



UNIVERSITY OF CAPE TOWN

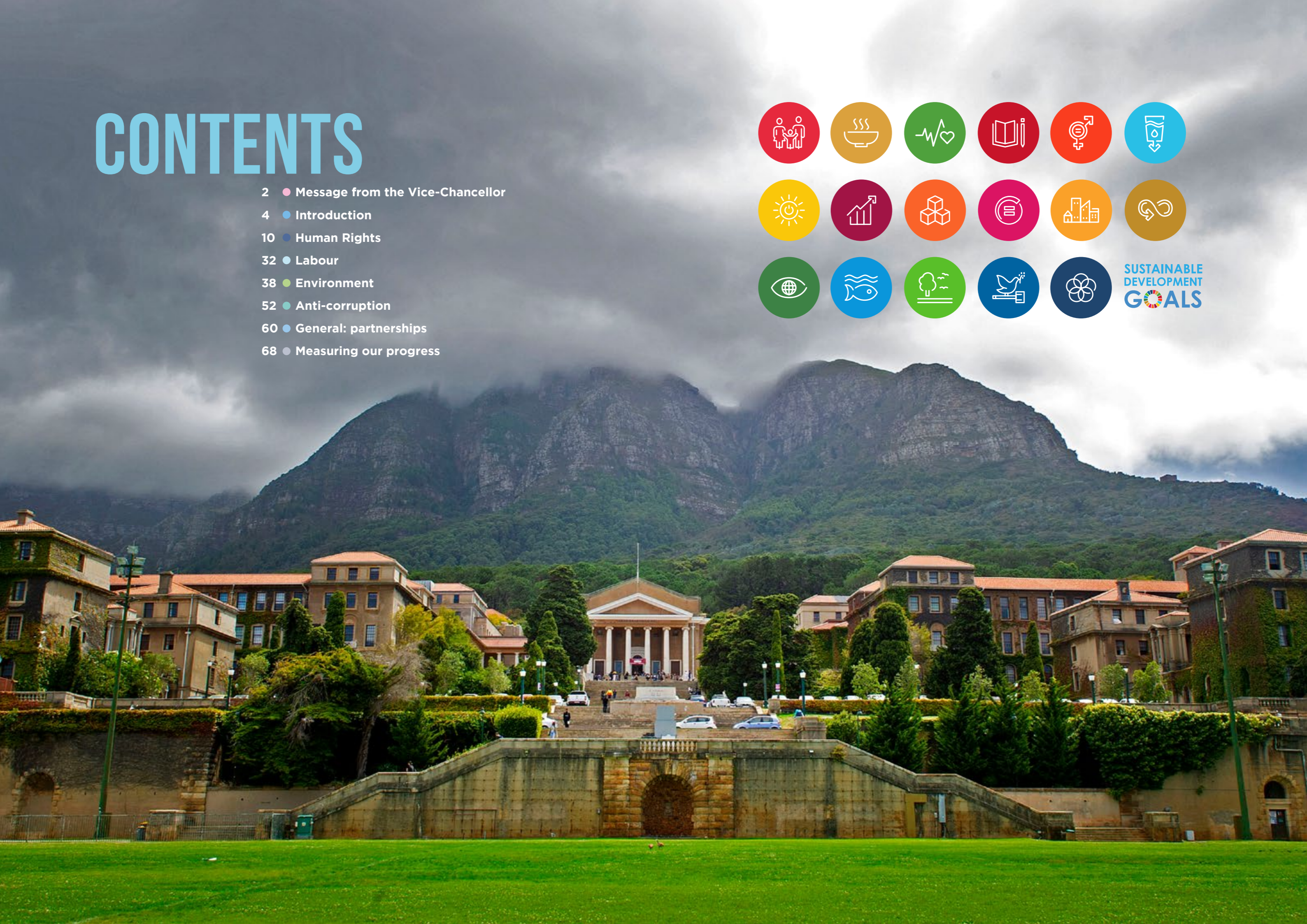
UN GLOBAL COMPACT: COMMUNICATION ON ENGAGEMENT REPORT

June 2023



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MESSAGE FROM THE VICE-CHANCELLOR

The University of Cape Town (UCT) is fully committed to playing its part in living up to the *Global Compact* (GC) principles. Together with the *United Nations Sustainable Development Goals* (SDGs) and the *African Union's Agenda 2063*, these principles seek to meet the grand challenges facing the world. Our research, teaching and knowledge translation focus acutely on supporting and responding to these crucial issues.

When the then Vice-Chancellor, Dr Max Price, signed up to the GC agreement five years ago, he confirmed UCT's full support for the principles of the GC on human rights, labour, environment, and anti-corruption, and he committed the university to making a clear statement of this to our stakeholders and the general public. He pledged that UCT would (a) conduct applied research and thought leadership to develop and share best practices in advancing these principles and (b) promote the principles and educate audiences about sustainability. It gives me great pleasure to record that UCT has fully honoured this commitment made in 2018, as is evidenced by the progress reported in this and the previous report of 2021. Cognisant of the vital importance of adhering to the GC principles for global sustainability, I renew our pledge of support to the GC principles.

Emeritus Professor Daya Reddy
VICE-CHANCELLOR (INTERIM)



INTRODUCTION

By the DVC of Research and Internationalisation, Professor Sue Harrison, about the University of Cape Town's commitment to promoting the United Nations (UN) Global Compact (GC) and implementing the Sustainable Development Goals (SDGs).

A central component of UCT's vision is to work towards a sustainable global future. To this end we have and continue to put in place measures that incorporate the GC principles and the SDGs into the University's internal operations; we promote these principles and goals through our research, innovation, teaching and knowledge-translation activities.

Our institutional strategy *Vision 2030* commits us to 'Unleash human potential to create a fair and just society'; therefore, we nurture respect for human rights by conducting research and offering courses that promote an understanding and advancement of human rights. We also ensure that all our actions reflect a human-rights approach and expect the same from everyone with whom we deal, the details of which appear in Part 1.

In line with this, we take particular care in our labour relations to uphold the freedom of association and the right to collective bargaining, promote equity in our appointments and promotions, and ensure that our suppliers and contractual partners adhere to appropriate international labour standards, as described in Part 2.

At the heart of our commitment to sustainability is a deep dedication to promoting

environmental responsibility. To this end, we progressively incorporate the GC principles and SDGs related to the environment into UCT's internal operations, with the goal of hitting the triple target of (a) achieving a net-zero carbon footprint by 2050, (b) becoming a net-zero water campus by the same date, and (c) also by 2050, achieving net-zero waste to landfill. Furthermore, as a result of creating cross-cutting and integrated research teams that address the grand challenges of our time, we have identified emerging areas of importance that are closely linked with the GC principles, the SDGs and the African Union's Agenda 2063. In this way, we strive to champion knowledge from Africa, generate new knowledge in Africa, contribute to global knowledge and ensure that all our work has a tangible social impact in Africa and further afield. The different facets of our initiatives aimed at protecting the environment and encouraging environmental responsibility - particularly in the context of this continent - are detailed in Part 3 of this report.

In a country where widespread corruption threatens to derail a sustainable future, UCT has been steadfast in not tolerating any internal corruption and in combating it in the wider society. Our stringent measures to ensure ethical conduct within our institution and on the part





of those with whom we collaborate or enter contractual relations, as well as our efforts at promoting ethical behaviour in the wider society, can be found in Part 4 of this report.

We have always appreciated the value that partnerships add to the work of the university, and we are conscious that partnerships, at both local and global levels, are particularly important to living up to the GC principles. In Part 5, we give examples of those partnerships that contribute significantly to the achievement of these goals.

Lastly, we are keenly aware of the importance of measuring our progress towards the achievement of the GC principles, the SDGs and Agenda 2063. Therefore, we employ both quantitative and qualitative methods in measuring our progress internally, and in different ways we submit to external scrutiny, all of which is set out

in the last section of this report (Part 6).

In our work committing to contributing to the achievement of a sustainable future, we have an unambiguous Africa-centred approach, and continue to build on the work of the *International Summit on the SDGs in Africa*, hosted by UCT in 2021. This was a pivotal moment in our progress as a continent towards the realisation of these all-important objectives and helped to shape our collaborative research agenda with African partners and beyond, which contributes to building the Africa we want, as well as cementing our alignment with the GC principles, SDGs and the African Union's Agenda 2063.

Professor Sue Harrison
DVC, RESEARCH AND INTERNATIONALISATION



REPORT ON PROGRESS ON

- THE INCORPORATION OF THE GLOBAL COMPACT PRINCIPLES INTO THE INTERNAL OPERATION OF THE UNIVERSITY; AND ON
- THE PROMOTION OF THE GLOBAL COMPACT PRINCIPLES THROUGH THE ACTIVITIES OF THE UNIVERSITY



01 HUMAN RIGHTS

Principle 1: Businesses should support and respect the protection of internationally proclaimed human rights; and

Principle 2: Make sure that they are not complicit in human rights abuses

It is important to emphasise the point made in the previous report, namely that the SDGs that fall under this heading coincide with specific protections afforded by the Bill of Rights in the Constitution of South Africa. The South African Constitution is particularly progressive in that it also guarantees certain socio-economic rights. Thus, the Constitution enshrines the right to health care, food, water, and social security (article 27), the right to education (article 29) and, vital to the realisation of this right, the right to freedom of expression), as well as the right to equality (article 9). These protections dovetail with SDG 1 (No Poverty); SDG 2 (Zero Hunger); SDG 3 (Good Health and Wellbeing); SDG 4 (Quality Education); SDG 5 (Gender Equality), and SDG 10 (Reducing Inequality).

In the previous report, we noted that joining the GC has afforded UCT a renewed opportunity to measure how well it is living up to its ambition to imbricate respect for human rights in its practices and to teach, research, and promote human rights

in society at large. We continue to respond to this opportunity by redoubling our efforts in our existing projects that further human rights while continuously exploring new ways of cementing respect for the basic rights enshrined in our Constitution.

Unfortunately, as also mentioned in the last report, these rights have not yet been fully realised in the lives of the people of South Africa. UCT is contributing, in a variety of ways (which will be described later in Section 1.2 below), to intensify the protection of human rights in our country. However, the incomplete realisation of these rights is also true of the UCT community itself. Therefore, UCT continues to strive to deliver what might be termed 'internal human rights' to UCT's staff and students. The transformation project of the university has resulted in several innovations (which will be described below in Sections 1.1 and 3) to make UCT a truly transformed, inclusive and diverse institution for its staff and students.



1.1 Incorporating human rights principles into the university's internal operations

Central to the incorporation of these goals into UCT's internal operations is the intensified transformation project, which focuses on *nine benchmarks* of institutional culture change, we will outline briefly below and cite some significant examples of achievements.

Measuring progress against the benchmarks

An important aspect of UCT's transformation agenda is that, as part of its approach that goals must be translated into action, it measures its performance against nine transformation benchmarks¹ that are intended to indicate how well the university has integrated, responded to, and taken action to effect transformation, inclusivity, and diversity. In 2021, UCT put together the third annual data set measuring

transformation. The *UCT Transformation Report 2021*² points out that although (i) a period of three years is too short for real change and (ii) 2020 and 2021 were years with unique challenges (due to Covid-19), the benchmark results for these years were nevertheless useful, namely, to assist the university to define its areas of strength, gaps and thematic areas which can inform future strategy. The *UCT Transformation Report 2021*³ analyses in detail how faculties and administrative and support departments are performing against these benchmarks. The fact that the university is measuring its progress in this regard is in itself a transformative act.

In this report, we list some of the advances made against the transformation benchmarks, but acknowledge we are on a journey where much still needs to be done.

¹ These are: *System-level indicators* Within the institution how well is transformation mainstreamed within basic strategic actions? *Student access and support* How is the institution supporting diverse students with disparate backgrounds to be included, to fully participate and to succeed within UCT? *Staff access and support* How is the institution supporting diverse staff members from disparate backgrounds to be included, to fully participate and to grow within UCT? *Place and space: language, names, symbols, artworks and identity* How is the university affirming the dignity, acknowledging the contributions and experiences, and placing special attention on those who have been historically marginalised? *Institutional responses to unfair discrimination, harassment and violence* How is the university practising its zero-tolerance approach to any form of unfair discrimination, harassment, sexual violence and behaviour that demeans others?

Community engagement: anchoring UCT in community How is the university supporting, building solidarity with and providing professional services to communities? *Curriculum support: decolonisation, marginalisation and accessibility* To what extent is the curriculum and pedagogy employed meeting the needs of and accessible to marginalised persons? How has curriculum, pedagogy and the broader learning environment been decolonised? *Owning UCT's African identity* How is the university centring its African identity through scholarship, teaching and learning practice, or activist initiatives? *Innovations, alternate approaches and best practices* What are the innovations and best practices which have been employed to further transformation, inclusivity and diversity?

news.uct.ac.za/publications/transformation/uct-transformation-report/-edition/2021/-article/2022-11-04-looking-back-at-the-benchmarks-20192021

uct.ac.za/sites/default/files/media/documents/uct_ac_za/39/2021_UCT-Transformation-Report.pdf (at p. 25)

uct.ac.za/sites/default/files/media/documents/uct_ac_za/39/2021_UCT-Transformation-Report.pdf (at p. 29)

Click here: [access, support and success](#)

uct.ac.za/dsa/student-wellness-service/welcome-student-wellness-service-sws

uct.ac.za/sites/default/files/content_migration/uct_ac_za/39/files/Student-Mental-Health-Policy.pdf

www.news.uct.ac.za/images/userfiles/files/publications/factsheets/UCT_FactSheet_19_HealthWellness.pdf

uct.ac.za/sites/default/files/media/documents/uct_ac_za/39/2021_UCT-Transformation-Report.pdf (at p. 39)

uct.ac.za/sites/default/files/media/documents/uct_ac_za/39/UCT_Teaching-and-Learning-Report_2021.pdf

See the UCT Annual Report 2021 at p. 30, available at

uct.ac.za/sites/default/files/media/documents/uct_ac_za/48/afs2021.pdf

Click here: [access, support and success](#)

Click here: ['place and space'](#)

See generally uct.ac.za/main/explore-uct/transformation

Click here: [discrimination, harassment, and violence](#)

uct.ac.za/sites/default/files/content_migration/uct_ac_za/39/files/DIS_Policy_Disability_December-2021.pdf

² news.uct.ac.za/publications/transformation/uct-transformation-report/-edition/2021/-article/2022-11-04-looking-back-at-the-benchmarks-20192021

³ uct.ac.za/sites/default/files/media/documents/uct_ac_za/39/2021_UCT-Transformation-Report.pdf (at p. 25)



Strategic integration of transformation

Under this rubric, the university asks itself: 'Within the institution, how well is transformation mainstreamed in basic strategic actions? To answer this question, the university interrogates how each faculty analyses data about diversity and inclusivity and incorporates it into their planning, whether annual reports and other official communications mention these issues, and what budget is allocated to facilitating transformation. The *UCT Transformation Report 2021*⁴ concludes that faculties perform at differing levels, but on average, 50 – 60% meet the tests applied.

Student access, support and success⁵

Considering the depth of inequality under Apartheid, widening access to the universities and transforming them into nurturing spaces where students have the necessary support to be successful is formidable. The question that the university poses to itself in this context is as follows: 'How is the institution supporting

diverse students with disparate backgrounds to be included, to participate fully and to succeed within UCT?' We mention some of the significant advances of the last few years:

(a) Recognising the central importance of providing adequate funding to financially needy students, UCT supplements the assistance by the government through the National Student Financial Aid Scheme (NSFAS) for undergraduate students and the National Research Foundation (NRF) with its resources. It also supports students who do not qualify for NSFAS support but need financial assistance (the 'missing middle'). The university again increased this support substantially during the reporting period and extended it to postgraduate students. Thus, the University of Cape Town (UCT) has spent at least R1.9 billion on student financial aid in 2022, which is an increase of R100 million compared to 2021.

(b) Mental health is as important a prerequisite

⁴ uct.ac.za/sites/default/files/media/documents/uct_ac_za/39/2021_UCT-Transformation-Report.pdf (at p. 29)

⁵ Click here: [access, support and success](#)

for the delivery of quality education as financial security. In this regard, the Student Wellness Service (SWS) of the university provides a professional health and counselling service to students at a primary health care level. The service assists students in making healthy lifestyle choices and the prevention, early detection and treatment of all health and psychological conditions as well as promoting a balanced and healthy lifestyle.⁶ In August 2018, the Council of the University approved a comprehensive *Student Mental Health Policy*,⁷ thereby giving effect to the UN Convention on the Rights of Persons with Disabilities (UNCPRD; 2007) and to article 24 of the South African Constitution which guarantees the right to education without discrimination to persons with disabilities. The SWS naturally also looks after the physical health of students through an outpatient service and, in addition, offers support to students with disabilities and to survivors of sexual assault and those who have been victims of discrimination.⁸ Support of this kind is also available at the faculty level; the *UCT Transformation Report 2021*⁹ records that ‘many faculties and departments provided psychosocial and educational support, often in response to the challenges, deficits and disparities exacerbated by COVID-19 and remote teaching and learning.’

(c) The provision of quality education at both undergraduate and postgraduate levels is a central goal for UCT. Just over a thousand permanent full-time academic staff teach a total of about 30 000 students (60% undergraduate and 40% postgraduate). The following markers are demonstrative of the quality of teaching at UCT:

First, upholding freedom of expression (as enshrined in article 16 of the Constitution and which expressly includes academic and scientific research freedoms) is at the heart of a strong and nurturing educational environment. Thus, UCT takes academic freedom, contested as it is, very

seriously under the watchful eye of the *Academic Freedom Committee* – a joint committee of the Senate and Council of the University – the goal of which is to promote academic freedom, including university autonomy, within and outside UCT, and to take appropriate action when it is infringed.

