



higher education
& training

Department:
Higher Education and Training
REPUBLIC OF SOUTH AFRICA



“Revitalising and Transforming the Academic Profession”

**TERMS AND CONDITIONS
FOR UNIVERSITY PARTICIPATION IN
PHASE 9 OF THE NEW GENERATION OF
ACADEMICS PROGRAMME (nGAP)**

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January 2024¹

Introduction

1. The Minister approved the Ministerial Statement on the Implementation of the University Capacity Development Programme 2021 – 2023 through Effective Management and Utilisation of the University Capacity Development Grant (UCDG) 2021-23 in November 2020.
2. This document should be read in conjunction with the approved Ministerial Statement on the UCDP as well as the Staffing South Africa's Universities Framework (SSAUF) document.
3. The New Generation of Academics Programme (nGAP), which involves recruiting new academics as part of the nGAP, is one of the programmes within SSAUF.
4. Implementation of the nGAP involves recruitment of new academics as part of a 4- or 6-year programme.
5. This 4 or 6-year period is specific for each nGAP academic post and starts on the date that the post-holder signs the employment contract.
6. The Department of Higher Education and Training ("the Department") invites universities to apply for the allocation of posts on an annual basis.
7. The funds that will be needed to enable the appointment of nGAP academics into the allocated posts, as well as to support their full participation over the 4 or 6 years of the nGAP, will be transferred to the university at the beginning of each cohort. Funds for the following year will be withheld until a satisfactory annual

¹ The policies and processes described in this document refer to how Phase 9 of the New Generation of Academics Programme will be implemented, unless a revised version of the document (an "Addendum") replaces this one.

progress report for the previous year is submitted. These funds can only be utilised on confirmation that the university agrees to the policies and processes for managing the nGAP, as described in this document, through signing the agreement document and submitting it to the Department by the due date that is provided to universities at the time of communicating approval of posts.

Financial management of nGAP funds allocated by the Department to universities

8. The university is required to create a separate cost centre for each cohort of the nGAP (i.e., a cost centre for Phase 1, 2 and subsequent phases) in its financial system, in order to manage the allocation of funding for each academic appointed in each financial year.
9. The nGAP funding covers a 4- or 6-year period to enable the full participation of each academic in the programme. The 4- or 6-year period is specific for each nGAP post and starts on the date that the academic signs the employment contract.
10. The nGAP is subdivided into 2 components: i) Master’s degree holders, which refers to prospective academics that are recruited into the programme with a Master’s degree and have yet to complete their PhDs/doctoral degrees, and ii) PhD/doctoral degree holders, which refers to prospective academics who enter the programme with a PhD/doctoral degree. Table 1 and 2 below illustrate 6 key aspects of the nGAP:

Table 1: The New Generation of Academics Programme (Master’s degree holders)

	Stage 1: Development Programme			Stage 2: Induction and early career development			Stage 3²
	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7 and 8

² Lecturers need to remain at the university for 2 years after completing the programme in order to plough back to the university. Stage 3 is meant to protect universities and improve the retention of nGAP lecturers. During these 2 years, lecturers will be allowed to utilise the remaining funds in their respective cost centres to participate in further developmental programmes and travel. These lecturers are therefore required to submit annual reports on the utilisation of these remaining funds.

Employment	[reduced workload ¹ - 20%]	[reduced workload - 20%]	[reduced workload - 20%]	[increasing workload 50%]	[full workload]	[full workload]	remain at the university [full workload]
Doctoral/Post doctoral studies	√	√	√	PhD possibly still completing			
Mentoring	√	√	√	√			
Participation in development activities as part of the SSAU-Development Programme (SSAU-DP)	√	√	√	√	√	√	
Research study costs	contributions towards the academic's research study costs						
International mobility	The intention is to support one international mobility opportunity, which would take place at any point during the 6 or 8 years of participating in the programme, when and where it will provide maximum benefit for the development of the lecturer.						

Table 2: The New Generation of Academics Programme (PhD/doctorate holders)

	Stage 1: Induction and early career development				Stage 2³	
	Year 1	Year 2	Year 3	Year 4	Year 5 and 6	
Employment	[reduced workload - 50%]	[reduced workload - 50%]	[full workload]	[full workload]	remain at the university [full workload]	

³ Refer to footnote number 2.

