



**UNIVERSITY of the
WESTERN CAPE**

Institute for Social Development

**Emergence from financial constraints through transformation to a research-led
teaching and learning developmental university- University of the Western Cape 2000-
2020**

A full-thesis submitted in fulfilment of the requirements for the degree of Master in
Development Studies at the Institute for Social Development, Faculty of Economic and
Management Sciences, University of the Western Cape.

Abduraghman Regal

Student Number 9138808

Supervisor: Professor Julian May

February 2022

ABSTRACT

The University of the Western Cape (UWC) was created by an Act of Parliament in 1959, the Extension of University Education Act of 1959 (Parliament RSA 1959), to serve as an institution of higher learning for the so-called coloured race to provide education and training in restricted fields and relative to occupations in the middle rather than the upper reaches of the racial stratification system (Wolpe, 1995).

UWC has shown incredible resilience as it resisted the apartheid government and faced up to the challenges that the new democratic South Africa presented since 1994. It has a proud intellectual tradition of overcoming adversity, which is metaphorically “your origin does not define your destiny” (Bharuthram & Pokpas, 2020: 436). Against this backdrop, this study is an investigation into the essence of the University’s journey as a Historically Disadvantaged Institution (HDI) in South Africa from near bankruptcy during the late 1990’s to current sustainability and success in its academic offerings, research, community engagement and finances. This study will be of particular interest to HDIs in South Africa and higher education on the African continent as the study explores commonalities and challenges including resource constraints facing higher education institutions.

This research seeks to understand whether UWC as an HDI was indeed successful and to identify the ingredients that contributed to this measured success in research, teaching and learning, community engagement and financial sustainability. This will be achieved by 1) Gaining an understanding of what constitutes an HDI pre and post-apartheid, 2) Investigating leadership thought processes, successful and unsuccessful implementation of strategies, management interventions, governance structures, engagements with stakeholders; 3) Investigating the various defining moments that materially impacted the path of UWC; 4) Investigating financial consequences of strategic interventions; 4) Reviewing and interpreting the relationship between research, teaching and learning, community engagement and financial results.

This study made use of a qualitative and quantitative approach. Interviews with 10 study participants were performed that included a mix of nostalgia, deep emotions and pride which

is a possible representation of bias. I have corroborated the possible bias from study participants with institutional data and sectoral publications. The study highlights defining moments in the history of UWC that has changed the course of UWC.

Key words


Apartheid, Historically Disadvantaged Institution, higher education, sustainability, bankruptcy, research-led, teaching and learning, community engagement



Declaration

I declare that Emergence from financial constraints through transformation to a research-led teaching and learning developmental university: University of the Western Cape 2000-2020 is my own work, that it has not been submitted before for any degree or examination in any other university and that all the sources that I have used or quoted have been indicated and acknowledged as complete references.

Abduraghman Regal

Signed.....

September 2022



Acknowledgements

I firstly thank the Almighty God for giving me the opportunity to complete my studies. I am grateful to my family who are all my life teachers and sacrificed their time with me. I am further grateful and appreciate my supervisor, Professor Julian May, who was patient with me and understanding of my work load. I am forever grateful to all my friends, colleagues and the study participants who invested time and energy to assist and encourage me in completing this study.

Dedication

This work is dedicated to the incredible leaders in higher education.



Disclaimer

I am currently the Executive Director: Finance and Services at the University of the Western Cape and have served in this position since 2004. I have focussed on the roles of others during the period of the thesis topic and explored the transformation of the University through the lens of others.

List of Figures

Figure 1. 1993 South African higher education landscape (Bunting, 1994: 26)	7
Figure 2. Figure 2. 2020 South African higher education landscape (Bengu, 1997)	8
Figure 3. UWC pre-1994 timeline	20
Figure 4. UWC surrounded by industrial precincts and low-cost housing (Google Earth, 2022)	23
Figure 5. Distance from UWC to the City of Cape Town (Google Earth, 2022)	24
Figure 6. O’Connell’s depiction of the South African realities (Bharuthram & Pokpas, 2020)	48
Figure 7. Timeline for the evolution of UWC from 1995 to 2020	62
Figure 8. Decline in student enrolment – UWC 1991-2000 (Cloete & Bunting, 2019)	63
Figure 9. UWC liquidity ratio 1993 to 2000 (UWC Annual Report, 1993-2000)	64
Figure 10. Historical headcount student enrolment of UWC from 1991 to 2020	69
Figure 11. Consolidated publications compared to SA higher education sector from 1990 to 2020 (Mouton, 2022)	82
Figure 12. UWC permanent Doctoral staff compared to the HE sector (Mouton, 2022, Mouton, 2019)	84
Figure 13. UWC Normalised knowledge output compared to the HE sector (Mouton, 2022 & Mouton, 2019)	85

Figure 14. Graduations as a percentage of full-time equivalents	88
Figure 15. Extrapolation of employment costs pre-2000 (UWC Council, 2004)	95
Figure 16. State subsidy and student headcount (UWC Annual Reports 1993-2020, 1993-2020)	96
Figure 17. Unrestricted Annual Surplus/Deficit and Unrestricted Accumulated Reserves (UWC Annual Reports 1993-2020, 1993-2020)	99
Figure 18. Unrestricted Council Controlled Accumulated Reserves and Student Enrolment (UWC Annual Reports 1993-2020, 1993-2020)	101
Figure 19. Consolidated Council Controlled Accumulated Reserves and Cash and Bank and Investments (UWC Annual Reports 1993-2020, 1993-2020)	102
Figure 20. Current Assets vs Current Liabilities and Liquidity (UWC Annual Reports 1993-2020, 1993-2020)	104
Figure 21. Long term Investments and Cash and Bank (UWC Annual Reports 1993-2020, 1993-2020)	105
Figure 22. Student Debt versus Student Billings and the Student Debt Ratio (UWC Annual Report, 1993-2000)	106
Figure 23. Debt to Equity and Assets ratios (UWC Annual Report, 1993-2000)	107
Figure 24. State Subsidy versus Employment Costs and Student Revenue versus Supplies and Services (UWC Annual Reports 1993-2020, 1993-2020)	109
Figure 25. Restricted Funds annual surplus and accumulated reserves (UWC Annual Reports 1993-2020, 1993-2020)	111
Figure 26. UWC Capital Expenditure (UWC Annual Report, 1993-2000)	117

List of Tables

Table 1. List of study participants cohort profiles	54
Table 2. Thematic analysis of study participants	61
Table 3. Top 10 universities permanent staff with PhDs (DHET, 2022)	79
Table 4. Unofficial 2019 ranking of publication units output per capita (DHET, 2022)	84
Table 5. Abridged Income Statement- Unrestricted Funds (UWC Fin Com, 2021)	113
Table 6. Abridged Balance Sheet – Consolidated (UWC Fin Com, 2021)	114



Abbreviations and acronyms

AGSA	Auditor General South Africa
ANC	African National Congress
Bantu	Non-white South African citizens
CHE	Council for Higher Education
CPUT	Cape Peninsula University of Technology
DHET	Department of Higher Education and Training
HAI	Historically Advantaged Institution
HDI	Historically Disadvantaged Institution
NCHE	National Commission on Higher Education
NWG	National Working Group
NRF	National Research Foundation
NSFAS	National Student Financial Aid Scheme
SAPSE	South African Post-Secondary Education
UCT	University of Cape Town
US	University of Stellenbosch
UWC	University of the Western Cape

Contents

ABSTRACT.....	ii
Declaration	iv
Acknowledgements	v
Dedication	v
Disclaimer	v
List of Figures	vi
List of Tables.....	viii
Abbreviations and acronyms	ix
CHAPTER ONE: INTRODUCTION TO THE STUDY	6
1.1 Background and context.....	6
1.2 Problem Statement, Purpose of the study and Research questions	11
1.2.1 Problem Statement.....	11
1.2.2 Purpose of the study	13
1.2.3 Objectives of the study	13
1.2.4 Research questions	13
1.3 Research methodology	14
1.3.1 Study Design	14
1.3.2 Participants and Procedure	14
1.3.3 Data analysis.....	14
1.4 Structure of the thesis.....	15
CHAPTER TWO: UWC CONTEXT WITHIN THE PRE AND POST-APARTHEID (1994) GOVERNMENT.....	17