Secondly, the teaching and learning enterprise is led by a Deputy Vice-Chancellor and assisted by the work of the Centre for Higher Education Development and the Teaching and Learning Committee. The Deputy Vice-Chancellor for Teaching and Learning is charged with continuously improving the experience of students and the teaching competence of staff, reviewing the content and structure of the curriculum, and identifying the obstacles to student success.

The *Teaching and Learning Report 2021*¹⁰ focuses on how the university adapted its teaching to cope with the Covid-19 pandemic and sets out how *The Framework for Teaching and Learning* that introduced emergency remote teaching (ERT) at the start of the pandemic was continuously adapted to changing circumstances. The crucial aspects of teaching under these trying conditions were to ensure that all students had access to devices and internet connectivity and that their mental health was looked after.

In the context of developing an African pedagogy for the SDGs and Agenda 2063, at the *International Summit on the SDGs in Africa* in September 2021, a workshop was organised by researchers Lesley Green and Nikiwe Solomon that focused on pedagogies for teaching the SDGs in Africa. The workshop aimed to build a network of African thought leaders on the SDGs and Agenda 2063.

The quality of teaching is encouraged through initiatives such as the annual *Distinguished Teacher Awards*. The effectiveness of teaching is monitored through regular course evaluations and is reported to Senate and Council each year. The pleasing undergraduate course success rate

⁶ uct.ac.za/dsa/student-wellness-service/welcome-student-wellness-service-sws

⁷ uct.ac.za/sites/default/files/content_migration/uct_ac_za/39/files/Student-Mental-Health-Policy.pdf

⁸ news.uct.ac.za/images/userfiles/files/publications/factsheets/UCT_FactSheet_19_HealthWellness.pdf

⁹ uct.ac.za/sites/default/files/media/documents/uct_ac_za/39/2021_UCT-Transformation-Report.pdf (at p. 39)

¹⁰ uct.ac.za/sites/default/files/media/documents/uct_ac_za/39/UCT_Teaching-and-Learning-Report_2021.pdf



(over 85%) is testimony to the efficacy of these measures.

The quality of UCT's postgraduate teaching and supervision rests on the foundation of our outstanding research – guided by the Deputy Vice-Chancellor of Research & Internationalisation, assisted by the University Research Committee – and on the rigorous examination system monitored by the Heads of Department and the Faculties as well as, at PhD level (where we produce in the region of 250 PhDs per annum), by the central Doctoral Degrees Board.¹¹

Staff access, support, and success¹²

The promotion of equality in the university, including gender equality takes place within UCT's broader framework of transformation. The measures outlined above to enhance access, support and success for students is mirrored by measures to do the same for staff. The specific measures to achieve full representativity in UCT's staff body will be described under the next heading (*Labour*). The university, therefore, also concerns itself with the degree to which the institution supports staff members from disparate

backgrounds to be included, to participate fully and to grow within UCT.

The importance of 'place and space' in creating an inclusive university¹³

The university's transformational aim is to create an inclusive university by not only making the institution reflective of South Africa's demographic profile but also a place “where everyone can work together with pride and a sense of belonging” – a goal which includes giving attention to the sense of place (the appropriateness of artworks, symbols, the use of language, and the names of buildings and facilities) as well as taking decisive action to combat all forms of discrimination, harassment and violence.¹⁴

Enhancing the institutional responses to discrimination, harassment, and violence¹⁵

The *Office of Inclusivity and Change* (OIC) assists in providing institutional responses to transformation, sexual and gender-based violence, disability and cultural change by assisting with the implementation of the anti-discrimination

¹¹ See the UCT Annual Report 2021 at p. 30, available at uct.ac.za/sites/default/files/media/documents/uct_ac_za/48/afs2021.pdf

¹² Click here: [access, support and success](#)

¹³ Click here: ['place and space'](#)

¹⁴ See generally uct.ac.za/main/explore-uct/transformation

¹⁵ Click here: [discrimination, harassment, and violence](#)

and inclusivity policies (the Disability Policy;¹⁶ the Disciplinary Policy on Anti-Racism, Racial Discrimination and Racial Harassment;¹⁷ the Policy on Sexual Misconduct: Sexual Offences and Sexual Harassment;¹⁸ the Inclusivity Policy for Sexual Orientation;¹⁹ the Student Mental Health Policy;²⁰ and the Policy on HIV Infection and AIDS.²¹

Building relationships by engaging with the community and developing community partnerships²²

The fact that UCT is an integral part of the community in which it is situated inspires us to use our scholarship and professional expertise to benefit this wider community locally, provincially, nationally, and throughout Africa. With reference to the GC principles and SDGs, we seek to live up to these principles and goals by consciously making them a part of our engagement with our partners and in our research and social engagement.

The *Schools Development Unit* (SDU),²³ led by Dr Ramesh Jeram, plays an important role in this regard. The unit was established in 2000 to improve teaching and learning in the South African school system. As a department in the University's School of Education it draws on academic teaching and research expertise to help tackle the systemic and structural challenges that mark our education landscape and manifest in poor or inadequate teaching and learning. The SDU works to close the achievement gap between well-resourced and disadvantaged schools through teacher development, school-based interventions, professional consulting services and dynamic materials. For example, one of the key strategic initiatives, the SDU's Schools Improvement Initiative (SII), focuses on whole-

school development through school-university-community partnerships, aiming, through this partnership with eight schools in Khayelitsha, to anchor the university in the broader society.

We also interact with the learners in underserved communities to improve their chances of being accepted as UCT students or to enrol at another university. To address the severe inequality of opportunity for children from various communities in the city, the *100UP Programme* (led by Ms Ferial Parker) annually selects 100 Grade 11 and 100 Grade 12 learners from Khayelitsha; and another 100 learners with academic potential from Khayelitsha, Mitchells Plain and Philippi to form the GILL NET cohort.

The learners are enrolled in a holistic programme that is academically rigorous but also has built-in interventions that assist in creating social and cultural capital and developing an awareness of career paths and other development opportunities.²⁴

The Students' Health and Welfare Centres Organisation (SHAWCO), a student volunteer organisation, is another vehicle through which the university reaches out to our local community. SHAWCO's mission is to practice and promote responsible citizenship by rolling out student volunteers in health, education, and social-entrepreneurship initiatives in underserved communities in the greater Cape Town area. They create a supportive space for experiential learning and teaching and address inequality through innovative and sustainable approaches to community engagement.²⁵

Through the Knowledge Co-op, UCT creates opportunities for local groups (NGOs, local government, SMMEs) to access skills and professional expertise within the university while

at the same time creating an opportunity for academics and students to engage with society and to apply their knowledge to address the needs of communities.²⁶

1.2 Promoting human rights principles through the activities of the University

Universities have three primary ways of advancing the GC Principles and the SDGs – through their research, civic engagement and outreach, and teaching. The following are prominent examples of the promotion of human rights through UCT's activities:

(a) As far as the promotion of human rights in a general sense is concerned, the work of the Law

Faculty plays an important role. Human rights law is built into courses across the whole spectrum of the law curriculum since it is an important goal for UCT that its law graduates are empowered to build human rights perspectives into the work that they do when they go out into the world. Equally, the research, activism and public-intellectual activity of the Law Faculty has a strong human rights focus. Examples of research groupings that do research and advocacy work related to human rights include the following:

The *Land and Accountability Research Unit* (LARC) is a constituent of the *Alliance for Rural Democracy* which provides strategic support to people living in rural areas under customary law in the former homeland areas of South Africa.

²⁶ researchsupport.uct.ac.za/uct-knowledge-co-op

¹⁶ uct.ac.za/sites/default/files/content_migration/uct_ac_za/39/files/DIS_Policy_Disability_December-2021.pdf

¹⁷ Click here: [Anti Racism Policy](#)

¹⁸ uct.ac.za/sites/default/files/content_migration/uct_ac_za/39/files/Policy_on_Sexual_Misconduct_2021.pdf

¹⁹ Click here: [Inclusivity policy for sexual orientation](#)

²⁰ Click here: uct.ac.za/sites/default/files/content_migration/uct_ac_za/39/files/Student-Mental-Health-Policy.pdf

²¹ Click here: [Policy on HIV infection and AIDS](#)

²² Click here: [engaging with the community and developing community partnerships](#)

²³ humanities.uct.ac.za/schools-development/about-sdu/sdu

²⁴ See the SDU Annual Report 2021: humanities.uct.ac.za/schools-development/about-sdu/sdu (at pp. 10 -12)

²⁵ shawco.org/about-us/



LARC assists communities in rural areas to assert their land rights in a context where some laws and policies, as well as the power of traditional leaders, are obstacles to their ability to access justice.

The *Centre for Law & Society* (CLS) succinctly explains its role thus: “Through engaged research, critical teaching and robust exchange, CLS aims to shape a new generation of scholars, practitioners and activists, and to build the field of relevant legal theory, scholarship and practice that is responsive to our context in South Africa and Africa.”²⁷

The *Democratic Governance and Rights Unit* (DGRU) focuses on strengthening the judiciary in Africa by (i) researching and monitoring the judiciary in various African countries (through its project, *Judges Matter*) and by (ii) conducting judicial training. In 2021, through its *Judicial Institute for Africa* project, the DGRU offered nine specialist courses to 159 participants from 14 countries, strengthening the skills and knowledge of judicial staff across Africa.²⁸

The *Refugee Rights Unit* (RRU)²⁹ consists of a legal aid clinic and a research hub, providing legal services to some 5000 refugees and asylum seekers annually, including conducting teaching, advocacy, and training. It is funded by and operates as an implementing partner of the *United Nations High Commissioner for Refugees* (UNHCR), an organisation which promotes the inclusion of refugees, internally displaced and stateless people in health care and education systems. The RRU receives further funding from the EU *Horizon 2020* project as part of the ASILE project and the Julia Taft Refugee Fund. The work

of the unit dovetails with the 2030 Agenda for Sustainable Development and its principles of “leaving no one behind” and reaching “the furthest behind first” by working to eliminate discrimination, poverty and inequality and increase access to justice. The unit publishes freely available resources to support the rights of refugees in South Africa, including the *Status Determination Manual* (2021),³⁰ the *Detention Manual* (2021)³¹ and the *Children’s Rights Manual* (2021).³² The Director, Associate Professor Fatima Khan, focuses her research on statelessness and refugee rights. Lastly, scholarships for postgraduate study at UCT are also available to refugees, renewable for up to three years in the case of doctoral studies.

The *Centre of Criminology*, led by Associate Professor Kelly Mout, is a cutting-edge research and policy centre focusing on issues of safety, crime and policing and their impact on human lives. With analysis reaching from local to global levels, the centre is one of the leading citizen-safety research institutions in the global south.³³

Members of the Law Faculty are also active in enhancing the practical implementation of human rights in society by, for instance, writing blogs (see, e.g. Professor Pierre de Vos’s *Constitutionally Speaking*)³⁴ and serving on NGOs that promote human rights (e.g. Emeritus Professor Hugh Corder serving on the Board of *Freedom under Law* (FUL),³⁵ aimed at advancing the understanding of and respect for the rule of law and without which human rights cannot flourish.

(b) Research that is engaged in the eliminating

²⁷ cls.uct.ac.za/

²⁸ See the report University of Cape Town – Sustainability and the SDGs 2021, available at:

uct.ac.za/sites/default/files/media/documents/uct_ac_za/39/SDG_REPORT_WEB_SPREADS_LOWRES.pdf

²⁹ See refugeerights.uct.ac.za/ and see also generally the report UCT Sustainability and the SDGs 2021 available at uct.ac.za/sites/default/files/media/documents/uct_ac_za/39/SDG_REPORT_WEB_SPREADS_LOWRES.pdf (at p. 35)

³⁰ law.uct.ac.za/sites/default/files/content_migration/law_uct_ac_za/1170/files/14814%2520RSD%2520manual%25202021.web2_.pdf

³¹ law.uct.ac.za/sites/default/files/content_migration/law_uct_ac_za/1170/files/14814%2520detention%2520manual%25202021.web2_.pdf

³² law.uct.ac.za/sites/default/files/content_migration/law_uct_ac_za/1170/files/14814%2520childrens%2520rights%2520manual%25202021.web2_.pdf

³³ criminology.uct.ac.za/

³⁴ constitutionallyspeaking.co.za/

³⁵ freedomunderlaw.org/board-of-directors/



poverty and hunger, and reducing inequality (SDGs 1, 2 and 10) holds a prominent place in UCT’s research landscape. In this enterprise, a flagship research effort is the *Southern Africa Labour and Development Research Unit* (SALDRU), founded in 1975 and currently led by Professor Murray Leibbrandt, who is also the *NRF/DSI South African Research Chair in Poverty and Inequality Research*. The Chair’s work focuses on the measurement and analysis of the unfolding social dynamics within contemporary South Africa, with particular attention to poverty and inequality dynamics. This programme of research and capacity building is anchored by the production and analysis of panel data with particular emphasis on the *Cape Area Panel Study* and the *National Income Dynamics Study* (NIDS).³⁶ SALDRU is also home to J-Pal Africa³⁷ which is affiliated with the Abdul Latif Jameel Poverty Action Lab (J-PAL) at the Massachusetts Institute of Technology (MIT) in the United States

and is a focal point for poverty and development research based on randomised evaluations. Importantly, SALDRU pays particular attention to producing evidence-based interventions that aim to empower the youth and break the intergenerational cycle of poverty. SALDRU has, over the years, produced a major body of research contributing to policy to address poverty in South Africa, but there is also a large body of work on poverty accomplished beyond SALDRU:³⁸

Thus, the *Development Policy Research Unit* (DPRU),³⁹ led by Professor Haroon Borhat, does further significant work to reduce poverty. The DPRU is one of Africa’s premier economic policy think tanks, with the goal to inform economic and social policymaking by specialising in academically rigorous research into various socio-economic challenges confronting South Africa and the broader African continent, including poverty (SDG 1). However, its research focus is also relevant to SDGs 5, 8, 9, 10 and 17. The impact

³⁶ For more about NIDS, see saldru.uct.ac.za/surveys/national-income-dynamics-survey-nids/ From 2009 – 2018 the Head of SALDRU also served as Pro Vice-Chancellor in regard to the interdisciplinary Poverty and Inequality Initiative, which co-ordinated research on poverty and made research on poverty and inequality conducted at UCT available and accessible through a curated repository of publications with a searchable database (see povertyandinequality.uct.ac.za/publications-0) It also played an important role in developing the national Mandela Initiative – a multi-sector platform to investigate and develop strategies to overcome poverty and inequality. See povertyandinequality.uct.ac.za/about-us-29#Overview

³⁷ The founders of J-PAL Professors Abhijit Banerjee and Esther Duflo of MIT shared the 2019 Nobel Prize in Economics with Professor Michael Kramer of Harvard.

³⁸ For a sample of the work on poverty alleviation that is available on OpenUCT, see povertyandinequality.uct.ac.za/publications-0

³⁹ dpru.uct.ac.za/

of Professor Borhat's work is underlined by the fact that he currently serves on the President's Economic Advisory Council (PEAC).

Also contributing meaningfully to poverty reduction is the *Environmental Economics Policy Research Unit* (EPRU),⁴⁰ led by Professor Martine Visser. Through its work on environmental and natural resource issues, this unit promotes poverty reduction in Southern Africa. (We delve into more detail about this unit in Section 3.2 below).

Important to mention also in the context of poverty alleviation is the work of Professor Graeme Meintjes, who holds the *DST/NRF Chair in Poverty-related Infections*.

Finally, the *Children's Institute* at UCT is doing valuable research and advocacy on child poverty.⁴¹

(c) The university's research and socially engaged work on health and wellbeing (SDG 3) is extensive. The burden of several diseases, most notably tuberculosis and HIV infection and many others, is very high. The work done at UCT to advance health and health systems in this country and the continent takes many forms – basic research, clinical research, translational research, innovation (including social innovation), policymaking, advocacy and training. The work described directly below speaks in the first place to SDG 3, but in most cases, the work also advances other SDGs. The following are prominent examples of the university's work to promote health and wellbeing in our country and continent.

1. The Institute of Infectious Diseases and Molecular Medicine

The largest research grouping working towards SDG3 is the *Institute for Infectious Diseases and Molecular Medicine* (IDM), a cross-faculty research institute which focuses on infectious diseases, with emphasis on HIV/AIDS and tuberculosis; non-communicable diseases, including prevalent

cancers; genomic medicine; and molecular medicine, including early-stage drug discovery. The vision of the IDM is to be an international centre of excellence where world-class scientists work together to tackle diseases of major importance in Africa. Its mission is:

- 'To conduct basic, clinical and public health research that is leading-edge and relevant to the needs of African people;
- to develop indigenous scientific capacity in the biomedical sciences;
- to influence health policy and practice by translating scientific discoveries and applying them in our communities; and
- to build partnerships with other research centres in South Africa and elsewhere.'

The member groups and investigators are the following

Three multi-investigator groups in the IDM that operate principally in the TB/HIV space:

- The *South African TB Vaccine Initiative* (SATVI),⁴² led by Professor Mark Hatherill (Director) and Professor Thomas Scriba (Deputy Director), develops new and effective vaccination strategies against tuberculosis (TB), testing multiple new vaccine candidates in clinical trials. For example, on 29 October 2021, the results of a multi-site medical trial involving SATVI were announced at the 50th Union World Conference on Lung Health's *TBScience 2019* conference in Hyderabad, India and published in the prestigious *New England Journal of Medicine*. These results showed a 50% efficacy of the candidate vaccine M72/ASO1_E in reducing the incidence of lung TB disease in HIV-negative adults already infected with latent TB at the time of vaccination. It was the first indication of a potentially effective vaccine against TB in 100 years.⁴³
- The *Wellcome Centre for Infectious Diseases*



Research in Africa (CIDRI-Africa),⁴⁴ led by Robert Wilkenson, is the only Wellcome Centre outside the United Kingdom. CIDRI-Africa fosters investigator-led approaches via the scientific objective of combating infection, especially HIV-1 and tuberculosis, through clinical and laboratory research. CIDRI-Africa plans to include support for research on the interaction between communicable and non-communicable diseases.

