



**UNIVERSITY OF
KWAZULU-NATAL**

**EMPLOYMENT EQUITY PLAN
AND REPORT:
FINANCE DIVISION**

2010 -2014

OCTOBER-SEPTEMBER

SECTION A: INTRODUCTION AND INSTRUCTIONS

The University of KwaZulu-Natal is a public institution with a mission of becoming a truly South African University as a leading institution of higher learning in South Africa. As such, the University commits itself to academic excellence, innovation in research and critical engagement with society.

VISION

To be the Premier University of African Scholarship.

PURPOSE

A broad objective of the Employment Equity Act is to achieve an equitable representation of the designated groups that mirrors their Economically Active Population (EAP). The Economically Active Population includes people from 15 to 64 years of age who are either employed or unemployed and seeking employment; as per Statistics South Africa's parameters.

In line with this objective, the University has pledged itself to be a truly South African university that is demographically representative, redressing the disadvantages, inequities and imbalances of the past.

PRINCIPLES AND CORE VALUES

The University commits itself to the principles and values enshrined in the constitution of the Republic of South African and articulated in the preamble to the Higher Education Act of 1997 (as amended).

GOALS

The University is actively seeking to achieve the following goals in Equity:

- Increased representation of under-represented groups in both staff and students, across all levels of the University, and to provide support for those groups;
- Staff and students skilled in working and studying with people from diverse cultural and linguistic backgrounds;
- Ensuring that the University meets its responsibilities to staff and students as required by legislation like the Employment Equity Act and the Promotion of Equality and Prevention of Unfair Discrimination Act;
- Principles of equity embedded within the fabric of the working life of the University;
- To work towards 'best practice' in equity and diversity in all areas of operations.

SECTION B: NATIONAL AND REGIONAL DEMOGRAPHICS

The national and regional workforce distribution supplies information on the total population and the Economically Active Population (EAP) of the country's four major population groupings in terms of their race and gender, which is crucial for the setting of Employment Equity numerical goals.

It is important for the demographics of the workplace to reflect the demographics of the operating region, thus it is necessary to consider the province of KwaZulu-Natal ("KZN") population, to see whether there are any marked differences from the national data. These are compared in Tables 1 and 2 overleaf.

Table 1: Profile of the South African national population by race and gender and profile of the Economically Active Population by race and gender

Population Group	National population distribution (2007)			Economically active (QLFS, 3 rd Quarter 2009)		
	Male	Female	Total	Male	Female	Total
African	18,417,431	19,837,737	38,255,168	6,697,284	5,847,073	12,544,357
	38.0%	40.9%	78.9%	39.2%	34.2%	73.5%
Coloured	2,117,606	2,257,918	4,375,524	1,034,927	891,633	1,926,560
	4.4%	4.7%	9.1%	6.1%	5.2%	11.3%
Indian	615,971	628,663	1,244,634	332,403	186,366	518,769
	1.1%	1.3%	2.4%	1.9%	1.1%	3.0%
White	2,261,054	2,365,683	4,626,737	1,150,381	936,986	2,087,367
	4.7%	4.9%	9.6%	6.7%	5.5%	12.2%
Total	23,412,062	25,090,001	48,502,063	9,214,995	7,862,058	17,077,053
	48.2%	51.8%	100%	54%	46%	100%

Table 1 shows that Africans constitute the largest group (78.9%) of the national population in South Africa; followed by Whites (9.6%); Coloureds (9.1%) and Indians (2.4%). In terms of gender, females constitute 51.8% and males 48.2% of the national population.

Again **Table 1** shows that Africans constitute the largest group (73.5%) of the EAP in South Africa; followed by Whites (12.2%); Coloureds (11.3%) and Indians (3%). In terms of gender, males and females are relatively evenly distributed at 54% and 46% respectively. Africans are the only group, where their EAP lags behind their National Population Distribution (NPD).