2.1 Introduction	17
2.2 Overview of UWC as a historically disadvantaged institution (HDI) and higher education system transformation – pre-1994 (apartheid rule)	18
2.2.1 Protesting and Black Consciousness	21
2.2.2 Democratic Home of the Left and Open University.....	21
2.2.3 Geographical.....	22
2.2.4 Resourcing	25
2.3 Overview of UWC as an (HDI) and higher education system transformation – post-1994 (apartheid rule)	26
2.3.1 ANC – The new government of South Africa	26
2.3.2 National Commission on Higher Education (1996) and the Higher Education White Paper (1997)	27
2.3.3 Decline in student enrolment and exodus of intellectual capacity 1994 -2000	28
2.4 Conclusion.....	29
CHAPTER THREE: LITERATURE REVIEW	31
3.1 Introduction	31
3.2 South African Higher Education Framework.....	32
3.3 Transformation.....	34
3.4 Research-led.....	35
3.4.1 Defining Research-Led for purposes of this study	37
3.5 Teaching and learning	38
3.6 Developmental University.....	39
3.7 Financial sustainability.....	43
3.8 Leadership	46
3.9 Conclusion.....	50
CHAPTER FOUR: RESEARCH METHODOLOGY.....	51



4.1 Introduction	51
4.2 Research design.....	51
4.3 Research methodology	52
4.4 Qualitative methodology and quantitative methodology	52
4.5 Sampling of study participants.....	53
4.6 Selection of Study Participants	54
4.7 The semi-structured interview.....	55
4.8 Secondary data: Literature review.....	56
4.9 Data analysis	56
4.10 Qualitative data analysis and quantitative data analysis	57
4.11 Limitations of the research.....	58
4.12 Ethical considerations	58
4.13 Conclusion.....	59
CHAPTER FIVE: FINDINGS AND DISCUSSION	60
5.1 Introduction	60
5.2 Study Participants and Themes.....	61
5.3 Restructuring and Funding of the Higher Education System in South Africa.....	63
5.3.1 Turning point for UWC within the restructuring of the higher education landscape	67
5.3.2 Financial restructuring for UWC within the higher education landscape	70
5.3.2.1 Funding Framework	71
5.3.2.2 Recapitalisation	71
5.3.3 UWC a Historically Disadvantaged Institution (HDI)	72
5.4 Research-led Teaching and Learning.....	73
5.4.1 New internal structure	73

5.4.2 International Partnerships	75
5.4.2 Staff complement.....	78
5.4.3 UWC niche areas, institutes and centres	79
5.4.4 Data analysis Research and Teaching and Learning.....	81
5.4.5 Rankings	86
5.4.6 Completion rates.....	87
5.5 UWC a developmental university	88
5.6 Financial performance.....	93
5.6.1 Financial performance pre-2000.....	93
5.6.2 Financial performance post-2000	97
5.6.2.1 UWC Surpluses and Accumulated Reserves.....	99
5.6.2.2 UWC Cash flow, Going Concern and Debt	103
5.6.3 Revenue and Cost management.....	108
5.6.4 Grants and Contracts (Restricted Funds).....	110
5.6.5 Financial Sustainability.....	112
5.7 Infrastructure	115
5.7.1 Capital Expenditure	117
5.7.2 Capital Financing.....	118
5.8 Leadership	119
5.9 Governance.....	124
5.10 Conclusion.....	126
CHAPTER SIX: SUMMARY OF FINDINGS, RECOMMENDATIONS AND CONCLUSIONS.....	128
6.1 Introduction	128
6.2 Financial constraints through transformation to a research-led teaching and learning developmental university	128



6.3 Financial sustainability.....	129
6.4 Self-reflections	129
6.5 Recommendations	131
6.6 Conclusion.....	133
REFERENCES	135



UNIVERSITY *of the*
WESTERN CAPE

CHAPTER ONE: INTRODUCTION TO THE STUDY

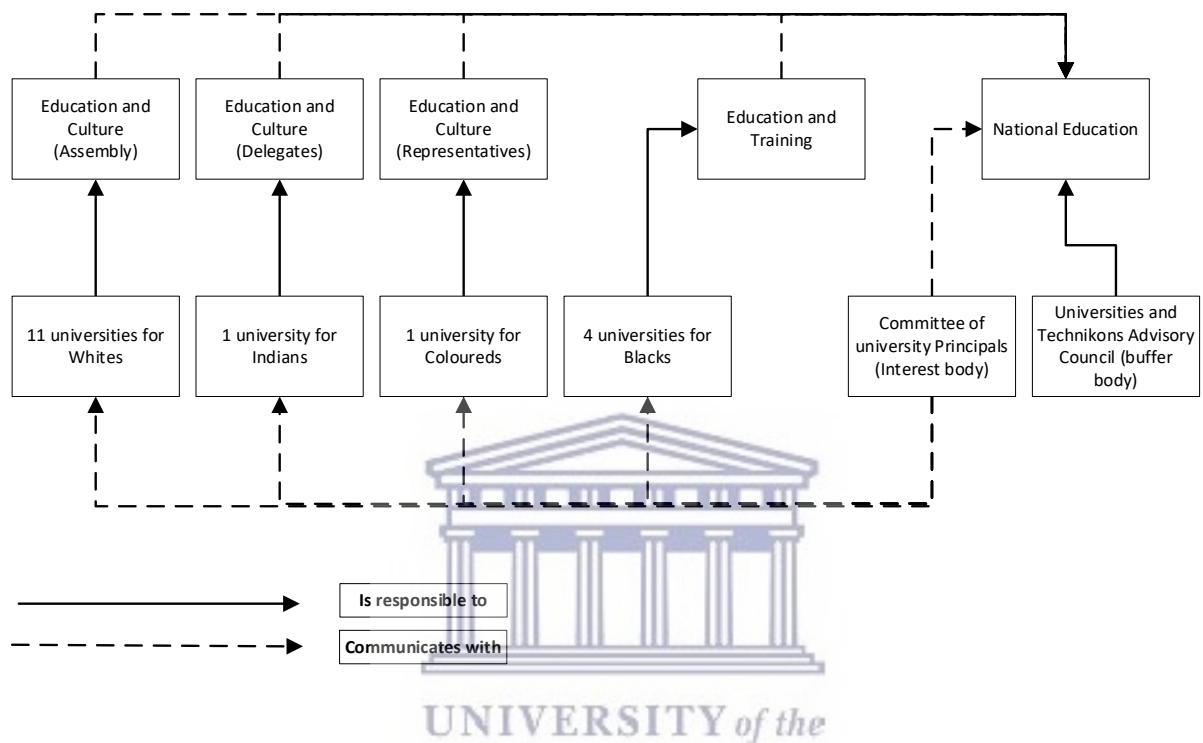
1.1 Background and context

The apartheid planners implemented the vision of the “Extension of University Education Act 54 of 1959” that steered black students away from established white universities. The Act created black universities that would cater for black students, qualitatively different from white universities (Reddy, 2004). The Act led to the establishment of the University College of the Western Cape for members of the ‘Cape Coloured, Malay, Griqua or other coloured group under the tutelage of the University of South Africa (Behr, 1988). Behr narrated that legislation was passed in 1969 to convert existing university colleges into autonomous State universities thus renaming the University College of the Western Cape to the University of the Western Cape (UWC) (Behr, 1988).