- The *Desmond Tutu HIV Centre* (DTHC)⁴⁵ is led by Emeritus Professor Robin Wood (Director) and Professor Linda-Gail Bekker (Deputy Director). This centre bridges rigorous academic research with community-development programmes. It is committed to the pursuit of excellence in research, treatment, training, and prevention of HIV and related infections in Southern Africa, aiming to lessen the impact of the HIV epidemic on individuals, families, and communities.

Two extramural research units of the South African Medical Research Council (SAMRC) integrate into the IDM:

- The *Drug Discovery and Development Research Unit* (H3D)⁴⁶ is led by Professor Kelly Chibale, who in 2022 was named one of the "standout voices in African public health" by *Harvard Public Health*.⁴⁷ Founded in 2010, H3D is Africa's first integrated drug discovery and development centre and pioneers world-class drug discovery in Africa. Its research covers, among other things, antimicrobial resistance, malaria and tuberculosis and aims to discover and develop innovative, life-saving medicines for African patients through excellent interdisciplinary, translational science.
- The *Precision and Genomic Medicine Research Unit* (PGMRU),⁴⁸ led by Professor Raj Ramesar, is a unit that is interested in using the exciting developments in the field of genomic sciences to investigate human biodiversity. This quest

⁴⁰ epru.uct.ac.za/

⁴¹ ci.uct.ac.za/sites/default/files/image_tool/images/367/Policy_Brief_Review%20of%20research%20evidence%20on%20child%20poverty%20in%20South%20Africa.pdf and childrencount.uct.ac.za/uploads/publications/Child%20Poverty%20Review%20update%20010617.pdf

⁴² Click here: [The South African TB Vaccine Initiative](#)

⁴³ news.uct.ac.za/article/-2019-10-30-first-real-hope-for-a-tb-vaccine-in-100-years

⁴⁴ cidri.uct.ac.za/

⁴⁵ Click here: idm.uct.ac.za/Member_Groups and here: [The Desmond Tutu HIV Centre](#)

⁴⁶ Click here: [Drug Discovery and Development Research Unit](#)

⁴⁷ harvardpublichealth.org/global-health/25-names-to-know-in-african-public-health/

⁴⁸ Click here: [Precision and Genomic Medicine Research Unit](#)



contributes to a more proactive and preventive approach to health. Tied closely to this quest is the expansion of research to cover genome-wide investigations pertaining to the burden of disease in Southern Africa and to assess the impact of genomic variants on the health of the indigenous populations of Africa.

- The *Molecular Mycobacteriology Research Unit* (MMRU), led by Professor Valerie Mizrahi, was formerly an extramural research unit of the SAMRC. Its research focuses on aspects of mycobacterial physiology and metabolism that are relevant to drug discovery and drug resistance. The research unit is best known for its work on mechanisms of DNA metabolism, resuscitation and culturability, respiration and cofactor biosynthesis in mycobacteria.

Additionally, it has close ties with the *Africa Microscopy Initiative*, led by Digby Warner, with the aim of building capacity in Africa for microscopy through training, infrastructure, and open-access programmes.⁴⁹

Two SAMRC Collaborating Centres on TB or HIV research affiliate with the IDM, with collaborators based in other UCT departments or South African institutions:

- The *Clinical and Community HIV-Tuberculosis Research Collaborating Centre*⁵⁰ led by Professor Graeme Meintjes; and
- the *Centre for Tuberculosis Biomarker-targeted Intervention*⁵¹ led by Professor Mark Hatherill.

Other research entities working within the IDM are:

- The *Africa CMM Medical Mycology Unit*⁵² tackling fungal infections (a partnership between Professor Gordon Brown, University of Exeter and UCT researchers, including Associate Professor Claire Hoving and Dr Rachael Dangarembizi;
- the *Computational Biology Group*,⁵³ led by Professor Nicola Mulder;
- the *Biopharming Research Unit*,⁵⁴ led by Professor Ed Rybicki;
- the *Molecular Mycobacteriology Research Unit* (MMRU), which also serves as the *DSI/NRF Centre of Excellence for Biomedical TB Research*,⁵⁵ in which the UCT node is led by Professor Valerie Mizrahi as Co-Director;
- *Vaccines for Africa*,⁵⁶ led by Emeritus Professor Greg Hussey; and
- The *Medical Biotechnology and Immunotherapy*

Research Unit (MB&I) led by Professor Stefan Barth.⁵⁷ The MB&I is known for the cross-disciplinary nature of its work, encompassing sciences other than biology to supplement immunodiagnostic and therapeutic development. It has active collaboration projects in many countries and several disease areas, including cancer, chronic inflammatory diseases, allergy, and infectious diseases.

Six Research Chairs awarded under the National Research Foundation's (NRF) South African Research Chairs Initiative (SARChI) work within the IDM:

- Applied Proteomics and Chemical Biology (Professor Jonathan Blackburn);⁵⁸
- Cancer Biotechnology (Professor Stefan Barth);⁵⁹

⁵² exeter.ac.uk/research/medicalmycology/africaunit/

⁵³ Click here: [Computational Biology Group](#)

⁵⁴ Click here: [Biopharming Research Unit](#)

⁵⁵ Click here: [DSI/NRF Centre of Excellence for Biomedical TB Research](#)

⁵⁶ Click here: [Vaccines for Africa](#)

⁵⁷ idm.uct.ac.za/Stefan_Barth

⁵⁸ idm.uct.ac.za/Jonathan_Blackburn

⁵⁹ idm.uct.ac.za/Stefan_Barth

⁴⁹ microscopy.africa/

⁵⁰ Click here: [Clinical and Community HIV-Tuberculosis Research Collaborating Centre](#)

⁵¹ Click here: [Centre for Tuberculosis Biomarker-Targeted Intervention](#)





- Drug Discovery (Professor Kelly Chibale);⁶⁰
- Immunology of Infectious Diseases in Africa (Professor Frank Brombacher);⁶¹
- Poverty-related Infections (Professor Graeme Meintjes);⁶² and
- Vaccinology (Professor Anna-Lise Williamson).⁶³

Further areas of research expertise within the IDM include:

- HIV pathogenesis, vaccine development and T-cells, HIV-TB co-infection, HIV/AIDS paediatrics, HIV/HPV mucosal immunology, and HIV & steroid receptors;⁶⁴
- TB diagnostics, epidemiology, and immunology;⁶⁵
- the microbiome of respiratory and skin infections;⁶⁶
- parasitic and helminthic infections;⁶⁷
- pharmacogenomics;⁶⁸
- the genetics of hearing loss, and genetics & public health interventions with Sickle Cell Disease in Africa;⁶⁹
- medical population genetics;⁷⁰
- protein biochemistry and angiotensin-converting enzymes;⁷¹
- cancer biology;⁷² and
- cellular neurophysiology and computational neuroscience.⁷³

The IDM is the largest conglomeration of research groupings in the Faculty of Health Sciences and the university. However, there is a host of further research groupings that make up the massive totality of research advancing SDG 3.

These include:

2. The Neuroscience Institute

The second largest research grouping worth mentioning is the *Neuroscience Institute* (NI),⁷⁴ led by Professor Graham Fieggen. This interdisciplinary institute – which features various fields of basic research in brain disease and disorders together with clinical practice under one roof, connecting psychology, genetics, and neurosurgery – is the first of its kind in Africa. Its vision is of an Africa where people achieve their full potential through brain health.

The NI answers the question ‘Why brain research in Africa?’ by pointing out that the unique demography of Sub-Saharan Africa “requires us to develop interventions to promote brain health and wellbeing on our continent, and also creates opportunities to make break-through discoveries of relevance to global neuroscience”. The NI explains that “early development of the brain, so critical in enabling people to achieve their full potential, is determined by a range of genetic and environmental factors” and that “in the context of Sub-Saharan Africa, this includes an extraordinary range of risk factors, such as a higher incidence of infections, higher exposure to toxins and poor nutrition, greater exposure to trauma and violence, together with much wider genetic diversity”. For example, the region’s population is the youngest in the world but has the highest global rate of traumatic brain injury due to traffic accidents, falls and assaults. Since the early years of life play a transformative role on future growth and potential, the brain health of young people is

⁶⁰ idm.uct.ac.za/Kelly_Chibale

⁶¹ idm.uct.ac.za/Frank_Brombacher

⁶² idm.uct.ac.za/Graeme_Meintjes

⁶³ idm.uct.ac.za/Anna-Lise_Williamson

⁶⁴ idm.uct.ac.za/Carolyn_Williamson

⁶⁵ Click here: idm.uct.ac.za/Helen_Cox and here: idm.uct.ac.za/Claire_Hoving and here: idm.uct.ac.za/Muazzam_Jacobs

⁶⁶ idm.uct.ac.za/Felix_Dube

⁶⁷ idm.uct.ac.za/Bill_Horsnell

⁶⁸ idm.uct.ac.za/Collet_Dandara

⁶⁹ idm.uct.ac.za/Member_Groups

⁷⁰ idm.uct.ac.za/Member_Groups

⁷¹ idm.uct.ac.za/Member_Groups

⁷² idm.uct.ac.za/Member_Groups

⁷³ idm.uct.ac.za/Joseph_Raimondo

⁷⁴ neuroscience.uct.ac.za/neuro/research

duly a priority of the SDGs, therefore high on the agenda of the NI.⁷⁵

The following research programmes resort under the auspices of the NI:

- The *African Brain-health Genome Project*,⁷⁶ led by Professor Dan Stein, was established “to collect phenotype and genotype data from individuals with several mental, neurological, and substance use disorders in South Africa and ultimately, in other African countries” and the unit’s hope is “to contribute to improvements in the assessments of these disorders and improve our current understanding of the importance of community brain health; while at the same time improving community participation in science; and increasing the capacity for phenotyping and genotyping on the continent”.
- The *African Brain Child Initiative* is interested in understanding, preventing and treating secondary brain-injury processes in children with acquired brain injury, focusing on traumatic brain injury, tuberculous meningitis and bacterial meningitis – leading causes of death and disability in children worldwide. Professor Anthony Figaji, the Head of the Paediatric Neurosurgery Unit at the Red Cross War Memorial Children’s Hospital and the first and only surgeon in South Africa ever appointed to a Research Chair, the *DST/NRF Chair in Clinical Neuroscience*, leads the initiative. His key areas of interest include mechanisms of brain injury in trauma, meningitis, and stroke, increasing capacity in Africa for molecular biology study of brain tumours, understanding brain metabolism, brain perfusion, neuroinflammation, neurophysiology and the effect of treatment interventions on the brain.
- The *Brain-Behaviour Unit* (BBU),⁷⁷ led by Professor Dan Stein, with Associate Professor

Goodman Sibeko as the co-director, is a multi-disciplinary hub whose mission is to advance psychiatric neuroscience to address key brain-behaviour issues relevant to the South African and African context.

- The *HIV Mental Health Research Group*,⁷⁸ led by Professor John Joska (director) and Professor Jackie Hoare (co-director), responds to the growing recognition of the burden of mental disorders in people living with HIV – including depression, anxiety, substance abuse and neurocognitive disorders – with a platform of clinical service, teaching and research, extending to numerous hospitals and clinics in greater Cape Town.
- The *Neurology Research Group*, Led by Professor Jeannine Heckmann, conducts research in a wide range of neurological conditions of relevance to Africa.
- Other research groupings in the NI are the *Neurodevelopment Group* and the *Ethics Lab*.⁷⁹

Examples of other research and training initiatives led by members of the NI include the following:

- *Clinical neuroscience and cognitive and behavioural neuroscience* are the focus areas of Professor Crick Lund’s research, which includes systematic reviews on the social determinants of mental health in low-and-middle-income countries and interventions to break the cycle of poverty and mental illness in these countries.⁸⁰
- The *Medical Research Council Unit on Risk and Resilience in Mental Disorders* is a cross-university unit at the Department of Psychiatry at Stellenbosch University (SU) and the Department of Psychiatry and Mental Health at the University of Cape Town, led by Professor Dan Stein (UCT) and Professor Christine Lochner (SU). The unit researches anxiety and stress disorders and is involved in projects in related fields, including the Drakenstein

⁷⁵ neuroscience.uct.ac.za/research-strategy

⁷⁶ neuroscience.uct.ac.za/ABHGP

⁷⁷ neuroscience.uct.ac.za/BBU

⁷⁸ neuroscience.uct.ac.za/HIV_MHU

⁷⁹ neuroscience.uct.ac.za/Research_Groupings

⁸⁰ neuroscience.uct.ac.za/crick_lund



Neurodevelopmental and Neuro-GAP studies.⁸¹

- Research on and training in *paediatric neuroscience* is done in the sub-speciality Divisions of Paediatric Neurology (led by Professor Jo Wilmshurst) and Paediatric Neurodevelopment (led by Professor Kirsten Donald). They operate as discreet training units and are different sub-specialities; the support and combined expertise of the consultant staff across both sub-specialities allow a depth of inter-disciplinary input with a highly productive research team and research mentorship programme. The mission of the neurology and paediatric neurodevelopment services is to focus on the impact from diseases of poverty, i.e., tuberculosis, human immunodeficiency virus type 1, and perinatal injury and disorders of antenatal toxin exposure.

3. The UCT Lung Institute

The University of Cape Town Lung Institute is a wholly owned subsidiary of UCT registered as a public benefit organisation (PBO). The Institute consists of six clinical research units (CRUs):

- the Allergy and Immunology Unit (AIU),⁸² led by Associate Professor Jonny Peter; the Centre for Child and Adolescent Lung Health;⁸³ led by Professor Heather Zar;
- the Centre for TB Research Innovation (CTBRI),⁸⁴ led by Associate Honorary Professor Rod Dawson; and the *Centre for Lung Infection and Immunity* (CLII),⁸⁵ led by Professor Keertan Dheda. The CLII seeks to enhance the prevention, diagnosis and effective management of pulmonary infections through academic and clinical activities to reduce mortality and improve the quality of life of people with poverty-associated lung infections

(TB, HIV and pneumonia). The CLII hosts the South African Medical Research Council *Anti-Microbial Resistance Extramural Unit*.⁸⁶

- *Health Research* (CEOHR),⁸⁷ led by Associate Professor Shahieda Adams (Director) and Professor Aqiel Dalvie (Deputy Director), aims to be a principal centre of environmental and occupational health research, teaching and training, occupational medical clinical services, policy advice, technical consultancy services, advocacy and a source of supportive outreach activities in South Africa, the Southern and Eastern regions of Africa, Africa more generally, and internationally. The centre hosts several research programmes, including chemical exposures and toxicity; health-risk management; pesticides and neurotoxicity; health effects due to toxic metals; silicosis and health effects due to mining exposures; workplace allergens and asthma; and violence and injury prevention.
- The *Centre for Infectious Disease Epidemiology Research* (CIDER),⁸⁸ led by Professor Mary-Ann Davies, conducts multi-disciplinary research on priority infectious diseases in Southern Africa, to improve disease prevention and management. The centre has strong links to service providers at provincial and national levels and a long track record of conducting operations research around programme effectiveness and service delivery challenges. Staff include epidemiologists, biostatisticians, mathematical modellers and public health specialists.
- The *Health Economics Unit* (HEU)⁸⁹ is led by Professor Edina Sinanovic. This unit works to improve the performance of health systems in Sub-Saharan Africa through research in

health economics, training, consultancy and capacity-building. The core objectives of the HEU are to conduct high-quality research in health economics and health systems; to train at the post-graduate level to improve technical research and health systems capacity; to develop capacity in health economics and related health systems research in Africa and to provide technical support to facilitate the translation of health policies into practical programmes.

- The *Health Through Physical Activity, Lifestyle and Sports* (H-PALS),⁹⁰ led by Professor Vicky Lambert, aims to mitigate adverse health consequences of the syndemic of physical inactivity, insecurity, obesity, malnutrition and

sleep disparities.

- The *Kidney and Hypertension Research Unit* (KHRU),⁹¹ led by Professor Ikechi Okpechi, is situated in the Division of Nephrology and Hypertension and seeks to reduce death rates and improve the quality of health of people with kidney disease and hypertension, particularly in the black population of South Africa.
- The *MRC/UCT Child and Adolescent Health Unit*,⁹² led by Professor Heather Zar, conducts translational research (which integrates perspectives from basic, clinical and population science) focussed on priority childhood diseases including TB, pneumonia and HIV and the intersection of infectious diseases and non-

⁹⁰ hpals.uct.ac.za

⁹¹ kidney.uct.ac.za/

⁹² health.uct.ac.za/department-paediatrics/research-about-research-department-research-units/mrc-unit-child-and-adolescent-health

⁸¹ samrc.ac.za/extramural-research-units/risk-resilience-mental-disorders

⁸² lunginstitute.co.za/aiu/

⁸³ lunginstitute.co.za/child/

⁸⁴ lunginstitute.co.za/ctbri/

⁸⁵ lunginstitute.co.za/cli/

⁸⁶ lunginstitute.co.za/camra/

⁸⁷ health.uct.ac.za/school-public-health/research-research-centres-units/centre-environmental-and-occupational-health-research-ceohr

⁸⁸ health.uct.ac.za/school-public-health/research-research-centres-units/centre-infectious-disease-epidemiology-and-research-cider

⁸⁹ health.uct.ac.za/school-public-health/research-research-centres-units/health-economics-unit-heu





specifically tobacco, alcohol and sugar-sweetened beverages, as they relate to public health. REEP's motto is 'Supporting public health through rigorous and objective research'.

