



Review of initiatives in equity and transformation in three universities in South Africa



Commissioned by
Carnegie Corporation of New York



Published in December 2013 by the Cape Higher Education Consortium (CHEC),
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ISBN: 978-1-920677-68-8

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Design and lay-out: COMPRESS.dsl | www.compressdsl.com



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ACKNOWLEDGEMENTS

The work required for this review has been supported through funding from Carnegie Corporation of New York (CCNY). In addition to the financial support provided, the CCNY's broader support of the review activities is acknowledged. In particular, Claudia Frittelli's engagement with the project plans, her participation in the project Reference Group and her willingness to respond to our queries and comment on the drafts of the review report were much appreciated.

We would also like to acknowledge the time given and the contributions made by the five members of the project Reference Group – Andrew Kaniki (National Research Foundation), Saleem Badat (Rhodes University), John Butler-Adam (formerly of the Ford Foundation), Mala Singh (formerly of the Council on Higher Education) and Stuart Saunders (formerly of the Andrew Mellon Foundation). Their insightful comments on various drafts of the review report were critical in encouraging careful thought and further development of ideas.

Staff members at each of the three universities on which the review focused provided the Cape Higher Education Consortium (CHEC) reviewers with considerable assistance in identifying interviewees, both staff and students, and coordinating the logistics associated with these interviews. All the interviewees were generous in sharing their experiences and perceptions of how their involvement in the Carnegie-funded initiatives had contributed to equity and transformation. Key staff members also gave of their time in reading earlier versions of the review report for confirmation of the findings.

Both Eileen Arnold and Marlene Titus of CHEC provided valuable ongoing administrative and financial management support for the project, while Francois van Schalkwyk assisted in the layout and design of the reports.

EXECUTIVE SUMMARY



Over the past decade and more, a number of United States (US) foundations have funded various initiatives, including those related to equity and transformation, in South African universities. Since 2005, Carnegie Corporation of New York has funded staff development, postgraduate training and institutional-climate interventions focused on equity and transformation at the University of the Witwatersrand (Wits), the University of Cape Town (UCT) and the University of KwaZulu-Natal (UKZN). Such support has contributed to each university's broader institutional strategy for transformation.

This report presents the findings of a review undertaken by the Cape Higher Education Consortium (CHEC) for Carnegie Corporation of New York in 2012/2013. The overall goal of the review was to examine the efforts of a number of US foundations, with particular emphasis given to Carnegie Corporation, to promote equity and transformation in South African universities over the past decade in order to retrieve lessons learnt.

As described in chapter 1, the review process was conceptualised at two levels. The first, a broader study, provided for a high-level analysis of selected US foundations' investments in initiatives for the period 2000/2011. The foundations selected were Carnegie Corporation of New York, the Ford Foundation, the Andrew W. Mellon Foundation and Atlantic Philanthropies.

Issues of particular importance at this level of the review included the amounts of the investments made, the drivers and expectations of the investments, targets and benchmarks, and the rationale for the selection

of universities and/or projects. Pre-interview questionnaires followed by interviews with key individuals within each of these foundations formed the basis of data-collection activities.

The second level of study was a more focused review that took place within the three South African universities already mentioned – the University of Cape Town (UCT), the University of KwaZulu-Natal (UKZN) and the University of the Witwatersrand (Wits). Both documentary analyses and interviews with numerous role players at various levels in the institutions were conducted. The interviews focused on the projects/initiatives planned and implemented, their measurable outputs, and issues related to changing institutional climate, including the organisational models adopted, governance and management arrangements, the impact on postgraduate student development and knowledge production, the diversity of the academic staff profile, and the transformation of teaching and learning.

Chapter 2 of the report provides a broader context for the review by focusing on the national context for higher education and research development in South Africa. As 2014 will mark the 20th anniversary of the advent of democracy, this chapter assesses the progress made over the past two decades towards the achievement of key goals and targets set for growth in terms of the numbers, and race and gender composition of masters and doctoral graduates as the pipeline for the academic and scientific workforce in the country.

The chapter outlines relevant policies and plans introduced by the two

government departments most involved in higher education and research – the Department of Higher Education and Training (DHET) and the Department of Science and Technology (DST). The challenges and constraints faced in implementing these plans and achieving new targets are given particular attention. In addition, the responses of South African bodies such as the National Research Foundation (NRF) and Higher Education South Africa (HESA) are summarised together with the responses of the international donor community, including the four US foundations included in this review. The latter have shown remarkable commitment to strengthening higher education and promoting equitable social change in South Africa, in particular through the advancement of postgraduate opportunities for black people and for women.

In addition, the descriptions provided in this chapter indicate that the foundations' support for scholarship in the humanities has played a key role to ensure that this area is not neglected at a time when much of the focus of government funding has been on the building of capacity in the fields of science, engineering and technology. The foundations have contributed to meeting important needs in the humanities and have provided a 'lifeline' of support for leading research centres and institutes in this area of work.

The descriptions of the US foundations also indicate that, in many cases, funding has gone beyond the award of scholarships to individuals and has allowed for rich institutional engagement and, thus, the development of best practice in postgraduate studies.

The review report notes that the support of the foundations has largely been concentrated at the academically stronger, historically advantaged institutions, with the exception of one or two historically disadvantaged universities which have also benefited. This broadly resonates with one of the recommendations of the ASSAf PhD Study for the targeting of 'specific institutions with existing capacity and established track records for scaling up the production of PhDs even as selected programmes are funded within universities that are not strong over-all in producing doctorates'¹. However, the individual beneficiaries of the support have been black people and women.

1 ASSAf The PhD Study, An Evidence-based Study on How to Meet the Demands for High-level Skills in an Emerging Economy, September 2010.

Chapter 3 of this report describes the broader institutional models related to equity and transformation followed at each of the three universities included in this study. The concept of 'model' used here includes the institutional approach, strategies and activities, together with governance and monitoring arrangements. All three models highlight the importance of moving beyond approaches that aim to increase the number of black and women staff and students in the institutions. The need to address and transform institutional culture is foregrounded as essential. The links between these goals and the development of a strong democracy in South Africa was often mentioned in the initial funding grants.

In addition, this chapter of the report highlights the ways in which funding received from Carnegie Corporation was used in the implementation of these broader institutional models. In some cases, existing programmes or projects were further developed; in other cases, entirely new interventions were designed for implementation. Where relevant, deviations from the proposals outlined in the original grant submissions are also described.

The final section of the chapter gives attention to the monitoring and evaluation processes used at the three universities. In the first three years, this work was supported by the Evaluation and Research Agency (ERA), a unit based at the University of Stellenbosch. The ERA had evaluated a number of earlier Carnegie-funded projects in African universities as well as the US partnership project, and had been brought on board at the start of this project. After the first three years, the universities worked independently on this work.

The following chapter of the report, chapter 4, summarises key findings of the review of the initiatives in equity and transformation at the three universities. In particular, attention is given to a description of the outputs and outcomes related to the Carnegie-funded projects described in the previous chapter of this report, assessing these against the goals of the initiative and their contributions to the broader equity and transformation goals of the universities. Shifts and/or gaps between the different phases of implementation are also identified.

The final chapter, chapter 5, begins by outlining the three layers or levels considered in the earlier chapters (national, institutional and activity levels) and the linkages between these, before illustrating key differences between the three institutional approaches to equity and transformation.

The need to address issues of equity and transformation at all three levels is highlighted along with the links between the benefits of the Carnegie scholarship to individual recipients and to the wider institution and broader societal change.

The variations in the interpretations and implementation of these key concepts are also illustrated, with the review highlighting the complexities of implementation and the importance of moving beyond instrumental approaches. The role of creative leadership in navigating competing demands, in giving focused attention to the value of representivity, and in ensuring substantive engagement from the whole university community in the development of new discourses is foregrounded as critical.

Further suggestions for ways forward include those related to the scope of work undertaken and its coordination and management. Support from different funders, including the US foundations, to develop young scholars and support to strengthen representivity of the staff body will continue to be critical for the foreseeable future.

It is also suggested that plans regarding staff retention and their incentivisation could be further explored along with the further development of criteria for assessing and fostering excellence. An increased focus on quality is linked to these issues. Many of the suggestions above are closely related to the need to improve alignment between the DHET and the DST in setting targets and developing scholarship programmes by drawing on best practices described in this and other reports.



INTRODUCTION TO THIS REVIEW REPORT

This report presents the findings of a review undertaken by the Cape Higher Education Consortium (CHEC) for Carnegie Corporation of New York in 2012/2013. The overall goal of the review was to examine the efforts of a number of United States (US) foundations, including Carnegie Corporation, to promote equity and transformation in South African universities over the past decade in order to retrieve lessons learnt.

This introductory chapter outlines the purpose of the review, summarises the various components of the review process, and briefly outlines the chapters that follow.

1.1 THE PURPOSE OF THE REVIEW

As indicated above and in the review proposal, and as elaborated on in the following chapter of this report, over the past decade and more, a number of US foundations have funded various initiatives, including those related to equity and transformation, in South African universities. For example, since 2005, Carnegie Corporation has funded staff development, post-graduate training and institutional-climate interventions focused on equity and transformation at the University of the Witwatersrand (Wits), the University of Cape Town (UCT) and the University of KwaZulu-Natal (UKZN). This support is a component of each university's broader institutional strategy for transformation.

The purpose of this review is to examine the efforts to promote equity and transformation and to retrieve lessons learnt so as to inform both funders

and the institutions on the benefits of investments and possible strategies for the future.

1.2 THE COMPONENTS OF THE REVIEW

The review process was conceptualised at two levels. The broader study provided for a high-level analysis of selected US foundations' investments in initiatives for the period 2000/2011, with particular attention given to Carnegie Corporation, Ford Foundation, Andrew W. Mellon Foundation, and Atlantic Philanthropies.

Issues of particular importance included the amounts of the investments made, the drivers and expectations, targets and benchmarks, and the rationale for the selection of universities and/or projects. Analysis of these data provided for the identification of similarities and differences between the funders themselves and the universities. In addition, the alignment between the vision of the foundations and that of the South African government was given consideration.

The review proposal lists the key questions for this level of study as follows:

- What was the approximate investment amount made in higher education equity and transformation initiatives in South African universities between 2000 and 2011?
- How and why did the US foundations become involved in funding these initiatives? What were the drivers?
- What were the questions asked by the foundations at the time?

How were the initiatives conceptualised?

- Which universities/projects were invested in and why?
- What targets were set? What did the initiatives hope to accomplish?
- How were the initiatives evaluated? What benchmarks were used?
- To what extent were the foundations' decisions influenced by South African government policy at the time?
- To what extent was there alignment between the vision of the South African government and those of the foundations? Were there any gaps?
- What were the accomplishments, failures and lessons learnt?
- What recommendations can be made to the donor community and what are the foundations' intentions for the next ten years?

Data collection for the high-level review process was facilitated by an initial questionnaire to each of the foundations and followed by individual interviews with senior staff.

The more focused review took place within three South African universities: the University of Cape Town (UCT), the University of KwaZulu-Natal (UKZN) and the University of the Witwatersrand (Wits) in 2012/2013. This focused on the projects/initiatives undertaken within these institutions, the measurable outputs and issues related to changing institutional climate, including the organisational models adopted, governance and management arrangements, the impact on postgraduate student development and knowledge production, the diversity of the academic staff profile, and the transformation of teaching and learning.

The key questions for this level of the review process included the following:

- What were the origins of the transformation agenda and the initial understandings of the role of funders, including government?
- What are the quantified outputs (including publication rates) of the programmes and how have demographics across departments and faculties changed over time?
- How have institutional-climate interventions been perceived and experienced and how they have changed over time?
- What organisational models and management arrangements have been used and how have they contributed to the process?
- How has transformation of teaching and learning (including curriculum development) been affected – in programmes and beyond?

- What impact has there been on research cultures and knowledge production?
- To what extent has the external funding provided contributed to transformation?
- How will transformation be sustained in the future and what are the key priorities for attention?
- What are the key lessons learnt and how might these be adopted/adapted by other universities?

Data collection at this level involved document analysis and interviews with senior, management and administrative staff and with a selection of beneficiaries from a range of projects/initiatives.

Key findings from these two levels were presented to the review Reference Group² along with Claudia Frittelli of Carnegie Corporation. Further dissemination and discussion of the findings is planned for 2014.

1.3 THE STRUCTURE OF THE REPORT

Chapter 2 of the report provides the national context for higher education and research development in South Africa. It begins with a quote that highlights the importance of research and its value in deepening democracy by engendering inquiry, critical thinking, creativity and open-mindedness – all critical to building a strong democratic ethos in society.

This chapter outlines the situation in higher education as it was in 1995, a year when only 3 901 masters and 681 doctoral graduates were produced, the majority being white men. It goes on to list and describe the policies and plans introduced by the two government departments most involved in higher education and research. The challenges and constraints faced in implementing the plans and achieving new targets are then given attention. Responses to these – including those by the US foundations – are then described. Key differences in approaches are identified.

2 Dr Saleem Badat (Rhodes University), Professor Mala Singh (Ex-CHE and Open University), Dr John Butler-Adam (ex-Ford Foundation), Dr Stuart Saunders (Andrew W. Mellon Foundation) and Dr Andrew Kaniki (National Research Foundation).

Chapter 3 of this report describes the broader institutional models related to equity and transformation followed at each of the three universities included in this study. The concept of 'model' used here includes the institutional approach, strategies and activities, together with governance and monitoring arrangements.

In addition, this chapter of the report highlights the ways in which funding received from Carnegie Corporation was used in the implementation of these broader institutional models. In some cases, existing projects were further developed; in other cases, new interventions were designed for implementation. Where relevant, deviations from the proposals outlined in the original grant submissions proposals are also described.

The final section of the chapter gives attention to the monitoring and evaluation processes used at the three universities. In the first three years, this work was supported by the Evaluation and Research Agency (ERA),

a unit based at the University of Stellenbosch. The ERA had evaluated a number of earlier Carnegie-funded projects in African universities as well as the US partnership project, and had been brought on board at the start of this project. After the first three years, the universities worked independently on this work.

Chapter 4 moves beyond descriptions of the models to a consideration of the outputs and outcomes of the various activities in order to more clearly determine the contributions made by Carnegie Corporation's investments and the gaps in provision. This chapter offers both quantitative data and qualitative insights collected by key role players in the universities.

Chapter 5 concludes by synthesising the lessons learnt and suggesting ways forward for both funders and the universities as well as the sector as a whole.

THE SOUTH AFRICAN NATIONAL HIGHER EDUCATION AND RESEARCH CONTEXT



‘The value and importance of research cannot be over-emphasised. Research, in all its forms and functions, is perhaps the most powerful vehicle that we have to deepen our democracy. Research engenders the values of inquiry, critical thinking, creativity and open-mindedness, which are fundamental to building a strong, democratic ethos in society. It creates communities of scholars, who build collegiality and networks across geographic and disciplinary boundaries. It makes possible the growth of an innovation culture in which new ideas, approaches and applications increase the adaptive and responsive capacity of our society, thereby enhancing both our industrial competitiveness and our ability to solve our most pressing social challenges. It contributes to the global accumulation of knowledge and places South Africa amongst those nations who have active programmes of knowledge generation.’³

This quote from the Ministry of Education’s National Plan for Higher Education (2001) eloquently captures the value placed on research and concomitant high-level human resource development for the social, economic and intellectual wellbeing of the country. An array of policies and some plans have been generated over the past 20 years by the ministries and range of agencies and organisations responsible for the development of higher education and research in South Africa to stimulate the equitable development of the highly skilled professionals needed for national development and to enhance the country’s global competitiveness.

These policies and plans also address the needs of the academic labour market, in particular to build the next generation of academics. In the context of the legacies of the apartheid past, the challenge of building the next generation of academics is also recognised as one of simultaneously transforming the ‘historical and social composition of the academic work force’.⁴

In this chapter we outline key aspects of the South African national higher-education context, particularly as it relates to the building of the country’s postgraduate capacity and the next generation of academics. As 2014 will mark the 20th anniversary of the advent of democracy, we will assess progress over the past two decades towards the achievement of key goals and targets set for growth in the numbers and race and gender composition of masters and doctoral graduates as the pipeline for the academic and scientific workforce.

2.1 THE NUMBERS

In 1995, the higher education system graduated only 3 901 masters and 681 doctoral graduates, representing 5% and 1% respectively of the total graduates. Of these graduates, the vast majority were white men. By 2002, the number of masters graduates grew to 6 959 (7%) and doctoral

⁴ Badat, S (2009) Producing, transforming the social composition of, and retaining a new generation of academics. Keynote address at the Higher Education South Africa Developing the Next Generation of Academics Workshop, Rhodes University, Grahamstown, 22 June.

³ Ministry of Education (2001) National Plan for Higher Education.

graduates to 987, still remaining at 1% of the total. Of the doctoral graduates only 228 were African and 382 were women. The number of doctoral graduates only grew to 1421 in 2010, and of these 48% were white (compared with 87% in 1995). In 2010, approximately equal numbers of doctoral graduates were produced in the human and natural sciences.⁵

Tables 1 and 2 alongside provide summaries of doctoral enrolments and graduates respectively by race and gender.⁶

South Africa produces 28 PhD graduates per million of the population per year. This is low by international comparison. Brazil, for example, produces 48 PhDs per million and the United States (US) 201 per million.⁷ Despite numerous policies and strategies (see below) and significant investments, South Africa still falls short in terms of the overall production of masters and doctoral graduates and racial and gender imbalances persist.

Furthermore, knowledge production capacity is not evenly distributed in South Africa. Based on an analysis undertaken by the Centre for Higher Education Transformation (CHET), the system is clearly differentiated into three groups in relation to knowledge production, as measured by a range of indicators, including masters and doctoral enrolments and graduates, proportion of staff with doctorates, proportion of PhD graduates to permanent staff, and accredited publication output.⁸

Figure 1 overleaf shows that the universities of Cape Town, Rhodes, Stellenbosch and the Witwatersrand are in the high knowledge-producing category, that all the other universities (with the exception of Walter Sisulu and Limpopo) are in the medium category, and that all the universities of technology are in the low knowledge-producing grouping. The three groups of institutions also differed significantly in terms of success in producing doctorates.

5 Department of Higher Education and Training (DHET), Green Paper for Post-school Education and Training, 2012.

6 Higher Education South Africa (HESA), Proposal for a National Programme to Develop the Next Generation of Academics for South African Higher Education, May 2011.

7 National Development Plan Vision for 2030 (2011).

8 Badsha, N & Cloete, N, Higher Education: Contribution for the NPC's National Development Plan, October 2011.

TABLE 1: Doctoral enrolments by gender and population group, 1994 to 2009

YEAR / %	ENROLMENTS				
	Male	Female	White	Black	Total
1994	3 436	1 488	4 137	787	4 924
%	69.8	30.2	84	16	100
2000	3 958	2 435	3 993	2 400	6 393
%	61.9	38.1	62.5	37.5	100
2007	5 803	4 249	4 751	5 251	10 052
%	57.7	42.3	47.5	52.5	100
2009	6 041	4 486	5 826	4 637	10 529
%	57.4	42.6	55.3	44	100

*50 individuals did not specify a population group in 2007 and 66 in 2009

Source: HESA

TABLE 2: Doctoral graduates by gender and population group, 1994 to 2009

YEAR / %	ENROLMENTS				
	Male	Female	White	Black	Total
1994	518	219	666	71	737
%	70.3	29.7	90.4	9.6	100
2000	572	400	674	298	972
%	58.8	41.2	69.3	30.7	100
2007	744	530	691	580	1 274
%	58.4	41.6	54.4	45.6	100
2009	807	573	697	675	1 380
%	58.5	41.5	50.5	48.9	100

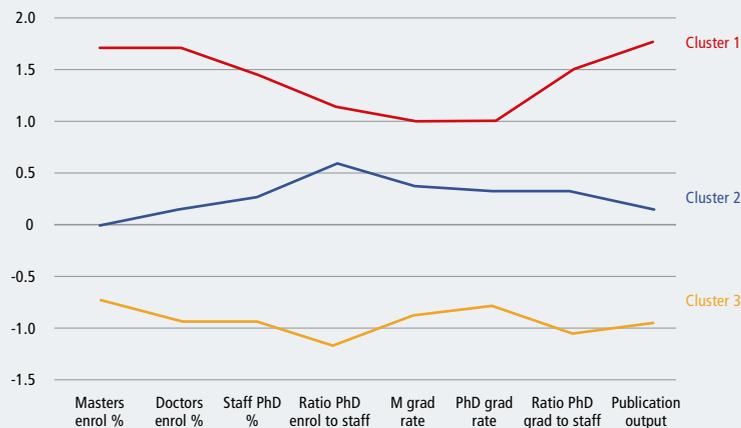
*Three individuals did not specify a population group in 2007 and eight in 2009

Source: HESA

Based on a longitudinal study (2000–2009) tracking doctoral students, it was found that 'the institutions in the high producing category managed to get 64% of their doctoral enrolments to graduate, as opposed to 43% for the medium group and 30% for the low producing group'.

FIGURE 1

Knowledge production: Input and output indicators (standardised) – averages (2007–2009)



Source: CHET

Cluster 1

1. University of Cape Town
2. Rhodes University
3. University of Stellenbosch
4. University of the Witwatersrand

Cluster 2

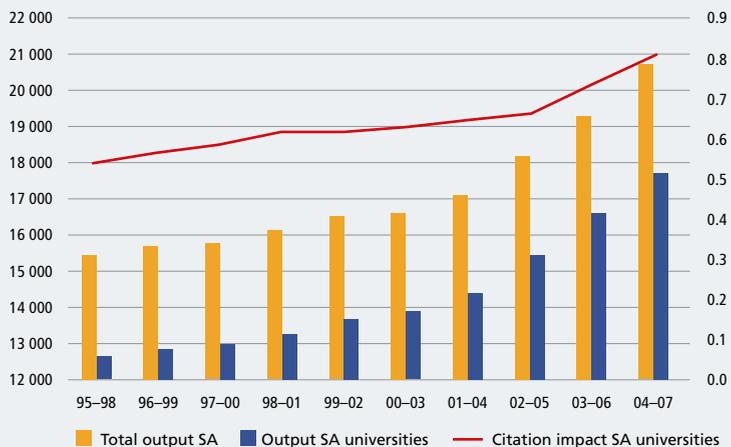
1. University of Fort Hare
2. University of the Free State
3. University of Johannesburg
4. University of KwaZulu-Natal
5. Nelson Mandela Metropolitan University
6. North-West University
7. University of Pretoria
8. University of South Africa
9. University of the Western Cape
10. University of Zululand

Cluster 3

1. Cape Peninsula University of Technology
2. Central University of Technology
3. Durban University of Technology
4. University of Limpopo
5. Mangosuthu University of Technology
6. Tshwane University of Technology
7. Venda University of Technology
8. Vaal University of Technology
9. Walter Sisulu University of Technology

FIGURE 2

Trends in publication output and citation impact of the SA university system



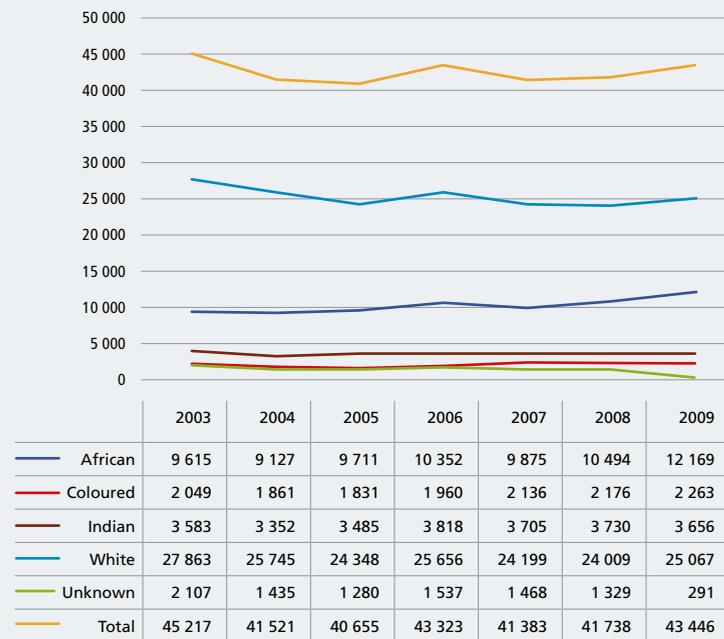
Despite the relatively slow growth in postgraduate production, there was a steady increase from 1998 to 2009 in research publication output and in international citation impact, as shown in figure 2 above.

Figure 3 overleaf provides an indication of the total number of academic staff (including temporary staff and tutors) in the public higher education system for the period 2003 to 2009, by race. While there has been an increase in the proportion of black staff, by 2009 they still only constituted just over 40% of academics in the system.

Overall, 34% of academic staff in the universities have doctoral degrees, with the University of Cape Town (UCT) having the highest proportion of academics with doctorates (57%).⁹

9 Ibid.

FIGURE 3
All academic staff by race (2003–2009)



Source: Higher Education Management Information System (2011)

2.2 THE POLICIES AND PLANS

Both the Department of Higher Education and Training (DHET) (and the former Department of Education [1994–2009]) and the Department of Science and Technology (DST) have policy and funding responsibilities for postgraduate development.

Education White Paper 3: A Programme for the Transformation of Higher Education (1997) called for ‘prioritising access of black and women students to masters, doctoral and postdoctoral programmes, and designing a human resource development plan for higher education’.¹⁰ The National Plan for

Higher Education (2001) committed the Ministry to increasing postgraduate enrolments but did not set actual enrolment targets. However, the National Plan proposed the introduction of a separate component for the funding of research and this was implemented in the new funding formula, through significant allocation of subsidy for masters and doctoral graduate outputs. This has proven to be one of the key mechanisms for incentivising masters and doctoral enrolments.

More recently, the DHET’s Green Paper for Post-school Higher Education and Training (2012) reiterates that ‘the provision of overall postgraduate provision deserves attention’ as does the ‘need to drastically increase the number and quality of both the masters and the PhD degrees obtained’. The mechanisms for achieving these goals are not elaborated on in the Green Paper.

South Africa’s National Research and Development Strategy, which was produced by the DST in 2002, focused on the renewal of the science and technology workforce. It identified an ageing population of scientists, reporting that ‘currently about 50% of scientific output is due to scientists over the age of 50, as opposed to a mere 18% in 1990’. It also foregrounded the persisting race and gender imbalances, including the fact that the percentage of publications authored by black scientists only rose from 3.5% in 1990 to 8% in 1998. Women are reported as producing less than 15% of publications. The Strategy proposed to tackle the problem through attention to the school pipeline into higher education and increasing postgraduate participation in the science, engineering and technology (SET) fields.

The DST’s ‘Ten Year Innovation Plan for South Africa 2008–2018’ set ambitious goals for the production of doctoral graduates in the SET fields. Based on about 1 200 PhD graduates in 2005, of whom 561 were in SET, the Plan proposed that ‘to compete in the global science and technology arena, South Africa’s PhD production must grow fivefold, to about 3 000 SET PhDs’. Given the very low base and the constraints to growth of doctoral outputs, these targets were considered by many to be unrealistic, especially in the absence of clear strategies, at the time, for achieving the proposed annual graduate outputs.

Most recently, the National Development Plan, within the context of a significantly massified higher education sector, proposes by 2030 to:

¹⁰ Department of Education (1997) Education White Paper 3: A Programme for the Transformation of Higher Education, 2.91.

- Increase the percentage of PhD-qualified staff within higher education from 34% to over 75%;
- Have over 25% of total enrolments in higher education at post-graduate level;
- Produce more than 100 doctoral graduates per million of the population. To achieve this will require more than 5 000 PhDs per year (compared with 1 420 in 2010);
- Double the number of graduate, postgraduate and first-rate scientists;
- Increase the number of African and women postgraduates, especially PhDs 'to improve research and innovation capacity and to normalise staff demographics'; and
- Stimulate the creation of a learning and research environment that is welcoming to all and eliminating all forms of discrimination.

While the National Development Plan focuses on growth in the SET fields, proposing to increase the number of students eligible to study maths and science at university to 450 000 per year, it draws attention to the need to rebuild capacity in the humanities. Regarding the strengthening of the humanities, the Minister of Higher Education and Training commissioned a study which has led to the drawing up of a Charter for the Humanities and Social Sciences (June 2011). Arising from the Charter initiative, the Minister has recently gazetted (for public comment) draft regulations for the establishment of a National Institute for the Humanities and Social Sciences, which is intended to advance scholarship in the humanities and social sciences through, among others, the provision of scholarships and support for research projects and collaborative networks.

The Academy of Science of South Africa (ASSAf) also published its 'Consensus Study on the State of the Humanities in South Africa: Status, Prospects and Strategies' in 2011. The study's key findings were the following:

1. There is a crisis in the Humanities reflected in declining student enrolments, falling graduation rates, and decreasing government funding within institutions of higher learning.
2. The evolution and administration of government policy in the post-apartheid period has systematically benefited Science, Technology, Engineering and Mathematics to the exclusion, and even detriment, of the Humanities disciplines in the country.