Table 2: Profile of the regional (i.e. KZN) population by race and gender, together with a profile of the Active Population by race and gender

Population Group	Regional population distribution (2007)			Economically active (QLFS, 3 rd Quarter 2009)		
	Male	Female	Total	Male	Female	Total
African	4, 173 734	4, 651 488	8, 825 222	1,231,997	1,188,358	2,420,355
	40.7%	45.3%	86%	40.7%	39.3%	80%
Coloured	68,769	77,135	145 904	19,824	20,363	40,187
	0.7%	0.7%	1.4%	0.7%	0.7%	1.3%
Indian	410,786	425,094	835 880	205,848	119,429	325,277
	4.0%	4.1%	8.1%	6.8%	3.9%	10.8%
White	219,993	232,231	452 224	131,842	106,277	238,119
	2.1%	2.3%	4.5%	4.4%	3.5%	7.9%
Total	4, 873 282	5, 385 948	10, 259 230	1,589,510	1,434,427	3,023,937
	47.5%	52.5 %	100%	52.6%	47.4%	100%

Quarterly Labour Force Survey (3rd Quarter 2009)

Table 2 shows that in KwaZulu-Natal, Africans constitute the largest group (80%) of the EAP, followed successively by Indians (10.8%), Whites (7.9%) and Coloureds (1.3%). In terms of gender, males and females in the EAP are relatively evenly distributed at 52.6% and 47.4%, respectively.

SECTION C: WORKFORCE PROFILE - SUPPORT FUNCTIONS

1. FINANCE WORKFORCE PROFILE – SEPTEMBER 2009

Table 3: Please report the total number of **employees** (including employees with disabilities) in each of the following **occupational levels**: Note: A=Africans, C=Coloureds, I=Indians and W=Whites

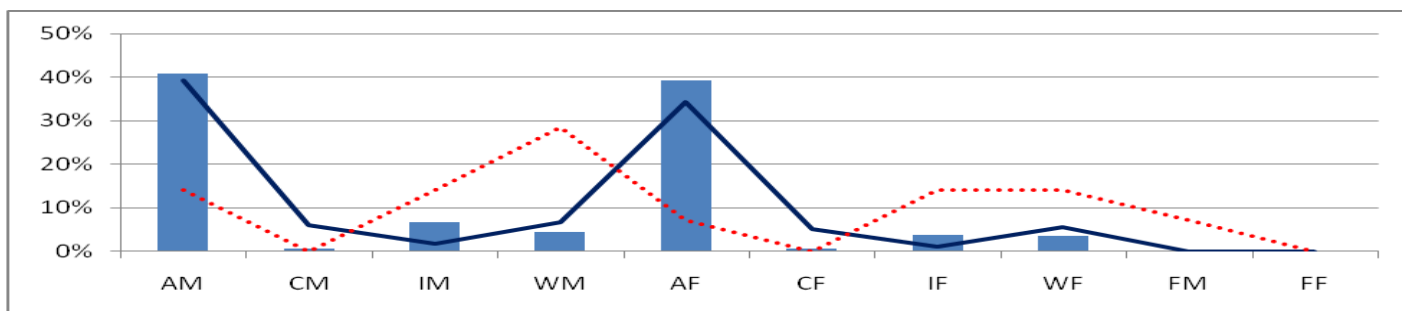
Occupational Levels	Male				Female				Foreign Nationals		Total
	A	C	I	W	A	C	I	W	M	F	
Top management (Gr. 1) *	1	0	0	0	0	0	0	0	0	0	14
Senior management (Gr.1 - 3) *	1	0	2	4	1	0	2	2	1	0	
Professionally qualified and experienced specialists and mid-management (Gr. 4 - 6)	0	0	12	0	0	0	2	2	0	0	16
Skilled technical and academically qualified workers, and junior management (Gr. 7 - 12)	5	0	30	1	10	7	22	12	0	0	87
Semi-skilled and discretionary decision making (Gr. 13 – 16)	0	0	0	0	1	0	0	0	0	0	1
Unskilled and defined decision making (Gr. 17 – 19)	0	0	0	0	0	0	0	0	0	0	0
TOTAL PERMANENT	5	0	42	1	11	7	24	14	0	0	104
Temporary employees	12	0	7	0	13	2	11	3	1	0	49
GRAND TOTAL	17	0	49	1	24	9	35	17	1	0	153

2. TRENDS ANALYSIS

The trends analysis provides a snapshot of representation in the top three occupational levels for the year 2009, noting that grades 1 to 3 inclusive are, by definition, members of the University Executive and not the Finance Division. Focus is placed on these specific three levels because the University of KZN, as with almost all designated employers, has an over-representation of Africans in the lower levels; as such, the setting of special targets is less necessary.

