

**UNIVERSITY OF CAPE TOWN
SOCIAL RESPONSIVENESS REPORT
FOR 2005**



Portraits of Practice
Social Responsiveness in
Teaching and Research

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Preface

Social responsiveness – the ways in which we direct the creation and dissemination of knowledge towards the identified needs of our communities – is at the core of the University of Cape Town’s mission. Focused engagement enhances excellence in both teaching and research. Learning is enhanced by a thorough understanding of its context and through a reflective engagement with key issues. Research at all levels of intensity contributes to advancing all aspects of the quality of life, and complex contemporary problems can often only be solved by advanced research. There is no inherent conflict between the traditional university values of scholarship and excellence in teaching and the publication of research outputs in peer-reviewed journals and monographs.

South Africa is one of the five most unequal countries in the world. However unemployment and underemployment are measured, the levels of both are very high. A significant proportion of South Africa’s population lives close to, or below, the international poverty benchmark of one US dollar per day. We face significant challenges in the key areas of public health, housing and education. All aspects of South African society are still affected by decades of formal discrimination by race. Gender inequality and sexual violence are prevalent. Given that the University of Cape Town is a public institution, receiving considerable funding from the public purse, it is appropriate that we should report regularly and in appropriate ways to our social partners in the shared enterprise of seeking a better life for all – to government, civil society organisations, individuals and to our own community. This report contributes to our public accountability, both reflecting on what we have achieved, and identifying through reflection and analysis what we need to do to improve.

Some argue that recognising public accountability, or identifying with national and regional social and economic priorities, or directing attention to applied or strategic research and teaching, is somehow a surrender of the sacred principles of academic freedom and institutional autonomy. This is a fallacious line of reasoning. All the case studies in this report are testimony to the importance and value of inquiry that is unconstrained by preconditions and inherent limitations. For the most part, those who have initiated and led these initiatives have taken full advantage of the university as a set of opportunities and resources, offering latitude and support as research and teaching initiatives unfold with their own logic and purpose. As with the quest for excellence, there is no inherent contradiction between the socially engaged university and autonomy in teaching and research.

Martin Hall

Deputy Vice-Chancellor
January 2006

Section One

Introduction

What follows is the UCT Social Responsiveness Report for 2005. The particular form of UCT's Social Responsiveness Report for 2005 flows from the deliberations of the Social Responsiveness Working Group (SRWG)¹ constituted by the Executive in June 2005. The report is structured as follows:

- **Section One** outlines the aims and objectives of the social responsiveness project and describes how these shaped the compilation of the report. Linked to this is a rationale for the methodology for the data collection and a discussion of the selection of cases, the data collection methods, the approach to the interviews, the different ways in which the cases were written up, and the process of presenting the initial cases. Finally, it touches on some important issues that shaped the discussions in the Social Responsiveness Working Group.
- **Section Two** contains the nine qualitative cases – the 'portraits of practice' – that were used as the basis for the report. Together they provide a rich overview of social responsiveness practice in a variety of faculties, departments and research groupings, and illustrate an interesting range of activities.
- **Section Three** provides an analysis of the cases. Drawing from the varied examples of social responsiveness presented in the second section, the analysis looks at the themes emerging across the different examples cited. It goes on to analyse staff evaluation forms from one faculty in the social responsiveness category, and concludes by discussing some issues that emerge from this review and have policy implications for UCT.

1 Background and process

In 2004, UCT conducted its first annual review of social responsiveness, for the 2003 academic year. While the 2003/2004 report was useful, only about 30 per cent of staff replied to the review questionnaire. Based on comments on the review process and the report, the Executive decided to link the social responsiveness report with the staff evaluation process.² In addition, it identified the need for clearer institutional guidelines for collecting information on social responsiveness to ensure consistency across campus. There was an additional view that definitions of social responsiveness ought to be tightened up. In March 2005, a working definition of social responsiveness was presented to the Executive. The plan was to send it to all heads of departments with a questionnaire as a means of collecting social responsiveness data from each department or unit.

¹ **Members, Social Responsiveness Working Group:** A/Prof David Cooper (Humanities), Ms Judith Favish (Institutional Planning Department), Prof Frank Horwitz (Graduate School of Business), Prof Marion Jacobs (Health Sciences), Ms Janice McMillan (Centre for Higher Education Development), Prof Sue Parnell (Science), Prof John Simpson (Commerce), Ms Elrena Van der Spuy (Law), Prof J Volminck (Health Sciences).

² In UCT the performance of all academic staff is regularly reviewed as part of an annual 'Rate for Job' (RFJ) exercise, which requires the verification of competence in four categories: teaching, research, social responsiveness, and administration and leadership against minimum criteria required in order to qualify for RFJ. The criteria contain examples of requirements to qualify above RFJ.

The working definition of social responsiveness reads as follows:

“Scholarly based activities (including use-inspired basic research) (Stokes 1997) that have projected and defined outcomes that match or contribute to development objectives or policies defined by a legitimate civil society organisation, local, regional or national government, international agency or industry.”

In June 2005, a proposal for setting up a Social Responsiveness Working Group was approved by the Executive. It was tasked with developing three tools:

- a questionnaire for all staff to complete as part of the ‘Rate for Job’ exercise;
- examples of scholarly forms of social responsiveness; and
- a rating system to evaluate the activities and their impact on informing ‘Rate for Job’ decisions.

The objectives of the 2005 report, and activities of the Social Responsiveness Working Group, were identified as being to:

1. Generate debate about what UCT means by social responsiveness and, by drawing on the mission of UCT, develop an understanding of what it means for this university to be ‘socially responsive’.
2. Generate debate about the different forms of scholarly activities and how they contribute to social responsiveness.
3. Formulate proposals for ways in which different kinds of scholarly activities can be recognised within the institution.
4. Facilitate linkages between UCT and other stakeholders around common areas of interest and expertise.
5. Develop a deeper understanding of different kinds of socially responsive scholarly outputs.
6. Develop a deeper understanding of how the impact of different kinds of scholarly activities on socio-economic development is measured.

2 Methodology for the 2005 Review

This section outlines the rationale for the case study method, the criteria for choosing the specific cases, the process of data collection, and the method of data presentation.

Rationale for a case study approach

At the first meeting of the Social Responsiveness Working Group, it became clear that the term ‘social responsiveness’ was contested and definitions differed widely amongst the working group members. It was also realised that across the broader campus, definitions would probably span an even wider spectrum. This was useful insight in itself and confirmed many of the responses to the 2003/2004 review. Given this, the Social Responsiveness Working Group decided on the following plan of action:

- a. to compile a set of case studies;
- b. to meet in order to analyse the cases to generate some answers to the above objectives of the report;
- c. to convene a workshop with heads of departments for feedback on the findings and recommendations; and
- d. to generate a three-year plan and funding proposal for strengthening and enhancing social responsiveness at UCT.

To capture the complexity and richness of these practices, it was decided to present the review in the form of 'descriptive cases'. The Working Group's intention was to provide 'portraits of practice' in order to enable its members and the wider university community to take part in the process of generating proposals for recognising the different forms this aspect of scholarship takes. The cases profile the rich and diverse nature of UCT's social responsiveness experience and the process enabled the Working Group to take some important steps towards meeting the objectives set out for the report. The cases also yield useful data for ongoing and future social responsiveness reviews at the University.

Identification of cases

In identifying the cases the working definition of social responsiveness was used:

Scholarly-based activities (including use-inspired basic research) (Stokes 1997) that have projected and defined outcomes that match or contribute to development objectives or policies defined by a legitimate civil society organisation, local or regional government, international agency or industry.

It was decided that the cases should be constructed around a multidimensional matrix covering a wide range of scholarly activities, wide faculty representation, and addressing a wide range of developmental needs. In choosing the nine cases, attempts were made to identify examples of teaching, research or extension work, all of which have usefulness and relevance for a constituency outside of campus.

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.

Related to this, the Working Group decided to select cases that involved the following kinds of scholarly outputs (in no particular order):

- public interest articles
- strategic research
- cultural or artistic products
- curriculum restructuring or review to reflect a better fit between what the University does, and what society needs
- applied research, where the particular topic was in direct response to specific development needs defined by government, civil society organisations, industry, groups or even social movements
- patents
- flyers, pamphlets, popular books that draw on scholarly input
- 'use-inspired' basic research outputs
- consultancies, contract research, evaluations culminating in reports
- contributions to the work of professional bodies.

Through this process nine cases – individuals and units – were identified and all agreed to be interviewed. In one case, however, an interview was not conducted due to time constraints and only secondary sources were used.

Limitations of data collection methods

The cases reflect some limitations in the data collected, also discussed under 'consistency and differences' below. Both the quantity and quality of the data was limited due to time constraints on the project.

The data were collected and analysed over a period of four weeks. This meant that where there might have been gaps in the data set, the researchers were not able to fill them. The first draft of the collection of cases was sent to the relevant people, asking them to add to their case where they felt it necessary. The Working Group then worked with the edited cases; however, there is still discrepancy in the quality of data across the cases.

Two other factors impacted on the quality of the case descriptions: Firstly, the researchers had varying levels of knowledge about the particular cases and secondly, the data collection was sometimes limited to one interview. Where there was additional knowledge or longer relationships with the individual academics or units, the case descriptions could be rendered in greater depth, for example, Dr Oldfield's work in Geography represents a case where the researcher had in-depth knowledge of this experience, having worked with her over a period of six years. This limitation has been instructive and the experience gained in compiling this report will help to improve the methods and data available on social responsiveness as the institution moves increasingly towards recognising this form of scholarship.

Focus on forms of social responsiveness, not individuals

A key factor that emerged early on in the discussions was the fact that the emphasis in the review was on *forms of social responsiveness and not individuals*. In other words, while key individuals in most, if not all, cases would be interviewed and their outputs and activities discussed, the aim of the report is *not* to highlight individuals and their work per se. Rather, the intention is to surface the very different forms that social responsiveness takes in the institution, through the work of individuals and units. In each case, it was thus important to ensure that the nature of the work was linked to the scholarship of the individual or unit. In other words, the University needs to be able to trace a link and identify synergies between the social responsiveness activity and other aspects of the work of the individual academic or unit – their teaching and research.

Consistency and differences

Another methodological issue is that of *consistency across cases* on the one hand, versus *differences between cases* on the other. This review aims to achieve a balance between these two issues, both in selecting the cases, as well as in presenting them. The Working Group thus sought diversity, richness and difference in the various case studies, yet needed to be able to make an argument for each as representing a form of social responsiveness. This notion of consistency across the cases emerged in the way in which the social responsiveness activity links back to more traditional measures of scholarship, namely teaching and research.

Process of data collection

Data were collected over a four-week period. This process was completed by the Director: Institutional Planning Department together with the Centre for Higher Education Development (CHED) representative on the Social Responsiveness Working Group. The case from the Law Faculty was compiled by that faculty's representative on the Social Responsiveness Working Group.

The sources of data were in-depth interviews with individuals or unit/centre heads or representatives, documents and annual reports, and papers and other publications. Questions for the interviews were drawn up by the Director: Institutional Planning

Department and two members of the Social Responsiveness Working Group. The broad categories for the interviews were as follows:

- background to the project/work/unit;
- why the work was initiated/nature of the need, and with whom;
- aims of the social responsiveness activity and the values underpinning this work;
- link to academic identity or job;
- relationship between social responsiveness activity, multiple purposes of higher education, and disciplinary expertise;
- how the social responsiveness activity added value to UCT and to the constituency with whom the project was initiated;
- how the social responsiveness activity and its impact are evaluated;
- how much time is spent on the social responsiveness activity;
- ideas on how UCT should recognise this form of scholarship; and
- nature of outputs.

The interviews were recorded and all interviews transcribed. Permission was requested for this by the interviewers, and granted in all cases. Documents were also collected, and in a few cases, the interviewers referred to previous interviews they had held with some of the individuals.

Data presentation

The data were presented according to the themes identified above. However, given the richness of the data that emerged, it was also decided to allow for differences in presentation if it added value to the specific case study. The themes above were thus ultimately used as a guide to writing up the findings.

The first drafts of the case studies were presented at a Social Responsiveness Working Group meeting in late October 2005. Members of the Working Group gave very positive feedback and indicated that the process and methodology so far was yielding very good and interesting data. The Working Group representatives were encouraged to pursue the project and finalise the case studies.

All of the individuals and units were contacted again and asked to indicate whether they were willing to be included in the final report. They received the full collection of draft cases so that they could make changes in light of the other cases. All of the individuals and units agreed to this process of 'self editing'. The final report was edited by Helene Perold and Associates.

Section Two

Portraits of practice

1 Contributing to the formulation and implementation of economic policy: Social responsiveness in the School of Economics

In the early 1990s, South Africa's automotive industry was closely protected. As the country opened up its economy to the opportunities that emerged following democracy in 1994, policy-makers faced inefficiency born out of years of protectionism, the looming challenge of global competition, and the need to respond to obligations emerging from its membership of the World Trade Organisation. Clearly there was a need for new policy direction in the automotive industry.

The School of Economics has one of the longest histories of social responsiveness at the University of Cape Town going back to the establishment of the South African Labour Development Research Unit (SALDRU) in the early 1970s by Professor Francis Wilson. SALDRU conducted research on the living and working conditions of the working class in South Africa, and went on to lead the second Carnegie Commission of Enquiry on Poverty in the early 1980s. Work on inequality and poverty continued with SALDRU's involvement in the social survey and the establishment of the Centre for Social Sciences Research with its focus on social issues such as AIDS.

In 1992, the University of Cape Town seconded Associate Professor Anthony Black, Director of the School of Economics, to the Industrial Strategy Project, a major policy research study based at the Universities of Cape Town and the Witwatersrand. The goal of the Industrial Strategy Project was to produce trade and industry policy recommendations for post-apartheid South Africa. Black had been researching policy issues with regard to industrial development and this project provided an opportunity to undertake detailed work at the sector level. For 15 months he worked full-time on this project that produced a strategy for the automotive industry. The results of this work were ultimately published in 1994 by the UCT Press in a book entitled *An industrial strategy for the motor vehicle assembly and component sector*.

In fact, Anthony Black's involvement in industrial policy development predated his secondment by many years and the secondment marked but a step in a longer-term engagement with policy development. For example, during the 1980s Alec Erwin, then still active as a trade union leader in the Congress of South African Trade Unions (Cosatu), asked Black to act as an advisor to the tripartite alliance's Motor Industry Task Group. This task group played a central role in developing the Motor Industry Development Programme (MIDP) that was launched in 1995. The Motor Industry Development Programme provides the policy framework for gradual tariff reduction and export-import complementation that has guided the development of the automotive industry since 1995.

Following the launch of the Motor Industry Development Programme, Black was asked by the Director General of the Department of Trade and Industry to advise on its implementation. This included assessing the impact of the policy, interacting with stakeholders and providing ongoing advice to government. Black was responsible for establishing the Motor Industry Development Council, comprising all industry stakeholders, and he chaired the Council for three years. In 2002 the Department of Trade and Industry asked him to direct a major review of the Motor Industry Development Programme.



The Volkswagen plant in Uitenhage.

What thus started as a policy research project in the School of Economics, led to the University's direct involvement in policy-making and implementation through Black's work.

The value of responsiveness: research and teaching

An assessment of the value of academic engagement with national policy formulation must take into account the perspective of the policy-makers as well as the University's focus on research and teaching.

From the viewpoint of policy-making, the main impact of the engagement lay in its contribution to a set of policies that are generally regarded as having played a significant role in the successful restructuring of the automotive industry. Black's research contributed to establishing a long-term vision and a policy for the development of the automotive industry, which has been able to restructure itself successfully to operate in a more competitive environment. Concrete outputs include a series of reports for the Department of Trade and Industry and Black was a frequent speaker at industry conferences. He helped establish systems for government to monitor the impact of the policy and established the Motor Industry Development Council which is still in operation.

In this way, the University and the School of Economics were presented to the Department of Trade and Industry as well as other industry stakeholders such as the different industry federations, the vehicle manufacturers, the component producers and the trade unions. Black also interacted with governments in the region as part of the SADC free trade discussions. The Motor Industry Development Programme is widely regarded as a successful example of trade and industrial policy and has received extensive media coverage to this effect. Policy reviews conducted by the Department of Trade and Industry have continued the original objective of gradually phasing down government support while maintaining a long-term planning horizon for investors.