- The *Children's Institute*, led by Professor Shanaaz Matthews, aims to build capacity through teaching and training and present evidence to guide the development of policies, laws and interventions for children while providing information to those advocating on behalf of children and engaging in its evidence-based advocacy. In this regard, it is best known for the *Child Gauge* that it publishes annually.⁹⁸

Health innovation

Innovation is strongly supported at UCT, thus giving effect to SDG 9 (Industry Innovation and Infrastructure). UCT has a rich history in

innovation relevant to health and wellbeing. An excellent example is Professor Peter Zilla's work on cardiovascular-device development. With his team, he developed an artificial heart valve that was much more suited to conditions in the Global South (where rheumatic heart disease typically occurs at a much younger age than in the Global North and artificial heart valves therefore must last much longer). He also developed the surgical technique and equipment to allow insertion of these without open-heart surgery, which is so important in the developing world where rheumatic heart disease is prevalent but sophisticated operating facilities are scarce. He co-founded Strait Access Technologies to produce these valves at a cost affordable in developing countries.

⁹⁸ See ci.uct.ac.za/ See also ci.uct.ac.za/ci/cg2021-2022-child-and-adolescent-mental-health

communicable diseases.

- The *Orthopaedic Research Unit (ORU)*,⁹³ led by Dr Michael Held, has research facilities embedded within the hospital and integrated with various research institutes. The resulting platform enables experimental musculoskeletal research, translational research, clinical trials and healthcare delivery, a partnership with one of the most productive academic research environments in Africa.
- The UCT/ MRC *Research Group for Receptor Biology*⁹⁴ is led by Professor Arie Katz and Dr Colleen Flanagan of the School of Physiology at the University of the Witwatersrand. The group studies the structure and function of G-protein-coupled receptors; it applies the research to understanding and treating diseases that have

substantial effects on the social and economic welfare of South Africa.

- The *Gender, Health and Justice Research Unit (GHJRU)*,⁹⁵ based in the Health Sciences Faculty and led by Associate Professor Lilian Arnz, is an interdisciplinary research unit that designs and implements innovative research and social interventions on social exclusion and violence in a range of social, political and institutional settings. The empirical research is used to develop well-informed, evidence-based advocacy positions to support legal and policy reform.⁹⁶
- The *Research Unit on the Economics of Excisable Products (REEP)*,⁹⁷ led by Professor Corne van Walbeek, focuses on the economic aspects of a range of excisable products,

⁹³ oru.uct.ac.za/

⁹⁴ medicalbiochemistry.uct.ac.za/medicalbiochemistry/research/katz

⁹⁵ ghjru.uct.ac.za/

⁹⁶ See UCT's Gender Health and Justice Research Unit co-published report on violence, mental health and access to healthcare related to sexual orientation and gender identity: health.uct.ac.za/ghjru/publications/recent-research-reports

⁹⁷ reep.uct.ac.za/



02 LABOUR

Principle 3: Businesses should uphold the freedom of association and the effective recognition of the right to collective bargaining

Principle 4: The elimination of all forms of forced and compulsory labour

Principle 5: The effective abolition of child labour

Principle 6: The elimination of discrimination in respect of employment and occupation

The SDGs implicated under this heading include SDG 3 (Good Health and Well-being), SDG 8 (Decent Work and Economic Growth), and SDGs 10 and 5 (Reducing Inequality and Gender Equality). How UCT creates a safe and nurturing environment has already been described in Section 1 of this report, it is important to emphasise once again that UCT regards the goals of all these SDGs as crucial to building the desired workplace conditions.

2.1 Incorporating the SDG GC principles related to labour into the internal operation of the University

GC Principle 3 (freedom of association and collective bargaining) and GC Principle 6 (the elimination of discrimination) embody the issues

under this heading that are most significant in a university environment. In line with GC Principle 6, UCT seeks to, through its policies, uphold uncompromisingly the right to non-discrimination as well as the right to work under just and favourable conditions. In addition, UCT ensures that its contractual partners and collaborators are not in breach of GC Principles 4 and 5.

Freedom of association and collective bargaining

UCT has a proud record of upholding the highest labour standards with a long history of commitment to freedom of association. UCT believes that sound employee relations are based on effective mechanisms for communication and participation, a safe and effective work environment, and a committed and motivated



staff body. The University subscribes fully to the freedom of association; it has signed recognition agreements with six unions for the purposes of collective bargaining.¹ An example of the effectiveness of the relationship between the University and the unions was the historic insourcing of approximately 1000 workers in 2016, previously outsourced in the late 1990s.²

The elimination of discrimination

The most important challenge that UCT faces

in this context is the ongoing one of achieving employment equity. UCT's approach to the transformation of its staff and student body acknowledges the constraining legacy of apartheid and colonialism. It seeks to transform the educational environment into a socially just and equitable one while being inclusive of all staff and students and respecting diverse cultural and faith practices.³ This strategic goal has many dimensions, but part of it is to intensify the process of correcting the imbalances in the staff

¹ See the Employment Relations Policy at hr.uct.ac.za/hr/employee_relations/policies and the recognition agreements at hr.uct.ac.za/hr/employee_relations/staff_bodies/AU
² See [google.com/search?client=firefox-b-d&q=insourcing+UCT](https://www.google.com/search?client=firefox-b-d&q=insourcing+UCT)
³ See the 2021 UCT Transformation Report: uct.ac.za/sites/default/files/media/documents/uct_ac_za/39/2021_UCT-Transformation-Report.pdf



profile. In the period to which this report relates, the University took renewed steps to accelerate the appointment of black South African staff, as is outlined below.

The *Policy on Employment Equity*⁴ (which came into operation in February 2021) takes its inspiration from the University's strategic plan, *Vision 2030*, the goal of which is "to unleash human potential for a fair and just society" and states that to achieve this goal "we are committed to redressing inequality and building social justice through conscious interventions to return dignity to the formerly historically disadvantaged by amplifying their voices and creating an institutional culture that makes it possible for them to reclaim their agency".⁵ The essence of the policy is captured in this extract from the Preamble to the policy:

'The policy is designed to provide decision-makers with the guiding principles to make

defensible decisions in a reasonable, fair and justifiable manner, but even more importantly to ensure that transformation takes place in pursuit of the vision of becoming the leading African university proud of its new inclusive identity that reflects the interests and aspirations of all of its staff and students. Our EE policy is unequivocal in its stance on anti-racism, non-sexism and any other forms of unfair discrimination. Integral to this policy is not only compliance but also commitment to redress, inclusivity and diversity. At the heart of our policy is transformation, of which decolonization is a central tenet.'

A new *Employment Equity Plan 2022 - 2026*⁶ was developed to meet the requirements of the *Employment Equity Policy*. In addition, a guide was developed for those responsible for making appointments at UCT, namely the *Guidance for the Implementation of Employment Equity, 2022-2026*.⁷

4 uct.ac.za/sites/default/files/content_migration/includes/files/Policy_Employment_Equity_2020.pdf
 5 See the Employment Equity Policy at uct.ac.za/sites/default/files/image_tool/images/328/about/policies/Policy_Employment_Equity_2020.pdf
 6 uct.ac.za/sites/default/files/media/documents/UCT-Employment-Equity-Plan-2022-2026.pdf
 7 uct.ac.za/sites/default/files/media/documents/uct_ac_za/39/Guide_Employment_Equity_2022.pdf

Furthermore, the *Action Plan for Accelerated Transformation at UCT* was launched in October 2021. This plan, which runs from January 2022 to December 2026 and entails an initial investment of R44 million from the UCT Council, is aimed at accelerating the recruitment of black South African staff, especially at the level of the professoriate, at enhancing their career paths, and also at attracting and retaining black South African postgraduate students to create a pipeline for academic appointments.⁸ The action plan significantly enhances UCT's earlier efforts, e.g., its participation in the New Generation of Academics Programme (nGAP)⁹.

In this context, it is also important to note that the Vice Chancellor's strategic initiative, the *2030 Future Research Leaders Project (2019-2024)*,¹⁰ mentioned in the previous report, is doing well. The project is supported by the VC's Strategic Fund, which accelerates UCT's transformation progress and has an annual budget of R5 million. It lifts exceptionally talented early-career researchers recognised by their peers as future world leaders in their research fields.

Different categories of staff are also supported through specific targeted interventions:

Early-career and mid-career researchers receive support in their research development through various programmes of the Research Office on the Research Hub.¹¹ The Research Hub contains comprehensive information on the research process, including funding opportunities; pre- and post-award procedures, responsibilities and documentation; research management and integrity; research output and promotion;

and the advancement of one's research career and standing. This last category comprises Programmes for early-career researchers, including the Emerging Researcher Programme (ERP) aimed at UCT staff,¹² the Research Development Academy (RDA) that is catering for emerging researchers throughout Africa,¹³ and an initiative to provide targeted support to academics without PhDs.¹⁴ For mid-career researchers, there is accreditation and evaluation support, e.g., on acquiring a National Research Foundation (NRF) rating and on how to get a research grouping accredited. Academic staff on the cusp of the professoriate are also assisted by UCT's own *Next Generation Professoriate Programme*¹⁵ and by UCT participating in the national *Future Professors Programme* funded by the Department of Higher Education and Training¹⁶ – both by nominating candidates for this programme and by UCT staff assisting in the roll-out of the programme. It is also important to note that the *2030 Future Leaders Project*, detailed above, secures the presence of a future leadership cadre for research in the university.¹⁷

The *Centre for Higher Education Development* (CHED) supports teaching and learning through a rich array of resources provided by its Centre for Innovation in Teaching and Learning; the *Remote Teaching Guide* and resources on online and blended teaching, teaching and learning strategies, engagement and participation, multimodal ways of teaching and learning, assessment enabling pedagogy, being an online scholar, and the curriculum. CHED also contributes to the holistic development of early career academics through the *New Academic*

8 See the 2021 UCT Annual Report (at p. 15) uct.ac.za/sites/default/files/media/documents/uct_ac_za/48/afs2021.pdf
 9 news.uct.ac.za/transformation/new-generation-of-academics/
 10 uct.ac.za/uct-2030-future-leaders
 11 See generally the Research Support Hub: uct.ac.za/research-support-hub
 12 [Emerging Researcher Programme \(ERP\)](https://uct.ac.za/research-support-hub/emerging-researcher-programme-erp)
 13 [Research Development Academy \(RDA\)](https://uct.ac.za/research-support-hub/research-development-academy-rda)
 14 [Targeted support for academics without PhDs](https://uct.ac.za/research-support-hub/targeted-support-for-academics-without-phds)
 15 news.uct.ac.za/transformation/next-generation-professoriate/
 16 futureprofessorsprogramme.co.za/
 17 uct.ac.za/uct-2030-future-leaders

Practitioners Programme (NAPP),¹⁸

There is also dedicated career-development support for Professional, Administrative and Support Staff (PASS staff) as outlined in the extensive *Staff Learning and Development Resource Guide 2023*.¹⁹

The services mentioned under the heading “*Enhancing the institutional responses to discrimination, harassment, and violence*” are available to all staff, as is the Educare Centre, which provides pre-primary education for the children of UCT staff (and students) and plays a significant role in allowing the parents of young children to pursue their careers.

Lastly, as behoves a good employer, the University has (i) transparent and fair disciplinary procedures (and, in pursuit of ever greater inclusiveness, UCT’s disciplinary procedures are, since August 2021, the same for both academic staff and professional administrative support and service staff;²⁰ (ii) clear procedures to resolve grievances;²¹ and (iii) an Ombud.²²

2.2 Promoting ethical labour practices by collaborators and suppliers

UCT has a *Supplier Code of Conduct*.²³ The purpose of this Code is formulated thus (Section 2): “The Code has been developed to publicly declare what the University regards as morally or ethically acceptable behaviour from current and future vendors, suppliers, contractors, consultants, agents (and their employees, be they temporary, permanent or on contract) and other providers of goods and services (our “Suppliers”) and sets out the ethical values, standards, principles and guidelines which bind Suppliers in their dealings with the University. It is the Supplier’s responsibility to disseminate, educate and exercise diligence in verifying compliance to this Code and the pillars of the Code to its employees,

agents, suppliers and sub tier suppliers of goods and services. Suppliers are required to take steps to ensure that the Code is communicated throughout their organisations.”

The Code of Conduct covers all aspects of the ethical behaviour expected of its business and academic partners, but in particular, in Section 3.10 (Human Rights and Labour Practices) the following is stated:

“The University expects the Suppliers to respect all human rights, including labour rights throughout their business activities. The University is committed to fair labour practices in the workplace and expects its Suppliers to take appropriate steps to ensure that they and their suppliers subscribe to the same principles and practices, which include, but are not limited to:

- I. Support and respect the protection of internationally proclaimed human rights;
- II. Make sure that they are not complicit in human rights abuses;
- III. Not use any forms of forced and compulsory labour nor require any worker whether local or foreign to remain in employment for any period of time against his or her will;
- IV. Provide equal opportunities and a prohibition of all forms of unfair discrimination. Examples of discrimination include, but are not limited to, discrimination based on race, tribe, colour, age, disability, religion, sex, marital status, pregnancy (except where required by applicable laws or regulations or prudent for workplace safety) and any other characteristic protected by local law, as applicable;
- V. Treat employees, Supplier and University employees, with respect and dignity and ensure workers are not subjected to any form of physical, sexual, psychological or other form of harassment or abuse in the workplace;

¹⁸ ched.uct.ac.za/ched/napp

¹⁹ hr.uct.ac.za/sites/default/files/image_tool/images/236/learning/Staff_learning_and_development_resource_guide_2023.pdf

²⁰ hr.uct.ac.za/hr/employee_relations/disciplinary/all_staff

²¹ hr.uct.ac.za/hr/employee_relations/grievance/pass_staff and: hr.uct.ac.za/hr/employee_relations/grievance/academic_staff

²² uct.ac.za/staff/support/ombud

²³ uct.ac.za/sites/default/files/media/documents/Supplier_Code_of_Conduct_June_2019.pdf



- VI. Prohibit the use of child labour, a child being any person younger than 16 years of age;
- VII. Recognise the right of employees to freedom of association, organization and collective bargaining, within the provisions of the Labour Relations Act 66 of 1995;
- VIII. Ensure that a formal process is in place whereby workers are free to express their views about their workplace conditions without fear of retribution or losing their jobs; and
- IX. Respect the privacy and property of all Supplier and University employees.”

Suppliers are also expected to comply with all local laws as well as international laws where applicable, relating to human rights, labour, employee health and safety and wages, anti-corruption and environment, specifically the Labour Relations Act 66 of 1995, Occupational Health and Safety Assessment Series (OHSAS) 18001 and the 10 principles set out in the United Nations Global Compact Principles.

The Code makes clear that it “regards any contravention of the Code as a serious matter which could result in the termination of the business relationship and even possibly the institution of civil or criminal proceedings” (Section 3).

2.3 Promoting the GC principles and SDGs related to labour through the activities of the University

The *Institute of Development and Labour Law*,²⁴ established in 1987, not only teaches all the labour law courses at UCT (both in the Law Faculty itself and in other faculties²⁵), it conducts impactful research on a range of labour-law issues. Furthermore, Professor Emeritus Evice Kalula continues to work closely with the International Labour Organisation (ILO) in Geneva. The ILO brings together governments, employers and workers of 187 member states to set labour standards, develop policies and devise programmes promoting decent work.

The Labour & Enterprise Policy Research Group (LEP) is an independently funded research group within the Institute that undertakes contract research from a socio-legal perspective on questions relating to the restructuring of employment, informalisation, inequality, the changing nature of the workplace, the future of collective bargaining, and decent work.

²⁴ idll.uct.ac.za/

²⁵ commerciallaw.uct.ac.za/labour-law-0

03 ENVIRONMENT

Principle 7: Businesses should support a precautionary approach to environmental challenges

Principle 8: Undertake initiatives to promote greater environmental responsibility

Principle 9: Encourage the development and diffusion of environmentally-friendly technologies

The SDGs that fall under this heading include SDG 6 (Clean Water and Sanitation); SDG 7 (Affordable Clean Energy); SDG 9 (Industry Innovation and Infrastructure); SDG 11 (Sustainable Cities and Communities); SDG 12 (Responsible Consumption and Production); SDG 13 (Climate Action); SDG 14 (Life below Water); and SDG 15 (Life on Land).

Since UCT joined the GC in 2018 it has undertaken major new initiatives in support of the principles aimed at protecting the environment and encouraging environmental responsibility as enshrined in this compact as well as in the SDGs. Sustainability is now explicitly a core value of UCT's strategic goals as embodied in the strategy document *Vision 2030*, but progressive thinking

on environmental sustainability has been part of UCT's thinking and actions for at least 30 years – and below some of the historical context will be outlined – but the problem lay with the lack of an integrated approach to the issue. That has been changing since 2018. The initiatives taken since then are intended to be part of a holistic approach to environmental sustainability, built on, but also taking to a new level, the University's desire to be an environmentally responsible institution. As will become clear in the narrative below, UCT's approach to sustainability is embedded into a hierarchy of policies, of decision-making, and of execution – in a nutshell, UCT is deadly serious about sustainability.



Context: Main initiatives up to 2018 demonstrating the University's commitment to environmental sustainability:

1990 UCT was one of the original signatories of the *Talloires Declaration*, and built environmental sustainability research through ongoing cross-faculty interactions throughout the 1990s.

2001 UCT recommitted to the *Talloires Declaration* and the *Environmental Management Working Group* (EMWG) was formed.

2007 The *Cities in Africa* Signature Theme – with a focus on sustainable and equitable cities in Africa and the Global South – was launched (subsequently renamed the *African Centre for Cities*) and an *NRF South Africa Research Chair in Urban Policy* was launched. This group is described in more detail below.

