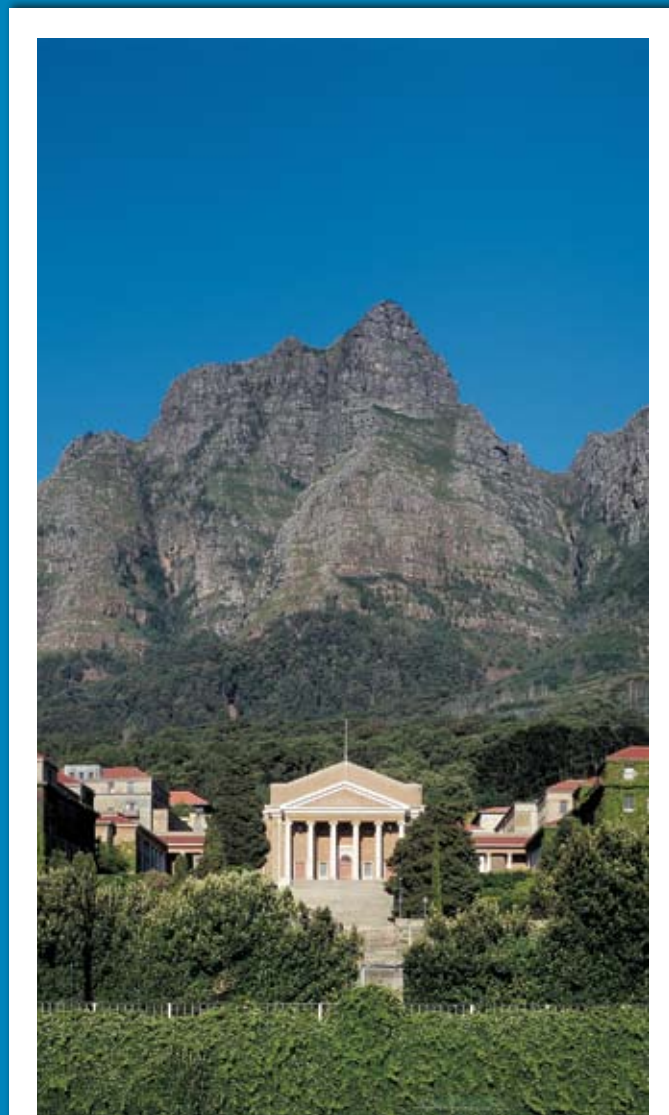




# SOCIAL RESPONSIVENESS REPORT 2010





# UCT Mission

UCT aspires to become a premier academic meeting point between South Africa, the rest of Africa and the world. Taking advantage of expanding global networks and our distinct vantage point in Africa, we are committed, through innovative research and scholarship, to grapple with the key issues of our natural and social worlds. We aim to produce graduates whose qualifications are internationally recognised and locally applicable, underpinned by values of engaged citizenship and social justice. UCT will promote diversity and transformation within our institution and beyond, including growing the next generation of academics.

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# FOREWORD BY THE VICE-CHANCELLOR



The social challenges that confront our country, Africa and the world have an enormous impact on the teaching and research thrusts of socially engaged universities such as UCT.

The complexity of these challenges means that more and more is being demanded of research, teaching and learning at our institutions of higher education. We have shaped our strategic goals to provide a framework, not only for what we teach at UCT, but also to mould the kind of graduates we want to develop. While we prize highly skilled and knowledgeable alumni, we also believe in instilling in each of them the values of civic responsibility and social justice.

Over the years we have profiled different cases of social responsiveness. These case profiles and the ongoing discussions about appropriate ways of assessing social responsiveness brought to the surface different notions about social responsiveness and how academics think their activities fit into the social responsiveness rubric. These differing views highlighted the need for a review of the social responsiveness policy framework.

In November 2010 Senate mandated the University Social Responsiveness Committee (USRC) to review the Social Responsiveness Policy. To assist with this process, the USRC commissioned three reflective pieces designed to stimulate debate about the policy. The three pieces are:

- HSRC Report on the social responsiveness practices of academics at University of Cape Town: Glenda Kruss
- The UCT idea of 'Social Responsiveness': Engaged scholarship must be at its conceptual core for academic staff: David Cooper
- A framework for thinking about the evaluation of social responsiveness interventions or activities: Suki Goodman

A fourth piece, 'Social Entrepreneurship: a passing fad or a new way of doing business in charities?' by Varkey George, was commissioned as a contribution to debates about sustainable models for funding student initiatives.

These reflective pieces are presented here to emphasise where the major issues in our deliberations on our policy lie. Central to those is recognising that we have a spectrum of opinions on our campus as to what we mean by 'social responsiveness'. It is hoped that these pieces will assist in our process for reviewing our policy.

**Dr Max Price**  
**Vice-chancellor**

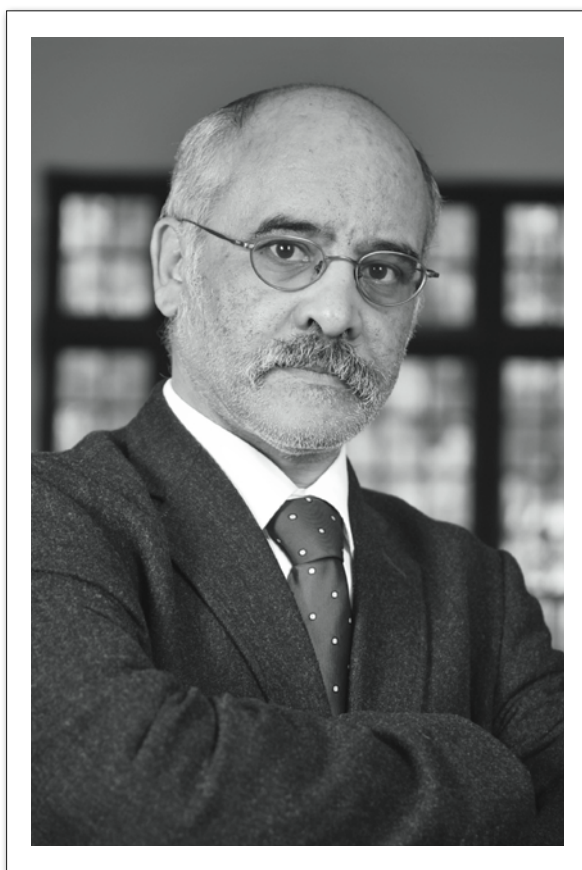
# PREFACE BY THE DEPUTY VICE-CHANCELLOR

The University Social Responsiveness Committee (USRC) report is deliberately structured in two parts. The first part attempts to provide a picture of some of the highlights of social responsiveness taking place in the faculties and in the university as a whole. The second part, brings together papers commissioned by the USRC as part of its response to Senate's request that the social responsiveness policy be reviewed.

UCT strives to be a research-led and 'world class' university. In its strategic goals it has also committed itself to being a university that takes its social responsiveness responsibilities seriously. Being both research-led and socially responsive is by no means unique in the world of higher education, but working with these aspirations and commitments in the South African context does provide the University with very particular kinds of challenges. Central to these challenges is the question of knowledge; how it is generated, and importantly, the uses to which it might be put.

In applying its collective mind to these issues, the USRC is keenly aware of the very distinct challenges and opportunities that define being a university in South Africa. It has looked to models elsewhere in the world, and debated hard and long, but is aware that in seeking to promote both excellence and relevance the university is locating itself at the forefront of the global discussion about the future of the university. Inherent in the idea of a 'world class' university is the notion that scientific knowledge is the university's foremost responsibility. Bearing this responsibility in mind, UCT has piloted a new structure called Knowledge Co-op. This is a vehicle through which UCT seeks to work with external communities on particular problems. This approach has the potential to draw on knowledge from non-scientific communities; and in the process, redefine the modalities within which knowledge is produced, and so assist in making clear the relationship between excellence and relevance.

As a university located in a developing context, UCT should not veer from its mandate of producing highly skilled graduates who are well equipped to grapple with the challenges of a developing nation. There is no contradiction of the mandate when a university attempts to deepen student learning by launching innovative programs like the Global Citizenship and social



responsiveness programmes to extend the knowledge base of its students. In addition to producing professional graduates, it is incumbent on the University to produce graduates who will carry out their responsibilities in a civic-minded manner.

The endeavours to institutionalise social responsiveness have gathered momentum in the university. The study by the HSRC shows that there is a growing community of scholars who are seeking to embed social responsiveness in their activities. The institutional awards are an expression of a commitment to recognise and support this community.

The report captures succinctly the attempts made to improve UCT's engagement with pressing socio-economic challenges. The commitment of resources and the mobilisation of UCT's research strength is a signal by the executive to re-orientate how universities function. This emerging model of a university would align much better with many universities in developing countries.

**Professor Crain Soudien**  
**Deputy vice-chancellor**

# INTRODUCTION

The University of Cape Town (UCT) believes that universities have a crucial role to play in addressing development challenges in the wider society. To this end, many staff members and students are already actively contributing to development in various ways: through research, engagement with policy development, public commentary on development issues and strategies, disseminating knowledge and ideas derived from research, promoting active citizenship among the student population, empowering external constituencies, improving the relevance of the curriculum, and providing opportunities for lifelong learning. The university is committed to strengthening this role in society and has therefore decided to produce an annual social responsiveness report to stimulate ongoing debate within the university and in the broader social sector.

At the end of 2010 the University Social Responsiveness Committee (USRC) was mandated by Senate to initiate a review of the university's Social Responsiveness (SR) Policy. The committee decided to commission papers to assist with the review. Four papers were commissioned, to stimulate debate about the current conceptual framework on social responsiveness, and practices that relate to social responsiveness. These papers will be discussed at a symposium scheduled for later in the year. It is hoped that a revised policy framework will enable the collection of more comprehensive data on social responsiveness at the university in the future.

This report provides a high-level summary of university-wide SR initiatives that occurred in 2010. The summary is supplemented by a report on a study conducted by the Human Sciences Research Council (HSRC) on SR at five universities in South Africa, including UCT, and by information provided by faculties in March 2011 for the university's annual review of progress regarding the implementation of the university's 5-year strategic plan.

*1. Members of the University Social Responsiveness Committee in 2010: DVC Prof Crain Soudien (Chair), Ms Edwina Brooks (DSA), Ms Judy Favish (IPD), Assoc Prof David Cooper (Humanities), Ms Maya Jaffer (SHAWCO), Dr Janice McMillan (CHED), Mr Frank Moltano (Health), Dr Jennifer Moodley (Health), Mr Sonwabo Ngcelwane (IPD), Dr Marilet Sienaert (Research Office), Dr Dee Smythe (Law), Assoc Prof Merle Sowman (Science), Ms Katheleen Taylor (SRC), Assoc Prof Harro von Blotnitz (EBE), Ms Jacky Watson (UBUNYE), Assoc Prof Ingrid Woolard (Commerce).*

*The report was edited by Barbara Schmid.*

# Section

# 1

*Overview of social  
responsiveness at the  
University of Cape Town in  
2010*

# OVERVIEW OF SOCIAL RESPONSIVENESS AT THE UNIVERSITY OF CAPE TOWN IN 2010

## Strategic approach to social responsiveness at UCT

UCT's strategic plan for the period 2010 to 2014 commits the university to expanding and enhancing the university's contribution to South Africa's development challenges through promoting:

- Engaged research and teaching;
- Democracy, respect for human rights and commitment to social justice;
- Partnerships with various levels of government, civil society and universities in South Africa;
- Nurturing values of engaged citizenship and social justice among the students
- The scholarship of engagement;
- An enabling institutional environment for the university's objectives to be achieved.

Brief progress reports on the implementation of these strategies are provided below.

## Promoting engaged research and teaching

At the end of 2009 the Vice-Chancellor (VC) sought approval from Council to allocate R20 million per year over the next five years to support the implementation of the Strategic Plan. Several initiatives related to social responsiveness (SR) were supported through the strategic fund. The VC also launched other university-wide initiatives, drawing on the strengths of individual departments, to address critical threats to the success of the development of the country, such as those arising from violent crime, the poor quality of education in most of our public schools, and climate change. What is significant about these initiatives is that they are not on the periphery of the university's strategic mission, but are aligned to the strategic goals of leveraging UCT's strengths in research and teaching to ameliorate socio-economic challenges.

## Security and violence

A multidisciplinary initiative concerning violence and crime was formed in 2010, drawing participation from the Institute of Criminology, the Gender, Health and Justice Research Unit, the Law, Race and Gender Research Unit, the Department of Psychology, the School of Public Health and Family Medicine, the Department of Social Anthropology, the Department of Social Development, the Centre for Social Science Research (CSSR), and the Department of Surgery, among others.

The initiative was formally named the Safety and Violence Initiative (SaVI). A concept document was prepared, and work commenced on a paper, entitled 'Why is there so much violence in South Africa?'; Other topics to be considered by the initiative include: the visual representation of xenophobic violence in the media; racial and national identity; the association between substance abuse and violence; youth resilience; health promotion; and police narratives.

## Public schooling

An advisor was appointed to assist the VC in developing a proposal for a UCT response to the schools crisis in 2009. Consultations initiated by the advisor led to the establishment of a University-wide initiative, consisting of departments, units and individuals involved in school intervention work, called Edulab. In 2010 Edulab committed itself to focusing the University's school improvement work on the township of Khayelitsha, Cape Town. It undertook an audit of activities being organised in Khayelitsha involving UCT staff and students. In the closing months of 2010 a process was begun to find a co-ordinator for the schools crisis work and for Edulab.

## The African Climate and Development Initiative (ACDI)

This initiative was conceptualised in late 2009 under the leadership of Dr Max Price. In response to a call for research proposals which ACDI issued in November 2009, awards were made to the following two flagship projects, each for a three-year period:

- a. *Benchmarks for the future*: Long-term vegetation change along a 1 500 km aridity gradient in South Africa derived from palaeoecology and historical ecology, submitted by the Plant Conservation Unit;
- b. *The Climate Change and Development Research Programme*, submitted by UCT's Africa Climate Change Innovative Governance Hub.

**The VC's Strategic Fund** awarded a 'collective' grant of about R4 million to six proposals researching issues related to climate change and development. They are:

- a. Changing atmospheric CO<sub>2</sub> as a driver of land-cover change in Africa – Department of Botany;
- b. Building a new 'Climate Smart' capacity for climate services – Climate Systems Analysis Group;
- c. Strategic change in organisations and governance systems in response to complex socio-ecological problems – UCT Graduate School of Business;
- d. Characterisation of the mechanisms of desiccation tolerance in plants – Plant Stress Unit;
- e. Climate change, climate justice and behavioural responses to climate risk; good local governance, social institutions and provision of basic services towards development – Environmental Policy Research Unit;
- f. Environmental governance for social justice: lessons across natural resource sectors in southern Africa – Environmental Evaluation Unit.

In addition to these six successful proposals, another climate change-related project was awarded a VC Strategic Fund grant. This project, submitted by the Marine Research Institute (MA-RE), is titled *Marine Multi-scale Data and Models: the key to predicting climate variability in Africa and its biological and social consequences*. Three highly successful public seminars were held during 2010,



drawing an audience from all walks of life. The debates stimulated through these seminars are important for raising awareness and facilitating intellectual discussion on the issue of climate change.

Council endorsed the creation of a Pro Vice-Chancellor position, which allowed for such a position to be advertised during the first half of 2010. As no suitable candidate could be found, the position was advertised again during October. Emeritus Professor John Parkington agreed to be acting Pro Vice-Chancellor until a permanent appointment is made. Final approval for the Master's programme in Climate Change and Sustainable Development was made in late November 2010. This posed difficulties for the implementation of the Master's Programme in 2011.

Given the wish to have a strong class contingent in the first year of running the course, it was decided to start offering the programme from 2012 onwards.

### **Faculty highlights with regard to social responsiveness**

At the end of March 2011 the University Strategy Forum conducted a review of progress with regard to the implementation of the Strategic Plan for the period 2010 – 2014. In order to prepare a progress report faculties were requested to provide examples of activities related to social responsiveness undertaken in their faculties in 2010. These are listed below.

#### **Engineering & the Built Environment (EBE)**

Engineers Without Borders, SA Women in Engineering and the EBE Students Councils are integrated with the development initiatives in the Faculty. These activities are designed to provide students with opportunities to develop high-level graduate attributes such as skills for critical citizenship.

*The Minerals to Metals (MtM) Signature Theme* (which is supported by an award of a Chair in Minerals Beneficiation by the National Research Foundation, as part of the South African Research Chairs' Initiative) draws together the skills of academic and research staff from four existing research groupings at UCT in order to carry out and promote multidisciplinary research in the area of minerals beneficiation. In 2010 MtM contributed significantly to the drafting of the proposal to the Department of Science and Technology to establish a national 'virtual' research institute, the South African Minerals to Metals Research Institute (SAMMRI), which was launched on 8 November 2010. SAMMRI promotes long-term innovative research in minerals processing.

*African Centre for Cities (ACC)* - The ACC has been established as an applied urban research centre on the African continent. Through the creation of the postgraduate bursary programme, the ACC has been able to recruit outstanding postgraduate students with a direct interest in applied urban research topics to continue their studies and feed into a larger intellectual enterprise. Through the students, located in different faculties and departments, the ACC has been able to bring researchers from other

disciplines into the ACC fold. From its inception, the ACC has been committed to the effective dissemination of its research. Recently it has started to add audio materials, through podcasts, and has a large stock of video material that will soon be posted on its website. A major exhibition on sustainability imperatives and innovations in Cape Town was launched in 2010, as a creative means to open up public debate on ACC's research findings.

#### **Science**

A number of researchers and research groups are focused on topics and issues relevant to South Africa's development challenges. Contributions are being made by departments and research units across the Faculty, both in terms of hard science and with respect to social responsiveness. There is a strong awareness within the Faculty of the importance of undertaking 'relevant' research, and achievements in this regard have been excellent, with a good balance between 'blue sky' and 'applied' research.

Contributions in relation to SR range across the board, from drug discovery, energy and fuel research, nanotechnology, rural development, minerals research, environmental impact studies, urban development, water resources, and fisheries, to biodiversity and conservation).

*Chemistry Department* – Research is focused on drug discovery relevant to diseases prevalent in South Africa, such as malaria, cancer, TB, HIV and hypertension. Other groups investigate transition metal chemistry and supramolecular chemistry – biophysical and structural chemistry, relevant to catalytic processes – which is of direct interest to the energy and fuel industries.

*Computer Science Department* – The output of the UCT Centre for Information and Communication Technologies (ICTs) in the Development ICT4D research centre is aimed squarely at using ICTs to address development challenges in South Africa. To date they have built systems for voter education, job provision, mobile education and mobile access.

*Marine Research Institute* - A technical task group was formed to drive the development of operational oceanography in South Africa under the OceanSAfrica initiative. It runs an outreach and education programme targeting school pupils, teachers, environmental educators, and the general public, through school open days, university open days, National Science Week, the Grahamstown Science Festival (held annually in the Eastern Cape) and the Sci-Bono open day, held annually in Gauteng.

*Geological Sciences Department* – research is increasingly focused on the Bushveld Complex – one of the major platinum deposits in the world.

*Mathematics & Applied Mathematics* – A number of research groups contribute to national imperatives, particularly Marine Resource Assessment and Management Group (MARAM), and the fishing industry.

*Oceanography Department* – Members of the department have been heavily involved in the preparation of the Grand Challenge vision plan put out by the Department of Science and Technology.

*Zoology Department* – Staff members in the department are involved in research projects dealing with the implementation of the National Water Act; the development of training modules for Department of Water Affairs staff and postgraduate students; a Biological Control group working with land-owners and rural communities to control invasive plants; and the Percy FitzPatrick Institute of African Ornithology provides many postgraduates for conservation bodies.

*Computer Sciences* – launched CAPACiTi, a new joint initiative between CiTi (the regional information technology industry body), Government (national and provincial), life insurance and IT industry partners and the Information Systems Department. CAPACiTi is designed to address critical skills shortages in the IT industry, through an innovative research-grounded postgraduate programme.

## **Commerce**

The Faculty estimates that at least 75% of all its research activities, and much of its teaching (especially at postgraduate level), focuses directly on development challenges facing the country. Selected social responsiveness highlights from specific Departments, Schools and Sections include:

*Section of Organisational Psychology* – Masters students work with an array of social programmes designed to ameliorate difficult social conditions throughout our society. The kinds of programmes include (but are not limited to) a range of HIV education programmes, work generation programmes for homeless people, early childhood development programmes, corporate wellness programmes, and train-the-trainer programmes.

*Actuarial Science and CARE* – Members of the board of the South African Actuarial Development Program (an initiative to increase the number of black actuaries in South Africa), as well as the board of NSFAS. Other social responsiveness activities include: modelling of HIV/Aids in South Africa to inform policy; localisation of actuarial education; contribution to the education and research activities of the profession; an ongoing contribution to the development of life tables for the actuarial profession; and offering advice to StatsSA and the Department of Health on data collection

*Development Policy Research Unit* – Over the past five years, the DPRU has managed a social partner-driven project – the Employment Promotion Programme (EPP) – to facilitate and produce research in the areas of labour markets, poverty and inequality. The EPP has been at the forefront of facilitating and producing directly policy-relevant research, which has been adopted by Cabinet and a number of different national ministers. In addition, the DPRU has been involved in advising the Minister of Labour and Cabinet on the proposed amendments

to the Labour Relations Act; advising Cabinet on the employment-creating capacity of the public sector; and producing a report for the National Planning Commission on possible innovative labour market interventions for job creation.

*Department of Accounting* - The Department of Accounting is committed to the transformation of the accounting profession in South Africa. Against the backdrop of a severe shortage of qualified professional accountants, historically, students from UCT have enjoyed better pass rates in the professional qualifying exams than students from any other university. We believe that our teaching model could be replicated in formerly disadvantaged universities, and we are in process of formally engaging with the Walter Sisulu University and the University of Zululand in this regard.