At the same time, considerable academic benefit was derived by the University. Black says that having the opportunity to put research into practice in such a direct way has been a unique and enormously valuable experience, and the automotive industry remains his major area of research. He has used his work with the automotive industry to introduce new components in his teaching, for instance in a master's-level course on trade and industrial policy. More recently, the School of Economics introduced an

Motor vehicle production.



honours-level course on policy analysis in which the automotive policy comprises a module. This includes a simulation of the policy formulation process, with students engaging in role-playing, representing stakeholders in policy negotiations.

Black's involvement in the motor industry policy process was extremely beneficial for his research because it made it possible for him to gain access to industry players, which would not normally be possible. He had regular interaction with senior executives from the major car companies and senior government officials up to ministerial level. He also conducted hundreds of interviews and held discussions with firms and industry federations over a period of several years. His direct involvement in the industry strengthened his understanding of the policy and development issues, and provided a valuable basis for more conventional

research. He has also supervised a number of graduate research projects on the automotive industry.

Black supports the idea of economists and other academics working closely with government, even going to work for government for limited periods. In his view there is no substitute for this kind of real world experience.

However, this work had to be balanced with academic and administrative commitments at the University. Other than the 15-month secondment, the engagement with policy formulation was all done on a part-time basis, including during two sabbaticals. In 2005 he was invited to lead a further review of the Motor Industry Development Programme, but was unable to do this owing to a lack of time stemming from his responsibilities as Director of the School of Economics.

Impact on the University

The involvement of the School of Economics in different aspects of economic policy formulation has clearly had an impact on teaching and research at the University, as is shown by the examples cited above. According to Anthony Black, opportunities for this kind of engagement may decline in future because the government has now developed its own policy capacity and is establishing more of an arms-length relationship with university-based advisors.

Nevertheless, the relationship between the University's responsive engagement and conventional academic output needs continual attention. For example, while the knowledge gained through the engagement with industry and government can certainly be translated into conventional research output, the academic staff do not always have the time to produce academic publications. Nevertheless, Black has produced a number of journal articles and chapters in books, as well as contributions to popular publications. He now plans to write a book about the development of the industry since 1990.

Staff at the School of Economics have been discussing how they could publicise their research more widely, for example through writing leader articles for newspapers. This is important because it puts the research into the public domain. They are also exploring the possibility of having academic papers revised for publication in the mainstream media so that the research can contribute to broader public debate.



A Nissan body shop.

These are but some of the ways in which the definition of research outputs could be broadened in an academic context. Through Anthony Black's involvement in industry policy formulation it is clear that the University has a developmental role to play in society, especially in a developing country like South Africa. What is at issue is that where academic staff make significant contributions to development, there should be more recognition and wider coverage of this aspect of their teaching and research.

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2 Providing high-level research and resources to industry: The Mineral Processing Research Unit

The Mineral Processing Research Unit is a multi-disciplinary, interdepartmental research unit based in the Departments of Chemical, Mechanical and Electrical Engineering. It started in the early 1980s when Cyril O'Connor was first appointed as a senior lecturer in the Department of Chemical Engineering. He did a tour of South Africa to identify research needs and on his return, started conducting research into catalysis (acceleration of chemical reaction) and also started a research group in mineral processing. He took on a number of research students and, more than twenty years later, both the catalysis and mineral processing components are world class in their approach and represent strong centres of research excellence.

The Mineral Processing Research Unit currently has a complement of 20 senior staff, 18 support staff and 35 postgraduate students. Prof Cyril O'Connor, current Dean of the Faculty of Engineering and the Built Environment, is the Director of the unit, and he is supported by four research leaders. The unit has received extensive support from mining companies and suppliers as well as statutory funding agencies such as the Technology and Human Resources for Industry Programme (THRIP).³ It has developed an international reputation in its field and has strong links with research institutes in Australia, Brazil, Canada, Chile, Germany, Sweden, United Kingdom and Zambia.

The primary objectives of the unit are to investigate the research areas of flotation⁴ and comminution⁵ at both an industrial (applied) research level and at a laboratory (fundamental) research level so as to develop predictive models for describing the performance of industrial flotation and comminution units and circuits. In addition the unit focuses on the provision of high-level resources to the South African mining industry through rigorous postgraduate research training.



One of the reasons for the Mineral Processing Research Unit's strength is its ability to bring a multi-disciplinary approach to bear on opportunities. For example, in 1998 the unit was approached by the then research manager of Anglo Platinum with the opportunity to use computers and cameras to assist the flotation process. The unit had chemical engineering and metallurgical expertise, and sought the involvement of colleagues in electrical engineering who have the software and the computing expertise. Since then these

³ THRIP is managed by the Department of Trade and Industry. It brings together the best of South Africa's researchers, academics and industry players in funding partnerships that enable participants to improve the quality of their products, services and people.

⁴ The process of separating different materials, especially minerals, by agitating a pulverised mixture of the materials with water, oil, and chemicals. Differential wetting of the suspended particles causes unwetted particles to be carried by air bubbles to the surface for collection. *The American Heritage® Dictionary of the English Language, Fourth Edition*

⁵ Processes of pulverising ore.

academics have been working together to develop different froth surface descriptors from the electrical engineering side, whilst looking at the implications from the metallurgical side. This multi-disciplinary collaboration has made it possible to register important patents (see below).

Needs-based research

The identification of areas for research is mostly a function of consultative and participative processes with various players in the industry. Staff from the Mineral Processing Research Unit interact with the mining industry around problem areas and then find ways of addressing these. For example in 1998, the platinum industry encountered major problems with certain reagents called depressants. These are polymeric reagents used to prevent the recovery of the unwanted gangue minerals, the unwanted barren rock in the processing of platinum. The problem caused a crisis in the industry and Anglo Platinum approached UCT's Mineral Processing Research Unit for assistance. The unit also held discussions with other companies and as a result, set up the Depressant Research Facility with input from industry.



PhD student Indresan Govender (left) and Dr Malcolm Powell with the bi-planar angioscope.

The Mineral Processing Research Unit is located in the engineering department, and engineering research is largely focused on problem-solving rather than being curiosity-driven. For example, the Mineral Processing Research Unit has done a lot of work on a process called comminution, which is breaking or pulverising the ore, and flotation, which is separating the valuable minerals from the unwanted gangue (worthless rock). Breaking the ore is very energy intensive; in fact many mines use the same amount of energy as small towns. So if research can help make this process more efficient, there would be a huge impact on the cost-effectiveness of the industry and the energy used in the process.

Nevertheless, in addition to the applied research undertaken for industry, some of the unit's research projects are more fundamental in nature. They are generated by staff in the unit, with a view to supporting the work of the industry in the longer-term, and seek out the input of farsighted people within particular companies. Industry involvement is thus a feature of most of the unit's research. While the industry is more inclined to fund applied research, the unit motivates the importance of fundamental research on the basis that it complements industrial research and positions the unit to support innovation in the mining industry.

Like any relationship, the partnership with the mining industry involves listening to and respecting the different parties, and understanding where they are coming from. Often

there are differences of opinion, and the middle ground needs to be found. One source of tension is that industry wants problems solved quickly whereas academics tend to research problems more deeply. The unit thus works at the interface between industry and academia and has developed a structured process for communicating with the industry around research needs. It holds two formal meetings a year to report on its work. At the same time, informal discussions are ongoing and technical report-backs on the research are given on specific areas of work from time to time. The unit also has students doing research at industry sites, and this helps to foster collaboration around the research projects. The unit is involved in a graduate training programme for Anglo Platinum which provides training for their employees. These courses also provide a space for discussion between staff in the unit and people in industry.

Results and outputs

The outputs from the Mineral Processing Research Unit range from those with explicit academic value to those with commercial value.

The unit has produced a number of PhD and master's graduates, research papers, conference presentations, and papers published in peer-reviewed journals. It has also generated five patents and a number of products. Products include SmartFroth™, which is a machine vision system, a UCT bubble-sizer which is now used in industry, and a micro-flotation cell. In fact the unit has been selling research prototypes and aims to develop these into robust, more reliable instruments.

In addition, the unit has a strong consulting section – the MPTech – which applies the technology and research outcomes to the design, operation and optimisation of industrial comminution and flotation circuits. Some of the results achieved by the consulting section include:

- A 20% increase in throughput on primary ball mills after correcting a mill dilution problem arising from the use of a flash flotation unit in the circuit.
- A 10% increase in -75µm final product size after closing a regrind milling circuit.
- Four sites have had discharge grates and pulp lifters redesigned to prevent or reduce slurry pooling problems.

Impact on teaching and research

Of the four research leaders one has an academic post while the other three are in permanent research posts (classified as Chief Research Officers). All four heads are honorary members of the faculty board and as such are part of academic processes in the Department and Faculty.



The unit has a strong focus on postgraduate teaching and also links up with undergraduate teaching. Its research informs the way in which certain subjects are taught. At fourth-year level, unit staff help teach the research methods course and they are involved in the supervision of fourth year projects. As mentioned previously, the unit also conducts training courses for industry.

All four research leaders are involved in supervising PhD and master's degree

students. In 2004 the unit supervised 33 master's and PhD degree students and thus has had considerable success in attracting postgraduate students. In many cases it is difficult to separate out the research supervision from the work of the unit, since the unit employs some of the students as research assistants and they are managed by the full-time staff. Generally the research undertaken by the postgraduate students is directly linked to the industry projects, although this is not always the case.

Converting the work into conventional research outputs

The unit is committed to contributing to new knowledge by putting the outcomes of its research into the public domain. For this reason it aims to publish as much of its research as possible in peer-reviewed journals, but faces a number of constraints in doing so. For example, the research outputs are sometimes regarded as proprietary from a company's point of view. If the research has contributed to innovation that has helped a company gain a competitive edge, then it cannot be published or patented by the Mineral Processing Research Unit. Similar constraints are related to certain products where the companies concerned may not be willing to allow public dissemination about information related to these products. In each case the unit thus has to consult with the companies concerned before anything goes into a publication.

Another constraint relates to getting the research written up for peer-reviewed journals. Since the primary mission of the unit is to get involved in problem-oriented research, its staff often do not have time to document and write up research findings for wider publication. This is partly a function of the fact that the timelines in industry are shorter than those in the academic environment, and responding to the needs of the sector is often a more urgent priority than preparing articles for publication.

Evaluation, impact and recognition

The unit's main source of feedback is from industry. A tribute to the relationship that the Director has built up with industry is the funding of the new chemical engineering building that came largely from industry; there was strong participation from the mining industry at the opening. This is testimony to the industry's view that, strategically, it was important to have a strong institution in Cape Town.

Apart from the quality assurance carried out by the Director, there are no other formal processes for checking on the quality of the work done. Evaluations tend to be ongoing: invariably as one question is answered, more emerge. These generate new problems to research.

The impact of some of the unit's work is difficult to measure. Much of the benefit depends on the relationships forged between the research unit and industry partners, and for this reason the tangible benefits are sometimes serendipitous to the main thrust. For example, the unit might be asked to undertake a research project using cameras to determine what is going on at a deep technical level; for the company, however, much of the benefit lies in the fact that a camera was able to show that the flotation cell was operating effectively. So while on the one hand the patents are an important output, many companies find that what is most useful is having researchers from the unit on site, holding discussions, building relationships and advising on relevant issues. These benefits are somewhat intangible and their impact on the industry is difficult to measure.

Nevertheless there have been some projects in milling through which the unit has been able to quantify the results. In these cases surveys have been done to identify a problem,

changes have been introduced as a result of the research done and it has been possible to measure the impact on the company's profit margin.

In the case of THRIP-funded projects, the government writes to the company sponsors and sends questionnaires to get feedback about the unit and the benefits of funding its research. As far as the unit's postgraduate students are concerned, the unit's success is relatively easy to measure since one can analyse throughputs over time.

Recognition remains a difficult area, however. The Mineral Processing Research Unit is aware of the procedures and systems in place within the University, but the criteria seem to be higher for research staff than for academic staff, particularly with respect to associate professor and professorial levels. A small consulting group has been set up within the unit and one of the ways of recognising what people are doing, and making it attractive for people to work in the unit, is the fact that staff can earn additional money through consulting. This incentive can attract staff to the unit, but it has to be carefully managed to ensure that the work done by the unit for industry does not suffer.

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3 Using disciplinary expertise to make a difference: Social responsiveness in the Centre for Actuarial Research

The Centre for Actuarial Research (CARE) was established in 2001 to help channel resources for research in the areas of AIDS modelling, social security, health care financing, and demography. It also functions as a vehicle that can generate consulting income for research purposes.

Professor Rob Dorrington heads up the Centre for Actuarial Research and moved into the sphere of AIDS modelling because of his training as an actuary. He first started working on estimating the mortality of Africans because although there were official life tables for whites, coloureds, and Indians, none existed for Africans due to the poor quality of death registration data⁶. Through this work he became interested in methods used to estimate mortality (and other) demographic parameters and extended this interest more widely in the field of demography. When the actuarial profession became concerned about AIDS in the late 1980s, he started working on modelling the demographic impact of the epidemic, developing population projections to warn society about “what might be coming down the path”. The work on AIDS modelling brings together several areas in which he has an interest.

The idea for a Centre for Actuarial Research arose during discussion between Professor Dorrington and a colleague, Associate Professor McLeod. At that time Professor McLeod was about to become involved in research required by the Council of Medical Schemes of the Department of Health to reform the medical scheme industry in South Africa. She, Alex van den Heever (an economist working on social security and reform in the health care sector) and Professor Dorrington formed the Centre for Actuarial Research as a vehicle to facilitate various research endeavours. Professor McLeod and Alex van den Heever have since moved on, but the centre has flourished and today comprises a director, three senior lecturers, two post-doctoral fellows, two senior researchers and two research assistants.

The centre is a research and teaching unit and therefore much of its work is aligned with the master's and PhD programmes in demography. Whilst other institutions have developed extensive skills and expertise in the measurement and assessment of sexual and reproductive health, and in the training of population scientists in the very broad sense, the programme at UCT has as its focus the training of technical demographers for work in academic departments of demography or in Central Statistical Offices or research NGOs in Southern Africa. People with this training are able to influence, advise on and analyse demographic data, debates and problems, and thereby work to influence policy outcomes in the longer term.

The focus of the centre's research is largely determined by the knowledge and experience of its staff. For example, much of its work flows from its expertise in AIDS modelling. Centre staff are approached for advice or receive requests for assistance from various projects concerned with AIDS and the centre is often approached for assistance in deriving demographic estimates. Apart from this, senior members of staff also initiate research independently of the consulting work.

⁶ The need to focus on racially based demographics is largely a consequence of apartheid policies that politicised the use of demographic data, and afforded great secrecy to the data and to analyses based on them.

Focus of the centre's research

The primary focus of the centre's work involves maintaining and developing the ASSA (Actuarial Society of South Africa) model that projects the demographic impact of the AIDS epidemic in South Africa and in individual provinces. The model was initially developed under the auspices of the Actuarial Society of South Africa AIDS Committee, and the Centre is now responsible for its development. The centre has also developed a version that will be applied to other southern African countries, taking into account that urban and rural epidemics tend to take different forms in these countries. Demographic data, models and analyses have played, and will continue to play a key role in the reconstruction and development of Southern Africa. Knowledge of future population trends is essential for infrastructural investment and planning. The spread and epidemiology of the HIV/AIDS epidemic further emphasises the importance of demographic research.

On the basis of its work on the AIDS Model, the centre signed a contract with the South African Aids Vaccine Initiative (SAAVI) to use the model to examine the impact of vaccines that might be developed, to advise on the best strategy for deploying vaccines of particular types and estimating the cost and demand for vaccines. More recently it has developed the model to take account of interventions such as the rollout of anti-retrovirals, mother-to-child transmission prevention programmes, and voluntary counselling and testing.

The Centre for Actuarial Research is frequently approached for comments about issues related to the epidemic, such as antenatal survey results. In order to respond to these requests, it has a range of small projects in process at any one time. For example the Bureau of Economics Monitor requests input for its economic modelling, or the National Treasury may require specific population estimates. The centre has also produced projections on the impact of the epidemic for the City of Cape Town and the Western Cape Province.

Through the work on the AIDS model, Professor Dorrington was invited to serve as a member of the UNAIDS Reference Group to advise on projections and estimates. Other institutions and organisations served by the centre include the Children's Institute, the Burden of Disease Unit at the Medical Research Council, the Bureau of Economic Research, the University of Stellenbosch, Statistics South Africa, the National Treasury, the United Nations Children's Fund (UNICEF) and the United Nations Development Programme (UNDP).