Figure 1: Percentage representation of senior and top management employees by race and gender *

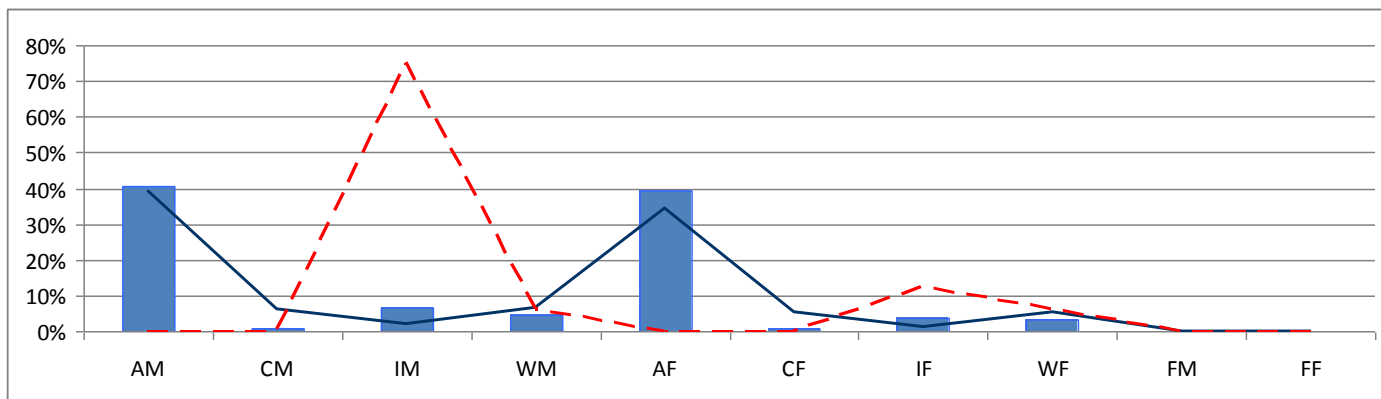
AM - African Male	AF - African Female	IM - Indian Male	IF - Indian Female	CM - Coloured Male
CF - Coloured Female	WM - White Male	WF - White Female	FM - Foreign Male	FF - Foreign Female



	AM	CM	IM	WM	AF	CF	IF	WF	FM	FF
— National EAP	39.2	6.1	1.9	6.7	34.2	5.2	1.1	5.5	0	0
■ Regional EAP	40.7	0.7	6.8	4.4	39.3	0.7	3.9	3.5	0	0
..... UKZN Top and Senior Management	14	0	14	29	7	0	14	14	7	0

Figure 1 [confirms](#) that UKZN top and senior Management (*i.e. Grades 1 to 3*) lag [the comparative](#) national and regional EAP statistics.

Figure 2: Percentage representation of middle management and professionals employees by race and gender

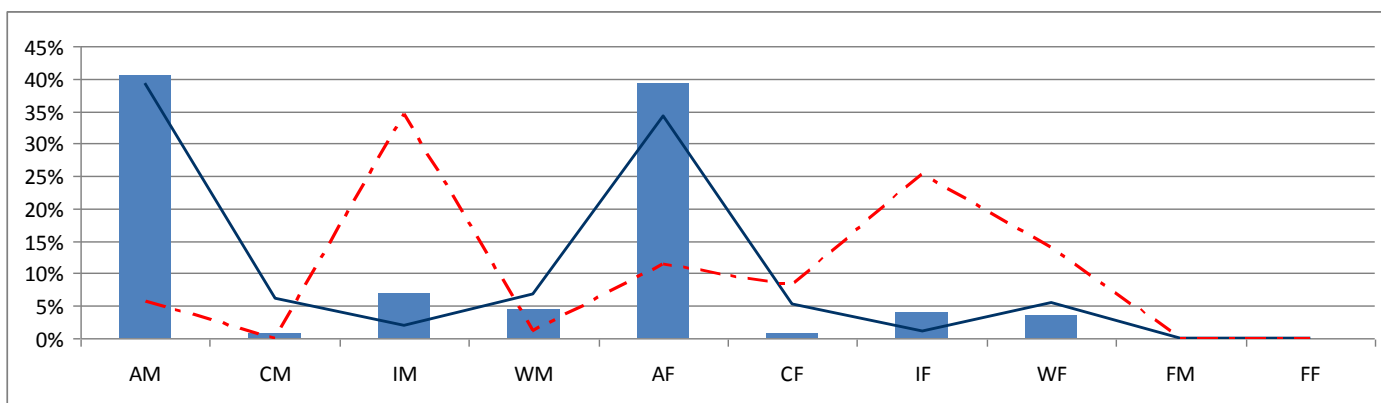


	AM	CM	IM	WM	AF	CF	IF	WF	FM	FF
National EAP	39.2	6.1	1.9	6.7	34.2	5.2	1.1	5.5	0	0
Regional EAP	40.7	0.7	6.8	4.4	39.3	0.7	3.9	3.5	0	0
Finance Middle Management and Professionals	0	0	75	6	0	0	13	6	0	0

Quarterly Labour Force Survey (3rd Quarter 2009)

At the professionally qualified level, the percentage of Indian Males shows a significant over-representation relative to the regional EAP statistics. White and Indian Females [are, likewise, disproportionately represented relative to](#) regional EAP [statistics](#). Africans are currently [under](#) represented at this level, although both national and regional statistics show that they should be better represented.