*AIDS and Society Research Unit* - Over the past year, ASRU researchers have been involved in a range of socially responsive activities. These include: research and analysis for Médecins Sans Frontières (MSF) on the new National Strategic Plan on HIV/AIDS, TB and STIs; collaborating with Cell-Life, the Treatment Action Campaign, MSF, Section 27 and the People's Health Movement on a health communication and awareness campaign using cell phones as the medium; partnering with community health workers and social workers at Kheth'Impilo to develop training materials, research experiences of care work, and run an action research programme based on the visual literacy tool of body mapping; researching access barriers to women's reproductive health services in South Africa; writing for a range of pro-science initiatives including Quackdown, AIDStruth, AIDSMap and Equal Treatment; and participating in international initiatives (notably the Copenhagen Consensus) on optimising AIDS and health funding.

*Department of Information Systems* - Our full-time honours students participate in the HOCIP project, which involves completing 30 hours of community service using their IS/IT skill set, while our third- and fourth-year students have to develop an information system as a major part of their course deliverables. This project is usually sponsored by and in response to the needs of an outside organisation. Roughly half of these system development projects are in the realm of not-for-profit organisations. Much (if not most) of our research is undertaken in the service of NGOs, government and the community at large. In particular, the focus of our Research Unit, CITANDA, has 'national development' as its core mission. Other initiatives include: the establishment of a community computer lab (telecentre) in Vrygrond; and hosting the annual South African Computer Applications Olympiad (organised by the Computer Society of South Africa).

*School of Economics* – In 2010 the American Cancer Society awarded a grant to the School of Economics to strengthen tobacco control research in sub-Saharan Africa. This grant provides for scholarships to postgraduate students and workshops for policymakers from across Africa. The aim is to fund research and activities that will inform policymakers about country-specific interventions

that will reduce tobacco use and its associated harm. In January 2011 a workshop was held for Kenyan policymakers on simplifying the excise tax on tobacco and raising the level of the tax. During 2011, the Kenyan government did indeed simplify the tax.

*South African Labour and Development Research Unit (SALDRU)* – SALDRU carries out research in applied empirical microeconomics with an emphasis on labour markets, human capital, poverty, inequality and social policy. A new SALDRU project, SAPIR (South Africa Persistent Inequality Research), is researching the persistently high levels of inequality in South Africa. South Africa is one of the most unequal countries in the world and surprisingly, levels of inequality have not decreased since the advent of democracy in 1994. SAPIR seeks to shed light on the factors that account for this, through focusing on three main research areas: education, the labour market, and redistribution.

*Research Unit in Behavioural Economics and Neuroeconomics (RUBEN)* – Based on survey, experimental and neuroeconomic (fMRI) research on problem and pathological gamblers, RUBEN researchers submitted policy reports to the National Gambling Board and the Governments of the Western Cape and Gauteng. Research on problem gambling in the Western Cape also informed a report commissioned as input to the provincial cabinet's ongoing development of a revised casino licensing policy.

### **Humanities**

*The Department of Social Anthropology* continues its collaboration with EBE faculty members on applied research projects related to informal settlement sanitation and wastewater reticulation upgrading.

*Department of Religious Studies* – There is a major and ongoing research project on women and marriage in the South African Islamic community that is leading to applied research in support of legislative changes to marriage law for Muslims and its implementation.

*Department of Psychology* – A major project concerns violence and its prevention.

*Department of Political Studies* – Staff are involved in the following areas of governance and public policy: civil service reform; defence; foreign policy; legislative efficacy; local government; and transitional justice. The extraordinary success of Dr Leo Podlashuc's 2010 postgraduate course, entitled *The Politics of Poverty*, is also highlighted.

### **Health sciences**

*Brain and Behaviour Initiative (BBI)* – Early in 2010, the Medical Research Council (MRC) funded a cross-university Brain Research and Innovation Network (BRAIN), which allowed staff to conduct imaging research on methamphetamine abuse – an area that is particularly relevant to South Africa, given the recent tik epidemic and its intersection with the HIV epidemic. Concurrently, a number of competitive post-doctoral fellowships to help support this research area were won by BBI mentees.

*The Centre for Clinical Research, Innovation and Translation* was established to co-ordinate and serve all clinical researchers across the faculty. New chairs have been established in priority areas such as cardiac disease, women's health and geriatric medicine.

Cancer research has been identified as a crucial area of research strength and potential across the faculty. Funding has been secured for an academic leader for this cross-faculty priority.

### **Law**

*Private Law* – Prof Tjatie Naude's submission to the Department of Trade and Industry on a 'grey list' of presumptively unfair contract terms was included in the Regulations promulgated under the Consumer Protection Act. This will have a far-reaching impact on the application of an Act affecting most South Africans.

Businesses and consumers alike will have greater certainty as to what constitutes unfair terms. Prof Naude has also engaged with journalists, and supported law students doing community service with the Western Cape Consumer Protector in drafting pamphlets on consumer protection for public education.

*Public Law* – the Law, Race and Gender Research Unit's (LRG) empirical analysis of the current functioning of vernacular dispute resolution processes has informed submissions by LRG and affected rural communities to Parliament in 2010 on the Traditional Courts Bill and the repeal of the 1951 Black Authorities Act. Through its partnerships with a range of rural CBOs and NGOs, including the Legal Resources Centre, LRG has jointly developed training materials, distributed legal and policy-related resources in accessible form, organised a series of two-day consultation workshops, and provided expert support for litigation.



## Promoting democracy, respect for human rights and commitment to social justice

The vice-chancellor is committed to creating spaces for more public debate through open lectures, the vice-chancellor's lecture series, and encouraging academic staff to provide public commentary on topical issues.

A climate of tolerance for differing views and a respectful style of debate must be fostered to ensure that no-one is afraid to express his or her views. The university's academics and leaders are encouraged to fulfil their socially mandated role as opinion shapers and critics. Table 1 below shows the lectures organised under these initiatives during 2010.

**Table 1: 2010 VC's Open Lectures**

| <b>Date</b>      | <b>Lecturer</b>  | <b>Lecture Title</b>  |
|------------------|--|---|
| 1 February 2010  | VC's Open Lecture: Richard R. Ernst, Laboratorium für Physikalische Chemie, Zurich, Switzerland  | 'Fascinating insights in chemistry, biology and medicine by nuclear magnetic resonance'                 |
| 10 February 2010 | VC's Open Lecture: Sir Norman Myers, Professor and Fellow of the 21st Century School, Green College and the Said Business School, Oxford University. | Mass extinction of species: Why we should 'care and what we can do about it'                            |
| 23 March 2010    | VC's Open Lecture: Prof R Gandhi, research professor, University of Illinois   | 'Voyage of dialogue and discovery: Peace and security in the 21st century'                              |
| 10 May 2010      | VC's Open Lecture: Prof Thandika Mkandawire, London School of Economics  | 'Running while others walk – the challenge of African development'                                      |
| 25 May 2010      | Africa Day Celebrations: Dr Marta Lahr, lecturer in Human Evolutionary Biology, University of Cambridge  | 'African origins and the evolution of human diversity'  |
| 11 August 2010   | TB Davie Lecture: Mr Robin Briggs, Senior Research Fellow, All Souls College, Oxford   | 'The knowledge economy and academic freedom'  |
| 9 September 2010 | Steve Biko Memorial Lecture: Prof Alice Walker, novelist, short story writer and poet, Georgia, USA  | 'Coming to see you since I was five years old: An American poet's connection to the South African soul' |

## Promoting partnerships with various levels of government, civil society and universities in South Africa

### UCT Knowledge Co-op

A successful bid under the 2009 Vice Chancellor's Strategic Fund made it possible to set up the UCT Knowledge Co-op as a pilot facility. Its purpose is to offer external constituencies easy access to the knowledge, skills, resources and professional expertise within the university in solving problems they experience. Importantly, it also provides a framework for research and student training and learning that is grounded in an engagement with society. The project emulates the 'science shop' model, which started in the Netherlands during the 1970s and has since spread across the globe<sup>2</sup>. It is also part of the worldwide movement of universities to find meaningful and sustainable ways to engage civil society and support socially responsive teaching and research. The UCT Knowledge Co-op serves the whole of the institution and draws on students and staff in all of its faculties. It is currently located in the Institutional Planning Department.

During the first months the focus was on meeting with 22 potential champions of the idea within UCT, in order to map some of the existing relationships with external partners and the procedures for engaging with them.

The ensuing engagement with these external groups produced a list of issues on which they wanted to collaborate with UCT.

Where suitable, these were submitted to academics across the university, and many were then included in lists of topics offered to students at the start of the first semester of 2011. These will be evaluated in the 2011 SR report.

### Partnerships with different spheres of government

During 2010, UCT Communications and Marketing undertook a survey of activities of entities within UCT cooperating with different spheres of government. The results indicated that about 20 academic and Professional and Support Services (PASS) departments interacted with 13 portfolio committees, 12 parliamentary structures and office bearers, and five national government departments.

2. See <http://www.scienceshops.org>

Major activities in the Western Cape and the City of Cape Town organized under the auspices of the Consortium of Higher Education in the Cape (CHEC)<sup>3</sup> in 2010 covered the following areas:

- Seminars on student performance and best practices in bursary provision.
- A study on the role of universities in driving innovation in the Western Cape.
- Engagement with the Department of Economic Development and Tourism on the establishment of a Regional Innovation Forum and a Regional Innovation Strategy.
- The World Cup was the impetus for the development of a brochure to jointly market the four universities in the Province. This brochure has been distributed to all South African embassies for use in their marketing initiatives.
- Following discussions with the Premier of the Western Cape, the universities developed proposals for offering specialised courses and programmes in the field of substance abuse treatment and intervention. The Premier subsequently awarded UCT funding for introducing a new Postgraduate Diploma in Addiction Care and a Specialised Honours Degree in Clinical Social Work, focusing on substance abuse.
- Student projects on Disaster Risk Management were presented to local and provincial government stakeholders at a workshop held at the University of the Western Cape in August 2010.
- UCT participated in shaping the Cape Town Central City Provincial Government Regeneration Initiative.

After a CHEC delegation visited Barcelona in 2009 to investigate the role of universities in supporting regional development, CHEC decided to initiate discussions with the Department of Economic Development of the City of Cape Town (CoCT) about possible partnerships. After several meetings, a number of potential areas of mutual interest were identified. These include:

- Hosting seminars for the public on topical issues that are placed on the Department's agenda, such as ICT, entrepreneurship, innovation, spatial development, tourism, creative industries, transport and infrastructure;
- Training of Economic Development staff on key priority

areas identified in their Workplace Skills Plan;

- A graduate placement programme;
- Primary and secondary research related to the City's Economic Development Strategy.

In addition, CHEC offered to commission a comparative study on voucher systems as a potential source of funding for future collaborative activities. This study was undertaken by a UCT Master's student.

One seminar was held in 2010, at which the City provided input on its new Economic Development Strategy. The seminar was attended by postgraduate students from various departments at UCT. UCT submitted information on short courses offered by UCT that matched needs identified in the Workplace Skills Plan. Discussions commenced with regard to the implementation of an internship scheme that it is hoped will be implemented from 2011.

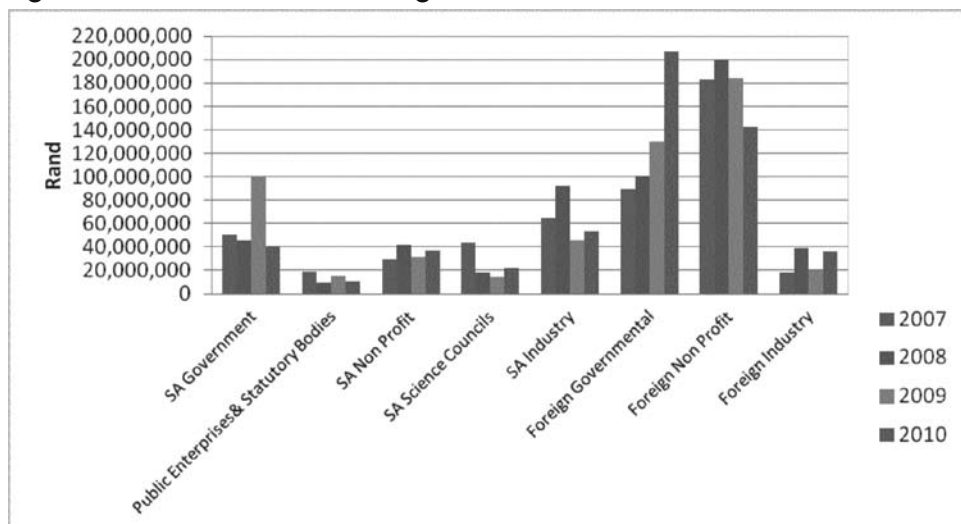
In addition to contributing to the CHEC activities, UCT entered into bilateral discussions with the CoCT about opportunities for collaborative research projects involving students and/or academic staff. The following possibilities will be explored in more detail in 2011:

- A short course on research methodology, to be designed for a cohort of 10 to 15 CoCT officials;
- Placing Masters Development Studies students, required to spend time in organisations as junior consultants, in projects supported by the CoCT;
- Research on micro enterprises established by CoCT, by students doing the Postgraduate Diploma in Entrepreneurship;
- Providing possible research topics for MBA students specialising in entrepreneurship.

### Contract research

There has been considerable growth in the number and value of research contracts processed in the period 2007 to 2010. Many of the contracts are likely to be related to the broad social responsiveness goals of the university. Figure 1 shows the range of partners contracting research from UCT.

**Figure 1: Sources of Contracts signed: 2007-2010**



3. CHEC includes the four Western Cape universities, i.e. UCT, US, UWC and CPUT.

## Nurturing values of engaged citizenship and social justice in the students

UCT believes that opportunities afforded by service-learning programmes for student engagement with external constituencies can be important vehicles for inter-disciplinary learning. They enhance the breadth and diversity of the students' educational experience, and help produce graduate citizens capable of reflecting on the implications of living and working in different social contexts. For this reason, three projects involving student engagement with critical social issues were supported by the Strategic Fund. This section reports further on student engagement through student agencies.

### Technology deployment for sustainable urban development: Engagements with informal economy catering – a 'Foundation for Public Good' project in the EBE Faculty

Funding of R920 000 was made available from 1 April 2010 to harness energies from within the EBE Faculty and other cognate units at UCT to start imagining, describing and demonstrating development paths for a key sector of the informal economy in African urban settings: street catering. Notably, the UCT chapter of Engineers without Borders (EwB), the first of its kind in South Africa, exposed engineering student volunteers to new terrain via fieldwork and engagements with practitioners. Five research projects (made up of four post-graduate and three soft-funded positions) are supporting this student engagement, and necessary research and field equipment has been purchased.

Progress made in 2010 included:

- Field and laboratory work related to mapping public health and environmental toxicity impacts arising from open burning of waste timber treated with toxic metals;
- Monitoring of pollution events in Khayelitsha and the extent to which these were tied in with wildfires or tyre burning, in collaboration with the City of Cape Town;
- The EwB formed a steering committee of 10 dedicated members, with additional students coming in as needed.
- The project aims to demonstrate how modest investments into a new form of public urban infrastructure deploying clean technologies can stimulate and strengthen informal sector work in Nyanga. Nyanga was chosen as it is currently undergoing planning for upgrades. Several models of efficient wood stoves have been ordered for testing: one very basic one (R300), some with controllable air flow (R500 and R600), and one which has two-plate support and a removable chimney (R3 000) to test with the community in a cook-off before deciding which is the most appropriate. A researcher has been appointed to carry out mobility and transport infrastructure investigations in relation to the urban setting and in support of EwB's proposals.
- A two-year research and development activity, set to attract more research and development funding from the City of Cape Town, was launched to further adapt a key technology – biogas technology – for deployment into such settings; this will turn the organic fraction of urban solid waste into energy.

## Global citizenship, leadership and social justice pilot project

A pilot project was launched with the following objectives:

- To expose students to a broad foundational knowledge on issues relating to global citizenship and social justice that go beyond the immediate requirements of their professional degree or major discipline.
- To develop students' capacity for leadership on contemporary global-political and social justice issues through improving their active listening, critical thinking and logical argument skills.
- To promote students' awareness of themselves as future citizens of the world, with a motivation to work for social justice through involvement in community service or volunteering.

The pilot offered two modules: Global debates, local voices, and Thinking about volunteering: Service, boundaries and power. Students could elect to do either module, or both. Both modules ran in the second semester over a period of 12 weeks. The modules were delivered through a combination of face-to-face and online learning via Vula.

Recruitment for the programme occurred over three weeks from mid-July to early August.

**Table 2: Student involvement**

|          | Interested | Registered | Active Participants | Completed |
|----------|------------|------------|---------------------|-----------|
| Module 1 | 104        | 72         | 52                  | 39        |
| Module 2 | 54         | 44         | 36                  | 25        |
| Total    | 158        | 116        | 88                  | 64        |

As was to be expected, not all students who registered managed to complete the module – the overall completion rate was 55% (see table above). The programme attracted students from all six faculties (the majority coming from the Humanities and Commerce) ranging from first-year to Masters level, with the majority registered in their second or third year of study.

Module 1 was constructed around four themes – Debating Development; War and Peace; Climate Change; and Africa in the Globalised World – with an introductory orientation session at the beginning. Each theme comprised a series of 6 or 7 online learning activities that demanded different kinds of responses, with each one flagged as '(highly) recommended', 'optional', or 'compulsory'. The module was designed to situate students within their country, continent and world.

Module 2 had two components: 15 hours of community-based service, and facilitated learning and reflection on this experience. The learning consisted of both classroom-based face-to-face sessions (12 hours) and online experience, in the form of blogs. The students were encouraged to think of themselves in the role of 'active citizen' engaged in community service work.

The module was divided into five themes: Self and Service; Contexts of Inequality; The Ethics and Paradigms of Service; Development; and Sustaining New Insights. Sessions included skills-based activities aimed at offering students opportunities to practice active listening, cooperation and debating.

Overall, the pilot courses can be judged as successful, having returned positive feedback from students and other stakeholders and participants. Students in Module 1 found the focus on 'Africa in a globalised world' very challenging, particularly the concept of different and multiple knowledges. Students in Module 2 valued the opportunity to reflect critically on their engagement with and relationship to communities, and to question different interpretations of 'service' and 'volunteering'.

### **Engagement through student societies**

Currently UCT has five registered Student Development Agencies. These organisations afford students opportunities for voluntary community service. Hence, we report on the number of students actively volunteering in these agencies in 2010.

- Ubunye: 219 active volunteers in the first semester, and 163 in the second
- SHAWCO: 1 093 active volunteers (Education 893, & Health 200)
- RAG: 83 committee members
- UCT Radio: about 300 volunteers
- Varsity Newspaper: about 30 people in the collective, and an additional 30 who contributed throughout the year

There are many other student-run societies on campus which also played a key role in fostering a commitment to social justice. For example, the Students for Law and Social Justice provided legal advice at several community advice centres. There were 35 active volunteers who took part in these activities. At present, 100% of LLB students engage in community service – 56% with a legal component.

In 2010 Ubunye, a Student Development Agency at UCT, was awarded third place in the MacJannet Prize for Global Citizenship. Recipients of the award spent three days in France sharing ideas and grappling with issues.

It was an amazing opportunity to see the kind of work being done by different organisations across the world, and to discuss the common issues each faced.

Ubunye is very proud of this achievement, and those attending the prize-giving enjoyed the opportunity for networking with staff and students from seven other universities.

### **Promoting the scholarship of engagement**

In 2010 the Council for Higher Education produced a booklet consisting of several discussion papers on Community Engagement in South Africa, to deepen the debate about the notion of community engagement. The Institutional Planning Department contributed a paper on 'Developing a common discourse and policy frame-

work for social responsiveness', which describes the processes of institutionalising SR within UCT.

At the end of 2010 UCT received a three-year research grant from the National Research Foundation to evaluate the effectiveness of the Knowledge Co-op initiative<sup>4</sup>. The particular objectives of the research are:

- to illuminate and analyse the existing practices of building partnerships involving UCT academics working across boundaries through interaction with communities in 'transactional spaces', specifically as they occur in the knowledge partnership, in such a way as to highlight useful theoretical tools for this kind of investigation;
- to map and evaluate the model of 'brokers' in facilitating these partnerships that lead to mutual benefit and enable external communities to access the resources of the university;
- to generate guidelines and ethical practices through engaging with communities in the pilot projects.

### **Creating an enabling institutional environment**

Providing appropriate incentives to encourage academics to get involved in social responsiveness is crucial for expanding SR. In 2010 the criteria for performance reviews of academics were revised.

While the framework for performance reviews recognises that faculties have the right to customise the criteria to suit their contexts, significantly, the faculties continue to define SR itself differently. Some include service to the academic community, such as editing of academic journals and acting as external examiner, in the notion of SR; this is not in line with the approved SR policy, which aligns SR with activities involving external (non-academic) constituencies. This suggests the need for more debate about the SR conceptual framework. A proposal for reviewing the SR policy was approved by Senate in November 2010. While all the faculties make provision for candidates to gain points through SR activities, the weighting attached to these activities is less than those for teaching and research. In several instances candidates can choose between the category of leadership and administration, and that of social responsiveness.

In 2010 a second round of SR awards was instituted. The awards have definitely helped to elevate the status of SR within the institution.

The recipients of the awards are selected on the basis of the following criteria:

- Activities that have resulted in demonstrable mutual benefit – to the academic enterprise and to an external non-academic constituency;
- Evidence of shared planning and decision-making practices in the initiative;
- Evidence of the way in which the initiative has enhanced teaching/learning or research processes;
- Documented excellence in extending knowledge production (including indigenous knowledge), dissemination, integration and application through social responsiveness.

4. Members of the NRF Study Team: Dr Janice McMillan (leader), Ms Judy Favish, Dr Suki Goodman, A/Prof Cheryl Hodgkinson-Williams, Ms Buhle Mpofu-Makamanzi, Mr Sonwabo Ngcelwane, and Ms Barbara Schmid.

Depending on the nature of the activity, the following additional criteria were also considered:

- Contribution to brokering and facilitating relationships which have enhanced the University's engagement with local, regional, national or continental development challenges;
- Contribution to new notions of professional practice designed to meet the needs of the South African context;
- Evidence of the sustainability of the initiative.