The centre is committed to sharing information as widely as possible and making its research publicly available. It thus insists on the right to be able to draw on the information from projects so as to publish the work in one form or another, albeit in some instances after a suitable time embargo. Most of the models developed have been made freely available via the ASSA website, together with manuals that assist in their use. Even where a model is not yet released it will generally be made available to other researchers. The centre also prides itself on the production of quality work as judged by peer-reviewed publications, particularly in international journals.

Although the focus of the centre is primarily on scientific research as opposed to influencing policy, some of its time is spent working with non-governmental organisations such as the Treatment Action Campaign, providing them with information they need and helping them interpret information.

Impact on research and teaching at UCT

The Centre for Actuarial Research has developed an excellent reputation in the area of demography and AIDS modelling, and disease modelling in general. The centre's major research outputs are the AIDS models that are made publicly available on the web. It releases new versions of the model once a year and produces national and provincial reports on indicators for tracking the changing demographic impact of the epidemic. On the web the information is captured in spreadsheets and graphs that can be used to illustrate talks or for other purposes. The centre also produces monographs on particular topics (e.g. "The Impact of AIDS on Orphanhood in South Africa: A Quantitative Analysis") as well as occasional papers, reports, and the publication of peer-reviewed articles.

The publication of the centre's research in peer-reviewed articles is not straightforward, however. Some of the monographs are too large to be published as articles. For example, in the past the centre was retained by Statistics South Africa (Stats SA) to produce reports on the mortality and fertility data from the census; when Stats SA elected not to publish the report, the centre released the data as monographs. In other cases, the research results may not be considered sufficiently interesting to form the basis of a publishable article. For example, some research is undertaken to inform legislation, or surveys may be conducted for particular agencies such as the medical aid schemes.

Despite a strong desire among centre staff to publish and engage with international experts in their fields, two factors make it difficult to publish as much as they would like to: the demands of the programmes they are involved in and the fast pace of AIDS research. It is also noteworthy that there are not many journals dealing with modelling and so the avenues for publication are somewhat limited.

As far as teaching is concerned, the centre is responsible for running the equivalent of four master's level semester courses, and supervising master's and PhD students. As from 2006, its staff will also run the equivalent of four third-year semester courses in demography and population studies. The centre also offers a series of short courses on topics such as population projections, modelling the demographic impact of HIV/AIDS and migration estimation.

Through Professor Dorrington, the work of the centre is making an impact on the courses offered by the Actuarial Science Department. Until the middle of 2005 he was the Head of the Actuarial Science Department, using about half his week for lecturing and departmental administration. The rest of his time is spent in the centre.

After the Centre for Actuarial Research was established, it identified the need to develop the field of technical demography in South Africa. Although several universities claim to teach demography, most of them tend to focus on 'population studies' rather than demography. In addition the quality of demographic work in South Africa (and much of southern Africa) left much to be desired. It became clear that there was a need for a course that would enable people to acquire the technical expertise to derive demographic estimates from the deficient data found in developing countries, particularly in Africa. This involves teaching people a body of techniques for getting information through indirect means. For example, how to estimate child mortality by asking women how many children they have given birth to and how many of them are still alive; or asking women whether their sisters are still alive or how old they were when they died, and using this information to estimate the mortality of women. This body of techniques can be taught and the Centre for Actuarial Research has received funding from the Mellon Foundation to support its master's and PhD programme to teach these techniques. The students who are registered for this master's degree work closely with the centre's staff.

Evaluation

The Centre for Actuarial Research is due to be reviewed for the first time in 2006. The impact of its work can be measured by the constant stream of requests received by centre staff to provide information on issues related to its core areas of research, the number of meetings it is asked to attend, the number of contracts it is invited to tender for and the number of tenders it has been awarded. The centre has also been successful in raising external funding. The invitation extended to Professor Dorrington to participate in the UNAIDS Reference Group on modelling and estimation provides further affirmation of the contribution made by CARE in the field of AIDS modelling.

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4 Building the capacity of organised labour in occupational health and safety: Social responsiveness through the Industrial Health Research Group in the Faculty of Health Sciences

The Industrial Health Research Group is an occupational health and safety unit located in the Occupational Environmental Health Research Unit in the School of Public Health and Family Medicine at the University of Cape Town. It was established in 1980, originally as an occupational health and safety research and advice unit within the Sociology Department at UCT.

The Industrial Health Research Group operates as a socially responsive unit through its work in research, advocacy, materials development, advice service, training and curriculum development. It aims to develop the occupational health and safety capacity of trade unions and their members, who can in turn use that expertise to transform the role of workers in the field of occupational health and safety. The labour movement is thus the group's key constituency and the work is undertaken with trade unions and individual workers.

One of the Industrial Health Research Group's primary aims is to encourage and facilitate greater prioritisation of health and safety as an aspect of trade union organisation. To this end, the group seeks to develop the skills of elected workplace health and safety representatives, and to support trade unions in occupational health and safety campaign activity.

However, the development of a proactive preventive culture of occupational health and safety cannot be met merely through a one-way transfer of knowledge from occupational health and safety specialists to workers and their trade unions. It can only be built through an engagement between the experience, needs, interests and knowledge of workers in the workplace, on the one hand, and accumulated scientific knowledge on the other. The work of the Industrial Health Research Group seeks to develop and explore this dialogue. It also seeks to facilitate the recognition, validation and expression of workers' experiential knowledge in transforming the negligent culture of occupational health and safety.

The Industrial Health Research Group's content and methodology is thus informed by the following values that it has developed during its 20 year engagement with the trade union movement:

- Only a preventive culture of occupational health and safety that is driven by workers' rights to health and safety can adequately protect the health and wellbeing of workers in all sectors of the South African economy.
- In order to develop a practice and culture of prevention in relation to workplace health and safety, it is crucial to engage with workers' experiences, needs, and interests around occupational health and safety issues.
- The most important agents for developing and implementing a preventive culture of workplace health and safety are organised workers – elected health and safety representatives, shop stewards, and health and safety activists.
- Workers can best look after their health and safety interests and rights as a collective – hence the value and importance of trade union organisation.
- While the Industrial Health Research Group (and the range of expertise to which it has access at the University of Cape Town) has an important contribution to make in

developing the capacity of trade unions, this can never be a substitute for those organisations developing their own sustainable capacity for occupational health and safety organisation and activity.

As a service provider to the union movement, the Industrial Health Research Group's programmes combine knowledge and expertise in occupational health and safety with experience in education and training, and the production of accessible materials. This enables workers to access the technical, legal and medical terminology of health and safety documentation. The group works *with* workers and unions as partners in their programme activities; it does not regard workers and their experiences as 'objects' for external research, but sees them rather as active agents in the identification, recognition, and assertion of their knowledge within the field.

Services provided

The focus of the Industrial Health Research Group's work is informed by the needs of its social partners (trade unions and labour support organisations), the changing political, legal, and social context of occupational health and safety in South Africa, the availability of funding, and expertise and work interests of its staff. The group's services include research on systems and practices; policy research and advocacy; providing advice to workers around injury and disease cases and their compensation claims; facilitating the development of trade union skills in case work and providing training in workplace accident investigations, health and safety audits; risk assessments; curriculum development in occupational health and safety skills training; participatory action research; and the production of training materials, popular publications, journal articles, and research reports relating to the group's research and training activities.

Areas of expertise presently include occupational health and safety, adult education, trade union organisation and experience, environmental science, social science, developing resources and educational materials, and experience in the development and implementation of participatory action research. The group also draws on the expertise of the Occupational and Environmental Health Research Unit for relevant medical expertise and support.



'Health workers on the frontline for health and safety'

Members of the Western Cape Public Health Sector Trade Union Occupational Health and Safety (OH&S) and HIV/AIDS Forum (convened by the IHRG) meet to plan the December 2005 Provincial Working Conference on OH&S Curriculum Development for elected health and safety representatives in the public health sector.

The group teaches on various University programmes e.g. in the Department of Sociology, the Department of Education/Centre for Higher Education Development (adult education), and the Faculty of Law.

Its outputs include narrative and published research reports from skills training and participatory research programmes; educational booklets, a *Networker Newsletter* produced as part of training and participatory research programmes in the public health sector, an article for an academic journal dealing with public health policy and a report on Asbestos Related Disease in South Africa presented to the Parliamentary Portfolio Committee on Environment and Tourism; policy commentary and recommendations on various topics; curriculum-related outputs including a submission on proposed unit standards and a curriculum for elected health and safety representatives in the public health sector and discussion papers; risk assessment reports, conference presentations and a range of media contributions through the commercial press and public radio.

Impact on the key constituency

The Industrial Health Research Group seeks to strengthen the confidence and ability of workers and elected health and safety representatives, and the capacity of trade unions to organise and campaign for health and safety rights in the workplace, using education and research in an independent and sustainable manner. It does so by developing and implementing research and educational methodologies that can support the growth of experiential occupational health and safety knowledge, and ensuring that these methods help build the capacity of workers and their trade unions to become active agents in shaping occupational health and safety in South Africa.

The success and quality of these outcomes is assessed through immediate programme outputs such as participants' research projects, as well as through longer-term achievements such as the development of occupational health and safety capacity, structures or initiatives within a workplace or trade union.

A variety of formal and informal methods are used to monitor the success, nature and quality of the impact. These include programme evaluations; participants' engagement with occupational health and safety in their workplaces; formal and informal feedback from programme participants on their ongoing occupational health and safety activities; the outcomes of case work and the impact that support provided by the Industrial Health Research Group has on individuals; referrals and work requests; engagement with funders; and feedback from trade union leadership.

Engagement with teaching and research at UCT

Education, training and research are central to the work of the Industrial Health Research Group, but take a particular form since they are aimed at the labour movement and workers in particular. In this sense, the group's contributions to teaching and research are socially responsive from the outset. The social responsiveness orientation contributes to the production and development of knowledge at UCT in four related ways.

Firstly, based on its firsthand experience of occupational health and safety with workers and trade unions, the Industrial Health Research Group has particular value to add in respect of the content of undergraduate and postgraduate programmes at UCT in adult education, law, social science and the health sciences. It makes a similar contribution to the University of the Western Cape.

Secondly, there is an important link between the group's research, wider disciplinary knowledge and more conventional forms of scholarship. Its work is informed by the

scientific contributions of epidemiological research and medical science, and is dependent on scientific knowledge. The group draws on specialist occupational health expertise from members of the Occupational and Environmental Health Research Unit (as well as other units) for aspects of its training and for occupational medical expertise. Because its work starts from the premise that occupational health and safety is concerned with the identification, evaluation, anticipation, elimination, prevention, control, and management of occupational hazards that cause injury and disease, the group depends on the body of scientific research and practice that can assist in developing courses for trade unions and conduct research in this field.

Thirdly, the Industrial Health Research Group provides a significant link between the knowledge produced at UCT and the broader society. They put it like this:

“The knowledge provided by medical science, engineering, occupational hygiene, law, social science, economics and business management in the development of occupational health and safety policy and practice, cannot find successful implementation as preventive practice without connecting with and engaging the workplace experience, needs, interests, and knowledge of the workers who are active agents of workplace health and safety” (2005:5).

Finally, the Industrial Health Research Group argues that in the discipline or field of occupational health and safety, it is “developing an important orientation for university-based service learning and for community access to academic training” (2005a:4). In this regard it the group’s work plays an important ‘brokerage’ role in two ways: for university students and researchers to access trade unions and the labour movement for service learning/community-based learning and community-based research opportunities on the one hand, and providing possible access for community members to the University to study and undertake research on the other.

In a nutshell, the Industrial Health Research Group perceives its value to UCT as follows:

“Our experience, expertise and the special value that we offer to the university, lie in the *socially responsive content and methodology of our OH&S advice service, education and training work, and participatory research programmes*” (2005b:5; emphasis added).

The group argues that if its work were to take a more traditional research approach with peer-reviewed publications as the main output, this would shift its primary focus of capacity building within civil society:

“Our primary objective remains to respond to the occupational health and safety and HIV needs of the trade union sector of civil society, and it is not to be an academic research unit” (Response to Review Panel 2005:2).

According to the Industrial Health Research Group, socially responsive education and research practice needs to be given more support and recognition at UCT, particularly for its role as a ‘broker’ or bridge between the University, medical and epidemiological knowledge, and the labour constituencies with whom it works.

References

- IHRG (2005a) Self Review Portfolio
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5 Mediating the interface between theory and practice: Social responsiveness and the role of public intellectuals in the Faculty of Humanities

How can a university like UCT make its resources accessible to people in poor communities so as to support the process of social transformation? This is a question that confronts academics who locate themselves at the interface between theory and practice, as has been the case with Professor Lungisile Ntsebeza in the Department of Sociology.

Describing himself as “an academic and an activist”, Ntsebeza sees one of his roles as using scholarship to advance social justice. For example, he draws on his academic research to engage critically with government policy as well as with social movements. This does not mean that he is always in agreement with the social movements or that he necessarily says and writes about things they want to hear or read. For example, in the run-up to the 2004 election, the Landless People’s Movement decided to advocate that their constituency should boycott the election. Ntsebeza advised against this strategy on the grounds that “they would expose themselves because they were not well established, and they would demonstrate their lack of support” (Interview 11/10/05). Instead he suggested alternative strategies that could strengthen the organisation and put it in a better position to confront this issue at a later stage.

Ntsebeza became involved in academic life and research in the 1980s. As a political activist he was committed to fundamental political and socio-economic change in South Africa. He pursued his academic interests because he thought that an institution like the University would be the best place in which to find resources that could help him understand the nature of the issues poor people are grappling with – not just in South Africa, but internationally.

His initial focus was on youth in urban areas, especially in the context of their involvement in anti-apartheid struggle during the 1980s. After 1994, he shifted his research interests to land, urbanisation and rural issues, and today regards himself as having a good understanding of the urban/rural divide. His research on the nature of rural society, and the land question more broadly, includes a focus on the rural economy, how people are making a living in rural areas, especially in the former Bantustans, rural politics and the notion of chieftainship. He has recently published a book on the topic of chiefs and land entitled *Democracy Compromised: Chiefs and the Politics of Land in South Africa* (published by Brill Academic Publishers, 2005). He has also done academic research on the South African land reform programme and some of this has been published in peer-reviewed publications, the most recent of which include:

- Ntsebeza L (2005) “Rural Governance and Citizenship in Post-Apartheid South Africa: Democracy Compromised?” In: Daniel J, Southall R & Lutchman J (eds) *The State of the Nation: South Africa 2004-2005*. HSRC Press and Michigan State University Press: Cape Town; and
- Ntsebeza L (2005) “Democratic Decentralisation and Traditional Authority: Dilemmas of Land Administration in Rural South Africa”. In: Ribot J & Larson AM (eds) *Democratic Decentralisation through a Natural Resource Lens: Experiences from Africa, Asia and Latin America*. Routledge: London.

Other outputs include evaluations, submissions to government⁷, project reports, research reports for government, and participating in conferences organised by government e.g. the Land Summit.

Ntsebeza believes that it is possible to translate academic material into language that ordinary people, including landless activists and their supporters, can understand. For this reason he has published his research not only in academic books and journals, but has also written accessible materials for non-governmental organisations e.g. on the Land Reform Programme and an activists' guide to local government. Some articles have been published in journals such as *Development Update* and the *Land Digest*. These publications are based on his academic work, but were written in a popular style so as to make complex concepts, academic jargon and current issues accessible to ordinary people. He also writes articles in the mainstream press (such as the *Mail & Guardian*) about topical issues.

Partnerships with organisations

Partnerships are key to providing academics with access to organisations that take up issues in support of social justice. For example, Ntsebeza used to work with a network of land organisations called the National Land Committee. This group is now defunct and has recently been succeeded by the Alliance of Land and Agrarian Reform (ALARM), formed on the eve of the Land Summit organised by the Department of Land Affairs in July 2005. He also works with individual organisations that are part of ALARM, such as the Trust for Community Outreach and Education (TCOE), and the Surplus People's Project. He is exploring the possibility of a partnership with one of the TCOE affiliates and is supervising the coursework thesis of its director at the University of Western Cape.

Ntsebeza views partnership as a collaborative process. He believes that academics should work with organisations to conceptualise projects, undertake the research jointly, and publish jointly where individuals can participate in the writing process. This is how he describes the process:

"I think the stress here is not for them, it's with them. If they have developed to a position where they can contribute to a piece that I am writing for an academic journal, I'll be happy to put their name on it, but I won't make them tokens. If they haven't contributed, I can't say this thing was written by so-and-so, as I don't think it's empowering. The aim is to put them in a position where they can, at least as co-authors, write with me; but later they must write on their own" (Interview 11/10/05).