The South African public Higher Education sector was characterised by a high degree of fragmentation and incoherence, high levels of institutional inequality, an inequitable financing system, inequalities of access and undemocratic systems of governance (Wolpe, 1995) having divided higher education institutions under four arms of government namely the “House of Assembly” for whites, “House of Representatives” for coloureds, “House of Delegates” for Indians and the “Department of Education and Training” for African blacks (Bunting, 1994). Higher Education Institutions fell within these four categories which resulted in unequal privileges and resources (Wangenge-Ouma & Carpentier, 2018). The University of the Western Cape (UWC) reported to the House of Representatives authority (Bunting, 1994) and was designed by the apartheid government to serve students who are classified as coloured (Wolpe, 1995). Bunting (2006) describes the apartheid government funded higher education through two broad methods which is either formula funded for whites only universities or negotiated budgets for the rest. These funding systems were instruments used in the implementation of the government’s so-called ‘separate but equal’ policy (Wangenge-Ouma & Carpentier, 2018; Bunting, 2006). Whites only universities enjoyed considerable autonomy in the manner in which they spent government subventions and decisions regarding their tuition fees whereas the rest had to negotiate tuition fees and budget on a needs basis without the right to build reserves (Bunting, 2006, Wangenge-Ouma & Carpentier, 2018).

The diagram below (Figure 1.) demonstrates the number of universities per race classification and government reporting authority. Each government authority would report to the National Education Department. The Committee of University Principals served as an interest body and Universities and Technikons Advisory Council as an advisory body (Bunting, 1994).

Figure 1. 1993 South African higher education landscape (Bunting, 1994: 26)

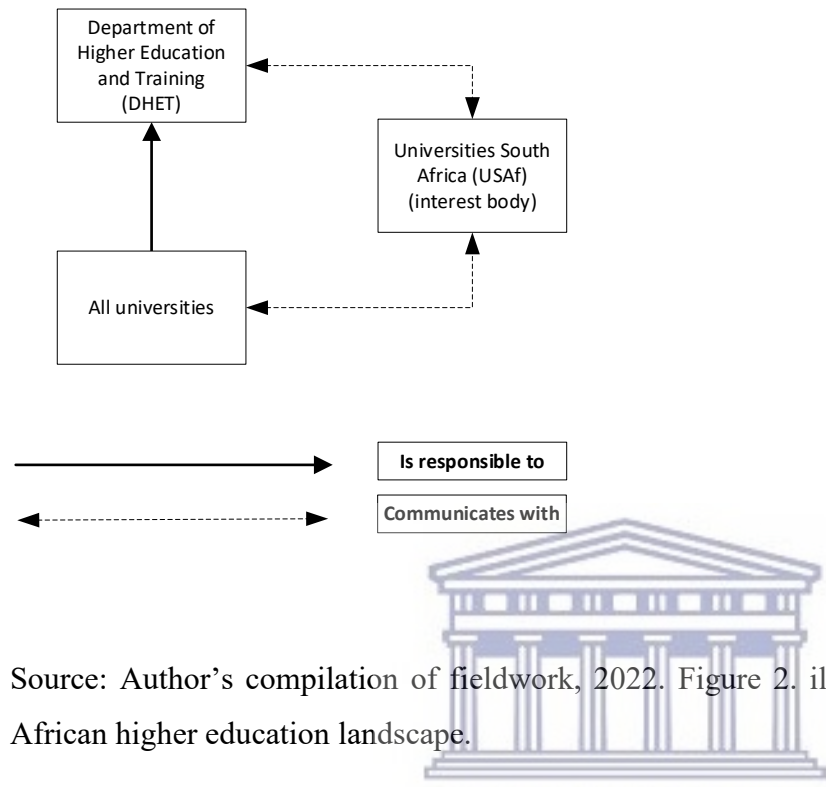


Source: (Bunting, 1994: 26). Figure 1, above illustrates the number of universities per race group in South Africa and reporting authority.

The higher education system was transformed since the promulgation of the Higher Education Institutions Act of 1997 (HE Act, 1997) allowing all universities to be open to all races and ethnicities reporting directly to the national government department of education namely the Department of Higher Education and Training (DHET). The Universities South Africa (USAf), representing the amalgamation of the Committee of University Principals and the Universities and Technikons Advisory Council, is an interest body fulfilling the role of an interface between universities and DHET. USAf comprises vice-chancellors of all universities in South Africa as

members, has many communities of practice and was previously called HESA (Higher Education South Africa).

Figure 2. 2020 South African higher education landscape (Bengu, 1997, HE Act, 1997)



Source: Author’s compilation of fieldwork, 2022. Figure 2. illustrates the simplified South African higher education landscape.

According to Badat (2013), UWC has a history of being a struggle university in the pre-1994 era. Prof Jakes Gerwel, former vice-chancellor at UWC, declared that the historical imperative to respond to the democratic left was to be an intellectual home for the left and develop a critical alignment with the democratic movement and educate towards and for a changed society. Gerwel also stated that he could not in conscience educate or lead education towards the reproduction and maintenance of a social order which is undemocratic, discriminatory, exploitative and repressive (Badat, 2013). Gerwel argued that universities, instead, had to promote through example of a democratic culture and recognised as a thoughtful intellectual not to reduce a university to a political institution and observed “that a university can never compromise its essential identity as ‘disinterested’ searchers after truth” (Badat, 2013: 1).

UWC was poorly resourced, spatially distanced, its student and staff base under repeated assault from the apartheid policies that included the destruction of their homes and communities, discrimination and prejudice in all aspects of their lives (Barnes, 2003). During the 1970's the UWC students and staff protested on "black consciousness", during the 1980's the University repudiated apartheid on ideological grounds as the 'intellectual home of the democratic left', declared itself open to all races in defiance of the government and became the vanguard of struggle, the 1990's experienced the democratisation of higher education but experienced the loss of key staff and students, and the 2000's the University consolidated and recognised as a research-led teaching and learning developmental institution (Lalu, 2012). Wolpe (1995) narrated that UWC was created to provide education and training in restricted fields and relative to occupations in the middle rather than high levels of occupation. Thus, although UWC was created for the functioning of non-whites and was situated, as it still is, in an urban environment, nevertheless it was designed to perform a specific role in the reproduction of apartheid, namely, the provision of human resources to meet the needs of the coloured people as defined by the apartheid state, and in "accordance with the racial stratification system of the prevailing social order" (Wolpe, 1995:283).

The apartheid state funding support was inadequate as UWC was not intended for excellence (O'Connell, 2010). Gerwel (1987) said in his inaugural speech that Richard Van Der Ross told him that UWC was never meant to be big or good (Gerwel, 1987). Yet UWC managed to sustain itself with minimal support from the state. Wangenge-Ouma and Carpentier (2018) describes the apartheid state funding systems as instruments used in the implementation of government's so-called 'separate but equal' policy. Whereas whites-only universities enjoyed considerable autonomy in the manner in which they spent government subventions, allowed to build up reserves and decisions regarding what their tuition fees should be, blacks-only universities did not have similar autonomy and freedom. Their tuition fees and the details of their expenditure had to be approved by the government. The expenditure budgets were not determined by the student enrolments of the institution concerned but were approved on assessments of current needs in the context of historical expenditure patterns (Wangenge-Ouma & Carpentier, 2018).

The impact of the apartheid period was diverse as Bunting (1994) describes it as some of our major unjustified inequalities generated by the apartheid system such as access, student outputs, employment opportunities, gender inequalities and institutional inequalities such as staffing resources and finances (Bunting, 1994). The government could not keep up with the growth of student enrolment and inflation versus the rate of increase in state support "It sowed the seeds of the serious financial problems which South Africa's black institutions were to experience in the late 1990s" (Bunting, 2006: 77).

A number of HDIs were experiencing financial sustainability problems in the late 1990s. Wangenge-Ouma explains that the inadequate government funding with a combined range of other factors such as growing student debt, governance and management failures and general instability, resulted in the rapid erosion of the sustainability of a number of the HDIs (Wangenge-Ouma, 2007). I was unable to obtain annual reports for HDIs during the period 1991 to 2000 and so could not verify this.