2007 The *Minerals to Metals* signature theme was launched in the Faculty of Engineering & the Built Environment with a specific research focus on the sustainable development of mineral resources in South Africa and more broadly in Africa. This theme hosted an *NRF South African Research Chair in Minerals Beneficiation* and underpinned the collaborative development of the MPhil in Sustainable Development of Mineral Resources with the University of Zambia. Its cross-cutting nature ensured interdisciplinary research across process engineering, the natural sciences, anthropology, law, economics and public health.

2008 The *Green Campus Policy Framework*¹ (aimed at responsible use and environmental sustainability) was formally

adopted by Council and Senate. In the same year the *Green Campus Initiative* (GCI) was formed. The GCI, a student-led body was modelled on the Harvard University GCI, while representative student bodies also focused, and continue to focus, on environmental sustainability, e.g., the Student Representative Council (SRC) and Engineers without Borders.

2009 Flowing from the *Green Campus Policy Framework*, a *Green Campus Action Plan*² was created.

2011 Vice-Chancellor appointed a Pro Vice-Chancellor for Climate Change, Professor Mark New, and the *African Climate and Development Initiative* was launched. Placing the initiative under the care of a Pro Vice-Chancellor was to signal the importance that the University attached to this enterprise.

2012 UCT became a signatory to the *ISCN-GULF Sustainable Campus Charter*³. (The *International Sustainable Campus Network* (ISCN) is a global forum dedicated to sustainability best practices.)

2015: Sustainable Development Goals (SDGs) were adopted and UCT structured its 2015/2016 *Research Report*⁴ to reflect the research work done in the University that contributes to the achievement of the SDGs.

2016 Several new University Research Institutes were launched with the aim to increase interdisciplinary research on important sustainability issues: The *Future Water Institute*,⁵ dedicated to increasing the knowledge and understanding of water issues, improve water management and water governance, and increase capacity across the water sector; and the *Institute for Communities and Wildlife*

¹ uct.ac.za/sites/default/files/content_migration/uct_ac_za/39/files/UCT_Green_Campus_Policy_Framework_2008.pdf

² uct.ac.za/explore-uct-sustainability/sustainability-downloads

³ uct.ac.za/sites/default/files/content_migration/uct_ac_za/39/files/ISCN-GULF_SUSTAINABLE_CAMPUS_CHARTER_Signed_copy_2012.pdf

⁴ uct.ac.za/sites/default/files/image_tool/images/328/research/publications/reports/UCTRO072_Research_Office_Annual_Report_2015-2016_LOW_Res.pdf

⁵ futurewater.uct.ac.za/



Wikimedia Commons

in Africa,⁶ dedicated to an interdisciplinary approach to reducing conservation conflicts, based on the understanding that slowing the current rate of biodiversity loss demands a shift in the way humans perceive their role in, and interdependence on, natural systems.

Developments since 2018:

2018 UCT joined the UN Global Compact (GC) and undertook to support its ten principles

2019 The Vice-Chancellor created a *Directorate of Environmental Sustainability* and appointed Manfred Braune as the first Director of Environmental Sustainability. His task is to integrate all facets of governance and operations in environmental sustainability at UCT, based in the Office of the Vice-Chancellor.

2020 UCT was set to host the *SDGs Africa Summit 2020*,⁷ held under the auspices of the African Research Universities Alliance (ARUA), the International Alliance of Research Universities (IARU), and the Worldwide

Universities Network (WUN) aimed at accelerating the achievement of the SDGs in Africa, but it was postponed to 2021 due to the Covid-19 pandemic.

2020/2021 In 2020 the Vice-Chancellor issued a call titled "*UCT Sustainable Campus*"⁸ in which she committed to fund projects focussed on establishing and or strengthening the environmental, social and financial sustainability of the University (R10 million in total over 5 years).

2021 The *International Summit on the SDGs in Africa: Shaping the Africa we want* was hosted by UCT and it "presented a unique opportunity to actively engage in, influence and be part of stepping up the pace and scale of change towards achieving the United Nations 2030 Agenda for Sustainable Development and the African Union's Agenda 2063".⁹

2021 The new vision of the University, *Vision 2030*, incorporated the progressive reduction of UCT's carbon to see the institution become carbon-neutral by 2050.

⁶ icwild.uct.ac.za/

⁷ sdgsafricasummit2020.uct.ac.za/

⁸ news.uct.ac.za/article/-2020-02-12-funding-call-uct-sustainability-campus-projects

⁹ See the report UCT Sustainability and the SDGs 2021 (at p. 13.): uct.ac.za/sites/default/files/media/documents/uct_ac_za/39/SDG_REPORT_WEB_SPREADS_LOWRES.pdf

2021 The report *University of Cape Town Sustainability and the SDGs* published.

2021 The *Khusela Ikamva (Secure the Future)* project got underway: This five-year interdisciplinary project, announced in 2020, is to investigate how UCT can become a more environmentally sustainable campus and to encourage staff and students to be active citizens in this cause and in regard to the protection of the environment generally. A project team was formed under five research leaders from different disciplines in 2021 (coordinated through the Environmental Sustainability Directorate) and, uniquely, it draws in involvement of professional and administrative staff, researchers and students, working together, to undertake in-depth research that will focus on the on-campus carbon-emission reduction strategies, the food-waste-energy nexus, the food-waste-wildlife-nexus, sustainable water management; and, tying all together, establishing a community of practice.¹⁰

2021 - 2022 a number of green building projects were completed, and more are being planned:¹¹

- the 500-bed Avenue Road Residence (the first 4-Star Green Star rated student-housing project on the continent);
- the Hasso Plattner School of Design Thinking (the d-School) – UCT's greenest building to date, targeting a 6-Star Green Star rating; and
- the *School of Education* building on the Lower Campus below the Cricket Oval (with a 4-star Green Star rating).

Further building projects are in the pipeline, such as the planning of the *Digital & Polar Lab* began in 2021. One of the project goals is to become a net-zero carbon building, a goal that is closely tied

to its purpose as a Polar Lab. The same is planned for the *Nelson Mandela School of Governance* building on the Upper Campus.¹²

In addition, it is the intention that the buildings that were damaged by the fire that rolled down on the University from the slopes of Devil's Peak in April 2021 should as far as possible be rebuilt as green buildings.

3.1 Incorporating GC principles and SDGs related to the environment into UCT's internal operation

UCT's goal of having an integrated approach to environmental sustainability has meant that the main task of the Director of Environmental Sustainability is to integrate all facets of governance and operations in environmental sustainability at UCT. The UCT *Environmental Sustainability Strategy*¹³ requires the buy-in and cooperation of all sectors of the University and for the Director to work closely with the whole senior management of the University, the Properties and Services Department, faculties, academic departments, and research groupings to put the strategy in place and to execute it. The planning of the strategy includes that governance structures in the University will have to be refined to enable its implementation. It is a grounded strategy which recognises that the targets that are set must be clear but realistic, and that the time-frames set to achieve these targets must take account of the necessity to spread resource and budgetary allocations responsibly in accordance with the University's overall finance strategy. It is pleasing to be able to report that the strategy is already bearing fruit. Here are some of the achievements:

An important part of the strategy as it pertains to UCT's internal operation is the triple target of (a) achieving a net-zero carbon footprint by 2050,

¹⁰ See Manfred Braune news.uct.ac.za/article/-2022-10-19-environmental-sustainability-on-campus and see also the report UCT Sustainability and the SDGs 2021 (at p. 13.): uct.ac.za/sites/default/files/media/documents/uct_ac_za/39/SDG_REPORT_WEB_SPREADS_LOWRES.pdf

¹¹ See Manfred Braune news.uct.ac.za/article/-2022-10-19-environmental-sustainability-on-campus

¹² This is a logical continuation of a long-standing approach within UCT: in 2012, the university committed to green designs for all new buildings (as independently certified by the Green Building Council South Africa) and the first certified Green Building was the New Lecture Theatre on upper campus, completed in 2016, followed by the Graduate School of Business conference centre at the V&A Waterfront, which opened in July 2019.

¹³ uct.ac.za/sites/default/files/media/documents/UCT_Environmental_Sustainability_Strategy_2021.pdf



(b) becoming a net-zero water campus by the same date, and, also by 2050 (c) achieving a net-zero waste to landfill.

(a) In regard to achieving a net-zero carbon footprint, it can be reported that meeting the targets that UCT set for itself in regard to greenhouse gas emissions is on course. The idea is to reduce (working hand-in-hand with the COO, Properties and Services, and all the faculties and departments) the footprint by between 2% and 5% per annum until 2030, when a level will be reached where all the emissions can be offset. The intention is to achieve this by being increasingly less dependent on electricity from the grid, which is very carbon intensive. To facilitate this, the sustainability plan makes provision for: extensive energy audits of building energy consumption (aided by procuring a service provider to issue energy performance certificates for all buildings above 2 000 m²); intensified energy metering and monitoring (which in the short term means installing 40 additional electrical meters so that all buildings above 2 000 m² are individually

metered and linked to UCT's online metering dashboard); improved, automated building-management systems; energy-efficient lighting and heating, ventilation and air conditioning installations and retrofitting solar photovoltaic (PV) installations on rooftops and parking areas (as put into effect by arrays on the Hasso Plattner School of Design Thinking, the Graça Machel Residence and the Chemical Engineering building); new buildings that are highly energy efficient and certified "green" (a goal realised in the construction of the Avenue House Residence and the Hasso Plattner School of Design Thinking; and moving the University's shuttle service from diesel to electric buses (which was set in motion by installing three electric vehicle chargers as a pilot project exploring the replacement of UCT's petrol/diesel fleet). UCT has measured its carbon footprint since 2007 and reported the results publicly. (For the most recent report, see the UCT Carbon Footprint Report.)¹⁴

(b) In regard to becoming a net-zero water campus, UCT received R70 million from DHET

14 news.uct.ac.za/images/userfiles/files/publications/factsheets/UCT_FactSheet_25_Carbonfootprint.pdf

in 2018 and UCT itself contributed R10 million towards this project. The first step was to develop a *Sustainable Water Strategy*,¹⁵ which not only supports the University's sustainability goals embodied in *Vision 2030*, but also responds to the City of Cape Town Water Strategy (2019), which commits the city to becoming a water-sensitive city by 2040. This strategy set a goal of reducing, in a water-sensitive way, its municipal water demand from the baseline 650 ML per annum to 360 ML per annum by 2050. (Doing this presupposes that we gain the appropriate knowledge of our water supply system. As the Director has said, "you can't manage what you don't measure" and "you can't measure it if you don't know where the pipe network runs to". This means that the consolidation of infrastructure records and the installation of additional smart water meters to obtain an improved understanding of water use across UCT will be crucial to the successful implementation of the strategy). The strategy builds on UCT's long-standing research on water-sensitive urban design (WSUD) and the work of the *Future Water Institute*, which was established to drive transdisciplinary, collaborative research on water and to facilitate the uptake and use of this research. The goals of the strategy have been formulated as follows:

- to reduce UCT's overall demand and dependence on municipal water supply and wastewater treatment;
- to maintain business/operational continuity during periods of unprecedented low rainfall and water restrictions;
- to reduce the overall spend on water (a scarce natural resource) through appropriate investments;
- to provide a diverse, resilient and sustainable combination of water resources; and
- to mitigate UCT's overall impact of runoff on

downstream water quality.

The *Khusela Ikamva Sustainable Campus Project* team dedicated to meeting these objectives, led by Dr Kirsty Carden, is assessing alternative water use opportunities on UCT's campuses and selecting projects that could be implemented as exemplars/test cases – and practical steps that have been taken include assessing the potential for rainwater harvesting on the Upper and Middle Campus of UCT; the drilling of test boreholes to serve as back-water supply and/or to supplement water-recycling initiatives; and the scanning as well as mapping of all underground pipes on campus for maintenance purposes and leak detection.¹⁶

Furthermore, UCT is committed not to keep what it learns in this regard to itself. Thus the Water Sustainability Strategy makes the following promise:

"UCT commits to inform, empower and educate visitors, staff and students to better utilise water as a finite and vulnerable source, essential to sustain life, development and the environment. In doing so, UCT recognises the various co-benefits associated with water.¹⁷ Further, the University commits to ensuring its leaders at all levels academic, administrative, policy, maintenance – are engaged, aware of how water is being utilised and trusted with its stewardship throughout the University. The University will draw on its wealth of transdisciplinary skills to achieve this. A key component of this commitment will be the development of UCT as a Living Lab that will feature the latest thinking and hands-on research through "living" real-estate projects on campus that allow a lived student experience of water-sensitive design through the campus facilities."

15 uct.ac.za/sites/default/files/image_tool/images/328/explore/sustainability/UCT_Water-Management-Strategy_Executive-Summary.pdf

16 See the report: UCT and the SDGs 2021 uct.ac.za/sites/default/files/media/documents/uct_ac_za/39/SDG_REPORT_WEB_SPREADS_LOWRES.pdf

17 See for instance Day Zero: One City's Response to a Record-breaking Drought by Leonie Joubert and Gina Ziervogel, published the African Centre for Cities: africancentreforcities.net/wp-content/uploads/2019/07/Day_Zero_Joubert_Ziervogel_2019.pdf



(c) In regard to net-zero waste to landfill, a new waste-recycling infrastructure was installed on campus in 2021 and additional staff were employed to support waste-collection services, while the waste created, the waste to landfill, the waste recycled, and organic waste are measured with increasing accuracy.

Key to achieving environmental sustainability goals is a commitment on the part of universities to make courses on climate and all aspects of sustainability widely available. UCT has made exactly such a commitment by signing the Presidential Declaration of the *U7+ Alliance of World Universities* at its June 2019 Paris summit.¹⁸

3.2 Promoting the GC principles and SDGs related to the environment through the activities of the University

As is clear from the summary of UCT's work in regard to environmental protection at the beginning of this section, our commitment to making a difference in this area is deep and long-standing. Here too the University's work takes many different forms – research, policy-making, advocacy, consulting and teaching. The following are important examples of the environmental work that we do:

(a) The *African Climate and Development Institute* (ACDI),¹⁹ led by the Pro Vice-Chancellor for Climate Change, Professor Mark New, is viewed as one of the continent's foremost climate change institutes. The ACDI responds to the challenge of climate change by coordinating and centralising resources to enable inter- and transdisciplinary research, teaching and learning in the areas of climate change and sustainable development across Africa and beyond. It was established in 2011 by the Vice Chancellor as a strategic initiative, to “facilitate and substantially extend climate change research and education at UCT with the specific context of addressing the development challenges of Africa from an

African perspective”. The ACDI surpassed this initial mandate and achieved formal status as a university institute in 2018. Simultaneously, the African Research Universities Alliance (ARUA) awarded ‘Centre of Excellence’ (CoE) status for “Climate and Development” to the ACDI alongside partners at the Universities of Nairobi and Ghana. The ACDI provides a platform for UCT's and ARUA's collective response to the challenge of climate change by coordinating and centralising resources to enable inter- and transdisciplinary research, teaching and learning in the areas of climate change and sustainable development across Africa and beyond.

During the period to which this report pertains one of the important roles that ACDI has played is to facilitate climate-change collaborations within UCT. For example, many UCT researchers contributed to the *2022 IPCC Climate Change Report*. As part of the *Kusela Ikamva* project, a number of researchers, spearheaded by ACDI postdoctoral researcher Tawanda Jimu, facilitated three UCT-based webinars which were aimed at highlighting the research underlying this report and how it may relate to UCT. This webinar series was aimed at establishing a community of climate-change practice at UCT by bringing together staff, students and management.

ACDI's external collaborations remain as strong as ever. These are detailed below in Section 6, but it is important to mention especially that Professor Mark New continues to hold the *AXA Chair in African Climate Risk*, where his focus is on quantifying and understanding the changing risk of climate on water and food security in southern Africa and that he heads up the *African Research Universities (ARUA) Centre of Excellence in Climate and Development*.

The rich variety of research projects conducted under the auspices of ACDI can be viewed on its website,²⁰ as can the numerous policy briefs, newsletters and other website resources that it has issued.²¹



Furthermore, various courses relevant to the climate have been developed at UCT. Some examples are *Introduction to Earth and Environmental Sciences* (AGE100S); *Ocean & Atmosphere Science Honours* (SEA4001W); *Introduction to Climate Change & Sustainable Development* (EGS5031F); *Climate Variability and Climate Modelling* (EGS4024S); *Living with Environmental Change* (EGS4032S); *Climate Change and Predictability* (EGS4038F); *Natural Resource Economics* (ECO5052S); *Climate Change and Predictability* (EGS4038F/S); *International Environmental Law* (PBL4619S). It is also possible to do an Honours in *Environmental & Geographical Science* and a *Masters in Climate Change & Development*.

Two MOOCs (Coursera) dealing with climate change remain available: Professor New's *Climate Adaptation in Africa*, Professor Harald Winkler's *Climate Change Mitigation in Developing Countries*²²

(b) The *Climate System Analysis Group* (CSAG) is one of the leading climate research groups in Africa.²³ It is led by Professor Bruce Hewitson (who also holds the *National Research Foundation Chair on Climate Change*). CSAG focuses on the generation of robust, relevant, regional climate change information while advancing our understanding of the dynamics and processes that drive the coupled climate system. The group's impressive range of present and past research projects and publications, its climate services (defined as ‘activities directly engaged with supporting societal responses to climate where those response may range from policy development through to planning, engineering design, and adaptation’) may be viewed on its website.²⁴

The report *University of Cape Town Sustainability and the SDGs* quotes these words of Professor Hewitson: “For understanding the regional impacts of climate change, CSAG's

¹⁸ Principle 3 of the Declaration. See u7alliance.org/wp-content/uploads/2019/07/U7_2019_FINAL_DECLARATION.pdf

¹⁹ acdi.uct.ac.za/

²⁰ acdi.uct.ac.za/acdi-research

²¹ acdi.uct.ac.za/acdi/publications

²² cilt.uct.ac.za/cilt/moocs-uct

²³ csag.uct.ac.za/

²⁴ csag.uct.ac.za/current-research/ and csag.uct.ac.za/past-research/

contracted projects have addressed the development of context-relevant climate change information aligned with the knowledge needs for policy and adaptation actions at the appropriate decision scale.”