Postdoctoral ⁴ Studies/Professional Teaching Studies/Publications	√	√	√	√	
Mentoring	√	√	√	√	
Participation in development activities as part of the SSAU-Development Programme (SSAU-DP)	√	√	√	√	
Research costs	contributions towards the academic's research and publication costs				
International mobility	The intention is to support one international mobility opportunity, take place at any point during the 6 years of participating in the programme, when and where it will provide maximum benefit for the development of the lecturer.				

11. The funds allocated to support the participation of the academics on the nGAP can only be used for the following activities over the 4 or 6 years of the nGAP, as explained in Table 3 below:

Table 3: Allocation of funds for nGAP implementation

nGAP component	Maximum amount that can be paid from the DHET funds (%)
Salary costs of the nGAP appointees	18% (54% over the 3-year period) of the total allocation per nGAP appointee per year for each of the <u>first 3 years</u>
	14% of the total allocation per nGAP appointee for the <u>4th year</u> (university contribution to meet gap)
	9% of the total allocation per nGAP appointee for the <u>5th year</u> (university contribution to meet gap)
	5% of the total allocation per nGAP appointee for the <u>6th year</u> (university contribution to meet gap)

⁴ Academics who already hold a doctoral degree, and who then embark on postdoctoral studies, should be allocated a 50% workload for the first 2 years and a full workload thereafter. Workload includes the overall work done by an academic (i.e., preparations for lectures, teaching, research, marking, administrative work and community involvement).

A contribution towards registration and tuition fees for postgraduate studies of then GAP academic	2% of the total allocation per nGAP appointee over the full registration period
Costs associated with assigning a mentor for each nGAP academic	4% of the total allocation per nGAP appointee over the first 4 years of the nGAP programme
Costs associated with the nGAP academics' participation in the Staffing South Africa's Universities Development Programme (SSAU-DP)	5% of the total allocation per nGAP appointee over the full programme
Costs of equipment and activities needed to support the studies of the nGAP academic registered for a PhD. Candidates who entered the programme with a PhD can make use of this allocation to cover costs for further research and publication developmental needs.	5% of the total allocation per nGAP appointee over the full programme
International conference/mobility participation costs	2% of the total allocation per nGAP appointee over the full programme
TOTAL	100% = Specific allocated amount for the 4- or 6-year programme

12. The total allocation per nGAP employee over the 4 or 6 years of the nGAP (Phase 9) is R2,869,838. The university and the academic must manage the costs of the individual budget items listed above within this overall allocation. Budget virements are allowed between budget items, except for the salary and the SSAU-DP budget line items.

13. The university must maintain a budget that clearly shows how the funds are used over the 4 or 6 years of the programme, and a report on the budget for each academic must also be included in the annual report on the nGAP that is submitted by the university. In cases where remaining funds are used after the 4- or 6-year period, a financial report on how the funds were utilised should be submitted as part of the nGAP annual report.

14. 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. Details of this policy must be made available to the Department and amendments thereto must be communicated to the Department in advance. The accumulated interest earned

on the funds must be used primarily to offset inflationary salary increases, secondarily for administrative/managerial expenses, and lastly for related *bona fide* purposes/costs approved by the nGAP manager.

15. All expenditure debited against the nGAP fund will be subject to the provisions of the university's financial policies and normal institutional audit protocol.

Recruitment and appointment of lecturers

16. For each financial year, the university will receive formal notification from the Department on the specific posts that have been approved at the university, and recruitment processes to fill these posts can only begin on receipt of this notification.

17. The Department/implementation support partner university will create a composite nGAP vacancy list for all posts that are supported in each financial year. The advertisement will be advertised nationally and at an institutional level through various means, including electronic and print-based media. The national advertisement will direct potential applicants to each university's website, and so details of the post must be available there when the advertisement is published.

18. The university must place a full advertisement for each nGAP post on its website with clear instructions for the application process. Institutional advertisements should, among other things, clearly indicate that the posts are institution-based and permanent. The university must advertise nGAP posts specifying a Master's degree with a minimum average of 70% pass mark for the Master's degree as the standard requirements to apply for nGAP posts. The university cannot include a PhD qualification as a minimum requirement or as an advantage for any nGAP post.