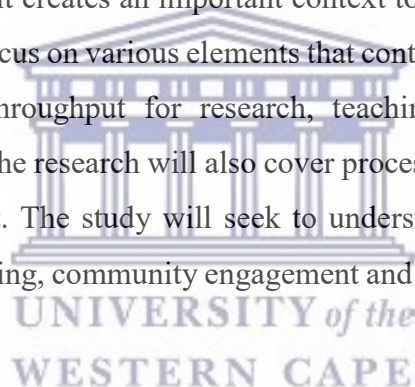
Between 1995 and 2000, student enrolments at UWC declined from over 14 000 to just under 10 000 registered students. It was forecasted at that time that student numbers for the year 2000 and 2001 would be around 10 500.

The liquidity of UWC deteriorated from 1997 resulting in a liquidity ratio at 0.61 below the standard acceptable liquidity rate of 1. The liquidity ratio of 1.0 is the benchmark for an enterprise's finances to meet its short-term obligations (Drury, 2004). The below standard acceptable liquidity rate, coupled with declining student numbers foregrounded the going concern risk of UWC. This indicated that UWC as a going concern has been classified as "insolvent" by 1999 (Cloete, 2019).

To make matters worse for UWC in the late 1990s, it not only had to contend with dwindling student numbers and low liquidity rates, it experienced an exodus of senior academic and research staff and the threat of merging the UWC with a regional Technikon. A retrenchment program was activated and many staff lost their jobs. The University was nearly bankrupt and operated from a bank overdraft (Bharuthram and Pokpas, 2020).

UWC faced the future with a sense of trepidation with declining student numbers, exodus of senior academic and research staff, staff retrenchments, imminent bankruptcy and threat of merging, the University was left in a perilous state, unable to live out the dream it had helped to create under the oppressive conditions of apartheid (Bharuthram & Pokpas, 2020). Nonetheless, within a decade, the university managed to transform itself from near bankruptcy to a research-led teaching and learning developmental university and financial success. What was the turning point for UWC? What happened that translated into UWC being a successful university achieving growth and stability? A detailed analysis is presented in Chapter Five of the performance of the university and various interventions and defining moments that led to the success of the university.

This research work focuses mostly from the year 2000 to 2020, on how UWC transformed into a research-led teaching and learning developmental university and its position of near bankruptcy to a financially sustainable higher education institution. I have focused research work prior to the year 2000 as it creates an important context to understand the findings from the year 2000. The study will focus on various elements that contributed to the success of UWC such as student enrolment, throughput for research, teaching and learning, community engagement, tuition fees, etc. The research will also cover processes and interventions that had a positive and negative impact. The study will seek to understand the relationship between research and teaching and learning, community engagement and how it influenced the finances of UWC.



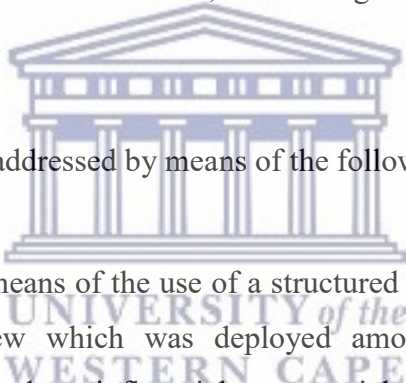
1.2 Problem Statement, Purpose of the study and Research questions

1.2.1 Problem Statement

South Africa has a legacy of an unequal higher education sector. The inequality within the higher education sector was an imposition by the apartheid government. Public higher education institutions were funded differently resulting in Historically Advantaged Institutions (HAIs) and Historically Disadvantaged Institutions (HDIs). HAIs were designed for classified whites-only and HDI's for classified African Black, coloured and Indian. The government funding for HDIs were inadequate and served an oppressed population (Wolpe, 1995).

Higher education globally and nationally is constantly experiencing change and has to adapt to its local and global context. South African public higher education experienced many changes over the decades and is best distinguished between pre-1994 and post-1994 which marks the change in government rule and the official end to the apartheid era in South Africa. During the pre-1994 apartheid era, universities were created to serve students of designated racial groups and best described as either whites-only institutions or blacks-only [refers to non-whites] universities (Bunting, 1994). UWC had to adapt to its context and when the higher education sector was declared open to all races in the 1990s, UWC lost students and key staff to the higher education sector thus leaving it in a deficit of student numbers and staff which ultimately led to its retrenchment program and near bankruptcy in the late 1990s (Tapscott, et al., 2014). The challenges were thus many folds for UWC and it had to find ways and means of survival. The challenges were compounded by the profile of students which were majority from a poor background and accumulating student debt. UWC has managed to recover since the 2000s and successfully delivered on its mission. This research has explored the journey of UWC from the year 2000 to 2020, its various interventions, risk mitigation, leadership attributes and navigation through trying times.

The Problem statement will be addressed by means of the following approaches:

- 
- An empirical study by means of the use of a structured questionnaire in the form of a semi-structured interview which was deployed amongst study participants who formerly or currently had an influential or material relationship with UWC. The findings of this empirical study are presented in Chapter Five of this study.
 - A literature review of all relevant literature. The literature review appears in Chapter Three of this study.
 - A qualitative discussion of the themes that emerged from the interviews supported by analysis of quantitative financial and statistical information obtained from UWC records and South African higher education public records. This discussion is presented in Chapter Five of this study. An explanatory research approach was used to integrate, analyse and integrate the quantitative data with the qualitative data obtained through interviews which eliminated the inherent bias of the study participants.

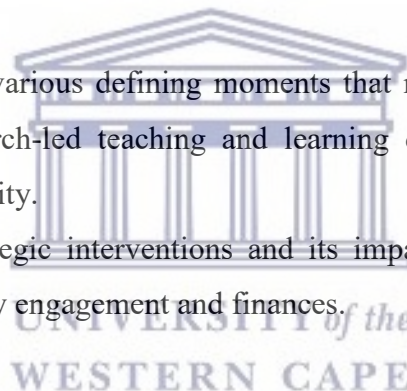
1.2.2 Purpose of the study

This study aims to understand how the University of the Western Cape, an HDI, was able to become a research-led teaching and learning development university from a position of insolvency to financial sustainability. This study could add value to existing HDIs and HAIs.

1.2.3 Objectives of the study

This research seeks:

1. To understand the context and review existing literature on the transformation of the South African higher education landscape of pre and post-1994.
2. To investigate UWC leadership processes, successful and unsuccessful strategies implemented, management interventions, governance structures and engagements with stakeholders.
3. To investigate the various defining moments that materially impacted the UWC journey to a research-led teaching and learning developmental university and financial sustainability.
4. To investigate strategic interventions and its impact on research, teaching and learning, community engagement and finances.



1.2.4 Research questions

Based on the purpose and objectives of this study, the following research questions guide the study:

1. Is UWC a historically disadvantaged institution?
2. Is UWC a research-led teaching and learning university?
3. Is UWC a developmental university?

4. Is UWC financially sustainable?
5. What role did UWC's leadership play in these achievements?

In this study we seek to understand the various factors that led to UWC's success as an HDI in the South African context.

1.3 Research methodology

1.3.1 Study Design

The study made use of a mixed-method approach of explanatory, descriptive and correlational research design. It is effectively mixed research methods of collecting, analysing and integrating quantitative and qualitative data (Ivankova, et al, 2006). Study participants experiences were explored in depth using a semi-structured interview comprising open-ended questions (Horton, 2004) and integrated into the study.

1.3.2 Participants and Procedure

The sample of study participants comprises former and current senior staff at UWC, former students, government officials and members of the UWC governance structures. Study participants were selected based on the era they experienced UWC and their level of influence or stature at UWC.

1.3.3 Data analysis

Qualitative data was collected through interviews with study participants. I have reviewed the transcriptions of the interviews and drew the various concepts and themes that evolved from the transcripts.

Quantitative data were collected from public records from government, agencies' websites and data contained within the UWC governance structures. A large part of the study was document analysis, appropriate extractions from the documents and were transposed into formats for analysis, integration and interpretation.

The research methodology is further described in Chapter 4.

1.4 Structure of the thesis

Chapter one provides a background of how UWC and HDIs came into being in an unequal higher education system in South Africa. It foregrounds the severe challenges experienced from the advent of a democratically elected government such as declining student numbers, exodus of senior academic and research staff, poor liquidity, staff retrenchments and the threat of merging with a regional Technikon. This chapter also contextualises the period of the study post-apartheid era, the purpose and objectives of the study, research questions and methodology.