Figure 3: Percentage representation of junior management and academically qualified employees by race and gender

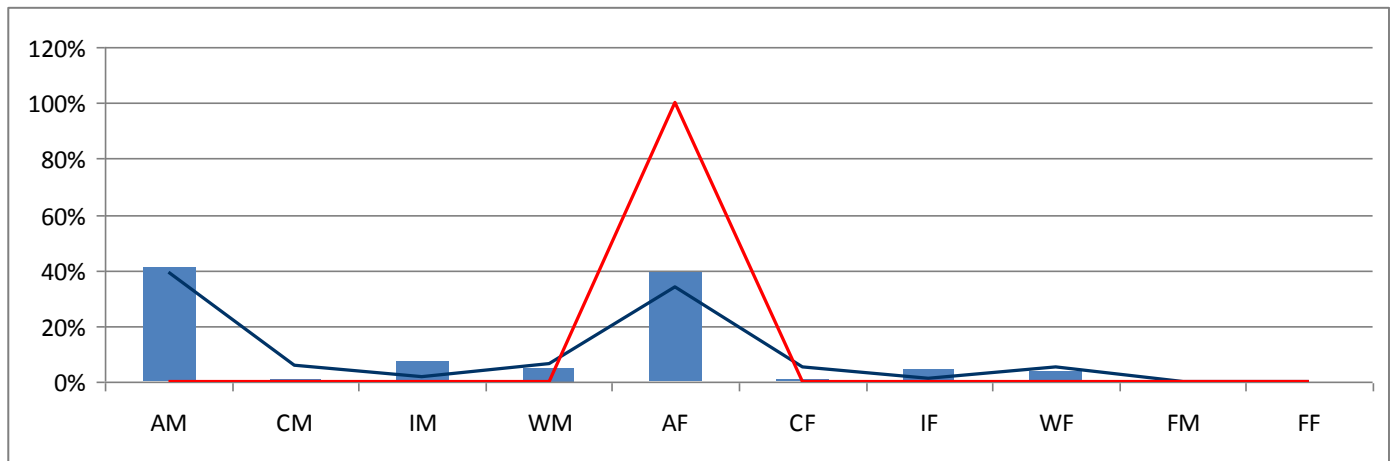


	AM	CM	IM	WM	AF	CF	IF	WF	FM	FF
National EAP	39.2	6.1	1.9	6.7	34.2	5.2	1.1	5.5	0	0
Regional EAP	40.7	0.7	6.8	4.4	39.3	0.7	3.9	3.5	0	0
Finance Junior Management and Academically Qualified	6	0	34	1	11	8	25	14	0	0

Quarterly Labour Force Survey (3rd Quarter 2009)

At this level, Africans [reflect](#) the largest [under-representation relative](#) to both the regional and national EAP [statistics](#). Although this gap is smaller than at the professionally qualified level, Indian males and females [are both over-represented](#). White and Coloured females are also over-represented in comparison to KZN regional statistics.

Figure 4: Percentage representation of semi-skilled employees by race and gender



	AM	CM	IM	WM	AF	CF	IF	WF	FM	FF
— National EAP	39.2	6.1	1.9	6.7	34.2	5.2	1.1	5.5	0	0
■ Regional EAP	40.7	0.7	6.8	4.4	39.3	0.7	3.9	3.5	0	0
— Finance Semi Skilled Workers	0	0	0	0	100	0	0	0	0	0

Quarterly Labour Force Survey (3rd Quarter 2009)

There is only one employee at this level, hence the 100% is not meaningful.

Overall, however, plans [have been set](#) to increase African representation at all levels and across both male and female genders.

SECTION D: TARGET SETTING

1. Guidelines and principle for setting targets

- The national and regional statistics of economically active people should provide a guide.
- Targets should be set by occupational levels, race and gender, first within the university and then in college/division; the reason for this is that the Department of Labour (DoL) evaluation is at university level, and not at individual College/Division level.
- The principle of appointable candidates (as entrenched in the equity policy) should be retained.
- A special consideration and/or target should be set for people with disabilities.