Ntsebeza also feels that interested members of organisations should be encouraged to study at the University. These strategies could help make the resources of the institution more accessible to people in poor communities.

Impact on teaching and research

Through his academic research and his life as a public intellectual and academic activist with social movements, Lungisile Ntsebeza has been able to enrich his teaching in different ways. One approach is to use examples that contextualise theoretical concepts and make them accessible to students. For example when he is teaching theoretical

⁷ In the case of the submission on the Communal Land Rights Bill, Ntsebeza facilitated a process that involved land-based organisations and rural communities. The process involved explaining the provisions of the bill to these constituencies, gathering their responses to the bill and drafting a report based on their comments.

concepts such as decentralised despotism, or the bifurcated state, he uses examples from his knowledge of the South African rural experience. Another approach is to introduce new courses and new course content that is influenced by his work around land reform. For example, he has introduced a focus on South Africa into his teaching on rural development, and this speaks meaningfully to his students.

How does scholarship inform advocacy? In Ntsebeza's view, advocacy involves bringing critical issues to the attention of the policy-makers, the state and other stakeholders. Being an advocate of the poor necessitates being knowledgeable about the field and issues under discussion, preferably with the position being substantiated through evidence. Research thus has an important role to play. For example, in 1999 he started working with Calusa, a non-governmental organisation in the Eastern Cape that was grappling with a land issue. He suggested that they do a study on cattle and livestock production to strengthen their case. The research was completed and a report based on the research was published by the Programme for Land and Agrarian Studies (PLAAS) at the University of the Western Cape. Calusa then used the report and successfully assisted five communities to acquire big commercial farms. Their ability to back their proposal with solid evidence was a crucial factor in their success.

In addition, academic research can benefit greatly from a reciprocal relationship with organisations working in poor communities. Ntsebeza describes how sometimes his work with communities informs his research while at other times his research strengthens the capacity of communities to take action. For example, the Surplus People's Project was carrying out a programme on church land and they asked Ntsebeza to do an assessment of their impact. He conducted an evaluation for them and has since used it to inform conference presentations and a chapter for a book that is being published abroad. Another example of reciprocal benefit is found in an application made to the National Research Foundation (NRF) for funds to undertake research on the role of land in poverty eradication. The proposal indicates that Ntsebeza will be establishing partnerships with social movements that are involved in land struggles in order to carry out the research.

Activities such as these can thus introduce new knowledge into departmental teaching and helps to attract students who want to learn more about South Africa (particularly foreign students who come to UCT).

Recognition and evaluation

Ntsebeza argues that academics will be in a stronger position to argue the case for recognition if they have demonstrated that they can meet conventional requirements for academic research outputs:

“First of all I must put myself in a strong position within UCT – to say ‘I am an academic in my own right’ and ‘I can write, I can publish’, and so on” (Interview 11/10/05).

At the same time he feels that UCT should promote people on the basis of so-called ‘non-academic activities’ if they can prove that their work is useful and read not just by peers, but also by constituencies that can make wider use of it.

Measuring the impact of this kind of work is always going to be difficult. For example, impact cannot be measured only in positive terms e.g. on the basis of whether government accepts what academics are saying. Negative reactions to what is being said can also be regarded as proof of impact. “The point is that there should be recognition for this work. A tool should be developed for the University to use,” says

Ntsebeza. For example applications for promotion could include details about invitations that academics receive from social movements and government, not just locally, but internationally, to give talks or contribute their views. Applications for promotion could also include information on how the academics work with external constituencies such as social movements and how the involvement of the academics has influenced the range and depth of its activities. The University can also take into consideration the involvement of academics on boards of organisations, and feedback could be sought on various forms of support given by academics to social movements.

References

Interview with Professor Ntsebeza, 11 October 2005

6 'Field work as engaged teaching' – mapping and community activism: Social responsiveness in Urban Geography

Fieldwork or field-based research is an important tool used by geographers to learn about cities and to produce geographical research and knowledge. Dr Sophie Oldfield teaches undergraduate and postgraduate human geography in the Department of Environmental and Geographical Science and through the field research components of her courses, her teaching links directly to social responsiveness. It also serves applied purposes useful for development as well as for policy formation and reflection. This case study demonstrates, however, that separating social responsive teaching and research from more conventional forms of teaching and research is not straightforward.

Oldfield has taught fieldwork through community-based partnerships since 2000. In 2000-2003 the projects took place in New Crossroads, Nyanga, in partnership with the Mandlovu Development Institute, and in 2004 and 2005 projects took place in Valhalla Park, a community on the Cape Flats, in partnership with the Valhalla Park United Civic Front (UCF), a community-based organisation.

A field research course handout describes the following roles for fieldwork in the teaching of urban geography:

“The practicals for EGS 315S ... serve as an introduction to fieldwork methods and as a first-hand way to learn about the South African city. In partnership with the Valhalla Park United Civic Front, a community-based organisation, the research undertaken for the course will also contribute to a development project on documenting families living in backyard shacks development in Valhalla Park. The research work will be contextualised in lectures, readings and discussions on the city, qualitative methodologies and selected critical issues in cultural and urban geography” (Field research course handout 2004:1).

The course combines lectures on urban geographical theory and qualitative methodologies with fieldwork sessions during the three-hourly practical session for the first half of the semester. There is no explicit curriculum or agenda for community learning through the course, although community participants assess the student project presentations at the end of the research sessions.

It is useful to understand the nature and range of projects that have been undertaken by students as part of the field-based research aspect of the urban geography courses through which UCT has partnered with community organisations. To date, the projects that Dr Oldfield has been involved in include:

- **2000: Mapping public and vacant space** in partnership with a non-governmental organisation in the New Crossroads community. Students mapped vacant plots (in which community organisations could consider development such as shops), community assets or amenities such as churches and halls, and homes in which economic activities took place. The end product – a wall-sized map – highlighted that while there were few vacant spaces, residents of New Crossroads were in fact involved in a vast range of home-based businesses. The map demonstrated visually that residents were actively constructing and negotiating their own livelihoods based on home-based businesses. This picture of New Crossroads contrasted in significant ways with a complementary analysis of New Crossroads (census data 1996) as a community of high unemployment and low education levels.

- **2001: Mapping home-based businesses.** This study built on the research undertaken the previous year. It was conducted by undergraduate students and revealed that there were 119 enterprises active in New Crossroads undertaking a vast array of activities. Project analysis emphasised a sharp distinction between survivalist and growth-oriented enterprises and the ways in which these reflected household dynamics and livelihood strategies.
- **2003: Analysing age and gender differentiation in community skills and work.** Students linked up with teams from the community in New Crossroads and through semi-structured interviews, analysed the ways in which factors such as age and gender differentiate the residents' skills and work. These materials were used to test out the possibilities of the community partner organisation running a structured skills survey.
- **2004-5: Researching backyard living in Valhalla Park.** Students in a third year course worked collaboratively with the Valhalla Park United Civic Front on a survey of backyarders in Valhalla Park. As a result of this, a map and table of backyarders will complement a booklet on the experiences of families negotiating backyard living. The civic intends using these materials in their struggles with the City of Cape Town over housing developments in their neighbourhood.

The projects demonstrate the ways in which conceptual and empirical issues are linked in urban geography teaching, and the 'real world, lived experiences' of residents in economically under-resourced communities in Cape Town.

Benefits and outputs of the social responsiveness activities

According to Oldfield, social responsiveness projects link closely with both her teaching and research. The projects:

- provide students with the opportunity to link their studies to the real world;
- enable her to continue with her community-based research while carrying out teaching; and
- bridge university and community boundaries and practices.

Reciprocity is evident in that the nature of the need comes from both the University and the community. On the side of the University, there is the need for students to learn mapping skills. On the side of the community, there is the need for information and data for maps that have been produced systematically.

Oldfield's experience suggests that there are four specific benefits that flow from social responsiveness activities:

Projects enhance student learning

The starting point is the teaching and learning project i.e. the educational experience of students. While 'taking the community's need seriously' and using this as a starting point, the social responsiveness project has to work for the teaching and learning goals – in other words, it has to be linked to what needs to be achieved in the course for the students. Oldfield puts it like this:

"I start from the students' side and the teaching side ... that it is an experience for the students is very, very important ... based on the students' learning ... so I have only proposed it with two groups with whom I knew it would work for the students"
(Interview 12/10/05).

Talking about her teaching in a second year course, 'Cities of the South', and the projects in Nyanga, Oldfield refers to a teaching philosophy statement that outlines how classroom debates and discussions are combined with extensive project-based fieldwork in neighbourhood contexts.

"Rather than running laboratories and practicals on campus, I negotiate research projects with community-based organisations. These projects fulfil research needs identified by the community-based organisation that the student work contributes to. In the process, students learn field-research skills (interviewing and mapping) and experience first-hand problems of 'Cities of the South' discussed conceptually in class" (Teaching Philosophy Statement 2003:2).

She admits that this form of teaching is very demanding of time and energy; she spends about 10 per cent of her time on this aspect of her teaching and writing about the teaching and learning experience. Nevertheless, she feels that the process is worth it:

"Students treasure the opportunity to work on projects that are real, enjoy the friendships that grow with the community-based participants ... and the richness of these experiences cast the conceptual issues we deal with in lectures in more nuanced and complex layers" (2003:2).

Projects directly engage with knowledge that exists outside the University and in the community

While the students' learning needs are paramount, another value that shapes Oldfield's teaching is the importance of making students aware that knowledge can take many different forms. In this way, it could be argued, she believes that the community services the students. The University is not the only producer of knowledge – it exists in the community as well:

"Communities have all sorts of knowledge and that knowledge is all over the place ... knowledge is not [just] something that's found up here [at UCT] ... this is a very important value. So [while] it's the experience of the students and the skills of the students, it's [also about] knowledge of situations in all sorts of places and which is articulated in lots of different ways" (Interview 12/10/05).

Projects link activism and academia

A third key value is that of the dual roles of 'academic' and 'activist'. In addition to the links with communities through teaching field-based research, Oldfield has been engaged as a researcher with communities in which class projects took place. For instance, she worked with the Valhalla Park Civic as part of the Anti-Eviction Campaign through the Community Research Group (CRG). It was actually through this engagement that the teaching project in Valhalla Park emerged. Besides the benefit to the University, Oldfield sees this as important for herself, in her own life:

"So for me, in my own little life, doing this sort of thing was really important because it was a different way of engaging with the community ... I wasn't only engaging with producing my own research for my own personal, very individual, very disciplinary-based way of creating knowledge and writing up research ... [Projects] are a very direct way of taking my skills as a researcher and engaging with communities doing research ... the point [in part] is to support community researchers" (Interview 12/10/05).



Gerti Square, chairperson of the Valhalla Park United Civic Front and Sophie Oldfield, ENGeo-UCT in front of the civic office in Valhalla Park, September 2005.

Projects engage with real world experiences through the curriculum

Students gain important knowledge about urban development challenges – for instance, about the housing crisis and backyard living conditions, or about home-based businesses, the informal sector and struggles with unemployment. Oldfield believes this is important for them both as individuals and as geographers.

Examples of outputs

The nature of the output from this work varies. More conventional research publications have come from these projects, for instance accredited publications, conference presentations, and a chapter in a book. However, given the aims of many of these projects and the valuing of other kinds of knowledge, less conventional outputs have also been produced. These include maps of social assets in New Crossroads, service levels and housing overcrowding in Mau Mau in Nyanga, and backyarders in Valhalla Park. Other products include directories of community resources and booklets with life history interviews.

Students each produce a report, comprising both quantitative and qualitative data, at the end of their projects. The quantitative data includes geographical information on the particular topic that was the focus of the project e.g. home-based businesses, backyard shacks, whereas the qualitative data takes the form of life histories and narratives from the community. Both types of primary sources collected by students inform the analysis in the reports.

Relationship to academic identity and job description

What emerges from this case study is the complexity of roles involved in this kind of scholarship. For Oldfield, a role of 'activist' is linked quite strongly to the academic identity – it is the base at the University and the resources of the University that assists her in playing this role. While she says that she 'downplays' her academic identity when working with communities, her work is linked quite closely to her identity as an academic. However, while the partnership with communities and community-based organisations is driven by a teaching goal, this work is not without tensions.

One of the ways in which she enacts these two aspects of her identity is through her research capacity in different forums, such as the Community Research Group. In this work Oldfield interacts with community activists to find ways of focusing the research more strategically. Through the process of research support and reflection it was possible to:

“... disaggregate what were their practical experiences of all these [community] problems into small chunks ... in order to focus on them to get some research done ... [S]o for me it's the same sort of process of focusing down, which I think is what we [do] as academics. For me, the challenge is to isolate an issue as a question through which an appropriate research methodology can be chosen, and then research and writing is directed from there. The challenge is to be specific about what you're doing ... the hope that we demystify the research process” (Interview 12/10/05).

This process is not dissimilar to supervising students' research projects, but takes place in another, very different, context.

On another occasion, Oldfield commented on how she values her teaching role and believes in trying 'to build a commitment to my discipline (geography) and to precise social science' (Teaching Philosophy Statement 2003:1). She describes how her own teaching practice and identity is enhanced through working and learning in teams, and working and learning with communities off-campus:

“Helping students develop such skills and dedication ... is crucial in our South African and southern developmental context. In order to achieve these objectives, I prioritise working in teams, not only with other lecturers in my department, but also with community-based organisations and activists outside the University, through mutually beneficial projects with my undergraduate courses and post-graduate student thesis work” (Teaching Philosophy Statement 2003:1).

Relationship with the multiple purposes of higher education and disciplinary expertise

Sophie Oldfield's disciplinary expertise lies at the heart of her teaching. She emphasises that 'my discipline is very satisfying to me'. Community-based field teaching links to her discipline in ways that enable her and the students to have fun in the learning, but with the continual reminder about “being rigorous about what we're doing and how we're recording [the data] and how we're documenting it” (Interview 12/10/05).

In addition, the discipline and nature of the specific learning task sets the boundaries for what the nature of the product and process can be. Yet it also in some ways challenges the disciplinary boundaries by involving a wider range of stakeholders and by opening up the variables that could possibly shape the activity. The fact that students become aware of the knowledge that exists in the community is evidence of this.

Oldfield argues that socially responsive teaching relates to the multiple purposes of higher education in various ways. For example:

- It enhances teaching directly by structuring the teaching experience as one that takes place in both the classroom on campus as well as in the community.
- It challenges one to think about assessment issues as well as 'what counts as a socially useful product' for both the community and for one's own research identity.
- It provides a site for teaching-linked research and for reflecting on one's practice in new ways.
- It fosters ongoing research work with the community groups e.g. the UCF informs the nature of the specific project undertaken by students at a specific time.
- Teaching-based research has provided a very useful forum and opportunity for developing new ideas about the curriculum, and about what constitutes a challenging learning opportunity for the students.

She also sees these projects as a way of bridging theory and practice:

"It makes it so much easier to talk about methods ... and it also makes it easier to shift to high level ... abstract discussions around what we do as geographers ... it demystifies the theoretical ... and it makes me do my job a whole lot better"
(Interview 12/10/05).

Lastly, the specialist knowledge underpinning or informing the product from the fieldwork (e.g. a map), is linked to the discipline of geography and so the socially responsive project is quite directly the result of disciplinary knowledge and skills.

Value to UCT and to the community

The socially responsive projects run by Sophie Oldfield add value to UCT in multiple ways. They enhance the teaching and learning experience for the students, thereby deepening their understanding (and hence UCT's understanding), of some of the communities in which the University is located. Furthermore, Oldfield speaks of how often she is made aware of how UCT has a 'bad reputation for running away' in the community. Through her project and the relationships she has worked hard to establish, the socially responsive projects offer UCT visibility in the wider community.

Oldfield believes that there were a number of quite tangible ways in which the socially responsive teaching projects added value to the communities with which they were run. For example, the research added value by providing quantitative data for the Valhalla Park Civic's actions on housing, and considerable value was added through the qualitative data gathered by means of the interviews students conducted with members of the community. Community members have spoken about the importance of feeling that they can make a contribution to the work of the students and the University. In addition, they have mentioned a number of times how much they learnt from the students. This includes "skills about mapping and English". They received a small honorarium and had the opportunity to visit UCT at the end of the project.