CSAG’s research has enabled its researchers to play a key role in the work of the Intergovernmental Panel on Climate Change (IPCC) and the World Climate Research Programme. In 2021 several CSAG researchers contributed to the Working Group 1 component of the Sixth Assessment Report of the IPCC, including as lead authors on Chapter 10, “Linking global to regional climate change”, and Chapter 11, “Weather and extreme events in a changing climate”.

An important aspect of CSAG’s engagement with broader communities is the e-learning modules that it has developed dealing with understanding key concepts in climate science. These modules are aimed at providing an entry-level background to concepts used in climate science. This is aimed at assisting the ordinary user of climate data who may be unfamiliar with the scientific terminology and confused by the lists of multiple sources of data.²⁵

(c) The *Environmental-Economics Policy Research Unit* (EPRU)²⁶ is a collaborative association of academic researchers specialising in environmental and natural resource issues and seeking to enhance policy-making in these fields for sustainable development and poverty reduction in South Africa and Southern Africa. The EPRU is led by Professor Martine Visser, who has recently also been awarded the *National Research Foundation Research Chair in Governance and Economics of Ecological Infrastructure*. The unit does rigorous applied research using a range of econometric and experimental methods – and its priority areas relate to energy, water, and waste; land, living resources, and community wellbeing;

and climate change adaptation.²⁷

Additionally, the centre has a strong focus on capacity building and building collaborative networks across academia, government, non-governmental organisations, and the private sector²⁸.

(d) The *Future Water Institute*,²⁹ led in the interim by Dr Kirsty Carden, conducts research on water sensitive approaches, driven by the need to enhance capacity for managing water scarcity and building resilience; to innovate so that the water supply meets demand; and to ensure technically sound, socially acceptable and sustainable water management policies and practices. It draws together researchers from a number of different fields to engage with water-related issues and conduct cross-cutting research around four intersecting themes: water-sensitive design, integrated resource management, resource recovery for the circular economy, and addressing diverse relations and values around water..

An example of the work done in the *Future Water Institute* in respect of the crucial issue of access to water in our water-scarce country, as described in the UCT report *Sustainability and the SDGs 2021*,³⁰ is Associate Professor Dyllon Randall extension of the work done in the *Centre for Bioprocess Engineering* (CeBER), led by Professor Sue Harrison. CeBER developed a wastewater biorefinery proof of concept, which is focused on domestic wastewater and sanitation, industrial wastewater and mine water, and Professor Randall has extended this to the production of fertiliser from urine. As the report notes: ‘Using a multi-component flowsheet, organic-containing wastewaters can be processed to produce industrial polymers, biomass and biogas, while elemental sulphur is recovered from sulphate-containing mine waters for fertiliser production – through robust bioprocesses. In all cases, fit-for-

²⁵ acdi.uct.ac.za/online-courses

²⁶ efdinitiative.org/south-africa/

²⁷ epru.uct.ac.za/EPRU-research

²⁸ epru.uct.ac.za/EPRU-outreach

²⁹ futurewater.uct.ac.za/

³⁰ uct.ac.za/sites/default/files/media/documents/uct_ac_za/39/SDG_REPORT_WEB_SPREADS_LOWRES.pdf (at p. 29).



purpose water streams are reused!.

(e) The *African Centre for Cities* (ACC),³¹ led by Professor Edgar Pieterse, aims to produce knowledge on the drivers of urban crises in mainly African cities with an eye on systemic solutions, and provide tailored capacity development products/services about the unique dynamics of urban development in Africa and the Global South. It is linked into many local and international networks (as detailed in Section 6) and has an array of projects relating to Cape Town, Southern Africa, Africa and the Global South. The latest of its impressive project list is its partnership with Big Win Philanthropy on a ground-breaking initiative to catalyse the transformation of cities in Africa: the African Mayoral Leadership Initiative (AMALI).³²

(f) The *Centre for Transport Studies* (CFTS), led by Associate Professor Roger Behrens, is also aimed at achieving sustainable cities. It is

a multidisciplinary centre, the goal of which is to be an internationally recognised research and teaching body that produces relevant research, develops skilled professionals, and advocates innovative practices and institutional arrangements for the management of complex transport systems in the cities of South Africa and other African countries.³³

(g) The *Centre for Statistics in Ecology, Environment and Conservation* (SEEC),³⁴ led by Associate Professor Reg Altwegg, is an inter-departmental group which aims to provide a hub connecting statisticians and biological/environmental scientists to ensure that the most important environmental questions are addressed with cutting-edge statistical methods. It also develops methods that link data analysis and modelling into the conservation planning and management process.

(h) The *FitzPatrick Institute for African*

³¹ africancentreforcities.net/

³² africancentreforcities.net/acc-partners-with-big-win-on-initiative-to-catalyse-the-transformation-of-cities-in-africa/

³³ cfts.uct.ac.za/ts/home

³⁴ seec.uct.ac.za/



Ornithology (Fitztitute),³⁵ led by A/Professor Susie Cunningham, promotes and undertakes scientific studies involving birds, and contributes to the practice affecting the maintenance of biological diversity and the sustained use of biological resources.

The extensive research oeuvre of the Fitztitute, (arranged under the rubrics of Understanding Biodiversity: Evolutionary and Behavioural Ecology; Maintaining Biodiversity: Species-level Conservation; and Maintaining Biodiversity: Global Change) can be viewed on the institute's website.³⁶

Of the many recent projects undertaken by members of the institute, it is important to mention the recent litter interception project of Emeritus Professor Peter Ryan. Initiated in 2021, it is funded by the Waste Research, Development and Innovation Roadmap and aims to cut plastic emissions from land-based urban sources in South Africa.³⁷ Professor Ryan also joined the *Arctic*

Century Expedition to the Russian Arctic arranged to celebrate the centenary of Russia's Arctic and Antarctic Research Institute (AARI). His project was to study the plastic pollution of the region, as well as to document the region's birds and marine mammals.

(l) The *Institute for Communities and Wildlife in Africa* (iCWild),³⁸ co-led by Professor Justin O'Riain in Biological Sciences and Professor Nicoli Nattrass in Economics, describes itself as "an inter- and transdisciplinary intellectual community dedicated to mitigating human-wildlife conflict, improving human wellbeing and protecting biodiversity in Africa. We seek sustainable, cooperative solutions to conflict by conducting problem-driven research, engaging with key stakeholders to influence policy and practice, and building the capacity of conservation researchers and practitioners".

³⁵ fitzpatrick.uct.ac.za/

³⁶ fitzpatrick.uct.ac.za/fitz/research

³⁷ See the report UCT Sustainability and the SDGs uct.ac.za/sites/default/files/media/documents/uct_ac_za/39/SDG_REPORT_WEB_SPREADS_LOWRES.pdf (p 53)

³⁸ icwild.uct.ac.za/

The research of the institute is wide-ranging, with projects covering issues such as the illegal leopard and skin trade, Karoo rewilding and human-baboon interaction on the Cape Peninsula.³⁹ In regard to the last-mentioned issue, Professor O'Riain has written: "Cape Town's urban baboon programme has resulted in more baboons spending more time in natural habitats and suffering fewer human-caused injuries and deaths. Against the sombre backdrop of the sixth great extinction of life on Earth, this is cause for celebration." And he adds: "These successes are not by chance, but by careful collective design that has involved hundreds of people in countless workshops and meetings since 1998. Welfare organisations, NGOs, scientists, concerned citizens, volunteers and councillors have, together with civic, provincial and national operational managers, devised a successful, largely non-lethal programme to keep baboons out of dangerous urban areas."

(j) The *Marine and Antarctic Research Centre for Innovation and Sustainability* (MARIS), led by Professor Marcello Vichi, describes itself as an "interdisciplinary centre for marine and Antarctic science projects, involving multiple departments within the University of Cape Town: Biological Sciences, Chemical Engineering, Civil Engineering, Electrical Engineering and Oceanography. The centre is an aggregator of competence and expertise that considers academic and technological knowledge in relation to societal benefits, with the overarching aim of enhancing the production of knowledge and human capacity in marine and Antarctic research."⁴⁰

(k) The *Nansen-Tutu Centre for Marine Environmental Research*,⁴¹ led until his recent untimely death, by Professor Matthieu Rouault,

aims to develop and implement operational oceanography and methods of data integration into models in the South Atlantic Ocean, the Indian Ocean and the Southern Ocean, with a focus on ocean state, marine environmental and ecosystem modelling, research and capacity building.

(l) The *Plant Conservation Unit* (PCU),⁴² led by Professor Tim Hoffman, aims to be a world-class, African-centred research and postgraduate training unit that improves the ecological understanding of Africa's biomes, the pressures facing them and the opportunities for conservation that benefits both biodiversity and people. In the report *University of Cape Town Sustainability and the SDGs*, the following is said about the unit's work: "A rapidly changing climate, combined with escalating human impact, makes decision-making around the sustainable use of ecosystem services particularly complex. UCT's Plant Conservation Unit (PCU) integrates a range of methods to reconstruct past environmental change and understand how these processes have shaped today's landscapes. Professor Hoffman is quoted as observing: "Lessons learnt in this region have universal significance, particularly in the context of global change research and the development of sustainable land use practices."

(m) The *Schools Development Unit* (SDU) has integrated Education for Sustainability (EFS) into its in-service education, e.g., through the blended-learning short courses for Intermediate Phase Natural Science teachers, and the UNESCO Sustainability Starts with Teachers training programmes. The SDU also supports the broader science community in its contribution to the development of the Climate Change and Sustainability Education Digital Library (CCSEDL).⁴³

³⁹ For the full range of the institute's projects, see icwild.uct.ac.za/icwild_projects

⁴⁰ maris.uct.ac.za/about-us/overview

⁴¹ nansen-tutu.org/

⁴² pcu.uct.ac.za/

⁴³ See the Schools Development Unit Annual Report 2021 humanities.uct.ac.za/sites/default/files/content_migration/humanities_uct_ac_za/1499/files/SDU%25202019%2520Annual%2520Report_Final%2520%255B15-05-2020%255D.pdf (at p. 8)

04 ANTI-CORRUPTION

Principle 10: Businesses should work against corruption in all its forms, including extortion and bribery

SDG 16 (which includes Strong Institutions) Coincides with GC Principle 10

UCT is uncompromising in its stance against any form of internal corruption and proud of the work that it does to combat corruption in society. The university has a comprehensive Fraud and Corruption Prevention Policy and Response Plan,¹ which was updated in May 2022 and is widely communicated to all internal stakeholders. This policy supports good and responsible governance of all UCT funding in

accordance with the Higher Education Act, 1997, as amended, as well as related regulations such as the Prevention and Combating of Corrupt Activities Act, 2004 (PRECCA).

Importantly, UCT takes a leading role in combatting corruption in the wider society, through its research and other interventions, often partnering with civil-society organisations. These activities are outlined in section 4.2 below.

¹ uct.ac.za/sites/default/files/media/documents/gen005_2022.pdf





4.1 Internal university policies, procedures and actions aimed at combatting corruption and strengthening the university as an institution

Several policies and procedures serve UCT's firm commitment to good governance and financial probity.

(a) The Risk Management Policy

The Risk Management Policy (approved June 2020),² which may be said to be the anchor policy for ensuring good governance and fighting corruption, states unambiguously that the university regards 'the risk management function

as an integral part of the university's governance and accountability arrangements, performance management, planning and processes of reporting'. Risk to the university's operations take a great variety of forms,³ but financial risk and risk related to research integrity are important areas in which the risk of corruption exists. How UCT responds to risk is guided by the university's risk management philosophy⁴ and managed through an integrated, structured framework.

The following entities have key roles in respect of oversight, operational control and independent assurance in this framework:

² uct.ac.za/sites/default/files/content_migration/uct_ac_za/48/files/gen007.pdf

The policy takes account of the South African National Standards (SANS 31000:2018), the King IV Report on Corporate Governance for South Africa, 2016, the IRMSA Guideline to Risk Management, the Higher Education Act no 101 of 1997, and the Faculty of Health Science HREC Guideline. Benchmarking exercises were also done with both South African universities and universities in other countries.

³ In assessing the areas of risk at UCT, the following spheres have been identified: relationship-related risks (with government, funders etc); financial/commercial risks, human resources risks, Student-related risks, and property and resources-related risks. See the document referred to in the previous footnote.

⁴ 'The philosophy of the university is to recognise that risk management is an essential component of good corporate governance and as such integral to sound business principles and practice. The university embraces risk management for the contribution it makes to achieving the university's strategies. The Key Risk Indicators (KRI's) and KPI's management (strategic and operational) are developed, maintained, monitored and updated regularly and submitted to RMEC, UARC and the Council.' (Section 9 of the Risk Management Policy.) Central to the university's thinking is also that every member of the university community, staff or student, must do his or her share to mitigate risk in their area of responsibility, however big or small it may be.

Oversight

The Council and the Audit and Risk Committee. The ultimate responsibility for the oversight of effective risk management lies with the Council of the university. It receives an Annual Report on Risk Management from the university Audit and Risk Committee (UARC), which is established by the Council and has delegated responsibility for overseeing the university's risk management processes and providing assurance to Council on the effectiveness of the internal controls. Council causes an annual risk assessment to be undertaken and it reports to government on the management of institutional risk as prescribed in the Regulations for Reporting by Higher Education Institutions.

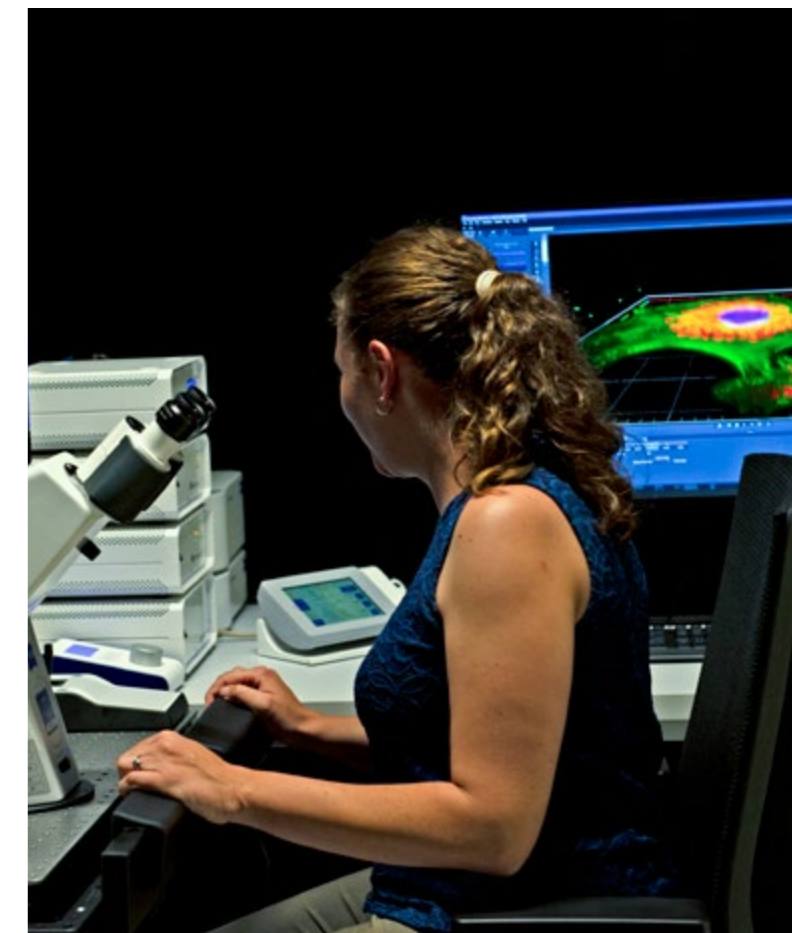
Operational control

The operational framework is built on the internationally accepted 'three lines of defence' approach to risk management, which distinguishes between persons and entities (a) that own and manage risks (b) that oversee risks and (c) that provide independent assurance.

The first line of defence is constituted by the following persons and entities: *The Vice-Chancellor.* The Vice-Chancellor, is accountable for ensuring that a risk management strategy and risk management plan are in place and that policies are communicated to all staff, students, relevant stakeholders and third parties to ensure that the risk strategy is incorporated into the culture of the university. In this task the Vice Chancellor is assisted by *the Executive and Senior Management Teams.* The Vice-Chancellor leads the development and review of the university's *Strategic Risk Register* and chairs the *Risk Management Executive Committee (RMEC).* This committee is tasked with reviewing the risk philosophy, strategy and policies adopted by Council; and with satisfying the UARC that there is an overall effective combined assurance strategy and structure for all risk management across the university. RMEC also assists the UARC in the discharge of its duties relating to university and corporate accountability and the associated risk in terms of management, assurance and reporting. *Deans, Executive Directors, and Heads*

of Departments. Deans, Executive Directors, and Heads of Departments are responsible for the day-to-day risk management processes in their respective areas of responsibility.

The second line of defence is *the Risk Management Office.* The office, under the leadership of the Director: *Risk Compliance and Relationship Management,* is responsible for establishing processes, tools and advice to facilitate effective risk management across the university and for creating an awareness of potential risks and culture of risk awareness. This office is also responsible for facilitating the identification, assessment and reporting of the university's risk profile to the RMEC and UARC. The overall *University Operational Risk Register* is a consolidated view of the operations risks faced by the university.