19. The university must provide both the managerial and administrative support required to perform the recruitment and appointment functions. The recruitment and appointment of nGAP academics must take place in accordance with the university's policies and procedures.

20. Selection and appointment of academics 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.

21. The nGAP is positioned as a prestigious programme in the sector, and so only candidates who demonstrate passion for pursuing careers as academics and who have demonstrated high academic ability must be recruited. Prospective candidates should have achieved averages of 70% or above for their Master's degrees. This condition can be waived on approval by the Deputy Director-General of the Department but only following a substantial motivation submitted by the university. Motivation is only allowed for candidates who have obtained 65% or above. The motivation must also include confirmation that the candidate will be accepted at a university for a Doctoral/PhD study with the average of 65% pass mark.
22. Where possible, a representative from the Department will be entitled to participate as an observer in the shortlisting and interview process, and must therefore be notified in good time by the university of shortlisting and interview dates.
23. Following the shortlisting and interview process, the university will make recommendations regarding the appointment of candidates to the Department, which will confirm or reject the recommendations of the university and then forward them to the Deputy Director-General of the Department, or his/her nominee, for final approval. Recommendations are only likely to be rejected if the criteria developed by the Department for nGAP appointments have not been met. The submission of recommended candidates must be made to the Department within 30 days after the interviews. Each recommendation must include: a copy of the advertisement of the post, the signed HR report on the applicant's shortlisting and interview process, and a certified copy of the recommended candidate's curriculum vitae, identity document, qualification certificates and academic transcripts of their highest qualification.
24. Once the proposed appointment has been confirmed in writing by the Deputy Director-General or his/her nominee, the university can make firm offers of employment to the selected candidates. The university cannot, however, make an offer to the candidate/s without the formal approval of the Department. After the recommendation has been approved by the Department, the university must submit signed contracts of appointments and the-nGAP "Addendum" contracts to the Department within 30 days from the date the incumbent takes up the post.
25. Posts are considered to be filled when the Department has granted the approval for the recommendation and received a copy of the signed employment contract between the academic and the university.

26. nGAP academics must be appointed on the university's staff establishment as permanent staff at the outset of employment, subject to the usual probationary and performance expectations.

27. nGAP posts allocated to the university that are not filled by the start of the next phase will be carried over to the next allocation. This will affect the number of posts allocated to the university in the following year.

Provisions to be incorporated into the employment contracts of lecturers

28. The academics are deemed to be full employees of the university and will thus be subject to the university's conditions of service for academic employees.

29. The university must be responsible for the day-to-day supervision of the academics.

30. The university must determine the institutional reporting lines of the academics.

31. The university is responsible for providing all necessary administrative and developmental support to the academics, with a view to enabling them to fully participate in appropriate development programmes.

32. The university must provide the appropriate office space and infrastructural support to the academics that is reasonably required to perform their tasks.

33. The university must put an employment contract in place with each nGAP appointee that, among other things, clearly stipulates obligations, expectations, roles and responsibilities, as well as clearly describes the university's conditions of service for academics appointed in nGAP posts.

34. The employment contract/performance agreement must:

34.1. make it clear that the appointment is on a permanent full-time basis;

34.2. specify the teaching load⁵ (as a percentage of the norm for the level of appointment) of the appointee over the 4 or 6 years of the programme;

34.3. emphasise the need to participate successfully in the SSAU Development Programme (SSAU-DP);

⁵ Workload includes the overall work done by a lecturer (i.e., preparations for lectures, teaching, research, marking, administrative work and community involvement).

34.4. set out such matters as the number and nature of SSAU-DP courses and activities to be taken over the duration of the programme;

34.5. set out expectations in relation to registration for a PhD/postdoctoral programme, as well as targets and timeframes for specific milestones to be achieved; and

34.6. emphasise the expectations of the appointee's commitment in relation to working with an appointed mentor,⁶ including details on what the roles and responsibilities of the appointed academic and mentor would be to enable an effective mentor-mentee relationship.