There is also 'indirect benefit' to the community. In the case of Valhalla Park, one of the civic members spoke of the enormous indirect benefit to the community – not because of any direct skills, service or knowledge it acquired from the University through the project, but rather because of the visibility that project and the work of the students gave to community circumstances. The civic member argued that:

“Our story [about poor housing] will get out and be heard by others and then they [the others] will learn something about our lives. So that was great for me. I’m not in a hurry. Sometime or other, something will come out of the research – from here, something will happen ... Maybe in ten years time or twenty years time, but something will, at the end of day, come” (Valhalla Park Civic Leader 20/06/05).

Evaluation and recognition

The socially responsive components are evaluated indirectly in student assessment. While the assessment is aimed primarily at gauging student learning, there is also the fact that the community is present at the presentations so that they can make some kind of assessment of the projects. The community assessment is not, however, formally part of the students’ assessment. Student evaluations are an important indicator of the quality of such socially responsive projects since they are directly linked to teaching and learning.

The question of the impact of projects in the community context is complex. Issues that require further research are whether the community feels more empowered to negotiate for better housing and whether the information generated through the students’ projects is used as data to enhance these struggles. (Through involvement with the Service Learning Project organised by the Centre for Higher Education Development, Oldfield has completed research on these questions.)

Projects also have an impact on the students, helping them focus on future academic and career directions, and encouraging them into postgraduate studies. For instance, one of the students in Oldfield’s class in 2005 indicated that this course had helped him understand how town planning worked, and had motivated him to pursue town and regional planning.

Oldfield feels strongly that the University should recognise social responsiveness as a form of academic practice, but is realistic about how much value it might be given in an academic context:

“I’m quite okay with an indexed article being worth more than this [e.g. a booklet, a map]. But it doesn’t mean that it should not be there at all” (Interview 12/10/05).

She notes that it is important not to see the processes of this kind of teaching and research work and conventional research outputs as inherently oppositional. Some of the elements of social responsiveness contribute directly to conventional academic outputs (which in her case are forthcoming publications). Oldfield has, for instance, presented her research on her community-based teaching practice at a recent geography conference and at a specialist ‘service learning’ conference this year. Outputs might not always be relevant as more ‘conventional outputs’ but lead instead to other types of materials that are more directly useful in this case in community contexts in the work of partner community organisations.

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7 'Returning the Archive' – the Living Landscape Project in Clanwilliam: Social responsiveness in Archaeology

Can a university do more than reflect a socially responsive approach in its teaching, learning and research? The Living Landscape Project in Clanwilliam shows how specialist archaeological expertise in research and teaching can be transformed into an initiative relevant to socio-economic development through community engagement and responsive practice.

The Living Landscape Project is a community-based heritage and education project aimed at 'returning the archaeological archive' to the community of Clanwilliam in the Western Cape, 220 kilometres from Cape Town. Professor John Parkington from the Department of Archaeology initiated the project in the early 1990s and over the past ten years it has informed the curricula for local and visiting schools, and established a job creation project 'designed to generate sustainable small businesses built around the local archaeological record' (Parkington 2005:3).



The satellite image at left shows the Warmhoek topography and the Jan Dissels River, source of the Clanwilliam water supply. On the right is a computer generated map of the same landscape with archeological and rock art sites indicated by the red and blue dots. The Warmhoek trail is one aspect of the Living Landscape's job creation effort.

The Living Landscape Project was initiated with two key purposes in mind: firstly, to 'return the archive' in a useable way to a local community through the school curriculum and job creation projects; and secondly, to increase public support for archaeology and generate an understanding of, and concern for, the 'archaeological record'.

The project is located in an old school that was purchased by UCT for use as a field station. Today it encompasses the UCT-owned field station (with bunk dormitories, kitchen facilities and a computer room), community crafts projects, and a tourism office and facilities. It is also used by three or four other UCT departments for teaching, research and outreach. The project receives funding from a wide range of sponsors including UCT, the Canadian International Development Agency (CIDA), the National Research Foundation, the National Lottery (two grants) and the South African ministries of Arts and Culture, and Environmental Affairs and Tourism.

According to Parkington, the aim of the Living Landscape Project is:

“To use the local landscape as a framework for the learning process and for reconnecting particularly the descendants of indigenous people with a past from which colonialism has largely severed them ... It is thus a programme that seeks to empower people by establishing an accessible archive of historical, archaeological and environmental information with explicit links to a new schools curriculum and new heritage legislation” (Parkington 1999:147).

The Living Landscape Project began as a research project linked directly to the discipline of archaeology. It then became an educational and teaching project by working with local schools in the Clanwilliam area and providing school children with access to history and even numeracy through archaeology. By bringing local people from the community into the process and showing them how to reinterpret and teach their own history, it has led to jobs in the tourism, eco-tourism and craft industries:

“In the job creation initiative, 20 members of the local community have been employed as trainee craftspeople, guides and caterers [for tourists]. Training has included instruction in computer skills, heritage, crafts, life skills, first aid, entrepreneurship, bookkeeping, guiding ... catering and nature conservation” (Parkington 2005:3).



The craft shop serves as the focal point for craft sales, catering and guided tours to local rock paintings.

The activity was essentially responding to three parallel issues:

- Gaps in the national school curriculum. When local school children visit the field station, UCT students teach them about archaeology, history and even numeracy through, for instance, gravestones and rock art painting.
- Unemployment in Clanwilliam and the need for income provided the impetus to develop the skills of local people.
- The effects of history and apartheid in South Africa and the academics' motivation to return the knowledge of that history to the local community.

Parkington argues that the archive can be returned in two useful ways: as a tourist product, and as a curriculum product. In other words, the project is contributing simultaneously to learning (through work with schools both in within and outside of Clanwilliam) and economic development through job creation.

Over the past ten years, the work in schools has taken various forms. Initially, UCT graduate students brought children from the local schools to the field station, in consultation and with the permission of the teachers and school heads. At the field station the students would “run curricula on the rock art, but also on natural features in the landscape, like the ‘heuweltjies’ ... they would measure them, they would make a map of the different bushes on the hill ...” (Interview 13/10/05). In this way the students would meet all the outcomes in the outcomes-based education curriculum: collecting evidence and assembling it in relation to a problem, collecting numerical information, writing up their findings.

“The graduate students [were] fantastic ... It varied from year to year: sometimes we took whole classes, sometimes we took sections of classes; sometimes we took [the children] for a whole day and sometimes we took them for periods within the day. Sometimes it was scattered through a whole term; sometimes it was concentrated in a week – depending on how the teachers felt they could, you know, allocate them to students’ time. And over a few years we built up these curricula: rock art, ‘heuweltjies’, place names, graveyards, and so on” (Interview 13/10/05).

More recently, the project team has changed its strategy and decided that it would be more effective to develop materials that could enable teachers to undertake these activities themselves. In 2005 they thus worked with a group of UCT archaeology graduates to develop a set of resources and to workshop these with teachers. The goal was “to take these curricula and turn them into CDs and classroom exercises and books and texts, and all that, and make ... an archaeology box” (Interview 13/10/05).



An unusual group of human figures, painted in a very active pose, in the Candle Cave.

Aims and values

The Clanwilliam Living Landscape Project is linked to the history of the Clanwilliam community, thereby enabling people to reclaim their history. In fact, it is derived from this history very directly. This is done by:

- Valuing the knowledge and history that people in the community have, but which is untold – filling in the gaps of the past and utilising the ‘archaeological record’ to allow people to rediscover their own history;
- Understanding that the project needs to work with the local community, including its members as knowledgeable people and enabling them to see that this knowledge is useful: “It’s ... taking all of the stuff that we’ve learnt through doing ... 30 odd years of research ... and making it usable and useful. I see it as using knowledge in a different direction” (Interview 13/10/05).
- Realising that it is important to link the Clanwilliam project and the broader academic project.
- Recognising that this approach is difficult to execute and does not provide an easy way of doing academic work: “If research is difficult, teaching is more difficult, and extension is even *more* difficult” (Interview 13/10/05, emphasis added). Nevertheless, Parkington speaks of a deep sense of responsibility and enjoyment that he experienced in the project: “... for me personally it’s about ... two things: I do feel a sense of responsibility not to extract information and ... only deal in the ... rarified academic [environment]. ... And I get a lot of enjoyment being there with the graduate students, teaching them – we have wonderful occasions” (Interview 13/10/05).

“It’s possible that as these stories about what we’ve learned permeate the community, there will be other uses to which community people can put them. For instance, some people might want to say, ‘Well, it’s interesting to hear this kind of stuff because we’ve only heard these old apartheid stories.’ This kind of utilisation of the archaeological record is hard to predict, and it’s very often implicit – it’s not blurted out, but it may be the archaeological story about the past of Clanwilliam, that people can recognise as filling out some of the details that were never there in the old stories.

“It’s like building the archive. People may want to adopt a very particular kind of relationship to that. People may say, ‘These are actually my ancestors who were painting these things and who were living in this very ecologically sensitive way in the landscape, unlike the modern farmers who were taking, taking, taking’” (Interview 13/10/05).

Outputs and relationship with disciplinary expertise

The project has resulted in different kinds of publications, linked to the varied audiences that might have an interest in the work. These include several books that have been published out of the project (one of which includes a CD), articles published in various scholarly journals and conference papers.

Disciplinary expertise informs the project directly – the Living Landscape Project springs from research on the archaeological record and is informed by more than thirty years of archaeological research and teaching. It provides a way of drawing on the discipline to inform community-based teaching and research while enhancing traditional teaching and research activities within the academy.

Cederberg Rock Paintings, published in October 2003, is the latest publication in the Follow the San series. The text, written by Professor John Parkington, is illustrated with over 200 colour photographs, tracings, and diagrams.

John Parkington locates 'scholarship' at the centre of the academic identity and sees this as informing teaching, research and responsiveness or extension work. On the one hand, labelling the project as 'extension

work' helps fulfil the social responsiveness function of higher education. On the other hand, the strong links between the project and the discipline constitutes its knowledge base. The project offers academics and students the opportunity to learn to teach in different contexts e.g. not only in working with the schools, but also having postgraduate students teaching the schoolchildren, thereby learning about teaching archaeology and history in different environments. The project also links closely with students' research: currently three postgraduate students are doing their Honours projects on devising a database for the project.

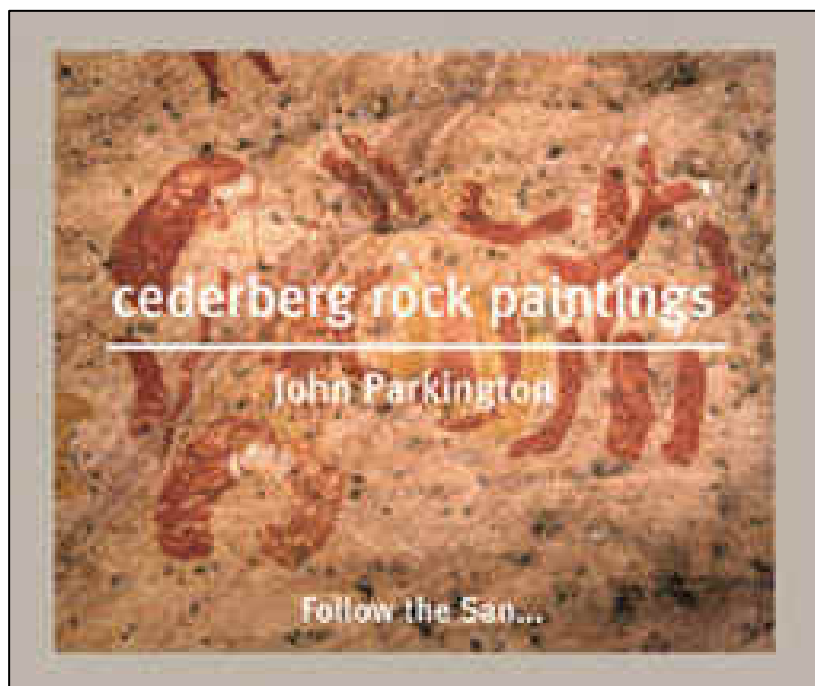
Finally, Parkington comments that this form of scholarship not only enhances the discipline, but that the responsiveness of projects like this one serves to link the discipline with issues of transformation in South Africa. He put it like this:

"... projects ... can surely play a role in embedding archaeology into the social history of South Africa ... everybody's got a landscape. So what is it around Beaufort West that you would pick on? ... It might not be rock painting, it might be something else; but there'd be something there that people walk past every day, in which there's a story that can be used. ...

"There's a ... three-way relationship between research, conservation and social transformation ... the idea being that research enriches the process by collecting the information; conservation is what we need to do; and social transformation is the way we do it.

"We can conserve by transforming people from potential graffitists into potential guides – that will effect conservation in the best way, I think, but it can be fuelled by the knowledge that comes from research. So I don't separate these; I rather see it all as one thing" (Interview 13/10/05).

Parkington sees the Living Landscape Project as expressing the relationship between the discipline of archaeology and society. Knowledge is used and recognised in different ways when it is fed into different arenas:



"I was part of a committee trying to write a document for the Department of Science and Technology; it was called 'The Paleo World Initiative' and immediately I found myself urging that we didn't just talk academic things, but ... recognised that when the government said they wanted 'big science', they only really wanted big science so long as it was tied to transformation. They couldn't say that ... It's finding a resonance with different processes which are not internal to the discipline and its own introspective kind of progress, but very much having to do with the relationship between the discipline and society" (Interview 13/10/05).

Adding value to UCT and the community

Parkington feels strongly that this form of scholarship has many benefits for UCT as an institution, as well as for its students. For example:

- There is an opportunity for the University to enter into a partnership of some substance since UCT has a good foothold in the community through the work it has done over the years.
- The project offers UCT a chance to deepen its understanding and possibilities for engagement because the site offers unique opportunities for a range of disciplines to work together to develop a 'thick description' case study.
- 'Engagement' is an important concept to operationalise – there is the need to be engaged with something specific, not just in a general sense. A project such as this one therefore adds value by enabling "communities to see the university not simply as a kind of ivory tower, but as an involved institution" (Interview 13/10/05).
- It creates 'more engaged UCT students'. Parkington emphasises the fact that "almost none of our students now would imagine going and doing something without, say, inviting some of the local school children to come along ... when they make a GIS model of rock art sites on the landscape, it's not just a research tool ... [it] would have some other kind of utilisation, amongst other things in eco-tourism, some kind of local community development project ... so they become embedded in the community as well ..." (Interview 13/10/05).
- According to Parkington, the Living Landscape Project has not only helped the community to see the university in a positive light; it has also helped members of the University itself. He argues that interest in the project 'has snowballed' with academics in other departments now involved in projects at Clanwilliam as well: Pippa Skotnes (Fine Arts) and Mark Fleishman (Drama) are involved in the annual lantern festival (an event that involves school children and other members of the community telling some of the San stories and fables) while Susan Levine (Anthropology) wishes to do some organic food production projects with women. He describes the benefit to UCT in this way: "If in ten years' time the people of Clanwilliam can see that UCT's got involved in half a dozen projects, which is an income to people, or improves people's health, I take it for granted that that's a good thing for UCT" (Interview 13/10/05).

From the community's perspective there have been multiple benefits over the years. The different ways in which these have accrued include:

- making visible the considerable historical resources that lie in the community through the rock art and other archaeological resources;
- providing some resources in the form of history that local community members can turn into jobs in tourism;
- working with schools and school teachers;
- possibilities for job creation and eco-tourism projects; and

- the skills of fundraising that UCT could potentially offer to the community.

UCT has a strong foothold in the community because of goodwill created through the project and this has enabled it to work at developing its relationship with the community over the past ten years. This facilitates potential changes in the attitude of the community, “not only to UCT but to archaeology as well.”

Evaluation and recognition

While Parkington sees evaluation as being very important, he cautions that one needs to approach this creatively so that it is not just a ‘bean counting’ exercise; instead, it should reflect the real work that gets done. One approach is to develop ‘socially responsive’ ways of evaluating that can develop community research skills at the same time (for example, getting the community involved in the evaluation by collecting data and developing the research skills necessary to do this). He suggests that for academics the responsiveness category should be measured according to a different set of criteria from more conventional research and even from teaching, but should nevertheless be directly linked to aspects of more traditional scholarship and be drawn from the same base.