Chapter two explores the relevant legacies of the pre and post-apartheid higher education sector and how UWC responded to it. It covers the legislation that specifically applied to UWC that forced it to enrol students of the so-called coloured race and resourcing rules specifically aimed at HDIs that is unequal to HAIs. The chapter includes defining moments that altered the future and perception of UWC. It also draws attention to the post-1994 government and its challenges that creates a detailed context of the study.

Chapter three provides the related literature review of the journey of UWC pre and post-2000s. It is divided into key topics that is relevant to a research-led teaching and learning developmental university and financial sustainability of UWC.

Chapter four provides the detail of the research design and methodology deployed in the study. It covers factors considered in the selection of study participants and questions asked. It also includes the rationale for the use of methodologies and ethical considerations.

Chapter five presents the findings and data extracted from the fieldwork performed during the study. It provides information on the evolution of UWC post-1994, the impact of the restructuring of higher education in South Africa, the defining moments or events that altered the path of UWC, interpretation of data that corroborated study participant inputs and a detailed review of the interventions of leadership.

Chapter six presents the conclusions and recommendations of the study.



CHAPTER TWO: UWC CONTEXT WITHIN THE PRE AND POST-APARTHEID (1994) GOVERNMENT

2.1 Introduction

Every country has its own unique higher education challenges. Classification of countries are very controversial however there is a prevalence of similarities of university challenges of the same country classification (Salmi & Altbach, 2011). Chetty & Pather (2015) has argued that South Africa has its own unique challenges as it is grappling with its apartheid legacies of an unequal higher education sector. Higher education in South Africa remains in flux as institutions of higher learning have to recalibrate their practice to meet the aims of social, financial, and political equity to which the government is committed. Inevitable fluctuations of a structural nature are the outward proof of the hardship of adjusting centuries-old establishments of colonial or apartheid authority to a new model of democratic fluency. The vision, of a fair and equal education for all, which meets the international standards of education, has however remained of considerable national importance, as evidenced in various government policy documents (Chetty & Pather, 2015, DHET, 2014).

UWC is classified as a “Historically Disadvantaged Institution” (HDI), one of 8 HDIs in South Africa in 2020 namely, University of Fort Hare, University of Limpopo, Mangosuthu University of Technology, University of Venda, University of the Western Cape, Walter Sisulu University, University of Zululand, Sefako Mekgato Health Science University (DHET, 2020), (DHET, 2014). HDIs can be seen as “after-effects” of a dysfunctional pre-1994 separate development as the subdivision of the country into physical areas along racial lines ran counter to the natural impetus of urbanisation and multiracialism that results from urban co-existence (Chetty & Pather, 2015).

This chapter engages on the context of UWC within the public higher education landscape pre and post 1994. The research reviews literature of various perspectives on HDIs in South Africa and the role that HDIs played in pre-1994 against the apartheid government and its evolution. UWC formed part of the resistance against the apartheid government policies and practices and

a review of the impact of the resistance on the apartheid government and on UWC due to this binary tension.

2.2 Overview of UWC as a historically disadvantaged institution (HDI) and higher education system transformation – pre-1994 (apartheid rule)

The Bantu Education Act of 1954 was augmented by the Extension of the University Education Act of 1959 (Thompson, 2020). The Extension of University Education Act of 1959 (Parliament RSA 1959) introduced the creation of racial and ethnic segregated public higher education institutions in South Africa under the leadership of Verwoerd, Prime Minister of South Africa from 1958 to 1966. Verwoerd was very clear that universities must be created for a particular race group by ethnicity (Behr, 1988). Hirson (1979) reported that Verwoerd included in his speech that “the natives [non-whites] will be taught from childhood to realise that equality with Europeans [whites] is not for them” (Hirson, 1979: 45) which was a very clear sign of Verwoerd’s intentions. The Act prohibited blacks to register at a classified whites-only university unless they received express permission from the Minister (Reddy, 2004).

There were widespread protests against the Extension of Education Act. Many university professors also signed petitions protesting the new law and other racist legislation aimed at higher education. Non-white students protested the Act, issuing statements and marching against the Act. There was also an international condemnation of the Act (Thompson, 2020).

As mentioned earlier, UWC was created by the Extension of University Education Act of 1959 and was classified a university for members of the so-called coloured race. Other Universities were also created under this Act in 1959 such as the University College of the North (later known as the University of Limpopo), the University of Zululand and the University College of Durban (later known as the University of Durban-Westville) (Behr, 1988). The University of Fort Hare, whose origins predated these institutions, was coerced by the apartheid state into the blacks-only mould by means of the Fort Hare Transfer Act, 1959 (Parliament RSA, 1959, Wolpe, 1995). All these universities are classified as HDIs.

It is of great importance to understand what constitutes an HDI. A report issued by the Department of Higher Education and Training in 2014 asserts that one of the many undesirable legacies of apartheid is the entrenched inequalities within the higher education system. After more than two decades after apartheid's collapse, the country's higher education system is still characterised by two sets of institutions: historically advantaged institutions (HAIs) and historically disadvantaged institutions (HDIs). The majority of HDIs find themselves trapped in a state of under-development and continued financial difficulties compared to their historically advantaged counterparts (DHET, 2014). The state of under-development of HDIs has, among other things, obviated these institutions from effectively pursuing their missions and establishing themselves as vibrant academic enterprises. The continued state of under-development of HDIs is not tenable and should not be allowed to persist indefinitely. If all South African universities must offer high-quality programmes, and for the higher education system as a whole to be able to meet the developmental needs of the country, the under-development that confronts most HDIs must be remedied (DHET, 2014).

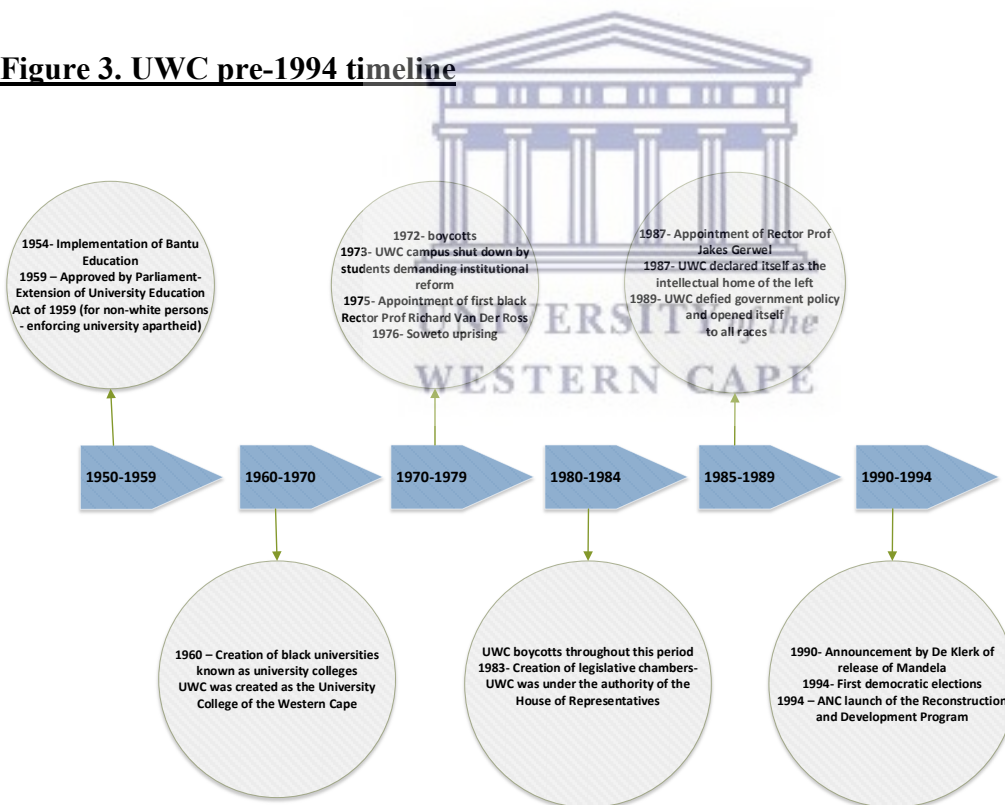
Barnes (2003) advanced that the foundation of black universities on apartheid ideology, which promoted inequalities across racial groups, meant that these institutions also reflected the inequalities of the broader society. By the end of apartheid, HDIs exhibited the following characteristics: they were located in isolated rural or urban peripheries (they still are), they had poorly developed educational facilities and stunted infrastructural and administrative capacity, they offered a narrow range of academic programmes clustered in non-science and teaching-related fields at lower qualification levels, and they drew the majority of their students from disadvantaged backgrounds (Barnes, 2003).