35. The following conditions regarding the financial implications of termination of participation in the programme must be incorporated into the employment contract of the nGAP academic:

35.1. Set out expectations in relation to registration for a PhD/postdoctoral programme, as well as targets and timeframes for specific milestones to be achieved.

35.2. The academic must acknowledge commitment to the successful completion of the 4- or 6-year programme at the university by signing the nGAP SSAUF addendum.

35.3. Should an academic leave the programme by choice, drop out or have his/her contract terminated for reasons of poor performance or misconduct, either during the first 4 or 6 years of the programme or within 2 years after the successful completion thereof, the nGAP academic will be obliged to repay the university the following costs incurred up to the point of leaving:

- full costs of registration and tuition fees for postgraduate studies;
- full costs associated with assigning a mentor for each academic;
- full costs associated with the academic's participation in the SSAU-Development Programme;
- full costs of the equipment needed to support the research/studies/work of the academic;

⁶ *Mentors are envisaged to be experienced and successful academics. The duties of the mentor 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; 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.*

- full costs of international conference/mobility participation; and
- 10% of salary costs incurred up to the point of leaving.

35.4. It is the responsibility of the university, through its processes, to recoup any funds that the academic who left the programme before completion needs to repay.

35.5. The university must notify the Department when the position becomes vacant.

36. The Deputy Director-General or his/her nominee may, in the interest of the academic and after consultation with the university, approve deviations from the provisions set out in point 35 above.

37. The university indemnifies the Department against any action arising from the employer-employee relationship between the university and the academic as a result of any action taken by the university in terms of this contract or otherwise.

Change management

38. The university is monitoring the implementation of the nGAP and this necessitates changes as and when necessary, based on the outcomes of the monitoring.

39. Therefore, the university is expected to make changes internally, though with the approval of the Deputy Vice-Chancellor. The following changes, however, need to be approved by the Department:

- a. extensions of the period a lecturer takes to complete the programme;
- b. changes to the discipline of the allocated post; and
- c. the allocation of interest accumulated.

40. Records of changes made must be provided as part of the annual report that is submitted to the Department.

41. Requests for changes that are directed to the Department can only be considered up to the end of October, complete with full justification for such requests.

42. Changes must be recorded on the standard change request template provided by the Department.

43. Changes with regards to budget virements (managed internally by the university) must be illustrated in a table that clearly indicates the movement of funds from one budget line item to the other.
44. Outcomes for changes submitted to the Department must be communicated to the university within a period of 2 weeks from the date of submission.

Reporting requirements

45. The nGAP fund is an earmarked grant and is therefore subject to the Department's financial reporting requirements in respect of such funds.
46. The university must provide an annual narrative and financial report to the Department on the implementation of the nGAP at the university, supported by a report from the external auditors.
47. The report must be submitted to the Department no later than 31 May of each year.
48. The narrative report will include a detailed account of the participation and progress of each academic supported in each phase.
49. The financial reports will include management statements signed by the Director: Finance of the university reflecting the income, expenditure and accumulated interest of the nGAP funds at the university.
50. The report from the external auditors must indicate that all expenditure was incurred and paid for while following the university's formalised procedures and code of conduct. It must also show that all expenditure and commitments are consistent with the final version of the budget approved by the Department. 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.

Project management

51. The university must appoint a manager for the nGAP, utilising the interest accumulated from the funds where necessary.

52. The role of this manager is to coordinate and oversee the effective implementation of the nGAP at the university. Responsibilities of the manager include (but are not limited to) the following:

- a. ensuring that the university applies for posts advertised by the Department;
- b. managing and approving the changes made during the implementation of the programme;
- c. being a liaison between the university and the Department;
- d. coordinating the submission of all reports (narrative and financial) to the Department; and
- e. coordinating all activities of the nGAP in the university.

UNIVERSITY ACCEPTANCE OF THE TERMS AND CONDITIONS GOVERNING PARTICIPATION IN PHASE 9 OF THE NEW GENERATION OF ACADEMICS PROGRAMME (nGAP)

I, in my capacity as Vice-Chancellor of, hereby accept the terms and conditions stipulated in this document.

Signed: _____

Date: _____