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Glossary of Governance and Management Document Types



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saam vorentoe

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Glossary of Governance and Management Document Types

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¹ Rules Owner: Head(s) of Responsibility Centre(s) in which the rules functions.

² Rules Curator: Administrative head of the division responsible for the implementation and maintenance of the rules

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1. Introduction

Stellenbosch University manages its affairs within the context of, inter alia, the Higher Education Act of 1997 (as amended); A Code of Good Governance Practice and Governance Indicators for South African Universities (March 2017); and the SU Statute (2019). A central governance and management document type glossary is required to support the University in the successful implementation of its business model through good governance, management, and compliance.

In this context, **governance documents** primarily outline non-discretionary governing principles and intentions. It is also formal statements of intent that mandate principles or standards that apply to the University's governance and operations and assist in the management of risks.

Management documents primarily intend to operationalise governance documents by formalising best practices, processes, and procedures. These documents are usually created in the course of management and administration, and flow from or support policies, regulations, institutional rules and rules.

Although a distinction is made in this document between governance and management documents, such a distinction is not always absolute.

The University has several types of governance and management documents, created, and used on institutional as well as on operational levels within the University. They may sometimes have the same names, but they operate on different levels and in different contexts and carry different meanings (e.g., mandate, constitution), depending on the context. Clarity regarding the requirements for these document types is paramount for a common understanding. This glossary provides definitions and descriptions for these document types and strives to ensure that they are current and accessible. The format and templates for these documents will be determined, developed, and communicated in due course and as needed.

2. Purpose of this Glossary

The overall purpose of this glossary is to provide definitions and descriptions for the principal types of governance and management documents at SU, and the oversight thereof.

3. Aims of this Glossary

- 3.1. To develop a common understanding of, and terminology for these document types
- 3.2. To promote the quality of SU governance and management document types.
- 3.3. To protect the institutional reputation, image, and ethical conduct of business of SU by ensuring consistency in the creation and management of these document types.
- 3.4. To provide guidance to people who are responsible for the development, approval, handling, implementation, release and revision of governance and management documents.
- 3.5. To ensure that these documents are published and made available to all who have an interest in them in the SUN-Records Repository.
- 3.6. To ensure that these documents are revised and updated on the target date that is determined during the approval of the relevant document.
- 3.7. To indicate the relation between governance, management and related documents,

and to establish a mechanism to identify and eliminate possible contradiction or unnecessary overlaps between such documents.

- 3.8. To ensure better coordination and identification/delimitation of roles and responsibilities regarding governance and management document types.
- 3.9. To assist in the management of governance related risks.

4. Control over this glossary: role players

4.1. Responsibilities

- 4.1.1 The **owner** of this Glossary is the Registrar who is responsible for the existence, updating, publication and implementation of this Glossary and for ensuring that a curator and related structures and roles are appointed and function effectively.
- 4.1.2 The **curator** of this Glossary is the Deputy-Registrar: Governance Function Support who is responsible for the formulation, approval, revision, communication, and release of this Glossary. The curator is also responsible for the interpretation and for the implementation of this Glossary. The curator may convene a task team for the revision of this Glossary and its supporting documents periodically, as required.

4.2 Oversight and Management of ALL Governance and Management Documents

The **Registrar** is responsible for the overarching oversight and management of all governance and management documents, including to:

- 4.2.1 keep a proper register;
- 4.2.2 facilitate the alignment of and synergy between relating documents;
- 4.2.3 provide an appropriate structure (architecture) of documentation;
- 4.2.4 facilitate regular reviews and revisions;
- 4.2.5 ensure suitable publication;
- 4.2.6 facilitate training and awareness of this glossary

4.3 Oversight and Management of SPECIFIC Governance and Management Documents

- 4.3.1 The **owner** of specific governance and management documents:

Members of the executive management of the University, those in charge of responsibility centers, are the owners of specific **governance** documents, depending on the specific sphere of responsibility. The ownership of **management documents** in general resides at other levels as determined in the relevant document, although it may also reside with executive management. The owner is accountable for the governance and management documents being developed within his/her sphere of responsibility, ensuring that the necessary documents exist and that a curator and related structures and roles are appointed, established, cleared and that they function effectively.