In 2009 the Social Responsiveness Award subcommittee received twelve nominations. It was difficult to decide on a single winner from these nominations, as most of them fulfilled the criteria. After much deliberation the subcommittee decided on Professor Diane McIntyre, Dr Ailsa Holloway and the Gender, Health and Justice Research Unit as the recipients of the 2009 UCT Distinguished Social Responsiveness Award.

**Professor Di McIntyre: Director: School of Public Health and family Medicine, Health Economics Unit**

Professor McIntyre's understanding of health care financing systems is rooted in good, scholarly work. She has a strong commitment to social justice and has seamlessly combined her roles as academic and activist. Her engagement with civil society, industry and policy-makers in the current debate on National Health Insurance (NHI) has helped these constituencies better understand the complexities of financing a national health scheme.

Through her presentations in workshops outside the university, opinion pieces in newspapers, and interviews she has made her work accessible to many organisations that were not aware of the complexity of health issues and legislation. She has conducted numerous workshops with industry and NGOs, and these are evidence of shared planning. Her role as a public intellectual in the field of health economics has enhanced the university's engagement with national, continental and international challenges.

**Dr Ailsa Holloway: Director: Disaster Mitigation for Sustainable Development Project <sup>5</sup>**

Disaster risk science is a field that is innovative and groundbreaking. Initially, the focus on disasters and risks was not seen as intellectually robust, hence the Disaster Mitigation for Sustainable Development Project (DiMP) was established at UCT as an 'NGO in a university'. Through Dr Holloway's commitment, DiMP began researching local disaster risks and generating new knowledge that would support risk management in South Africa and also add value to existing international knowledge. In 2003 the Disaster Risk Science postgraduate programme was approved by the Science Faculty.

In terms of facilitating relationships which have enhanced the university, DiMP has provided an institutional platform for a wide-ranging engagement with government and civil society stakeholders. It also generated important insights in disaster risk knowledge requirements of key stakeholder constituencies (such as local and provincial gov-

ernment representatives and disaster managers).

Dr Holloway was appointed by the Portfolio Committee for Provincial and Local Government as technical adviser to the parliamentary deliberations on the Disaster Management Bill. She was then approached by the National Disaster Management Centre to coordinate the drafting of the National Disaster Management Framework.

**Gender Health and Justice Research Unit**

This unit is involved in cross-disciplinary research aimed at addressing the high levels of violence against women in South Africa. The Unit collaborates with a wide range of stakeholders, from NGOs to government departments.

The method of engaging is innovative in that it involves the stakeholder at every stage of the research process, and all the work done by the unit is grounded on relevant, empirically-based 'research for reform'. The unit has an impressive publication record, which was used extensively to reform South Africa's laws on sexual offences. Although the unit is soft funded, its quality of work and research has gained an international reputation; as a result, its members are consulted regularly by national and international organisations. They are also regularly commissioned to undertake work by government departments.

The members of the unit teach and supervise dissertations in a number of UCT faculties and departments (gynaecology, forensic medicine, public health, law, social work, psychiatry and mental health).

In 2010 the Social Responsiveness Award subcommittee received nine nominations, and again had the agonising task of choosing one awardee from a large pool of deserving nominees. The subcommittee eventually decided on Dr Andrea Rother as the recipient of the 2010 UCT Distinguished Social Responsiveness Award.

**Dr Andrea Rother, Programme Leader – Health Risk Management in the Centre for Occupational and Environmental Health Research, and Principal Researcher, Faculty of Health Sciences**

Dr Rother's work on the consequences for children's health of the use of street pesticides for pest control in South Africa's peri-urban areas, and on health policy, is pioneering a new area in the field of public health, while also influencing state and international policy.

Through her research on household pesticide use she has not only brought to light the illegal use of agricultural pesticides – which were never intended for household use against poverty-related pest infestations – but has also used her data to engage with key government and non-governmental institutions about possible solutions to the use of illegal and highly toxic pesticides among the urban poor in Cape Town. In designing the research agenda she developed innovative research methods. During all stages of the project she fostered a participatory research approach. A community NGO co-initiated the project and participated in the research design.

5. DiMP has since moved to the University of Stellenbosch.



A Child Pesticide Policy Reference Group – with representatives of the community, child health practitioners, and the three tiers of government – was established prior to commencement of the initiative, and meets regularly to discuss findings, problems and interventions at every stage of the research. This innovative approach is evidence of shared planning and decision-making practices in the initiative.



**Dr Andrea Rother.**

The initiative has produced a wide range of different kinds of scholarly outputs and risk communication tools to disseminate knowledge to a broad range of stakeholders – academics, government officials and community members.

Dr Rother's programme also focuses on equipping under-resourced African officials to reduce the risks from pesticide use, particularly for vulnerable populations.

The programme includes bi-monthly online seminars (on Vula) and a new postgraduate course in Pesticide Risk Management, in which pesticide regulators from most African countries and resource persons from several United Nations organisations have participated.

### **Student Community Service Award**

On 21 October 2010 the Department of Student Affairs at UCT held its Student Leadership Awards; the award for the 'Most Outstanding Student Leader in Community Service' went to Mr Simon Mendelsohn. This award is presented to students who, in addition to meeting their academic demands, have dedicated their time in volunteering their services to communities that are underprivileged and under-served by local authorities.

Mr Mendelsohn's involvement in volunteerism since 2006 is motivated by his deep commitment to bettering the lives of other people. At the time of the award he was serving SHAWCO Health as its President.

SHAWCO Health co-ordinates six clinics which operate one night a week in various Cape Town communities, as well as paediatric clinics every second Saturday morning. In 2009, SHAWCO introduced a Wednesday-morning paediatric screening clinic, run in conjunction with the School of Child and Adolescent Health at UCT, City Health and Environmental Health. Volunteering requires skilful management of time for students who also want to thrive in their studies but Mr Mendelsohn was not daunted by the demands. He pointed out that,

*UCT being an African university, there is a duality; of affluent communities juxtaposed with those which are underprivileged, lack resources, and have failing education systems and health systems. As we are students at an African university I think it is our duty to help correct these inequalities. Our duty is not just to study and enrich our own lives, but to look after the country as well. (Mendelsohn 2010)*

Reflecting on the curriculum that is taught in his MBChB programme, he applauded the changes that have been brought about; but also feels that volunteering in SHAWCO clinics widens his understanding of patient care. He pointed out that medical training in South Africa was focused on tertiary-level institutions (such as Groote Schuur, Red Cross and Tygerberg), which provide the highest level of care. There, medical staff and trainees focus on a disease needing to be cured, rather than on the individual. Hence, medical care at these centres depersonalises patients; treating patients there is not that different from a mechanic repairing a car. Mendelsohn thinks that practitioners may lose the identity of patients by the way they have been taught medicine.

Mendelsohn has also volunteered for the Rural Support Network (RSN), which aims to expose medical students to the health care needs of rural areas and to provide feedback on those health care needs. RSN does this by seeking placements for health science students in rural hospitals and clinics, mainly in the Eastern Cape, during university vacations. By giving students the opportunity to work in rural areas, the RSN believes it will influence students to think about a career in rural health care. In December 2008, Mr Mendelsohn was placed at Frontier Hospital in Queenstown in the Eastern Cape, where he volunteered as a student intern for two weeks.

Besides acquiring the skills of leading an organisation, managing a health facility, setting up a SHAWCO pharmacy, and organising doctors, nurses and drugs for the clinic services, Mr Mendelsohn concludes that the most important skill he gained was learning how to deal with people.

With a greater understanding of the socio-economic context of patients, he believes that he is better equipped to manage patients in a hospital setting, and to implement changes to the South African healthcare system.



**SHAWCO Zithulele Rural Health Project.**

# Section

# 2

*Reflective pieces on social  
responsiveness*

# REFLECTIVE PIECES ON SOCIAL RESPONSIVENESS: EXECUTIVE SUMMARY

The 2010 Senate decision that it was time to review the Social Responsiveness policy resulted in a decision by the University Social Responsiveness Committee to commission papers that would provide a framework for such a review.

## A mapping of engagement at UCT and its implications

The research was conducted in 2010 as part of a project of the Human Sciences Research Council that aimed to map the scale and forms of interaction of South African universities with external social partners:

- in diverse disciplinary or knowledge fields
- in different types of university
- in terms of outcomes, benefits and risks
- in terms of institutional conditions that facilitate and constrain interaction.

The project aimed to contribute to understanding engagement and the changing role of the university in building a national system of innovation in South Africa. It was funded by the National Research Foundation to inform their work on 'community engagement' in higher education. The pilot project was funded by the Department of Science and Technology, to support the human and social dynamics of innovation grand challenge.

The report is illuminating in many respects. It describes the distinctive ways in which engagement is facilitated at UCT. Notwithstanding the contestations, the Senate-approved policy framework has created an enabling environment. In a telephonic survey to test the ways in which academics are extending their knowledge to the benefit of social partners, out of 431 academics there was a 62% response rate. This was by no means a comprehensive survey of all engagement activity that takes place at UCT, but it signifies that a considerable proportion of academics scattered across faculties is engaging with social partners. The study also highlights that, although SR is broadly defined, it is premised on intentional public purpose or benefit (excluding academic constituencies). The study applauds UCT's strategy of advocacy and brokerage to persuade the academics of the value of engaging with external constituencies through the annual showcasing of the best practice in the annual SR reports and the SR awards. The study also lauds the new institutional structures that have been put in place to promote and support SR at various levels. A Senate subcommittee, chaired by the DVC with responsibility for SR, is structured as an advocacy and promotion group, with representation from each faculty.

There is a small, dedicated SR unit tasked with playing a brokering role, and promoting SR and all the other directorates of research, students, teaching and learning are allocated responsibilities in the policy framework.

According to the survey, a large proportion of academics view engagement with other academics and universities as falling within the realm of SR.

Although the policy framework is explicit in articulating who the external constituencies are, most academics still view interaction with other academics as fulfilling their SR mandate.

According to Kruss, the challenge is "whether the prevailing interpretation of academics is sufficiently in line with the institutional policy goals, and if not, to identify mechanisms to build a stronger shared core concept of what counts as 'socially responsive' academic practice".

## Reviewing the SR policy framework

Cooper's piece draws from international experience in its attempt to address the "ambiguities" that are salient in UCT's Social Responsiveness Policy framework. En route to pointing out the ambiguities Cooper draws the attention of the reader to Michigan State University's (MSU) conceptualisation and practices of engaged scholarship (ES).

By referring to MSU's approach, he establishes a conceptual framework with which to critique UCT's SR policy framework. MSU conceptualises scholarship as

*...the thoughtful creation, interpretation, communication, or use of knowledge that is based in the ideas of the disciplines, professions, and interdisciplinary fields. What qualifies an activity as 'scholarship' is that it be deeply informed by accumulating knowledge in some field, that the knowledge is skilfully interpreted and deployed, and that the activity is carried out with intelligent openness to new information, debate, and criticism (MSU 1993, 2).*

What is critical about this definition is that it does not absolve engaged scholarship from critical elements of good quality scholarship. According to this definition, ES must build on existing disciplinary and interdisciplinary knowledge, generate new knowledge, and the methodologies employed in the scholarly activities must adhere to the highest standards of the discipline. Equally significant is that it must subject itself to peer scrutiny, debate and criticism in terms of its quality. According to Fourie (2006, 38) this kind of approach does not deviate from the intrinsic nature of the university which imposes a fundamental requirement on all teaching, learning, research and engagement to be scholarly and scholarly based.

The definition also draws from Boyer's seminal work, which configured different forms of scholarship. Boyer argued that scholarship could be reformulated around four types: the scholarship of discovery, the scholarship of teaching, the scholarship of application and the scholarship of integration. The Boyerian approach integrates the core activities of a university in a manner that enables a university to engage meaningfully with the challenges of society.

Two important issues about MSU's notion of ES are that engagement relates to the academic's disciplinary expertise, and it involves working with a non-academic audience that is external to the university. Cooper's example

of an academic with city transport engineering research as a specialisation is illuminating. A city transport engineer providing workshops for external audiences on the efficiency of city transport is involved in ES because she is drawing from her scholarly expertise and is engaging with an external (non-academic) audience.

If that very same city transport engineer is a treasurer of a school governing body, she is not involved in ES, as the expertise required to perform her fiduciary duties is not from her discipline or research field.

Cooper suggests that the inability to draw a very clear distinction between ES practices and non-ES activities has created much confusion; a confusion that has also crept into how UCT understands SR activities. This confusion, according to Cooper, emanates from fundamental shifts in the definitions of social responsiveness at UCT over the past six years. The 2005 and 2006 conceptions of SR, similarly to MSU's conception of ES, emphasised university knowledge and work with external non-academic constituencies:

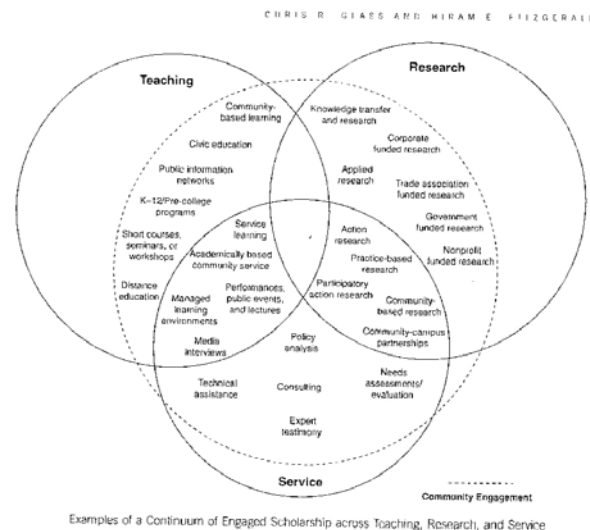
*Scholarly-based activities (including use-inspired basic research) (Stokes 1997) that have projected and defined outcomes that match or contribute to developmental objectives or policies defined by civil society, local, provincial or national government, international agencies or industry. (UCT 2005, 4)*

Cooper argues that the 2008 revised definition of SR, which was approved by Senate, opened the door to different interpretations of SR.

*...UCT should not seek to define the concept of Social Responsiveness in a narrow and exclusionary fashion, but should rather adopt broad parameters for its conceptualisation and its relations with research and teaching.*

He cites two influences on the changed definition. Firstly, he suggests there was no unanimity on what SR was, and how it could be viewed and valued in terms of whether it achieved standards of rigor and quality. Secondly, the group formulating the policy framework felt compelled to accommodate student forms of engagement that were outside the formal curriculum, and this impacted indirectly on how SR was defined because it allowed for civic engagement outside of disciplinary engagement. Although Cooper recognises the significance of promoting forms of student voluntary service because of its role in developing skills for citizenship, he draws attention to a possible slippage in the understanding of civic engagement as far as academic staff are concerned. Cooper is unclear – as any reader of the policy framework would possibly be – whether non-ES activities for academic staff should be accommodated under civic engagement of social responsiveness. Beere et al (2011, 14) state that a considerable body of literature distinguishes civic engagement from other forms of engagement, by pointing out that civic engagement is often used with reference to students' involvement in the community, when the goal of that involvement is students' civic learning. Cooper is uncomfortable with how "civic engagement which takes place outside the formal curriculum but forms part of the

university's commitment to promoting active citizenship amongst students and staff" would be viewed by academics. It is subject to all sorts of interpretations which would not elevate the status of SR amongst academics. When viewed in relation to the Venn diagram cited in Cooper, which shows examples of a continuum of ES across teaching, research and service, the ambiguities appear even starker.



In contrast, the UCT Venn diagram, also cited in Cooper, does not distinguish between academic and non-academic constituencies. The lack of clarity in the framework has created the space to regard activities such as external examining, or editing academic journals, as forms of social responsiveness.

Cooper points out that this lack of conceptual clarity has implications for criteria for academic promotions and merit awards at UCT. Admittedly, lack of clarity about SR (as far as academics are concerned) is not the only factor that influences practices within the different faculties with regard to promotion criteria, but the ambiguity about what SR is and what it is not does not aid institutionalisation of ES. This point is echoed by Fourie (2006, 45), who points out that it is important to clarify the conceptual framework of the discourse because improper choices of terms and distinctions may lead to conceptualisations and implementation of community engagement programmes that continue to get stuck in old ruts, involve only a peripheral group of staff, and/or make little difference to the conditions of the surrounding society.

### A framework for evaluating SR-related activities

Over the years, the annual SR reports have profiled SR-related units and their activities. Many academics have stated that they experience challenges with regard to evaluating the quality and impact of their socially-engaged outputs in a manner that would be academically credible and would suffice as a measure of the scholarly nature of the outputs emanating from their engagement. Some of the examples of the research units profiled were the Disaster Mitigation for Sustainable Livelihoods Programme (DiMP), the Gender, Health and Justice Research Unit, the Law, Race and Gender Unit, the Environmental Evaluation Unit and the Children's Institute.

The general consensus about the work of these units is that it has had a major impact in improving the lives of the people with whom they are engaging. What remains unclear, however, is how the work of these SR-related units could be elevated and valued in a university context, driven by publication in 'highly rated' journals. The point is reiterated by Sowman and Wynberg (2008, 29), who point out that the applied work of these units is not recognised, because universities do not have an objective and reliable mechanism for measuring its value to those universities. The evaluation framework articulated by Goodman provides a possible framework for evaluating certain kinds of SR-related activities and associated outputs. According to Goodman, using an evaluation lens in measuring the quality and impact of socially responsive units is useful in terms of helping a university to begin to think about how 'other' scholarly outputs generated from this form of engagement are assessed for quality and recognition.

### **Improving the quality of services provided by student volunteers**

In a context of limited resources to disperse, organisations are embarking on innovative and creative strategies for generating funds to sustain themselves. For these organisations, social entrepreneurship has become a 'new' buzzword in their attempts to move towards greater financial independence. The motivation for this novel approach to raising funds is to wean organisations away from dependence on donor funding. George, in his piece reflecting on this trend, quotes Steinman to highlight the significance of financial sustainability:

*Financial sustainability would imply financial or business practices that would ensure the continued viability of a product, practice or service well into the future. Therefore, financial sustainability includes an understanding that the social enterprise is a self-sufficient, income-generating entity, able to cover its operational costs and with the likelihood of generating a surplus. (Steinman 2009, 30)*

In turning around the financial fortunes of SHAWCO, George embraced social entrepreneurship with dogged determination, to transform the culture of the organisation where first,

*... entrepreneurship, is encouraged and rewarded and second "we needed to identify and initiate activities that could generate income with minimal financial risk to the organisation. George (2010)*

This new approach demands consistent commitment to monitoring the quality of service provided by organisations. The current context demands that organisations use resources efficiently and that they monitor and evaluate the impact of their initiatives. As an example, George cites the Education Sector in SHAWCO, which now reports on the number of learners involved in their programs, the marks of the learners (in order to assess the impact of the interventions), and the numbers of learners admitted into higher education; and the amount of money spent per learner is calculated.

What is significant about this shift from charity to social entrepreneurship is that student volunteer organisations can

still provide quality service to address social ills without the burden of lack of resources. Equally significant, especially for organisations in the realm of social responsiveness, is that within this paradigm shift, they could approach their activities with new perspectives informed by a set of questions:

- What is the aim of the project?
- Are the right volunteers or personnel in position to provide the right service?
- Can anyone else provide the same service at a cheaper cost?
- What is the feedback from the beneficiaries of our projects?
- How can the projects be sustained over the long term?
- What are the criteria to be used when initiating new projects?

According to George, interrogating these questions has generated new insights among student volunteers about the challenges with which the non-governmental sector is grappling. As a consequence, when students go out to organisations "they should operate as pragmatic managers who think of the non-profit nature of their services as an entrepreneurial activity that must provide the best service in the most cost-effective manner".

### **Conclusion**

At face value, UCT seems to be facilitating engagement much better than other universities. However, there are impediments that pose a serious threat to institutionalisation. At a structural level, the Senate Committee members tend to act as individual champions and are not formally immersed in the faculty reporting structures.

Despite the challenges, UCT has made significant strides in inserting SR into the broader university agenda. There is a small but significant group of academics engaging with external social partners in a collaborative way, with social and economic benefits. This is corroborated by the 'portraits of practice' that have been profiled in the annual social responsiveness reports.

Institutionalising engagement in universities is a major challenge because it demands an overhaul of systems that are deeply entrenched in the university culture. Engagement challenges the recognition and reward system, demanding new forms of viewing scholarship in a culture that, predominantly, values publications in peer-reviewed journals; this is a major challenge.

But these challenges are not peculiar to South Africa and UCT. Universities all over the globe are struggling to adapt to a changing world, which requires new knowledge systems. Because of the complexity of the problems, the new knowledge systems are not necessarily located in traditional disciplines, but are often also trans-disciplinary, and occur in various contexts. The institution-wide initiatives on climate change, crime and security, and poverty and inequality demand that one steps outside the confines of a discipline to generate cutting-edge knowledge.

Beere et al (2011, 221) point out that institutional change is

possible, but universities have a choice: they can choose to be victims of change, or they can choose to direct change in ways that benefit them, their students and their academic staff. It is still early days, but the VC's strategic funding is one way of directing change that benefits the university and its surrounding community. Initiatives like the Global Citizenship programme help to broaden students' understanding of socio-economic issues in ways that the formal curriculum is unable to do.

The Knowledge Co-op is an initiative which opens up university resources to people who would otherwise not be able to access these resources.

Individual faculties continue to do valuable work in areas that interest them, but the faculty initiatives funded through the strategic funds are explicitly in line with the strategic agenda of engaging with developmental challenges.

In the light of the Senate mandate to review the SR policy framework, Cooper's piece is an important contribution to developing a common understanding and a tighter definition of social responsiveness. This view is shared by Kruss (in the HSRC study), who observed a disjuncture between policy and practice among academics. In this case, the challenge is on the structures dedicated to advocacy and promotion of SR to generate a common understanding of the terms. "The lack of a sufficiently common language ... makes it easier for opponents of engagement as academic work to question its rigor and legitimacy", cautions Holland (2001, 28).