The third line of defence is the *Internal Audit*. The internal audit, which is independent of management, plays an important role in the monitoring of, and reporting on the efficacy of, risk management in the university by interacting with the REMC, the UARC, and the External Audit.

External control

The external auditors of the university play an important part in ensuring efficient risk management and good governance generally. The external auditors attend and have access to the UARC to report on, or raise, any matter relating to risk management or auditing matters. The Department of Higher Education and Training (DHET) also plays an important role in this regard: the Council of the university annually submits to the DHET a *Governance Indicators Scorecard*, which includes an assessment of the efficacy of risk management in the university.⁵

(b) Financial policies

The appropriate management of risk presupposes that there are policies and practices in place in place for all the individual areas in respect of which risk has to be managed. The efficient management and oversight specifically of finance is one of the most important of these areas. The document *Overview of the Financial Governance, Structures and Processes of the University*⁶ provides an overview of how the university executes this task. The whole array of financial policies, practice notes and guidelines that regulate the conduct of the UCT community on a daily basis is available online,⁷ but it is important to note a few policies and guidelines that are particularly important to the elimination of corruption: the *Delegated Authority Limits* [GEN002],⁸ which sets out the levels and conditions of delegated Council authority to facilitate contracting on behalf of the university; the *Fraud and Corruption Prevention*

⁵ For an example of a UCT scorecard that happens to be available in the public domain, see news.uct.ac.za/images/userfiles/downloads/media/Governance-Indicators-Scorecard_June-2018_Final.pdf

⁶ uct.ac.za/sites/default/files/content_migration/includes/files/finance_governance.pdf

⁷ staff.uct.ac.za/staff/finance/operations/policies-guidelines

⁸ https://uct.ac.za/sites/default/files/image_tool/images/431/finance/operations/policies/gen002.pdf

Policy and Response Plan [GEN005],⁹ which formalises UCT's approach of zero tolerance to fraud and corruption, it reinforces existing systems, policies and procedures aimed at deterring, preventing, detecting, reacting to and reducing the impact of fraud and corruption at the university – and ensures a proper process of investigation is followed for all suspicious activities reported; and the *Policy on Conflict of Interest at UCT and on Disclosures of interests to be made by members of the University*.¹⁰

This policy requires every member of Council and every member of staff to make a full, annual declaration of his or her financial interests and fiduciary roles and those of his or her immediate family members; requires withdrawal from decisions and procedures where a potential conflict of interest may arise; and prohibits staff and Council members from doing business with the university except as provided by the Higher Education Act and as sanctioned by Council. Lastly, it is also important to mention the existence of a *Whistleblower Hotline* as a further aid to combatting fraud and corruption¹¹ – and the investigations that have been completed as a result of alerts received in this way are also publicly communicated.¹²

(c) Policies on research integrity

The integrity of a university's research is of the greatest importance to the validity of the work that it does and thus to its reputation. UCT deals with research integrity through an array

of structures and policies. First, risks related to research are fed into and form part of the *University Operational Risk Register*, mentioned above. Secondly, two separate Senate-level committees provide dedicated oversight and make and implement policy regarding research ethics and related matters for research: the *Senate Ethics in Research Committee* (EIRC) for the ethics of research involving human subjects and the *Senate Animal Ethics Committee* (SAEC) for animal ethics. The Senate, through its committees, is also responsible for policy-making in regard to: appropriate responses to allegations of scholarly and scientific misconduct; enabling whistleblowing; regulating disclosure and management of actual and potential conflicts of interest in teaching and in research; and putting in place appropriate processes for permission to access UCT students and staff as research participants. The policies and procedures that are aimed at ensuring integrity in research include, inter alia, the following: the *Policy for Responsible Conduct of Research*,¹³ the *Research Ethics Code for Research Involving Human Participants*,¹⁴ the *Research Ethics Code for the Use of Animals in Research and Teaching*,¹⁵ the *UCT Policy and Standard Operating Procedures regarding the Use of Non-human Primates*¹⁶ the *Code for UCT Research Ethics Committee Members*,¹⁷ the *Standard Operating Procedure for Appeals to the Ethics in Research Committee*,¹⁸ the *Authorship Practices Policy*,¹⁹ the *Standard Operating Procedure to gain Ethical Clearance to engage UCT Staff or Students*,²⁰ and the *Policy and*

⁹ uct.ac.za/sites/default/files/media/documents/gen005_2022.pdf (latest version approved by the UCT Council in June 2022).

¹⁰ uct.ac.za/sites/default/files/content_migration/uct_ac_za/87/files/conflictsofinterestpolicy_Dec2014.pdf (See also: uct.ac.za/research-support-hub/integrity/conflicts-interest) The *Conflicts of Interest Policy* is currently being extensively reviewed.

¹¹ staff.uct.ac.za/staff/support/whistleblowing-hotline

¹² uct.ac.za/staff/completed-investigations-2021

¹³ uct.ac.za/sites/default/files/media/documents/Policy_Responsible_Conduct_Research_March2022.pdf

¹⁴ uct.ac.za/sites/default/files/content_migration/uct_ac_za/39/files/Human_Research_Ethics_Code_2012.pdf

¹⁵ uct.ac.za/sites/default/files/content_migration/uct_ac_za/39/files/Animal_Research_Ethics_Code_2012.pdf

¹⁶ uct.ac.za/sites/default/files/content_migration/uct_ac_za/39/files/Policy_SOP_Non-Human_Primate_Scientific_Use_2015.pdf

¹⁷ uct.ac.za/sites/default/files/content_migration/uct_ac_za/39/files/UCT_RECcode_policy.pdf

¹⁸ uct.ac.za/sites/default/files/content_migration/uct_ac_za/39/files/ERC_appeal_SOP.pdf

¹⁹ uct.ac.za/sites/default/files/content_migration/uct_ac_za/39/files/Policy_Authorship_Practices.pdf

²⁰ uct.ac.za/sites/default/files/content_migration/uct_ac_za/39/files/Policy_Ethics_Clearance_and_Permission_to_Engage_UCT_Staff_and_or_Students_or_Their_Data_in_Research_October_2021.pdf



*Procedures for Breach of Research Ethics Codes and Allegations of Misconduct in Research.*²¹

Furthermore, the university does not rest on its laurels as far as ensuring research integrity is concerned but is constantly reviewing existing policy and filling policy gaps. Here are some examples: Most recently, in October 2022, the university adopted a *Policy on Safeguarding in Research*,²² that ensures that all those involved in the research endeavour, including researchers, support staff, affiliated students, other team members, and research participants, will be protected from the many harms that can arise in a research situation, particularly when there are power imbalances in relationships, including exploitation, bullying and abuse, sexual harassment, racial and gender discrimination (safeguarding being particularly applicable to children, young adults, and vulnerable adults). A *Biosafety Research Compliance Office* has been

introduced and the post of Biosafety Officer has been created. Furthermore, the revision of the *UCT Conflicts of Interest Policy*²³ and the *Research Misconduct Policy*²⁴ is at an advanced stage, as is the introduction of a comprehensive *Pre- and Post-Award Policy*, an integrated codification of the existing ethical and financial obligations and procedures applicable to the governance of externally funded research. A draft code of conduct to ensure that researchers comply with the requirements of the Protection of Personal Information Act (POPIA) and is being taken through the structures of the university.

Each faculty also has its own Research Integrity Committee that reports annually to the Senate-level committees and the whole enterprise of maintaining research integrity is supported by the Office of Research Integrity (ORI), which describes its role as follows:

'Scientific research produces substantial social benefits, but this should never come at the cost of individual rights. As a research-intensive university, UCT's research practices must comply with the highest ethical standards in social and scientific research. The ORI are advocates for responsible research conducted ethically and with integrity. Their role is to guide UCT's research community to sustain and enhance responsible conduct of research and ensure compliance with the highest applicable national and international ethical and legal standards.'²⁵

4.2 The university's work on combatting corruption in the wider society and contribute to strong institutions

The university contributes in various ways to ensuring strong institutions generally and to the fight against corruption. Here are some examples:

Most recently, in February 2023, UCT's Law faculty partnered with *Accountability Now*, the *Konrad Adenauer Foundation* and *Primerio Ltd* to



²¹ uct.ac.za/sites/default/files/content_migration/uct_ac_za/39/files/Policy_Research_Ethics_Breach_Misconduct_2014.pdf

²² uct.ac.za/sites/default/files/media/documents/uct_ac_za/39/Policy_Statement-on-Safeguarding-in-Research_October2022.pdf

²³ uct.ac.za/sites/default/files/content_migration/uct_ac_za/87/files/conflictsofinterestpolicy_Dec2014.pdf

²⁴ uct.ac.za/research-support-hub/integrity/research-integrity-policies

²⁵ researchsupport.uct.ac.za/office-research-integrity



host a conference entitled *Countering the Corrupt: Reform of the Criminal Justice System in South Africa*.²⁶

Ongoing work by the *Democratic Governance and Rights Unit* assists in ensuring that African justice sectors are strong, effective and transparent through a multitude of projects aimed at monitoring and evaluating the appointment and functioning of the judiciary.

In 2009, the *Claude Leon Foundation Chair in Constitutional Governance* was created to concentrate on the necessity for an increased focus on the relationships between the institutions and levels of government and their accountability to the public through their constitutional obligations.

The *Institute for Democracy, Citizenship and Public Policy in Africa*,²⁷ led in an acting capacity by Associate Professor John Akokpari, conducts research into the factors that strengthen and sustain democracy across Africa, including research on institutions of representation and accountability, focussing on issues such as constitutional design, legislatures, courts, political parties, regional and local government, and bureaucracies.

The *Nelson Mandela School of Public Governance*²⁸ is a UCT flagship initiative that

promotes and inspires strategic public leadership in Africa. Founded by Professor Alan Hirsch, and now led by Professor Faizel Ismail, it provides professional training and forums for discussion for senior public officials across the continent, trains top graduates to prepare them for public leadership positions and provides executive training for senior managers and elected office bearers. The school's mission is to build inclusive, developmental, entrepreneurial and effective public institutions and strengthen ethical leadership for social change and sustainable development, in partnership with government, the private sector, and civil society.

Various members of staff serve on NGOs that are dedicated to keeping our institutions strong. For example, Emeritus Professor Hugh Corder, serves on the Board of Directors of *Freedom under Law*, an organisation dedicated to promoting democracy by, among other things, advancing the understanding of and respect for the Rule of Law and litigating in relation to institutional conduct in conflict with the Rule of Law. UCT has, over the years, also made a point of honouring persons who have stood up against corruption, as evidenced by the honorary doctorate conferred on David Lewis, the Executive Director of *Corruption Watch*, and Thuli Madonsela, the former Public Protector.

²⁶ See in regard to this conference: Panel 1 - 2: youtube.com/watch?v=928ndJ64IFQ

Panel 3 - 4: youtube.com/watch?v=KiFIGP-3_so

²⁷ idcpa.uct.ac.za/

²⁸ commerce.uct.ac.za/departments/nelson-mandela-school-public-governance

05 GENERAL: PARTNERSHIPS

SDG 17. This SDG is about partnerships to revitalise the global effort to achieve the SDG goals. UCT considers partnerships vital in this context and utilises several partnerships to advance the GC principles and the SDGs. These partnerships take a variety of forms. An agile approach to furthering the GC principles and the SDGs may require that an opportunity to build a partnership for a specific purpose is taken advantage. A good example of such a partnership (advancing GC principle 10's and SDG 16's goal of strong institutions and a successful fight against corruption in any form) is UCT's hosting of the 7th World Conference on Research Integrity (*'Fostering Research Integrity in an Unequal World'*) from 29 May to 1 June 2022. This conference was a truly global collaboration in which Dr Lyn Horn, the Director of UCT's Office of Research Integrity (ORI) played a central role as Conference co-chair, a member of the Advisory Committee and the Local Organising Committee.¹ However, the extent and effectiveness of partnerships to further the GC principles and the SDGs can perhaps be best illustrated by how UCT advances the GC goals and SDGs through its institutional partnerships and how individual research groupings do this through their targeted partnerships and collaborations. It is not possible to give a list of all the partnerships at UCT that

further these goals, and what follows is an illustrative sample to demonstrate how embedded the notion of achieving the goals through collaborative efforts is in our university.

5.1 Institutional partnerships

The most important networks for demonstrating the importance of partnerships in achieving UCT's ambitions in regard to the GC principles and the SDGs are the following:

African Research Universities Alliance (ARUA)²

The research network African Research Universities Alliance (ARUA) was launched in April 2015, in Dakar, Senegal, with UCT as a founder member. The research areas that ARUA has identified to concentrate its work on include, among others, climate change, food security, mobility and migration, poverty and inequality, non-communicable diseases, unemployment and skills development, energy, good governance, water conservation, post-conflict societies, and urbanisation and liveable cities.

A call for ARUA Centres of Excellence (CoE) was issued in 2017 where UCT was chosen as the host of two of the 13 ARUA Centres,³ namely, the African Centre of Excellence for Inequality Research (ACEIR),⁴ led by Professor Murray Leibbrandt and the ARUA Centre of Excellence

¹ For details, see here: wcri2022.org/organisation/

² uct.ac.za/research-innovation-global-research-partnerships/global-research-networks

³ arua.org.za/centres-of-excellence/

⁴ www.aceir.uct.ac.za





in Climate and Development (ARUA-CD),⁵ led by Professor Mark New, both as directors of the UCT nodes, the University of Ghana and the University of Nairobi host nodes of the respective CoEs. UCT researchers also participate in some of the other ARUA CoEs: the ARUA Water CoE hosted by Rhodes University; the ARUA CoE in Migration and Mobility hosted by the University of the Witwatersrand; and the ARUA CoE for Unemployment and Skills Development hosted by the University of Lagos, Nigeria.

International Alliance of Research Universities (IARU)⁶

IARU is a network of eleven international research-intensive universities from nine countries across the globe. Established in 2006, the IARU members are the Australian National University; ETH

Zurich; National University of Singapore; Peking University; University of California, Berkeley; University of Cambridge; University of Cape Town; University of Copenhagen; University of Oxford; the University of Tokyo; and Yale University. UCT joined this alliance in 2016. UCT's participation in this network has benefitted the attainment of the GC Principles and SDG goals in the following ways:

Global education initiatives

Since 2017, its Global Short-term Academic Programme (GSAP) coordinates all IARU-Global Summer Programme (GSP) initiatives (residential, multiweek courses) and UCT has continuously offered two courses and will also do so in 2023:

- i) the Sustainable Water Management in Africa Programme,⁷ and

- ii) the Afropolitanism, Social Justice and Social Entrepreneurship Programme, of which the first is particularly relevant to the GC principles and the SDGs.

Communities of practice

IARU focuses strongly on sustainability. UCT has benefitted from comparative reports such as the Oxford-led report, *Biodiversity in the IARU: An OxPOCH Report*,⁸ as it has from being part of several working groups and communities of practice, leading to publications such as Goodall, M., Moore, E., Jankowski, A., & Halabi, C. (2020). *Global Priorities, Educated Solutions: The Role of Academia in Advancing the Sustainable Development Goals*,⁹ to which Carolyn Newton and Manfred Braune of UCT contributed as authors.

Worldwide Universities Network (WUN)¹⁰

UCT has been a member of this network since 2009 and participates in several projects under its overarching project of "Responding to Climate Change": *(Re)negotiating power to enhance resilience to climate change; Sustainability and Electricity Access in Developing Countries; Building Sustainable Mountain Systems in Sub-Saharan Africa: Assessing the Linkages Between Communities, Ecosystem Services, Environment and Health; and Building Sustainable Mountain Systems in Sub-Saharan Africa: Assessing the Linkages Between Communities, Ecosystem Services, Environment and Health*.¹¹

South Africa-Sweden University Forum (SASUF)

Through its membership of the Southern African-Nordic Centre (SANORD),¹² UCT was invited to join this forum, which is a strategic

internationalisation project. The second phase of this project, SASUF 2030, is a transformative project uniting 40 universities from across Sweden and South Africa. Bringing together leading researchers, teachers, students, university leaders and other stakeholders, the project will develop joint solutions to the challenges posed by the UN Sustainable Development Goals (SDGs) and Agenda 2030.¹³

5.2 Partnerships of individual research groupings

Throughout the report, there is a reference to partnerships in which specific departments and groupings within UCT are involved. It would overwhelm this report with unnecessary detail to attempt to list them all, but to stress the importance of partnerships in all UCT's constituencies in advancing the GC Principles and the SDGs, we give here, by way of example, a fuller idea of the partnerships of two important research groupings.