- 4.3.2 The **curator** of specific governance and management documents:

This is the functionary at institutional level to whom the owner of the relevant governance and management document allocates responsibility for taking care of the formulation, approval, revision, communication, release and monitoring of the implementation of the relevant documents. The curator could also be made

responsible for the interpretation of and guidance regarding the implementation of the relevant document. A task team may be appointed to develop or revise any of these specific governance or management documents. The curator typically acts as convener of such a task team and reports to the owner.

5. Directives regarding governance and management documents

- 5.1 Line managers are primarily responsible for and have the mandate to develop governance and management documents regarding their sphere of responsibility and function, as appropriate and necessary, and in terms of this glossary. Where a line manager is not the RC head, new document(s) must be developed in concurrence with the relevant RC head.
- 5.2 Governance and management documents will adhere to the relevant available templates, either developed by the relevant initiator of the documents based on their knowledge of the specific environment and/or subject, or provided by the Registrar's office, if available.
- 5.3 The format of management document types, e.g., guidelines and procedures, which are not governance documents, can differ according to need. It nonetheless remains good practice to keep it as close as practically possible to the format for governance and management documents as specified by the Registrar's Office.
- 5.4 Governance and management documents will be stored within a central records repository on the University's intranet, known as SUN-Records. The Registrar is the owner of this repository, and the curator is the SU Archivist.
- 5.5 The **approval** of governance and management documents will follow prescribed routes, as determined by the Registrar.
- 5.6 The review and **revision** of governance and management documents is the responsibility of the owner and curator of that specific document as provided for on the applicable document. They must initiate and execute the necessary process to revise the document on the date as determined during the approval of the specific document. Revision, as determined in the governance, management or administrative document concerned, must take place at appropriate frequencies on a cyclic basis. Revision may also take place on an *ad hoc* basis if required by changing legislation or operational circumstances. With the revision, the owner and curator of the document concerned must follow the appropriate and required processes to obtain approval, as determined by the Centre for Governance Function Support.

6. Implementation of this glossary

- 6.1 This Glossary is by default applicable to all employees, and students at the University, as well as to the members of the statutory bodies of the University and the members of the companies under the control of the University who are involved in governance and operations of the University.
- 6.2 Governance and management documents that are developed after the date of approval of this Glossary must comply with this Glossary.
- 6.3 Existing governance and management documents will be amended to comply with this Glossary during their periodic revision processes but no later than five years from the date of approval of this Glossary.

7. Glossary of terms: definitions and descriptions for governance and management document types

The glossary of terms defines and describes various types of governance and management documents and gives an indication of responsibility for approval.

Term	Definition and Description
Act Afrikaans: Wet	i. Definition: Decree passed by a legislative body ii. Approval: Legislative body iii. Compliance: Compulsory iv. Document Type: Governance v. Examples: Higher Education Act (approved by National Assembly of Parliament)
Agenda Afrikaans: Agenda, Sakelys	i. Definition: List of the matters to be considered by a meeting ii. Approval: Chairperson of meeting iii. Compliance: Compulsory or depending on context iv. Document Type: Management v. Examples: Agenda of Senate
Code Afrikaans: Kode	i. Definition: A collection or system of rules of conduct. ii. Approval: Approved by the relevant governing body. iii. Compliance: Compulsory iv. Document Type: Governance v. Examples: Code of Conduct, Disciplinary Code, Health and Safety Code, Code of Ethics.
Constitution Afrikaans: Reglement, Grondwet	i. Definition: Stipulations, directives and provisions for the management or guidance of the operations of Centres, Institutes, Schools (CIS), student bodies and other similar entities. Constitutions are applicable to entities on 1) institutional and 2) operational levels. The Afrikaans term “Grondwet” is used for certain types of constitutions e.g., Student Constitution (Studentegrondwet), residence constitution (koshuisgrondwet) The Afrikaans term “Reglement” should be used only for Centres, Institutes and Schools (as defined in the 2019 Rules for CIS). ii. Approval: Approved by the relevant governing structure. iii. Compliance: Compulsory iv. Document Type: Governance v. Examples: Constitution of a Centre, Constitution of a Residence, Student Union Constitution