A glance at the organisational dimensions of UCT reveals evidence that the organisation is at an early stage of aligning with the mission of engagement. The organisational structures supported by the DVC are in place, as well as an institutional policy to create an enabling environment, and there is commitment to deploying resources to initiatives that support the mission of engagement. Individual incentives and rewards for staff exist, and co-curricular learning for students is encouraged and rewarded. Having said this, embedding engagement is an ongoing process that must be monitored, nurtured and supported, until it is woven into the core processes of the university.

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# HSRC REPORT ON THE SOCIAL RESPONSIVENESS PRACTICES OF ACADEMICS AT THE UNIVERSITY OF CAPE TOWN

## Introduction

This research was conducted in 2010 as part of a project of the Human Sciences Research Council (HSRC) that aimed to map the scale and forms of interaction of South African universities with external social partners:

- in diverse disciplinary or knowledge fields
- in different types of university
- in terms of outcomes, benefits and risks
- in terms of institutional conditions that facilitate and constrain interaction.

The project aimed to contribute to understanding engagement and the changing role of the university in building a national system of innovation in South Africa. It was funded by the National Research Foundation to inform their work on 'community engagement' in higher education. The pilot project was funded by the Department of Science and technology, to support the human and social dynamics of innovation grand challenge.

The HSRC collaborated with five higher education institutions representing distinct institutional types: two research universities, one comprehensive university, one university of technology and one rurally-based university. The design centred on a telephonic survey of academics, as well as case studies of institutional policy, structure, and mechanisms to facilitate interaction.

The structure of the instrument was shaped by a national system of innovation conceptual framework (Lundvall 1992, Nelson 1993). It had its origins in a Carnegie Mellon survey in the 1980s investigating how American universities were extending their knowledge in the service of firms (Cohen, Nelson and Walsh 2002). The original instrument was adapted to map university-industry interaction in a number of different contexts in developing countries in Asia, Latin America and Africa (Rapini 2009, Albuquerque 2009, Kruss and Petersen 2010). At its core, it attempts to identify types of relationships, the nature of partners, the channels for information sharing, the key outputs, outcomes and benefits, and the key obstacles and risks of interaction. That is, it aims to identify flows of knowledge and capabilities as well as the advantages and constraints of interaction. For the present study, the instrument was adapted to go beyond a focus on firms to include other external social partners. There is no well-established literature on the interaction between universities and knowledge users other than firms, so a combination of a literature review on community engagement and qualitative empirical research was undertaken to inform the adaptation.

A working definition of 'engagement' was used to inform the instrument design and the data analysis, adapted from Michigan State University's definition of engagement as:

*A form of scholarship that cuts across teaching, research and services. It involves generating, transmitting, applying and preserving knowledge for the direct benefit of external audiences in ways that are consistent with university and unit missions (Michigan State University 1993).<sup>6</sup>*

The definition stresses that scholarship is core, that engagement is not an activity of academics as individual citizens, but an activity that is core to their work as academics, whether in relation to teaching, research or service. Significantly, the nature of engagement will vary depending on the goals of an institution or specific academic unit.

The survey sought to include a large and representative sample of academics, to determine how engagement or social responsiveness was interpreted and reflected in their daily practice, rather than the typical research focus on institutional best practice cases. All academics in an institution were contacted telephonically and asked to participate, with the following script to introduce the issues:

*We are working with the Social Responsiveness Committee at UCT (or equivalent unit at each university), to survey the ways in which academics are extending their knowledge to the benefit of external social partners.*

The total population achieved from the telephonic survey was 2 159 academics, an overall response rate of 62% of academics in the five institutions. UCT represented 20% of the total sample. A response rate of 62% was achieved at UCT, a total of 442 of the 716 academics employed on a contract of at least one year in 2010. The sample represents the UCT academic population well, with 42% being female academics, 79% white, 43% professors, and 56% with doctorates. Knowledge fields were represented in the proportion of Science, Engineering and Technology 57%, Humanities 21%, Business and Commerce 17%, and Education 5%. The level of confidence in the generalisability of the survey results is thus very high. While 19% of academics in the total sample indicated that they did not extend their knowledge in any way, only 7% of the sample of academics at UCT indicated that they did not engage at all.

## Distinctive features of the promotion of 'engagement' at UCT

Relative to the other institutions, there were a number of distinctive features about the ways in which interaction with external social partners was facilitated at UCT.

First, UCT had a clearly articulated guiding policy and conceptual framework, formally endorsed by the Senate in 2008, that operated as an enabling framework. While there was contestation and debate among academics, the framework provided a set of parameters within

6. For a discussion of the approach at Michigan State University see the piece by Cooper in this report.

which more substantive institutional policies could be developed and defined in greater detail at various levels, both to provide support to engagement and to measure the impact of such activities. Many other universities have extended and delayed processes to approve such an enabling policy framework.

Second, the policy was centred on the concept of 'social responsiveness'. In contrast, many other universities have been influenced directly by the Higher Education Quality Committee and organised around the concept of 'community engagement', while a few have shifted to a broader notion of 'engagement'. The basic principle at UCT was that the concept of 'social responsiveness' should be broadly defined, but that it should have an intentional public purpose or benefit.

The policy discourse was thus centred around the notion of academics "intentionally connecting academic work to the public good through engagement with a range of external constituencies (excluding academic constituencies)" with emphasis on the "civic mission" of higher education, integrated with the two established missions of teaching and learning, and research (UCT, 2006). A Venn diagram was adopted to depict the conceptualisation of interacting spheres of activity in relation to research, teaching and learning, and civic engagement rather than community engagement – a significant difference.<sup>7</sup> The notion of social responsiveness included both scholarly activities and activities to promote active citizenship but not directly linked to the curriculum; it included endeavours that involved either staff or students.

On this basis, four forms of social responsiveness were defined: socially engaged service and learning, socially engaged research, socially engaged teaching and learning, and civic engagement. A wide range of partners were recognised and promoted, whether firms, communities, community-based organisations and NGOs, or government and development agencies; and whether at local, regional, national or international levels.

The broad conceptualisation of social responsiveness proceeded from a recognition of the significance of an 'appropriate fit with the desires and capacity of staff and students in the university'. This approach stems from an appreciation of the distinct institutional culture, characterised by a strong defence of academic freedom, individual accountability and autonomy, with academic opposition to what is perceived as managerial imposition. Leadership proceeded from a desire not to alienate academics, but to draw them in through advocacy and to take academic disciplinary differences and existing experiences into account.

Third, the strategy was one of advocacy and brokerage, aiming to convince academics of the value of extending their knowledge for the benefit of external social partners. A number of recognition and reward systems were instituted as a means of advocacy and promotion of the social responsiveness policy. One novel initiative was an annual

publication showcasing a selection of 'best practices' to highlight different forms of social responsiveness within the university.<sup>8</sup>

Fourth, as they were in other universities, new institutional structures were put in place to promote and support social responsiveness at various levels. The most senior of these was a deputy vice-chancellor with responsibility for social responsiveness, among other portfolios. A senate subcommittee was structured as an advocacy and promotion group with representation from each faculty, largely delegated by deans. What was distinctive was that faculty representatives acted very much as individual champions and were not formally inserted into faculty power or reporting structures. Responsibility to promote engagement was decentralised to deans as one aspect of their portfolio. For the most part, deans' strategies were to strengthen existing initiatives by building and supporting cross-cutting academic networks, and accessing funding to promote nascent academic activities.

Direct operational responsibility was assigned to a small dedicated unit. A very small unit located within the institutional planning department played a brokerage role, to monitor and promote activity and to broker relationships, working with champions identified throughout the university. Of note was that other directorates for research and innovation, teaching and learning, and student affairs were allocated specific responsibilities in the policy framework, so that functions may be aligned, at least in principle. So while there were structures to drive social responsiveness from the centre, the university relied very much on academic champions.

Fifth, the social responsiveness activity reported by the university in its annual social responsiveness reports up to 2009 tended to have a stronger research thrust than a teaching and learning thrust, and included research as a general contribution to public intellectual life or to government policy development, regional collaboration with other universities and local government, as well as technological innovation for the benefit of impoverished communities. The notion of 'social innovation' was still emergent; it aimed to promote the linkage of technology, knowledge-intensive research, and academic scholarship to technological solutions that address sustainable human development challenges; and conversely, to channel community-based knowledge and innovation back into academic research.

The notion of a commitment to social responsiveness was manifest in the formal relationships pursued on an institutional level with local and provincial government, as part of a regional consortium of higher education institutions. A formal Memorandum of Understanding was signed with both the City of Cape Town (2007) and the Western Cape Provincial government (2006) to govern a partnership relationship; a number of initiatives and projects form the focus of activity each year, in relation to specific targets: industrial sectors, or cross-cutting issues such as teacher education and student performance.

7. This policy is discussed in more detail in the piece by Cooper in this report.

8. See the University of Cape Town Portraits of practice Reports from 2005 to 2009.



The strategic challenge at this university was thus to enlist academic support for integrating 'social responsiveness' with core academic work. The question remains as to how successful the approach of advocacy and brokerage of social responsiveness had been, and to what extent it was reflected in the practices of academics across the university.

### **Main social partners of academics at UCT**

A high proportion – 93% of the academics interviewed – believed that they were extending their scholarship to the benefit of external social partners in some way. Only 7% indicated that the survey was not relevant and elected to answer questions about why they did not engage.

Nevertheless, the three most frequent partners of engagement were within the academic realm – national and international universities, and funding agencies – with science councils not far behind.

A relatively large proportion of academics, 40.5%, or 167 of those who reported engagement, indicated that they interacted with social partners on an isolated scale or not at all. A slightly smaller proportion, 35%, indicated that they only had one social partner, while a further 16.5% had two partners, 6.6% reported 3 partners, and 1.5% had four or more partners. Networks did exist but on a very modest scale – only 33 academics in total were interacting with 3 or more partners.

The nature of these partners was examined. Almost two-thirds of the academics with one partner (89 of the 144 respondents) reported interaction with only other academic partners. The next largest groups were health partners (18 academics) and firm partners (17 academics). For those 68 academics who interacted with two partners, the most common combinations were academic and community partners (21 academics), and academic and health partners (17 academics), as well as development agency and academic partners (11 academics). For the 33 most networked academics, the largest group was a combination of development agency, academic and health partners (8 academics).

In sum, the strongest trend was that a large group of academics tended to interact only with other academics, and that they interpreted this as fulfilling their social responsiveness mandate, although this is not in line with the approved social responsiveness policy, which links social responsiveness to activities with external (non-academic) constituencies.

At the same time, there was a small but significant engaged group of academics, engaging with a range of social partners, on a frequent scale, and in networks of multiple partners.

The scale on which linkages with external partners existed, and the extent to which the broad body of academics was responsive, tended to be concentrated in three

knowledge fields – health care and health sciences; life sciences and physical sciences; and business, commerce and management sciences.

### **Types of relationship with external social partners**

Principal component analysis indicated that the dominant type of relationships centred on what may be called 'socially responsive teaching'. This included a range of relationships from formal service learning to the civic education of student voluntary outreach programmes and promoting critical citizenship. This trend stands out relative to the strong research thrust highlighted in the annual reviews.

The second most dominant type of relationship does relate to research in a range of ways, whether in knowledge generation, application, transmission, commercialisation or translation. The third dominant type relates to applied research and training services, and the fourth to health and social interventions, while the last relates specifically to community-based research.

### **Channels of interaction**

The channels of interaction with social partners that occurred most frequently, in descending order, were:

- 'Applied research services': highly structured, formal channels that relied on direct personal exchange;
- 'Publicly available channels': public media or popular publications, and making information publicly available;
- 'Interactive channels': a complex combination of channels that relied on direct and often intensive personal exchange of tacit and/or codified knowledge, and in which knowledge was co-created, applied or customised to meet the needs of external social partners;
- 'Technology development': channels that required new formal structures and institutions, such as spin-off firms or incubators.

Those who interacted with academic partners were likely to do so with all of these channels of information, but the strongest degree of association was with informal exchange channels, technology development channels, and contract channels. The 'contracts' channel was most strongly associated with academic and industry partners. The absence of technology development channels in relation to health, civil society and community partners was stark. Interactive channels were strongly associated with a number of different partners – development agency, community, health and civil society.

### **Nature of outputs and outcomes**

Conventional academic outputs such as academic publications or dissertations, and academic benefits such as reputation or theoretical development, were reported most frequently as outcomes of interaction with external social partners. The second most frequent set of benefits related to 'teaching and learning and curriculum', including participatory curriculum development, which suggests an appreciation for a cross-fertilisation of ideas and knowledge production, rather than purely traditional academic benefits.



*Prof Lillian Artz and UWC's Lukas Muntingh are leading a project that will look into the use of torture in Africa.*

Other sets of benefits represented the experiences of smaller groups of academics – benefits to the 'community' such as empowerment, improved quality of life, campaigns or community employment generation; 'social interventions'; and benefits to firms.

These trends suggest that there were groups of academics who appreciate the potential benefits of social responsiveness in quite specific ways.

### **Major obstacles to interaction are lack of time and funding**

A relatively high 40% of academics who engaged with external social partners did so only in isolated instances. The reasons for the low frequency of interaction, and the importance of the wide range of obstacles and challenges typically experienced, were investigated. The results indicate that the greatest challenges related to time and funding; internal university obstacles were not perceived as that important.

Only 7% of academics indicated that they were not socially responsive at all. The responses from this group suggested that the notion of responsiveness did not fit with the academics' view of their role in general or in relation to a specific field. A second important reason, closely related, was the differing priorities of universities and social partners. The factor related to the promotion of social responsiveness within the university was least frequently identified as a deterrent.

### **Conclusion**

The inclusive nature of the concept and the strategic approach adopted by UCT had the advantage that the

vast majority of its academics did in fact recognise that social responsiveness was related to their own work. Interaction with external social partners occurred across the university, on a diverse scale, but tended to be concentrated in three faculties – Health Sciences, Sciences, and Business and Commerce. Much of the reported activity had a social development orientation, and there was a modest scale of industry interaction oriented to economic development. Collaboration and networking occurred on a small scale.

The potential disadvantage of such an inclusive concept of social responsiveness was that it could become 'all things to all people', and hence would not achieve its stated goals, particularly the dimension of an 'intentional public purpose'. Indeed, a sizable group of academics interpreted social responsiveness in a very limited manner, referring to their interaction with a single external academic partner only. This did not fit with the institutional policy framework, which clearly defined the range of external constituencies to exclude academic constituencies.

While interaction occurred primarily in relation to research activities, many academics reported frequent activity in relation to socially responsive teaching and learning. This may mean that socially responsive teaching is more significant than reported; or more likely, that academics interpreted social responsiveness so loosely that it encompassed much of what they traditionally did in the lecture theatre to prepare graduates for future social roles.

For the most part, the channels of interaction were informal and did not involve direct knowledge exchange; and also for the most part, engagement resulted in academ-

ic outputs and outcomes, which suggests that a loose, broad interpretation of social responsiveness overlapping with traditional academic activity was prevalent.

This poses the question of whether the prevailing interpretation of academics was sufficiently in line with the institutional policy goals. If not, that challenges the university to identify mechanisms that could build a stronger shared core concept of what counts as 'socially responsive' academic practice.

At the same time, there are small but significant groups of academic champions, in specific fields, who engage actively with multiple external social partners in direct, knowledge-intensive and collaborative ways, resulting in social and economic benefits to these partners. The challenge, therefore, is also to disaggregate and deepen the research into social responsiveness. The survey dataset can be used to identify where the current strategy is most effective and where there are significant gaps – in which knowledge fields, in relation to which kinds of partners and types of relationship, with what possible outcomes. On this basis, more targeted mechanisms can be leveraged to promote these forms of social responsiveness more effectively in line with institutional priorities.

**This reflective piece was provided by Glenda Kruss, HSRC**

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# THE UCT IDEA OF 'SOCIAL RESPONSIVENESS': 'ENGAGED SCHOLARSHIP' MUST BE AT ITS CONCEPTUAL CORE FOR ACADEMIC STAFF

## Introduction: Some questions about university social responsiveness

My discussion in this contribution to the annual Social Responsiveness (SR) Report of 2010 seeks to stimulate debate and investigation at UCT about the 'idea of SR', by posing a number of questions about what I call 'ambiguities' in the current Senate-approved UCT Social Responsiveness Policy Framework (see UCT 2008, 9-13).<sup>9</sup>

I believe that Social Responsiveness – or Engaged Scholarship (ES), a more fruitful concept with respect to academics' 'engagement' with the 'wider society' – must be understood as part of an emergent 'third mission' of universities. Albeit with some reservations (see Cooper 2011b, 28-59), I follow Etzkowitz in his broad conception that research universities globally, including our own UCT, have been undergoing a 'second academic revolution' driven by a third university mission; for, as he puts it:

*The first academic revolution, taking off in the late 19th century, made research [the second mission] a university function in addition to the traditional task of teaching [the first mission]...A second academic revolution [taking off globally in the late 20th century] then transformed the university into a teaching, research and economic development [the third mission] enterprise. (Etzkowitz 2003, 110).*

Nonetheless, with regard to this university third mission, I prefer the concept of 'socio-economic-cultural development' to Etzkowitz's narrower idea of 'economic development' in this quote. I argue furthermore that what is needed by the wider society from universities in the 21st century – especially research-oriented universities like UCT – is Use-Inspired Basic Research in particular (UIBR, see below); and that such use-oriented research is required not only in the more well-recognised research areas of SET (science, engineering and technology, in fields like ICT, biotechnology and nanotechnology), but also in the social sciences and humanities in fields such as urban development, poverty and social inequality, social housing and transport (Cooper 2011b, 91-103). My conception of the third mission is therefore broader than Etzkowitz's, encompassing wide-ranging socio-economic-cultural development needs not only of Industry (I) and Government (G) but also of Civil Society (CS) understood more extensively, resulting in a U-I-G-CS 'quadruple helix' where the university (U) is involved in 'outreach' or 'engagement' across a wide range of external stakeholders (Cooper 2009b).

My argument about the vital importance of Social Respon-

siveness is directly linked to this conception of an emergent and vital third mission at universities such as UCT.

I believe this third mission has been bursting forth internationally across universities (Cooper 2011b, 31-47); and it is time for UCT to incorporate the idea of a 'third mission' much more self-consciously in its policies and practices.<sup>10</sup>

And this will require that criteria for the assessment of SR (or what I prefer to view as ES), need to become far more strongly embedded in the current Promotion and Tenure (P&T) policies for academic staff than they are at present.

My argument here about Engaged Scholarship has been influenced by UCT debates and discussions in which I have participated over the past decade, particularly as a member of the University Social Responsiveness Committee (USRC) and its precursor, the Social Responsiveness Working Group (SRWG); and by my involvement in the Sociology Department since the 1980s, in what I have always implicitly understood (though I have not used the term until recently) as 'Engaged Scholarship' activities (see Cooper 1992, Cooper 2009a). Recently however, I was fortunate to receive an NCS (New Century Scholar) Fulbright award under the theme of The University as Innovation Driver and Knowledge Centre; and as a visiting scholar I was able to spend some weeks at Michigan State University (MSU) last year, where I undertook some interviews and documentary research into this university's conceptualisation and practices concerning Engaged Scholarship.

The first section of this chapter seeks to analyse exactly what is meant by MSU with regard to Outreach Scholarship/Engaged Scholarship. With reference to MSU's 1993 Report (MSU 1993) and the Report's Background Papers (MSU 1994), the term used there is 'Outreach'; but as I show in the next section with reference to the MSU definition, it is clearly stated that "Outreach is a form of scholarship that cuts across teaching, research, and services..." (MSU 1993, 1, below). The idea of 'Scholarship embedded in Outreach' is absolutely central throughout, and I therefore use the term 'Outreach Scholarship' (OS) in all commentary with reference to the 1993 Report. In addition, over the recent decade, MSU has generally preferred the term 'Engagement' to 'Outreach' - because 'engagement' highlights the idea more clearly of mutually beneficial/reciprocity relationships between university and civil society, when a university acts in 'extending [its] knowledge to serve society' (the 1993 Report subtitle). Moreover, by my MSU visit of 2010 the term 'Engaged Scholarship' (ES) had become dominant in its discourse.<sup>11</sup>

9. The SR Policy Framework is available at [www.socialresponsiveness.uct.ac.za/about/policy\\_framework/](http://www.socialresponsiveness.uct.ac.za/about/policy_framework/)

10. The soon to be published, senate-approved document '(six) Strategic Goals for the University of Cape Town 2010-2014' does in fact quite significantly embed, largely implicitly, a 'third mission' of the university in various of these Goals. But my point is that this discourse needs to become much clearer in both policy and practice across the university.

11. See for example the two-volume, influential *Handbook of Engaged Scholarship. Contemporary landscapes, future directions*, published by MSU Press (Fitzgerald et al, 2010), in which Hiram Fitzgerald in his current position at MSU of 'Associate Provost for University Outreach and Engagement' (2010: 441) acted as one of driving forces in this collection of major articles for a handbook which sought to define the current state of what is now known as the field of 'Engaged Scholarship' in the USA. In addition, since 2006 MSU has been producing annually what it calls *The Engaged Scholar Magazine* under its Office of Outreach and Engagement, to highlight and

Throughout this analysis, I shall thus use OS/ES as the core concept, with reference to the post-1993 MSU discourse of how a university might 'extend its knowledge' in relation to the 'broader society'.<sup>12</sup>

My overall concern in this section is to examine closely the MSU-based idea of OS/ES in order to establish a baseline: a conceptual framework with which to compare UCT's own (and different in some respects) SR Policy Framework.

The second section turns directly to a close examination of UCT's definitions of Social Responsiveness and the shifts within these over time, especially regarding the degree to which the university has been explicit about scholarship as a core component of SR. I argue that considerable advances have been made in developing an institutional framework of support for SR within UCT, since the establishment of a university-wide Social Responsiveness Working Group in 2005. Nonetheless, I suggest that while the 2005 definition of SR explicitly made reference to 'scholarship' as a core component, by 2006 it was more implicit, and by 2008 there were significant ambiguities with regard to the role of Scholarship in relation to the idea of Social Responsiveness. This will be highlighted by means of a comparison with the MSU understanding of OS/ES.