Tapscott et al. (2014) explained that UWC was intended to serve as a training institution exclusively for students from the coloured population (Tapscott, 2014). HDIs in general were treated unfairly when compared to whites-only institutions, Bunting (1994) narrates that some of our major unjustified inequalities generated by the apartheid system for HDIs are access, student outputs, employment opportunities, gender inequalities, institutional inequalities (staffing resources, finances-funding formula) (Bunting, 1994). HDIs were therefore shaped to serve a stunted development path for black communities and furthermore placing severe restrictions on the access of black students to higher education (Wolpe, 1995). Due to the under

resourced students that HDIs attract and lower state subsidy, HDIs have to make many sacrifices to accommodate deeply challenged students with the funds available to them resulting in lower salaries, bigger classes, longer hours and less time for research and personal development (O'Connell, 2010).

It is best to show the UWC journey pre-1994 by means of a timeline (see Figure 3.). In Chapter Five I investigate the UWC post-1994 journey in detail. Universities that were created by the Extension of the University Act of 1959 was commonly referred to as “Bush Colleges” [HDIs] (Reddy, 2004: 15). The state succeeded in steering black students to register at HDIs designated to the ethnic group to which they were classified (Badat, 1998) and it was ironic that more black students registered at HDIs since inception of the HDIs than any time before the 1959 Act (Reddy, 2004). In examining the time line, a common thread of unrest (boycotts or riots as it was known back then) ran through all the years. Some of the main unrest years are mentioned in the time line.

Figure 3. UWC pre-1994 timeline



Source: Author’s compilation based on fieldwork, 2022. Figure 5. above illustrates the common thread of unrest throughout the timeline and various legislative changes.

2.2.1 Protesting and Black Consciousness

UWC has a rich history of opposition and defiance against the apartheid government. UWC students saw themselves as black students and not coloured students as it was politically conceived as non-white and went into their communities to do 'black conscientization' in order to empower the people and to transform South Africa (Thomas, 2014). UWC's first black Rector was appointed in 1974, Prof Richard Van Der Ross, preceded by the 1972/1973 riots where students produced a list of grievances and demanded a reform in the UWC Administration (SAHO, 1998). The students demanded the removal of the UWC rector during 1973, Prof CJ Kriel with placards such as "White Arrogance leads to Black Frustration" (Lalu & Murray, 2012: 45). The Rector and Administration were invariably a leading member of the Nationalist Party and 'Broederbond' with teaching faculty to be politically conservative card-carrying members of the ruling party, and vigilantly displayed a policing and authoritative demeaning attitude towards students (Reddy, 2004). This resulted in student unrest forcing UWC to be shut down which ignited the rise of the Black Consciousness Movement. Shortly thereafter the State made Afrikaans compulsory for the language of instruction in 50% of the subjects at all schooling levels which sparked the "Soweto Uprising" in 1976 (Hirson, 1979). UWC was at the forefront of protesting against the apartheid state, Lalu (2012) explains that it is not surprising that generations of school students who embarked on struggles against non-white education on the Cape Flats turned to UWC for guidance and leadership. It is also not surprising that many anti-apartheid organisations in Cape Town and beyond leaned on UWC to establish what it would mean to contest the spaces of apartheid's separate development project, doing so in ways that produced unexpected consequences and countless surprises for state functionaries (Lalu & Murray, 2012). Barnes (2003) expanded that UWC probably went the furthest towards developing institutionally based resistance to apartheid. Students and staff sparked the largest black political demonstration staged in South Africa since the Sharpsville Crisis in 1960 (Barnes, 2003).

2.2.2 Democratic Home of the Left and Open University

The period between 1976 of the Soweto uprising to the late 1980s were volatile with daily protest in South Africa and was described as a crisis of rule (Murray, 1987) as the apartheid

state was losing control of large sections of society and unable to restore obedience to the ruling party (Reddy, 2004). The second black rector who succeeded Prof Richard Van Der Ross was Prof Jakes Gerwel, appointed in 1987 who aligned UWC with the anti-apartheid movement under the label of “the intellectual home of the left” (Gerwel, 1987: 3). Shortly thereafter was followed by the repealing of the Extension of the University Education Act of 1959 by the Tertiary Education Act of 1988 (Parliament-RSA, 1988). This alignment with the anti-apartheid movement provided critical intellectual anchorage points for alternative discourses and practices that manifested in in the core work of the university and relationships with the state and society (Pokpas, et al., 2021).

UWC adopted an open race admissions policy during 1989 in defiance to the apartheid government who disallowed mixed race and ethnicity student registrations by opening the university to all races. As a result, large number of students flocked to UWC and from all around South Africa, mostly African black students, given the restrictions of access to universities in their regions. The increased student numbers with different home languages posed a new challenge and even though UWC was officially bilingual with Afrikaans and English, the shift was more towards English. The apartheid government did not spare UWC from harm for defying the state by operating as an open university, the state imposed severe cuts in subsidies (Pokpas, et al., 2021) and went as far as providing only 57% of the state subsidy due to UWC as punishment (Bharuthram & Pokpas, 2020). Gerwel was defining and developing new policy and frameworks in support of the new government-in-waiting. This attracted intellectuals and exiles back to the country to UWC into newly established centres and institutes which created critical mass of networked intellectuals to articulate reasoned alternatives towards new visions (Pokpas, et al., 2021).

2.2.3 Geographical

All HDIs were located in rural or on the periphery of an urban setting (Barnes, 2003). UWC was a treeless wetland area exposed to harsh winds and sun known as the ‘bush’ (Lalu & Murray, 2012). UWC is the only HDI that is based in proximity to an urban setting marooned in an industrial area with limited access to facilities, especially for co-curricular activities for students and staff (DHET, 2014). I hypothesize that UWC’s location therefore infers that it has