Guideline Afrikaans: Riglyn	i. Definition: Contains information on the desired or preferred action regarding the topic concerned. It is the recommended or advised practice on how something should be done. ii. Approval: Approved by relevant governing structure (e.g., Senate in case of RPL guidelines) iii. Compliance: Recommended, or as determined in the particular guideline. iv. Document Type: Management v. Examples: Good Practice guidelines; Guidelines for Recognition of Prior Learning (RPL)
Institutional Rules Afrikaans: Institusionele Reëls <i>See also:</i> Rule, Regulation	i. Definition: Institutional Rules (IR) are contemplated in the Higher Education Act and contain the detail of matters contained in the SU Statute. They unpack and support the Statute; and provide guidance on the functioning and governing of the University. Institutional Rules may include, but are not limited to, policies, regulations, rules, procedures, codes, etc. Institutional Rules must be distinguished from subject-specific rules, regulations, etc. ii. Approval: Approved by Council. iii. Compliance: Compulsory iv. Document Type: Governance v. Examples: Institutional Rules: Convocation Mandate; Institutional Rules: Convocation Meeting Procedure
Mandate Afrikaans: Mandaat	i. Definition: Set of duties, powers, procedures and responsibilities of a committee or functionary. It is used for standing committees and their sub-committees or for a functionary or office bearer in respect of an appointed position. Mandates contain the composition and terms of reference of committee(s), or the authority of the functionary or office bearer. ii. Approval: Approved by a governing structure (e.g., Council in case of Council committees, Senate in case of Senate committees, establishing committee in case of sub-committees of Council and Senate committees) iii. Compliance: Compulsory iv. Document Type: Governance v. Examples: Academic Planning Committee, Program Advisory Committee
Minutes Afrikaans: Notule	i. Definition: An abridged, impartial account of all proceedings of and decisions taken at a meeting of an assembly or committee, etc. ii. Approval: Body whose proceedings and decisions are recorded in the minutes iii. Compliance: Compulsory or recommended, depending on the context iv. Document Type: Governance v. Examples: Minutes of Council

Plan Afrikaans: Plan <i>See also:</i> Project Plan	i. Definition: A plan details the set of actions to achieve a strategy or other objective. It contains definite objectives, actions, timelines, resources, and the measurement, monitoring and reporting of progress. ii. Approval: Approved by establishing body iii. Compliance: Compulsory, depending on agreement and context iv. Document Type: Management v. Example: Action Plan, Business Plan, Strategy Implementation Plan, Project Plan, Transformation Plan, and Institutional Plan
Policy Afrikaans: Beleid	i. Definition: Set of principles, provisions, and roles and responsibilities directing actions to reach a specific goal. It is formulated by environments within SU and enforced by the governing body (e.g., Council in the case of the Admissions Policy) A policy is used in pursuit of the University's long-term goals, and contain information on the purpose, scope, policy principles, decision-making, roles, definitions, and information on supporting and related documents regarding a specific matter. It forms the foundation for decision-making. ii. Approval: Approved by Council. iii. Compliance: Compulsory, but with allowance for contextualisation, e.g., at faculty level iv. Document Type: Governance v. Example: Admissions Policy, Assessment Policy, Learning and Teaching Policy, Language Policy, Research Policy, Social Impact Policy.
Procedure Afrikaans: Prosedure	i. Definition: Recommended step-by-step sequence of activities to correctly perform a task, or that is accepted as the way of doing. It is detailed, written instructions and recommended best practice on how to perform a routine business activity. ii. Approval: Approved by relevant governing structure or head of an environment. iii. Compliance: Compulsory or recommended, depending on the context (e.g., Procedure for the investigation and management of allegations of plagiarism, 2016) iv. Document Type: Management v. Example: Evacuation procedure, Procedures for the Approval of New Academic Programmes, meeting procedures, election procedures, standard operating procedures