An important conclusion I wish to draw from this analysis is that with regard to UCT's academic staff (but not necessarily its students and their 'responsiveness' activities), it is vital to conceptualise their Social Responsiveness as rooted in Engaged Scholarship activities. I will emphasise that a crucial way to establish a strong recognition of the value of SR by academic staff at UCT – and thereby to strengthen their practices around the third mission of socio-economic-cultural development of society – is via the incorporation of SR as a value criterion for academic staff promotion and tenure. And to gain recognition by the university (across its senate and its senior committees and different faculty boards) that SR is indeed an important part of UCT's core business – it is fundamental to link all SR activities of academic staff to the 'idea of Engaged Scholarship'. Which relates to my other concluding argument: that some of the current confusion about recognising SR as a vital criterion for promotion and tenure across the different faculties of UCT is at least partly a result of the 'ambiguities and absences' around the recent UCT definitions of SR.

### **A case study. The Michigan State University idea of outreach scholarship (and engaged scholarship)**

I focus in this analysis on the case of MSU, with its Report: University Outreach at Michigan State University: Extending knowledge to serve society (MSU 1993).

It is useful to begin with quotes from Lorilee Sandmann's (2009) recent piece, Placing scholarly engagement 'on the

desk', specifically targeted at research-intensive American universities.

In fact, she herself was a member of the 1993 MSU Report Committee (see MSU 1994: 2), and in her thoughts about 15 years later she puts the point incisively: she argues that American academics often lament that while they want to be of service to community partners and their problems, they do so 'off the side of their desk', i.e. outside of their 'normal' academic duties (Sandmann 2009, 2). Her conclusion is that they need to place such engagement work with society back 'on the desk' – to make it a central part of their normal academic work. But for this to happen, such academics – and their universities – need to put the idea of scholarship in engagement centre-stage:

*When scholarship, the distinctive and important contribution that faculty can make, acts as the frame, it provides a stable architecture that enables faculty and students to collaborate with community partners in ways that produce credible scholarship for enhanced public good and academic outcomes (Sandmann 2009, 2; my emphasis).*

Thus, scholarship in engagement will enhance the public good, while at the same time augmenting academic outcomes. This links clearly to my earlier point about enhancing Social Responsiveness work at a research-intensive university such as UCT: for SR to be viewed as 'core business', it must be 'on the desks' as part of normal scholarly activity.

### **The social context of the MSU (1993) approach to OS/ES**

The approach by the MSU 1993 Committee was to provide exactly such a 'frame' or 'stable architecture' for OS/ES to become part of everyday activity across its university campus. The social context of MSU in the early 1990s is important. Its establishment as a state Land-Grant university nearly 150 years before had resulted in a system of agricultural extension agents and short courses for the 'wider society' from early on (MSU 1994, 27-43). This application-orientation was later broadened to include other fields such as health and public administration. Moreover, the 1970s saw an attempt to transform its off-campus Continuing Education Service, originally rooted in agriculture and a few other disciplines, into a Lifelong Learning Program which sought to spread and integrate lifelong learning, including adult education and greater adult access to undergraduate programmes, across all departments and units.

Nonetheless, by the 1960s MSU had joined the elite group of just over 60 American research universities of the American Association of Universities (AAU) – formed in 1900 around a small group (originally 12) comprising Harvard, Princeton, University of Michigan (MSU's neighbour) etc. in order to

*publicise what it calls the engaged scholarship activities of its university members. Note also that at the level of a broader movement at American universities for the recognition of 'university outreach' activities, Sandmann (2008) has argued that the idea of 'outreach' of the 1990s has shifted since around 2000 to the sharper, more focused concept of 'engaged scholarship'. This can be illustrated with reference to a major organisational 'driver' of this university movement in the USA, the NOSC (National Outreach Scholarship Conference), with its annual conference hosted in 2011 at MSU under the theme 'Engaged Scholarship and Evidence-Based Practice' (Cooper 2011a, forthcoming).*

<sup>12</sup> More recently, MSU has distinguished between 'Engaged Scholarship' (ES) and what it terms the 'Scholarship of Engagement' – with the latter referring to 'studying the processes, relationships, and impacts of Engaged Scholarship on faculty, the academy and communities' (i.e. scholarship on/of ES; see MSU website of the National Centre [now Collaborative] for the Study of University Engagement, <http://ncsue.msu.edu/Default.aspx>).

enhance their orientation of pure basic research and PhD training (see Geiger 1986: v). So by the early 1990s when its Committee on Outreach began to meet, MSU had already consolidated an interesting mixture of local state Land-Grant (outreach) and AAU (basic research) features. This was not unlike UCT at present which is seeking to combine a university third mission of contribution to socio-economic-cultural development of 'society', with (and alongside of) its existing (and strongly held) second mission of basic research.<sup>13</sup>

Questions of 'high quality scholarship' together with 'relevance' can also be observed directly in the address by Dr Votruba, Vice-Provost for University Outreach, to the Committee on Outreach of MSU just before it began its deliberations. As he put it in his address:

*...MSU has moved from the concept of lifelong education – one that primarily embraced instructional outreach – to a concept of university outreach that includes a range of knowledge-extension and knowledge-application activities (Votruba 1992, 24).*

Thus outreach scholarship 'as research-application' was increasingly stressed alongside outreach scholarship 'as teaching/instruction'. Votruba linked the importance of 'knowledge-extension' or outreach research directly to the vital role of high-quality basic research scholarship as underpinning all good knowledge-application activities:

*Well, in fact, land-grant universities were intended to be strong research universities, and there is no reason why AAU universities – universities that emphasize research – should not also be interested, and involved in, the extension and application of knowledge (Votruba 1992, 25).*

The importance of high-quality engaged research also featured in the introductory remarks of his address, in which he attempted to direct attention to the need to use knowledge to address increasingly complex issues confronting society – such as 'youth in community', 'global competitiveness' confronting 'Michigan and, indeed, the nation', 'environmental quality' and 'health and health care' (Votruba 1992, 23).

I suggest that the tenor of Votruba's input here was to highlight – already, at the beginning of the 1990s – a clear perception of the new 21st century knowledge economy/society which will require research universities like MSU to become innovation drivers and knowledge centres.<sup>14</sup> The aim of the MSU 1993 Report was thus to provide the conceptual frame or architecture for the university to play such a role in the emerging local and national (and international) knowledge economy and society; or as the Provost put it in his address to the Committee, "what you are being asked to do involves cultural transformation of the academy" (MSU 1994, 21).

## 'Extending knowledge to serve society'<sup>15</sup> - the MSU conception of OS/ES

In my view, four core definitional concepts were contained in the 1993 Report which have shaped the ideas of OS/ES at this university ever since, as well as influencing OS/ES debates across numerous other American universities over the past two decades since then.<sup>16</sup> These definitions relate to (i) Outreach, to (ii) Scholarship, to (iii) OS/ES as a 'cross-cutting function', and to (iv) OS/ES as different from 'general service' to society.

With regard to Outreach, the chairperson of the Committee in the Background Papers stated that "not one committee member would have or could have defined outreach at the outset in the way it is expressed in the final report" (MSU 1994, 214); but there eventually emerged a clear and novel definition:

**Outreach is a form of scholarship that cuts across teaching, research, and services. It involves generating, transmitting, applying, and preserving knowledge for the direct benefit of external audiences in ways which are consistent with the university and unit missions (MSU 1993, 1; my emphases).**

This definition embodies a number of crucial elements:

- Outreach is a form of scholarship, involving university 'extension' of various forms of knowledge for the direct benefit of external audiences, i.e. it is linked to what I have noted earlier as the 'university third mission'. It is also distinct from what the Committee called Inreach (or Inreach Scholarship), defined as providing various forms of knowledge for groups within the university, e.g. teaching (transmission of knowledge) for the 'normal' cohort of undergraduates on campus.<sup>17</sup>
- The idea of 'direct benefit' implicitly embodies a concept of the 'public good' which has been central to the UCT conception of Social Responsiveness (see below).
- The idea of various forms of knowledge draws directly on Boyer's work (1990), with reference to his four proposed modes of scholarship.<sup>18</sup> The Committee asserted that a university produces multiple forms of scholarship which are then combined with 'outreach/extension', i.e. there is outreach teaching (mainly knowledge transmission), outreach research (mainly generating and applying knowledge), and outreach service (all four forms of knowledge, see below). Hence the very important concept introduced by the Committee, of OS/ES as a cross-cutting activity which takes place across teaching, research and service – as discussed further with reference to Table 1 below.
- The seemingly innocuous addition of 'consistent with the university and unit missions' actually disqualifies certain forms of 'consultancy' and 'service' from being OS/ES in the above sense, even when they are activities for 'external audiences' (see below, discussion of Table 2).

13. I put this forward as an important hypothesis for consideration, which obviously needs more analysis, but that is not possible here.

14. See above-noted theme for the Fulbright New Century Scholar (NCS) programme in which I participated in 2010, which I think captures some of these post-1970s trends quite well. In Cooper 2011b (also Cooper 2009b) I argue that this is associated with the emergence of a post-1970s 3rd Capitalist Industrial Revolution, itself symbiotically linked to a 2nd Academic Transformation in which the 'third mission' and associated Use-Inspired Basic Research (UIBR) at research-intensive universities is becoming vital. Moreover, as noted earlier, the 21st century 'innovations' based especially on university UIBR need arise not only from new science-engineering fields, but also from social innovations derived from research in the social sciences and humanities.

15. As noted, this was the subtitle of the MSU 1993 Committee Report.

16. See for example Fitzgerald, Burack and Seifer (2010), and articles in the *Journal of Higher Education Outreach and Engagement* since 1996, as well as ideas contained in works such as Boyer (1990, 1996), CCPH (2005), Glassick, Huber and

But before further elaboration of these points there is an embedded issue in the above definition: what precisely is meant by Scholarship in this definition? Interestingly, the Chairperson – right at the end of the Background Papers, with his ‘A Retrospective on the Committee Experience’ (MSU 1994, 213-5) – informed his readers that the Committee felt “...almost from the beginning of our discussions – that scholarship was central to our conception of outreach”; but he explained that they reviewed a number of literature sources, none of which they felt was completely satisfactory, “so we created our own definition”. Thus:

*We believe that the essence of scholarship is the thoughtful creation, interpretation, communication, or use of knowledge that is based in the ideas of the disciplines, professions, and interdisciplinary fields. What qualifies an activity as ‘scholarship’ is that it be deeply informed by accumulating knowledge in some field, that the knowledge is skillfully interpreted and deployed, and that the activity is carried out with intelligent openness to new information, debate, and criticism (MSU 1994, 214; MSU 1993, 2).*

Some implications of this definition are pertinent here, particularly in relation to later points with regard to UCT’s definitions of Social Responsiveness:

- The OS/ES work should be based on ‘accumulated’ knowledge, i.e. taking cognisance of historically developed, state-of-the-art knowledge in the relevant field.
- The methodology, too, must be ‘skillfully deployed’, based

on state-of-the-art practices relevant to that field.<sup>19</sup>

- Good scholarship should always also embody critical self-reflection.

These criteria with regard to scholarship therefore link to the reformulation of the mission of MSU that the Committee was seeking to develop: that OS/ES work should embody, wherever possible, the most rigorous and exacting criteria in order for academics of the university to ‘serve society’ as best as possible. This should apply also to all Social Responsiveness work by academics of UCT, as I argue in the section which follows.

With regard to the MSU idea of OS/ES as a cross-cutting function – not something separate from the three university missions of teaching, research and service – the Committee was breaking new ground, for as its Chairperson put it, “We advance a new nomenclature – outreach teaching, outreach research, and outreach service – to suggest that there are various outreach forms of scholarship” (MSU 1994, 214).

The Committee Report did offer various concrete examples to illustrate this. However, for an elaboration of the novel idea of ‘cross-cutting function’, I refer here to Table 1 (of 2009) – based on over a decade of MSU experience and investigation of these issues following the 1993 intervention – which captures most clearly a spectrum of OS/ES activities within each of the three university missions.

**Table 1: Outreach Scholarship/Engaged Scholarship cross-cutting (embedded in) the three university missions of Research and Teaching and Service: Selected examples**

| ENGAGED RESEARCH<br>(i.e. OS/ES in Research) | ENGAGED TEACHING AND LEARNING<br>(i.e. OS/ES in Teaching)        | ENGAGED SERVICE<br>(i.e. OS/ES in Service)   |
|--|--|--|
| • Applied research                           | • Occupational short course, certificate, and licensure programs | • Technical assistance                       |
| • Contractual research                       | • Continuing education   | • Commercialisation of discoveries           |
| • Community-based research                   | • Online and off-campus education                                | • Consulting                                 |
| • Program evaluations                        | • Participatory curriculum development                           | • Expert testimony                           |
| • Action Research                            | • Service-learning   | • Creation of new business ventures          |
| • Government-linked Research                 | • Conferences, seminars, and workshops                           | • Creation of new systems of social services |

Source: Slightly adapted from slide presentation by Fitzgerald (2009) as MSU Associate Provost for University Outreach and Engagement.

In essence, Table 1 highlights the fact that in terms of the MSU conception of OS/ES, this form of ‘engagement’ (involving mutuality and reciprocity between university and society) is not a separate activity or mission. Rather, we have engaged scholarship in research, engaged scholarship in teaching and learning, engaged scholarship in service work. Importantly, too, I would add the idea that the separation of the column of ‘research’ from that of ‘service work’ to a large extent parallels the current Organisation for Economic Co-operation and Development

(OECD) differentiation between its ‘research’ surveys and its ‘innovation’ surveys, where the former measures ‘new knowledge production’ and the latter the ‘implementation of a new product or process or organisational method’ (OECD 2002 and 2005 respectively). In other words, the ‘engaged scholarship in service work’ of academics is perhaps best viewed as the implementation of ‘innovations’ in the form of new products (e.g. via commercialisation of discoveries) or processes (e.g. via technical assistance) or organisational methods (e.g. via new systems

Maeroff (1997), Ward (2003) (in Cooper 2011a).

17. The MSU definition of Inreach (Scholarship) and other forms of non-OS/Not-Engaged-Scholarship are discussed with reference to Table 2 below.

18. In its Background Papers to the 1993 Report (MSU 1994: 45-58), the ideas of Boyer (1990) – especially with regard to his conceptualisation of four forms of professorial scholarship with regard to (a) discovery/knowledge generation, (b) teaching/knowledge transmission, (c) application and (d) integration – are acknowledged to have clearly been utilised with respect to the actual definition of ‘Outreach is a form of Scholarship’ provided by the 1993 Report.

19. Thus, for example, the Community-Campus Partnerships for Health (CCPH, 2005) have argued that ‘good community-engaged scholarship’ should be peer-reviewed (by means of both university and practitioner-based persons knowledgeable in the field) in order to assess whether it is good/of high quality.

of social services) – through the application of university-based new knowledge.<sup>20</sup>

Finally, and linked to the last points, a further vital definitional step taken by the 1993 MSU Committee was to insist on the distinction between university OS/ES as different from 'general service' to society. Or put another way, it is important, if one defines OS/ES in this way, to say also what is 'non-OS/Not-Engaged-Scholarship' and therefore not eligible for academic reward in terms of promotion and tenure.

For example, the Committee argued that in terms of its definitions, if a university scholar (say, a chemical scientist) serves on a government commission and the 'activity calls on the scholar's expertise' and links to the 'programs and mission of the university unit(s) [here, the chemistry department/unit] in which the scholar is appointed' – then this is OS service (or what I have termed ES service or innovation work). However, if the same chemist serves on the fundraising committee of an NGO – 'a role that is apart from one's scholarly expertise and the programs of one's university unit' – then that person is engaging in non-OS service or Not-Engaged-Scholarship service work (MSU 1993, 4).

In its Background Papers, the complex distinctions between 'service and consulting', and 'Outreach as a form of Scholarship' were further elaborated on by the 1993 Committee. This is very important, in the light of the confusion in many South African university debates, so as to distinguish clearly between what is essentially a form of 'engaged scholarship service work for a community' compared to what I term 'general community service' or Not-Engaged-Scholarship community service.<sup>21</sup> This confusion also seems to have emerged at UCT at times (see next section), so Table 2 (from MSU 1994) is provided here to highlight these complex but vital distinctions. I have added my own column (far right-hand side) of 'Examples of Activities' (of a hypothetical academic in a transport engineering department of a university, with scholarly expertise in the sub-field of city transport systems) in order to illustrate concretely the various differences, in terms of the MSU definitions, between OS/ES (row No. 1, also row No. 6b) and non-OS/Not-Engaged-Scholarship (all the other rows).

Some comments with respect to each row of Table 2:

- The headers show the three key criteria for OS/ES as per the 1993 MSU Report definitions: they are (i) scholarship 'extended' to an external audience (but not academic peers); and involving (ii) knowledge directly related to what are termed the university department/unit 'position responsibilities' of the academic staff member concerned; and also involving (iii) the specific scholarly expertise of the academic staff member who fills these departmental/unit position responsibilities.
- In Row 1, an academic within a transport engineering department (or research unit) whose position responsibilities and scholarly expertise are in the sub-field of city transport systems, is clearly involved in OS/ES when

providing training workshops for 'external' partners/audiences on the efficiency of city transport networks, or undertaking a research project for an external organisation in relation to issues concerning urban automobile transport systems.

- In Row 2, however, although the same academic undertakes teaching on urban transport systems to his or her normal departmental cohort of postgraduates, or undertakes research for his or her own university on issues of private vehicle congestion on campus, this is defined as 'Inreach' (Scholarship).
- For Row 3, similarly, the performance of various forms of work for external disciplinary/academic peers – in terms, for example, of editorial work for an international academic transport journal, or serving as president of an academics-only transport engineering association – is classified as 'Professional/Disciplinary Academic Service' and thus non-OS/Not-Engaged-Scholarship.
- For Row 4, the service work undertaken for his/her own university is only broadly (or partly) related to the 'position responsibilities' of the academic located in the engineering transport department, but is not directly related to the specific scholarly expertise of this academic (concerning city transport systems). Moreover, it is internal to the university, hence classified as 'University Service' and non-OS/Not-Engaged-Scholarship.
- Row 5 is particularly important in the light of my earlier discussion of what I have termed 'general service' to the wider society, i.e. Community Engagement (CE, without a scholarship component, versus Community Engaged Scholarship, CES).<sup>22</sup> Here the 1993 MSU Report and Background Papers seek to make a very clear distinction: if this city transport systems specialist undertakes work for civil society unrelated to his/her scholarly expertise (e.g. serving as treasurer for a local high school parent committee) or undertakes academic work but outside his/her 'position responsibilities' (e.g. giving a talk to an NGO on low-cost housing development), then this is non-OS/Not-Engaged-Scholarship. For such cases, the MSU classification is 'Community or Civic Service', i.e. 'community engagement' as a citizen of society.
- Finally, in Row 6, with regard to 'Consultancy' work, the 1993 MSU Report takes a clear position that the issue of payment/non-payment in such cases is not of concern (MSU 1993, 4, MSU 1994, 104). Only the three criteria at the top of Table 2 are relevant. Thus in Row 6a, the academic transport engineer is undertaking research work for an industry firm on an issue of job satisfaction concerning work-speedups which is not directly related to his/her expertise; hence, this is non-OS/Not-Engaged-Scholarship Consultancy work. On the other hand, for Row 6b, involving paid consultancy work of scholarly research for a Taxi Association on issues pertaining to a new urban bus transport system: this falls within the expertise and 'position responsibilities' of such an academic – and hence is classified as OS/ES Consulting (MSU 1994, 105).

20. My introduction of the idea of the distinction between 'research' and 'innovation' is not derived from the MSU Report, nor can it be fully explored here – but essentially I believe the idea of 'engaged scholarship in service work' should be refined to centre on the OECD definition of 'innovation' as defined above (Cooper 2011a).

21. See CHE (2010) for discussions on three South African conferences held under the auspices of the Council on Higher Education in 2006, 2008 and 2009 – in all of which the idea of Community Engagement (CE) was the core concept – and with reference to which I argue that there has been significant confusion about CE in which engaged scholarship is embedded vis-à-vis Not-Engaged-Scholarship CE (Cooper 2011a).

22. See also for example the Community-Campus Partnerships for Health distinction between CE and CES (CCPH 2005, 12).



**Table 2: Outreach Scholarship (OS)/Engaged Scholarship (ES) vis-à-vis Non-OS/Not-Engaged-Scholarship of selected practices of an academic staff member, in terms of the 1993 MSU Report definitions**

| ACTIVITY   | Extended or NON-extended Audience?   | Is Knowledge directly related to the university department/unit position responsibilities of the academic staff member? | Does Knowledge directly relate to the position area(s) of scholarly expertise of the academic staff member | Example(s) of Activities of a hypothetical academic staff member in a transport engineering department with a research specialisation in city transport systems  |  |
|--|--|---|--|--|--|
| <b>1. YES 'Outreach Scholarship OS'</b><br><br><b>(Engaged Scholarship ES)</b>   | External (but not for disciplinary peers) audiences                        | Yes (for 1 & 2)   | Yes (for 1 & 2)  | 1. Provides workshops to local community organisations on how to facilitate more efficient city transport networks   | 2. Undertakes research for city planners on development of public transport systems less dependent on the automobile |
| <b>ALL BELOW = NON-OS (Not-Engaged-Scholarship) except last line</b>   |  |   |  |  |  |
| <b>2. Inreach (Scholarship)</b><br><br><b>'Non-OS' (Not-Engaged -Scholarship)</b>  | Internal to own university   | Yes (for 1 & 2)   | Yes (for 1 & 2)  | 1. Teaches postgraduate engineering course on urban transport systems  | 2. Undertakes research for own university on ways of reducing campus dependence on private vehicles                  |
| <b>3. Professional/Disciplinary Academic Service</b><br><br><b>'Non-OS' (Not-Engaged -Scholarship)</b>   | Non-Extended (i.e. for disciplinary/academic peers only)                   | Yes (for 1 & 2)   | Yes (for 1) Partly (for 2)   | 1. Acts as reviewer for articles submitted to an international academic transport journal  | 2. Serves as president of an academics-only transport engineering association  |
| <b>4. University Service</b><br><br><b>'Non-OS' (Not-Engaged -Scholarship)</b>   | Internal to own university   | Partly (for 1 & 2)  | No (for 1 & 2)   | 1. Serves on engineering dean's space committee  | 2. Serves on university committee for student residence affairs  |
| <b>5. Community (Civic) Service</b><br><br><b>'Non-OS' (Not-Engaged -Scholarship)</b>  | External (non-academic) audiences  | No (for 1 & 2)  | No (for 1)<br><br>No (for 2, not directly linked to transport engineering expertise)                       | 1. Serves as treasurer on local high school parent committee   | 2. Gives talks to church-based NGOs on new methods of low-cost housing development                                   |
| <b>6. Consultancy (including payment)</b><br><br><b>a) 'Non-OS' (Not-Engaged -Scholarship)</b><br><br><b>b) YES 'OS' (Engaged Scholarship)</b> | External (non-academic) audiences<br><br>External (non-academic) audiences | No (for 1)<br><br>Yes (for 1)   | No (for 1, not directly linked to transport engineering expertise)<br><br>Yes (for 1)                      | 1. Paid consultancy for industry firm on survey of staff job satisfaction around work-speedups<br><br>1. Paid consultancy for Black Taxi Association on enhancing their systems linked to new urban bus transport system |  |

Notes for Table 2: (i) Derived from Table 4 and associated discussion (MSU 1994, 104-5). The 'Example(s) of Activities' columns are my own for clarification.