3. The Humanities within institutions of higher learning is in a state of intellectual stagnation and, singular innovations notwithstanding, has remained in this moribund condition for more than fifteen years.
4. The evidence on Humanities graduates shows clearly that virtually all Humanities graduates are employed, that the vast majority work for an employer while the rest are self-employed, and that there is a fair spread of graduate employment across the public and private sectors.
5. The decline of the Humanities has many causes that include government policy and funding, institutional choices and decision-making, school guidance and counseling, and parental and student preferences.
6. The weight of scholarship in the Humanities lacks international status and standing, with most of the published work appearing in local journals and most of these local publications in non-accredited (non-ISI) publication sources.
7. The scholarship of the Humanities still strongly reflects the racial inequalities in knowledge production in the national science system, with all but one (Education) of the Humanities fields falling well below 20% of total output contributions on the part of black scholars – despite marginal gains over the previous decades.
8. The single most important threat to the growth of an intellectually vibrant scholarship in the Humanities is the problem of the ageing academic and research workforce, a factor that must be read alongside the evidence of a decline in doctoral graduates in the Humanities fields.
9. The low proportion of academic staff with doctorates means that the institutional capacity to reproduce and replace high-level scholars and scholarship in the Humanities remains compromised into the near future.
10. The performance and prospects of the Humanities vary considerably across different fields of study, and this means that any interventions

will require fine-tuned strategies among these various fields, rather than a blunt instrument of policy change for the Humanities as a whole.¹¹

In response to the crisis, ASSAf made a number of recommendations, including the establishment of a statutory council for the humanities to advise government on how to improve the status and standing of the Humanities in South Africa and proposals for changes to the allocation of public funding for the humanities, improved scholarship funding to enable full-time doctoral studies, the establishment of a 'dedicated National Fund for Humanities Research which combines ear-marked government funding with national and international private and philanthropic funding that fuels top-quality Humanities research in and outside South African universities'.¹² The report also called for the establishment of prestigious research chairs in the humanities. The latter recommendation has been adopted by the DST, which established a number of chairs in the humanities and social sciences under the umbrella of its widely acclaimed South African Research Chairs Initiative (SARChI).

Postgraduate student development is clearly high on the agenda of key national bodies. Although targets have been set by various government entities, there is still inadequate alignment of targets and strategies across government departments and detailed funded plans and strategies are still needed. This is echoed by the recommendation in the final report of the DST Ministerial Review Committee on the Science, Technology and Innovation Landscape in South Africa (March 2012) which called for 'a planned, concerted, well resourced and sustained programme of action in all areas of human capital development' which it suggested should be 'undertaken by all the relevant policy makers and performers'.¹³

11 Academy of Science of South Africa (ASSAf) (2011) Consensus Study on the State of the Humanities in South Africa: Status, Prospects and Strategies.

12 *ibid.*

13 Department of Science and Technology, Final Report of the Ministerial Review Committee on the Science, Technology and Innovation Landscape in South Africa, March 2012.

2.3 THE CONSTRAINTS

A number of constraints to achieving the targets (especially for doctoral enrolments) have been identified and these are well summarised by Higher Education South Africa (HESA), as follows:¹⁴

Infrastructure – The availability and quality of the research infrastructure, facilities and equipment.

Limited supervision expertise – Only about a third of all permanent academic staff at South African universities currently hold PhDs and are therefore eligible to supervise at the doctoral level. Not all of these academics have the experience or training to supervise students, with most of the supervisory capacity being concentrated at the traditional universities. As stated by HESA, this impacts on the capacity to sustain doctoral programmes and to expand and mount new doctoral programmes, and on the management of doctoral education and research, as well as the mobilisation of funding for doctoral education.

Funding – In addition to limitations on the availability of direct funding for PhD students (both the numbers of doctoral scholarships available and the quantum of individual grants), universities continue to be underfunded, especially in the light of growing student enrolments without concomitant increases in academic staff. There is also limited funding available for research programmes and the target of 1% of GDP spending on research and development has not been met.

Academic salaries – These are not competitive with public- and private-sector salaries.¹⁵ Institutions located in small towns and rural areas face particular challenges in retaining academic staff due to migration to better-paying urban institutions.

14 HESA (2011) Proposal for a National Programme to Develop the Next Generation of Academics for South African Higher Education.

15 More recent (unpublished) studies suggest that the gap between university salaries and public- and private-sector salaries may not be as wide as previously reported. Similarly, the disparity between salaries offered by rural universities and those located in metropolitan area may also not be as significant as earlier reports had suggested.

Institutional culture – Historically white institutions are challenged to attract and retain black and women academics, in part due to alienating institutional cultures. Women also express concern about institutional cultures where sexism is pervasive and where there are insufficient women role models.

Academic mobility – Academic expertise is lost through the ‘brain drain’.

Age – According to the HESA report, in less than a decade over 3 000 or approximately one-fifth of permanent instruction staff will retire. Of these, 32% and 17% are professors and associate professors respectively, ‘which means the country is soon to lose almost half of its most experienced and highly qualified academics’. This loss threatens the country’s research output, as the most active researchers are ageing and not being replaced by adequate numbers of younger researchers. HESA reports a looming crisis: ‘As the over 50 largely white and male cohort moves closer to retirement there is little evidence of a commensurate black and female cohort waiting in the wings and ready to emerge’.

2.4 THE RESPONSES

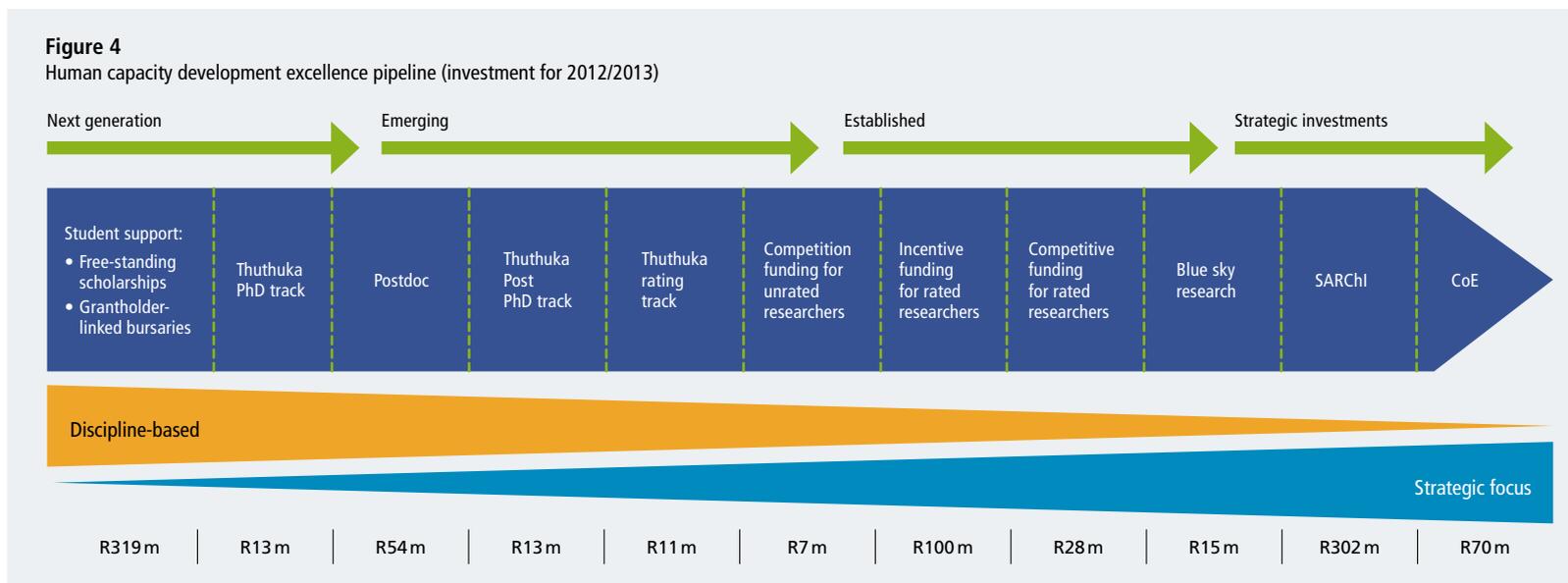
2.4.1 National responses

National Research Foundation (NRF)

The DST, through the NRF, is responsible for the provision of government-funded scholarships for postgraduate studies, including the honours degree, while funding for research derives from the budgets of both the DST as well as the DHET.

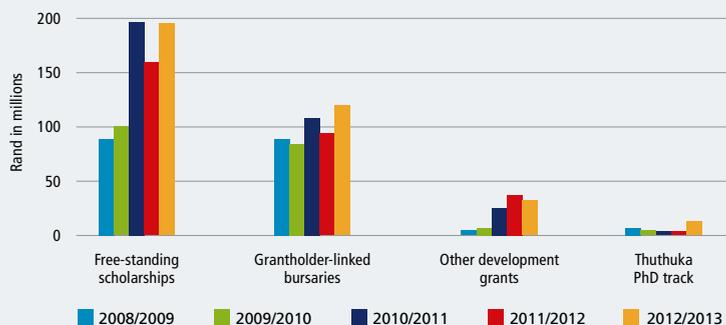
The Research and Innovation Support and Advancement (RISA) division of the NRF has a number of programmes that support its ‘human capacity development excellence pipeline’¹⁶, as summarised in figure 4 below, which also provides an indication of levels of investment.

Figure 5 specifically provides a summary of NRF investment in supporting the next generation of researchers through its free-standing scholarships,



16 National Research Foundation (NRF), Annual Performance Plan 2012–2015.

Figure 5
Investment trends 2008–2012 and expected 2012/2013 investment towards supporting next-generation researchers



grant holder-linked bursaries, other development grants and the Thuthuka PhD track. Individuals can apply directly for the free-standing awards, while NRF grantholders are able to nominate their students for the grantholder-linked awards. The Thuthuka programme is particularly targeted at the promotion of the professional development of researchers from designated groups. As indicated in the Policy Framework of the Thuthuka Programme, it is designed to drive the NRF's 'vision of growing a more representative science and technology workforce'.¹⁷

The NRF offers a range of free-standing scholarships mainly for study in South Africa, with the exception of a limited number of prestigious scholarships for doctoral study abroad. In 2013, the value of honours scholarships ranged from R20 000 to R35 000 per annum, while the value of masters scholarships ranged from R40 000 to R60 000 per annum. Doctoral scholarships range from R60 000 to R90 000 per annum. Ring-fenced Square Kilometre Array (SKA) awards are more generous, with annual doctoral scholarships of R115 000.¹⁸ While the annual value of these scholarships is below most of the comparable awards made by programmes supported by the major US philanthropic foundations, there has been considerable improvement in the size of the awards over the past few years.

The NRF also manages the South African PhD Project which aims 'to significantly increase the diversity and number of highly skilled knowledge workers by providing non-financial support to South African postgraduate students'.¹⁹ The NRF's Strategic Plan (Vision 2015) also sets a target for increasing the annual production of PhDs from 1 200 in 2005 to 6 000 by 2025 through three main avenues:

- Full-time studies at South African higher education institutions under the supervision of locally based research leaders;
- Full-time studies at international universities; and
- Full-time studies through sandwich programmes in which doctoral students are registered at South African universities, but also spend up to a year of their research training period at an international research or higher education institution.²⁰

Table 3 is an extract from the NRF's Annual Performance Plan for 2012–2015, which shows the targets set by RISA for numbers of postgraduate students (including targets for black and women candidates) to be funded for the period 2012/2013 to 2014/2015.

The South African Research Chairs Initiative (SARChI), which was established in 2006, has also proven to be an important catalyst for human resource development, as each chair receives a comprehensive funding package which includes provision for postgraduate and postdoctoral students. To date, 157 chairs have been awarded mainly in the science, engineering and technology fields, although a number of chairs in the humanities and social sciences have also recently been established.

Higher Education South Africa (HESA): Proposal for a National Programme to Develop the Next Generation of Academics for South African Higher Education

HESA has developed a holistic proposal for a National Programme to Develop the Next Generation of Academics for South African Higher Education, which was published in May 2011. The proposal was developed in response to the challenge faced by South African universities in

17 NRF, Policy Framework Thuthuka Programme, June 2010.

18 NRF, Scholarships and Fellowships Programme Manual for Financial Support in 2013.

19 NRF, NRF Vision 2015, Strategic Plan of the National Research Foundation, February 2008.

20 *ibid.*

TABLE 3: RISA performance targets

Indicator description		Actual 2008/2009	Actual 2009/2010	Actual 2010/2011	Estimated performance 2011/2012	Target 2012/2013	Target 2013/2014	Target 2014/2015
RSA support for students								
3rd-year/4th-year student support		195	286	425	210	420	440	460
Proportion of 3rd-year/4th-year students from designated groups supported	Black	37%	76%	54%	79%	70%	73%	75%
	Women	49%	56%	45%	56%	50%	55%	57%
BTech/Honours students supported		1 215	1 696	2 718	1 700	1 950	2 428	2 355
Proportion of BTech/Honours students from designated groups supported	Black	66%	73%	75%	75%	80%	80%	80%
	Women	55%	59%	54%	59%	55%	60%	60%
Masters students supported		2 475	2 373	3 566	2 820	3 390	3 904	3 830
Proportion of masters students from designated groups supported	Black	36%	53%	54%	57%	55%	59%	60%
	Women	51%	52%	50%	53%	50%	54%	55%
Doctoral students supported		1 370	1 384	1 937	1 519	1 715	2 181	2 231
Proportion of doctoral students from designated groups supported	Black	36%	52%	55%	53%	56%	57%	58%
	Women	50%	51%	48%	52%	50%	54%	55%
Postdoctoral fellows supported		222	304	405	381	390	420	440
Proportion of postdoctoral students from designated groups supported	Black	26%	40%	40%	40%	44%	44%	45%
	Women	41%	48%	42%	49%	44%	44%	45%

attracting, appointing and retaining a representative academic workforce, with an emphasis on increasing the number of black and women academics. In essence, the aim of the programme is to provide opportunities for the next generation of academics to:

- Acquire PhD degrees or undertake postdoctoral work, or in selected fields, acquire master degrees;
- Enhance their disciplinary and professional knowledge;
- Build their expertise in teaching, research and community engagement;
- Gain teaching expertise and experience, including acquiring some kind of higher education teaching qualification;
- Develop research skills, including scientific publication skills;
- Obtain exposure to service-learning and community engagement;

- Participate in academic departmental activities and administrative processes; and
- Participate in a range of other developmental opportunities.²¹

In effect, an academic apprenticeship is proposed. This is to be achieved through structured institutional-level programmes of three-year duration. Institutions will be required to make a commitment to employ the programme participants who successfully meet agreed goals. A key feature of the programme is the appointment of senior academics as mentors to the programme participants.

21 HESA, Proposal for a National Programme to Develop the Next Generation of Academics for South African Higher Education, May 2011.

HESA proposes that the programme should be resourced through new funding from the DHET, DST and the Skills Development Fund through the National Treasury. The proposed budget for a three-year cycle of 300 posts is estimated at a total of R467 481 600. For each post-holder, this includes an annual salary of R350 000, R50 000 for infrastructure and equipment, R50 000 for development activities and R30 000 for the mentor's honorarium. The universities will be expected to carry the costs associated with the management of the programme.

If implemented, HESA's proposal has the potential of making a significant contribution to fuelling the next generation of academics and could represent a scaling up of donor-funded initiatives.

The proposal has been received with interest by the National Planning Commission, although, to date, no firm funding commitments have been secured for implementation. The DHET, however, believes that a larger and even more ambitious initiative is required to meet the full needs of the academic labour market. The DHET has initiated a process for the development of a proposal which envisages far greater levels of participation.

Institutional culture

A Ministerial Committee, headed by Crain Soudien, was established in March 2008 on 'Transformation and Social Cohesion and the Elimination of Discrimination in Public Higher Education Institutions' by Naledi Pandor, who was Minister of Education at the time. The brief of the Committee was, among others, to advise the Minister and other major stakeholders in the higher education system on the actions that need to be taken to promote inclusive institutional cultures for both staff and students.

Two interpretations of transformation emerged from the institutional submissions made to the Committee. Firstly, transformation was interpreted 'in terms of institutional compliance in response to constitutional principles and national policy goals and imperatives, including race and gender equity'.²² The second broader interpretation went beyond compliance to

include epistemological change as well as change in institutional culture towards greater social inclusion.

Not surprisingly, the Committee found discrimination to be pervasive in higher education institutions, with a disjuncture 'between institutional policies and the real-life experiences of staff and students'.

Particularly regarding staff equity, the Committee reported on a number of reasons offered to explain the difficulties that institutions were facing in attracting and retaining black and women staff. While a commonly held view was that black staff were leaving the academy for better-paid positions in the private and public sectors, no evidence was provided to support this claim. However, exit interviews and climate surveys pointed to a range of reasons for staff leaving, such as unreasonable workloads and dissatisfaction and discomfort with the institutional environment.

The lack of resources to establish posts for black and women postgraduates was identified as another key reason for not retaining talent. While some universities had donor-funded programmes to 'grow their own timber', these programmes were not common across the system and were often not linked to posts.

Concerns were also raised about shifting goalposts around promotion with views expressed that black staff are 'rarely promoted, often on the grounds of too few publications, (while) the same does not apply to white staff (members) who remain in senior positions, despite the fact that they are not publication-active'. The Committee also commented on poorly developed networks to identify new and established scholars from designated groups, writing that 'this is suggestive of the "old boys' network" syndrome and confirms the perception of black staff members that employment equity falters because of resistance among middle managers'. Compounding this is the lack of effective monitoring and accountability mechanisms.

In addition to these and other structural factors which have a bearing on employment equity, the Committee emphasised the 'role of an institutional culture that remains white and [that] the pervasive racism that it engenders is the source of immense unhappiness and frustration amongst black staff across institutions. The Committee was struck by the almost ubiquitous sense of disenchantment, alienation and anger

22 Ministry of Education, Report of the Ministerial Committee on Transformation and Social Cohesion and the Elimination of Discrimination in Public Higher Education Institutions, 30 November 2008.

amongst them, and by the fact that they did not feel at home in the institution.'

The Committee nevertheless acknowledged the range of initiatives that many institutions have developed to address staff equity such as salary supplements, the creation of additional posts, scholarship and mentorship programmes, research support, and so on.

In relation to staff development, the Committee made two recommendations to the Ministry. The first was for earmarked funds to be made available for staff development posts, as part of the state subsidy to higher education institutions. Secondly, that the funding for staff development posts should be competitive with the remuneration levels for entry-level professional posts in the public service at least.

In addition, a number of recommendations were made to higher education institutions regarding, among others, promotion criteria, the composition of selection committees and accountability measures.

In its response to the Ministerial Committee's report, Higher Education South Africa (HESA) acknowledged the importance of the Report, particularly as it provided the sector with the opportunity to critically engage with the complexity of issues relating to transformation and highlighted the need for ongoing dialogue. HESA also recognised that higher education was 'at a critical stage of needing to go well beyond clearly formulated policies, targets and objectives and to move vigorously into a stage of implementation, turning promises and goals into achievements that are measurable and noticeable for the difference they make in the lives of the students and staff at institutions, and the quality of the learning experience that universities are able to offer'.²³ However, many institutions felt that the Committee had underestimated the role that the development of institutional policies had played in stimulating dialogue and awareness and the complexity of shifting institutional cultures. HESA also highlighted the need for resources to implement transformation policies and the recommendations of the Committee's report.

23 HESA, Sector Position Paper on the Report of the Ministerial Committee on Transformation and Social Cohesion and the Elimination of Discrimination in South Africa's Public Higher Education Institutions, March 2010.

In response to the Ministerial Committee's report, the Minister of Higher Education and Training, in January 2013, announced the establishment of a permanent body to monitor transformation in universities and to advise the Minister on policy to combat racism, sexism and other forms of discrimination.²⁴ The oversight committee is to be chaired for its first three years by the Vice-Chancellor of the University of KwaZulu-Natal. As this committee has not yet released the details of its operational framework or programme of action, it is too early to comment on its work or its potential impact.

2.4.2 Responses of the international donor community

South Africans have benefited from a wide range of opportunities for acquiring postgraduate qualifications at overseas universities through a wide range of programmes funded by governments and private foundations. This has played an important role in the development of the country's high-level human resources over several decades. It should be noted that one of the key recommendations of the ASSAf's PhD Study is to 'escalate the numbers of doctoral graduates through external intervention programmes for which there is successful precedent in recent South African history'.²⁵

A comprehensive survey of these initiatives (including the numbers of beneficiaries and costs) is beyond the scope of this report. However, it is worth noting some of the major initiatives, such as those of DAAD (German Academic Exchange Service), which, in parallel with opportunities in Germany, also supports an in-country scholarship programme in partnership with the NRF. There is also a long tradition of scholarship support by the United Kingdom through the Department for International Development (DfID), including the Chevening Scholarships for masters-level study. Another noteworthy example is the South Africa Netherlands Research Programme on Alternatives in Development (SANPAD), which has been financed by the Netherlands Ministry of Foreign Affairs since 1997 and is focused on support for promoting research and human resource capacity. SANPAD has its roots in a bilateral agreement between the South African and Netherlands governments to develop black and women researchers.

24 *Mail and Guardian*, 23 January 2013.

25 ASSAf, The PhD Study. An Evidence-based Study on How to Meet the Demands for High-level Skills in an Emerging Economy, September 2010.

SANPAD offers, among others, a pre-doctoral programme which targets students who have successfully completed their masters and allows them to proceed to doctoral studies and support courses (e.g., in data analysis and academic writing). The programme is also intended for students who are at an advanced stage of their PhDs. The support provided under these initiatives is largely targeted at research in the social sciences.

The Director of SANPAD reports that 94% of participants in the pre-doctoral programme complete their PhDs within 3 to 4 years as opposed to the national average of 7 to 8 years. She further states that 'close on 500 candidates have gone on to complete PhDs at just about every South African university'.²⁶ The importance of SANPAD lies particularly in the models that it has developed to offer research support services to doctoral candidates registered at universities who do not have the internal capacity to provide the range of comprehensive support for PhD studies.

2.4.3 The contributions of four selected US foundations from 2000 to 2010

This study particularly focused on the contributions of four US foundations – Andrew W. Mellon Foundation, Atlantic Philanthropies, Ford Foundation and Carnegie Corporation – which have been active in support of equity and transformation initiatives at South African universities. The information provided below has been distilled from interviews with country representatives and programme officers and from reports.

Andrew W. Mellon Foundation

The Mellon Foundation has a long and sustained involvement in supporting equity and transformation initiatives in South African higher education, in particular through grants that have been directed to nurture the next generation of scholars (especially black people and women) and to advance research and teaching in the humanities. South Africa is the only country outside of the US where the Mellon Foundation has a 'Special International Emphasis'.

The Mellon Foundation's grant-making has largely been informed by Dr Stuart Saunders, the Foundation's Senior Advisor and representative

in South Africa. Dr Stuart Saunders has a wealth of knowledge, understanding and experience of South African higher education, which has guided the grant-making ethos of 'supporting quality people in quality institutions' through flexible support tailored to identified needs. The Foundation currently has a budget of USD 6 million per annum and reported an investment of USD 38 518 000 between 2000 and 2010.

The Mellon Foundation has made a significant impact on building post-graduate scholarship, having successfully supported 500 PhD graduates, of whom 400 are black graduates and more than half are women. In addition, Mellon support has contributed to the production of sizeable cohorts of honours, masters and postdoctoral graduates. The Mellon scholarships provide opportunity for recipients to spend time at universities in the US.

In addition, the Foundation lists other achievements, including the following:

- Contributing to increasing the number of black and women faculty members;
- Facilitating the more rapid career progress of faculty members;
- Development of models for the mentoring of postgraduate students and academic staff;
- Establishment of research units in the humanities;
- Training and promotion of black opera singers, curators and conservators;
- Making 'writer-in-residence' programmes possible; and
- Enabling the visits to South Africa of distinguished fellows.

Funding from the Mellon Foundation has been critically important in enabling the sustainability and growth of niche areas such as opera, which would otherwise be under serious threat in the light of competing demands for limited university resources. The UCT Opera School has flourished and has trained black opera singers, such as Pretty Yende, who are internationally renowned.

The Foundation has provided grants to UCT, Stellenbosch University, Pretoria University, the University of the Witwatersrand, the University of the Free State as well as two historically disadvantaged universities – Fort Hare and the University of the Western Cape. In the case of Fort Hare, the majority of grants have enabled the purchase of books and equipment, with some spending on postgraduate student development.

26 SANPAD website, www.sanpad.org.za.

Mellon has also invested in providing a number of newly appointed Vice-Chancellors (e.g. at Rhodes and Pretoria) with grants to enable them to achieve identified institutional goals.

An important legacy of the Mellon Foundation has been its contribution to the provision of internet connectivity and information technology services for South African universities and research councils through support for the Tertiary Education and Research Network of South Africa (TENET).

The Mellon Foundation intends to continue its work in South Africa.

Atlantic Philanthropies

Atlantic Philanthropies was active in supporting equity development in higher education in the period between 1994 and 2002. Since then it has focused on health (including the training of nurses) and the area of reconciliation and human rights. The shift in focus away from higher education was prompted by the view that Atlantic Philanthropies had made enough of an investment in the universities and also by the desire to work in areas where they could make a significant impact in a relatively short period.

At the time of the review, the Atlantic Philanthropies office in South Africa was in the process of winding down all its activities. This was in line with a decision of the Board of Atlantic Philanthropies in 2002 to spend down all of its endowments and complete active grant-making by 2016, with the view to closing by 2020. The decision was informed by the founder's 'Giving While Living' philosophy, which is to make 'large investments to capitalise on significant opportunities to solve urgent problems now, so they are less likely to become larger, more entrenched and more expensive challenges later'.²⁷

Prior to 2002, Atlantic Philanthropies provided fellowships for masters and doctoral candidates for study at international universities. The fellowships were targeted at black and women candidates from the following universities: UCT, the University of Natal, Wits, Rhodes and the University of the Free State. The UCT awards were focused on women in science, while those at the other participating universities were spread across a

range of disciplines. Atlantic Philanthropies also funded initiatives to strengthen fundraising and related development work at these universities.

Initially, there had been interest in funding historically disadvantaged universities, but instead a decision was taken to support change in the demographic profiles in 'quality institutions'.

In addition to the fellowships, there was a strong focus on funding for the humanities, with, for example, support for the Origins Centre at Wits and opera at the former University of Natal. Considerable investment was also made in infrastructure development at a number of universities, including the University of the Western Cape (UWC), where Atlantic invested in two capital projects – the School of Public Health and the Life Sciences buildings. The decision to fund UWC, the only historically disadvantaged university which received support in the higher education programme, was based on a personal rapport between the founding Chair of Atlantic Philanthropies and the Vice-Chancellor of UWC. UWC also subsequently received support through the health programme for strengthening its School of Nursing.

Ford Foundation

The Ford Foundation's Office for Southern Africa has made grants totalling over USD 5 million (for the five-year period 2005–2010) in support of some 17 projects under the umbrella of its Next Generation of Academics (NGA) Programme, which aimed to promote the emergence of the next generation of academics and to create greater equity in the composition of academic staff in South African universities. The majority of the funded projects were in the humanities and social sciences and were located in a broad range of institutions, including historically disadvantaged universities.

The Ford Foundation identified critical elements of an 'ideal model'²⁸ for the development of the next generation of academics, which included the following:

- A well-respected intellectual leader who is also a good and empathetic supervisor;

²⁷ Atlantic Philanthropies website, www.atlanticphilanthropies.org.

²⁸ Proposed Review of the Ford Foundation Office for Southern Africa's Grants in the Arena of the Next Generation of Academics.

- A small group of masters and PhD students to work with the leader. Each student has his/her specific research topic which falls within a well-defined thematic area;
- The funds provide students with fees, comprehensive support and some research monies;
- The students are provided with space in which to work in the department/unit and they are encouraged to work there so as to be included as part of a broader intellectual and social community – in casual conversations, informal seminars, etc; and
- Professional training includes hard and soft elements: the hard skills include research methods, writing for publication, presenting papers etc.; while the soft skills include working with fellow academics, teaching, supervision, etc.

The Ford Foundation commissioned a review²⁹ to assess the ways in which the elements listed above had been used or interpreted in the various NGA projects. While a close alignment was found between the 'ideal model' and some funded projects, the review found a number of different approaches to postgraduate student development that 'were likely to produce a range of graduates: those who will fulfil the scholarly research functions of the academy, those who will focus on the teaching role required of these institutions, and those who will use their research skills in employment outside the academy'. However, at the time of the review, it was not possible to produce a quantitative appraisal of the NGA Programme, as many of the projects were still under way and students were yet to complete their qualifications. A further challenge to the production of a quantitative overview of the NGA Programme was the lack of comprehensive record-keeping.

In addition to the NGA Programme, the Ford Foundation has supported other areas in higher education and also has a special interest in the vocational college sector as well as in the interface between the colleges and the higher education sector. The Ford Foundation will continue to support higher education in the future. However, the areas of future focus are somewhat unclear given the recent leadership changes in the Foundation's Southern African Office as well as in the US.