The Deputy Vice Chancellor of UCT, Cheryl de la Rey (right) and UCT's research development officer, Margaret Ward (centre) with Eldridge Johnson (left) during a visit to Clanwilliam to get a first-hand appraisal of the Living Landscape Project.

Parkington concedes, however, that it is very difficult to evaluate qualitative work of this nature. Using the Living Landscape Project as an example, he suggests that one could use the following indicators:

- the number of school children who have come through the programme and the ways in which the children display their work;
- whether rock art paintings are viewed differently in the future – not just as historical artefacts for a few people to understand, but as a resource and part of the history of a particular people;
- the number of jobs created through the project – directly or indirectly; and
- the extent to which projects themselves can generate funding. For example, over the years the Living Landscape Project has sold over R203 000 worth of books that came out of the project, and in 2004 it had a turnover of R306 000.

Finally, one can look at UCT itself and at the number of departments that come to see the value of the site for community-based teaching and socially responsive research. This would be an example of ‘density’ in engagement – deepening the institutional understanding of possibilities for engagement at one site for more sustainable impact.

Significantly, Parkington notes that it is easy for him to get involved in socially responsive work because he has reached the top of the promotions ladder and does not need to justify his academic position any longer – unlike younger, less experienced academics seeking opportunities for conventional academic publication. This needs to be taken into

account in evaluating the performance of academics against the criterion of social responsiveness, and ways should be found to support academics who are engaged in this form of scholarship. The nature of the work demands that much of it takes place during 'private time' e.g. spending part of the weekend travelling to the site or attending meetings in the evenings and over weekends. Depending on what is happening at the site, Parkington estimates that he currently spends between 20 and 40 per cent of his time on socially responsive activities.

In seeking to recognise this form of scholarship and the outputs generated through this work, Parkington referred to the example of the Distinguished Teacher Award, the research awards and suggested an award for outreach or responsiveness. He also advanced the following conceptual framework:

"I remember drawing a diagram of this for myself ... let's say that you had at the core academic ... scholarship. ... That scholarship could find its outlet in publications; it could find its outlet in teaching; but it could also find its outlet somewhere else. In other words, I think it's a matter of the university learning to redraw its diagram for these things. At the moment I think the diagram is very hierarchical. But if it could redraw the relationship between scholarship and allow it to be [fine - unclear], I think there will be a lot of opposition to it because the evaluation is not just a way of finding a way to reward people, it's finding out whether it's actually being done properly" (Interview 13/10/05).

He cautions that there is an 'inherent prejudice' against this [responsive] form of scholarship: "Most people don't believe it is what academics ought to be doing." For this reason he believes that the lack of recognition is "partly due to a lack of an evaluation method ... [and] partly a very strong inertia on the part of academics to rate this kind of thing (whatever we're going to call it) alongside publications and PhD students. And I suppose that's because historically those have been the things that other archaeologists and other academics are supposed to do" (Interview 13/10/05).

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8 Community service and engagement with the legislative process: Social responsiveness in the Faculty of Law

Social responsiveness in the Faculty of Law takes a number of forms, two of which are described here: the introduction of community service for all students registered for the LLB degree, and engagement by the academics with the legislative process through their involvement in projects of the South African Law Commission.

Community service for law students

In August 2004 the Academic Planning Committee of the Faculty of Law recommended that every student registered for the LLB degree must complete a stipulated number of hours of unremunerated community service in order to qualify. This recommendation set in motion a labour-intensive process, steered by a sub-committee of the Faculty Board, to develop a framework for community service and a mechanism for implementation.

In pursuit of a workable framework the Committee undertook various activities. It consulted with student bodies and various non-governmental organisations, it developed indemnity policies and negotiated a budget for a pilot project.

Furthermore, a pool of 'service suppliers' for the community service were identified. It soon became apparent that the creation of an administrative infrastructure to support the initiative was vital to its success. The development of assessment criteria to evaluate the work of the students also received attention and, finally, training workshops were developed for students and staff involved in the project.

The UCT Law Clinic provides practical legal training to senior law students while at the same time rendering free legal assistance to impoverished communities who would not otherwise have access to professional legal services.



The pilot project was launched on 22 April 2005. Students voluntarily signed up to a range of service providers as follows:

- Some 80 students were signed up to do legal aid work through the Law Clinic of UCT – a long-established institution involved in outreach activity.
- The second largest group of 49 students were deployed in various development activities organised by the Black Law Student Forum's Development Project. Students tutored at the Sithembele Matiso Secondary School and New Cross Roads, in English, Mathematics and Science.
- Sixteen students were deployed to NICRO where they help deliver assistance to families of prisoners.
- Twelve students were deployed to MOSAIC, a non-governmental organisation involved in the provision of services to battered and abused women.
- Others were deployed in support of the Parliamentary Monitoring Group.
- A further group of students became involved in the running of paralegal workshops in support of the Treatment Action Campaign.
- Three students were deployed as paralegals to The Black Sash.

The pilot project has proved very successful. Many lessons have been learnt during the pilot phase and the faculty looks forward to a more streamlined programme whereby students can become more actively involved in the delivery of community service. The project amounted to a major undertaking for the academics involved and this in turn raised the issue of recognition for this kind of work, as outlined above.



Dirk, a student, takes learners through a Nadine Gordimer short story at the Sithembele Matiso Secondary School. Students provide tutoring to English Second Language Higher Grade learners.

Engagement with the legislative process

Professor PJ Schwikkard is one of the academics in the Faculty of Law who is involved in processes related to the drafting of legislation through their involvement in South African Law Commission projects. Faculty staff choose to involve themselves in the Law Commission projects because these tend to be closely aligned with their teaching and research activities. The Law Commission work is thus not seen as an 'add-on'; were this not the case, there may be more competition between social responsiveness and teaching and research in law.

The primary purpose of the academics' socially responsive involvement derives from a commitment to enhancing the efficacy of the criminal justice system and improving the efficiency of the system on the basis of constitutional values. This raises an interesting problem because constitutional values and the public perception of criminal justice may be in tension with one another. The work with the Law Commission thus involves trying to balance the promotion of constitutional values with the public's demand for efficiency.

With regard to the issue of academic identity, Schwikkard's policy work correlates closely with her teaching and research interests. Academics get involved in Law Commission work precisely because of their acknowledged expertise which derives from their own research. They may be approached by the Law Commission to write discussion papers, or may be asked to comment on papers. In other words, their policy involvement can take different forms and individuals participate in the process at different points, with different levels of expertise. All these activities may be construed as socially responsive.

The needs are identified by the Law Commission and examples of projects include the following:

- an examination of the impact of the Bill of Rights and the Criminal Procedure Act;
- the simplification of criminal procedure including plea bargaining;

- the introduction of inquisitorial aspects to the criminal justice system;
- the use of electronic equipment in court procedures;
- an examination of the entire body of the law of evidence; and
- examining the criminalisation of sexual offenders who know that they have the HIV virus.

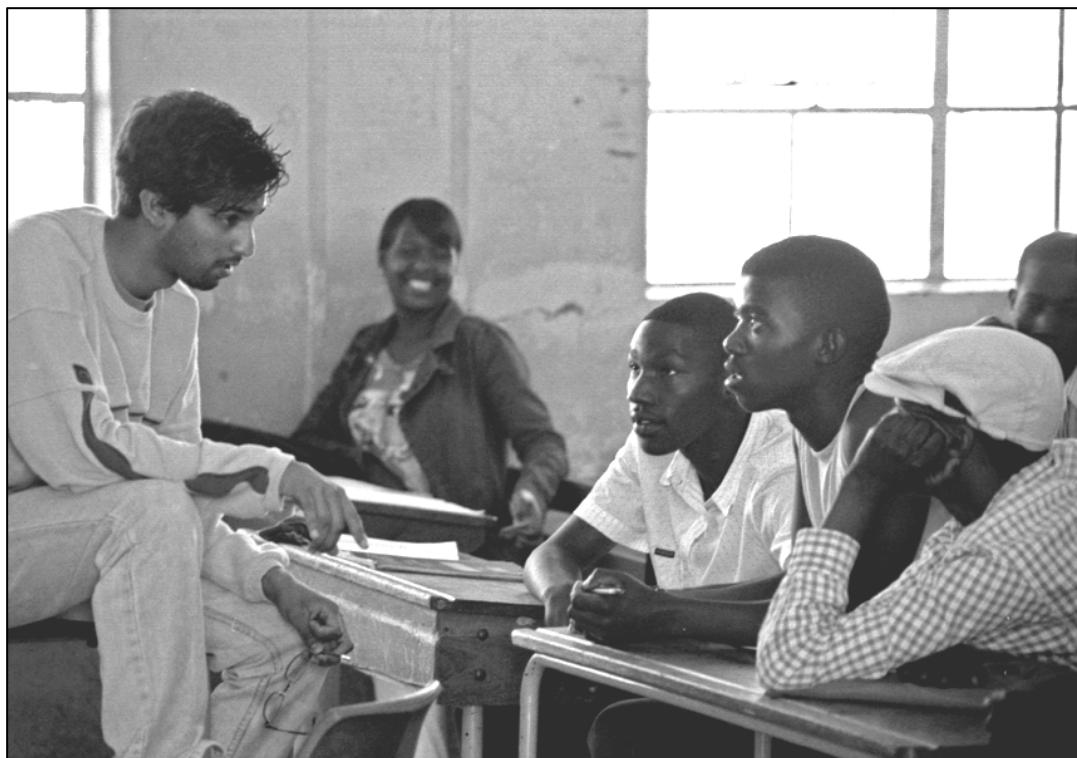
Work with the Law Commission involves interacting with the legal profession, non-governmental organisations, politicians and different constituencies, depending on the project. For example, work related to sexual offences involves non-governmental organisations working in that area. It also involves working with magistrates, various lawyers, advocates and judges. In order to ensure that conflicts are identified, the Law Commission tries to operate in a consultative manner, subject to time constraints and the availability of money. The committees are generally composed of people with a diversity of views, so the outcome tends to be a product of compromise. Even in those situations where academics draft the discussion documents and the reports, these very seldom reflect the authors' personal views because they have to accommodate a wide range of perspectives.

Impact on teaching, research and publication

The academics' engagement with the social context enriches the teaching environment whilst impacting on their research. For example, the Law Commission process allows for an extensive engagement and debate with the profession and with politicians. This provides an insight into the application of theory and the law. Engagement with the Law Commission thus broadens the 'black letter law' approach. It contributes to an understanding of law which is embedded in different social contexts and takes account of the role of power and politics. The experience gained through this kind of policy involvement makes it easier to demonstrate to students how law 'happens' and greatly enriches teaching.

It is not difficult to translate the work undertaken for the Law Commission into peer-reviewed articles, but there is little intellectual incentive to do so. This is because intellectual engagement around the issues is part of the process which involves debate and discussion with peers, sometimes even in the international context. Furthermore, the Law Commission's products are accessible on the internet. Whilst it might be possible to gain recognition in the University by publishing articles about specific issues examined by the Law Commission, the issues would generally "have been debated to death by the time the article was published". It is, however, possible to write articles based on the Law Commission's work and, in fact, many people do so.

One of the differences between writing discussion papers for the Law Commission and writing for a peer-reviewed journal is that in the case of the former there are no limitations on length. Furthermore, the audiences for the outputs are very different: whilst both the reports and academic articles may follow a similar style of discussion, the writer of the Law Commission report cannot assume an expert audience because the audience is much broader. Perhaps one of the reasons why engagement with the Law Commission can be described as a socially responsive activity is precisely because it involves communicating beyond the expert audience. Writers have to adapt the language and presentation of their reports to a diverse readership.



Kriss, a student, helps learners with Comprehension skills at the Sithembele Matiso Secondary School.

The Law Commission work holds considerable value for UCT because it enriches research and teaching and raises the profile of the academic staff involved. There are also enormous networking benefits at various levels because the Law Commission establishes committees that cut across numerous institutions, non-governmental organisations and the legal profession. In this way they provide a good basis for networking outside the immediate faculty, and beyond the Western Cape. Law Commission activities also tend to result in invitations to international conferences, extending the benefits even further. In addition to the work produced for the South African Law Commission, the range of outputs from academics includes consultancies, discussion papers and reports.

Evaluation and recognition

The ultimate target of the work of the Law Commission is parliament, because that's where the reports eventually go. Hopefully the products generated by academics contribute to a more coherent legal approach and more effective legislation from which all or most people can benefit.

The extent to which these activities add value to community organisations depends on the nature of the needs being responded to. It is also important to distinguish between different communities that are served, such as scholarly communities, professional communities, geographic communities, and so on.

In many instances the products are subject to extensive peer review through a lengthy consultative process that involves a number of stages. Initially a preliminary discussion paper is debated by a committee. These debates inform a second draft discussion paper that is usually produced in collaboration with other researchers in the field. This draft is then discussed by the relevant committees, after which a third draft discussion paper is produced and distributed to members of the profession, non-governmental organisations

and ultimately to members of parliament for their input. Final reports are compiled following receipt of all the inputs. The reports are discussed in the Justice Parliamentary Portfolio Committee and in the relevant legal departments, and they serve as the basis for legislation which is once more open to public comment.

An assessment of the contribution of the academics must be seen in relation to the impact of the Law Commission's work on the legislative process. The deliberations are always read and debated by the relevant legal departments and justice committees. Even when recommendations are rejected, the process of engagement undoubtedly



influences the legislation in some way. So the deliberations generally help to set the terms of reference for debate, even when the process does not always lead to a clear policy outcome. However, this makes it difficult to assess the direct impact of the contributions of individual academics to the work of the Law Commission.

Teachers from Sithembele Matiso Secondary School and students from UCT at a social development tutoring workshop.

Professor Schwikkard estimates that she spends between 3 and 20 per cent of her time on socially responsive activities, although this varies from year to year. She feels that while the Law Commission work lends itself relatively easily to the requirement of peer review, it is important for the University to be more imaginative about how to conduct a form of peer review that recognises social responsiveness.

For example, as outlined above, many of the socially responsive activities in the Faculty of Law are directed at shaping government policy or are related to the work of non-governmental organisations. Outputs that involve training are more difficult to measure and assess. For example, making community service a part of the curriculum should be seen as one component of social responsiveness. Similarly, the involvement of academics in the Legal Aid Clinic should be viewed as a key component of the faculty's social responsiveness. Schwikkard suggests that in defining social responsiveness it may be necessary to distinguish between activities that generate profit or consultancy fees, and other activities that are responsive to social needs.

References

Interview with Professor PJ Schwikkard, 11 October 2005
Correspondence between the Institutional Development Planner and Esther Steyn (October 2005)

9 Shaping policy for children through evidence-based advocacy: Social responsiveness through the Children's Institute in the Faculty of Health Sciences

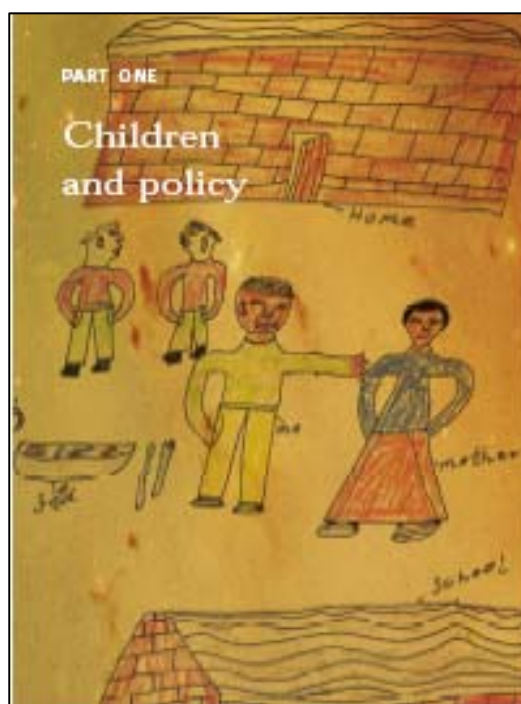
The Children's Institute was established in 2001 to harness the collective academic capability in the University to promote enquiry into the situation of children, to share this capacity through teaching and training programmes, and to present evidence to guide the development of laws, policies and interventions for children. The work of the Children's Institute is aimed at promoting the principle of taking the best interests of the child into account and ensuring that children are given primary consideration by society.

The objectives of the Children's Institute are to:

- characterise the major challenges confronting children in South Africa;
- conduct policy research, analysis and commentary;
- provide evidence-based information and technical assistance to all relevant role players in the policy-making process;
- undertake training and teaching;
- promote and impact on policy-making decisions that affect children's well-being; and
- disseminate information and research findings to all interested, involved and affected role players.