(ii) 'Extended' in MSU definition refers to 'External (wider society) non-academic audience(s)' i.e. 'Non-Extended' audience means either internal to the university (i.e. Inreach) or external to the university but only to academic peers.

Given this 'baseline' – of the MSU framework around definitions of Outreach/Engagement as 'a form of scholarship that cuts across teaching, research, and services' (MSU 1993, 1), and the related forms of classification of university work of academics as either OS/ES or non-OS/Not-Engaged-Scholarship – the discussion now turns to the UCT definitions of 'Social Responsiveness'.

### **UCT definitions of social responsiveness Evolving conceptions after 2003**

In mid-2005 a University of Cape Town Social Responsiveness Working Group (SRWG) was formally established under a deputy vice-chancellor. Prior to this, the offices of the Institutional Planning Department (IPD) and Centre for Higher Education and Development (CHED) had undertaken a series of discussions and produced a Social Responsiveness Report for 2003, based on a survey of academic (including research unit) staff approaches to SR across all faculties, in relation to their teaching and research activities:

*The survey attempted to capture the ways in which staff are responding to social, economic, cultural and political development needs through their research, curricula and choice of pedagogy (cited in UCT 2009, 6).*

Thus the idea of 'SR' had already emerged in UCT discourse some years before a first official report, the University of Cape Town Social Responsiveness Report for 2005: Portraits of Practice, Social Responsiveness in Teaching and Research' (UCT 2005), was produced by the SRWG.

I shall argue that there have been some shifts in the formal definitions around the idea of SR within UCT over the past decade, including from 2008, when a formal SR Policy Framework was approved by Senate and Council (see below). It is thus useful to trace this process from the time of the first SRWG report of 2005, for which it was decided to compile a set of case studies (rather than undertake a further survey) called Portraits of Practice. The university's reasoning was: "To capture the complexity and richness of these [SR] practices, it was decided to present the review [the 2005 Report] in the form of 'descriptive cases'" (UCT 2005, 5). In collecting the first nine cases, all of which were either wholly or significantly oriented toward research activities, the SRWG utilised the following working definition of Social Responsiveness:

*Scholarly-based activities (including use-inspired basic research) (Stokes 1997)<sup>23</sup> that have projected and defined outcomes that match or contribute to developmental objectives or policies defined by civil society, local, provincial or national government, international agencies or industry (UCT, 2005, 4).*

The SRWG for 2006 – and for the years thereafter, up to its latest 2009 report – continued to report on a set of cases selected annually, by means of the format of Portraits of Practice. However, for the SRWG Report for 2006, and also for 2007, a

broader definition of SR was used which had been approved by Senate in November 2006:

*Social responsiveness is defined as the production and dissemination of knowledge for public benefit (and)*

- *Demonstrates engagement with external constituencies*
- *Shows evidence of externally applied scholarly activities (UCT 2006, 7).*

It seems that in discussion by the Senate Executive Committee, the 2005 definition was viewed as too restrictive and 'instrumental' in its specification of 'developmental objectives' defined by external agencies such as civil society, local and provincial government, etc. Moreover, there appears also to have been dispute about whether 'public benefit' should include work by academics for their own professional academic associations (see Row 3 of Table 2 above).<sup>24</sup>

Both the 2005 and 2006 conceptions of SR prioritise university knowledge for (i) the 'public good' and (ii) academic engagement with 'external constituencies' (without clearly defining the latter in 2006). What should not be missed in both these earlier definitions is the clearly specified component of academic knowledge: in 2006 it links implicitly to Boyer's concepts of 'knowledge production' (i.e. research) and 'knowledge dissemination' (i.e. teaching), and more generally to 'applied scholarly activities'; in 2005 the term 'scholarship' ('scholarly-based activities') is highlighted at the beginning of the definition.

Commentaries in various parts of these early reports reinforce these explicit and implicit references to 'scholarship' with regard to these conceptualisations of SR. For example, the 2003 survey, which dealt only with academic staff, had an explicit focus on their 'responsiveness' in relation to 'their research, curricula and choice of pedagogy' (above). And in the explanation for the criteria used for the 'identification of cases' for the 2005 Report, it was stated that:

*In all cases, the Working Group saw that the engagement needed to be relevant to the job description or work of the relevant person/unit at UCT. In other words, it linked social responsiveness to the core functions of teaching and research, rather than seeing it as an activity outside of these (UCT 2005, 5).*

This is quite close to the MSU 1993 conception of OS/ES as a cross-cutting activity linked to the core scholarly functions of teaching and research, and to service work – and embedded in the job descriptions of academics with regard to their 'position responsibilities' (i.e. 'on their academic desks'). And in his Preface to the 2006 Report, deputy vice-chancellor Martin Hall stressed that:

*We have been careful to define social responsiveness as more than outreach [i.e. 'mere service'], stressing the importance of engagement [i.e. mutual reciprocity] and the objective of putting knowledge to work in addressing pressing economic and social issues. In this approach,*

23. Here, some ideas of Stokes (see especially 1997, 73) were utilised: he distinguishes between Pure Basic Research (PBR) which is purely curiosity-oriented, and two types of use-oriented research – Use-Inspired Basic Research (UIBR, involving broad considerations of use but significantly oriented towards fundamental understanding) and Pure Applied Research (PAR, oriented towards solution of specific context-dependent problems).

24. The various reasons and associated dynamics shaping this process of shift in definition require further research. However, I am indebted to Judy Favish for information on some of the dynamics mentioned here.

25. The approved document is provided in the 2008 Report (UCT 2008, 9-13) and on [www.socialresponsiveness.uct.ac.za](http://www.socialresponsiveness.uct.ac.za).

26. These points of contrast with other South African university approaches are made by Favish in her valuable review of

*social responsiveness and long-established approaches to research are complementary (UCT 2006, 4).*

This was also taken up from another angle, during the final section of 'Analysis of the Portraits of Practice' in this same 2006 Report, where it was noted that some of those interviewed in the selected cases:

*...argued that activities based at university should be informed by scholarship to distinguish them from activities provided by non-governmental organisations, and that links with scholarship are vital in strengthening the socially responsive activities themselves (UCT 2006, 65).*

Again, this links implicitly with the MSU 1993 argument in relation to Table 2 above, regarding the need to distinguish 'engaged scholarship' from a wider notion of 'general service' or 'community (civic) service' to society.

### **A revised senate-approved definition of SR in 2008**

Late in 2008, a Social Responsiveness Policy Framework was formally approved by the UCT Senate and Council.<sup>25</sup> In many ways this was a significant step forward, with a number of important provisions within this Policy Framework which set UCT in advance of a number of universities in South Africa: in terms of policy, management and resourcing of SR. This included, inter alia, a University Social Responsiveness Committee (USRC) as formally-approved senate committee; various structures of management and co-ordination of SR (including for example the IPD and CHED, as well as the Offices of Research and Innovation, Postgraduate Funding and the Department of Student Affairs – all reporting on SR to a designated deputy vice-chancellor); and the recognition of various forms of evaluation and reward for SR across the university (including SR institutional awards for staff and for students, and academic staff recognition for SR in terms of promotion and 'Rate for the Job' criteria).

The revised, senate-approved definition of SR will be briefly examined and critiqued below. Positively, however, I would argue that this Framework does achieve a definition which directly links a conceptual framework to a policy framework, including not only crucial management and coordination functions at various levels of university structures, but also specifying procedures for evaluating and rewarding SR across UCT. Moreover, it implicitly locates UCT as different from a more dominant, and narrower, 'community engagement' approach which the Higher Education Quality Committee (HEQC) of the Council of Higher Education and numerous other universities in South Africa have been pursuing over the past decade. The UCT approach to SR is broader than the HEQC criteria, in that the university is conceived of as 'responsive' to a much wider range of external audiences/partners than 'the community' (see Favish 2010).

Further, while it does stress responsiveness for 'the public

good', it is not restricted to a 'strong social justice orientation', but recognises divergent views about socio-economic 'development' among its responsive staff and students.<sup>26</sup>

Turning to the actual 2008 UCT definition, I wish to suggest that a number of influences impacted on its construction, creating some of the 'ambiguities and absences' that I highlight below. While not the only influences, I mention two here which seem important for my assessment.<sup>27</sup>

Firstly, during 2008, in the debate about a definition within the Senate and the Senate Executive Committee as well as within diverse structures (including in faculties across the university), there were often strongly-held, different and conflicting views about what 'SR is'. These included:

- Differences in essence about whether (what I have termed) the second mission of basic research might be undervalued if the third mission of a university role in 'development' were to become consolidated.
- Differences about whether the growing research activity in terms of university research contracts with industry and commerce might fall under the umbrella of 'Social Responsiveness'.
- Differences about whether 'public benefits' with reference to 'external constituencies' should include scholarly work with disciplinary academic associations; some faculties included such criteria under their ad hominem promotion criteria for academics under categories such as public or professional service and/or social responsiveness.
- General disagreement about whether to include SR as an additional category 'alongside' teaching and research, or to view it essentially as a cross-cutting category.

Secondly, I suggest that in the two years following the 2005 Report of the SRWG, the voice of students began to impact increasingly on issues pertaining to SR within the university. For example, student representation on the SRWG increased to allow for membership of key student bodies involved in volunteer SR activities.<sup>28</sup> Furthermore, issues of 'student service-learning' (SLL) emerged within some of the cases selected as Portraits of Practice and within UCT debates about SR across the campus.<sup>29</sup>

In 2007, commentary about the selected Portraits of Practice made reference to issues of student 'volunteerism' and 'student critical citizenship' (UCT 2007, 9, 85); while in the analysis section of the 2008 report, 'building the capacity of students to understand how different social contexts impact on the quality of life and work' and 'reflecting on the role of volunteerism in promoting critical citizenship' provided important components of the commentary (UCT 2008, 71-2). I would thus argue that while undertaking a vital and important task of providing a 'student voice' in relation to issues of university SR, indirectly this also began to impact on how SR was defined.

<sup>25</sup> 'Institutionalising Social Responsiveness at UCT' (in UCT 2009, 6). For some relevance from a 'social justice oriented' approach, see Chambers and Gopaul (2010) and also McMillan and Pollack (2009).

<sup>27</sup> A deeper assessment of factors shaping the 2008 process of SR policy formulation (and reformulation) would require further research.

<sup>28</sup> For example, the first formally constituted SRWG of 9 members, comprised entirely of academic representation from Faculties plus a staff member from CHED and IPD respectively (see UCT 2005, 3); student representation was instituted in 2007, and by 2009 student representation comprised 25% of the University Social Responsiveness Committee (see UCT 2009, 4).

<sup>29</sup> Even in the first 2005 Report of Portraits of Practice, a few of the 9 selected cases involved some form of SSL (see UCT 2005, 30 and 45); in 2008 about half of the selected cases significantly involved students in the activities described (UCT 2009, 17, 24, 29, 61, 66).

These two factors, by this argument, did therefore play a role in what finally emerged in the 2008 Senate-approved SR policy document. Under the section on 'Conceptual framework for social responsiveness', it offers a relatively 'vague' conception of SR as introduction:

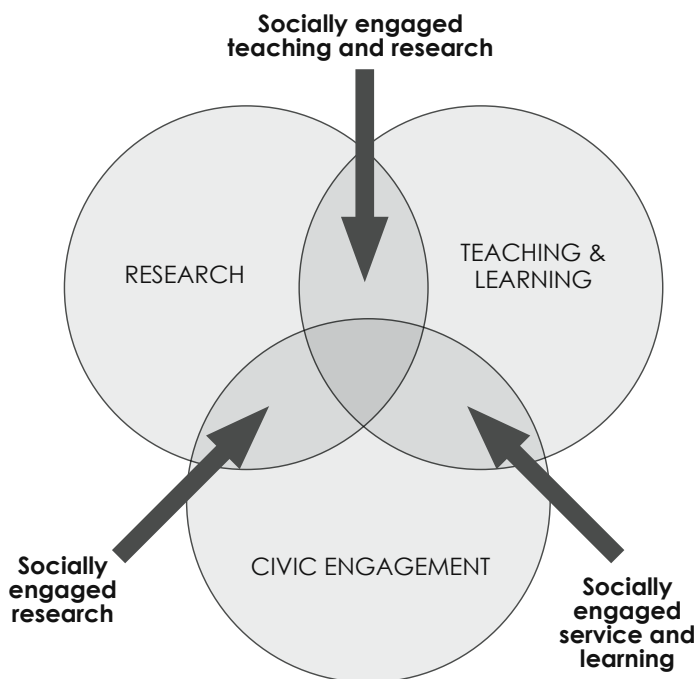
*...UCT should not seek to define the concept of Social Responsiveness in a narrow and exclusionary fashion, but should rather adopt broad parameters for its conceptualisation and its relations with research and teaching.*

Which is followed by:

*The Senate-approved definition of Social Responsiveness stipulates that it must have an intentional public purpose or benefit (which) demonstrates engagement with external (non-academic) constituencies. The diagram below captures the conceptual framework underpinning the policy proposal in this document (UCT 2008, 9).*

A discussion then follows in the ensuing paragraphs with reference to the following diagram:

### Diagram 1: Forms of social responsiveness



*This diagram is reproduced from the Social Responsiveness Policy Framework (UCT 2008:10)*

In my view, both the discussion with regard to issues around 2.2.1, 2.2.2 and 2.2.3 pertaining to the diagram illustrating core aspects of this Policy Framework (in UCT 2008, 9-10), and the diagram itself suffer from a number of important ambiguities and absences — particularly when compared to the MSU definitions and clarifications of Outreach Scholarship/ Engaged Scholarship outlined earlier. For example:

- The circle of 'Civic Engagement' has been influenced by the role of students in SR, and moreover a subheading in the discussion on 'Civic Engagement' says specifically that examples included both 'Student voluntary

community service' and 'Compulsory community service linked to DP requirements' (UCT 2008, 10).<sup>30</sup> Importantly, space is left (see bottom semi-circle of Civic Engagement in Diagram 1) for civic engagement of students without any specific link to any engaged learning curricula requirements, e.g. a student in the health sciences might volunteer services to help in the Cape Town township high school debating projects run by one of the student service organisations.

- While the discussion and diagram do clearly cater for a wide variety of forms of student 'social responsiveness' linked to their 'socially engaged service and learning' (i.e. with clear curricula linkages including research), both the diagram and the discussion are clear that Civic Engagement does also link to 'promoting active citizenship', as stated:

*The non-overlapping areas of the circles recognise the role of 'pure' curiosity driven research [i.e. the top left semi-circle of Research in Diagram 1], disciplinary-based teaching [i.e. the top right semi-circle of Teaching and Learning in Diagram 1], and social engagement (including community engagement) [i.e. the bottom semi-circle of Civic Engagement in Diagram 1] that takes place outside the formal curriculum but forms part of the university's commitment to promoting active citizenship amongst students, and staff (UCT 2008, 9; my emphases).*

This is undoubtedly an important recognition of non-curricular forms of student voluntary service or 'responsiveness' — which may build a valuable student culture of 'active citizenship'. Yet in my view the discussion following this quote is unclear about whether the 'and staff' implies that academic staff might thus undertake Civic Engagement activities (i.e. forms of SR) outside of their specific areas of scholarly expertise. This opens up the whole idea of 'general (civic) service' for academic staff, which MSU (in its 1993 Report) sought to exclude from the idea of OS/ES. For example, one interpretation of UCT Policy as outlined in the last quote here would thus include — for academic staff — the categories of Not-Engaged-Scholarship of Community Civic Service, as well as certain forms of Not-Engaged-Scholarship Consultancy (See Table 2).

- Admittedly there is some ambiguity (itself probably reflecting an overall lack of consensus about SR at the university) about whether academic and administrative staff are being referred to with respect to Not-Engaged-Scholarship Civic Engagement in Diagram 1 reproduced above (i.e. in the bottom semi-circle of Civic Engagement). For example, in the ensuing discussion about the Diagram (UCT 2008: 10), various examples are provided about academic staff with regard to their 'socially engaged research' and 'socially engaged teaching and learning' (see specific overlapping semi-circles in Diagram 1) — all of which implicitly embody components of academic scholarship. And in the discussion about 'activities of academic staff of a socially responsive nature' (UCT 2008: 9), the various (Boyer-defined) categories of knowledge production,

30. DP refers to Duly Performed certificates, linked to Student Service-Learning requirements.

knowledge dissemination, and integration and external application, as well as 'community based education initiatives' are listed; while for managerial/administrative staff of UCT it is noted that their SR activities 'relate to their area of professional expertise' (UCT 2008: 9).

Nonetheless, it is still left ambiguous to any reader of this policy document whether, in fact, Not-Engaged-Scholarship civic engagement (i.e. what the MSU 1993 Report categorises as Community or Civic Service, Row 5 of Table 2) is to be included for UCT academic staff under the post-2008 Policy Framework of SR – and hence, importantly, for their promotion and tenure criteria.

Moreover as noted earlier, the 2005 and 2006 definitions of UCT Social Responsiveness contained the phrases 'Scholarly-based activities' and 'shows evidence of externally applied scholarly activities' respectively; yet the term 'scholarship' (or its more sophisticated version of 'engaged scholarship') does not appear in the formal definition of 2008, and moreover is seldom highlighted in the 2008 Policy Framework for SR, even implicitly.

To conclude the discussion, I provide a perspective of two MSU authors who have recently sought to map out 'contemporary challenges' with a focus on Engaged Scholarship (Glass and Fitzgerald 2010); in their chapter a diagram is provided, reproduced as Diagram 2 below,<sup>31</sup> which in essence illustrates some of the significant conceptual components of the MSU material contained in Table 1. Their Diagram looks very similar to Diagram 1 above, but a close comparison of the two shows some differences in conception:

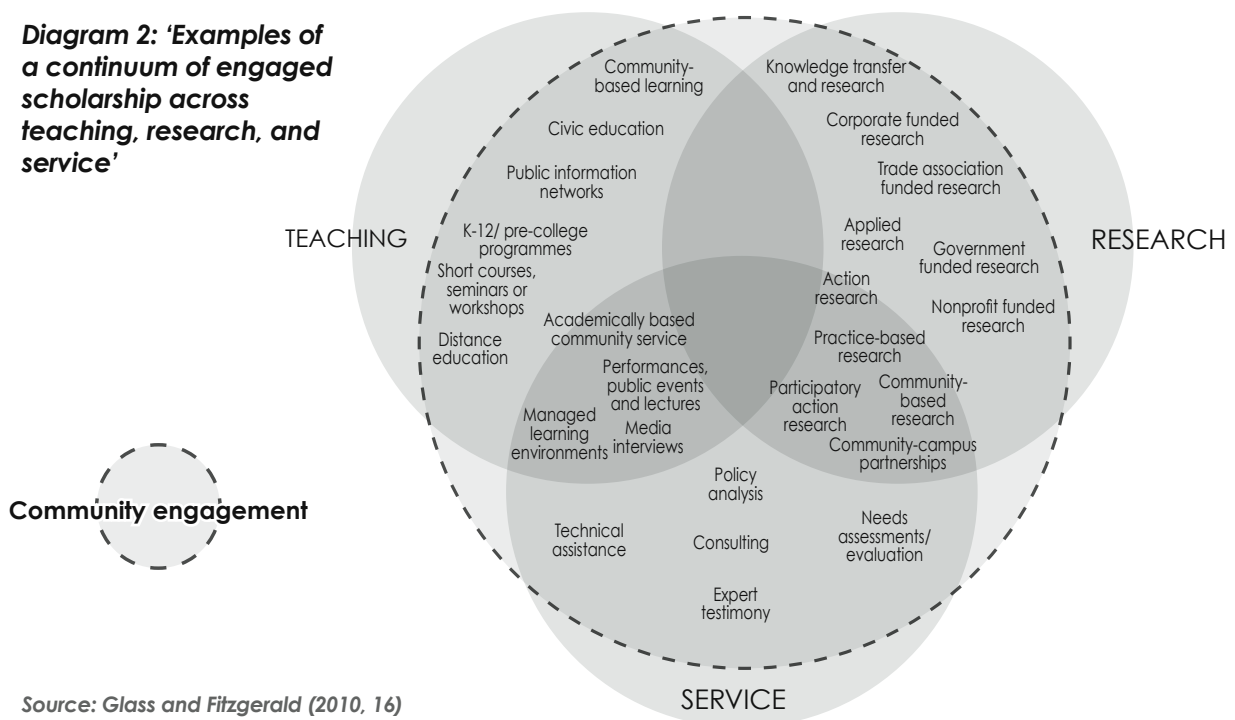
- i) Fundamental to Diagram 2 is the idea of Engaged Scholarship as a 'cross-cutting activity'. Hence 'Community Engagement' is not shown as a third circle (like 'Civic Engagement' in Diagram 1) – rather it is the

dotted circle which cross-cuts the other scholarship-defined circles of Teaching, Research and Service.