The strategy within this portfolio is to advance an educational justice agenda through innovative policy and system changes, focusing primarily on expanding opportunity and increasing the likelihood of students earning certificates and degrees that prepare them for productive work and constructive participation as citizens and community members.

Carnegie Corporation of New York (CCNY)

Drawing on the experience of other US foundations as well as advice received from higher education leaders in South Africa, the CCNY developed a strategy which aimed to support the transformation of higher education through enhancing the recruitment, academic development and retention of black and women academics, alongside a focus on promoting transformative institutional cultures.

A request for proposals was sent to five universities – UCT, the University of KwaZulu-Natal (UKZN), the University of Pretoria, UWC and Wits – with a view to identifying two or three universities for support. Of these five, UWC was the only historically disadvantaged university and UKZN was the only university established through a merger (between a historically advantaged university and a historically disadvantaged university). The criteria for the selection of these universities included the following:

- Academically strong university with effective leadership and strong financial management;
- Excellence and innovation in teaching and research;
- Commitment to the National Plan for Higher Education;
- Demonstrated commitment to racial and gender transformation with effective plans and structures in place to implement change;
- Commitment to maintaining internal quality systems to ensure excellence in teaching and research;
- Recognised as being responsive to national needs; and
- Solid performance on previous Corporation grants.

A panel of external and internal reviewers ranked the proposals received from the five universities and Corporation staff made the final selection of three universities – UCT, UKZN and Wits – which were to receive support to the total value of USD 12 376 972 for initiatives spanning the period between 2005 and 2013.

29 Cape Higher Education Consortium, Review Report on Ford Foundation's Programme: Next Generation of Academics, July 2011.

The rest of this report will focus on the review of the initiatives under the umbrella of 'equity and transformation' at the three universities selected for funding support.

In addition to the above, the CCNY supported institutional strengthening at six universities elsewhere in Africa: Makerere University (Uganda), University of Dar es Salaam (Tanzania), University of Education, Winneba (Ghana), and Obafemi Awolowo University, University of Jos and Amadu Bello University (Nigeria). These universities were supported with grants of approximately USD3 million over three phases, which were aimed at institutional strategic priorities such as library modernisation, gender mainstreaming, postgraduate education, quality assurance and e-learning. The CCNY also invested approximately USD18 million in a separate undergraduate women's scholarship programme at these universities which focused on providing access opportunities for disadvantaged women from poor communities into the sciences.

The Corporation, as part of the Partnership for Higher Education in Africa, also invested approximately USD7 million in bandwidth infrastructure, policy development initiatives and leadership forums.

In the next few years, the CCNY plans to continue its focus on nurturing the next generation of academics and university leadership. Support will be directed to four universities: Makerere, the University of Ghana (Legon), Wits and UCT. The Corporation also proposes to continue its support for postgraduate training and research networks in the sciences along with fellowship programmes in the humanities and social sciences across five Anglophone African countries.

In summary

The four foundations have shown remarkable commitment to strengthening higher education and promoting equitable social change in South Africa, in particular through the advancement of postgraduate opportunities for black people and women.

The focus of the foundations on support for scholarship in the humanities has played a key role in ensuring that this area is not neglected. This has been particularly important at a time when much of the focus of government funding has been on the building of capacity in the fields of

science, engineering and technology. The foundations have contributed to meeting important needs in the humanities and have provided a 'lifeline' of support for leading research centres and institutes in the humanities.

In most cases, the funding from the foundations has gone beyond the award of scholarships to individuals and has allowed for rich institutional engagement with the range of factors which contribute to success in postgraduate studies. This has, in turn, contributed to the development of best practice in postgraduate studies.

The support of the foundations has largely been concentrated at the academically stronger, historically advantaged institutions, with the exception of one or two historically disadvantaged universities which have also benefited. This broadly resonates with one of the recommendations of the ASSAf PhD Study for the targeting of 'specific institutions with existing capacity and established track records for scaling up the production of PhDs even as selected programmes are funded within universities that are not strong over-all in producing doctorates'.³⁰ However, the individual beneficiaries of the support have been black people and women.

30 ASSAf The PhD Study, An Evidence-based Study on How to Meet the Demands for High-level Skills in an Emerging Economy, September 2010.

INSTITUTIONAL MODELS FOR ADDRESSING EQUITY AND TRANSFORMATION



INTRODUCTION

This chapter of the report describes the broader institutional models related to equity and transformation employed at each of the three universities included in this study. The concept of 'model' used here includes the institutional approach, strategies and activities together with governance and monitoring arrangements.

In addition, this chapter of the report highlights the ways in which funding received from Carnegie Corporation was used in the implementation of these broader institutional models. Where relevant, deviations from the original proposals and plans are also described.

The final section of the chapter gives attention to the monitoring and evaluation processes used at the three universities. In the first three years, this work was supported by the Evaluation and Research Agency (ERA), a unit based at the University of Stellenbosch. The ERA had evaluated a number of earlier Carnegie-funded projects in African universities as well as the United States (US) partnership project, and had been brought on board at the start of this project. After the first three years, the universities worked independently on this work.



UNIVERSITY OF
KWAZULU-NATAL

3.A THE UNIVERSITY OF KWAZULU-NATAL (UKZN)

As indicated in the university's first grant application to Carnegie Corporation, the transformation project at this institution 'is fundamentally about defining and realising a new essence – an essence that will render the University both demographically representative and firmly rooted in the philosophical and cultural values of Africa' (November 2004, page 6). The application makes mention of 'two mutually reinforcing and multi-faceted processes' – one focused on 'demographic change', and the other on 'cultural and associated systemic change' (November 2004, page 6).

In an interview with the reviewers, the Vice-Chancellor described these 'two elements' of transformation. The first he called 'physical changes' or those related to the demographic profile of staff and students. The second, and the 'more interesting' element for the Vice-Chancellor, was that related to shifts in 'environment and culture'. In his view, this second element required both a number of 'subtle' changes as well as 'fundamental' changes in the policy framework of the university.

Each of these two elements is described in the next sections along with an explanation of how they were seen to contribute to the transformation of

the core business of the university – i.e. research, teaching and learning – and so realise ‘a new essence’. This description recognises that the context and recent history of this university – the merger, the development of a new identity and the establishment of new structures (e.g. the Colleges) – have also provided a particular context for its chosen approach to equity and transformation. In the words of the Vice-Chancellor, the merger gave the institution ‘a new freedom’ to pursue new ways of working.

3.A.1 Changing demographic profiles at UKZN

At the time that the grant application was submitted to Carnegie Corporation, UKZN had already recorded ‘the best level of student equity of any university in South Africa and had already reached the necessary critical mass in terms of staff equity to provide the role models, minimise alienation and counter the ‘revolving-door syndrome’ caused by social exclusion’ (grant document).

The intention of the grant was to ‘enhance and extend’ one of the existing mechanisms used to address equity – the Leadership and Equity Advancement Programme (LEAP). This programme had arisen out of the earlier Equity Acceleration Programme (EAP) aimed to change the demographic profile of those schools in which under-representation of black, women and disabled academics was most severe.

The main components and outcomes of the project for UKZN were listed in its grant submission to Carnegie Corporation (2004, pages 7–9) and can be summarised as follows:

1. A Lectureship Scheme through which 17 contract positions were to be awarded to academic schools on the basis of strategically identified equity priorities and retention plans. Only blacks, women or disabled people were eligible and appointees were guaranteed permanent positions, subject to satisfactory performance on completion of their contracts. This was the most critical element of LEAP and by far the largest proportion of the resources was dedicated to it.
2. Four Staff Development Consultants were to be appointed to support the LEAP lecturers and facilitate advancement of others in the lower echelons of the academic staff. They were expected to

provide additional support over and above that provided by school-based mentors.

3. A Research and Conference Fund was set up and reserved for these appointees to provide support for research activities and exposure to academic conferences.
4. The International Mentorship Scheme to provide all above appointees with the opportunity to spend a period at an institution elsewhere in Africa or abroad working under the guidance of a foreign scholar.
5. A Post-doctoral Fellowship Programme involving two-year post-doctoral fellowships for promising black, women and disabled scholars with an emphasis on disciplines identified by both the university and government as being critically unbalanced in respect of race and gender. (The 2004 grant submission indicates that this was the subject of another fundraising campaign.)
6. A Graduate Scholarship Scheme involving the awarding of honours, masters and doctoral scholarships to promising black, women and disabled students who demonstrate an aptitude for a career in academia.
7. The Women in Research and Leadership Leverage (WILL) Programme comprising a research and mentoring network, combined with professional development workshops and other activities open to women academics across all campuses.
8. A Support Staff Mentoring and Internship Scheme for under-represented support staff in certain technical and support functions. It was expected that a minimum of nine interns would be selected during the grant period.
9. A LEAP Academy offering a biennial training programme aimed at providing prospective academic and administrative leaders in the university with the skills required for high-level leadership positions. A minimum of 40 junior and mid-level members of staff with high leadership potential was expected.

10. An Associate Dean Job Shadow Scheme through which black, women or disabled members of staff could be appointed to under-study and ultimately replace deans upon their retirement or expiration of their contracts. (The 2004 grant submission indicates that resources had not yet been committed to this scheme.)
11. A LEAP Resource Centre for use by all LEAP appointees and by the broader university community.

In addition, there was to be:

12. Regular internal and external monitoring and evaluation of all components of LEAP.
13. Regular dissemination of information about progress with LEAP through a variety of means and to all major stakeholder constituencies.

The university's grant application indicates that an amount of USD 1 996 053 was requested for a five-year period to support three successive annual intakes of LEAP lecturers between mid-2005 and mid-2007 (ending mid-2010).

In summary, UKZN's 2004 grant submission to Carnegie Corporation for the amount of USD 1 996 053 focused on changing the equity profiles of postgraduate students and staff. It was built around an existing programme, the LEAP Academy, that offered accredited programmes and a seminar series. The grant proposal included additional elements of support, notably the LEAP appointees, staff development consultants and international mentors. The Graduate Scholarship Scheme and the WILL Programme both extended the possible target recipients. While many of these aspects of the programme targeted young scholars, provision was also made for the more senior staff in the Associate Dean Job Shadow Scheme. In addition, the programme took into account certain specialist support functions where staff from designated groups were under-represented.

As will be noted in the next chapter that considers the outputs and outcomes of the Carnegie-funded initiative, a number of the activities listed in the original submission faltered during the period of funding, reducing the total number of activities completed during the implementation period.

The main goal of the proposal, however, (i.e. to increase the appointments of black and women staff) remained the key activity.

In its final grant submission for the amount of USD 1 984 643 for 36 months, starting January 2009, the key focus areas were recorded as:

1. The continuation of the LEAP Lectureship Scheme.
2. The reappointment of four College LEAP Coordinators for a further three years.
3. Support for a LEAP Development Fund that will provide resources for the LEAP lecturers to undertake research, attend professional meetings and conferences, spend periods abroad working with a foreign mentor, etc.
4. Continuation of the biennial LEAP Academy.

The Vice-Chancellor explained that changing the demographic profile at UKZN had been a 'necessary' component of the approach to equity and transformation and 'a deliberate process' linked to the development of the next generation of academics. It focused on both 'access and success' and brought about significant 'structural changes'. He cited the shift in African staff from 43% to 64% in ten years and the even greater shift in terms of gender. He referred to the Carnegie funding as having been particularly important in providing for the 'recruitment of promising young people'.

The Lectureship Scheme was the 'element' of the institutional approach to equity and transformation that was given particular attention during the site visit undertaken to UKZN to interview the beneficiaries of the Carnegie funding. Interviews were conducted with 12 LEAP appointees, two college coordinators (who also acted as supervisors and mentors), and another academic supervisor. In addition, nine younger candidates who were currently receiving Carnegie funding for third year undergraduate, honours or masters degrees were included in the interviews.

The Lectureship Scheme was intended to provide young scholars with three-year appointments as contract lecturers in priority areas (Medicine, Engineering, Science and Agriculture and, for women, Commerce and Management). The posts were to be awarded to academic schools on the

basis of their long-term equity plans, the identification of able and willing mentors, and, very importantly, the availability of what were referred to as 'succession posts', i.e. a permanent position guaranteed to be vacant upon cessation of the LEAP lecturer's three-year contract and which would be earmarked for the lecturer. LEAP lecturers were to be appointed to these succession posts at the end of their contracts, if not before, provided that they had made satisfactory progress against a set of predetermined outcomes.

LEAP appointees were expected to fulfil a 50% lecture load. In addition to a supervisor who would provide support for the research project undertaken for the qualification, a mentor would be appointed to provide support in other areas of academic work, particularly teaching, assessment, etc.

Data collected revealed that LEAP appointees were often told about the programme and its conditions by their lecturers or heads of schools and encouraged to apply. On the other hand, those students who received funding from Carnegie Corporation for their third-year undergraduate programmes, honours and masters studies did not follow the same process of application and selection as the LEAP lecturer appointees. In most cases, they reported that they had simply been informed of the scholarships. It should be noted that some of these younger students did not have any real intention of continuing in academic life after completing their current qualifications.

As will be seen in the next chapter of this report, the data gathered in the interviews conducted for the review indicate that the issues of access and success, as highlighted by the Vice-Chancellor in his interview with the reviewers, were being addressed and that individual students had received/were receiving significant benefits through their participation in the Carnegie-funded programme.

The issue of staff retention at this university, however, was raised as a cause for concern by two LEAP appointees who had already graduated with PhDs and become 'mainstreamed' staff members. The underlying reasons for this suggest that there may be unintended effects to the approach to equity taken at this university. These issues are given attention in the next chapter and suggestions for improving retention rates are also listed in the final section of the report.

3.A.2 Changing the institutional environment and culture at UKZN

While UKZN's grant submissions to Carnegie Corporation refer to two elements of transformation, they do not list specific activities that might be viewed as promoting changes in the broader institutional environment and culture.

In an interview with the reviewers, the Vice-Chancellor explained that transformation at UKZN had begun with the merger of the former University of Natal and the University of Durban-Westville when 'a commitment was made to create something new'. He reported that this commitment was 'very strong' in the institution and not just a mechanical process: the merger had assisted people to 'operate on a different level psychologically', preparing them for equity and transformation initiatives.

In addition to referring to 'lots of little subtle things' (e.g. changes in voting procedures), the Vice-Chancellor went on to outline several 'pillars' that have supported the institutional approach to creating 'something new'. As will be seen below, the activities associated with these pillars overlap and complement one another.

The first of the pillars described by the Vice-Chancellor was that of policy. He explained that at the time of the merger, existing policies had needed to be changed in order 'to conform to the new university vision'. As a result, 'fundamental changes' were needed to 60 existing policies. The changes in institutional policy were cited as 'the basis for creating a new institution' and the importance of this was underlined in the Vice-Chancellor's words 'It's all in the policy', as, without policy, it would not be possible to hold people 'accountable'.

A second pillar in the approach to transformation at UKZN mentioned by the Vice-Chancellor was the work undertaken by the Centre for Research into Race and Identity. This work was reported to have played a role in 'deracialising university conversations'. This, in turn, highlighted the need for a policy on race and racism. Development of this policy followed a 'university-wide process' involving people at all levels and provided for a mechanism/process for dealing with complaints about racism. The Vice-Chancellor reported that this issue has been 'dampened down' since the development of the new policy.

A third important pillar related to transformation was the development of a Transformation Charter, drawn up with the assistance of Charles Nupen. Once again, input from all levels in the university had been sought, with the process taking approximately one year.

In summary, the merger and the development of a new policy framework, including a policy on race and racism, and a Transformation Charter, were reported to have been instrumental in creating a platform for changes in the institutional environment at UKZN. While this work was not directly funded by Carnegie Corporation, comments on institutional culture were elicited in interviews conducted with beneficiaries of the LEAP Lectureship Scheme as well as other staff members. These are summarised in chapter 4 of the report and linked to the issue of staff retention already mentioned.

3.A.3 Towards the establishment of African scholarship at UKZN

Both the elements discussed in the previous two subsections (changing the staff profile and changing institutional culture) were seen as necessary in contributing to the establishment of African scholarship at UKZN. In discussing the establishment of African scholarship in the core activities of research and teaching and learning at UKZN, the Vice-Chancellor acknowledged that this is a 'complex process' and one that had 'preceded the merger'. He explained that since 'civilizations are embedded in their scholarship', it was important that 'African scholarship' be included in African universities and that the following question be raised: 'How does African knowledge become embedded in research and the curriculum?'

The Vice-Chancellor summarised developments in thinking at UKZN around these issues as follows:

- In 2004, the key question was 'What is African scholarship?'
- By 2007, the key question had become 'What shall I do to make African scholarship work?'
- By 2010, projects in niche areas had been implemented. The Vice-Chancellor mentioned projects in 'certain niche areas' (e.g. Zulu language, music and agriculture) that include local knowledge.

The Vice-Chancellor went on to say that the kinds of questions that have been asked (as above) have provided a challenge for academics: they had

needed to move out of their 'comfort zones' in responding to them. In his view, the restructuring of the university into colleges had been important in 'shifting power and identity', in raising new sets of 'profound' questions and in sharing ideas with different sets of colleagues. He reported the establishment of new interdisciplinary programmes and resulting new co-supervision arrangements.

Few of these new programmes and arrangements fell under the activities funded by Carnegie Corporation; however, certain interviewees raised issues related to their own work that suggested that interdisciplinary work continues to provide challenges and that the concept of 'African scholarship' is still under debate in certain areas in the university.

3.A.4 The location and management of the Carnegie initiatives in equity and transformation at UKZN

The Carnegie project was described as being located in three areas within the university:

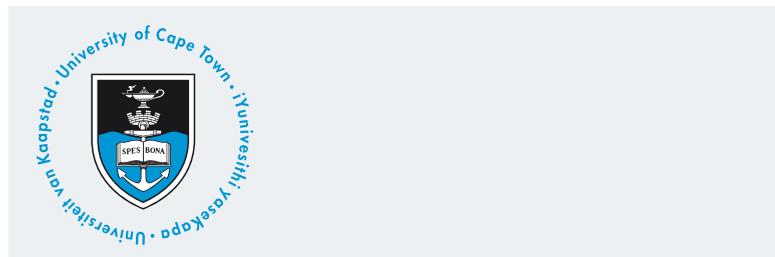
1. The Vice-Chancellor's Office, as the driver of transformation in the institution as a whole.
2. The Human Resources Office, as there were legal requirements for equity appointees/employees and because one 'neutral' structure was needed to deal with the various colleges. Monitoring and evaluation responsibilities were also centralised in this office.
3. The academics who assisted in the identification of potential candidates and who supervised and/or mentored the students. Alongside them four College Coordinators were to have been appointed.

The Vice-Chancellor explained that the academics were viewed as the 'main drivers' of the LEAP project, as it was their commitment that ensured implementation of the necessary activities. This aligns with the perception of the ERA interviewee who described the UKZN model as the 'most devolved' of the models employed at the three universities. This person also suggested that the lack of an overall driver may have been one reason the programme fell behind schedule within the first year.

The extensive work undertaken by the Human Resource Office in liaising with the schools, the LEAP appointees and their mentors was noted in the interviews conducted during the site visit.

Although the original grant submission to Carnegie Corporation made mention of the appointment of an Executive Director for Organisational Culture, the Vice-Chancellor explained that this post had been filled only 'in the early days' and was no longer needed after that. Unlike the two other universities included in this review, there was no Transformation Manager at UKZN. Here again, the Vice-Chancellor explained that a transformation manager is often seen as 'an external police person' and said it was thought that transformation should be embedded in the internal developments of the colleges.

As will be seen, the involvement of the Research Office at the three universities included in this review varied considerably. At UKZN, there was little involvement of this office, as its role and responsibilities are focused on National Research Foundation (NRF) ratings and the employment of postdoctoral fellows.



3.B THE UNIVERSITY OF CAPE TOWN (UCT)

At UCT, there were two cycles of funding, each for the amount of USD 2 000 000. The first covered the period from 2005 to 2007 and the second from 2009 to early 2012. The following section of the report draws on the grant submissions, university reports and interview data in describing the various elements and activities included in each of these cycles and the reasons offered by key role players for the shifts made.

3.B.1 The first cycle of funding at UCT – equity appointments, research support and institutional workshops

The 2005 grant submission lists the following activities for implementation:

1. Full support for the implementation of succession plans in Engineering and the Built Environment (EBE), Law and the Graduate School of Business (GSB) through the appointment of 17 black and women academics.
2. Partial support for the implementation of plans in Health Science and Commerce.
3. Partial support towards special recruitment costs for equity candidates in order to implement more targeted recruitment strategies.
4. Partial support for the Emerging Researcher Programme (ERP) – a three-pronged approach to provide guidance and support for academic staff appointed in terms of the proposal.
5. Full support for a campus-wide implementation strategy to be implemented by the Transformation Office and the Department of

Human Resources. The grant submission referred to 125 two-day workshops for all staff (approximately 3000) that will deal with issues arising from the climate survey (see below).

6. Full support for a second climate survey in 2006. This was a follow-up on the 2003 climate survey and was to ascertain if progress had been made since that time.
7. Full support for an ongoing programme on internal formative evaluation.

Equity appointments

The 2005 grant submission explains that, of all the components of UCT's transformation programme, 'bringing the academic staff profile into alignment with that of the population as a whole had proven to be the most difficult'. Approximately 64% of the proposed budget in the first cycle of funding was to support the implementation of succession plans in the five faculties in an 'accelerated programme of change' and one that ensured that transformation was both 'authentic' and 'visible'.

This element of the proposal was built on UCT's Employment Equity Model, also outlined in the grant submission. It was anticipated that this model would ensure a 'critical mass' of black staff in the ranks of each of the University's faculties, to be followed, as the plan advanced, by the attainment of further stages characterised as 'substantive change', 'approaching representivity' and, ultimately, 'full representivity'.

A key element of UCT's Employment Equity Model was a commitment to long-term employment. This was to be ensured by making employment equity an integral part of the ten-year succession plan of each of the faculties. These plans would identify when posts were expected to be vacated and at what levels new staff would need to be brought in. They would provide for appointments to be made one to three years in advance of the vacancies, so as to allow time for newly appointed staff to grow into their positions and become fully prepared to move into permanent posts.

The equity appointments in this proposal also built on initiatives launched at the beginning of 2004 in the humanities and science faculties with support from the Andrew W. Mellon Foundation and Atlantic Philanthropies.

Through support from Carnegie, UCT hoped to extend the model to the remaining faculties.

The Emerging Researcher Programme at UCT

In addition to the focus on equity appointments, the 2005 submission also included activities related to research support, particularly that provided through the Emerging Researcher Programme (ERP).

The ERP originated in 2002 when UCT planned a research mentoring programme for young, new and/or inexperienced staff members. The programme, still without a name at that point, was implemented in 2003 with 43 'self-identified staff who needed help' with their research projects. Interviews were conducted in order to determine areas of need.

Over time, as more staff joined the programme, it was decided that the initiative should be split into natural science and social science areas – although there were areas of overlap.

In 2004, the Deputy Vice-Chancellor (DVC) for Research requested that supervision training be offered as part of the programme. In the same year, the University Research Committee allocated R500 000 for modest research grants.

The programme continued to develop in terms of activities and monetary grants. By 2012, 500 staff members had participated in some aspect of the programme. Over this time, the ERP had introduced one-on-one mentoring/coaching activities, seminars and workshops, supervision training and grants. The programme coordinator described it as a 'rich and inclusive' programme.

In interviews with ERP staff, it was explained that new staff appointees are notified of the programme at the time of their appointment. In addition, ERP staff work with the Human Resources Department in identifying potential participants. (Contract staff can be included in certain aspects of the ERP such as seminars and workshops.) The suite of offerings is advertised at the beginning of each semester and staff can choose the areas that best suit their needs. All activities are voluntary – except for the Carnegie appointees in the first cycle of funding – and have a capacity-building focus.

The ERP coordinator explained that there have been times when the target market for the ERP has not been absolutely clear, with some potential participants also fitting within Programme for the Enhancement of Research Capacity (PERC). In addition, it was reported that even once some researchers have 'emerged', they opt to continue with coaching/mentoring activities and attend seminars.

In terms of monitoring and evaluation activities, the ERP worked with a set of key performance indicators linked to its goals. These were listed as below:

- Completion of higher degrees;
- Peer-reviewed publications;
- Other peer-reviewed outputs;
- Successful external grant proposals;
- Ad hominem promotions;
- NRF rating; and
- Patents.

Climate change and institutional transformation

In terms of the work on climate change and institutional transformation, a climate survey and workshops were planned.

Key features of the Khuluma workshops held in the first cycle of funding were their voluntary nature, the three-day intervention period and their facilitation by external consultants. Each of these aspects was changed in the interventions held in the second cycle of funding and the shifts are detailed later in this chapter.

While an interviewee at ERA commented that UCT's proposal was 'coherent' in that two clear components were identified (i.e. 'bringing in young scholars' and their development through the ERP, and changing institutional culture), he observed that these elements did not 'speak to each other' and were not 'integrated'. The value of this observation (which is also pertinent to the two elements found in the second cycle of funding) is further explored in chapter 5 of this report.

3.B.2 The second cycle of funding at UCT – research support and transformation, and institutional climate change workshops

A number of changes were made in reconceptualising the activities for the second proposal. In this second cycle of funding, four broad areas were to be covered:

1. Research development or the Emerging Researcher Programme (ERP) – workshops for emerging researchers and supervisors on research planning, and writers' retreats.
2. The Programme for the Enhancement of Research Capacity (PERC) – research grants and seed funding awarded to encourage Afropolitan and interdisciplinary research.
3. Collaboration with Africa and the Global South – research projects, public seminars.
4. Institutional Transformation Interventions Programme – Khuluma and post-Khuluma/ADAPT workshops on relationships in post-apartheid South Africa.

As can be seen, the first three areas listed above focus on research, while the fourth deals with the institutional transformation programme continuing with the provision of workshops. The first three areas of funding related to equity appointments found in the first cycle of funding were omitted in the second cycle. The likely reasons for this shift were explored in a number of interviews conducted and documented later in this section of the report.

The Research Office was directly responsible for the first three areas of funding in the second cycle, with the Transformation Office responsible for the fourth area.

Research support

The first of these was focused on the provision of support for research development for young researchers. Essentially, this involved the work undertaken by the ERP as already described.

Research transformation – Afropolitan and interdisciplinary research

The second programme area, that of PERC, initially focused on those researchers who had completed the ERP. Its broader goals focused on 'the knowledge project' in order 'to change universities by changing research'. 'An epistemological project', it encourages researchers (often more established researchers than emerging researchers) to reconsider their disciplines and own positions from what was termed 'the vantage point in Africa'. This latter area included a self-assessment exercise where researchers considered their 'African identity' and the contribution they could make – without 'falling into a north-south binary'. This was seen as involving 'an intellectual challenge' across all disciplines.

In addition, PERC supported researchers by offering workshops which 'probed issues, raised questions and encouraged personal narrative writing'. The seminar programme included emphases on Afropolitan research, interdisciplinary research and transformation, and new methodologies. Various forums provided aimed at promoting academics' mid-career growth, building research teams and boosting publications. In this way, the Carnegie grants provided a platform for 'a change in the way people work'. This work has recently culminated in the development of a book that challenges the dominance of Northern Theory by critiquing how key concepts are used, and by drawing attention to context and to the marginalisation of voices.

The first full-time coordinator of PERC took up the position in 2010. Prior to this, another staff member had been seconded 'to plant and grow the seed of PERC'. Since then, a number of PERC associates have been appointed, some fully funded by Carnegie. PERC visitors, i.e. high-profile intellectuals, have been invited to contribute to the programme, and a PERC fellow has been supported in continuing his interdisciplinary work.

Four grants of R150 000 were provided each year for researchers who worked across disciplines and involved postgraduate students in either new or existing projects. Activities associated with these projects have included conversations, reading groups, and the brokering of new partnerships. Each of the faculties at UCT was reported to have benefitted from these grants.

Collaboration with Africa and the Global South

The third area overseen by the Research Office was that of signature themes which would provide 'African perspectives on global problems', e.g. climate change. Here again, the kind of research being encouraged was considered to be transformative in that it 'valorises the African position'. Projects in these areas included postgraduate training programmes, the development of masters coursework qualifications and the appointment of postdocs. As explained by one interviewee, transformation at UCT 'goes beyond the obvious'.

The Research Office also worked in conjunction with the International Academic Programmes Office (IAPO). IAPO's core business is to facilitate and promote the internationalisation of all aspects of UCT's core business.

IAPO received Carnegie funding between 2007 and 2010. This financial support enabled it to provide generous scholarships for 19 PhD candidates from ten participating universities in African countries (with UCT as the host university). Each university selected its own potential candidates from among their existing staff members. These applicants were required to meet UCT's admission requirements. Joint supervision arrangements ensured that UCT supervisors met with their counterparts in other participating universities. Scholarships were provided for PhD scholars in the Humanities, Engineering and Science and funding also covered the costs of fieldwork conducted in African countries.

The following subsection of the report outlines the reasons provided for the shifts in focus from the first to the second cycles of funding.

