID and qualification certificates.



31. Once the proposed appointment has been confirmed in writing by the Department, the university can make firm offers of employment to the selected candidates. The university is then expected to submit signed contracts of appointments and the 'New Generation of Academics' Programme (nGAP) Addendum contracts to the Department.
32. nGAP employees will be appointed on the university's staff establishment as permanent staff at the outset of employment, subject to the usual probationary and performance expectations.

### **Provisions to be incorporated in the employment contracts of nGAP employees**

33. The nGAP employees are deemed to be full employees of the university and nGAP employees will be subject to the university's conditions of service for academic employees.
34. The university will be responsible for the day-to-day supervision of employees.
35. The university will determine the institutional reporting lines of employees.
36. The university must put an employment contract in place with each nGAP appointee, which, among others, clearly stipulates obligations, expectations, roles and responsibilities and clearly describes the university's conditions of service for employees appointed in nGAP posts. The employment contract must:
  - make it clear that the appointment is on a permanent full time basis;
  - emphasise the need to participate successfully in the SSAU Development Programme (SSAU-DP);
  - set out such matters as the number and nature of SSAU-DP courses and activities to be taken over the duration of the programme;
  - specify the teaching load (as a percentage of the norm for the level of appointment) of the appointee over the 6 years of the programme;
  - set out expectations in relation to registration for a PhD/Master's and target and timeframes for specific milestones to be achieved; and
  - emphasise the expectations of the nGAP appointee commitment in relation to working with an appointed mentor, including details on what the roles and responsibilities of the appointee and mentor would be to enable an effective mentor-mentee relationship.
37. The following conditions regarding the financial implications of termination of participation in the programme must be incorporated into the employment contracts of nGAP employees:
  - The nGAP employee must acknowledge commitment to successful completion of the 6 year programme at the university.

- Should a nGAP employee leave the programme by choice, or drop out, or have his/her contract terminated for reasons of poor performance or misconduct during the first 6 years of the programme, the nGAP employee will be obliged to repay the university the following costs incurred up to the point of leaving: registration and tuition fees for postgraduate studies; costs associated with assigning a mentor for each nGAP employee; costs associated with the nGAP employee's participation in the SSAU-Development Programme; costs of infrastructure and equipment needed to support the work of the nGAP employee; and conference/international mobility participation costs, as well as 10% of salary costs incurred up to the point of leaving. Furthermore, the nGAP employee's continued participation in the programme, if applicable, will be terminated; and
  - should a nGAP employee leave his/her home university successful completion of the programme, the nGAP employee will not be obliged to repay the home university and the state any of the costs incurred by them for the employment and development of the nGAP employee.
38. The Director-General of the DHET may, in the interest of the nGAP employee and after consultation with the Vice-Chancellor of the home university, approve deviations from the provisions set out in point 37 above.
39. The university will be responsible for providing the administrative and developmental support to employees, as necessary and appropriate, with a view to enabling them to participate fully in the SSAU-DP.
40. The university indemnifies the DHET against any action arising from the employer/employee relationship between the university and the nGAP employees as a result of any action taken by the university in terms of this contract or otherwise.
41. The university will provide appropriate office space and infrastructural support to employees reasonably required to perform their tasks.
42. The university will submit a signed copy of the employment contract as well as the Addendum to nGAP appointee contract for each nGAP employee to the DHET.

### **Reporting Requirements**

43. The SSAUF/nGAP fund is an earmarked grant and is therefore subject to the DHET financial reporting requirements in respect of such funds.

44. The university will provide an annual narrative and financial report to DHET on the implementation of the nGAP at the university, supported by an external audit report.
45. The report will be submitted to the DHET no later than 31 May of each year.
46. The financial reports will include management statements signed by the Director: Finance of the university reflecting the income and expenditure of the nGAP Fund at the university.
47. The narrative report will include a detailed report on the participation and progress of each nGAP employee supported in each Phase.
48. The audit certificate must indicate that all expenditure was incurred and paid for following the university's formalised procedures and code of conduct. It must also indicate that all expenditure and commitments are consistent with the final version of the budget approved by the Department of Higher Education and Training. An audit sampling methodology of not less than 60% of expenditure incurred must be used for this report. The university must adhere to the Standards on Auditing (SA 530: Audit Sampling) in this regard.

THIS DOCUMENT WILL BE REVISED FOR PHASE 3 OF THE NEW GENERATION OF ACADEMICS PROGRAMME, WHICH WILL BE IMPLEMENTED IN THE 2017/18 FINANCIAL YEAR.