The African Climate & Development Institute (ACDI)¹⁴

In outlining the activities of the ACDI in Section 3 of this report, some of the partnerships in which the ACDI is involved were mentioned and its activities in terms of the ARUA Centre of Excellence in Climate & Development (ARUA-CD), were set out above under the heading of Institutional Partnerships (section 5.1). All the ACDI partnerships can be explored interactively online,¹⁵ but to illustrate the extent of its partnerships advancing the GC Principles and the SDGs, the following current project collaborations can be lifted out:¹⁶

⁵ acdi.uct.ac.za/aru-coe

⁶ uct.ac.za/research-innovation-global-research-partnerships/global-research-networks

⁷ iaruni.org/for-students/iaru-courses/iaru-courses-2022

⁸ iaruni.org/images/stories/Sustainability/OxPOCH_IARU_Biodiversity_report.pdf

⁹ campuspress.yale.edu/sdgs/

¹⁰ wun.ac.uk/

¹¹ wun.ac.uk/wun/research/

¹² uct.ac.za/research-innovation-global-research-partnerships/global-research-networks

¹³ sasuf.org/

¹⁴ acdi.uct.ac.za/

¹⁵ acdi.uct.ac.za/acdi/collaborations_network

¹⁶ For details of the projects highlighted here, see: acdi.uct.ac.za/acdi-research



- *Biophysical and Economic Impacts of Hydroclimatic Extremes*, a project led by the Environmental Change Institute at Oxford in partnership with ACDI Director Mark New in his capacity as AXA Chair in African Climate Risk; *Exploring the Evidence of Water-Energy-Food Nexus Linkages to Sustainable Local Livelihoods and Wellbeing in South Africa*, in collaboration with the University of Fort Hare and University of KwaZulu-Natal and funded by the Water Research Commission (WRC).
- *Socio-economic Benefits of Ecological Infrastructure* (SEBEI), in partnership with the University of Copenhagen, funded by the Ministry of Foreign Affairs of Denmark through DANIDA.
- A project that develops and publishes country profiles and training materials that analyse the impact of climate change on agriculture across eight African countries, funded by the International Fund for Agricultural Development (IFAD).
- The *Climate Resilient Development Pathways* project which supported the Presidential Climate Commission (PCC, a multi-stakeholder body established by the President of South Africa)

to develop a climate-resilient development pathways (CRDP) conceptual framework and methodology to facilitate coordinated action transitioning South African society in a just and inclusive manner to be climate resilient and net-zero by the 2050s.

- The *Degrees Initiative*, the purpose of which is to assess the impact of solar-radiation management on drought and heat extremes in Southern Africa.
- The *Climate Resilient African Landscapes* project which is part of the ARUA-CD, funded by the Worldwide Universities Network (WUN) Research Development Fund.
- The *Transforming Energy Access Learning Partnership* (TEA-LP) which aims to build the necessary human capital to achieve SDG 7 and increase access to affordable, clean and safe energy for all. Partner universities include Mekelle University, Ethiopia, the University of Port Harcourt, Nigeria, the National University of Lesotho, Strathmore University, Kenya, Moi University, Kenya, the University of Malawi and the Pan-African University Institute of Water and Energy Sciences (PAUWES), Algeria); The project with the Pan African University Institute

- for Water and Energy Sciences (PAUWES) in the development and implementation of a Master's programme and curriculum in climate change is supported by the German organisation DAAD;
- The UCT/University of East Anglia/Newton *Partnership on Understanding the Climate System and Coping with Climate Change; the Sustainable Management of Water Use and Water Resources: The Impact of Approaches to Restore Trust in the Government* (EnTruGo), is a collaborative interdisciplinary research project with Wageningen University, Netherlands, the Barents Institute at the Arctic University of Norway and the Stockholm Environmental Institute, Sweden, funded by the Water Research Commission.
- The support for Africa's Contribution to Working Group II, IPCC 6th Assessment Report, supported by the International Development Research Centre, Canada - including launching a new series of regional factsheets that distil data, trends and analysis from this report, *Climate Change 2022: Impacts, Adaptation and Vulnerability* (in association with the Climate and Development Network (CDKN), South-South-North and ODI).
- The *South Africa / Flanders Climate Adaptation Research and Training Partnership* (SAF-ADAPT), funded by the Government of Flanders - a 4.5-year collaborative project between three South African universities, the University of Cape Town, the University of Fort Hare and the University of Venda.
- KLIMOS, a consortium of Belgian universities and research groups.
- The South African Adaptation Network project, *Towards Equitable and Sustainable Nature-based Solutions* (TES NbS), is a collaborative partnership between the ACDI, the UCT Climate Risk Lab, the UCT Climate Systems Analysis Group (CSAG), the Mathematical Sciences Hub at the University of Stellenbosch, the School of Geography and the Environment (SoGE) at the University of Oxford, and the UK Centre for Ecology and Hydrology.

- The *Transforming Social Inequalities through Inclusive Climate Action* (TSITICA) project addresses the nexus of climate change, sustainable livelihoods, poverty and inequality to understand how Climate Change Actions (SDG13) can be socio-economically transformative and synergistic with the Agenda 2030 aims of eliminating poverty (SDG1), reducing inequality (SDGs 5 and 10), and providing decent work and sustainable economic growth (SDG 8) - a collaboration under the ARUA-CD involving ACEIR, the African Centre of Excellence for Inequalities Research also hosted by UCT, with nodes at the University of Ghana and the University of Nairobi, the Tyndall Centre for Climate Change Research of the Universities of East Anglia and Manchester, the International Inequalities Institute at LSE, the Grantham Research Institute on the Environment and Climate Change at LSE, and the Townsend Centre for International Poverty Research, University of Bristol.

The African Centre for Cities (ACC)¹⁷

The ACC formulates its approach to partnerships as follows:

'The ACC is driven by the belief that Africa's urban challenges can only be addressed once there is sufficient endogenous intellectual capital steeped in urban research. We therefore see our success dependent on the growth of durable knowledge institutions, focussed on urban issues, across the Continent.

To illustrate how thoroughly the ACC follows through on this approach, we use as an example the membership of two networks of which it is the custodian:

- The *African Association of Planning Schools*, the members of which are drawn from Botswana, Ethiopia, Ghana, Kenya, Lesotho, Malawi, Morocco, Mozambique, Namibia, Nigeria, Rwanda, South Africa, Sudan, Tanzania, Togo, Uganda, Zambia and Zimbabwe.
- The *African Urban Research Initiative* (AURI),

¹⁷ africancentreforcities.net/

which was initiated in 2013 to support existing and future Africa-based research centres to inform the policy actors and networks responsible for sustainable urban policy and management in different African contexts. Its partners include the Cairo Laboratory for Urban Studies, Training and Environmental Research (Egypt), the Centre for African and Oriental Studies, Addis Ababa University (Ethiopia), the Centre for Settlement Studies, Kwame Nkrumah University of Science and Technology (Ghana), the Centre for Urban Research and Innovations, University of Nairobi (Kenya), the Centre for Urbanism and Built Environment Studies, University of the Witwatersrand (South Africa), Centro de Análise de Políticas, Universidade Eduardo Mondlane (Mozambique), the

Development Workshop (Angola), the Ecole Africaine des Métiers de l'Architecture de (Togo), Environnement et Développement Tiers Monde (Senegal), the Institute for Development Studies, University of Nairobi (Kenya), the Institute of Local Government Studies (Ghana), the Institute of Urban Development Studies, Ethiopian Civil Service University (Ethiopia), the Laboratoire Citoyennetés (Burkina Faso), Laboratoire d'Etudes et de Recherches sur les Dynamiques Sociales et Développement Local (Niger), the Lagos Urban Research Network, University of Lagos (Nigeria), the Sierra Leone Urban Research Centre (Sierra Leone), the Takween Integrated Community (Egypt) and the Institute for Human Settlement Studies, ARDHI University (Tanzania).



Future Water Institute¹⁸

The Future Water Institute's vision is of sustainable and resilient water futures. The wide-ranging partnerships utilised to secure this vision are illustrated by the collaborations in the following research projects:¹⁹

The *Bridging the Water* project seeks to sustainably strengthen the South African water education & training capacity in cooperation with the Delft University of Technology, the Centre of Expertise Water Technology (CEW) Leeuwarden, the Waterschap Brabantse Delta, the Durban University of Technology (DUT), the South African Local Government Association (SALGA), the City of Cape Town and the City of Ethekwini.

The project, *Determining the performance of large biofiltration cells in treating contaminated runoff and its reuse for urban food production*, in collaboration with Coventry University is funded by the Royal Society

The *Soil Nexus Pegasus* project, completed at the end of 2021, and dedicated to building policy tools for water- and waste-based urban soil remediation, in collaboration with Coventry University, UK (lead); University of Ghent, Belgium; University of Rosario, Argentina; Hamline University, Minnesota, US; International Soil Care Network; Spanish Network of Agroecological Cities, Spain; Compost Mentis, UK; Municipalities of Rosario and Soldini, Argentina; Shared Assets, UK; Quantum Waste, UK and Langrug Informal Settlement committee.

The *Water Sensitive Design Community of Practice* project (Phase II) aimed at facilitating the widespread implementation of Water Sensitive Design (WSD) in South Africa through knowledge sharing, capacity development and stakeholder

engagement activities. Some of the training activities take place in collaboration with the Centre for Science and the Environment (CSE), India.

Institute for Democracy, Citizenship and Public Policy in Africa²⁰

The mission of this institute is to conduct research into the factors that strengthen and sustain democracy across Africa and the extent of its partnerships is best illustrated by its participation in the *Afrobarometer* project. Afrobarometer is a pan-African, non-partisan research network that conducts public attitude surveys on democracy, governance, economic conditions, and related issues in 37 countries in Africa, with 30 national partners.²¹

The project *Political Parties in Africa* brings together scholars from both the global North and global South to develop a better understanding of political parties in Africa, considering their increased relevance due to the ongoing restoration of democracy across the continent (and a better understanding of the variation between parties across the world).²²

5.3 Conclusion

The partnerships for advancing the GC principles and the SDGs highlighted in this section are merely a representative sample, but they sufficiently demonstrate in real time the achievement of some of the most important objectives of SDG 17 by making available high-quality and reliable data and by establishing effective multi-stakeholder partnerships (including public, public-private, and civil-society partnerships).

¹⁸ futurewater.uct.ac.za/

¹⁹ The current and past projects of the Future Water Institute can be viewed here:

futurewater.uct.ac.za/current-projects

futurewater.uct.ac.za/past-projects

²⁰ idcpa.uct.ac.za/

²¹ The Afrobarometer network partners can be viewed here:

afrobarometer.org/about/our-network/network-partners/

²² See all the partners listed here: politicalpartiesafrica.uct.ac.za/who

06 MEASURING OUR PROGRESS

We strongly believe in measuring our progress in assisting the achievement of the GC principles and the SDGs, both quantitatively and qualitatively. We see great value in measuring our own progress internally, but we also subscribe to the added value of submitting our efforts to external scrutiny. In this section we give examples of both forms of evaluation.

External evaluation of UCT's progress in furthering the GC principles and the SDGs

UCT has decided to engage in the arduous task of submitting our efforts at supporting the SDGs to the *Times Higher Education Impact Rankings*. The first time that UCT participated in this ranking (the 2021 ranking) it was placed in the top 200 (101 – 200 band) of universities worldwide, and it achieved a placement in the top 100 in three of the six SDGs for which it submitted information. SDG 1 – no poverty: 40th (tied); SDG 5 – gender equality: 58th (tied); SDG 10 – reduced inequalities: 94th; SDG 3 – good health and well-being: 101–200 band; SDG 16 – peace, justice and strong institutions: 101–200 band; and SDG 17 – partnerships for the goals: 101–200 band. In the 2022 ranking, UCT was again placed in the 101 – 200 band and improved its position in SDG 1 – no

poverty to 31 in the world.

The Department of Higher Education and Training (DHET) plays an important role in measuring the level of good governance at South African universities: the UCT Council annually submits to the DHET a *Governance Indicators Scorecard*, which includes an assessment of the efficacy of risk management in the University.¹

Internal evaluation of UCT's progress in furthering the CC principles and the SDGs

Throughout the report, mention has been made of UCT's approach to measuring progress. To emphasise this commitment to knowing how we are doing, some examples of our efforts in this regard during the period to which this report relates are reiterated here:

Measuring good governance generally

Good corporate governance has always been a hallmark of UCT and to this end it produces an annual report under the hand of the Chair of Council which contains, among others, governance reports, the annual financial statements and the report of the Audit and Risk Committee. The latest one is the *University of Cape Town Annual Report 2021*.²

¹ For an example of such a report that happens to be available in the public domain, see news.uct.ac.za/images/userfiles/downloads/media/Governance-Indicators-Scorecard_June-2018_Final.pdf

² uct.ac.za/sites/default/files/media/documents/uct_ac_za/48/afs2021.pdf



Measuring the achievement of employment equity: Equity plans, policies and reports

In the Preamble to the UCT *Policy on Employment Equity*³, the University frames its approach to employment equity in the light of its strategic plan, *Vision 2030*, emphasizing that the University is “committed to redressing inequality and building social justice through conscious interventions to return dignity to the formerly historically disadvantaged by amplifying their voices and creating an institutional culture that makes it possible for them to reclaim their agency.” To implement this policy, the University has produced two instruments to guide those responsible for making appointments at UCT: *Guidance for the Implementation of Employment Equity, 2022-2026*⁴ and the *UCT Employment Equity Plan 2022 - 2026*.⁵ These instruments are necessary to have targets against which to measure progress on the employment equity front. UCT’s progress in this regard is reported annually in an *Employment Equity Report*.⁶

Measuring transformation

As is clear from the Preamble to the *UCT Policy on Employment Equity* quoted directly above, the University does not view transformation solely in terms of employment equity, but as a larger process of inclusion, which is evidenced, inter alia, by the fact that UCT has an Office for Inclusivity & Change (OIC), which is housed in the Office of the Vice-Chancellor and reports directly to the Deputy Vice-Chancellor for Transformation, providing institutional responses to transformation, sexual and gender-based violence, disability and cultural change. Although progress on this front is harder

to measure than employment equity, it can be done. The *University of Cape Town Transformation Report 2021*⁷ describes the process in the following terms:

“The 2021 Transformation Report provides a partial reflection on the different ways transformation, diversity and inclusion (TDI) are programmed, implemented and monitored at UCT. Faculties and non-academic departments are invited to report on their work each year in December. They report their actions against the transformation benchmarks, which allows the report to capture how transformation is mainstreamed within teaching and learning, research, and operations.”

The *Teaching and Learning Report 2021*⁸ contains a detailed analysis of the demographics of first-time entering students, their funding, distribution in the residence system, the weight of disadvantage factors, and the relationship between their National Senior Certificate results and their performance in their first year at university; and a reflection on the lessons to be learnt from the performance of the class of 2021.

UCT also participates in the *Committee on Gender* of the International Association of Research Universities (IARU), which holds an annual meeting and collects data to benchmark promotion patterns, the international mobility of academics, and academic success rates over time.⁹

Measuring our carbon footprint

The success of the *UCT Environmental Sustainability Strategy*¹⁰ requires that we know whether our efforts at reducing our carbon footprint are paying off – and we measure, as

³ uct.ac.za/sites/default/files/content_migration/includes/files/Policy_Employment_Equity_2020.pdf

⁴ uct.ac.za/sites/default/files/media/documents/uct_ac_za/39/Guide_Employment_Equity_2022.pdf

⁵ uct.ac.za/sites/default/files/media/documents/UCT-Employment-Equity-Plan-2022-2026.pdf

⁶ For the latest Employment Equity Report (2021) see: https://uct.ac.za/sites/default/files/content_migration/uct_ac_za/39/files/EEA2_UCT%2525202021.pdf

⁷ uct.ac.za/sites/default/files/media/documents/uct_ac_za/39/2021_UCT-Transformation-Report.pdf and see the 2020 Transformation Report here:

uct.ac.za/sites/default/files/media/documents/uct_ac_za/39/2020_UCT-Transformation-Report.pdf

⁸ uct.ac.za/sites/default/files/media/documents/uct_ac_za/39/UCT_Teaching-and-Learning-Report_2021.pdf

⁹ iaruni.org/institutional-joint-working/gender

¹⁰ uct.ac.za/sites/default/files/media/documents/UCT_Environmental_Sustainability_Strategy_2021.pdf



far as we can, our footprint annually. The UCT *Carbon Footprint Report for 2019*,¹¹ was published in 2021 (due to the challenging data collection conditions, with staff working mostly remotely due to the Covid-19 restrictions) and the *Carbon Footprint Report for 2020 - 2021* was published in October 2022¹² which contains a comprehensive analysis of UCT’s carbon footprint as well as recommendations for reduction going forward.

In addition, UCT submits an annual report to the Department of Forestry, Fisheries and Environment in accordance with South Africa’s National Greenhouse Gas Emissions Reporting Regulations (NGER).

Measuring specifically electricity consumption

To refine its measurement of its carbon footprint, UCT has also commenced measuring, where possible, electricity usage in specific buildings and venues and reporting this publicly.¹³

Providing data relevant for universal usage in measuring progress against the SDGs

As a university, it is also important for us to gather data relevant to the SDGs and to make the data available to foster international collaboration in achieving these goals. Examples are the following:

Afrobarometer is a pan-African, non-partisan

research network that conducts public attitude surveys on democracy, governance, economic conditions, and related issues in more than 35 countries in Africa. Through its findings, ordinary citizens can have a voice in policy-making processes that affect their lives.¹⁴

DataFirst is a research data service dedicated to giving open access to data from South Africa and other African countries. It promotes high-quality research by providing the essential Open Research Data infrastructure for discovering and accessing data and by developing skills among prospective users, particularly in South Africa. It researches the quality and usability of national data and encourages data usage and data sharing.¹⁵

The *Energy Systems Research Group* (ESRG) at UCT is a key contributor to the *Annual G20 Climate Transparency Report*.¹⁶

The *South African Labour and Development Research Unit* (SADRU) conducts applied empirical research on poverty and inequality, labour markets, human capital and social policy. In the course of its work, it implements a wide range of surveys that are publicly available and runs training and capacity-building activities in the use of survey data to analyse social well-being.

¹¹ news.uct.ac.za/article/-/2022-02-01-uct-carbon-footprint-report-2019

¹² uct.ac.za/sites/default/files/media/documents/uct_ac_za/39/UCT_Carbon_Footprint_Report_2020-2021.pdf

¹³ www.staff.uct.ac.za/staff/sustainability/energy-consumption

¹⁴ idcppa.uct.ac.za/afrobarometer

¹⁵ datafirst.uct.ac.za/

¹⁶ For the 2021 report, see: climate-transparency.org/g20-climate-performance/g20report2021 - for the 2022 report see: staff.uct.ac.za/staff/sustainability/energy-consumption