The institute runs four main programmes:

1. The Child Rights Programme which aims to promote law reform debate and decision-making that is informed by evidence, consultation with the children's sector, and ongoing analysis of the main challenges facing children.
2. The Child Health Services Programme which aims to contribute to the development of health policies, laws, programmes and services for children.
3. The HIV/AIDS Programme which focuses on promoting and facilitating an appropriate policy, programming and funding response to the impact of adult morbidity and mortality in the context of HIV/AIDS on children in South Africa.
4. The Child Poverty Programme which aims to address and mitigate the impact of high levels of poverty in all its dimensions on children in South Africa by monitoring the government's poverty alleviation programmes and social security for children.



It defines its value base as one that strives to achieve excellence, promotes an interdisciplinary research focus, develops indigenous models of policy and intervention, and respects diversity.

The choice of activities is informed by a desire to inform policy and service needs in relation to child rights, with a particular focus on the needs of the most disadvantaged. Needs are identified in the following ways:

- (i) Staff scan websites dealing with law reform, developments in government and parliamentary debates to identify legislative and policy processes (such as the Children's Bill) that are underway, and identify where interventions may be appropriate.
- (ii) Staff regularly review the areas in which they work to identify particular needs or problems. Research is then initiated to influence the institute's engagement with the issues.
- (iii) Stakeholder groups bring children's issues to the attention of the Children's Institute. These groups include other academics, researchers, members of government or civil society organisations. For example, paediatricians from the Red Cross Children's Hospital brought the issue of chronic diseases in children to the attention of the institute which convened a national roundtable discussion on these challenges. This resulted in national policy being developed to cover this gap in service provision for children.

The Children's Institute works with a range of institutions and organisations including national government, parliament, children's organisations in civil society, provincial government departments, schools, and service providers with capacity in health and social welfare. They are also starting to work with local government on aspects of the municipal integrated development plans. Approximately 70 per cent of the institute's activities respond to government political processes.

Their strongest partnership has been with civil society around the Children's Bill. On the basis of this experience Dr Maylene Shung-King, Deputy Director of the Children's Institute, defines the elements of a good partnership as being the following:

- a common goal
- clear time frames
- clear end points
- competent co-ordination
- a clear understanding of the roles and responsibilities of different players
- no fighting over resources.

How scholarship informs output

The Children's Institute produces a wide range of outputs. They include:

- discussion papers e.g. "The children's rights chapter of the draft Children's Bill";
- popular journal articles e.g. "Children experiencing orphanhood: The role of the health sector in addressing the needs of children experiencing orphanhood";
- policy and law submissions e.g. on the Social Assistance and Children's Bills;
- policy and law reform updates and alerts e.g. on the child support grants;
- opinion pieces published in newspapers e.g. on social security and the Children's Bill;
- presentations at conferences, seminars and workshops;
- research reports such as a report on the evaluation of the Western Cape's Screening Programme for Developmental Disabilities in Pre-school Children;
- case studies on various topics e.g. the study of injuries and deaths in children; and
- pamphlets and booklets for organisations, companies and individuals who want to help children in need.

The institute describes its methodology as having three components: partnerships, networking and evidence-based advocacy. The outputs are described as evidence-based because they draw on different sources:

- primary and secondary research;
- roundtable policy discussion on defined issues with role players from different levels of government, academics and civil society organisations. These discussions are organised around background papers produced by the institute and distributed before the discussions; and
- discussions that take place over a period, drawing on oral evidence from stakeholders.

As far as possible, staff scan formal literature, but often the literature doesn't adequately address the issues they are dealing with. For this reason they need to draw on the experience of communities to inform submissions and promote public participation in the policy-making process.



In the case of the Children's Bill, for example, the institute co-ordinated a national children's sector campaign to highlight the need to improve the Bill before it became law. A working group was established and successfully prevented the fast-tracking of the Bill before the 2004 elections. Organisations from rural areas, community-based organisations and sub-sectors that tend to be marginalised in law reform alliances, were purposively recruited to participate in the process. The institute hosted four workshops to explore how to improve the Bill and the workshop outcomes informed written and oral submissions to parliament.

In addition, information gathered from the institute's work on social assistance for child-headed households helped the children's sector develop a position that was carried forward into the deliberations on the Children's Bill. The background discussion paper investigated the incidence of child-headed households and analysed the problems experienced by children living in child-headed households in accessing social assistance. It therefore argued that under certain circumstances it may be in the best interests of the child that child-headed households be recognised as a legitimate family form. Once recognised, children living in child-headed households require social assistance from the state if they are unable to support themselves or their dependants.

This example demonstrates that the policy advocacy process around the Children's Bill combined research and networking to inform submissions that ultimately influenced the shape of the legislation. The process ensures that when the Children's Institute and its partners make submissions to parliament, they don't "shoot from the hip" and this has been noted with approval by the legislators. For example, when the institute made a submission on firearms, the chairperson of the parliamentary committee commented that it was "really nice to have a group of people coming in with clear research to back them up ... not engaging in a whole lot of emotional arguments from the heart". This demonstrates an appreciation of the intellectual base that underpinned the arguments in the submissions.

Enhancing research and teaching at UCT

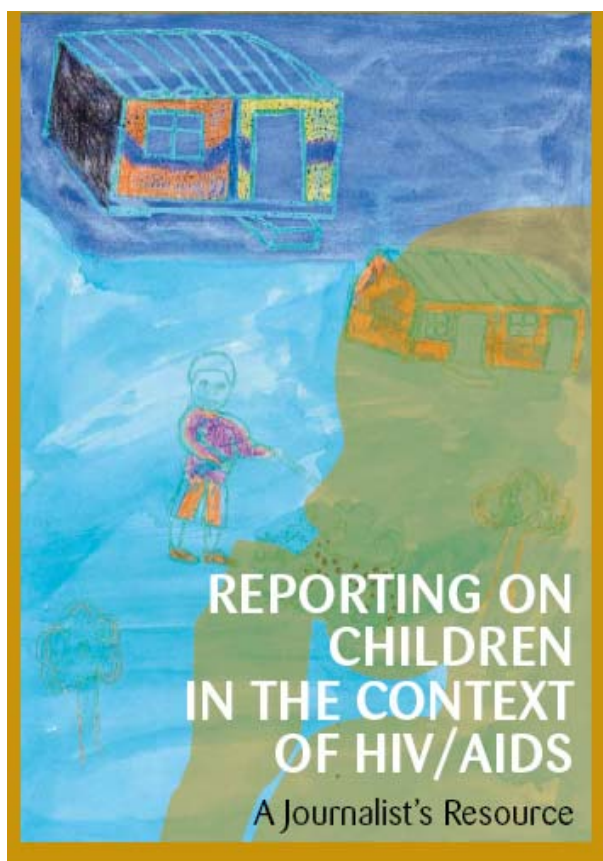
Although the Children's Institute works mainly with government and civil society organisations and must ensure that its outputs are accessible to these constituencies, it recognises that writing for peer-reviewed journals is strategic to fostering academic acknowledgement and respect. It has responded to international interest in its unique methodology through the production of a booklet entitled *From fieldwork to facts to firearms control. Research and advocacy towards firearm control legislation in South Africa: A case study* and currently has 12 articles in production. Given its mission, however, the institute's primary constituency will continue to be government and civil society and it must thus continue to strike a balance between communicating with these audiences and making its mark through academic publications.

The institute also engages with the University's teaching processes in the following ways:

- Staff give *ad hoc* lectures in their home disciplines and participate consistently in monthly seminars for fifth-year MBChB students.
- One staff member teaches a ten-week module in the Maternal and Child Health Organisation and Management module for the MPhil programme. This is a distance learning programme and staff at the Children's Institute developed the course. They tutor students electronically and participate in setting exams, but receive no additional remuneration for this work.
- Staff teach in short courses and produce accompanying materials. They respond to requests to teach different modules and have hosted information systems students on service-learning projects.
- Looking outside the University, the institute has co-developed an in-service training course on child health policies for government officials.

The staff also supervise postgraduate students and are inundated with requests for information from master's and Public Health students, both locally and abroad. While there are no formal internships available, the institute does arrange short placements for foreign students.

The value of the Children's Institute to UCT is closely related to the way it bridges the academic and policy environment. Without its roots in scholarship and research, the work of the institute would be much closer to that of a non-governmental organisation. It is, however, not an NGO and its rationale is to make sure that public policy with regard to children has a credible academic base. This provides an opportunity to ensure that significant academic work produced by academics at UCT informs policies and policy-formulation processes.



The institute also functions as a bridge between the University and policy formulation in a way that facilitates knowledge transfer. While the role of many organisations in civil society is to engage in lobbying, their relationship with the Children's Institute helps to infuse academic perspectives into the advocacy process. In this way research findings are able to impact on the wider community. The knowledge management division of the institute helps to manage this interface.

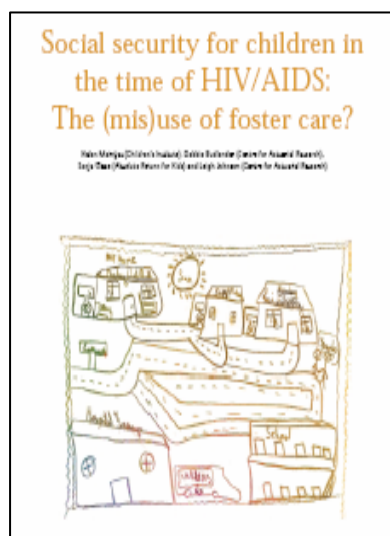
No research has been done on the institute itself, and its staff feel that they could do more to support UCT's research endeavour if there were formalised arrangements with departments that train postgraduate students in fields related to their work. The University needs to think more carefully about the best location for multidisciplinary units like the Children's Institute and about ways of supporting the core staff, not just through the provision of infrastructure and administrative support.

Evaluation and recognition

It is difficult to assess the impact of the institute's work because the outcomes of the activities are generally influenced by multiple factors and variables (as was the case with changes to the Children's Bill). In most cases the impact of the work of the Children's Institute is assessed through feedback received from individuals and organisations about the activities and outputs. In the case of the work on the Children's Bill, however, it was decided to conduct a formal evaluation. This approach is resource intensive and the evaluation has thus been commissioned in partnership with the School of Government at the University of the Western Cape and a reference group.

At the end of 2005, staff undertook a strategic planning exercise that looked at how to build evaluations and impact assessments into their work from the outset. Indicators are being identified to evaluate progress over time and at the request of the funders, a formal five-year evaluation will be conducted.

As far as recognition is concerned, the institute has one tenured member of staff. There is a perception that staff do not get more recognition from the University because they do not produce sufficient peer-reviewed articles and do not teach as much as staff in other research units. The fact that much of their work is multidisciplinary in nature and is focused on applied research is possibly also a factor.



In the view of staff, the University's incentives and rewards should be more flexible in order to accommodate different kinds of scholarly outputs. Their proposals include:

1. Recognition for a wider diversity of academic output such as discussion papers, fact sheets, submissions to parliament, monitoring reports, case studies and policy evaluations.
2. Recognition for different kinds of teaching activities e.g. in-service training for non-UCT students or constituencies.
3. Recognition for the importance of advocacy by an academic institution, given its mission to serve the public good and provide public intellectual comment.
4. Expanding the notion of 'service' to encompass technical assistance to government and civil society.

Members of the Children's Institute believe that staff in different contexts should be evaluated in relation to the criteria for 'Rate for Job' and that these criteria should be used in a flexible way to take account of the different contexts within which staff work.

So when the University is looking at the socially responsive institutes, or institutes that primarily do applied research in the policy arena, for example, it needs to apply criteria that are fair. In each of the four categories mentioned above there is a need for alternate ways of recognising or identifying, firstly, what products, services or forms of technical assistance exist and, secondly, to adopt a process that identifies which activities should form the core of evaluation in different contexts. It would then be necessary to establish equivalences.

For example, how does one compare someone who has produced 30 peer-reviewed articles with little impact, with someone who has produced five submissions to parliament with huge impact for the country and its children? Both instances should be recognised in terms of academic standing and credibility, but this involves a major mind-shift because it challenges the traditional zones in which academia operates; it challenges the way the University thinks about academic credibility and challenges the thinking about impact assessment.

Any changes in the recognition system would need to ensure that mechanisms were in place to assess the academic basis of the work. As Dr Shung-King says, "People must be able to proudly say that 'my discussion paper, or my submission to parliament, is based on good research, based on good evidence and is as credible as your laboratory based research.' And neither is necessarily better than the other."

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- Interview with Dr Maylene Shung-King, Deputy Director, Children's Institute, 19 September 2005

Section Three

Analysis of the descriptive cases

The descriptive cases in this report cannot be taken as representative of social responsiveness across the University, but they provide important indications of the character of social responsiveness and the policies that UCT could consider developing in order to enhance socially responsive teaching and research.

This analysis summarises the findings across the key themes explored through the descriptive cases researched for this report. The purpose of this is, firstly, to provide UCT with a possible analytic framework for describing a range of scholarly activities reflecting different forms of socially responsive engagement. Secondly, we refer to an analysis (in the Appendix) of the completed performance evaluation reviews from one faculty. The purpose of this is to illustrate the challenges in determining appropriate information to collect for evaluating socially responsive activities in support of 'Rate for Job' and promotion decisions. The third part of the analysis extracts possible policy and conceptual implications for UCT. Finally, it proposes ways in which UCT can enhance its contribution to local, provincial, national and international development and value this dimension of academic work.

1 Summary of key themes

1.1 The meaning of social responsiveness

All the cases describe activities aimed at addressing, or engaging with, different kinds of needs through scholarly activities. In most instances the needs are expressly articulated by government or other stakeholders. However, there are also examples of the proactive identification of needs by the University's academics or units. For example the case of the Children's Institute outlines various ways of choosing activities, including the scanning of law reform, government websites and parliamentary debates to identify processes where interventions may be appropriate. Being proactive is seen as essential to promoting the public good in line with the historic mission of higher education. The case of the Minerals Processing Research Unit shows that while many of its projects are initiated in direct response to requests from industry, some of its research is more fundamental in nature and is initiated by the staff themselves with a view to supporting innovation in the industry in the longer term. This case illustrates the responsive nature of use-inspired basic research (Stokes 1997).

The cases cover wide-ranging needs such as economic growth, HIV/AIDS, occupational health and safety, land reform and redistribution, urbanisation, social reconstruction, criminal justice, and the wellbeing of children. Several of the cases involve an emphasis on issues of social justice, empowerment of disadvantaged sections of the community and social reconstruction using methodologies that recognise different types of knowledge. Three of the cases illustrate a conscious commitment to using scholarship to help shape and influence public policy with a view to promoting development within South Africa.

1.2 Scholarly form of responsiveness

Many of the cases illustrate the interconnectedness of teaching, research and social responsiveness since the core activities themselves are underpinned by social responsiveness. Much socially responsive work can, and does, culminate in conventional research outputs or conference presentations. However, the cases contain evidence of a much wider range of scholarly outputs than is conventional in the academy. Most of

these involve different forms of knowledge transfer, or the application of theory in addressing problems and development challenges.

The nature of the work done by the unit or individual directly shapes the ultimate form of the product, but all the products consciously infuse academic perspectives into the outputs or the socially responsive activities. Most of the cases show the interconnections between the scholarship of the University and engagement in the wider society with the academics concerned acting as a bridge between the world of the academy and the society at large through appropriate forms of knowledge transfer or knowledge management. This strengthens the notion that the University is in fact part of the wider society, and that it has a particular role to play in that context. In fact, several people argued that activities based at the University must be informed by scholarship to distinguish them from activities provided by non-governmental organisations, but also that the links with scholarship are vital in strengthening the socially responsive activities themselves.

The range of scholarly outputs referred to in the cases includes:

- policy documents including draft legislation
- strategic research
- monitoring reports
- short courses
- patents, artefacts and instruments
- website information e.g. the AIDS model
- popular journal articles or booklets
- newspaper articles
- submissions to government
- evaluations or project reports
- maps
- discussion papers
- case studies.

These products are described as scholarly in that they are all grounded in rigorous research, disciplinary expertise, or the application of technology. This link with scholarship was described as important by all of the interviewees. As Professor Ntsebeza has said, “being an advocate of the poor means advocacy documents must not be found wanting” or as Dr Shung-King says, “When they make submissions to parliament they don’t shoot from the hip. They combine research and discussions with stakeholders to inform submissions.”