3.B.3 The shift from equity to research in cycles one and two at UCT

The shift in focus from equity appointments based on the university's employment equity plan to research development and transformation was explained in various ways by key stakeholders interviewed for this review. In addition, it is important to note that the end of the first cycle of funding coincided with a change in leadership at UCT. According to one interviewee, had certain members of the executive remained at the university during the second cycle of funding, the emphasis on equity

would have been retained and the demographic profile of the university would have shifted more than it has done to date.

In his inaugural lecture, the new Vice-Chancellor envisioned UCT as the leading university in Africa and pointed the way to research that was 'fresh and new'. While this was not an entirely new trajectory at this university, the Vice-Chancellor's articulation of it served to foreground the Afropolitan perspective more than had been done in the past and served as an important lever for the Research Office in writing the submission for the second grant.

In interviews with senior executives and staff in the Research Office, the 'strong assertion between transformation and research' was highlighted. It was also explained that the stigma associated with equity appointments in the first cycle had been addressed in the second cycle when Carnegie-funded recipients were not 'labelled' but rather seen to be those among many others who were supported through the ERP located within the Research Office. One interviewee explained that a large portion of the Carnegie funds had been channelled through the ERP and used to support 'a high number of black and women' academics in the second cycle of funding. In this way, the Carnegie recipients were not 'showcased' as before, but 'blended in more organically'.

Not all interviewees supported this understanding of the shift in focus and only one Carnegie appointee interviewed reported having felt stigmatised during the first cycle. A number of senior staff pointed to the negative responses of other staff members towards those who received Carnegie support in the first cycle. In these cases, it would seem that some staff members had felt that Carnegie appointees had not had to 'earn their keep' and prove themselves in the same way that they themselves had had to do before achieving permanent posts. It was reported that there had been considerable contestation about these appointments, with terms such as 'standards' and UCT's 'international standing' being used to argue for a change in approach.

Further views on the shifts from the first to the second cycle were offered by other senior staff. One termed this a shift from a focus on 'representivity' to a focus on 'the knowledge project'. Another suggested that the approach in the second cycle of funding was 'more aligned with the conservative UCT approach' and was more 'culturally UCT'. The 2012 UCT final report

to Carnegie Corporation states that the realisation that phase 1 had created a critical mass of new staff from the designated groups had placed UCT in a position where it was possible (and necessary) to prioritise retention over recruitment. That insight led to the further insight that there was more risk of losing staff by banding them together into a cohort of special-needs appointments than was commonly recognised. The approach in the second cycle was described as one that entailed the conscious use of research and knowledge production as agents for transformation.

The emphasis on research or 'the knowledge project' was seen as having been strongly supported by Carnegie Corporation. One senior staff member commended Carnegie on its 'willingness to support the intangible' and for having the 'appetite' for and being able to 'see value in the vague stuff'.

Another pointed to the increasing dependence of universities such as UCT on external donor funding, highlighting the need to 'get transformation right'. In this regard, this interviewee reported that UCT had learnt a lot from the 'intensive' monitoring and evaluation process required by Carnegie Corporation.

3.B.4 The shifts in the provision of institutional transformation workshops in the two cycles of funding

Shifts in the work related to institutional transformation were also explored with relevant interviewees. As already outlined, the Khuluma workshops of the first cycle were attended by volunteers and facilitated solely by external consultants.

The ADAPT workshops of the second cycle were described by the Director of the Transformation Office as focusing on 'leadership and intercultural competencies' with the aim of ensuring that UCT is an 'inclusive' university. The workshops were planned in 2010 and piloted in 2011, with a train-the-trainers course for internal facilitators being run over three days in this same year. The programme was then rolled out in 2012.

Participants

Unlike the first-cycle workshops, the workshops have been attended by staff from within departmental groups and facilitated by both internal and

external facilitators working alongside each other. The shift from individuals who volunteer to departmental groupings was noted as significant by a senior staff member interviewed. He considered the latter more effective because this approach can begin to address some of the 'structural issues' in the institution, i.e. activities such as meetings and decision-making processes that occur in 'the common working space'. In so doing, ADAPT begins to address 'the collective identity' rather than only the 'individual identity' as tended to happen in the earlier Khuluma workshops.

Facilitation

Internal facilitators are recruited from institutional staff and appointed after undergoing assessments. At the time that this review was conducted, four external facilitators 'who know UCT well' had also been contracted to work alongside the internal facilitators.

An external facilitator interviewed reported that it would not have been possible for her to have facilitated the workshop without the internal facilitator present, since this person's knowledge of the institution was critical to the process. Data collected in interviews suggest that, while the internal facilitator may carry greater institutional knowledge, the external facilitator may have broader experience and stronger facilitation skills.

As explained by the Director of the Transformation Office, these facilitators form a 'community of practice' together with members of the Transformation Committees. Supervision meetings are held monthly to discuss challenges and plan future workshops and strategies.

The internal facilitators attend a number of training sessions, which include both generic and tailored training materials, i.e. materials that are developed in relation to particular issues or themes identified by the staff in the departments attending the workshops. These issues which may include racism, sexism, disability, sexuality, etc., are identified during an earlier needs assessment with key staff members, including the Dean, the Head of Department and members of the Transformation Committee.

One of the challenges identified by an internal facilitator was the diversity among staff members within departmental groups. For example, literacy levels range from 'very high to quite low'. In some cases, she said, it made sense to run two workshops – one for management and another for the

other staff. On the other hand, an external facilitator commented that there is often a greater level of engagement when there is a range of participants present.

Intervention period and workshop methodology

Unlike the Khuluma workshops which were held over three days, the ADAPT workshops are held over only one day or, in some cases, are just half a day in length. Group work is used and in-depth conversations are encouraged. An interviewee described the approach as more process-oriented than that used in the Khuluma workshops, which tended to be 'more in your face'.

Another interviewee explained the shift from Khuluma to ADAPT as being necessary because, although there were many positive responses to Khuluma, it was experienced as 'bruising' and 'intense' by many participants – 'too much stick and not enough carrot'. This interviewee also reported that there had been 'hostility to the methodology' used in the Khuluma workshops. ADAPT was described by this interviewee as 'seeking to do something different', i.e. 'building leadership skills in diversity' and 'increasing sensitivities'.

For an external facilitator interviewed, the purpose of the workshops was to 'start conversations with individuals on otherness and accepting what is different' in people. She said that the conversations drew on participants' experiences in the UCT work environment and from their personal lives. In addition to 'expert speakers' who are invited to give presentations, films and videos are used as prompts for conversations.

One of the external facilitators interviewed described her facilitation style as 'non-judgemental', by which she meant that she allows people to 'speak freely' and even 'vent' at times. She avoids telling participants 'what to think or how to think or speak'. In this way, she explained, she provides a 'holding space' and through her 'body language' and the 'questions I ask' encourages participants to engage with what is said within the group. She acknowledged that there have been times when some participants have said that she should not have allowed others to speak as they did but should have interrupted them or criticised them. She also admitted that there are times when she finds it difficult not to judge participants or to offer advice on how they should deal with issues.

Participants are given 'homework' to complete. Part of this was described as a 'self-audit' which remains confidential. Finally, there is a group exercise on which the members of the department need to work together. This was viewed as a means to assist people to 'get to know their colleagues' and in 'understanding' and valuing' each other. One of the internal facilitators interviewed provided suggestions as to how these activities might be better conceptualised so as to be socially responsive and useful to communities. These are considered in chapter 6 of this report.

The original plan was to conduct follow-up workshops approximately three months after the initial workshop, but it was reported that this had not been logistically possible and that it was more likely that the workshop process would be completed over a year.

Student involvement in ADAPT

Student facilitators were also trained for the student programme (STAP) using a peer education model which encourages 'courageous conversations' and self-reflection. Thirty-two students applied to be trained (some encouraged to do so by their lecturers), and 17 were selected for training on five consecutive Saturdays. All were undergraduates and most were women. At the time of the interviews, it was anticipated that another cohort of students would be trained in 2013.

The student training sessions included a mix of activities – icebreakers, video clips, discussion on issues/themes, facilitation practice, etc. – and one-on-one mentoring was also provided. Foreign students interviewed reported they had been surprised by some of the discussions – particularly those around race and sexuality, as these issues were not considered or discussed in such 'upfront' ways in their home countries. Students were encouraged to keep journals and to complete homework tasks between sessions.

The data collected revealed that the numbers of students selected for training as facilitators dwindled during the training period once it became clear that they would not be remunerated for this work. In addition, student facilitators interviewed commented that the training sessions on Saturdays were too lengthy.

Initially, the student workshops called for volunteers, but, more recently, intact groups such as the Students' Representative Council (SRC) and Shawco were invited to attend. It was anticipated that students from residences would be included in the programme from 2013.

In addition to the student workshops described above, three seminars were held in 2012. These included a session on Women's Bodies and another on Relationships with Mothers.

Feedback on the ADAPT workshops for both staff and students has been provided through evaluation questionnaires completed by participants after each workshop. As described by the Director of the Transformation Office, the questions focus not on 'impact', but on 'shifts' in two areas – 'intercultural communication' and 'collegiality'. Both quantitative and qualitative data are collected.

In addition, informal feedback is provided by the facilitators, members of the Transformation Committees, the University Ombudsman, and the data from staff exit interviews. The Director also reported that a 'transformation barometer' is in the early stages of development.

3.B.5 The location and management of the two cycles of funding at UCT

As might be expected, along with the shifts described above came shifts in the location and management of this initiative at UCT.

The first cycle of funding

In line with the emphasis on equity in the first cycle of funding, the project was managed by the Equity Manager in the Human Resources Department. She reported to both the head of this department and one of the DVCs. The hands-on support provided by the DVCs at this time was reported to have been critical in ensuring buy-in from the deans and heads of department and stability for the first three years of this project.

Report-backs were provided by the Equity Manager to two of the DVCs every two months: this constituted a 'formal briefing' that also considered the general equity statistics at UCT as well as the progress made by the Carnegie appointees.

The Equity Manager had been responsible for interviewing potential appointees as part of the Carnegie recruitment panel, communicating with ERA, and liaising with the staff from ERP and with Carnegie Corporation. She emphasised that 'equity had always been combined with excellence' and that 'there was never a compromise'.

The Equity Manager also played a supportive role with the appointees, assisting them to 'become familiar with the institutional culture', and to understand the Carnegie programme, its benefits and requirements.

While the ERP Coordinator reported keeping records on the progress of the Carnegie appointees, the Equity Manager explained that UCT did not have an institutional record-keeping system to monitor the impact of implementation during the first cycle.

The second cycle of funding

At the start of the second cycle of funding, the project management function moved to the Vice-Chancellor's Office. The responsibilities of the new project manager focused on 'overseeing and coordinating activities' included in this second cycle. The second project manager described her role as that of 'right hand' to the DVC, who 'owns' the project. One of her first tasks was to 'develop a proper M and E framework' with the assistance of an internal facilitator/evaluator. The project manager assisted in the evaluation of the project and the preparation of reports, including the 'pulling together' of the information of the two cycles.

As in the first cycle of funding, there was considerable involvement by the university executive in the second cycle of funding. In addition to the DVC who is viewed as 'owning' the project, it was reported that the Vice-Chancellor had been instrumental in identifying objectives and outcomes for the work and ensuring alignment with the university's broader strategic goals. Two other DVCs – one for research and another for transformation – had also been closely involved.

The role of the Research Office was expanded in the second cycle of funding, beginning with the writing of the grant submission so as to address the issues of stigma and resentment. During implementation, the Research Office was directly responsible for the work undertaken by the ERP, PERC and the Signature Themes.

Another change from the first to the second cycle of funding was the ways in which funds were transferred to recipients. In the former, this was done through the faculties and deans, while in the second cycle funds were transferred through the Research Office. It was reported that, as there had been no policy on how these funds should be managed in the first cycle, there was little uniformity across the faculties, resulting in some appointees enjoying greater levels of support than others.

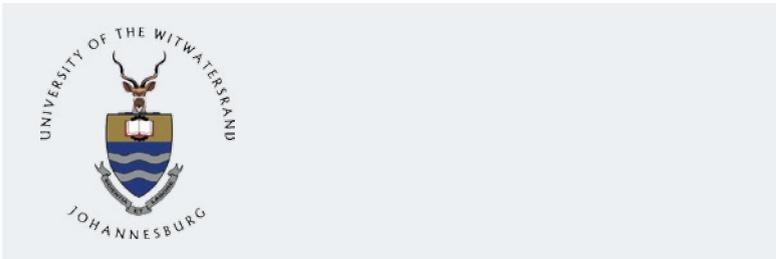
In the second cycle of funding, with the Carnegie funds for research having been added to 'a large pot' along with funding received from the university and other external donors, 'exceptionalism' was done away with. The 'mainstreaming' approach adopted in this second cycle meant that it was less clear who had received a Carnegie grant and who had received a grant from a different source. It was stressed by one interviewee, however, that there had been 'no deception' and that the Carnegie beneficiaries were aware that they had received funding from Carnegie.

3.B.6 Conclusion

As suggested by an interviewee, UCT appears to have initiated three models for promoting equity and transformation during the period of funding by Carnegie Corporation. She listed them as follows: the first was the appointment of 18 young academics in the first cycle of funding. The second was the use of 'wider grants' where UCT provided additional funding so that the emphasis given to black and women scholars in the first cycle of funding was not so apparent. The third was the introduction of PERC with its Africa focus. To these three, the models and approaches employed in Khuluma and ADAPT workshops should be added.

This section of the report has identified the key elements of the models envisaged, highlighting the shifts and the reasons given for these. The difficulties associated with an approach that foregrounded equity appointees led to a new approach that foregrounded research, a key scholarly activity. In addition to the support provided for emerging researchers, the second cycle of funding foregrounded the university's Afropolitan thrust and transformation of more traditional approaches to knowledge production.

Chapter 4 of this report considers the impact of the various activities mentioned here.



3.C THE UNIVERSITY OF THE WITWATERSRAND (WITS)

At the University of the Witwatersrand, as at UCT, there were two cycles of funding, the first from 2005 to 2007/2008 and the second from 2009 to 2011/2012. The first grant was for USD 2 000 000 and the second for USD 2 300 000.

3.C.1 The first cycle of funding at Wits – equity, institutional culture and broader civil society

The first grant submission speaks to the complexity of the transformation challenges in higher education institutions in general in South Africa, and then lists the university's own transformation goals as addressing the following areas:

- The inequitable distribution of access and opportunity for students and staff along axes of race, gender, class and location;
- The mismatch between higher education's output and the needs of a modernising economy, including discrimination practices that have limited the access of black and women staff to fields such as science, engineering and technology and commerce;
- Teaching and research that are inadequately contextualised; and
- The role that universities can play in constructing a critical civil society with a culture of tolerance, public debate and an accommodation of diversity.

The first two areas above address the issue of equity, while the third may be likened to UKZN and UCT's interests in generating knowledge in and for Africa. The fourth area focuses on the role of universities in broader society – not just in terms of the economy and the world of work, but also in terms of developing engaged citizens in a diverse context.

The submission goes on to list a specific set of interventions to address the imbalances in staff demography, particularly related to strengthening the research training of the next generation of academics, and issues related to institutional culture. It acknowledges that there are a number of reasons for the university's failure to make rapid progress towards a representative staff demography, one of the most pertinent being that 'the institutional culture at Wits is felt by many black people and women to be alienating and unwelcoming' (Wits's Proposal for Carnegie Corporation 2004, pages 5–6).

The lower percentage of women in research units than the university average for academic staff at an equivalent level was also highlighted in this submission. The particular challenge of gender equity was given particular attention.

In terms of addressing equity issues, two different target audiences were identified: existing staff and new staff. The focus, however, was on the former, as the 'natural' attrition rates would decrease with the increase in retirement age. Previous staff surveys had also alerted Wits's management to issues around retention.

The following opportunities were offered in order to promote the research dimensions of existing staff:

1. Large research grants were offered to promising black and/or women academic staff. The submission made reference to five awards per year.
2. 'Sandwich programmes' to provide staff pursuing doctoral studies with the opportunity to spend up to a full year out of the country hosted by another institution (three staff per year). Guaranteed employment of the scholars was provided upon their return to Wits.
3. Short time-off mini-sabbaticals of three to six months for black and women staff in order to complete a specific research project, including PhD studies (five staff per year).
4. In terms of new staff, bridging funding for 12 months was proposed to recruit established researchers from within and outside South Africa. This 'senior researcher' grant would cover both one year's

salary and an equipment package for one new staff member each year. Permanent appointments at associate professor level or higher were to be considered. It was noted by the reviewers that this last area was dropped from the grant activities early during implementation.

Together, these programmes were aimed at developing the next generation of academics at Wits. They built on Wits's prior experience with and lessons learnt from similar programmes that focused on the recruitment of black and women staff (e.g. the Academic Equal Opportunity Fund, the Vice-Chancellor's Discretionary Equity Fund, and the Growing Our Own Timber Programme, as well as experience with Thuthuka, a NRF initiative, and the WonderWoman Programme).

The grant proposed that the opportunities above would be focused on, but not exclusively on the nine Strategic Research Thrusts that were core to the University Policy as well as designated Centres of Excellence with which the university was associated. It was suggested that these focus areas would provide a setting that would assist in unlocking the nexus of factors that constitute barriers to the advancement and retention of young academics.

This document also drew on the view that the establishment of a research culture needed a multidimensional strategy aimed at all the 'stages' of the life of a researcher – from postgraduate student to established senior researcher.

The first grant proposal also listed four programmes that would address institutional culture. These were:

1. Programme for Equity Scholars in Residence. It was anticipated that one scholar per quarter would be invited to start debates and stimulate dialogue on campus regarding culture, race, gender and identity. Scholars would be drawn from academia, government, the private sector, non-governmental organisations (NGOs), entertainment and the arts, with the main criteria being a willingness to engage with the university community in a focused programme of lectures and public forums.
2. Programme for Social Justice Studies. Three small annual research

grants would be awarded each year to encourage multidisciplinary scholarship with a focus on gender, race and discrimination.

3. Programme for Student-centred Equity Experience. This programme aimed to encourage dialogue among students about equity, race and gender, as well as encourage community outreach projects and the breaking down of barriers between students and faculty. Activities listed in the grant submission included weekly round-table discussions, community field trips, monthly social events, and faculty and student leadership training.
4. The establishment of a Resource Centre on Transformation and Diversity.

Wits's grant submission articulates the interdependence between the areas of equity and transformation, i.e. the changes in staff demographics and the changes in institutional culture: 'As more black and/or women academics achieve academic excellence and reach their potential as outstanding scholars, the institutional culture will change. As the institutional culture changes, so will more black people and women become able to function at their full potential' (November 2004, page 17). As such, it attempts to develop coherence between the various different programmes and their activities.

In addition, external and internal monitoring and evaluation activities were included in the plans.

As noted by an interviewee from ERA, the Wits proposal was diverse and innovative and included more role players than the other two universities included in this review. While this diversity provided opportunities for embedding transformation broadly, launching and establishing the various programmes required good project leadership and management. As will be seen in chapter 4, initial difficulties experienced here delayed implementation in the first cycle of funding.

3.C.2 The second cycle of funding at Wits – continuation of the same elements as in the first cycle of funding

The two-pronged approach used in the first cycle of funding was maintained in the second cycle, with the number of activities somewhat reduced.

In terms of the first goal related to equity, the following activities were planned:

1. Continuation of the large research grants, time-off grants and sandwich grants initiated in the first cycle of funding.
2. Development of workshops to enhance research capacity.

As can be seen, the attraction of new staff (existing researchers) through the senior researchers' salary and equipment package included in the first grant submission was not carried forward into the second grant.

In terms of the second goal related to institutional and societal transformation, the following activities were planned:

3. Student engagement in transformation – plays and photographs. The grant proposal states that it would be impossible to address deep, lasting or systemic changes in the institutional culture of Wits without working directly with students.
4. Appointment of resident equity scholars. This provided for the continuation of activities from the first cycle of funding.
5. A climate intervention strategy targeted at senior- and middle-level management and at African women academics.

As will be seen in chapter 4, not all these areas received the same degree of attention or enjoyed the same levels of success. Once again, external and internal monitoring and evaluation activities were planned.

3.C.3 Location and management of the programmes at Wits

The first grant submission indicated that the Project Leader would be the Director of Transformation and Employment Equity, while the daily management of the programmes would be the responsibility of the Equity Development Unit (EDU), located in the Centre for Learning, Teaching and Development (CLTD). This document also indicated that an additional one-and-a-half posts would be provided for the EDU for this work. Other units that would play key roles were the Research Office, Student Affairs and the Office of the DVC: Academic.

During interviews, the reviewers learnt of the roles of the Transformation Steering Committee and the Institutional Culture Committee responsible for overseeing the transformation programme. The latter, a subcommittee of the Institutional Forum reporting directly to Council, assisted in shaping and implementing these programmes.

The decentralised model of project management in the first few years was commented on in an early ERA Report (July 2007). It reads: 'The current decentralised model of managing the Carnegie project requires a large amount of coordination of the project by the project manager. There is little evidence of this coordination or interaction in the data supplied to ERA' (page 45).

These difficulties were increased by the rapid turnover of staff since the inception of the programme. The July 2007 ERA Report states that 'there have never been structured handovers from one manager to another and every time a new manager has taken up office, programme implementation seems to stagnate while the new manager and staff catch up' (page 44).

New developments in the second cycle of funding changed this picture, with the entire set of programmes falling under the DVC: Research. In addition, the restructuring of project management functions under the expanded Transformation Office with a Carnegie Project Manager provided for increased centrality and stability.

3.D MONITORING AND EVALUATION APPROACHES AND ACTIVITIES IN THE THREE UNIVERSITIES

3.D.1 The Evaluation and Research Agency (ERA)

While the ERA had been part of Carnegie Corporation's initiative in equity and transformation from a very early stage, it had not been involved in conceptualising the brief or in developing the universities' responses to this. Neither had the ERA been involved in making decisions about the selection of universities.

The ERA's brief was to engage closely with the university teams so as to assist them in developing clarity about what they needed to achieve, by developing logic models of the programmes. While these models would assist in planning activities and objectives, they may have been perceived as providing for rigidity during implementation. In addition, reporting mechanism based on logic models may sometimes be seen as encouraging compliance as opposed to accountability. Nevertheless, Carnegie Corporation and the ERA staff hoped that the collaborative approach to monitoring and evaluation would assist in building evaluation capacity within the university teams.

In practice, this meant that the ERA staff members met the university teams once a quarter to discuss plans and developments and the logic model itself. It was reported that academics had 'resisted' the approach introduced by the ERA facilitators: many had found the logic model unfamiliar and so 'alienating'. In addition, it was reported that the degree of detail required by this approach was too 'rigorous'. A project manager at one of the universities explained that academics had felt 'tremendously offended by this technocratic way of doing things'. Another project manager at another university reported that, while the logic model was 'useful' and could be applied 'flexibly', academics had felt the model had been 'imposed' on them and the facilitators had been too 'persistent' in their approach.

As a result of these tensions, the relationship between the ERA staff and the universities deteriorated, becoming less collegial in some instances. The ERA did not continue in its role as external evaluator beyond the first three years, but assisted in the transition in evaluation activities between the first and second funding cycles.

3.D.2 Institutional-level monitoring and evaluation

In addition to the work undertaken with the ERA, all three universities introduced internal monitoring and evaluation activities in regard to certain programmes implemented in the first cycle of funding. These were expanded in the second cycle of funding.

UKZN

In the first three years of funding, UKZN used existing staff in the Quality Promotion Unit (QPU) to monitor and evaluate the Carnegie initiative. Although the QPU worked well with the Equity Office, limited staff capacity led to delays in the production and collation of data.

Later, the monitoring, evaluation and reporting functions were centralised with the Executive Director of Human Relations and his administrative assistant. College coordinators provided this office with the data on LEAP lecturers' progress.

UCT

While some areas of the Carnegie initiatives were carefully monitored in the first cycle of funding (e.g. the ERP), it was not until the second cycle of funding that a more rigorous system of monitoring and evaluation was developed.

The ERA's July 2007 Report records that 'there is no strategy in place to start analysing data at a central point in the grant, thereby making it difficult for the institution to talk about success of the programme as a whole. UCT should be encouraged to transform its raw data into useful reports or summary data that will inform its transformation programme' (page 11).

The shifts in the grant activities in the second cycle of funding also brought shifts in responsibilities related to project management and monitoring and evaluation. Lessons learnt in the first cycle were effected in the second cycle, with more rigorous records kept and more comprehensive reports written.

Wits

As with the other two universities, it took some time before Wits was able to set up a comprehensive monitoring and evaluation programme. The initial difficulties were raised in one of the ERA's first reports: 'The ERA team once more raise the issue of the capacity of this unit to manage the Carnegie project (with reference to the ever decreasing number of people in the unit, frequent staff turn-over and positions still to be filled)' (ERA Report, July 2007, page 29).

It is possible that the extent of the work required for projects of this nature to succeed may have been underestimated. In addition to the initial work of advocacy, advertising, selection and induction of recipients, the projects required ongoing attention to issues related to communication and liaison, logistics, and monitoring and evaluation.

In the second cycle of funding, the project team was expanded, with an additional staff member dedicated to the internal evaluation of all the programmes. The Transformation Office was described as the 'anchor' for

the Carnegie initiatives in the second cycle and the fact that the Project Manager was a permanent appointment was seen as significant to its success. During the last three years of funding, the documentation related to Carnegie-funded projects grew from one housed in 'a cupboard' to many shelves in a well-organised resource centre. Digitisation of some of these records was being discussed at the time of the review.

Wits also commissioned an external evaluator to conduct a summative evaluation of the entire research component of the Carnegie grant from its inception in 2005 to its 2012 conclusion. Excerpts from the evaluation report are included in the following chapter of this report.

The impact of the institutional culture projects was not measured or evaluated. Wits staff explained that the approach was to implement these projects as planned and to report to the Oversight Committee constituted for this purpose. This committee became institutionalised in 2009 and its mandate was extended to include all institutional culture activities within the university.

OUTPUTS AND OUTCOMES OF CARNEGIE CORPORATION GRANTS



INTRODUCTION

This chapter of the report summarises key findings of the review of the initiatives in equity and transformation at the three universities, the University of Cape Town (UCT), the University of KwaZulu-Natal (UKZN) and the University of the Witwatersrand (Wits). In particular, attention is given to a description of the outputs and outcomes related to the Carnegie-funded projects described in the previous chapter of this report, assessing these against the goals of the initiative and their contribution to the broader equity and transformation goals of the universities. In addition, the shifts and/or gaps between original conceptualisation and later, actual implementation are identified.



4.A THE UNIVERSITY OF KWAZULU-NATAL (UKZN)

As indicated in chapter 3 of this report which outlined the institutional plans as documented in the grant submission, although UKZN referred to two elements of transformation (one for demographic change and the other for cultural change), the emphasis in the activities listed in the

grant submission and those actually implemented was on Leadership and Equity Advancement Programme (LEAP) lecturer appointments and support – i.e. achieving equity in terms of race and gender.

The interview conducted with the Vice-Chancellor highlighted a number of activities not included in the grant submission to Carnegie and more directly related to cultural change – particularly the development of new policies for the newly merged institution. While these activities were not formally evaluated in this review, their effects are reported where these were described as relevant by interviewees.

4.A.1 Gaps between programme conceptualisation and implementation at UKZN

The data collected in interviews indicated that a number of the activities listed in the grant submission were not implemented as planned. These were:

- **The LEAP Academy.** While one cycle of the LEAP Academy was completed over several months (2006/2007) rather than within the concentrated two-week period initially envisaged, and also evaluated by the Evaluation and Research Agency (ERA) to have had benefits for participants, the Vice-Chancellor explained that there had not been sufficient interest within the university to continue this aspect of the proposal. Another interviewee at the university made a strong statement that the leadership required for this particular project had

been allowed to 'wither' after some of the original staff members who had conceptualised the work and written the grant submission left. The importance of champions that can drive projects is highlighted in the final section of this report.

- **Dean shadowing.** The Vice-Chancellor explained that as faculty deans were replaced by school deans, a different form of shadowing had been required.

It should be noted that, together, the two elements above would have contributed to the Leadership Capacity-building Scheme, i.e. directed training for higher education leaders and managers. Strong arguments for such training were advanced in the original grant submission – 'The leadership and management functions of the modern higher education institution demand particular knowledge and skills that cannot be developed fully through the process of osmosis by which past and current generations of university administrators have had little choice but to learn their jobs.'

- **Support for professional support staff.** Only one professional support staff member was given Carnegie-funded support – as opposed to the nine mentioned in the original submission (also see the ERA's second annual report 2007, page 25). Interview data suggested that there had not been broad awareness of these opportunities. Once again, it would appear that high staff turnover meant that the original champions were not available to ensure implementation as planned. Despite this aspect of the original submission having stalled, interview data also suggests that the need for such support remains – although some of this support might be better sought via the Sector Education and Training Authorities (SETAs).
- **The LEAP Resource Centre.**

Other changes to the initial plan submitted related to the appointment of four Staff Development Consultants; instead, College LEAP Coordinators were appointed to work in conjunction with supervisors and mentors and the LEAP lecturers themselves. The LEAP College Coordinators were paid a 'responsibility allowance'.