2. Implementation guidelines

- Special development programs as well as budget should be identified and introduced to accelerate upward movement especially for internal staff, i.e. accelerated development programs.
- Transformation is of strategic importance to the university as such, it must form key performance criteria of all executive members as well as senior management.
- Special considerations and communication addressing the possible fears of the non-designated employees must be introduced (promotion will be without prejudice).

NB* Employment equity and skills development are the two elements of the seven pillars of broad-based black economic empowerment which was gazetted in 2009. The Institute of Higher Learning, in part the university, in terms of statement 004 of code 000 of the Code of Good Practice is eligible to be measured against the adjusted generic scorecard as they are incapable of being measured against the ownership scorecard. Special consideration and executive decision is required in setting skills development and employment equity targets.

3. Approved Positions and Vacancies (September 2009)

Table 4: Please report the total number of vacancies against approved positions as per staff establishment.

Occupational Levels	Grade	Vacancies
Top management	1	0
Senior management	3 and above	0
Professionally qualified & specialists and mid-management	4, 5, 6	9
Skilled technical and academically qualified workers, junior management, and supervisors	7, 8, 9, 10, 11, 12	47
Semi-skilled and discretionary decision making	13, 14, 15, 16	0
Unskilled and defined decision making	17, 18, 19	-
GRAND TOTAL		56

Table 5: Please report the total number of expected vacancies in the department.

Note: A=Africans, C=Coloureds, I=Indians and W=Whites

Vacancies	Male				Female				Foreign Nationals		Total
	A	C	I	W	A	C	I	W	M	F	
Resignation (projection)	1	0	2	0	2	0	1	0	0	0	6
Non-renewal of contract	8	0	6	1	7	2	9	3	0	0	36
Retrenchment – Operational requirements	0	0	0	0	0	0	0	0	0	0	0
Retirement	0	0	1	1	0	0	1	5	0	0	8
GRAND TOTAL	9	0	9	2	9	2	11	8	0	0	50

4. Skills Development

Table 6: Please report the total number of people from the designated groups, including people with disabilities, who form a part of a skills development programme/leadership programmes aimed at capacity building (eg. LEAP).

Note: A=Africans, C=Coloureds, I=Indians and W=Whites

Occupational Levels	Male				Female				Total
	A	C	I	W	A	C	I	W	
Academic	0	0	0	0	0	0	0	0	0
Support Staff	4	1	1	1	4	1	1	1	14
TOTAL PERMANENT	0	0	0	0	0	0	0	0	0
Temporary (Graduate/Learnership)	0	0	0	0	0	0	0	0	0
GRAND TOTAL	4	1	1	1	4	1	1	1	14

5. Numerical goals (September 2014)

Table 7: Please indicate the numerical goals (i.e. the workforce profile) you project to achieve for the total number of employees, including people with disabilities, at the end of your current employment equity plan in terms of occupational levels.

Note: A=Africans, C=Coloureds, I=Indians and W=Whites:

Occupational Levels	Male				Female				Foreign Nationals		Total
	A	C	I	W	A	C	I	W	M	F	
Top management (Gr. 1)	0	0	0	0	0	0	0	0	0	0	0
Senior management (Gr. 1 – 3)	0	0	0	0	0	0	0	0	0	0	
Professionally qualified and experienced specialists and mid-management (Gr. 4 – 6)	5	1	8	1	3	1	2	2	0	0	23
Skilled technical/academically qualified workers, junior management, and supervisors. (Gr. 7 – 12)	30	0	25	2	49	0	22	8	0	0	136
Semi-skilled and discretionary decision making. (Gr. 13 – 16)	0	0	0	0	1	0	0	0	0	0	1
Unskilled and defined decision making (Gr. 17 – 19)	0	0	0	0	0	0	0	0	0	0	0
TOTAL PERMANENT	35	1	33	3	53	1	24	10	0	0	160

6. Numerical targets (September 2010)

Table 8: Please indicate the numerical targets (i.e. the workforce profile) you project to achieve for the total number of employees, including people with disabilities, at the end of the next reporting in terms of occupational levels. Note: A=Africans, C=Coloureds, I=Indians and W=Whites