Furthermore, several cases raise methodological and knowledge-related questions in that they describe different modes of research, recognise and value different knowledges, and utilise practices that affirm reciprocal benefits to the University and the community through the socially responsive engagement.

1.3 Values underpinning the activities

Most of the cases highlight a desire to contribute to the development and transformation of society through scholarship. Other values mentioned include a commitment to sharing information, making knowledge accessible to the wider community and public, working at the interface between theory and practice, being recognised internationally, wanting to work with disadvantaged communities, workers and trade unions, wanting to combine the dual roles of academic and activist, recognising and valuing different knowledges, working in partnership with people in the community, promoting the values of the constitution, commitment to excellence, and generating indigenous knowledge. Hence

the cases illustrate that social responsiveness at UCT is strongly driven by individual academic interests and values. However, these and other studies suggest that if institutions are to be “effectively engaged with their communities and regions, they cannot do so with activities at the margin – engagement must become a core value of the institution and incorporated into all key activities of the enterprise” (AASCU 2002:15).

This view is also reflected in “The Talloires Declaration on the Civic Roles and Social Responsibilities of Higher Education” which was adopted by 29 University Presidents/Vice-Chancellors/Rectors from 22 countries on September 17, 2005 at Tufts University in Talloires, France. The declaration urges universities to

“... embed public responsibility through personal example and the policies and practices of our higher education institutions and to create institutional frameworks for the encouragement, reward and recognition of good practice in social service by students, faculty, staff and their community partners (because of the belief that) universities have the responsibility to foster in faculty, staff and students a sense of social responsibility and a commitment to the social good, which we believe is central to the success of a democratic and just society.”

1.4 Relationships to academic identity and job descriptions

Several of the case studies capture the sense of personal growth and development which academics and students have experienced as a result of their socially responsive activities. They describe how the interviewees have relished the opportunity to apply theory to practice and reflect on how this has deepened their understanding of issues. They also illustrate how the socially responsive activities open up new possibilities for research or knowledge generation. Several of the interviewees chose to describe themselves as academics and activists with the base, resources and scholarship of the University enabling them to play activist roles more effectively by using scholarship to advance social justice.

The case descriptions show that for most of the academics involved there is a strong correlation between their socially responsive activities, and their teaching and research interests. There is also a strong desire to determine their research and teaching activities in relation to the needs of the South African and African continent. This kind of approach illustrates how socially responsive research can also help challenge dominant thinking internationally about research agendas.

1.5 Impact on teaching

All of the academics draw on their socially responsive activities to varying degrees in their teaching. The manner in which this is done ranges from using lessons derived from social responsiveness to illustrate or explain theoretical constructs, reviewing the design and content of the formal curriculum to ensure that appropriate knowledge and skills are covered, introducing new courses to address gaps identified through practical experience in the field, and providing sites for postgraduate students to acquire research skills. Students involved in service learning projects gain opportunities to learn how to apply theory in practice and postgraduate students involved in the research initiatives have opportunities to develop research skills and gain deeper insight into the contexts in which their studies could function.

Given the focus on different “knowledges” raised by some of the cases, there was a view that the socially responsive activities can “challenge the boundary of what constitutes the discipline by involving a wider range of stakeholders” (Oldfield). Hence the socially

responsive activity was seen as enhancing teaching directly through structuring the teaching experience as one that takes place in both the classroom on campus as well as the community. All the cases illustrate that engagement in the community and national or regional development initiatives provided the academics with opportunities to reflect on theory through practice and deepen their understanding of the impact of social context. As Dr Oldfield said, “teaching-based research has provided a very useful forum and opportunity for developing new ideas about the curriculum, about assessment, and about what constitutes a socially useful product for the community, and a challenging learning opportunity for the students”.

Staff from the research units and institutes are drawn into teaching various components of undergraduate or postgraduate courses related to their socially responsive activities. In this way the students benefit directly from the knowledge staff acquire through social responsiveness.

1.6 Impact on research and constraints on converting socially responsive activities into research outputs

All of the cases illustrate interconnections between the socially responsive activities and research, and the strategic importance of writing articles about these activities. This emerges from the view that many of the socially responsive activities help to generate new knowledge that is relevant for third world contexts and may benefit people in other parts of the continent and the world if the experiences were written up in academic journals. In this way global recognition for new knowledge production is complemented by the local relevance of scholarship.

However, some interviewees indicated that not all the work they do is conducive to the production of peer-reviewed articles. For example, monographs are usually big documents that cannot easily be converted into research articles. Sometimes researchers, particularly those working in units, centres or institutes, are commissioned to do particular pieces of work and the ownership of the research findings by the commissioning agency may prevent them from publishing their results. Alternatively, the work may not be regarded as “interesting enough to form the basis of a publishable article”. The case study on the process of legislation suggests that it is not difficult to translate the work into a peer-reviewed article, but that often there is little intellectual incentive to do so, because the legislative process itself involves debate and discussion with peers. So the issue may have already been debated to death by the time an article is published. In addition, the outcomes of many projects are accessible on the internet and this removes the need to publicise results in journals.

Several of the case descriptions highlight the need to take account of the different audiences or constituencies involved in social responsiveness activities in determining the nature of the outputs. In many instances it may be absolutely essential to ensure that the products or outcomes are accessible to other constituencies such as government, local communities and industry and this necessitates writing in a non-academic style, publishing articles in popular journals, or writing booklets or newspaper articles.

When asked to list barriers impacting on their ability to publish, the interviewees cite the biggest constraint as being that socially responsive activities take a considerable amount of time and, given other pressures, it is difficult to find time to write. In the case of people working in centres and units, staff undertake activities to generate funding and this makes it difficult to find the time to write journal articles even though they recognise the value of doing this. The academics also referred to the fact that the nature of their mission involves having to be responsive to needs and hence they constantly move from

one focus to another. As a result there often isn't time to reflect and write. Several referred to the fact that in certain instances they may be constrained from publishing within particular time frames, for example where work is done for particular companies.

1.7 Impact on UCT

Much of the work described in the cases was seen as having indirect spin-offs for the University because it helps to promote the University to government, industry and the wider community. The socially responsive activities help to keep the University in the eye of the public. It was suggested in some of the cases that social responsiveness helps to attract students to the University and widens the base from which university students are recruited for study. This is particularly significant in the South African context where many disadvantaged communities have little or no experience of an academic institution.

The activities add value because, as Professor Parkington says, they enable "communities to see the University not simply as a kind of ivory tower, but as an involved institution". Several academics spoke about the networking benefits at various levels because of the range of stakeholders with whom they interact with through socially responsive activities.

Most of the cases suggest that a major benefit for UCT is that the socially responsive activities enable research findings to impact on the wider community and work to the benefit of the nation because they help to bridge the academic and community environments. In this way the "good academic work that so many of our colleagues produce doesn't just sit and collect dust on the shelf, but helps to inform policies and processes on the ground" (Shung-King), and in so doing furthers the mission of higher education institutions to promote the public good. Interviewees stressed the reciprocal nature of social responsiveness because these activities help to enrich the curriculum and stimulate research whilst holding considerable benefit for the communities involved.

1.8 Contributions to public discourse

Several interviewees spoke about the need to publicise their research more widely, using outlets such as leader articles in newspapers or publishing in popular journals. This is seen as important because it helps to put research into the public domain. However it was suggested that this would only happen if academics were encouraged to devote time to "knowledge transfer" through an appropriate incentive system.

1.9 Partnerships

The cases described in the report include information on partnerships with government at national, provincial and local levels, international agencies, parastatals, organisations in civil society, employer bodies, companies, professional bodies, politicians, non-governmental organisations, professionals in particular fields, parliament, specialist agencies such as the Law Commission, and local community organisations.

References were made to certain characteristics of good partnerships such as the need for common goals, competence co-ordination, a clear understanding of the roles and responsibilities of different players, reciprocity and respect.

1.10 Recognition

Several of the cases illustrate that socially responsive activities involve academics and students operating at the interface between the academy and the wider society with

benefits for both parties. The cases describe a wide range of outputs which are informed by scholarship, but which also contribute to the development of new knowledge, for example, about the relationships between policy advocacy, scholarship and policy formulation processes. Whilst recognising the difficulties of measuring socially responsive activities and also the importance of continuing to encourage academics to write up their social responsive activities in publishable articles, several interviewees suggested that UCT should examine ways of incentivising more academics to contribute to the overall development of the country through engagement in socially responsive activities. The cases provide ideas for developing measures which would take account of the nature of the scholarship involved in socially responsive activities.

One person made the point that unless the University does this, it would really only be possible for senior academics to get involved in socially responsive activities because they are at the pinnacle of their careers within the University. They felt that younger academics are discouraged from spending time on socially responsive activities because conventional research outputs are presently perceived as the only route to promotion.

2 Analysis of information collected through the performance evaluation review process

The analysis highlighted the challenges involved in collecting information on social responsiveness from academic staff which would provide a comprehensive picture of social responsiveness in the institution in a manner that could be used internally and by external agencies to facilitate the development of new partnerships and interdisciplinary work, where appropriate, and enable the institution to evaluate the nature and impact of the scholarly outputs emanating from the socially responsive activities. (See Appendix for analysis of completed forms in one faculty in UCT.)

3 Assessment of conceptual issues arising from the analysis of the cases

3.1 Comparing UCT's approach with other conceptual frameworks

As mentioned at the outset of this report, the Social Responsiveness Working Group adopted a working definition of social responsiveness to guide the choice of cases to include in the report. This was:

“Scholarly based activities (including use-inspired basic research), that have projected and defined outcomes that match or contribute to development objectives or policies defined by a legitimate civil society organisation, local, regional or national government, international agency or industry.”

This definition is similar to the conceptual framework embodied in the *World Declaration on Higher Education for the Twenty-First Century* which states that

“... relevance in (or responsiveness of) higher education should be assessed in terms of the fit between what society expects of institutions and what they do. This requires ethical standards, political impartiality, critical capacities and, at the same time, a better articulation with the problems of society and the world of work, basing long-term orientations on societal aims and needs, including respect for cultures and environmental protection ... Higher education should reinforce its role of service to society, especially its activities aimed at eliminating poverty, intolerance, violence, illiteracy, hunger, environmental degradation, and disease.

The concern is to provide access to both broad general education and targeted, career-specific education, which equip individuals to live in a variety of changing settings” (Unesco 1998:8).

Using a definition that focuses on contributions to development is in line with models that describe engaged universities as key (regional) locational assets and powerhouses for economic development (Goddard 2000).

“Whilst universities have always contributed to the social and cultural development of the places in which they are located through a sense of civic responsibility, the emerging regional development agenda requires regional engagement to be formally recognised as a “third role” for universities not only by sitting alongside but fully integrated with mainstream teaching and research” (Goddard 2000:1).

The approach to responsiveness which encompasses a wider notion of development, including economic growth and social, cultural and political development, contrasts with the ‘entrepreneurial’ and ‘community engagement’ paradigms governing thinking about how higher education institutions engage with the wider society. According to Burton Clark (OECD 2001), entrepreneurial institutions have positioned themselves in an entrepreneurial environment as being primarily responsive to the needs of business and industry as a way of generating funds for the institutions to compensate for declining public resources for higher education. This has led to a significant increase in funded research and a focus on technology transfer, but has not sufficiently accommodated the role of higher education in contributing to equity, community development and the public good (Subotzky 1999:401).

In contradistinction to a focus on the needs of the economy, the community engagement model emerged in the USA largely as a reaction to urban decay caused by the loss of jobs, declining resources for infrastructure development and maintenance, environmental degradation, drugs, breakdown of civic infrastructure, the weakening of the family, and growing crime. The emphasis on the civic purpose of higher education is reflected in the ‘Campus Compact’ signed by over 700 universities and college presidents which calls for:

“A successful national movement to reinvigorate the public purposes of higher education (that) will be reflected in the behaviours of our campuses, and also in change in the processes by which our campuses are *assessed, accredited and ranked*, (my emphasis) so that civic responsibility efforts are recognised and encouraged” (Maurrasse 2001:27).

To support advocacy around the importance of civic engagement, proponents have also argued that this is not just about providing education and training relevant to the world of work. It should be about educating students to play an important role in civic life so that they are empowered to scrutinise the social and economic purposes of society and be equipped with the means to work to improve society. A pedagogy of “service learning” has emerged as a correction for poor teaching practices that emphasised the learning of theory as opposed to a pedagogy that integrates theory and practice (Lisman 1998). A model similar to civic engagement regards universities as “sites of democracy and civic responsibility or as sites of citizenship”. This model places an emphasis on higher education’s responsibilities in regard to fostering practices needed for citizenship through direct engagement in democratic activities, integrating multicultural themes across the curriculum, promoting democratic education on campuses, and preparing students to work in ethnically diverse societies (Murphy 2000 & International Consortium for Higher Education 2000).

3.2 Reviewing UCT's conceptual framework on social responsiveness

In May 2005, the Higher Education Quality Committee (HEQC) conducted an institutional audit of UCT on the basis of 19 nationally approved criteria. Criterion 18 refers to "Quality related arrangements for community engagement (which) are formalised and integrated with those for teaching and learning, where appropriate, and are adequately resourced and monitored" (HEQC 2004:19).

The draft HEQC report submitted to the institution after the audit recommends that

"UCT review its current approach to community engagement (and social responsiveness) in the light of conceptual ambiguities and quality-related gaps and work towards the development of an integrated institutional policy framework that allows for the inclusion of social responsiveness through scholarship, service learning and community outreach. Such a framework could provide a more coherent set of parameters for implementation, resourcing and budgeting, and quality monitoring of community engagement as a basis for UCT to give effect to the 'active developmental role' that it seeks in its mission" (HEQC 2004:19).

The cases covered in this report illustrate that for UCT to define engagement in terms of institutional engagement with the local community, however broadly defined, would exclude a wide range of current UCT activities explicitly geared to addressing development challenges articulated at national and provincial levels. Such a narrow view of engagement does not take account of the fact that "territoriality is an extremely complex and problematic concept for higher education institutions (and that) universities operate within multiple and overlapping territories and usually manage a portfolio of activities ranging from the global to the local" (Goddard 2000:2-3). Nor would a narrow focus on the local community encourage institutions to reflect critically on their role in regard to provincial development within the "broader context of globalisation and the changing nature of regional development and governance, notably the shift in emphasis from material to non-material assets (knowledge, skills, culture, institutions) and resurgence of the region as an important arena for political and economic activity" (Goddard 2000:4).

However, it may be useful to consider whether UCT's conceptual framework for social responsiveness should continue to reflect a very open-ended and wide understanding of development or whether it should place more emphasis on the civic purpose of higher education and its role in relation to the public good, and the promotion of social justice.

The analysis of the cases suggests that it would be useful to review our current definition of social responsiveness so as to:

- embrace the notion of higher education being responsive to local, provincial and national needs, but also being proactive in shaping the trajectory of development;
- recognise that universities operate simultaneously within multiple and overlapping territories – international, regional and local;
- highlight the role of higher education institutions in fostering public dialogue about development challenges and strategies;
- recognise the connections between social responsiveness and knowledge transfer;
- include cultural, social, economic, political and environmental dimensions;
- acknowledge the uneven and polarised nature of development and the particular role of universities in addressing challenges of poverty alleviation and social justice;
- affirm the role of universities in promoting social responsibility, active citizenship and the public good – central to the success of a democratic and just society; and

- reflect the view that social responsiveness is inextricable from the overall mission of the institution and not relegated to extension work outside the curriculum.

Conclusion

This report on cases of social responsiveness at UCT enables us to deepen our understanding of what it means for UCT to be 'socially responsive' and what it would take to enhance and strengthen social responsiveness in the institution. The cases contain descriptions of rich and varied scholarly activities associated with social responsiveness. It is hoped that the cases and this analysis will generate debate about different forms of scholarly activities and outputs, and how they contribute to social responsiveness.

Various proposals have been generated about how different kinds of scholarly activities can be recognised within the University using weighted measurement scales, qualitative feedback and peer review to ensure that rigorous standards are applied in evaluating the activities. The cases provide indications of some of the difficulties of assessing the impact of different kinds of scholarly activities, but generate ideas about how this could be done.

To take this process of debate forward, future annual social responsiveness reports should focus on different themes, but should continue to be based on cases. In addition, high-level summaries of responses to the 'Rate for Job' forms will be included to provide the basis for monitoring new developments and facilitating partnerships and synergies with external stakeholders.

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