Project Plan Afrikaans: Projekplan <i>See also:</i> Plan	i. Definition: A specific type of plan that proposes a method or planned undertaking for achieving a specific project's objectives / deliverables (e.g., developing a new electronic system for records management). It is used to guide both project execution and project control. Project Plans contain approved planning assumptions and decisions, scope, cost, risks and schedule baselines. ii. Approval: Approved by establishing body. iii. Compliance: Compulsory, depending on agreement and context iv. Document Type: Management v. Example: SUNStudent Project Implementation Plan
Report Afrikaans: Verslag, Rapport	i. Definition: Account of recommendations and/or communication by a committee or an official tasked with a specific task ii. Approval: Noted, approved, or accepted by body or entity higher up in hierarchy, e.g., Senate or Council iii. Compliance: Compulsory iv. Document Type: Management v. Examples: Report of Faculty Board, Senate Committee, Council Committee, commission of investigation, individual tasked with an investigation or specific goal that needs to be reported on.
Rules / Regulation Afrikaans: Regulasies <i>See also:</i> Institutional Rules	i. Definition: An accepted set of prescriptions and/or instruction(s), that contain details, often with reference to one or more policy document(s). It is subject-specific and shouldn't be confused with Institutional Rules. It states the way things are and must be done. It also clarifies, demarcate or interpret what is allowed and what is not. At SU the terms Rules and Regulations are used as interchangeable concepts (synonyms). ii. Approval: Approved by governing structure, e.g., Senate in case of academic regulations, and the Rectorate in case of operational or management matters. iii. Compliance: Compulsory iv. Document Type: Management v. Example: Regulation for the Recognition of Prior Learning (Senate Approval); Strategic Fund Regulation (Rectorate Approval).

Statute Afrikaans: Statuut	i. Definition: It is the constitution of Stellenbosch University and is required by the Higher Education Act. The Statute provides the institutional framework within which the effective governance and administration of the University are conducted. It is published in the Government Gazette. ii. Approval: Approved by Council and submitted to the Minister of Higher Education and Training for final approval. iii. Compliance: Compulsory iv. Document Type: Governance v. Example: Statute of Stellenbosch University, 2019
Strategy Document Afrikaans: Strategiedokument	i. Definition: Explains and documents the relevant strategy and the underlying thinking/rationale. It guides stakeholders in understanding and interpreting the strategy to apply it themselves. A Strategy Document provides guidance in compiling plans to achieve the strategy. It may include a vision, mission, values and a framework that provide guidance. It may also include a strategic plan ("strategiese plan"), that details the plans to achieve the strategy. ii. Approval: Approved by establishing body, e.g., SU Strategy approved by SU Council iii. Compliance: Compulsory iv. Document Type: Management v. Example: Vision 2040 and Strategic Framework 2019-2024
Terms of Reference Afrikaans: Verwysingsraamwerk, Opdragbestek	i. Definition: It establishes a particular task team and details the specific authority that the task team has, to oversee a delegated area of responsibility. It should clearly set out the roles, responsibilities, operations, tenure, and obligations. ii. Approval: Approved by governing structure, e.g., Senate in case of an academic task team, and the Rectorate in case of operational or management task teams. iii. Compliance: Compulsory iv. Document Type: Management v. Example: Terms of Reference for the Language Policy Revision Task Team; Task Team for the Promotion and Recognition of Teaching (2015)

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