- ii) Hence all the activities listed in Diagram 2 under 'Service' (which I preferred, in my discussion of Table 1 above, to call 'knowledge-based innovation activities' rather than 'service work activities') - are actually Engaged Scholarship Service activities, e.g. Technical Assistance, Expert Testimony, Policy Analysis (see Diagram 2 for 'Service' activities which fall within Community Engagement, but do not overlap with either the Research circle or the Teaching circle).
- iii) For the Research circle there is some 'pure research' which is not part of the Community Engagement circle, while other components of Research are regarded as Engaged Scholarship Research activities, e.g. 'Applied Research', 'Government Funded Research', 'Corporate funded research'; and others are engaged but best viewed as a combination of Research and Service forms of scholarship, e.g. 'Action Research', 'Participatory Action Research'.
- iv) Similarly for Teaching, there are some components which embed scholarship but are Not-Engaged; others are best viewed as Engaged Scholarship Teaching activities, e.g. 'Short courses, seminars or workshops' (for external audiences), 'Public information networks'; and those in a third cluster are engaged but best viewed as a combination of Teaching and Service forms of scholarship, e.g. 'Academically based community service', 'Service learning', 'Performances, public events and lectures'.

While some details in this diagram may be open to debate, the central point is clear: there are no Not-Engaged-Scholarship activities listed inside the dotted circle of Community Engagement – essentially it represents 'Community Engaged Scholarship' (CES, noted earlier). This is in contrast to the Civic Engagement circle in Diagram 1, where the bottom semi-circle comprises CE but not CES.

**Diagram 2: 'Examples of a continuum of engaged scholarship across teaching, research, and service'**



Source: Glass and Fitzgerald (2010, 16)

31. I am indebted to Sonwabo Ngcelwane for pointing out to me the importance of this Diagram in the chapter by the two designated MSU authors, Glass and Fitzgerald (2010, 9-24).

## Implications for academic promotion and reward criteria at UCT

Some might argue that many of the issues raised in the previous section are nit-picking and that in essence the vast majority at UCT, including academic staff, 'know' what SR means. However, if there is ambiguity about the conception of SR, this will surely impact on whether and how UCT pursues its 'third mission' of societal socio-economic-cultural development? Moreover, if one wants to have academics put SR activities 'on their academic desks', one needs to reward them for such activities via P&T procedures and other merit awards (as the new UCT SR Policy Framework states clearly that it wishes to do). For progress to be made in terms of this, one needs very clear and tight definitions of what exactly is included (or not included) under the term Social Responsiveness – for academic staff.

I have no doubt that the above evolution and development of a broader conceptualisation of UCT Social Responsiveness to include student and even administrative staff activities is a valuable innovation. But it has come at the cost of creating some confusion (to some extent also prevailing in 2005-7, across the campus) about the exact meaning of SR with regard to academic staff activities. Here I believe that – for academic staff – the term 'Engaged Scholarship' should be used specifically and exclusively, and popularised across our campus (and other South African university campuses), instead of the dominant but ambiguous national term of 'Community Engagement' (CE, as noted earlier).

Moreover, I believe the UCT terminological ambiguities and disputes about SR have already – from 2005, as noted above – impacted on the actual practices of the faculties of UCT with regard to their promotion criteria.<sup>34</sup> For example, the latest (2009) Social Responsiveness Report, in its assessment of progress on the terrain of 'Institutionalising SR at UCT', notes many areas of progress (see UCT 2009, 6-9), but concedes that least progress has been made regarding the 'recognition of engaged scholarship in tenure and promotion decisions' (UCT 2009, 7). I would argue that while it is certainly not

the only factor, one important factor in weakening real progress in this area is precisely that in the minds of most academics at UCT, 'Social Responsiveness' is not clearly viewed as 'Engaged Scholarship'. For example, my own Faculty of Humanities 'Public and Professional Service' – the fourth criterion for promotion (in addition to Research, Teaching, and Leadership/Management) – in fact mixes together components of what the MSU 1993 Report terms Professional/Disciplinary Service (e.g. serving as editor for a disciplinary academic journal) with components of what the Faculty refers to as 'Social Responsiveness' (e.g. applied research on behalf of a community organisation). Thus, I could score 'full points' for this fourth criterion purely on professional service for my Sociological Association. Perusal of the current criteria for ad hominem promotions in almost all other faculties at UCT suggests a general confusion about the category of SR; there is no clear idea of 'engaged scholarly research' or 'engaged scholarship service/innovation work', or how these might be differentiated clearly from their first (and most important) category of Research – which is usually viewed primarily as Pure Basic Research (PBR according to Stokes 1997, cited earlier) i.e. without any Engagement.

So some confusion reigns – in my view – at UCT in relation to how we are to conceptualise Social Responsiveness for academic staff.

And I suggest that unless some of the ambiguities and absences in the existing Policy Framework are clarified – with the concept of Engaged Scholarship for academics (but not necessarily for students) taking centre-stage – we will continue to see this 'fourth category' for promotion and reward purposes being seriously undervalued and/or simply applied in an ambiguous or confused way. And flowing from this, the university 'third mission' of engagement in socio-economic-cultural development will similarly be undervalued, including, most importantly, the forms of social justice-oriented ES briefly cited above.

***This reflective piece was contributed by David Cooper, Sociology.***



***Dr Frank Eckardt (right) briefs students on data collection on the False Bay dunes.***

<sup>34</sup>. This requires a longer discussion to fully support such assertions – only one or two brief comments in conclusion are made here.

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# A FRAMEWORK FOR THINKING ABOUT THE EVALUATION OF SOCIAL RESPONSIVENESS INTERVENTIONS OR ACTIVITIES

The practice of evaluation in the social responsiveness (SR), community engagement and engaged scholarship domain is often ad hoc or post hoc or dovetails research-related practices implicit in the interventions themselves. With increasing attention on the importance of SR in university contexts it is opportune to start thinking about evaluating these kinds of initiatives more systematically.

The aim of this paper is to present a possible framework for evaluating social responsiveness interventions, and in so doing, start a conversation about how we approach thinking about and designing evaluations of this kind. The evaluation framework summarised in this piece was used to evaluate the University of Cape Town's Law, Race and Gender Unit's social context training for magistrates. This programme is an example of a longstanding, resource-intensive social responsiveness intervention by UCT academics, legal practitioners, judicial officers, community representatives, international donors and professional associations. The ten-year collaboration delivered training designed with the primary purpose of improving the administration and implementation of fair justice in South Africa post-1994 (Murray 1995). The training aimed to develop the required knowledge and skills necessary for just and fair decision-making in a transforming society. At the same time, it attempted to provide magistrates with a comprehensive understanding of the spirit of the South African Constitution adopted in 1996.

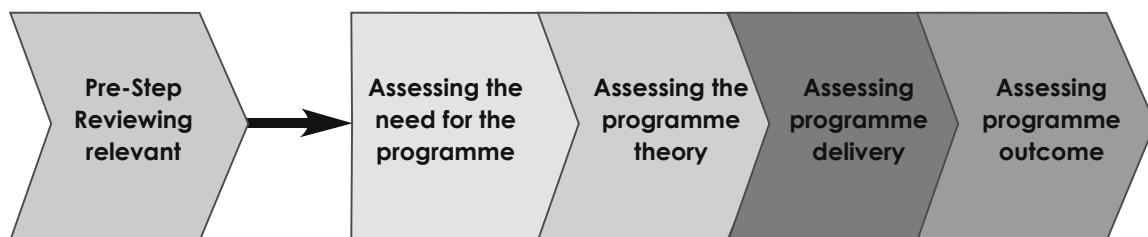
This chapter speaks to the **evaluation framework** rather than the evaluation process itself.

## Evaluation framework

The conceptual framework being proposed is the theory and practice of programme evaluation as articulated by Rossi, Lipsey and Freeman (2004). This particular framework was chosen as it is based on methods for social science research and involves answering evaluative questions across an evaluation hierarchy.

An adapted form of the evaluation hierarchy informs the structure of the framework and can be understood as a value chain of evaluation events as illustrated in Figure 1.

**Figure 1. Value chain of evaluation events.**



*Adapted from the evaluation hierarchy of Rossi et al (2004, 54-59).*

The value chain is premised on the following evaluation questions:

- What do we know about established best practice in this intervention domain?
- How was the need for the programme identified and does it present a legitimate social/economic/political/environmental/biological/medical need?
- Is the programme based on a sound programme impact theory?
- Is the programme implemented effectively?
- What outcomes has the programme produced? (Rossi et al 2004).

## Identifying the need

Central to the development of an effective programme or intervention is the accurate diagnosis of the condition the programme is designed to address (Bee and Bee 2005; Noe 2008; Rossi et al 2004; Soriano 1995; Truelove 2006; Witkin and Altschuld 1995). This diagnosis is a result of conducting a needs assessment, and attempts to identify what the need is and what kind of programme would best address it (Bartram and Gibson 1994; Gaber 2000; Posavac and Carey 2007; Rossi et al 2004). The more reliable the assessment of the social need, the greater the possibility of designing a successful intervention. Without clearly articulated outcomes, it is difficult to measure the degree of success attained through the programme.

Needs assessments should take place before programmes are designed, but they should also be conducted during the course of long-term programmes, to confirm whether the need that was originally identified remains relevant throughout the duration of the programme (Rossi et al 2004). Evaluators generally play no role in the process of needs identification and tend to begin working with the programme staff of already established programmes designed to address specific (and hopefully, well-identified) needs.

Need assessments are conducted in order to answer the following evaluation questions:

1. What is the problem and what is the extent of the problem?
2. Who/what is affected by the problem (who/what would be the target for a possible intervention)?



3. What kind of intervention would best address the problem (Rossi et al 2004)?

In attempting to understand and analyse how needs are identified it is important to recognise that needs rarely represent an objective reality (Guba and Lincoln 1989). The needs identification process is generally influenced by the particular interests and values of key stakeholders (Bode 1938; Guba and Lincoln 1989). The ways training needs are defined, identified or prioritised are socially constructed by particular stakeholders and hence represent their values and assumptions.

Needs analysis data provide critical baseline information that can be used by evaluators across multiple evaluation questions (Davidson 2005) and are one key category of indicators for measuring of outcomes.

A systematic needs assessment is critical when considering what the various SR partners will eventually take from the SR relationship and how to ensure that the relationship is a mutually beneficial one. When this is in place, the theory underpinning the programme becomes the focus of the evaluation.

### **Evaluating the theory underlying the programme/intervention**

Evaluation at the theory level of the evaluation hierarchy assesses whether the causal logic implicit in the programme is practically realistic and theoretically sound (Donaldson 2003). This level of evaluation analyses how well the programme theory is constructed in relation to established theory and empirical research. The programme theory is examined in order to assess the feasibility of the stated objectives of the intervention (Rossi et al 2004).

A theory evaluation addresses the following evaluation questions:

1. Are programme goals and objectives well defined?
2. Is there alignment between the programme theory and a documented social need?
3. How well does the programme theory compare with research and practice?
4. Is the programme logic feasible and plausible? (Rossi et al 2004).

There are a number of steps in a theory evaluation. Firstly, the evaluator has to extract a logic model of the programme (Donaldson 2003; Rossi et al 2004). A logic model is a 'graphic representation of a program showing the intended relationships between investments and results'. (Taylor-Powell and Henert 2008, 4). Secondly, once the model has been extracted the evaluator has to assess whether it represents the key stakeholders' understanding of the underlying causal processes implied in the programme. Thirdly, the evaluator is required to outline historical conflicts and problems in the process of conceptualising the programme which might be reflected in the final product (Rossi et al 2004)

Theory evaluations focus on understanding the design features of a given intervention. Once these have been

established, the evaluation turns to the implementation of the design.

### **Implementation evaluation**

An implementation evaluation investigates how effectively a programme is functioning and probes the quality of the service being delivered (Lipsey 2007; Owen and Rogers 2007; Rossi et al 2004; Schreier 1994). Implementation evaluations often take place as formative evaluations in order to generate helpful information for programme refinement and improvement (Bramley 2006; Chen 2005). In the case of social responsiveness initiatives, implementation evaluation results could also produce useful information for the design and delivery of future programmes.

Programme evaluation theory suggests that in order for a programme to result in successful outcomes, it needs a realistic and feasible rationale or theory and a workable and working programme plan (Chen 2005; Rossi et al 2004; Weiss 1998). The programme plan is the process element of the programme or the actual intervention.

Implementation evaluations are designed to assess programme fidelity (i.e. whether the programme was implemented as intended/according to its design).

Evaluations at the implementation level of the evaluation hierarchy attempt to address questions of delivery, organisational efficiency and service utilisation (Bliss and Emshoff 2002; Rossi et al 2004). Implementation evaluations generally focus on the programme as it is delivered, its activities, medium of instruction, resources and materials.

The first step in an implementation evaluation is developing an understanding of the programme's operating environment, which includes a description of the programme and its procedures (Bliss and Emshoff 2002). Part of this description is a service utilisation framework which is typically presented as a flow diagram. The service utilisation framework describes the intended services provided by the programme, and the planned programme and target interactions (Rossi et al. 2004).

Assessing service utilisation is a central component of an implementation assessment and is designed primarily to ascertain if the programme is being delivered to its target population (Rossi et al 2004). This aspect of the process evaluation is guided by a series of evaluation questions aimed at establishing a profile of the target population of the programme.

Alongside assessing service utilisation, the second key task of a process evaluation is to assess how well the programme is being delivered. This aspect of the evaluation attempts to answer questions about the standard of organisational efficiency and the delivery of the training intervention (Rossi et al 2004). It focuses on a variety of quality-related questions and in so doing, attempts to draw conclusions about the quality of the service being delivered.

This then leads to the final and most crucial event of the evaluation value chain that is focused on the outcomes of the programme.

## Assessing outcomes

Assessing the extent to which post-intervention changes have taken place is the fundamental task of evaluation (Rossi et al 2004). Outcome evaluations focus on establishing how the programme has changed the state of the participants. While the other levels of the programme evaluation hierarchy are important, it is in assessing programme outcomes that an evaluator judges the success or failure of a given programme (Rossi et al 2004). Outcome evaluations investigate whether the programme has achieved its intended goals (Chen 2005; Rose and Davidson 2003; Scriven 1991).

It cannot be assumed that all functioning programmes have clearly delineated and articulated programme outcomes that are readily accessible for evaluation purposes. Consequently, the first task for an evaluator embarking on this level of evaluation is to ascertain accurate programme outcomes. In order to do this the evaluator generally consults with programme staff and other key stakeholders, and studies programme documentation in order to extract, identify or clarify programme outcomes (Rossi et al 2004).

Rossi et al (2004) suggest that evaluators use the programme impact theory to help develop and classify outcomes. A programme impact theory communicates the intended effects of a given programme. It articulates the predicted causal relationship between the programme activities and desired or intended outcomes (Bickman 1987; Chen 1990; Martin and Kettner 1996).

The impact theory also differentiates between different kinds of outcomes, such as proximal outcomes, which are expected directly after the intervention, and subsequent, longer-term distal outcomes (Rossi et al 2004).

In addition to using the programme impact theory to identify outcomes, evaluators can analyse previous research and the evaluations of similar programmes to obtain helpful information about applicable outcomes that might not automatically be obvious when consulting programme staff or the programme impact theory (Rossi et al 2004).

Programmes may also produce unintended outcomes that were not predicted at the outset of the intervention. Those conducting outcome evaluations should be able to detect and report these unintended outcomes, which can contribute additional value to the evaluation process (Dorner 1996; Morell 2005; Rossi et al 2004; Tenner 1996).

Having defined intended programme outcomes, the evaluator then embarks on the complex process of measuring the extent to which these outcomes have been realised (Rossi et al 2004). There are multiple approaches, methods and techniques for measuring or

assessing programme outcomes. The evaluator is tasked with selecting the most appropriate technique based on the context and content of a given programme.

## Conclusion

Incorporating an evaluation lens when engaging in social responsiveness initiatives fits with the definition that characterises SR within the UCT context: 'intentional public purpose or benefit (which) demonstrates engagement with external (non-academic) constituencies' (UCT 2006, 2). Evaluation is used to assess if the intended purpose has been served or the desired benefit achieved. The framework presented here provides us with a tool for analysing the effectiveness or efficiencies of various components of an SR intervention, and helps us generate data about whether or not concrete outputs or deliverables have been achieved for the stakeholders involved. It also helps assess the quality of these outputs.

Alkin and Christie (2004) suggest that the discipline of programme evaluation is rooted in the areas of accountability and systematic social inquiry. Accountability refers to the role evaluation can play in promoting the responsible and ethical allocation of resources. Similarly, it refers to the role evaluation can play in improving the effectiveness and efficiency of programmes. 'The need and desire for accountability presents a need for evaluation.' (Alkin and Christie 2004, 12). With the disparate nature of SR interventions across university contexts it is difficult to propose an evaluation method that is appropriate in all cases. The Rossi et al (2004) framework was chosen for this reflection as it offers a systematic framework for approaching complex programmes. Their evaluation framework helps evaluators address evaluation questions across the evaluation hierarchy with the aim of producing a comprehensive, multi-layered and nuanced assessment of the various aspects of the programme. The framework outlines the foci of evaluation enquiry, but the actual methods for conducting the evaluation, collecting and analysing the data and reporting the findings are dependent on the unique characteristics of the programme or intervention itself.

## **This reflective piece was contributed by Suki Goodman, Organisational Psychology**

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# SOCIAL ENTREPRENEURSHIP: A PASSING FAD OR A NEW WAY OF DOING BUSINESS IN CHARITIES?

Transforming non-profit organisations from total financial dependence to greater independence: A South African experience.

## Introduction

Social entrepreneurship has generated much interest globally in the last twenty years. The current interest in social entrepreneurship was triggered when the Ashoka Foundation began to identify and support individuals who were carrying out work that did not fit into the strict definition of enterprise or that of traditional charity (Bornstein 2007; Dees 2007; Magner 2007).

These individuals were unique in that they were trying to find solutions to social issues that neither the state nor the private or social sectors could adequately address (Zahra, Gedajlovic, Neubaum and Shulman 2009). While there is still no consensus on what exactly social entrepreneurship means, and no agreement on a definition (Magner 2007; Zahra et al 2009), this paper will touch on how social entrepreneurship can be practised in the for-profit sector; more importantly, though, it will concentrate on the strategies available to nudge the traditional charity from a point of total financial dependence to greater independence. In practice, social entrepreneurs are driven by a passion to solve social problems while also weaning their organisations away from dependence on donor funding as much as possible. Steinman describes the importance of financial sustainability as follows:

*Financial sustainability would imply financial or business practices that would ensure the continued viability of a product, practice or service well into the future. Therefore, financial sustainability includes an understanding that the social enterprise is a self-sufficient, income-generating entity, able to cover its operational costs and with the likelihood of generating a surplus (Steinman 2009, 30).*

This paper takes the view that the strategies currently employed by non-profit organisations to move towards greater financial independence are a very important aspect of social entrepreneurship, driven by social concern that challenges the fundamentals of traditional charitable and entrepreneurial practice.

The paper is based on a case study which has transformed the size and shape of a (previously) rather small entrepreneurial exercise. It adopts an inductive rather than a deductive approach and discusses clusters of experience in the light of available theory. The adopted strategies were not originally informed by theory; they were mere attempts at innovative and creative strategies, driven by a passion to solve some of the issues facing the young South African democracy. Nonetheless, in retrospect the adopted strategies appear to fit the theoretical frameworks developed by other social entrepreneurs and writers on the subject, thus validating the strength of the theories of social entrepreneurship.

The paper emanates from personal experiences I have had since, in 2004, taking over as CEO of a non-profit organisation called SHAWCO (Students' Health and Welfare Centres Organisation) based at the University of Cape Town, South Africa.

## From traditional entrepreneurship to social entrepreneurship

In the private sector, where enterprises have traditionally been driven by profit maximisation, there is now strong pressure and incentives to be socially responsible as well. This pressure emanates from civil society and government demanding that corporates place more emphasis on the environmental and social impact of their activities, while the incentive lies in the goodwill and the increase in revenue created when the consumer chooses to purchase goods from a 'responsible' organisation. In recent years the threat of long-term effects of global warming and other disasters emanating from irresponsible use of the earth's resources has placed the moral imperative on the modern manager to adopt a more responsible approach. The growing gap between extreme wealth and extreme poverty that is showing signs of destabilising society through increased crime and corruption is another cause for concern. These issues take on a sense of urgency given that the population of the world is expected to grow from 6.2 billion to about 9.2 billion by 2050 (Sachs 2008). More thoughtful use will have to be made of raw material and resources in order to keep satisfying the growing needs of humankind.

As a result there is a slow movement in society towards a more responsible way of doing business, that takes into consideration the social and environmental impact of entrepreneurial activity. As awareness of the dangers of reckless maximisation of wealth spreads more widely, there is a growing tendency for the consumer to choose goods and services that are manufactured by companies practising responsible production and distribution strategies.

## Doing good is good business

The maxim that doing good is not only good but also profitable holds true and makes business sense as consumers begin to punish destructive behaviour through withholding purchases. Therefore, for-profit companies are claiming to be social enterprises by showcasing socially and environmentally responsible activities such as contributing towards social services and investing in non-profits. There is also a realisation that goods and services have been produced to cater mainly for the top echelons of the economic pyramid, and that there is a need to supply goods and services that can ease the lives of the vast majority of people living at the bottom of the pyramid. For example,

people who do not have regular employment may have erratic income and would want to purchase in smaller quantities, as and when they have money. Until recently, the market produced goods essentially to serve the rich, but it has now realised that there is a huge market at the bottom of the economic pyramid (Prahallad 2006). Micro-credit, internet cafes in poor areas, sale of second-hand clothes, and packaging goods in smaller quantities are some of the strategies already being implemented.