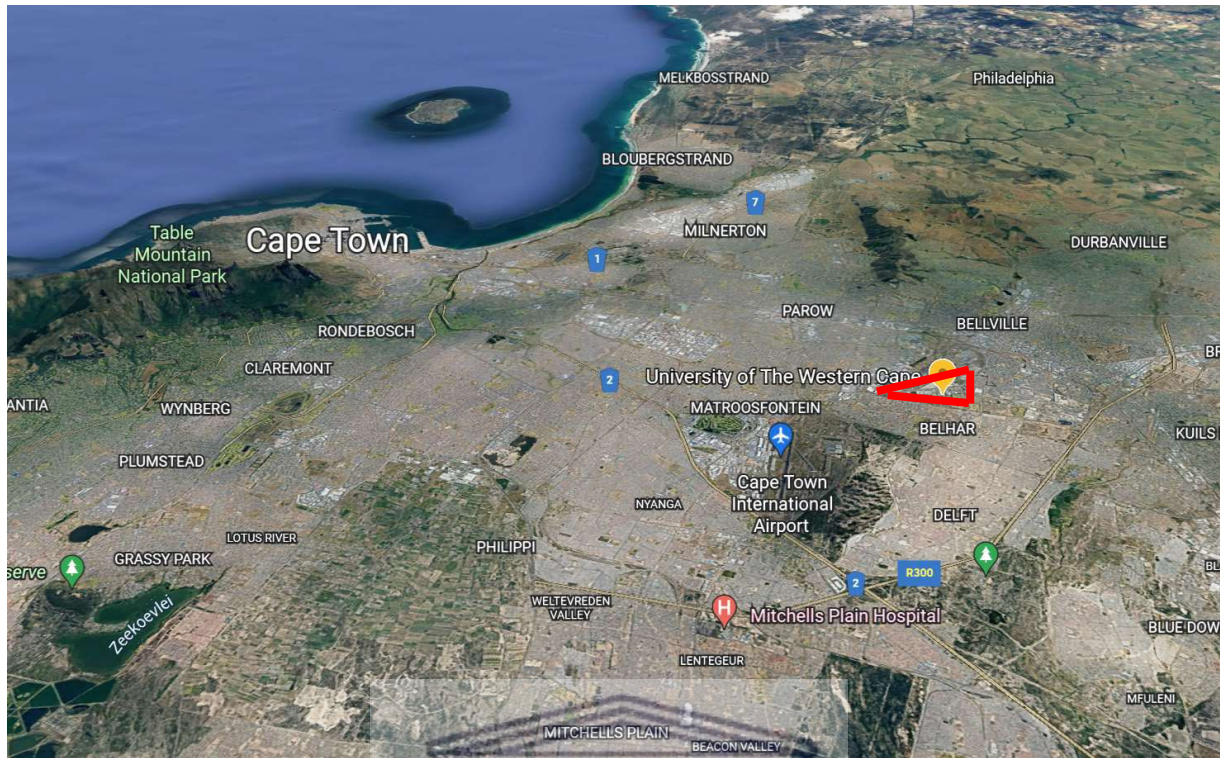
prevalence or attractiveness that is not present at other HDIs. Visiting scholars who visit other institutions in the Western Cape has known to have relationships with UWC. UWC is distanced 30 kilometres from the Cape Town city centre whereas other HDIs are hundreds of kilometres away from a metro and some HDIs are described as deep rural.

Figure 4. UWC surrounded by industrial precincts and low-cost housing (Google Earth, 2022)



Source: (Google Earth, 2022). Figure 4 illustrates the surrounding of UWC by an industrial precinct and low-cost housing.

Figure 5. Distance from UWC to the City of Cape Town (Google Earth, 2022)



Source: (Google Earth, 2022). Figure 5 illustrates the distance from UWC to the City of Cape Town approximately 30 kilometres.

Tapscott et al. (2014) narrates that given the limited importance assigned to UWC by the state, the institution was placed in an uninhabited and inhospitable part of greater Cape Town, far from important amenities and ill-served by public transport (Tapscott, 2014). The restructuring of the higher education system has removed some of the stigma and difficulties of HDIs during the mergers and incorporations in the early 2000s which will be covered in Chapter Three in more detail. What is noteworthy is that UWC is the only HDI that is close to an urban setting which discerns it from the rest of the HDIs and certainly gives it access to academia and wealth competing with other universities in the Western Cape region. O'Connell (2010) explained that UWC was blessed to have been located close to an urban setting (O'Connell, 2010).

2.2.4 Resourcing

As mentioned in the introduction, UWC was poorly resourced with a range of academic programmes on offer which was predominantly oriented towards preparing students for lower level positions in the civil service, teaching and law. It was furthermore punished for defiance of the apartheid government through its state subsidy reduction. UWC registered students with disadvantaged backgrounds, the state imposition of approving budgets and fees and disallowance to build on financial reserves has made UWC financially vulnerable (Wolpe, 1995). This has made UWC sensitive and vulnerable to the student enrolment reductions post-1994 which will be covered in Chapter Five (see Figure 8.). The apartheid government introduced the SAPSE funding formula (South African Post-School Education) in 1984 (Behr, 1988) and introduced the “A” factor to discriminate against HDIs (Bunting, 1994, Moja & Hayward, 2005). The “A” factor was used as a tool to reduce the amount of funding due to a university of which the HDIs (including UWC) was reduced at a prejudicial level compared to HAIs (Moja & Hayward, 2005). Bunting (2006) stated that the “A” factor was applied across the sector when government realised that they could not fund 100% of the SAPSE funding formula earnings of higher education institutions. The “A” factor was therefore used to reduce the earned funding of higher education institutions so that government could remain within their allocated budget. The “A” factor was applied at varying rates at the discretion of government. HAIs received on average 91% of their funded earnings whereas HDIs received on average 79% (Bunting, 2006).

UNIVERSITY of the
WESTERN CAPE

The UWC preparation of a democratic order of the government-in-waiting resulted in an understandable expectation that a democratic order would bring new support to HDIs such as UWC, both because it accommodated the majority of disadvantaged students and because it was in urgent need of resources to redress the inequities of the past. This expectation was to be disappointed (Tapscott, et al., 2014).

2.3 Overview of UWC as an (HDI) and higher education system transformation – post-1994 (apartheid rule)

This section will cover some of the transformative elements within the higher education landscape post-apartheid rule and sets the scene for the next chapters of the study as it assists with the understanding of the UWC context. It is therefore restricted up to the year 2000 as the chapters that follow will cover the timeline from 2000-2020.

2.3.1 ANC – The new government of South Africa

After the first democratic elections in South Africa during 1994, the African National Congress (ANC) party proposed the new Reconstruction and Development Programme (RDP) as the centre of their manifesto which set out five broad goals:

- Meet basic needs;
- Develop human resources;
- Build the economy;
- Democratised the state and the economy; and
- Implement the RDP projects.



These goals would be implemented under the principles of integration and sustainability, a people-driven process, peace and security for all, nation building, linking reconstruction and development, and democratisation (Reddy, 2004). Marais (1998) stated that the ANC goals and principles were very noble but they lacked the depth and understanding of what it meant to implement these goals and that the ANC themselves had not been in agreement about the RDP (Reddy, 2004, Marais, 1998).

The higher education debate was intense and emotive and most citizens and stakeholders of South Africa believed that higher education must be transformed and raised concerns about student access, affordable education, knowledge produced, curriculum design, standards and type of graduates (Reddy, 2004).

The African National Congress (ANC) acknowledged in the 1994 Parliament White Paper that the fragmented, unequal and undemocratic nature of education and training system has had profound effects on the development of the economy and society. It has resulted in the destruction, distortion or neglect of the human potential of South Africa, with devastating consequences for social and economic development that left deep scars of inequality (ANC, 1994). This acknowledgement by the ANC resulted in the launch of the National Commission on Higher Education.

2.3.2 National Commission on Higher Education (1996) and the Higher Education White Paper (1997)

The National Commission on Higher Education (NCHE) was established in 1995 to advise the Minister of Education on restructuring higher education to contribute towards reconstruction and development. The NCHE made many recommendations and a notable recommendation is the role of the state to be a single, co-ordinated higher education system (see Figure 2.), co-operative governance and goal-oriented funding (Reddy, 2004).

Minister SME Bengu signed the White Paper 3, July 1997, which comprised mostly recommendations from the NCHE (Bengu, 1997). The objective of the White Paper 3 is the transformation of the higher education system informed by three fundamental objectives which is a transformed non-racial, non-sexist and democratic higher education system. The intention of the White Paper 3 is further expressed as an enabler to overcome the fragmentation, inequality and inefficiency which are the legacy of the past, and create a learning society which releases the creative and intellectual energies of all our people towards “meeting the goals of reconstruction and development” (Bengu, 1997: 1). It was ironic that the Minister mentioned the RDP in the White Paper 3 when the replacement of the RDP was imminent (Reddy, 2004). The compelling vision was for a “better quality of life for all” (Bengu, 1997:2). It is clear that the intentions of the White Paper 3 of 1997 were noble but UWC’s experience was nowhere close to being improved.

2.3.3 Decline in student enrolment and exodus of intellectual capacity 1994 -2000

The Higher Education Act 101 of 1997 repealed all university Acts making it lawful for all universities to be open to all races and ethnicities (HE Act,1997: 23) which meant that students had more choices for where they wished to study. Many black students started enrolling in former whites-only universities, occasioning a decline in enrolments in HDIs which fell from a peak of 111 000 in 1995 to 83 000 in 2000 (Wangenge-Ouma & Carpentier, 2018). The headcount student enrolment for UWC between 1994 and 2000 declined from a peak of 14 890 in 1995 to its lowest point of 9 453 by more than one third in 1999 (Cloete & Bunting, 2019) (see Figure 8.).