In an interview, the external evaluator from the ERA commented that some of the implementation and coordination problems experienced at UKZN might have been mitigated had there been an overall LEAP Coordinator. The lack of a 'continuous programme coordinator' had been raised in early ERA reports (see ERA's second annual report, page 24) but was not taken up by the institution; instead, the Colleges continued to work in relative isolation, with some of the more centralised activities, including administration and collation of reports, frequently being neglected. A College Coordinator's view was that only about one-third of the planned activities had been implemented because the programme had lacked 'someone with enough time and energy' to drive it. It was also suggested that had the LEAP Academy continued as planned, this structure could have played a coordination role.

The changes in staff during the first three years of implementation at UKZN also led to shifts in responsibility for monitoring and evaluation. One interviewee highlighted the need for a better tracking system during this period and additional ways in which to measure (and so encourage) greater levels of accountability from both students and lecturers.

A senior executive staff member suggested that some of the activities had not been implemented because attention had been focused on issues associated with the merger and that these had taken precedence during this time.

While the curtailment or termination of the activities originally included in the grant submission may not have been a deliberate strategy, the channelling of additional funding to support demographic change via the appointment of additional LEAP lecturers has had benefits for both individual recipients and the institutional equity profile.

In summary, the Carnegie funding for initiatives in equity and transformation was primarily used for salaries for the LEAP lecturers and for what became known in the second grant submission as the Development Fund.

4.A.2 Changes in the demographic profile of staff at UKZN

UKZN published the following statistics under the subheading, 'There's nothing average about our transformation averages' in UKZNDABA (vol 9, no 10, October 2012), the monthly campus newspaper:

- In terms of the student profile, in 2012, 64% of students were African; and
- In terms of gender, in 2011, 62% of graduates were women.

The structural shifts in academic leadership between 2004 and 2012 were published as follows:

- 33% of academic leaders in 2011 were women compared with 0% in 2004; and
- 67% of academic leaders in 2011 were black compared with 38% in 2004.

Additional statistics also published by the same source point to a research-active staff and good-quality programmes and graduates. Examples here include:

- In 2011, 81.3% of UKZN staff were research-active compared with 42% in 2004;
- There was a 61% increase in research productivity since 2004 at UKZN compared with the 46% sector average;
- 48% of UKZN's permanent academic staff hold a PhD as a minimum qualification;
- 84% of UKZN graduates are employed within six months of graduation; and
- The percentages of professors, associate professors, senior lecturers, lecturers and junior lecturers with doctorates at UKZN are higher than those in the national system.³¹

In addition, the article stated that UKZN was ranked in the top 3% of the world's universities by the Academic Ranking of World Universities, the QS World University Rankings, and The Times Higher Education Ranking.

The contribution made to the changes noted above by the Carnegie-funded projects has been captured in the 2012 Annual Interim Report submitted by the university to Carnegie Corporation. By the end of 2012, ten LEAP lecturers had been mainstreamed, four were still registered and due to complete their PhDs by the end of 2013 and two had resigned –

one for family reasons and the other to take up an opportunity in the private sector. In addition, three LEAP lecturers' contracts had been extended from college funds, as they had not made the necessary progress to be mainstreamed as planned. In all, 19 Carnegie-funded LEAP lecturers were accounted for.

In the words of the Executive Director: Human Resources, Carnegie Corporation's funding of the LEAP lectureships had played 'a major role' in contributing to the shifts in demographics described above: he said that no institution would have been able to do this without the funding received.

4.A.3 LEAP lecturer appointees

Despite the early delays and difficulties mentioned by the ERA in its Summative Evaluation Report (May 2008), the LEAP Lectureship Scheme at UKZN has proved an important mechanism in developing a pipeline of young black and women scholars at this university. The original priority areas were expanded and certain criteria relaxed in order to improve the pool of potential applicants: candidates in areas such as Education, Religion and Theology, and Environmental Sciences were also included. While some applicants turned down the award as they had been concerned about these being contract posts, the majority viewed this as an opportunity to gain access to longer-term employment.

Several LEAP appointees interviewed confirmed that they would not be in their current positions in the university had it not been for the LEAP programme. While some may have registered for PhD studies, they would not have gained the valuable teaching experience or the experience of other academic work – from that of curriculum development to setting and assessing tests and examinations, from supervision of honours and masters students to conference attendance, and from engagement in community projects to fulfilling a range of administrative duties.

One of the key benefits of the programme as reported by many interviewees was 'getting a salary while studying'. One interviewee stated that having a salary for 12 months of the year 'took some of the pressure off' her and had enabled her to focus on her studies. Another spoke of the 'independence' and 'stability' gained from having a 'consistent' income. A third recalled how he had been 'consumed with financial worries' for

31 Note: The article did not elaborate on the origins of staff, researchers and graduates or provide definitions of terms such as 'research-active'.

some years before his appointment as a LEAP lecturer when he had been teaching part-time across three campuses.

4.A.4 Support from College Coordinators, supervisors and mentors

In addition to the major benefit of receiving a salary, the support provided by the College Coordinators, research supervisors and mentors was extremely important. (Note: While these roles may have been fulfilled by three separate people in some cases, in other instances a College Coordinator was also a supervisor. In several cases, a supervisor doubled as a mentor.)

The information and advice requested and received covered a variety of issues – from how to prepare for and deliver lectures to where to print notes. One interviewee said that her College Coordinator and supervisor had been ‘like a father’ to her – travelling between two campuses to check on her progress, mediating on her behalf when issues arose, and ‘making it such a big deal [when] you got published – [that] you wanted to publish more!’

While some LEAP appointees reported difficulties with the supervisory relationship and/or within the supervisory team (e.g. insufficient contact and communication, lack of continuity when the Coordinator or supervisor changed), most of these issues had been addressed and resolved. In the one instance where these difficulties had not been resolved and had led to considerable stress for the candidate, the study (in the area of medical informatics) straddled two departments in two colleges, highlighting difficulties with interdisciplinary research. The interview data suggests that supervision and mentoring responsibilities for this particularly LEAP lecturer’s PhD may not have been clearly assigned. In addition, his teaching load was far above 50% of the normal workload – at one point he was teaching six modules in one semester while also supervising postgraduate students. Despite these commitments, this LEAP lecturer reported that he had published five papers in three years.

4.A.5 Induction into academic communities

Almost all the LEAP appointees interviewed for this review process had completed undergraduate, honours and masters qualifications at UKZN.

Their responses to interview questions suggested that, during this earlier period, they had become well ‘acclimatised’ to the university. One even described herself as ‘a child of the merger’! While a few of the interviewees mentioned that they had found the transition from school to university challenging (e.g. in using academic language), they reported experiencing very few difficulties at the PhD level.

Almost all the interviewees reported good collegial relationships within their departments and reported receiving support from many of their colleagues. Although they themselves viewed the LEAP Lectureship Scheme as a training programme, they felt that they had been welcomed and treated like a permanent staff member rather than just ‘a trainee lecturer’. This approach served to boost their confidence.

None of the interviewees had attended a staff induction programme with input on teaching and learning; however, some reported having attended useful courses on teaching and learning at later stages. Others expressed the wish to attend additional courses on more innovative ways of teaching.

Conference attendance – both local and international – was widely reported by interviewees. The latter, in particular, was reported to have given some of the interviewees a very useful form of ‘graduate experience’ at other universities – something they reported to have been lacking at UKZN. As one interviewee said, ‘Here there is only you and your supervisor’. This interviewee would have liked the opportunity to attend courses and to have been able to work in a dedicated ‘space where graduates can be together without undergraduates’.

4.A.6 The International Mentorship Scheme

Very few of the interviewees had made use of the International Mentorship Scheme. This seemed to be of particular value when the fellows needed to gain experience on particular kinds of equipment not available in South Africa. In essence, this experience was technical research training in laboratories – either private facilities or in universities.

One of the two candidates interviewed who had undertaken this training had been away for an extremely short period – just a week and a half. The other had been to the United Kingdom twice – once for four weeks and then again a second time for two months.

The adequacy of the amounts that could be accessed through the International Mentorship Scheme for LEAP appointees was highlighted in the ERA's Summative Evaluation Report (May 2008, page 34). The authors of the report wrote: 'If all 17 fellows were to request for this grant, each would be entitled to approximately R44 000. Unless heavily subsidised by the University of KwaZulu-Natal, the amount appears inadequate to cover the costs of travel to and from an international host; subsistence for a period any longer than a week; and support for research activities.'

One of the interviewees explained that a key difficulty in taking up the international mentorship opportunity was the sense that he would be leaving his colleagues 'in the lurch' if he was away for an extended period of time.

4.A.7 Publications

Almost every PhD candidate interviewed was able to point to publications in journals and, in some cases, to chapters in books. One spoke of the awareness of the importance of publications created among the LEAP lecturers: publication was viewed as an important condition of the funding scheme and frequent emails had been sent about various opportunities to publish their research.

While the number of publications varied from individual to individual, a College Coordinator reported that, overall, the list of publications had been 'impressive'. In some cases, these had leveraged additional funding from the National Research Foundation (NRF).

4.A.8 Difficulties experienced and gaps in provision

Lack of communication with other Carnegie appointees

Although LEAP appointees received support from College Coordinators, their supervisors and mentors, and acknowledged the importance of the networks they had joined, many agreed that opportunities to work with their peers – other PhD students at UKZN – would also have been useful. Some interviewees spoke of the loneliness of their research journeys and of the need to share their experience more broadly with others in the same position. One spoke of the difficulties she had encountered when trying to juggle her family commitments with her academic responsibilities

and of her need to speak to someone who would have helped her 'to put it all into perspective'.

Working in relative isolation also meant that individual colleges used different approaches without formally sharing the merits and challenges of these with one another. For example, while some colleges developed clear guidelines around workloads, others did not. In addition, it was not always clear to some interviewees what a 50% workload would look like in each department. As a result, some LEAP lecturers had completed far more than a 50% lecture load (e.g. one taught five days a week on two campuses) and felt that they had been used to build the capacity of their departments. In some cases, this had resulted in challenges in completing the PhD studies.

Balancing research and teaching commitments

The issue of ensuring a good balance between teaching and research was raised by almost all LEAP appointees as the key challenge they had faced. Preparation of material for the first time was found to be more time-consuming than expected. Given that many of these scholars were still young (some no more than a couple of years older than their students, and one a few years younger than some of her students), they had felt they had needed to establish their credibility in classes and gain the respect of their students.

One interviewee explained her experience along the following lines: 'I had to work around a dual role – my research and the teaching. Even though this was a part-time teaching load, I put in long hours, working at home long into the night with little social life.'

Another said: 'I went from being a student to a lecturer in a short space of time. This enabled me to think like a student and to bridge gaps between myself and them. But as a young woman student I need to gain their respect first.'

Mentors and colleagues appear to have been extremely helpful to LEAP appointees with their learning and teaching responsibilities. In some cases, interviewees reported that they would not have coped without this support.

In some cases, interviewees reported that their departments had assisted by allocating all their teaching to one semester so that they could focus on their research relatively undisturbed for the balance of the year.

A supervisor commented that learning how to balance different responsibilities and to manage one's time appropriately as an academic is important. He suggested that some LEAP lecturers had spent too much of their time 'attending workshops and conferences' rather than 'focusing on their studies'.

Despite the difficulties associated with learning to balance research and teaching commitments, the interviewees' own determination to succeed through developing strategies for managing their own lives was noted again and again. The degree of enthusiasm and energy among this young cohort of scholars was significant.

Delays in the purchase of equipment

One of the PhD candidates who had had her lectureship extended by the university because of her slow progress spoke of the difficulties she had encountered. Not only was her area of study 'complex' and a relatively new area in South Africa, but special equipment had had to be ordered for her experiments. The delays associated with this and the time it had taken to assemble the equipment had impacted her own progress with her work.

Interdisciplinary difficulties

The difficulties experienced by a LEAP appointee whose PhD project spanned two departments in two colleges has already been mentioned. Some of these difficulties suggested a lack of communication and collaboration between the departments, e.g. a delay in responses to drafts of the proposal, an overloaded timetable, etc.

4.A.9 Developing the pipeline of PhD candidates and academic staff at UKZN

Funding opportunities given to younger scholars – those in their third year of undergraduate study, and at honours and masters levels – were an element of the university's strategy to ensure a pipeline of PhD candidates and, potentially, future academic staff. This was seen as an important

element by the students themselves as well as their supervisors. Early identification of students with potential together with financial and other support was argued to be important in the short to medium term, especially in those academic disciplines that did not yet enjoy equity at senior lectureship level.

For this review, four third-year undergraduate students, four honours students and one masters student were interviewed. These candidates had not followed the same selection process as the LEAP lecturers; they reported that they had not actually applied for funding but had been nominated by academic staff and then notified of the awards. A number had already received merit scholarships in their first and second years at university.

The data also suggest that a number of honours and masters students had registered for postgraduate study because they had not secured other employment and/or were uncertain what they wanted to do longer-term.

Given the lack of a more rigorous selection process, these students' interests in a career in academia had not been established. While some indicated that they were interested in the idea of working as a lecturer or researcher in a university, generally, stronger interest was expressed in working in a range of other areas, including forensic and research laboratories, and the mining and the construction sector. One interviewee explained that she would be following her supervisor who would be moving to UCT in the next year.

Interview data revealed that the students were learning a lot about the research process and its requirements – as one said, 'there is a lot of new learning' and it is a 'big jump' from undergraduate studies to the honours level. She reported that she was learning how to conduct 'research in a group', collect data through the use of a questionnaire and to write a report – 'getting to grips with the writing style is a completely new thing'. Understanding the role of the supervisor in the research process was another new area of learning for many of these interviewees.

As can be seen in the above sections, the LEAP Lectureship Scheme has been successful in providing access to academia for the individual recipients of the scheme, and has also made a contribution to the changes in equity statistics as reported by the university. UKZN's approach is to

develop a pipeline of students likely to go on to PhD studies and, possibly, be available for recruitment as lecturers. The issue of staff retention, however, also needs to be considered.

4.A.10 Retention of LEAP appointees and other staff at UKZN

Retention was identified as an important issue in the ERA's Summative Evaluation Report (May 2008). This report highlights differences in remuneration between the university and the corporate sector, with 'good salary packages' offered by the latter being an attractive incentive.

Interviews conducted for this review process confirmed that a number of LEAP lecturers are looking at other sectors for employment; however, the vast majority of these lecturers had been retained at the end of 2012. One said that she intended to stay on as an academic at UKZN because she 'enjoys the environment' and has developed 'strong academic interests and abilities'. She pointed out that the Carnegie-funded experience had provided her with the opportunity to gain the necessary experience and to make her decision about her future career with confidence. Another interviewee said that the LEAP lectureship had enabled him to realise 'his dream'. He explained that the academic world 'excites' him and provides him with a context where he is 'constantly learning'. For this interviewee, 'teaching and research make a difference to people' – something he hoped to do himself.

Two of the LEAP interviewees who had already graduated and been mainstreamed provided a much less positive picture of their experience as staff members. One was a black man and the other a white woman. Both were disillusioned with the university and were considering other employment options. They were at pains to point out that 'this was not a race issue nor a gender issue'; instead, they reported over-bureaucratisation, poor decision-making processes and a lack of transformation in terms of the organisational culture as key reasons for their unhappiness. One commented that 'people are afraid to make decisions – they just refer you to the policy'.

Two further interviewees who had also graduated and been mainstreamed were more positive in their assessments of their experiences. Although one had been offered twice the salary by a private company, she had opted to stay on at UKZN – at least, in the short term – because she felt

she had been 'groomed' for the academic world and now 'wanted to give back'. Interestingly, this interviewee also mentioned the possibility of moving to another university – but this was because she felt that she might always be considered the 'baby' in her department because of all the support she had received during her time as a LEAP lecturer.

The second of these interviewees reported being 'excited about the future' and was preparing to apply for rating and for promotion. She did have a number of complaints, however: these related to the large classes which make practicals 'a nightmare' and to the increased teaching loads when academic colleagues left the university without being replaced.

While the Vice-Chancellor expressed the view that if this university loses staff to another university, this is not really a loss, since staff are still being retained *in the sector*, the extent of staff losses over the past few years and the reasons for staff resignations are cause for concern. A senior member of staff explained that, although UKZN is 'recruiting 100 people each year', it is also 'losing 100 people each year'. In particular, he said that the number of women academics who were resigning was a concern. He indicated that more attention will be given to this issue and to a careful analysis of exit interviews.

The reviewers noted additional concerns from the broader stakeholder community about the loss of staff at UKZN over the past three years and suggestions that this has been the result of an institutional climate that has not embraced diversity. In particular, concerns about the exodus of senior, highly qualified and productive white staff were raised. This issue, however, goes beyond the remit of the current review and was not tested.

In any event, the importance of giving attention to better retention strategies for younger academics was highlighted by the Executive Director: Human Resources who was of the view that once lecturers become professors, they stay on at the university. He listed a number of possible ways of compensating for lower salaries, including bonuses for sustained performance and a more conducive environment. In terms of the latter, the Executive Director: Human Resources explained that 'people's sensitivities should not be underestimated' and that even with the changes in policy and the development of the Transformation Charter at this university it remained a 'slow-changing organisation'.

4.A.11 Institutional transformation and organisational culture

Most LEAP appointees interviewed confirmed the view expressed by senior executive staff interviewees that this is 'a transformed university' – at least in terms of student demographics. Reports of discrimination on the basis of race or gender were limited. Given that most of the LEAP appointees had completed their undergraduate studies at UKZN, they had become 'acclimatised' to the organisational culture. In addition, most were at the point where they were focused on their PhD studies rather than broader institutional issues.

One interviewee noted that, in her department (Finance), there have been changes in the equity profile of both staff and students over the past five years. The number of women staff has increased to approximately 50%. The interviewee said that she believed that the departmental culture had been positively influenced by the inclusion of young women, in that women students now have role models and see finance as a more attractive area of study. The number of black staff has also increased in this department. It was reported that many of the latter are from Zimbabwe because of the difficulties of attracting black South African finance academics for the reasons already cited – better remuneration in the private sector.

A supervisor cautioned against assessing transformation and the development of a new organisational culture based only on the changed demographic statistics provided by the institution (and cited in this report). He explained that, although the ratio of students and staff suggested transformation had been achieved, there was still a lack of 'integration' amongst students. He also highlighted the academic differences between different racial groupings at this university and the need to continue to provide additional academic support for students who came from historically disadvantaged schools.

4.A.12 Conclusion

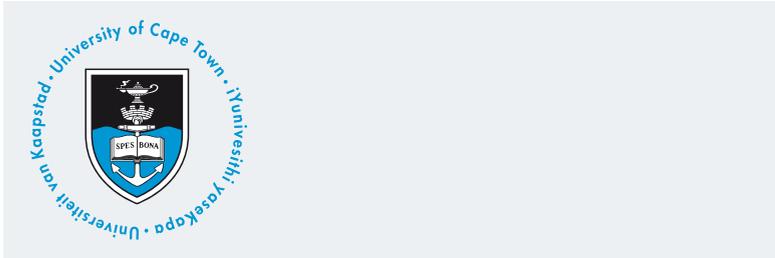
The review data clearly indicates that the Carnegie grant supported one of the elements of UKZN's approach to equity and transformation – that of equity. The grant provided increased opportunities for current (and, sometimes, recent graduates) to acquire a taste of academic life while completing a PhD qualification full-time. The LEAP Lectureship Scheme

and what became known as the Development Fund provided important financial support alongside the collegial support of College Coordinators, supervisors and mentors and the wider departmental staff. Interview data revealed that many of these appointees would not have had the opportunity to experience academic life or complete a PhD full-time.

The data indicates that the LEAP appointees viewed and experienced the programme as an accelerated training programme – one that would prepare them for permanent positions as academic staff. This was true even for those who had not been certain that they wanted to pursue this avenue of work at the start of their masters and/or PhD work. Exposure to academic life and the growth of academic research interests appear to have been key to their growing commitment to stay in the academic world.

The Vice-Chancellor of UKZN was of the view that the programme should continue to focus on the LEAP appointees. While the support for these appointees could be extended – e.g., a senior member of the executive suggested that future funds be used for these appointees to attend additional workshops on innovative teaching methods and to engage them in working in communities – the focused nature of the expenditure of the funding appears to have had benefits.

In retrospect, the limited focus on LEAP appointees may have amplified the benefits to the individual scholars rather than influenced the institutional culture at UKZN. As will be seen in the following two sections of this chapter, the Carnegie programmes at UCT and Wits were broader in scope and required more complex implementation at different levels. Such differences in programme design and implementation mean that it is difficult to provide direct comparisons across the three universities.



4.B THE UNIVERSITY OF CAPE TOWN (UCT)

This section of the report considers the outcomes related to the appointments in the first cycle of funding, to research development (with the emphasis on support provided for individuals), to research enhancement and transformation (with the emphasis on the Afropolitan thrust and interdisciplinary research), and, finally, to the climate change interventions, particularly the institutional and cultural transformation workshops, conducted in both cycles of funding.

4.B.1 Appointments in the first cycle of funding

The final UCT report includes data on the appointees in the first cycle of funding. Eighteen appointments were made in 2006/2007. Two-thirds were women and 14 (78%) were black appointees (page 9). The report also records that, initially, all were employed on fixed-term contracts, but these appointments were subsequently made permanent. Only two have resigned and left the university, both for other jobs. Four of the appointees were promoted from lecturer to senior lecturer and two were promoted from senior lecturer to associate professor. One is teaching part-time, having started a family.

This report also highlights the progress and achievements of these appointees, as described in a later subsection in this chapter.

The Carnegie-funded fellows interviewed

Five Carnegie scholars appointed during the first cycle of funding were interviewed during this review process. Two of them were UCT graduates, with the other three having completed their previous qualifications at other universities in South Africa and abroad.

Within this sample, two interviewees were white women, one a South African and the other from England. The third woman was a black South African. The two men interviewed were both black, one from South Africa.

One of the white women interviewed had already completed her PhD at the University of Liverpool prior to taking up a position at UCT as a postdoc for 18 months. Towards the end of this period, she applied for and was then appointed to a permanent post in 2006. This interviewee was quite clear that neither in the advertisement for this post nor in her subsequent interview was she given any information about the Carnegie scholarship. She only discovered that her post was funded by Carnegie after her appointment when her departmental mentor informed her about the professional development programme associated with the post.

The second white woman had qualified at UCT and then spent a short time in a lecturing post at another higher education institution in the province. She understood that the post advertised at UCT for which she applied was 'a teaching position' and reported that she had made it clear in her interview that she was not interested in undertaking research and that she did not want the Carnegie position if it required that she do so.

The third woman in the sample interviewed was appointed in mid-2006. She reported that, as far as she remembered, there had been no mention of Carnegie funding in her appointment letter. One of the black men interviewed reported a similar experience, while the second black man, who had graduated from UCT and already had a position on the staff at the point that he registered for his PhD, reported that he was made aware of the Carnegie funding for his post.

Issues of stigmatisation and departmental tensions

As indicated in chapter 3, the data collected in interviews related to the issues of 'labelling' or stigmatisation and departmental tensions and resentments were found to be ambiguous.

These issues were probed with each of the five Carnegie-funded fellows interviewed for this review. Neither of the two white women interviewed reported any experience of stigma or departmental tensions. One said that that she had had the sense that 'everyone (in the department) had wanted her to succeed'. She also reported that she had never had

'a Carnegie label', while the other commented that she did not know whether her colleagues were even aware of her Carnegie funds.

Unlike these two women, the third woman interviewed reported less support from her department and colleagues. She spoke of her full teaching load and administrative responsibilities. In the first six months after her appointment, she was unable to undertake any work on her PhD study due to this workload. This, together with health difficulties experienced during this period, was reported to have delayed the completion of her PhD. She recalled the difficulties she had faced when she applied for teaching relief. When this was finally granted, she felt that some colleagues saw her as having been given 'preferential treatment'. She described this as having played out in various ways affecting collegial relationships (i.e. 'how people speak to each other', 'the way responsibilities are divided up') and, subsequently, staff motivation.

This interviewee felt that there had been a stigma attached to her appointment from the outset. She recalled that she was made aware that she was 'a Carnegie equity appointee', i.e. that she had been selected for reasons of equity rather than merit. Despite having completed her PhD, having been awarded two research prizes and having been promoted to senior lecturer, this interviewee believes the stigma continued. She cited instances where she felt that she was judged by 'higher yardsticks' than her white colleagues in order to 'prove' her competence.

Despite these comments, this interviewee acknowledged the need to 'link equity to funding', explaining that, without 'a structured and directed effort', the current demographic profiles in certain areas of the university were unlikely to change. Within her own department she had noted 'mixed messages', 'inconsistencies' and a 'lack of transparency' in the way in which appointments and promotions had been handled and the way in which she and her black colleagues had been 'overlooked'. She added that transformation was about changing the 'mindset' of people rather than just the demographics of the institution and that this would 'take a long time'. (Note: the ADAPT workshop for this department had been postponed due to lengthy and complex planning procedures.)

As noted by the ERA interviewee, 'labelling' is a potential issue in every 'special programme' and is 'not specific to the Carnegie grant'. Manage-

ment of this phenomenon is a key responsibility of the project leaders and the executive of the institution.

It was the view of the project manager for the first cycle of funding that the real issue was that of 'tensions at the departmental level' where there was 'victimisation' of some appointees by 'hostile' heads of department who complained about the increased funding opportunities along with reduced teaching loads enjoyed by these appointees.

According to this interviewee, the vast majority of Carnegie appointees felt no stigma, but saw their appointments as a 'fantastic chance' where they were given 'a headstart'. They also understood that they would still be required to 'deliver and produce'. Rather than complaints about stigma, this project manager recalled hearing expressions of 'gratitude'.

At UCT, the decision to shift the emphasis from equity to research was termed by one senior staff member a shift from 'achieving representivity' to a greater focus on 'the knowledge project'. The final report from UCT refers to the shift as important in that it gave greater attention to 'the retention and development opportunities for black and women staff at UCT, including those appointees from the first phase of the project, but widening the scope to include appointees through cognate programmes supported by other foundations, and black and women UCT staff in general' (1 July 2012, page 1).

The UCT final report also highlights the 'profound tension between the need for properly resourced policies of redress and employment equity on the one hand, and the consequences of these policies [that] are identified as their beneficiaries. Without the drive to change [the] staff profile, and without the resources, such as those provided in the first three-year phase of Carnegie funding, the entrenched interests of Apartheid job reservation for white academics only, and particularly white male academics, would simply reproduce themselves' (1 July 2012, page 1).

While the Carnegie funds may have continued to have been channelled through the Emerging Researcher Programme (ERP) to support black and women staff in the second cycle of funding, the focus on equity was backgrounded. As one interviewee said, the decision to do so was a matter of choosing 'the lesser of two evils'. A Carnegie appointee also

commented on the 'dilution' of the emphasis on equity in the second cycle, saying that 'it was no longer obvious how Carnegie contributed in cycle two' and that 'the Research Office does not advertise this'.

The equity route was described as 'a slow process' because posts for academics may not always be available, and as one that requires 'sensitive handling'. It was suggested that a uniform policy on the ways in which Carnegie funds were to have been used would have gone some way in mitigating resentments in departments. Where deans had not been closely involved in the selection processes, they were less likely to have supported the appointees. It was reported that some had had no choice in the matter. In addition, it was suggested that had the Carnegie appointees been more aware of 'how universities work with (a range of different) external funders', the stigma associated with these appointees may have been reduced. These suggestions point to the need for good communication channels between all role players.

4.B.2 Research development across both cycles of funding – ERP, including research development grants

Over the two cycles of funding, considerable financial support was channelled through the ERP for young scholars completing PhD qualifications and/or developing their personal research capacity.

In the first cycle of funding, it was decided that Carnegie appointees would participate in this programme, as it was anticipated that their involvement in an existing programme would reduce any stigma that might have been associated with their appointments. While this approach did not entirely succeed in reducing stigma and departmental tensions, data collected from the Carnegie fellows interviewed for this review suggest considerable benefits of participation in the ERP.

In the second cycle of funding, increased funding was provided through the ERP in the form of research development grants. The UCT final report records that a total of 218 Carnegie research development grants had been awarded between April 2009 and July 2012. Black academics constituted 53% of the grant recipients in 2009, 56% in 2011, and 70% in 2012. Women constituted the majority of the applicants – 64% in 2009, 71% in 2011, and 40% in 2012.

This UCT final report also points to other outputs of these grants: publications, NRF ratings, ad hominem promotions and graduations.

The progress made by Carnegie appointees through assistance from the ERP and the research development grants is also documented in the report: five having obtained their PhDs since their appointment and five having registered for their PhDs. One was in the process of registering at the time that the final report was being written. Another was at the stage of completing her masters degree. (Four had obtained their PhDs prior to their appointment and one had delayed the start of her PhD because of family commitments.)

The Carnegie appointee who reported that research had not been part of what she had expected she would need to do after her appointment at UCT, also reported that she had received 'phenomenal' and 'fantastic' support from the ERP for the work required in the development of her PhD proposal. In addition to one-on-one sessions with a staff member who had done a lot of 'hand-holding' and providing 'real help', she had attended numerous workshops and seminars, including those on library usage, publication and 'away' workshops on writing. In addition, she had found the workshops on time management and sabbaticals useful.