Questions are being raised as to whether this is due to a real change in motivation or the identification of new market opportunities. Whatever the reason for change, there is space for social entrepreneurs in the for-profit sector. These entrepreneurs will find solutions to social problems driven by profit.

### **Traditional charities to social enterprises**

Yunus (2010) states that humans, being multi-dimensional, are not only interested in amassing wealth, but also show a strong propensity to engage in altruistic activities. It can be argued that this trait of character is the result of evolutionary endowments that ensure the survival of the species. The tendency to share wealth with one's family, to contribute towards the common good of a community, and the large amount of resources civil society channels into development purposes is proof of this. Piliavin and Charng clearly explain current thinking in a review of theory and research on altruism:

*The authors take the position that in all of these areas, there appears to be a paradigm shift away from the earlier position that behaviour that appears to be altruistic must, under closer scrutiny, be revealed as reflecting egoistic motives. Rather, theory and data now being advanced are more compatible with the view that true altruism – acting with the goal of benefiting another – does exist and is a part of human nature (Piliavin and Charng 1990, 1).*

Traditionally, charities – especially religious organisations and small community organisations – have been the conduits and implementers of activities, to the benefit of those who could not reach self-sufficiency due to physical, mental, religious or other constraints. However, society soon realised the need for structures to increase the efficiency of such services and thus serve more people; thus, vehicles were created through which to channel altruistic energy more efficiently. Non-Profit Organisations, Trusts and Section 21 companies are some of the legal structures available in South Africa. As government, the private sector and individuals donated to these organisations, many of them thrived, bringing greater efficiency in the provision of services. Many of these organisations have become innovative in their practices, thus becoming more efficient in delivering better quality services.

Innovation is good as long as there are resources to meet expenses. As the needs of the world grow, non-profit organisations are finding it difficult to survive in a climate in which funding or subsidies from government are drying up due to large budget deficits. Secondly, corporate philanthropy is questioning the rationale of

providing money to organisations struggling to define their goals and clearly set and monitor outcomes. The change in vocabulary when for-profits deal with non-profits is notable in this context. Phrases such as 'return on capital invested', 'determine the number of children you will send to university', 'tabulate data showing the increase in health of a particular community through your intervention' are commonly heard when charities negotiate with corporates about funding.

There is definitely a need for managers in non-profit organisations to evaluate their ability to operate in this new setting, where growing numbers of non-profits are moving from being mere recipients of philanthropy to hybrids using a mix of strategies, ranging from receiving donations to owning for-profit operations.

Social entrepreneurship in charities arose precisely because there was a threat to their very existence due to their dependence on philanthropy. Social entrepreneurs in this sector decided that they did not want to go around with a begging bowl any more, and would generate their own income through entrepreneurial activities. Thus, the social entrepreneur has often been described as a combination of the heart of Mother Theresa and the mind of Richard Branson. Boschee explains the current trend clearly:

*After hovering around the edges of the non-profit sector for years, social entrepreneurship has moved into the mainstream. Venture philanthropists, traditional grant makers, boards of directors, non-profit entrepreneurs, consultants and academics are all rushing to the table – many without the tools they need Boschee (2001, 1).*

### **Business, social business and social enterprise**

There are entrepreneurs, like Mohammed Yunus (of Grameen Bank fame), who propagate social businesses that not only have a social aim but operate just like a business, where the capital has to be paid back to the funder (Yunus 2010). The difference between a traditional business and a social business is that in the latter, no dividend is paid out to shareholders, although the capital ought to be paid back – with interest, if necessary. And the difference between a social enterprise and a social business is that social businesses use only capital investments, while social enterprises use an array of tools, strategies and vehicles to enhance their ability to reach their goals for solving social issues. The similarity between the two is that neither pays a dividend.

I take the liberal view, and developed a practice which I call 'Multiple Income Generating Strategies (MIGS) for Non-Profits' (See Diagram 1). This strategy is similar to what Dees (2007) propagates as social enterprises.

MIGS include the following categories of income:

- Mission-related income:
  - o Generating income from some beneficiaries who are able and willing to pay for services;
  - o Packaging the services as products paid for by funders on behalf of other beneficiaries;
- Individual and corporate support;

- Non mission-related income ('cash cows');
- Non-profits operating for-profits;
- Cross-subsidisation of non-income-generating activities from surplus generated from strategies outlined above.

Dees explains the need for this kind of strategy:

*Leading social entrepreneurs today are most aptly described as pragmatists. They are focused on achieving sustainable results and will use whatever tools are most likely to work. They embrace innovation, value effective management, and are open to a wide range of operational and business models. They are willing to adapt ideas and tools from business when these would help. They are willing to use for-profit forms of organization or hybrid structures that include for-profit and nonprofit elements. When it is possible, social entrepreneurs will happily craft market-based solutions that rely only on self-interest, allowing scarce philanthropic or government resources to flow to areas that genuinely need subsidy. If they can find an overlooked market opportunity that also improves social conditions, they will gladly pursue it (Dees 2007, 28).*

## **SHAWCO – a case study of how it can be done**

The Students Health and Welfare Centres Organisation is the largest student-supported NGO (Section 21 company) in the Southern Hemisphere, with 2000 signed-up volunteers. In existence since 1943, it used to be totally dependent on donor funding; until 2003, when it faced a financial crisis. Having been appointed as CEO at this juncture, I had to convince the organisation to support decisions that would look at alternative funding sources; and thus began an interesting journey for me. First of all, the culture of the organisation had to be changed to one in which entrepreneurship was encouraged and rewarded, and second, we needed to identify and initiate activities that could generate income with minimal financial risk to the organisation. In short, the thinking changed from that of a traditional charity to the dynamism of combining a quality mission with financial sustainability.

The following sections discuss the different income streams for MIGS and illustrate each with examples from SHAWCO.

### **Mission-related income**

It is essential that the non-profit becomes professional and specialised. Everyone in the organisation should be able to identify with the mission and work towards providing quality services that can even compete with the private sector. In the past the services provided by charities and non-profits would in most cases be substandard, as they did not need to stand the test of the market. In most cases the beneficiaries of those services had no access to alternate service providers, and received the services provided without complaint.

If, however, the non-profit wants to generate income from its services, it has to provide quality services. This view will inform the choice of personnel, logistics, sup-

port structures and finance. In a charity or a non-profit this exercise is not easy to undertake, as most of these organisations are staffed by short-term volunteers who give their time as and when available. However, there is a way in which this handicap can be overcome, provided the Board, the CEO, staff and volunteers agree that the overriding concern is providing a service to the beneficiary and that, in order to achieve this outcome, a mix of volunteers and professionals be employed. In a large non-profit offering multiple services, some of these may be provided by volunteers and others by professionals; this is the case in SHAWCO's *Junior Education* and *Saturday School* projects respectively.

### **SHAWCO Education**

SHAWCO, as stated earlier, is staffed by a large number of student volunteers, who give up their valuable time to participate in many education projects. As of 2011, about eight hundred learners benefit from the services provided by SHAWCO's more than six hundred student volunteers. SHAWCO's Education sector aims to provide a combination of life skills and academic support for school-going children from the age of about ten to eighteen.

A shortfall identified by this program was the need for professional teaching support in subjects such as Mathematics, Science, Biology and English for beneficiaries in the final years of schooling.

In 2007, through generous funding from a corporate and the enthusiasm of a few volunteers, a new programme called SHAWCO Saturday School was initiated. The funding was pledged for six years.

Two hundred learners in the final year of school, who showed potential but could not afford private tuition, were chosen from schools in the traditionally poor areas of Cape Town. Teachers with a proven track record of producing excellent results were selected to teach. One of the aims agreed upon was that the quality of the service provided would be of the highest standard, and the effectiveness of the programme would be judged by the number of learners that passed the matric exam with high marks.

### **Generating income when some beneficiaries are able and willing to pay for services**

Two years after the inception of the SHAWCO Saturday School programme, word about it had spread through the community. Parents from affluent schools and middle-class families approached SHAWCO with the request that their children be admitted into the program, pledging to pay a fee for the services. By 2011 there were 160 paying learners and 200 learners whose fees were subsidised through donations. Of course, the fees paid generated a surplus which is maintained in a reserve fund to subsidise the program for the non-paying learners. It has been calculated that 400 paying learners will fully subsidise the 200 subsidised learners, thus ensuring the financial sustainability of the project over the long term.

### • **SHAWCO International**

Having had 68 years of experience in managing student volunteerism in community development projects, the natural progression for SHAWCO was to open up such opportunities to other students. In 2005 I presented the SHAWCO experience as a possible destination for students from universities in Europe and the USA. As short-term, credit-bearing experiences are encouraged by universities in these regions, there was interest in this opportunity to learn about development (and African development) in general, and social entrepreneurship in particular. This led to the creation of a curriculum and service opportunities that benefit local communities, within a new SHAWCO International unit with its own staff. The programme has been costed appropriately. By 2009, 24 partnering universities were sending 120 students, thus generating a net surplus of over R2 million. This endeavour benefits the visiting students and the local community, as well as SHAWCO.

The social entrepreneur must aspire to provide services that are of high quality and are competitive in price, so that the section of the market that can afford to will voluntarily agree to pay for the services. The surplus thus generated can be used to cross-subsidise people who are not in a position to pay.

### **Packaging services for philanthropic funding**

This is a strategy employed when the beneficiaries are too poor to pay for services which are provided by the private sector for those better-off; this leaves no opportunities for cross-subsidisation strategies to generate mission-related income. An example is the medical service provided by SHAWCO Health through the volunteering efforts of about 600 medical students. Three large trucks, converted into mobile clinics with dispensaries, leave the UCT Medical Campus at 6pm three times a week.

The cost of running this program is about R1.5 million per annum, and the 6 000 beneficiaries are mostly unemployed and cannot afford to pay for the service.

In 2009 an agreement was reached with the local casino's Social Responsibility Unit, whereby a commitment was made that financial resources would be made available to SHAWCO to cover the cost of this service. Unlike in past experiences with other donors, the negotiations were conducted with mutual respect.

This is a change from previous practices, where non-profits would be seen as junior partners or mere recipients of financial assistance by corporates.

In this instance SHAWCO was filling a gap in government service provision, and the quality of the service was of such high quality that the private sector was willing to pay for a service that would benefit a certain section of society. Non-profit social entrepreneurs view this kind of cash injection as a payment received for services rendered, unlike in the past, when it was seen as a donation or a handout.

### **Individual and corporate support**

In South Africa, as in many other countries, incentives are provided by government for individuals and the private sector to contribute to non-profit organisations. In fact, in South Africa there is strong motivation for such contributions, as they fulfil one of the criteria for being awarded government tenders and contracts.

Corporates view funding as an investment that will provide returns on capital invested. In the past, money was handed out as charitable giving. That has changed in the current context, which is characterised by a combination of goodwill and marketing opportunities for the company, and on the non-profit's side by efficiency, a proven track record, trustworthiness, and the ability to monitor and evaluate the project. In the past, when submitting budgets for a program, non-profits submitted line-item budgets that showed the costs of each item of expenditure. One of the strategies used in SHAWCO is to calculate the cost per unit of service, clearly stating the quality of the service to be provided and easy means to evaluate whether goals are being met. For example, the Education Sector would state the number of learners involved in the program, the expected increase in marks due to the intervention, and the number that would be admitted for higher studies as well as the cost per learner. As this cost would be lower than market costs and the quality the same or better, corporates tend to approve of this practise.

This would ensure that there are surpluses generated that could be used to cross-subsidise administrative costs or other projects. I call this the practice of receiving payment in advance from investors for the benefit of others.

Non-profits must set up strategies to attract funding from individual donors, making it easy for them, e.g. by providing convenient methods for donating, such as online payments. Non-profits have to keep this in mind and constantly check market trends; they have to adapt their projects to the needs of the community while providing services in the most cost-effective and efficient manner to attract funding from corporate sources.

### **Non-mission-related income ('cash cows')**

This funding stream refers to non-profits engaging in income-generating activities that are not directly connected to their mission. Investing in a business in which the non-profit has no expertise should be done with caution, as the risk of failure is high. In South Africa this would mean registering a for-profit entity as a Close Corporation, Private Limited Company, Public Company or Corporation.

### • **SHAWCO Transport**

SHAWCO owns a fleet of vehicles that are needed to transport student volunteers to the various townships, and to transport learners to the University and various locations for classes and other activities such as sports and arts programs.

These vehicles used to be parked for periods during university holidays and over weekends, as well as during the hours when the projects were not being implemented. Here was a classic example of millions of Rands worth of assets being handed over to a non-profit that was not putting them to maximum use. After identifying these vehicles as a possible income generator, the for-profit SHAWCO Transport Company was registered, the vehicles were sold to the new company, necessary licences were procured from the Transport Department and services were marketed to churches, schools and the university; this generated business of approximately R300 000 in the first year of operation. Assets that had been lying fallow are now generating income to support SHAWCO's mission.

Non-mission-related income also includes income generated from new activities that are not directly related to the core activities but have a dual purpose: meeting a social need and, at the same time, generating income. This is a grey area in terms of the legal framework, as the tax laws are not clear regarding whether this is to be considered as trading. I would consider it to be mission-related income if the goods being sold are all donated. However, it is recommended that advice be sought from tax experts before embarking on any kind of trading activity.

#### • SHAWCO Rags to Riches

The Rags to Riches project makes affordable clothing available to people in townships. It operates by providing work opportunities to unemployed women through collecting and selling second-hand clothing to them at a very reasonable cost, which they then re-sell at market prices. This provides income for the previously unemployed vendors and generates revenue for the non-profit. If 25 000 people on campus each donated four items of clothing per year, that would add up to 100 000 items of clothing. Sold to the vendors at R10 per item, this would generate an income of R1 000 000 for SHAWCO. A very simple idea has been turned into an entrepreneurial activity that benefits all concerned.

## Change in SHAWCO volunteer experience

The shift from social development to social entrepreneurship has brought about a change in mindset and approach to development among the student volunteers. SHAWCO student volunteers had always approached development from the paradigm of welfare, charity and development. With the change to social entrepreneurship, every activity is looked upon with fresh perspectives, leading to questions being asked:

- What is the aim of the project?
- Is the right volunteer or personnel in position to provide the right service?
- Can anyone else provide the same service at a cheaper cost?
- What is the feedback from the beneficiaries of our projects?
- How can the project be sustained over the long term?
- What is the criterion to be used when initiating new projects?

Interestingly, three questions are now being asked before new projects are initiated: Does it benefit the community, does it take away anything from existing projects and does it come with its own finances and personnel?

Continuously asking these questions has led to students grappling with the real life issues NGOs face. In the past, SHAWCO sent out caring graduates who knew how to be volunteers in a large organisation. Today, we are sending them out as pragmatic managers who think of the non-profit as an entrepreneurial activity that has to provide the best service in the most cost-effective manner.

As each of the projects and the organisation as a whole becomes streamlined and efficient, resources are being freed up to be used for reviews and evaluations; these in turn inform decisions that improve services constantly.

In short, being entrepreneurial implies a new mindset that not only encourages altruism but also balances it with re-

| Item                                  | 2004                | 2007                | 2008                | 2009                |
|---------------------------------------|---------------------|---------------------|---------------------|---------------------|
| SHAWCO International                  | (0%)                | R1 600 000<br>(27%) | R1 606 811<br>(23%) | R2 583 164<br>(31%) |
| RAG                                   | R1 000 000<br>(25%) | R1 000 000<br>(16%) | R1 000 000<br>(14%) | R1 000 000<br>(13%) |
| Rags to Riches                        | 0%                  | R20 000<br>(0.33%)  | R3 813<br>(0.05%)   | R156 922<br>(2%)    |
| Transport                             | 0%                  | R300 000<br>(5%)    | R121 464<br>(1.71%) | R102 150<br>(1%)    |
| Corporate Social Responsibility (CSR) | R3 000 000<br>(75%) | R3 080 000<br>(51%) | R4 362 362<br>(61%) | R3 360 210<br>(46%) |
| <b>TOTAL</b>                          | <b>R4 000 000</b>   | <b>R6 000 000</b>   | <b>R7 094 450</b>   | <b>R7 202 446</b>   |

**Table 1:** SHAWCO income from various sources. Note: Dependence on CSR funding dropped to below 50% in 2009.



ality. All this has led to more projects being implemented, more students signing up for them and more people benefiting from them.

### A note on legal issues

A word of caution to non-profit managers aspiring to nudge their organisations to greater financial sustainability using the above strategies, is to keep in mind the legal and tax implications of their activities. Unlike in the USA and the UK, South Africa does not yet provide a legal vehicle that can operate as a social enterprise. South African social entrepreneurs only have section 21 companies and trusts or the for-profit as vehicles to implement their projects. Therefore, non-profits cannot access equity funding, nor can they carry out trading activities. For-profits, on the other hand, cannot receive donations, nor do they qualify for tax deductions even when they can prove that all surpluses generated from trading are used for social benefits and no dividends are paid out.

*In the medium and long term, South Africa will need to consider legislation dedicated towards encouraging social enterprises, similar to the Community Interest Companies (CICs) of the UK and the low profit, limited liability corporations (L3Cs) of the USA (Steinman 2009, 98).*

In the meantime, non-profit social entrepreneurs will have to make use of the existing vehicles, pay taxes when owning 'cash cows', prove that mission-related income is cost recovery to be used for re-investment only, and be

extremely transparent, informing people of their intentions, accounting control systems and financial activities, even if not called upon to do so. Social entrepreneurs' main assets are trust and the moral high ground. Most importantly, if the end goal is to ameliorate a social issue, and there is no intention of generating income for an individual or to pay out a dividend, most authorities will be generous in their approach.

### Conclusion

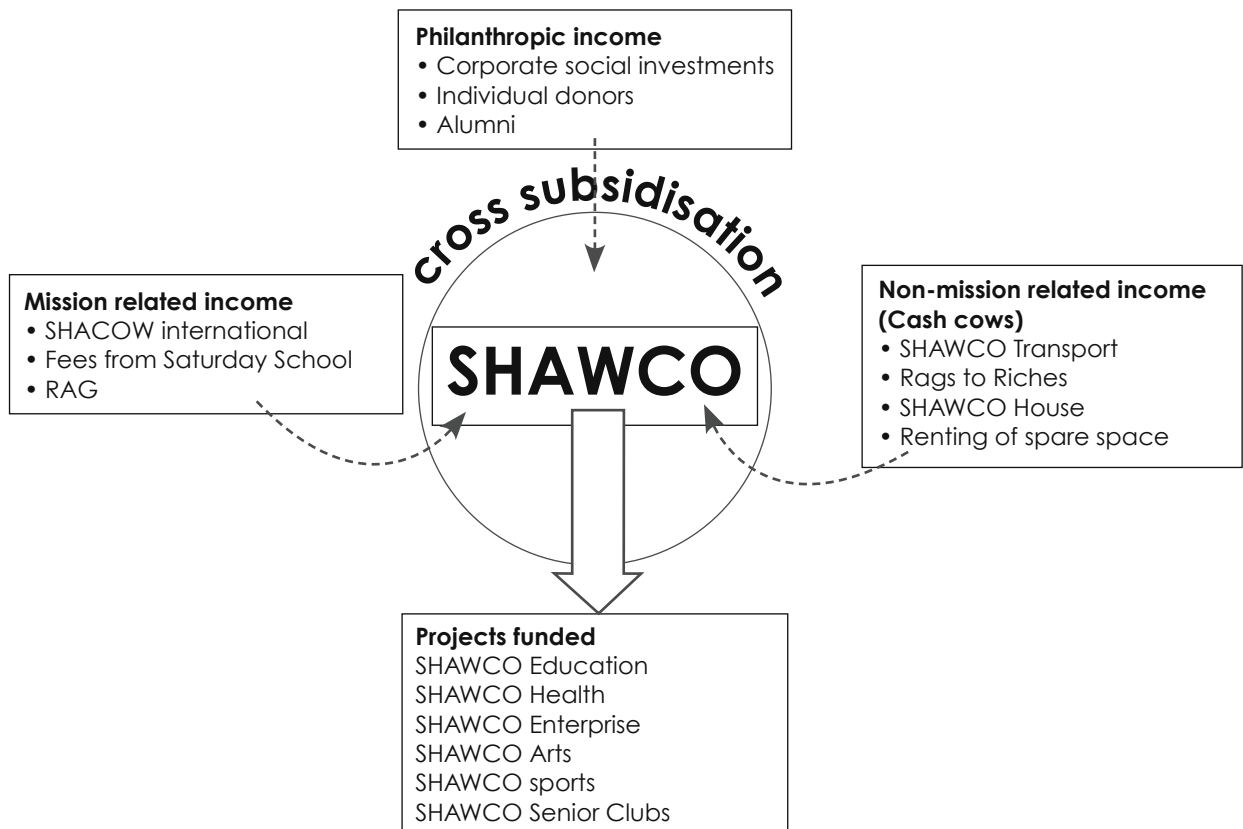
Almost every non-profit has, lying dormant within it, some assets that are not being put to maximum use, which could generate an income either as a 'cash cow' or as mission-related income. The non-profit managers with an entrepreneurial approach need only cast their eyes about and they will identify assets lying fallow.

There is clearly a need to encourage non-profit managers to be more entrepreneurial in their thinking and practice. As the current conversations regarding the definitions, theory, appropriate strategies and legal vehicles continue, the entrepreneurs in the social sector continue working for a better world, constantly balancing the social and entrepreneurial return on capital invested. It is definitely not a passing fad; in fact, it is the way charities ought to do business.

***This reflective piece was contributed by Var-key George, SHAWCO.***

## Multiple-income generating strategies

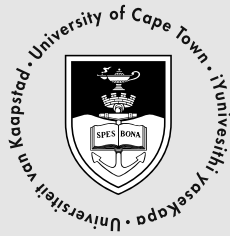
Diagram showing how MIGS can be practically implemented.



**Diagram 1:** The SHAWCO MIGS Model.

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Produced by the Social Responsiveness Unit  
of the Institutional Planning Department,  
University of Cape Town