Occupational Levels	Male				Female				Foreign Nationals		Total
	A	C	I	W	A	C	I	W	M	F	
Top management (Gr. 1)	0	0	0	0	0	0	0	0	0	0	0
Senior management (Gr. 1 – 3)	0	0	0	0	0	0	0	0	0	0	
Professionally qualified and experienced specialists and mid-management (Gr. 4 – 6)	0	0	11	1	1	0	3	2	0	0	18
Skilled technical/academically qualified workers, junior management, and supervisors. (Gr. 7 – 12)	10	0	30	1	13	9	27	11	0	0	101
Semi-skilled and discretionary decision making. (Gr. 13 – 16)	0	0	0	0	0	0	0	0	0	0	0
Unskilled and defined decision making (Gr. 17 – 19)	0	0	0	0	0	0	0	0	0	0	0
TOTAL	10	0	41	2	14	9	30	13	0	0	119

* Note : For the purposes of the respective analyses of Occupational Levels shown in **Table 3** and **Figure 1** in page 3 above, the figures for top and senior management, as defined (i.e. Grades 1 to 3), comprise the University Executive management. The remaining employees (i.e. Grades 4 and below) in **Table 3** comprise the Finance Division workforce (or “headcount”) in terms of its establishment profile. Subsequent analyses (**Table 7** and **Table 8**) have disregarded Executive managers for the purposes of analysing the Finance Division’s numerical goals and targets, respectively.

SECTION E: MONITORING & EVALUATION

1. Disciplinary Action

Table 9: Disciplinary action: (report the total number of disciplinary actions during the twelve months preceding this report). Report on formal outcomes only.

Note: A=Africans, C=Coloureds, I=Indians and W=Whites

DISCIPLINARY ACTION	Male				Female				Foreign Nationals		Total
	A	C	I	W	A	C	I	W	Male	Female	
	0	0	1	0	2	0	2	1	0	0	6

2. Awareness of Employment Equity

Table 10: Please indicate which of the following awareness measures were implemented by your organization:

	Yes	No	No. of employees covered
Formal written communication	x		+/- 119
Policy statement includes reference to employment equity	x		+/- 119
Summary of the Act displayed	x		+/- 119
Employment Equity training	x		+/- 119
Diversity management programmes	x		+/- 119
Discrimination awareness programmes	x		+/- 119

3. Consultation

Table 11: Please indicate which stakeholders were involved in the consultation process when developing and implementing your employment equity plan and when preparing this Employment Equity Report:

	Yes	No
Consultative body or employment equity forum	x	
Registered trade union (s)	x	
Employees	x	

4. Barriers and affirmative action measures

Table 12: Indicate in the table overleaf which categories of employment policy or practice barriers to employment equity may be identified. If your answer is 'Yes' to barriers in any of the categories, indicate whether there are affirmative action measures and the timeframes to overcome them.

Categories	BARRIERS	AFFIRMATIVE ACTION MEASURES	TIMEFRAME FOR IMPLEMENTATION OF AA MEASURES
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	YES	NO	YES	NO	START DATE	END DATE
Recruitment procedures	x		x		Jan 2010	Ongoing
Advertising positions	x		x		Jan 2010	Ongoing
Selection criteria		x				
Appointments		x				
Job classification and grading		x				
Remuneration and benefits	x			x	Unknown. Perceived to be non- competitive	Unknown
Terms & conditions of employment		x				
Job assignments		x				
Work environment and facilities		x				
Training and development	x				Jan 2010	Ongoing
Performance and evaluation	x				Jan 2010	Ongoing
Promotions	x				To be advised	To be advised
Transfers		x				
Succession & experience planning	x			x	Policy constrained	
Disciplinary measures		x				
Dismissals		x				
Retention of designated groups	x			x	Deficient strategy	
Corporate culture		x				
Reasonable accommodation		x				
HIV&AIDS prevention and wellness programmes		x				
Appointed senior manager(s) to manage EE implementation		x				
Budget allocation in support of employment equity goals		x				
Time off for employment equity consultative committee to meet		x				

5. Monitoring and evaluation of implementation

Table 14: How regularly do you monitor progress on the implementation of the employment equity plan? Please choose one.

Weekly	Monthly	Quarterly x	Yearly
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Table 15: Did you achieve the annual objectives as set out in your employment equity plan for this period?

Please explain	
No	Delays in selection processes were experienced, hence the annual objectives for 2009/2010 were only partially met. The equity plan itself was not as actively managed as had been hoped because of stretched management. A high incidence of internal appointments (promotions) limited opportunities to attract and appoint high calibre, external designated group applicants.