This interviewee explained that she had used her Carnegie funding of R100 000 – described by her as a 'lifesaver' – very carefully. The funds had enabled her to attend an international symposium critical to her PhD study, buy books and transcription equipment, and cover 'day-to-day research expenses'. She anticipated using the balance of the funds for conference attendance and travel costs. In reflecting on the value of this funding, the interviewee compared the effort required with the 'three weeks of form-filling in' required when she applied for an amount of R20 000 from Thuthuka.

Similar sentiments were expressed by the Carnegie scholar who had been expected to complete his PhD within one year and who had used a portion of the funding to buy in teaching assistance. He described the funds as providing a 'buffer' from the teaching load so as to enable him to 'focus' on the completion of his thesis. He also explained that, although the funding received was generous (R250 000), there had been no time limit on expenditure, which allowed him to carry over the balance to a second

year. This enabled him to develop new research plans and proposals and to leverage additional funding for these.

For the Carnegie interviewee who already had a PhD qualification as well as some postdoc experience prior to her appointment, the Carnegie funding and the reduced teaching workload provided the opportunity to write new research-funding proposals. She was able to secure additional funding after the first year or so of her appointment.

According to a senior staff member in the Research Office, one of the ironies of the ERP programme is that, while a lot of support programmes are on offer, there is a limit to the amount of support any one candidate can 'absorb'! This aligned with suggestions by others that the amounts of funding provided for individuals be carefully considered and that, perhaps, less funding be given to more candidates.

The staff in the ERP had initiated monitoring and evaluation activities since its inception prior to the appointment of the ERA to assist with the Carnegie programme. Data collected in interviews suggests that different approaches to monitoring and evaluation had given rise to a degree of 'friction' during the first funding cycle. One UCT staff member explained that it was 'as if the ERP was a social science research project rather than a mentoring programme'. The tensions were exacerbated by what was described as the evaluators' 'dismissive approach' to the programme's established ways of working and reluctance to share 'confidential reports' on the Carnegie appointees. As one ERP interviewee stated, it was the confidentiality of these reports that had provided for the success of the original programme.

The ERA interviewee suggested that some of the issues raised here were simply 'a storm in a teacup', and reflected the perennial difficulties associated with monitoring and evaluating academics and their work.

4.B.3 Research enhancement and transformation – PERC

While the Programme for the Enhancement of Research Capacity (PERC) was initiated only after 2009 during the second cycle of funding, a senior staff member in the Research Office said that it was not too early to begin to assess the impact of this programme. She explained that researchers are 'thinking more and more about' Afropolitan research and

interdisciplinary and transdisciplinary research and qualifications. She pointed to increased awareness of the complexity of research questions as highlighted in presentations made at a Research Indaba held in 2011.

A follow-up survey to this event indicated that, although 'bureaucratic impediments had not yet been resolved', new masters-level programmes with new curricula (not just a combination of existing models) had been developed. Since then, the University Research Committee had also established a task team to develop a set of recommendations as to how 'to grow transdisciplinary research'. This suggests that the funding provided by Carnegie Corporation has been 'instrumental in changing people's thinking about research'.

A similar report was also offered by the Coordinator of PERC: while great strides are being made, structural obstacles such as 'faculty rules', the ongoing struggle for resources, and the lack of 'systemic enablers' continue to inhibit interdisciplinary and multidisciplinary research. In addition, the work of PERC is likely to reach particular groups of academics and not others. For one of the Carnegie appointees who was still at the point of developing the proposal for her PhD, the terms 'Afropolitan' and 'Afropolitan research' were 'just words' to her. She added that, in her department, there was 'a deeply held belief that European science' is the hallmark of rationality. She thought that this continued to be the case quite broadly at UCT.

UCT's final report on PERC is divided into two main sections: knowledge grants and mid-career support. In terms of the former, a total of 14 grants were made to research teams in all six faculties. These resulted in increased links with researchers in several African countries and elsewhere (1 July 2012, pages 10–11). Particular attention is given in this report to the work undertaken by Dr Lesley Green, the PERC Associate whose work promoted the production of new knowledge through interdisciplinary and multidisciplinary research with postgraduate students.

A book consisting of 20 chapters and an introduction was under review at the time that the final report was being written. This included chapters by six PERC grantholders reporting on the findings of their own projects as well as scholars based in or originating from Africa.

Much of the work required to accomplish these outcomes was described by a member of the Research Office as 'invisible' and, therefore, often

'underestimated'. Planning meetings and workshops were a case in point. In addition, much of the work required seminars, symposiums and reading groups for sharing knowledge and practice. For example, in 2011, ten seminars were held, five of which raised Afropolitan research issues. A number of PERC visitors, i.e. international intellectuals, were invited to participate in these discussions.

In terms of mid-career support, PERC provides one-on-one consultations as well as seminars and workshops. Many of these sessions offer support to individual academics seeking an NRF rating. UCT's final report to Carnegie Corporation states that the number of submissions grew substantially after the appointment of the PERC Coordinator – adding that the numbers were not only the highest recorded at UCT, but also the highest ever recorded by the NRF (2012, page 14).

Significantly, the posts that were originally funded by Carnegie in both the ERP and PERC have been mainstreamed, in that UCT provides the funding for these positions.

4.B.4 Collaboration with Africa and the Global South – signature themes and work with IAPO

UCT's final report 2012 to Carnegie Corporation refers to the launch of the signature theme African Climate and Development Initiative (ACDI) in 2009. This initiative aims to establish UCT as the leading centre in Africa focused on climate change and its effect on the continent. From six proposals submitted, two were selected. Both included a number of disciplines stretching across several faculties. Other core activities of the ACDI are a series of public seminars, and scholarships for the ACDI Masters in Climate Change and Sustainable Development.

The project also aims to evaluate whether a facilitated process of co-designing research projects in partnership with the users of research can overcome past difficulties experienced by researchers and practitioners in stepping outside their individual disciplines.

In terms of the 19 scholarships provided through the International Academic Programmes Office (IAPO), 18 PhD candidates had graduated at the time of this review. The funding provided through this office also enabled UCT supervisors to travel to and interact with their counterparts

at other universities in Africa in 'a mutually beneficial way'. UCT supervisors were thus able to develop a better understanding of the environments that the Carnegie fellows would work in after graduating and returning to their home universities. In some cases, longer-term linkages have been established – both formal and informal – with academics so as to continue collaborations on research, joint publications, etc.

The Director of IAPO at the time of this review summarised the results of the Carnegie funding: she said that it had assisted UCT in 'meeting its strategic objectives, and increased the enrolment numbers of PhD candidates in addition to building the capacity of partner universities'.

4.B.5 Institutional culture and transformation – Khuluma and ADAPT workshops

This section of the report begins with comments on the institutional climate change survey before focusing on the institutional workshops provided in the two cycles of funding. The divergent views held on these workshops – and, therefore, the lack of clarity on their benefits – are exemplified in the data collected from the Chairs of the Transformation Committees interviewed for this review.

The institutional climate change survey

According to the interviewee from the ERA, the climate change survey conducted in the first cycle had not been 'rigorous enough', as it was the same instrument that had been used some years earlier. In addition, there were 'no consequences' to the survey and the impact of this was difficult to determine as there had been a number of other investments in transformation at the time.

Views expressed by the Chairs of the Departmental Transformation Committees

One of the Chairs of a Transformation Committee reported that, for her, the Khuluma workshops were 'a complete waste of time', as they 'took people into the past' by dividing participants along racial lines. She reported that some participants had often felt uncomfortable and guilty when hearing of their black colleagues' experiences during apartheid.

For this interviewee, ADAPT was seen as 'far more helpful'. The one-day sessions took staff away from their work for shorter periods of time and the sessions themselves were 'less intrusive' and focused on the 'now and the future and not the past'. She was of the view that the follow-up activities, including a games afternoon for relationship building and a visit to a school in a disadvantaged community where staff assisted in a reading programme for the children, had had a positive impact on people's relationships – 'people stop to talk' to each other now.

At the time of this review, this department was awaiting the follow-up workshop and wondering 'what is beyond ADAPT'. In the meantime, the Transformation Committee had continued to identify issues and topics for discussion, including, for example, the university's admission policy, culture and tradition, etc., and to monitor staff appointments.

Another Chair of a Transformation Committee also reported that she had been surprised by how 'powerful' some of the group follow-up activities had been in her department. Staff members had undertaken activities that included cake sales, a bus tour and picnics, all of which had given them the opportunity to meet and talk and get to know each other in ways that they had not done previously. Ultimately, these activities had ensured a 'more collegial' climate in the department.

As with the first Chair mentioned above, this Chair was also able to point to 'a promise of change' and 'progress over the past year'. She cited the question-and-answer facility offered on the intranet which offered a 'platform and voice' for those who had previously been excluded from certain discussions and decisions. She pointed to issues that had been raised in resentment (e.g. conference travel) and how these had been resolved in positive ways. In explaining why she believed 'a lot of good had come' of the ADAPT workshops attended by her department, she cited shifts related to the policy review system and awards, the ways in which advertisements for equity posts were written, and the increased contributions made by equity representatives in decision-making procedures. She believed that the appointment of a University Ombudsman and efforts to increase the visibility of this office had been positive moves.

At the time of the interview with this Chair, her department was at the stage of developing a 'statement of values' which would signify that employees need to be more than just 'good at your job'. It was anticipated

that this work would take place in two to three half-day sessions facilitated by an external facilitator. The sessions would enable participants to consider the 'personal values' they had been taught as children before going on to consider values at the 'organisational level'.

A third Transformation Committee Chair interviewed reported that the preparation for her department's upcoming ADAPT workshop programme had been specific and rigorous. The workshop was being tailored to respond to concerns raised in response to a number of incidents which had been seen as having marginalised black staff members – the phrase 'subtle, unconscious preferential treatment' was used. In addition, equity appointments were viewed as having taken a back seat. According to the interviewee, this may have been done 'unconsciously', but, along with the problems of retention of black staff (in 2012, five to six black staff members were reported to have resigned, one with a PhD qualification), this has given rise to questions about inclusivity.

This interviewee reported that black staff feel they really have to 'prove' themselves before being accepted and that the PhD qualification has become something of a 'bargaining tool' in order to get promotion.

It was expected that the first ADAPT workshop would involve senior staff in the faculty and be based on 'case studies' for reflection and discussion. This would be followed by further workshops for other staff. In line with the issues already mentioned above, a focus on equity appointments and strategies for the retention of black staff had been identified as critical. The two issues were seen as needing to go hand in hand in order to inhibit a 'revolving-door' approach where black appointees would resign within short periods of being appointed.

When asked about staff perceptions of these upcoming workshops, this interviewee said that staff were feeling 'unsettled'. While some were 'pleased that there would be a forum' at which these issues could be discussed, 'others don't see the need for it'. She, herself, hoped that the workshop would fulfil an 'awareness-raising function'.

In terms of staff attitude to transformation, this interviewee said that, generally, staff are aware of the need for transformation, but tend to be more willing to support 'soft' options (such as celebrations around Africa Day), than 'hard' options such as equity appointments.

This interviewee had attended the earlier Khuluma workshops and had encouraged others to participate. She recalled the workshops as having been positive for her personally, but she was aware that not all participants had enjoyed the experience or felt any gains. Some participants had reported that they had been 'put on the spot', 'attacked' and 'made to feel guilty'.

Interviews conducted with those staff members who had participated in the ADAPT workshops suggested that, although facilitators had tailored the workshops to departmental needs and successfully 'surfaced issues' by providing a 'safe space' in which to talk, divisions within departments continue. For example, one interviewee spoke of the 'unacknowledged prejudice' and the 'nit-picking' that continues to take place when transformation issues are addressed by the Transformation Committee in her department. The ADAPT workshops, therefore, were viewed as 'a start' in making the workspace 'more collegial', but certainly not sufficient in sustaining the changes begun.

Another important finding related to the ADAPT workshops was that they had been attended primarily by PASS staff rather than academic staff. A senior staff member had reported that, despite the efforts of the executive, only 10 to 13% of academic staff had participated in the ADAPT programme; the rest had been PASS staff. This interviewee also reported that academics want to be 'left alone' to do 'business as usual', that they do not feel 'accountable' or any need to be 'fixed'. Without them feeling a personal sense of responsibility, it was reported to be difficult to engage academic staff in transformation initiatives that examine the 'deep psycho-structural issues'.

The emphasis on PASS staff participation also appears to have fuelled a 'them and us' division prevalent at UCT. Despite this, the shift to working departmentally (as opposed to the cross-institutional and voluntary approach used in the Khuluma workshops) was seen as a great improvement in that the structural issues experienced by colleagues in the same department can be addressed.

Some, but not all, of the Carnegie appointees had attended Khuluma or ADAPT workshops – one said, 'maybe I was supposed to but I was not told about them'. One of the appointees reported having attended a Khuluma workshop within the first six months after she was appointed at UCT.

Given her relative unfamiliarity with South Africa and its issues, she said that this may have been 'too soon' for her and she had difficulty 'assimilating' the information provided. She also recalled that she had found the sessions on xenophobia 'upsetting'. She compared this workshop with a course on Citizenship, a module offered by the Centre for Higher Education Development at UCT, not only in terms of the time required but also the approach which required readings and assignments.

Views expressed by the facilitators

It would appear that the workshops have been experienced as challenging – both for the participants and the facilitators. Much of the data collected in interviews suggests that there has been considerable resistance among staff to engage in transformation workshops – in effect, a degree of what might be termed 'transformation workshop fatigue'.

An external facilitator for the ADAPT workshops reported that many participants begin the process 'reluctantly', with some stating that they 'only want to focus on their work', and that they are 'tired of the transformation conversations' (citing previous experiences with Khuluma and having 'seen it all before'). While some participants change their minds after the first session, engage in the process and provide positive feedback at the end, others barely participate throughout the sessions.

A facilitator explained that, as so many participants on the ADAPT workshops have needed to speak about their prior experiences on the Khuluma workshops before engaging with the ADAPT process, the current ADAPT workshop programme was formally modified to make provision for this.

One of the internal facilitators interviewed was doubtful whether many of the follow-up group activities chosen by participants had real value, and recommended that more meaningful and socially responsive projects be identified for this.

Asked for her opinion on the value of workshops in changing institutional culture, an external facilitator responded by saying that 'one-day workshops have little effect'. She explained that it was very difficult to have 'deep conversations in a short time'. This meant that, by the time participants started speaking openly, 'you only have one hour left'. She also reported that many of the participants found the workshops 'superficial'. In addition,

she felt the time between the initial and follow-up workshops was too lengthy. Finally, she, too, had reservations about the 'commitment' by participants to the group activities held after the workshop.

Student facilitators' views on the workshops

All the student facilitators interviewed reported considerable personal growth and development as a result of their own training and facilitation experiences. For example, one said she had learnt about the importance of 'being open to sensitive issues' (e.g. accents, foreign students) and the need for 'transparency'. Another student from Zimbabwe reported that the workshops had provided her with an opportunity to extend her networks/friendships 'beyond the Zimbabwe box' and to think outside that 'box'. A further benefit identified was the increase in confidence in public speaking. A third student reflected on her own personal development as a result of the workshops: 'I've learned I cannot be the angry black girl all the time.'

The students interviewed reported that their own training sessions had enabled them to learn a 'new language' which assisted them in making sense of their experiences. One commented that the workshops also enabled her to 'take the knowledge she had gained in lectures and apply it more practically'. They concurred that the workshops were relevant to both their 'social and academic interactions' at UCT and should be continued in future – although, possibly, as two half-day workshops rather than as full-day workshops.

The student facilitators also reported that, although student participants engaged in the workshops and gained valuable new insights, the number of participants was low, often less than expected. One commented that it was not easy to get a group of students together and said that students were 'often not interested' – particularly if examinations were imminent. The marketing and timing of the future student workshops requires careful thought.

When asked about their own experiences at UCT and their perceptions of integration among students, the students interviewed reported that there continue to be 'divisions' between the races. One considered that these divisions had been fostered by the 'contentious' admissions policy 'where non-whites have a higher chance of getting into UCT'. She also pointed to

the composition of student bodies, most of which she described as being 'non-white'. She said that while integration happens between students in lectures, it 'stops here': they are only 'classmates not friends'. She explained that this was not so much a 'conscious or purposeful' decision – 'it's just that black and white students do not have a lot of things in common'.

This view was supported by another student who used the term 'tokenism' to illustrate her own experience. Tokenism, she explained, 'works both ways', with parties on each side gaining benefits through association; however, people who are used as tokens are often 'apologetic' about their own race group. At present, the lack of 'good formal communication channels for debate and discussion amongst students at UCT' hampered change. Another student, who referred to the apology offered by a Xhosa-speaking lecturer for his accent and the likely effect of this on the students present, suggested that more should be done around the issue of diversity at the first-year students' orientation week.

Future directions for transformation initiatives at UCT

The data collected during the review does not fully clarify how UCT's work on institutional culture will be sustained and taken forward. Staff in the Transformation Office spoke of their hope that a training facility will be built on site next to their current offices. At present, a privately run external training facility is used, but this is proving expensive. In addition it was reported that funds are being sought to sustain the student programme.

A senior staff member interviewed suggested that one of the challenges associated with addressing issues related to race is the lack of 'an appropriate discourse'. In other words, he said, the issue of race is 'an impossible conversation', as we lack the language necessary to 'describe what is going on' and how the 'historical, structural relationships' have become 'naturalised' and, therefore, difficult to surface.

This interviewee explained that debates around equity and transformation in universities that value their international standing employ terms such as 'world-class' and 'globalisation' in order to set standards and measure excellence. For many people, these terms are 'ultimately about whiteness, specifically about North Americanness'; the transformation of South African institutions will require new benchmarks, norms and metrics for measuring excellence within the South African context.

An external facilitator interviewed suggested that, in future, UCT focus its efforts on 'leadership' rather than 'transformation' workshops, particularly 'leadership in diverse teams'. For her, this requires 'a new way of leadership', one that enables transformation within the workspace by encouraging greater 'flexibility'. This suggestion was supported by other data collected. For example, one of the internal facilitators interviewed reported that, although the senior leaders at UCT 'want change', staff participation in transformation initiatives was often inhibited by 'managers' in departments, some of whom have reportedly told staff not to attend the sessions.

In addition, other staff spoke of departmental leaders as being critical in managing divisions and tensions and in promoting 'cultural shifts' to ensure that 'everyone has a voice'. Where there were reports of changes from 'autocratic' and 'exclusive' cultures to those that are more 'democratic' and 'inclusive', departmental leaders were reported to have played important roles.

In some cases, however, the involvement of departmental leaders in the work of transformation was reported to be a 'double-edged sword': while this brought strategic advantage, some leaders were experienced as dominating and, therefore, were less likely to be challenged by other staff. Building staff confidence and ensuring more collaborative leadership were seen to be essential in these situations.

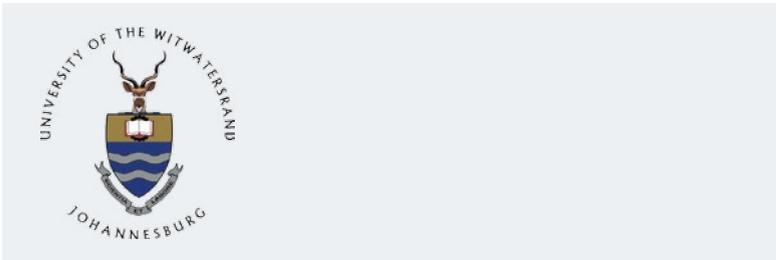
4.B.6 Conclusion

The review data collected at UCT provides a picture of two cycles of funding where the approach shifted from appointments and research support in the first cycle to a greater emphasis in shifting thinking about, and approaches to, research in line with the Afropolitan thrust followed more broadly during the second cycle of funding.

The findings of the review suggest that, while there are difficulties in changing the more traditional mindsets and that institutional structures can provide obstacles, considerable creative thought has begun the process of establishing new practices in team projects where interdisciplinary and multidisciplinary approaches are used. Transformation of research in the second cycle of funding has gone beyond the approach taken to achieving more equitable staff demographics in the first cycle.

The need for addressing equity, however, should not be neglected when foregrounding the knowledge project. This issue remains an important one at this university where international 'standards' for research success are invoked.

Similarly, the findings related to the Khuluma and ADAPT workshops suggest that achieving institutional transformation requires an ongoing project, but that future work in this area should take account of the 'transformation workshop fatigue' experienced by some staff.



4.C THE UNIVERSITY OF THE WITWATERSRAND (WITS)

As seen earlier in this chapter of the report, UKZN's work under the Carnegie umbrella focused the development of PhD graduates appointed in LEAP lectureship positions and ensuring a pipeline of young scholars for future employment. In doing so, the core project of the Carnegie-funded work was the promotion of equity among staff.

In the work undertaken during the first cycle of funding at UCT, the two-pronged approach mentioned in all three universities' grant submissions was evident: appointees and transformation workshops that addressed institutional culture. Two separate areas of work continued in the second cycle at this institution: research development and research transformation, on the one hand, and institutional transformation workshops on the other.

At Wits, as at UCT, a two-pronged approach was also implemented. A key difference in approach and model used, however, was greater integration across the research development and the institutional transformation activities at Wits and the diverse nature of the latter. For example, a recipient of a large research grant of R250 000, a staff member in Dramatic Arts, focused his work on the development of drama workshops for students in an effort to 'open up the aesthetic space' and deal with issues such as sexual harassment, and racial and ethnic prejudice. As a result of the work done with students, he was able to publish articles and present conference papers on the methodology used – the model of conflict mediation and its stages. Theory/practice relationships were highlighted in these academic publications.

Another recipient of a research grant described his work as 'an academic research and community engagement project'. He stressed that the arts, community and transformation elements of the work were not 'add-ons'

but integral to the identity of the department in which he was located: he spoke of 'creative research' and 'practice-based research'. As with the project mentioned in the paragraph above, the work undertaken by this staff member involved students in interventions on campus and has contributed to the development of new teaching and learning curricula.

These two examples illustrate the ways in which the diverse programmes and projects at Wits were more tightly integrated across the elements of research development for black and women staff and institutional transformation. The following sections of the chapter consider each of the programmatic areas in greater detail.

4.C.1 Research development and support for existing staff members

As seen in chapter 3 of this report, research development of existing staff was provided for by large research grants, 'sandwich' programmes and short time-off mini-sabbaticals.

The Final Progress Report (October 2012) states that, of the 164 individual research grant recipients that were awarded the grant since its inception in 2006, 106 of these grants were awarded in the second grant cycle between 2010 and 2012 (page 4). The report also reveals that a total of 29 men were awarded the grant compared with 76 women. Of the women who were awarded grants, 50% were white.

The Summative Evaluation Report focused on the first three projects listed in the first grant proposal and then continued in the second cycle of funding. It begins with a consideration of the institutional context, highlighting concerns and challenges around representivity of academic staff. It reads: 'A comparison of Wits academic staff demographic data from 2005 to 2012 ... shows that little progress has been made in five years to bring about more appropriate representivity within the research community' (page 11).

Wits's stated approach of achieving a balance in providing awards to those researchers who might be described as 'emerging' (often still undertaking PhDs) and others who were described as 'mid-career academics' (usually with PhDs) was also noted. Mid-career academics were those who were viewed 'as young in research but not necessarily

young in age' and with fewer publications to their name. This was particularly seen to be true for many black academics who, for historical reasons related to apartheid, tended to be more junior in the ranks of the university.

Selection of and support for the Carnegie recipients

The reviewers found that faculties had worked in different ways in the selection of the recipients of these grants. In some cases, deans interviewed said that they had identified and then encouraged particular staff members to apply for the grants; in other cases, applicants had submitted their applications independently. It was suggested by one interviewee that these different approaches may have been as a result of the existence of faculties' succession and staff development plans: it was reported that not all deans had had these in place when the programmes began.

'Interference' in the selection process at the level of deans was highlighted in a number of interviews – both with appointees themselves and with other staff members – even when the 'right' people with the 'right' qualifications and experience had been interviewed and selected. No clear explanation for this was provided, but issues included in the later section on climate change interventions were considered to have influenced decision-making here.

Wits' approach of focusing on opportunities related to the nine Strategic Research Thrusts that were core to the University Policy as well as any designated Centres of Excellence with which the university was associated, was considered by interviewees to have been useful in enabling younger academics to find a place within these areas and centres. As one dean explained, these are 'nurturing environments' where young scholars learn alongside their more experienced colleagues.

The Summative Evaluation Report points to the increased awareness of the Carnegie-funded research programmes as a result of the efforts of the Transformation Office. Both the qualitative interviews conducted by the reviewers and those conducted by the external evaluator and included in the Summative Evaluation Report indicate excellent and good support from the Carnegie Project Team in the Transformation Office.

Research support

While the Research Office offered assistance to staff through the provision of workshops on research proposals, only a few of the selected interviewees reported that they had used these. One dean explained that the recipients of the research development grants in his faculty had 'come up through the ranks' in their departments and had learnt about proposal writing by working alongside other more experienced researchers over a period of time.

At Wits, the model of supervisor and mentor was not followed – supervisors often took on the mentorship role, where needed, and additional coaches were also used. The university believes that 'all people need development'.

The Final Progress Report (October 2012) refers to the nature of workshops provided during the second cycle of funding. These included an orientation workshop in the form of a breakfast with speakers where researchers met with the Deputy Vice-Chancellor (DVC): Research and learnt about the logistics of grant management, and facilitated writing retreats. Approximately 100 mostly women researchers benefited from the latter.

Retention of Carnegie recipients

No reports of stigma or victimisation of recipients of research development funds were made at Wits; rather the Carnegie grants were viewed as prestigious. Despite this, both the data collected for this review and that collected by the external evaluator for the Summative Evaluation Report speak to concerns around a sense of belonging in a university where white is 'mainstream' and, therefore, the retention of some of the grant recipients. This latter report reads: 'While there appears to be support provided to academics to apply for grants and even to meet the requirements of the grants ... some individuals have continuing concerns about their sense of belonging in the university' (page 40). This report goes on to mention that 13% of grantees surveyed were considering leaving the university.

Large research grants

While some of the grants in this programme were reasonably large (up to R200 000), in some cases, they were used as 'seed funding' and to leverage

further funding. For example, one project in the Humanities Faculty involved 25 international collaborators from South Africa, Australia, the United Kingdom and the United States (US). While further funding had been needed, the key benefit of the Carnegie funding was reported to have been to 'consolidate and ensure the sustainability' of this partnership.

While not all the outputs of this partnership could be directly attributed to Carnegie funding – more than 50 publications, four special journals and a book were mentioned – without the seed money the partnership would not have been possible. The recipient of the grant explained that this project had not required traditional capital expenditure, but had paid for the 'intellectual capital' and for academics to travel and meet each other over a four to five year period. He was aware that projects in the humanities did not often attract grants of this size, and reiterated that the Carnegie 'footprint' had been instrumental in the project's success in attracting further funding.

Further outcomes reported for this project included the creation of vital institutional networks at Wits as required for this interdisciplinary project, a new model for working with masters and PhD students in the faculty, increased public interest and visibility for the project, and the Vice-Chancellor's Transformation Award. The interviewee also reported that his work on this project had 'fast-tracked' his own promotion. Having set up a good web portal for data and resources, the interviewee anticipated that, in future, the project would be able to be sustained with fewer academics working as managers, using email and telecommunications.

For another Carnegie-funded scholar, the large research grant allowed her to buy herself out of her teaching responsibilities, and travel to and work at a university in the US for a period of months. Here, she was able to produce five of the chapters of her PhD thesis. The time away from her usual responsibilities, the resources at the host university and the expertise of the people she had worked with here were critical not only in enabling her to complete the study within the time allocated, but also had a tremendous impact on her 'identity – both personal and professional'. She felt better inducted in the academy as well as the wider academic networks in which she worked.

One of the unintended outcomes of this recipient's experience is the formation of a group of women academics who were documenting their

stories as academics and scholars at the time of this review. It is anticipated that this project will receive further funding from the Research Office and that the articles will be published in a special edition of a journal.

Other recipients of the large research grants used the resources to purchase equipment, pay research assistants and to attend conferences.

'Sandwich programmes'

Similar experiences as the one described above were reported by interviewees who had received grants for 'sandwich programmes'. For example, one of these interviewees who had spent a year in Canada spoke of the importance of the 'guaranteed time off' that had allowed her to focus on data analysis and writing, of the supportive environment and of an excellent mentor in the host university. She mentioned further benefits of working in the host university as having 'learned to work in teams' and having new doors opened to international networks.

Short time-off mini-sabbaticals

The short time-off mini-sabbaticals provided recipients with the opportunity to fast-track and complete their PhD studies. One of the interviewees explained that she had not anticipated how much time the preparation of her teaching courses would require. The resulting delays in writing up and submitting her thesis had placed her in 'a precarious position'. She had felt 'locked in' to her teaching commitments, on which, she reported, she had needed to spend '90%' of her time.

The idea to apply for the mini-sabbatical had been suggested to this recipient by a sympathetic senior academic. The opportunity was very gratefully pursued, especially as this recipient had recently been appointed in a contract post until she had completed the PhD study. As stated in the Summative Evaluation Report, obtaining a PhD is a 'significant milestone' in an academic career.

Future plans for research development and support

The Summative Evaluation Report outlines the future plans of the Directorate for Research Development at Wits. For the purposes of these plans, the research community is divided into three groups:

- A new generation of researchers, including senior postgraduate students and postdoctoral fellows;
- Emerging researchers, including university staff members (with or without PhDs) who aspire to initiate or significantly ramp up their research careers; and
- Established researchers, including those with local and international reputations for research excellence and leadership.

Wits continues to view all its staff as requiring development and support and categorises the staff and their likely needs as follows. The first category will require particular emphasis on mentoring/coaching and skills development, while the third category will need to be assisted with advocacy, recognition and the exploitation of networks. The middle category, emerging researchers, will need development across all five areas.

4.C.2 New staff: bridging funding for 12 months

It was reported that the appointments at Wits were viewed as ‘prestigious’ and, therefore, ‘highly competitive’. Selection of these appointees was dealt with in collaboration with the Research Office, as applicants’ research proposals were taken into consideration. Despite this, this area of work was dropped during implementation of the Carnegie programme.

It was noted that at the time of the university’s first grant submission in 2004, only 24% of academic staff were black. The proposal sets the gender equity at that time at 46% among academic staff, but acknowledges that women are concentrated at the lower levels of the academic hierarchy and that white men still dominate senior and management positions in academia (Wits’s Proposal for Carnegie Corporation 2004, page 4).

Wits’s Employment Equity Plan 2010–2014 provides staff demographic statistics in 2010 and states that these indicate ‘that the University has struggled to make significant changes in the demographic profile of academic staff of South African descent’ (page 14). It goes on to point out that this phenomenon is not unique to Wits and that the same can be said of ‘other South African Universities focusing on research activities’ (page 14), naming both UCT and UKZN as examples.

At Wits, in 2010, 55% of the academic staff were white, 10% African, 8% Indian, 3% coloured and 24% non-South African (Wits’s Employment Equity Plan

2010–2014, page 15). More detailed analysis of employment equity reveals an increase in the proportion of international staff who are academics and who are located in middle-level management positions; the under-representation of African, Coloured and women employees at senior- and middle-management levels; and an under-representation of black South Africans (African, Coloured and Indian) in academia (pages 15–16).

Interviewees for this review made mention of the ‘failure’ of the Vice-Chancellor’s Talent Management Programme and the university’s Employment Equity Plan 2010–2014, listing a number of areas for improvement, including that this programme focus on designated groups. In addition, further recommendations for improvement are the allocation of a substantive increase in funds to the Employment Equity Fund and that recruitment, selection and appointment processes be tightened up to ensure better accountability for meeting employment equity targets.

4.C.3 Institutional transformation programmes

Programme for Equity Scholars in Residence

By recognising that the university is not the only site of knowledge generation and by including intellectuals from other sectors at Wits for periods of between two weeks and six months, this programme provided a bridge between academia and broader society and developed a better understanding about the university’s location – past, present and future.

Equity scholars went through a rigorous selection process which included a call for nominations and a selection committee (The Wits Institutional Culture Committee), which read proposals and shortlisted according to predefined criteria. These focused on the candidate’s commitment to lead an institutional conversation on a topic of national or institutional concern and his/her ability to support the teaching and learning process by conducting classes for undergraduate and postgraduate students.

A booklet entitled *Resident Equity Scholar Programme* profiles the equity scholars appointed in the first cycle of funding. These include Dr John Kani (actor, director and playwright); Teddy E Mattera (film); Shelley Barry (film director and activist for disabled and women’s rights); Dr Veronique Tadjó (novelist and poet); Professor Tamara Shefer (director and professor of the Women’s and Gender Studies programme at UWC); Dr Xolela

Mangcu (commentator on the South African political landscape); Nomusa Mdlalose (professional storyteller); Professor Julio Tavareas (a leading Brazilian scholar and film-maker); and Dr Zimitri Erasmus (scholar in the fields of creolisation and racism).

Forthcoming equity scholars Dr Meyya Meyyappan (scientist at NASA), Mark Gevisser (journalist) and Professor Pumla Gobobo-Madikizela (clinical psychologist and professor at UCT) are also profiled alongside scholars who headlined events at WALE, the art and literature festival at Wits: Peter Davis (documentary film-maker); Professor Audrey Thomas McCluskey (professor in African America and African diaspora studies at Indiana University); and Professor John McCluskey Jr (novelist). The Equity Scholars in Residence Programme continues to be supported at Wits by the Transformation Office.

Programme for Social Justice Studies

As at the other two universities included in this review, Wits's work in certain areas listed in the original grant submission was not taken forward, the reasons for this not always being clear. The Programme for Social Justice Studies is one such area. An early ERA report noted slow implementation of this programme and its transfer to WISER (ERA Report, July 2007, page 41).

Programme for Student-centred Equity Experience

As with the above area, initial implementation of this programme was slow. The additional student engagement activities in the second cycle of funding outlined in 4.C.4 below became the focus of transformation work with students.

Resource Centre on Transformation and Diversity

While Wits's early progress reports indicate that there were delays related to decisions taken regarding the location of this Resource Centre, the reviewers noted the impressive collection of material in the Transformation Office itself. While much of this was related to documenting developments in and outcomes of the various projects and used for monitoring and evaluation functions, the material was also reported to have been used by other administrative (e.g. marketing) and academic departments (for teaching and learning).

4.C.4 Additional student engagement activities in the second cycle of funding

The student photographic and drama programmes were introduced because it was recognised that 'transformation is difficult to talk about' in the more traditional forums of workshops and seminars.

Student photographic competition

This competition aimed to engage students in dialogue on their visual representation of change within their university environment. Each year since its inception, more and more people – including staff members – have become involved in the photographic competition. The number of entries grew from 17 in 2010 to 110 in 2012.

One of the aims of the competition was to encourage discussion on different perspectives of transformation at Wits. A staff member who acted as a judge on the adjudication panel reported that these discussions had not been limited to students – the judges themselves engaged in rigorous debate when assessing the entrants' work. Interestingly, the photographs have provided useful material for some teaching and learning programmes and are also used for marketing purposes and by the Alumnus Office in their publications.

Drama for Life

Drama for Life was first established in 2008 following the 2006 Southern African Development Community (SADC) appraisal mission on the role of drama in social transformation. The concept of Drama for Life was developed by two German International Cooperation (GIZ) consultants experienced in capacity development and an academic from Wits University, in consultation with over 100 people from 10 countries in Southern Africa, on behalf of the SADC Secretariat.

Its broad objectives are to enhance the capacity of young people, theatre practitioners and their communities to take responsibility for the quality of their lives in the context of HIV and AIDS in Africa. A suite of different programmes is offered – from postgraduate programmes to events (e.g. Drama for Life Sex Actually festivals), and from therapeutic interventions

at schools to research on activism, methodological and pedagogical approaches, and building a human rights culture.

The Wits Final Progress Report (October 2012) states that, through the partnership with Drama for Life, many different plays had been performed in the second cycle of funding. These interrogated past and present constructions of South African and student identities. They had been directed by senior drama students within the university and the casts had been made up exclusively of Wits students. Most performances were followed by workshop discussions with the audience in order to unpack the salient content and examine its relevance.

4.C.5 Climate change strategy for middle and senior management and black women academics in the second cycle of funding

While little information was provided on the climate change strategy for middle and senior management and black women academics in the second cycle of funding, interesting data regarding perceptions of institutional culture emerged in the interviews conducted.

A young black woman lecturer who had studied at Wits some years before returning as a staff member commented that 'a lot has changed, there is a lot that is difficult to speak about' and that this 'stands in the way of substantial transformation'. She recognised that she had not herself had a particularly disadvantaged background, but she believed that the current institutional culture had prevented her from being where she felt she should have been.

This interviewee described the culture as 'driven by individual competition' and explained that, for the first few years as a staff member, she had felt like she needed to show that she knew her place in the institutional hierarchy. She also described the culture as being 'very masculine' – despite there being more women among the academic staff.

The notion of stereotypes at Wits was one that was discussed by other interviewees. Shifting traditional stereotypes was seen as requiring more than the support of senior managers for interventions such as workshops; rather, said one, shifting power requires bold leadership, and the growth of a critical mass of black and women academics who will be able to take up positions on decision-making structures.

The interviewee mentioned earlier who had returned to Wits as a staff member felt that some of the more positive aspects of Wits's institutional culture that she had experienced as a student had been lost. She said that when she returned as a staff member, 'it seemed that the university had forgotten the earlier struggles' and the years between 1990 and 2000 'seemed to have been completely erased'. Her concerns here had led her to draft a new research proposal centred on the students' experience of Wits. She said that many are 'struggling with issues of politics – where they sit at Wits – and asking for discussions and debates. She hoped this new project would assist in 'building relations across different communities on campus', and would encourage 'participation of different student activists' through 'cross-generational dialogues that speak to institutional culture'.

4.C.6 Conclusion

In summary, Wits's Carnegie-funded programmes that contributed to equity and development were varied. They included research grants for both existing and new staff. The funds for the former were divided between emerging and mid-career academics. It is anticipated that support for research development will need to continue and that different forms of support will be needed for the next generation of researchers, for emerging researchers, and for those who may have completed their PhDs but who still need to extend their networks and increase their publication outputs. This accords with Wits' view that 'all people need to be developed'.

Through its transformation activities, Wits has provided a variety of creative ways to address changes in institutional culture. Those that placed students at the centre (the photographic competitions and the Drama for Life plays) are considered to have been particularly successful. Some of these projects have become familiar events on campus and there are expectations that they will continue with both senior management support and funding from external sources.

Issues related to institutional culture require ongoing attention. To date, sensitivities have been raised and the need to address an often alienating institutional culture has been acknowledged. Bold leadership, greater levels of representivity (in terms of both race and gender) on decision-making bodies, and activities that encourage debate and discussion amongst both staff and students were considered to be important ingredients in effecting change.

LESSONS LEARNT AND RECOMMENDATIONS FOR INSTITUTIONS, THE SECTOR AND ITS FUNDERS



INTRODUCTION

When considering the question, ‘What does this review contribute to our understanding of effective approaches to, and models for, achieving equity and transformation in higher education in South Africa?’, it is useful to distinguish three layers or levels in the higher education context as a whole: the national policy context, the broader approach developed within a particular institutional context, and the more specific sets of programmes, activities and interventions supported by various structures and role players, including external donors.

This report has described each of the three levels mentioned above, beginning with the national policy context for higher education (chapter 2), then the wider institutional approaches to equity and transformation at the three universities included in this review (chapter 3) and, finally, the specific programmes and activities that drew on the funding received by Carnegie Corporation of New York (chapter 4). The report focuses on the elements in this third level, but also identifies those in the first two layers that shape the third.

While this review was not intended to be a comparative study, it is useful to highlight the connections and linkages between the three layers listed above, and also the similarities and differences between the approaches and models used in line with institutional contexts. In doing so, the interpretations of the terms ‘equity’ and ‘transformation’ and the relationships between these and institutional approaches may be better understood.

In other words, the review suggests that the policy discourse at national level is translated in particular ways within specific institutional contexts and that at least some of the goals in the institutional discourse are then further translated into sets of activities in programmes. The institutional context may be understood as a mediating and influencing factor between national policy and the programmes. Lessons based on the reviewers’ observations here are listed later in this chapter and are followed by a number of suggestions for the future.

It should also be noted that, at this point, it is not possible to fully evaluate the longer-term effects of the policy and programmes dealt with in this report; rather, the value of the work lies in the compilation of a report that includes descriptions of each of these layers with an interest in identifying what is considered to be working well for both individual recipients and the three universities more broadly. It is hoped that these will contribute to useful lessons for universities, the sector, including national policy development, and the United States (US) foundations.

5.1 THE LAYERED CONTEXT OF IMPLEMENTATION

As indicated above, the layered context within which this review operates provides a useful framework for identifying relationships between discourse at the national and institutional levels and practice at the programme level. In addition, the differences in implementation at the three universities highlight both their contextual differences and the differences in translations of national policy.

While the discourse and practice at all three layers have as their goal equity and transformation and, thus, the improvement of the quality of higher education in South Africa and beyond, both understandings of the terms themselves and the relationship between them may differ. Rather than providing definitive guidelines for the sector, national policy offers signals for areas that require attention. As indicated in chapter 2, policies, plans and programmes at this level give emphasis to the targets that need to be achieved both in terms of staff and student numbers. Again, as indicated here, the danger could be that, if a university focuses too narrowly on pursuing these quantitative targets, issues of quality could be back-grounded.

Each of the three universities' institutional policies and grant submissions to the Carnegie Foundation of New York reflect the view that, while transformation includes increasing numbers and changing the profiles of staff and students to ensure representivity, it also encompasses a range of other elements. Two of these are those related to changing the institutional culture more broadly and, more specifically, changing the research culture. While the former refers to both established structures and processes – e.g. who participates and how decisions are made throughout the university – the latter focuses on the kinds of research projects pursued, together with their goals, processes and outputs. Here again, questions may be posed about the relationships between changes in the demographic profile of students and staff (equity), and those in institutional culture and research culture (transformation).

The importance of diversity and the contribution this makes to the quality of research, teaching and learning and to the broader institutional culture is inherent in the three broader institutional approaches described in this report. The review of the more specific activities, however, indicates that the institutional contexts shape the way in which broader approaches are translated and understood, and the way in which specific activities are introduced and implemented, and, sometimes, changed in the later stages of implementation.

Not only may equity and transformation and the relationships between them be interpreted differently at each of the three levels, they may also differ in interpretation among the institutions and, indeed, by the foundations themselves. For example, equity may be viewed as synonymous with transformation, or it may be viewed as a distinct – but

related – concept. In some cases, implementation may be considered to be more symbolic in nature, while, in others, more substantive. In some cases, the broader institutional model may be more complex and layered in line with the signals found in national policy, while the more specific sets of activities and interventions at the programme level may either reflect the various complexities at this level or simply focus on particular elements of the broader approach outlined in policy documents.

It is also worth noting that the assessment of equity (involving a quantitative count of numbers – of either staff and students or research outputs) may be easier than an assessment of transformation in institutional culture (involving a more qualitative study) or, indeed, of changes in research culture – who is involved in conducting research, and what are the issues under study? This may have influenced the ways in which institutional approaches are developed and the sets of activities prioritised and emphasised in programmes.

In order to illustrate the above, it is useful to consider some specific examples of similarities and differences at the institutional level. The University of KwaZulu-Natal (UKZN) and the University of Cape Town (UCT) did not share similar institutional contexts or starting points in 2004 when the grant submissions were initially conceptualised. At that time, UKZN was ahead of UCT in terms of its more representative academic staff demographic profile. This university used the vast majority of its Carnegie grant to continue to focus on staff appointments in the form of the LEAP lectureships already under way during the first cycle and also during the later second cycle of funding when most of the other activities that had initially been planned had fallen away.

While this model at the programme level may be viewed as giving emphasis to changing the demographic profile of staff and students, it is important to note that the broader institutional approach contained a number of other elements not directly funded by Carnegie, such as the development of new policy for a merged institution with new structures, and the impetus for the generation of knowledge in and for Africa.

The findings of the review indicate that the LEAP lectureships have provided considerable benefits for the individual recipients and accelerated the development of a younger cohort of scholars – most of whom were already within the university. In this way, the Carnegie funding contributed to

the creation of a pipeline of potential honours, masters and PhD candidates for the university and potential academic staff both for this university and the sector as a whole.

As mentioned earlier, however, assessment through the use of statistics using racial profiles as the criterion for success in achieving equity *and* transformation may be both easier than a qualitative assessment of more complex aspects of transformation such as changes in the institutional culture and the research culture, and also misleading when providing a full picture. The findings of this review have also suggested that the issue of staff retention at UKZN is of concern, particularly the resignations of senior, white, male staff over the past few years. Interviewees referred to the obstacles and difficulties caused by 'too much policy' and 'bureaucratisation' at the institutional level.

The need to address different layers or levels in the quest for equity and transformation and the complexity of this work are usefully highlighted in this UKZN example. While new cohorts of academics need to be developed, neither transformation nor quality can be reduced to equity statistics. Issues of the retention of productive senior researchers continue to be important given their role as research leaders for the next generation of academics.

UCT and the University of the Witwatersrand (Wits) provide examples of more complex models in that these institutions developed and implemented two-pronged Carnegie programmes with *both* equity and transformation as goals. At UCT, the emphasis on diversity in terms of staff *appointments* shifted in the second cycle of funding to the provision of additional *research support*, including workshops, for young black and women scholars. A change in leadership between the first and second cycles of funding and increased emphasis on Afropolitan research at the broader institutional level were two of the factors that were reported to have led to this shift. For some interviewees, the stigma attached to 'equity appointments' was also dealt with through this shift. The shift was in line with the broader institutional culture that foregrounds the importance of research as a core activity at this institution and also the importance of the transformation of knowledge production in and for Africa. Two related institutionally embedded programmes – the Emerging Researcher Programme (ERP) and the Programme for the Enhancement of Research Capacity (PERC) – were used to enhance this aspect of the work.

In terms of assessment, this latter approach offers opportunities for both quantitative and qualitative measures and criteria. While recipients' race and gender continued to be tracked, the transformation of the research process and outputs have been considered in different ways. While interviewees at UCT were able to highlight particular developments in this area, questions continued to be asked about the relationship between equity and research transformation. For example, what are the factors that challenge research transformation (both structural and intellectual) and what interventions facilitate both individual and institutional change? These questions point to the complexities of transformation and suggest that a focus on equity alone may not be sufficient.

Interesting differences in the set of activities at UCT and Wits that addressed transformation were those related to institutional culture. These relate to the scope of work undertaken. Institutional-culture workshops were the key feature of the grant activities in both cycles of funding at UCT, while Wits took up the issue of institutional culture in a number of interesting and creative ways, e.g. photographic competitions. The review suggested that, while some of Wits's activities may have reached a more limited audience than happened at UCT, they were experienced as relevant and engaging by participants, both staff and students. On the other hand, many interviewees at UCT reported having been over-workshopped in terms of institutional-culture issues and new forms of engagement would be welcomed.

During the second cycle of funding at UCT, the Research Office was a critical structure shaping the activities that contributed to providing research support, and the theme of Afropolitan research underpinned much of the developing institutional policy as well as the programme activities. The linkages between the programme activities and the Research Offices at the other two universities, UKZN and Wits, were not as strong.

When considering different forms of engagement, it is important to differentiate between those that might be termed 'symbolic' and those that are more 'substantive' in nature. The latter may reflect little more than compliance with national and institutional policy and would encourage a 'tick-box mentality'. Substantive engagement, on the other hand, requires greater levels of actual participation and decision-making by a variety of role players. Actual participation (e.g. in research activities) and decision-making (e.g. around institutional policy) are themselves facilitated and

constrained by both formal structures as well as embedded culture or accepted ways of doing things. The complicated relationships between structure and processes have long been recognised as a challenge.

As with research culture, the assessment of shifts in institutional culture will require both quantitative and qualitative measures and criteria. An analysis of change in these over time may begin to assist in answering key questions that are often asked by those working in this area: Does changing the numbers in institutions (with a narrow focus on equity) also lead to changing the kinds of research processes and outputs and the broader institutional culture (using the broader concept of transformation)? How should national policy and institutional policy frameworks conceptualise these issues and how should they be developed and prioritised for implementation within the institutions?

As described in this report, while all three universities initially included a varied set of activities in line with the broader institutional approach to equity and transformation, the review suggests that it may be difficult to keep all these activities equally on track throughout the period of funding. The narrowing of the focus of grant activities, as noted in the earlier sections of this report, simplified implementation. The more complex and multilayered programmes offered at UCT and Wits brought additional factors into play during implementation.

It is clear that the achievement of equity and transformation requires ongoing work and a variety of programmes/sets of activities. No one programme can be expected to make a difference over a limited period of time; rather, each institution may want to consider its own strengths and existing programmes as well as the gaps and absences here. In addition, planning and implementation will need to be well coordinated at both the programme and institutional levels.

5.2 KEY LESSONS LEARNT

Further key lessons identified in this final chapter of the report were derived through the reviewers' analyses of the approaches described in the previous two chapters.

The benefits of the Carnegie grants to individual scholars – whether these were equity appointees or recipients of research grants – have been

invaluable. While these individuals often focused on the importance of the grant in enabling them to access positions in the academy, to work alongside other scholars in wider global communities and to buy themselves time-out so as to complete their own qualifications and research, it is important not to lose sight of the quote used at the beginning of chapter 2 in this report: 'Research, in all its forms and functions, is perhaps the most powerful vehicle that we have to deepen our democracy' and 'research engenders the values ... which are fundamental to building a strong, democratic ethos in society'.

This suggests that there is an important link between individual benefit and broader societal change; however, the findings of this review also suggest that the achievement of equity and transformation in South African universities will require a far lengthier process than that already completed. It is worth reiterating that the review findings also suggest that, while of tremendous value, the amounts of the Carnegie grants over the period of the funding covered in this report could not realistically be expected to effect the magnitude of changes required at institutional levels.

At the institutional level, the key benefit has been to provide three universities with the opportunity to explore and pilot innovative approaches to address equity and transformation, and to test what works and what does not in their particular contexts. Much of the work undertaken has been in the humanities, an area that has received less focused attention from the government. These universities have been given the opportunity to develop the necessary structures and capacity to implement or to expand important programmes. In some cases, individual recipients, and so also the broader institution, have been afforded the opportunities to extend their networks beyond South Africa and the continent. Ultimately, however, the scaling up of these efforts will require increased national effort, particularly from those national departments that have responsibility for higher education and research, ongoing investment by external funders and, critically, creative leadership at various levels in the universities.

The review has suggested that instrumental approaches to achieving representivity (e.g. employment equity) are not sufficient to change institutional culture. Such approaches may increase tensions, particularly in research-intensive universities where academic staff compete for resources and where international standards are used as benchmarks. Complex institutional issues clearly require complex solutions that also address

historical and structural imbalances that are often 'taken-for-granted' ways of doing things – i.e. have become culturally and institutionally embedded.

The purpose of achieving equity, or representivity, is important to foreground in transformation initiatives, i.e. it is not just 'a numbers game'. This means that equity is not an end in itself but goes some way to ensuring that people become more comfortable in the institutional space, and feel that they are included here and are thus able to develop greater levels of participation and confidence. If representivity is abandoned or neglected, the institutional space is likely to remain unchanged, with individuals from certain groups feeling marginalised and isolated. This review suggests that approaches that link equity with broader changes in the institutional space are not always easy to conceptualise or implement, but that this should be pursued.

While more traditional workshops may provide participants with opportunities for group discussion, deep appreciation for diverse discourses (including different ways of thinking about and generating knowledge) could better be surfaced when linked to a range of other activities that form part of campus life and that foster ongoing engagement. When workshops are used as isolated interventions, they may engender as much resistance and dissatisfaction as openness and trust. An important lesson learnt is that initiatives that recognise the difficulties of speaking about transformation in workshop situations and introduce creative ways of illustrating issues related to race and gender (e.g. the photographic competitions and drama productions at Wits) found traction.

Institutions are likely to continue to be faced with the need to grow post-graduate student numbers without growth in the number of academic staff and to face the associated challenges outlined in chapter 2 of this report. The issue of ensuring quality supervision for postgraduate students is one that will need to be further explored with the Higher Education Quality Committee (HEQC).

Institutional leaders will need to navigate competing demands when selecting programmes to support, and managers will need to ensure the smooth implementation, monitoring and evaluation of these projects.

In terms of these issues, this review has yielded the following lessons for the institutional and programme levels:

- All three universities included in this review reduced the number of programmes or projects initially envisaged; it may be better, therefore, to streamline projects and their activities rather than to be over-ambitious;
- Where project conceptualisation and implementation are handled by different staff members, it may be more difficult to implement plans without the establishment of good communication channels;
- Project management activities located at too many different institutional nodes may be difficult to coordinate. This is even more the case where the projects are not well integrated conceptually;
- The management of projects requires a dedicated and stable staff team; and
- Data may be collected at different institutional nodes but should be centralised for monitoring and evaluation purposes. The reviewers noted that data collection for monitoring and evaluation activities in the universities had been hugely improved since the period of funding by Carnegie Corporation.

In summary, the lessons learnt suggest that there is no 'quick fix' to achieving equity and effecting institutional change: as one interviewee put it, role players, including external donors, will need to be in this area of work 'for the long haul'. It is equally important to recognise, however, that the South African higher education context currently offers opportunities for new ways of thinking about globalisation, standards and what it means to be a world-class research-intensive university. This is also a time when universities should give careful consideration to the attributes they want their graduates to have and to the kinds of citizens they would like them to be.

5.3 SUGGESTIONS FOR FUTURE WORK IN THIS AREA

The data collected for this review contributes to suggestions for short-term as well as medium- and longer-term goals. Key questions raised in this final section of the report are as follows:

- How can research-intensive universities better address their twinned obligations to equity and excellence?
- How can universities move beyond individual benefit to institutional transformation?
- How can young scholars be retained in the sector?

It is recommended that universities *continue to*:

1. Secure support (financial and other support) to develop individuals through the completion of masters as well as PhD qualifications. Reduced teaching loads along with sabbaticals were reported to be critical for those staff members pursuing these qualifications. The value of good supervision and mentoring, and the importance of attending conferences for the purpose of networking were all highlighted.
2. Secure financial support for staff appointees that will strengthen representivity in the universities. This requires creative leadership at the institutional, faculty and departmental levels, as well as good communication to ensure clarity of purpose and buy-in.

At the same time, it is recommended that the universities and external funders support projects, activities and interventions that:

3. Ensure that scholarships provided take into account the full set of needs of the individual scholar – conferencing, international travel, equipment, etc. – so that the individual has the flexibility to pursue the study undertaken.
4. Foreground plans to retain staff within the higher education sector, through incentivisation and mid-career programmes.
5. Provide staff and students with opportunities to develop and promote new discourses and understandings of current notions of equity and transformation.
6. Explore and develop new ways of conceptualising and measuring excellence – ways that are relevant to the South African higher-education context and that can contribute to broadening current global conceptions.
7. Develop new criteria for determining excellence in candidates applying for funding for masters and PhD qualifications and for appointments at universities in South Africa.
8. Assist in the clarification of attributes required by graduates from

South African universities who may also work in other countries in the world.

9. Enable the development of better understandings of how these attributes are developed in university programmes.
10. Contribute to the development of more inclusive institutional structures and processes, including forums such as Transformation Committees.

Much of the work listed in points 3 to 10 above requires creative leadership at a number of levels.

The location of this work and its management also need careful consideration. As indicated in the previous section of this chapter, a centralised and stable management team that coordinates projects implemented in different areas of the university provides an 'anchor' for the wider institutional endeavour.

In terms of actual implementation, the following suggestions have been distilled from the data collected:

- Where funds are channelled through faculties rather than a central office, uniformity around criteria and budgets should be considered.
- Implementation should be preceded by good communication with all stakeholders in order to ensure good understanding of the purpose of the funding and buy-in.

While the reviewers believe that a national programme to establish the next generation of academics at South African universities, such as that proposed by Higher Education South Africa (HESA), is a good idea, the following recommendations are offered to role players working at the national level:

1. Alignment between the Department of Higher Education and Training (DHET) and the Department of Science and Technology (DST) could be improved and fostered through the establishment of a common set of targets for postgraduate scholarship, programmes that optimise synergies without making for unnecessary duplication, and the careful coordination of efforts.

2. Additional funding support needs to be provided to meet the national targets set both in terms of the total number of post-graduate candidates and academic staff, and in terms of the equity imperatives identified.
 3. Adequate numbers of scholarship opportunities should be matched with scholarships of the appropriate quantum, i.e. awards that meet the needs of scholars for travel, conferencing, books and equipment.
 4. At present, there is significant variation in awards made by various funders. The debates regarding spreading or concentrating resources continues, but ongoing monitoring and evaluation could highlight the benefits to be gained from establishing national norms and standards for awards, e.g. the size of awards.
 5. Programmes need to draw on the best practice described in this and a plethora of other reports that have reviewed approaches to transformation and models of postgraduate development (including supervision) so as to add value to the outputs and outcomes.
 6. The issue of quality – both of processes followed as well as of outcomes and outputs – needs to be foregrounded by the HEQC and other key stakeholders.
 7. In addition to being informed by existing research, sector-wide initiatives need to be monitored and evaluated and the findings of these studies disseminated and discussed.
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ADDENDUM

Report on the
CHEC Discussion Forum



EQUITY AND TRANSFORMATION IN SOUTH AFRICAN UNIVERSITIES

Townhouse Hotel
Cape Town
24 March 2014



INTRODUCTION

This report summarises the various inputs and discussions held at a forum hosted by the Cape Higher Education Consortium (CHEC) in March 2014 as part of a broader project commissioned by Carnegie Corporation of New York (CCNY).

The broader project focused on reviewing initiatives in equity and transformation at three South African universities – the University of Cape Town (UCT), the University of the Witwatersrand (Wits) and the University of KwaZulu-Natal (UKZN). This was done within the national policy context and with attention to the approaches used by selected United States (US) foundations – the Ford Foundation, the Mellon Foundation, Atlantic Philanthropies and CCNY – in funding such initiatives.

The forum provided an opportunity to present key findings of the review to a wider audience and to reflect on these within the context of national developments over the past two decades. In doing so, the ongoing tensions between equity and development and the ways in which universities manage these were highlighted. The forum concluded with a facilitated discussion on the way forward, highlighting the need for a policy brief for decision-makers in government and universities. Appendices A and B provide the programme for the event and the list of participants. For copies of the presenters' slides, please refer to the CHEC website, www.chec.ac.za.

REVISITING THE EQUITY/EQUALITY– DEVELOPMENT/QUALITY GOALS: PARADOX AND TENSION IN SOUTH AFRICAN HIGHER EDUCATION

Dr Saleem Badat, Vice-Chancellor, Rhodes University

The first presentation at the forum described how the paradox and tensions related to the simultaneous pursuit of the values and social goals of equity and development have played out in South African higher education over the past 20 years.

Development/quality

In the first part of his presentation, Dr Badat characterised the privileging of the development/quality pole in the early 1990s. The key argument used was that 'whatever policy [was] pursued to advance the black universities, the capacities of the white universities must not be endangered'. This argument foregrounded the importance of 'quality' in the historically white universities (HWUs), and the need to maintain this for economic and social development purposes. For Dr Badat and others, such a position represented a triumph of development over equity, and one that put the onus on the students, not the universities, to change. The arguments for development/quality suggested that these goals would be threatened by large numbers of underprepared students entering the system. At the time, various commentators pointed out that there were many ways to define 'quality', and that this particular way was somewhat limited.

Equity/equality

During the next phase, the pendulum swung with the equity/equality pole being privileged – 'the right to education' irrespective of economic and social development needs and associated considerations of 'quality'. This position is linked to elements in the Freedom Charter, the broad democratic movement, and redress for the historically black universities (HBUs). At this time, no attention was given to which educational needs or sectors should be prioritised (schooling only or higher education too).

Challenges associated with balancing

Drawing on Harold Wolpe's 1992 observation that the transformation of higher education was too focused on the equity pole, without due attention to 'economic, social and political development in a new democracy', Dr Badat pointed to the challenges of pursuing both goals simultaneously, without managing difficult and complex trade-offs. He posited that the Department of Higher Education and Training (DHET) continues to grapple with the same issue.

Dr Badat's key argument in the presentation was that each pole, with its associated values and goals, has limitations. If the equity/equality agenda is pursued exclusively, this would have a negative effect on quality and risk, compromising the production of graduates with the requisite knowledge and skills for economic and social development. In contrast, an exclusive focus on the development/quality pole (i.e. on the formulation of policies linking higher education to economic and social development) risks retarding the achievement of equity/equality, including the redress of race and gender disparities.

In exploring a way out of this long-standing impasse, Dr Badat argued for an important conceptual shift and a different departure point for policy formulation – one that takes account of the claims of both poles (see Badat et al., 1994). This shift requires the recognition of both claims and associated sets of social goals, without prioritising one over the other; instead, since the two poles exist in 'a relationship of intractable and permanent tension', these tensions need to be recognised, understood and managed, rather than denied or dissolved.

Referring again to Wolpe (1992), Dr Badat reiterated the call to be creative and pursue both claims/demands 'as far as existing conditions permit' (page 5). Among other things, he argued, this involves a disaggregation of the concepts used at each pole, i.e. seeing equity as different from equality. In addition, there is the need to disaggregate the equity/equality pole into race, class, gender, disability, and so forth. Disaggregation in relation to development will also be needed, because it is not possible to pursue all economic, social and cultural goals at the same time. Given the limited resources available, difficult choices have to be made in terms of what needs to be pursued and in which order. Clarity about the rationale underlying these choices would be important.

In this way, Dr Badat's presentation highlighted the competing goals facing decision-makers in government and universities. He explained, too, that meeting different goals often requires different infrastructure. For example, meeting the needs of undergraduate students will require different structures from those for postgraduate students. It is unlikely, therefore, he argued, that an institution would be able to move forward in meeting different goals at the same time with equal success. In other words, it would be difficult to seek 'outstanding teaching-learning and research and innovation (and a range of other desirable goals) simultaneously'. This argument raises the question as to what the DHET is currently prioritising in its policies.

Summary and conclusion

Reflecting on the equity/equality–development/quality tension since 1994, Dr Badat concluded that national policy has attempted to pursue both poles simultaneously and that this has resulted in difficult political and social dilemmas, choices and decisions, especially given inadequate public finances. For example, pursuing the equity/equality goals in relation to student admissions resulted in increased student numbers in the first ten years after 1994, but a lack of adequate funding for them. While a period of enrolment planning to effect balance in the system followed, the tensions between these poles have continued. Dr Badat also pointed to the growth projections of half a million students over the next 15 years, saying that these projections did not take account of the extent to which the economy would need to grow in order to provide the means to increase the government's budgetary allocation to higher education.

In considering ways in which a balance between the two poles could be created, Dr Badat noted a development/quality orientation in relation to admissions policies in areas such as medicine, engineering, psychology and architecture. He summarised the challenge for higher education as the ongoing need to balance competing goals and to manage the equity–development tensions. He posed the question: what strategies can, to some extent, satisfy both goals as far as 'existing conditions' permit?

The final part of the presentation listed six critical questions for further research:

1. Are decision-makers in government and universities aware of the

paradoxes and dilemmas of simultaneously pursuing equity/equality and development/quality goals?

2. Do these actors make use of 'simplifying manoeuvres' – denying the existence of any paradoxes or dilemmas, or privileging one value or social goal above another?
3. How have these actors sought to imaginatively and creatively devise approaches and strategies that contribute effectively and simultaneously to both equity/equality and development/quality – to '*finding a path which to some extent satisfies both demands as far as existing conditions permit*'?
4. How, in what ways, and to what extent have decision-makers made choices and trade-offs, and with what degree of transparency? What have been the consequences of these choices and trade-offs?
5. How have the 'the available choices' been formulated, argued for and struggled over? How, in what ways, and to what extent have there been innovations in the 'just machinery' that provides the 'opportunity to choose' and to make decisions (Wright Mills, 1959:174)?
6. Have there been unintended results of the choices made and what have been the 'possible side-effects on other valued ends' (Terreblanche, 1992:549)?

Discussion on Dr Badat's input

Several questions and comments were gathered by the Chair. Of particular interest to participants was what was termed 'balancing acts' – whether it is indeed possible to balance competing goals, and, if so, how Dr Badat had given effect to this at Rhodes University.

Dr Badat reported that at Rhodes University, the four-year extended study programmes had been introduced across BSc and BCom degrees. Approximately 150 students have been affected by this development and pass rates are up to 70% and above. While the longer programme delays graduation by a year, this is considered a small price to pay given the equity-related advances.

He acknowledged that more remains to be done in terms of epistemological changes, but reported that this is being addressed by the CHEC in their proposals for four-year degrees. Dr Badat underlined the importance of this development given that, currently, only 30% of enrolled students graduate – an issue of 'underprepared universities' as well as 'underprepared students'.

Dr Badat also noted that the institutional culture at Rhodes University requires further attention and referred to the award of USD 2.5 million from the Mellon Foundation for initiatives that combine and balance equity and development.

Ms Badsha concurred with the view that balancing acts are possible and happening, and suggested that we need to be more conscious of them and more explicit about them. She gave an example of where this balance had been sought, albeit not explicitly: in the mid-1990s, there was intense pressure for institutional redress on a large scale at a time when many HBUs were experiencing management and/or governance failures as well as declining enrolments. The former Department of Education's response was to focus rather on individual redress through strengthening the National Student Financial Aid Scheme.

SHIFTS IN POSTGRADUATE ENROLMENTS AND OUTCOMES IN SOUTH AFRICAN UNIVERSITIES OVER THE PAST TEN YEARS

Prof. Nico Cloete, Centre for Higher Education Transformation (CHET)

Prof. Cloete began his presentation by referring to 'massification', especially in the light of current moves to broaden the sector to a post-school system. He noted the push-pull of the equity and development balancing act with its various role players, including the National Development Plan, the Ministerial Committee on Transformation, and external funders/donors. He also referred to the ongoing relevance of the findings of the review commissioned from CHET by Carnegie (Cloete & Galant, 1993 <http://chet.org.za/books/capacity-building-next-generation-academics>).

Growth rates of academic staff and doctoral graduates

Prof. Cloete presented and commented on a range of quantitative data, including that related to annual growth rates of permanent academic staff according to race and gender (2004–2012), and annual growth rates in doctoral graduates according to race and gender (2004–2014).

The need for clarification of the categories used in data collection and for more nuanced data was noted. For example, Prof. Cloete commented that figures in the slides needed to take account of the fact that approximately 50% of doctoral students were actually members of staff.

Participants' responses to the slides included noting that it is not compulsory for people to disclose their race, and that many international students cannot relate to the South African categories. Additional inconsistencies in data collection were also noted, e.g. some institutions include Africans from outside South Africa in their publication count but not in their black staff count.

Progress of doctoral students and factors that enhance their success

Prof. Cloete presented quantitative data related to the progress of new doctoral students after seven years, drawing attention to some surprises in these data. For example, Tshwane University of Technology was in the highest position in band 2 with 59% retention after seven years (6th in the overall list after Stellenbosch, Wits, Cape Town, Rhodes and Fort Hare).

The band 1 position of Fort Hare University was also noted, as well as Cape Peninsula University of Technology in band 2. (Vaal University of Technology, Walter Sisulu University and Mangosuthu University had no doctoral students.)

The data indicate that international students make quicker progress through their doctoral studies than local students. Interestingly, in 2010, although there were more African than white doctoral registrations, most of these were from outside South Africa. South Africa is becoming a hub for African scholars. The data indicates an 800% increase in black students overall, albeit on a low base.

While many students from elsewhere in Africa work on data from their home country, and, indeed, return to their home country after graduation, this need not be seen as in any way negative, as continent-wide development is vitally important. Prof. Cloete drew attention to the way that the EU Erasmus Mundus programme actually encourages this practice.

Misinterpretations of the data were again highlighted. For example, while some doctoral students appear to have graduated after one or two years, the reality is that they often only register once they are well into their studies.

The broader issue of institutional and structural factors affecting success rates was also discussed. Prof. Cloete noted the need for a critical mass of postgraduate students in an institution, along with adequate numbers of senior staff/professors with PhDs. He suggested that these factors should be taken into account in future funding mechanisms.

Supporting the need for critical mass, Dr Max Price suggested that data need to be disaggregated to programme and department level. Prof. Cloete responded by referring to a recent survey of 25 productive university

departments with respect to postgraduate students. Evidence here suggests that the individual supervisor model is not necessarily the only, or even the most successful, approach. Prof. Cloete referred to alternative models where external funds were sourced to support particular projects to which PhD students were assigned.

Conclusion and general observations

Prof. Cloete concluded with a set of general observations:

- The data provides a strong case for the need for improved research management, including researching research management practices followed in universities and other organisations;
- Methodologies that measure 'success' need further clarification and elaboration; and
- Decision-makers need to undertake a careful assessment of the specific institutional context before expanding postgraduate student numbers.

Further questions raised concerning Prof. Cloete's input

Concerns raised after Prof. Cloete's input centred on whether the emphasis given to transformation in universities may be lost when the government shifts its focus to colleges in a post-school system. In addition, questions as to whether lessons learnt in one sector would be transferred to another, were raised. Once again, questions around competing demands in the post-school sector were highlighted – for example, how will the government balance the needs of a 'Rolls Royce university experience' vs building occupational opportunities for rural communities?

KEY LESSONS GLEANED FROM THE REVIEW

Sharman Wickham, Cape Higher Education Consortium (CHEC)

Introduction by Claudia Frittelli, CCNY

Ms Claudia Frittelli's introduction served to contextualise the review of equity and transformation initiatives as undertaken by CHEC. She explained that, at the end of the second round of funding, where approximately USD 55 million was invested by US foundations, the CCNY identified the need to look across the transformation outcomes of all the foundations to identify successes, learning, and 'catalysts' to guide future developments.

Addressing competing goals

In beginning her presentation on the key lessons gleaned from the review, Dr Sharman Wickham said that the review had confirmed the need for universities to balance competing goals and to make difficult choices by either juggling between, or prioritising, these goals. For example, the review had found that some of the initiatives and activities that had been included in the original funding applications to the CCNY had fallen away during the implementation period. In effect, further difficult choices had had to be made with certain initiatives prioritised over others. Such developments have provided useful lessons when addressing the overall question, 'How can we strengthen the academy in South Africa?'

Study framework

Dr Wickham explained that the study framework for the review could best be conceived as having three layers or levels (national, institutional and programme), the three institutions that had received two cycles of funding (UKZN, UCT, Wits), and selected US foundations (Carnegie, Ford, Mellon, Atlantic). The review process took account of the need to move beyond descriptions of the three institutions and their programmes in order to draw out lessons for the sector as a whole, including external donors. It was acknowledged that, while some of the lessons gleaned from the review

were not new, the report represents an important collection of experiences of role players, including the beneficiaries.

Conceptualisation of 'equity' and 'transformation'

Dr Wickham went on to consider the ways in which decision-makers at all three levels define and conceptualise the terms 'equity' and 'transformation' and the relationships between these. While there is an array of policies regarding equity and transformation at the national level (including guidelines, signals and targets), the lack of a coherent conceptualisation of the relationship between equity and transformation at this level is echoed in institutional documents and in external donors' discourse.

While the complexities associated with equity and transformation have been recognised in institutional submissions/proposals, these do not contain what is often termed 'programme theory' – i.e. an explanation of how the planned initiatives will contribute to equity and transformation. These absences and the differences noted in external donors' discourse (e.g. for some transformation is defined as equity) provide challenges for both implementers and evaluators.

In terms of key lessons regarding improved conceptualisation, Dr Wickham noted the need for continued dialogue so as to share and develop understandings of the concepts, the relationships between concepts, policy, approaches, models and programmes (and their activities). A fully fledged conceptual framework would allow for identification of how the concepts play out across the three layers included in the review. In doing so, the purpose (and the value) of equity and transformation needs to be addressed, i.e. what are the purposes of equity and transformation at individual, institutional and societal levels? As one of the interviewees suggested, it may be necessary to develop a new discourse of, and for, transformation rather than continue to use the language of the past.

Translation into projects and initiatives

As with conceptualisation, translation can be found at all three levels – national, institutional and programme. The challenges of working within an environment of financial constraints had been highlighted in earlier presentations. Dr Wickham foregrounded the need to optimise government and external donor funding, suggesting that a more clearly explicated

alignment between the purposes and goals of the DHET and the Department of Science and Technology (DST) would be useful. Similarly, collaboration around the issue of quality versus quantity would need to be jointly addressed by the Higher Education Quality Committee (HEQC) and other system planners.

At the institutional and programme levels, the review report records a range of approaches and initiatives, including those regarding equity, institutional culture, and research development. Some of these had existed prior to the CCNY donor funding, e.g. the LEAP lectureship programme at UKZN. Interestingly, by the time the second cycle of funding began at UKZN, this programme and its activities had become the key focus, with other initiatives having been dropped. While the LEAP programme at UKZN involved a young cohort of scholars, research development programmes at other universities included staff that were already at middle-management level but still 'young in research'.

Some initiatives related to equity and research development were entirely new within the institutions, while others drew on elements of similar programmes that had already been tried and tested. Review data suggested that, where there were several new initiatives at the same time, some of these were slow to get off the ground and gain traction. The expansion of those programmes that have already been 'bedded down' may provide a better platform for quicker and smoother implementation.

The delays in setting up some of the new initiatives also highlighted the need for the prioritisation of activities and the importance of management of these initiatives. Similarly, the sustainability of initiatives, and their on-going evaluation, were seen as requiring leadership at senior management level, enthusiastic champions and a dedicated management team.

The shift in emphasis from equity and research development in the first cycle of funding to that of research transformation during the second cycle of funding at UCT was highlighted in the research report. This shift coincided with the increased emphasis given to its Afropolitan identity and focus and the importance of interdisciplinary research in addressing problems on the continent.

For many young scholars interviewed for this review, successful translation of research development initiatives was highly dependent on the quality

supervision and mentorship they had received. This pointed to the important issue of the retention of senior staff and the need for incentivisation programmes.

While all three universities acknowledged the need for a 'two-pronged approach', only two of these included initiatives that focused on institutional culture in their Carnegie-funded work. At UCT, the more traditional workshop approach was used (in Khuluma and then ADAPT workshops), while at Wits a number of creative ideas were introduced (e.g. student photographic competitions where notions of transformation could be interpreted and interrogated).

Monitoring and evaluation approaches need to include both quantitative and qualitative data and be sufficiently robust to test initial conceptualisations and their intended and unintended consequences, so that they can be revisited as required.

One of the key benefits of the Carnegie funding was that these three universities were able to design and test (and, in some cases, adapt) initiatives that were seen to be in line with their wider institutional approaches to equity and transformation. While there may not have been coherence in terms of the conceptualisation and the coordination of initiatives, there was agreement that the initiatives were relevant in the national and institutional contexts and that these needed to be implemented flexibly. The review noted, however, that conditions for and amounts of funding for beneficiaries had not been uniform, both across and even within some of the universities, and that this may have contributed to misunderstandings about the purpose of appointments and research grants made.

The improved coordination of institutional initiatives has required (and, in some cases, continues to require) new institutional structures and practices designed for more inclusive decision-making and higher levels of participation. These support greater cross-fertilisation of ideas related to the initiatives.

One of the key understandings confirmed in the review data is that there is no 'quick fix' in addressing the challenges associated with equity and transformation.

Impact and benefits

While this study was not an impact study or an evaluation, Dr Wickham explained that questions about impact and benefits are often raised. The review report certainly highlights the impact and benefits of the initiatives that provided access to the academy and to research support for individual scholars – a number of whom pointed out that, without this funding, they would not have been able to enjoy such opportunities.

The participating institutions have also been given opportunities: to consider their institutional approaches to equity and transformation, to make choices about how to prioritise or balance these (both new and existing), and to build academic and administrative capacity. Some of the new programmes introduced have been mainstreamed. In all three universities, increased attention has been given to both recording and evaluating the initiatives, thus building understandings and capacity.

It was noted that the longer-term retention of the Carnegie-funded scholars still needs to be assessed, including whether scholars move within the system. The longer-term impact of the initiatives on institutional and research culture also requires ongoing assessment. Such assessments will need to include quantitative and qualitative measurements and be considered against clearly articulated goals, established at the outset. The assessments should also be sufficiently fine-textured to ascertain the influence of institutional 'flavour' on outcomes and impact. The results of such assessments will contribute to the development of clearer conceptual frameworks, and to suggestions on more nuanced ways forward.

RESPONSES FROM THE NATIONAL RESEARCH FOUNDATION (NRF)

Andrew Kaniki and Aldo Stroebel

Dr Andrew Kaniki introduced this session by speaking to the current NRF strategic goals, which now include critical cross-cutting imperatives, including equity and transformation. He commented that the CHEC report would be useful for the NRF in terms of developing common conceptual understandings.

Dr Kaniki went on to outline the NRF's investment principles related to grants, e.g. bids/initiatives must be competitive, contain an appropriate mix of government/top-down/strategic and bottom-up approaches, and give attention to 'balance' in relation to transformation. 'Balance' for the NRF involves the identification of instruments and interventions, e.g. research chairs and centres of excellence. When making decisions about bids, the NRF takes into account pre-existing structures that would enable success, while also seeking to build on existing capacity. Before handing over to his colleague, Dr Aldo Stroebel, Dr Kaniki confirmed that the NRF would continue to support young emerging researchers and the next generation of scholars.

Prior to his presentation entitled 'Internationalization of the Research Platform – Innovative Partnerships and Increased Impact', Dr Stroebel stated that the review report would be useful in the current NRF debates and in informing the approach to be used. At present, the concept of 'capacity development' signifies a systemic approach which requires sustained, longer-term support. While a more inclusive basis for future support was being considered, the NRF would maintain a delicate balance in its decision-making around grants and continue its partnerships with government departments and science councils.

Dr Stroebel went on to explain that the NRF considers internationalisation to be a critical cross-cutting imperative, and that two components are taken into account. The first relates to the need to acknowledge the contribution that international staff and students make in increasing South

Africa's competitiveness, while the second concerns the use of international funding opportunities to benefit institutional transformation/capacity development, including resource mobilisation and matching. The latter component foregrounds the need for innovative partnerships, bilaterals and 'focused investments'. Dr Stroebel urged university staff from both the research offices and the international offices to include reference to these issues in future proposals.

RESPONSES FROM REPRESENTATIVES OF THE THREE UNIVERSITIES

UNIVERSITY OF THE WITWATERSRAND

Hugo Canham



Dr Hugo Canham endorsed the Carnegie review report as reflective of the work undertaken at the University of the Witwatersrand. He briefly outlined the programmes that had foregrounded equity and the rationale underlying these, particularly the institutional culture which had not encouraged the retention of black academics.

Dr Canham confirmed the review report finding that the first cycle of implementation had been experienced as difficult, mainly because of shortcomings in the institutional infrastructure. He also confirmed that, during the course of the programme, both these institutional arrangements and the capacity around monitoring and evaluation had been developed. (In the second cycle of funding, the programmes were based in the Transformation Office.)

In terms of positioning on the equity/transformation binary, Dr Canham reported that the university had attempted to maintain a balance and that this had been reflected in the Carnegie-funded programmes. A focus on institutional culture and research interventions in the arts characterised the Wits programme, breaking the traditional patterns in research funding. Creating and maintaining a community of researchers was important, and the Transformation Office built individual relationships with the 166 grant recipients. The grants were framed as prestigious and competitive, but supportive – and no experiences of stigma were raised.

Within the institution, the Carnegie programme had become a 'rebel programme', because selection committees were constituted in ways that valued alternative knowledges. Those members of the committee who represented the transformation pole had positioned themselves as equal members: they shaped developments rather than acting only in a support capacity.

Dr Canham's slides indicated qualification and promotions tracking for grant beneficiaries (with four new, full professors in 2014). Regrettably, there is no internal funding available to continue the programme.

UNIVERSITY OF KWAZULU-NATAL

Shannon Hoctor and Nyna Amin



The UKZN presentation was informally shared by Drs Hoctor and Amin. Once again, the descriptions and findings in the Carnegie review report were endorsed as 'reflecting reality'. It was agreed that most of the funding at UKZN had been channelled into the LEAP programme, for which no further funding was now available.

The discourse used in the forum regarding 'balance' was critiqued as a 'metaphor that doesn't work'. Dr Amin argued that balance easily leads to stasis and suggested that imbalance should be sought in order to secure development. For her, this meant that it is more effective to focus on one goal at a time (i.e. either equity or transformation), rather than seeking to work with both goals simultaneously.

Two further issues were raised in the UKZN presentation. The first was in relation to the way in which 'institutional culture' is conceptualised. Dr Amin explained that 'culture' should not be understood as something that is 'out there', but, rather, something that is shaped by the very 'in here' activities for which funding might be sought, and which funding might shape over time.

The second was in relation to the need to start to consider funding for 'post-race issues', since some universities are shifting 'a race discourse to a discourse on minds and worldviews'. This implies that future funding needs to focus on ways of thinking about knowledge.

UNIVERSITY OF CAPE TOWN

Marilet Sieneart, Crain Soudien, Glenda Wildschut



Dr Marilet Sieneart agreed with the previous contributors that the review report captured the issues related to the Carnegie-funded programmes at UCT well. In her presentation, she spoke to the Research Office programmes,

i.e. the Emerging Researcher Programme (ERP), a programme already institutionally embedded at the start of the Carnegie funding, and the Programme for the Enhancement of Research Capacity (PERC), a new programme.

Dr Sieneart noted two key lessons from the UCT perspective: the importance of good data collection and the necessity of building capacity in this area, and the importance of exposure of emerging researchers to a range of mentors.

In terms of PERC, Dr Sieneart spoke about the impact the programme had had on cultural change through the development of interdisciplinary, Africa-specific themes, i.e. encouraging more established researchers to think about their discipline and research from 'the vantage point of Africa', e.g. climate change. She noted that some of the Carnegie funding for PERC had been used as grants to researchers 'to get people talking to each other' across the institution by communicating across disciplines, including the involvement of postgraduate students in new or existing projects – thus, a deliberate and visible experiment to expose students to new ways of research.

Before concluding, Dr Sieneart mentioned a direct spin-off from this aspect of the Carnegie work: the University Research Committee has established a task team to look at impediments to cross-disciplinary links and how cross-pollination can be further enabled. In addition, discretionary funding is being sought to call for new project themes in 2015.

Prof. Crain Soudien spoke briefly to the Khuluma and ADAPT aspects of UCT's work which were concerned with institutional transformation. He reported that both programmes drew good participation, but mainly from non-academic staff. He raised the question of whether participation should become compulsory as a means to better institutionalise the issues and ensure all staff engage with 'what the institution is really about'.

Ms Nazeema Mohamed, who had worked with the Khuluma programme while she had been at UCT, drew attention to the way in which these workshops had followed up on an institutional climate survey undertaken as a baseline for further testing. She noted how important leadership buy-in was to the implementation of such programmes as well as later follow-up activities. Ms Glenda Wildschut added that the focus of the ADAPT work-

shops was intercultural competencies, i.e. developing the competencies to engage with each other's class, race, gender, disability, sexuality, cultural and other differences in an empathic and respectful way. ADAPT was purposely designed for existing work teams. She noted that the programme was due to end very shortly, and that plans for its continuation were uncertain.

DISCUSSION AND WAY FORWARD

In prompting discussion on the way forward, Prof. Crain Soudien, Chair of the CHEC Board, posed two questions:

What do you want to leave the forum with?

What do we want to focus on as a community?

After a wide-ranging discussion, it was agreed that a policy brief would be written for a wider audience, including decision-makers in government and the universities. The document will focus on the 'ingredients' identified as being of value in programmes that contribute to building the next generation of academics in South African universities. It will draw on the findings and lessons in the Carnegie review report as well as those found in a number of other studies, including that completed by CHEC for the Ford Foundation.



APPENDIX A: PROGRAMME

CHEC DISCUSSION FORUM:
EQUITY AND TRANSFORMATION IN SOUTH AFRICAN UNIVERSITIES

Townhouse Hotel
Cape Town
24 March 2014



The forum offers an opportunity for CHEC to present the key lessons learnt in the recent review of initiatives focused on equity and transformation at three South African universities supported by Carnegie Corporation of New York. These will be presented in the wider context of national developments and reflections on the ways in which universities manage the tensions between equity and development.

10h00–10h10 Welcome and introduction
Nasima Badsha, CEO of CHEC

10h10–10h45 Reflections on managing the tensions between equity and development in higher education in South Africa over the past 20 years
Dr Saleem Badat, VC Rhodes University

10h45–11h30 Shifts in postgraduate enrolments and outcomes in South African universities over the past ten years
Prof. Nico Cloete, CHET

11h30–11h40 Origins of and rationale for the review of initiatives in equity and transformation

Claudia Frittelli, Carnegie Corporation of New York

11h40–12h15 Key lessons gleaned from the review
Sharman Wickham, CHEC

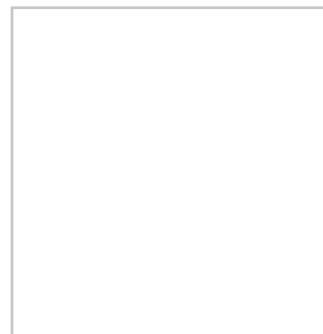
12h15–12h45 Responses from representatives of the universities
Marilet Sieneart, UCT; Hugo Canham, Wits; Shannon Hoctor, UKZN

12h45–13h30 LUNCH

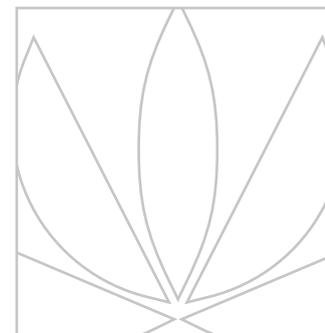
13h30–14h15 Responses from representatives of the NRF
Andrew Kaniki and Aldo Stroebel

14h15–15h00 Discussion – facilitated by *Prof. Crain Soudien, Chair of the CHEC Board*

15h00 Close – *Prof. Crain Soudien, Chair of the CHEC Board*



APPENDIX B: PARTICIPANTS



Nasima Badsha, CHEC
Sharman Wickham, CHEC
Claudia Frittelli, Carnegie Corporation of New York
Saleem Badat, RU
Nico Cloete, CHET
Denise Webbstock, CHE
Martin Mulcahy, DST
Stuart Saunders, Reference Group for review project
Nazeema Mohamed, Ford Foundation
Andrew Kaniki, NRF
Aldo Strobel, NRF
Gerald Ouma, UP

Tawana Kupe, Wits
Hugo Canham, Wits
Max Price, UCT
Crain Soudien, UCT
Glenda Wildschut, UCT
Russell Ally, UCT
Marilet Sienaert, UCT
Shannon Hoctor, UKZN
Nyna Amin, UKZN
Karen MacGregor, University World News
Judy Harris (rapporteur)