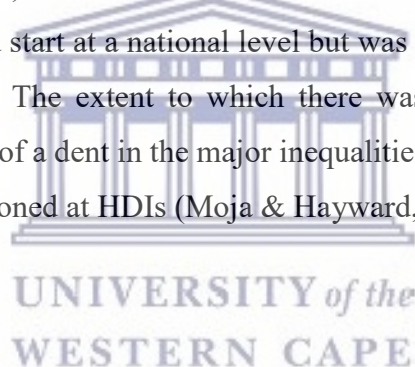
UWC experienced a serious leadership vacuum since Gerwel's departure and after a succession of acting rectors, Prof Cecil Abrahams was appointed as the third black rector at UWC from 1996 to 2000 (Pokpas et al., 2021). UWC had to contend with the loss of its intellectual core to political and public leadership positions. A number of members of the first democratic cabinet were recruited from UWC. The loss to UWC of this academic core was South Africa's gain and UWC's loss (Bharuthram & Pokpas, 2020, Tapscott et al., 2014, Lalu & Murray, 2012). The losses particularly affected UWC's capacity to maintain a growing postgraduate and research profile (Tapscott et al., 2014).

The post-1994 era also brought a mounting financial crisis at UWC. Although UWC's tuition fees were among the lowest in the country, it naively heeded the Minister of Education's political call to suspend fee increases [1995] and allow indigent students to enrol without paying. This resulted in rising student debt with no relief from the state. Manipulation of the higher education market also played a role in destabilising HDIs nationally. To take advantage of a new higher education funding system, and to demonstrate transformation quickly, several historically white Afrikaans universities both used their substantial resources to lure students and entered into partnerships with private higher education providers to lure away significant numbers of the best students from UWC and other HDIs. This was intended to redeem their political reputations and to enable them to cash in on the subsidy system. The instability was aggravated by a university leadership which vacillated between rejecting and acceding to student demands and which ultimately failed to stem the growing financial losses. UWC was

then forced to retrench 41 academics along with nearly 300 non-academic staff. The acrimony and rancour to which this gave rise served to divide the University community in ways hitherto unknown (Tapscott et al., 2014, Bharuthram & Pokpas, 2020, Lalu & Murray, 2012).

Study participants have shared information about this period and has referred to this period as being the darkest period in the history of UWC. Study participants findings will be discussed in detail in Chapter 5.

Moja and Hayward (2005) posits that in 1997, Minister Bengu invited HDIs to propose their redress funding to the State that amounted to a combined value of R287m. Only R27m was made available for HDIs of which only R24m was distributed to HDIs on a fulltime equivalent (FTE) basis. The Minister also recommended an additional R150m for redress to be allocated in the 1998-2000 State budgets as an interim measure until funding could be obtained through the usual budget process. The funding was not forthcoming (Moja & Hayward, 2005). When reflecting on the UWC finances, these resources were needed most at that time. Institutional redress debate got off to a good start at a national level but was undermined and redress funds were used for other purposes. The extent to which there was institutional redress, it was minimal, it did not make much of a dent in the major inequalities of apartheid, nor did it foster the quality improvement envisioned at HDIs (Moja & Hayward, 2005).



2.4 Conclusion

UWC is indeed an HDI and a product of the apartheid government planning segregating higher education universities by race and ethnicity. It is unfortunate that most South Africans, including HDI students and staff, do not know about the history of HDIs and its ill conception pre-1994. HDIs are acknowledged by the state and the Department of Higher Education and Training and has introduced interventions of redress funding, not enough though, which will be covered in Chapter Five. Lalu & Murray (2012) explains it aptly that HDIs are continued to be perceived as serving as a sign of lack and burden, rather than as a space from which to think a history of the South African present (Lalu & Murray, 2012). O'Connell (2010) reminds us of HDIs having an important role to play in the development of South Africa as a striking parallel

of the vast majority of the South African people and their voices that have special resonance with HDIs (O'Connell, 2010).

There is a significant body of literature regarding HDIs and their disposition regarding transformation in the higher education system. O'Connell (2010) states aptly about HDIs attitudes, they can achieve academic and research excellence through transformation and the will, courage, capacity and competence to change whenever the environment demands it. To move to excellence HDIs must strive to become competent in all three spheres of their mandated endeavour: teaching and learning, research and community engagement (O'Connell, 2010).



CHAPTER THREE: LITERATURE REVIEW

3.1 Introduction

The Social inequalities in South Africa is deeply embedded in all spheres of social life. The White Paper on Reconstruction and Development sets the framework and strategy for transformation of South Africa. It specifically addresses higher education and training through human resource development. It addresses the aspects of fairness and equity at a high level (ANC, 1994).

Higher education in South Africa has not been immune to inequalities. The social, political and economic inequalities were created during the apartheid government and continues to profoundly shape South African higher education (Badat, 2003). The challenge set forth by the White Paper 3 1997 is to produce, through research and teaching and learning programmes, the knowledge and human power that will enable South Africa to engage proactively, critically and creatively with globalisation and participate in a highly competitive global economy (Badat, 2003, Bengu, 1997). The White Paper 3 of 1997 has laid the foundation, in line with the Ministry of Education's commitment to cooperative governance, for South Africa to jointly embark on a journey towards the transformation of the higher education system. It further outlines the framework for change, that is, the higher education system must be planned, governed and funded as a single national coordinated system with the aim of removing the fragmentation, inequality and inefficiency which are the legacy of the past, and create a learning society which releases the creative and intellectual energies of all our people towards meeting the goals of reconstruction and development (Bengu, 1997).

This chapter provides an overview of literature of the higher education framework, what constitutes transformation, research-led university, teaching and learning, developmental university, financial sustainability and leadership in higher education.

3.2 South African Higher Education Framework

The Constitution of the Republic of South Africa states that everyone has the right to basic education and to further education which the state, through reasonable measures, must make progressively available and accessible (Constitution, 1996). It is noteworthy that this has been an area of contestation as students have on a large scale claimed the right to free higher education in South Africa. The debate has reached epic proportions to the extent that it gave rise to annual student protests at HDIs and notably the national #Feesmustfall (Langa, 2017) campaign in 2015 and 2016 resulting in the temporary instability and shutdown of several universities in South Africa. Importantly, the Constitution does not address “free education” but rather the “right to education”.

Higher education is defined by the Constitution of South Africa as a national government competency, as opposed to a provincial competency and as a result, higher education provision falls under the jurisdiction of the national Ministry of Basic Education and Ministry of Higher Education, Science and Innovation (DBE, 2021, DHET, 2021).

The higher education sector comprised of public institutions - universities, technikons, further education training colleges/institutes of education as well as numerous generally small private providers of higher education. A programme-based definition of higher education rather than a purely institutional definition means that higher education programmes may also be offered by further education institutions (Badat, 2003). The Constitution provides for such institutions on condition that they do not discriminate on the grounds of race, register with the state, and maintain standards that are not inferior to those at comparable public educational institutions (Constitution, 1996).

The Higher Education (HE) Act of 1997 provides the legislative basis and framework for South African higher education. The HE Act of 1997 was established to regulate higher education in South Africa. The Act makes provisions for governance, management, finances and operations of higher education institutions. It is further intended to aspire for the higher education sector to restructure, reform, redress past practices, provide opportunities for learning and creation of knowledge and amongst other, pursue excellence and promotion of the full potential of every

student and employee (HE Act, 1997). The Act has been amended subsequently to account for developments in the country for example the insertion of new definitions, the development and articulation and recognition of prior learning frameworks, new institutional types, powers of the council to invest funds, rights of private institutions to confer degrees, provision for the issuing of Ministerial directives, etc (HE Amendment Act, 2016).

The Council on Higher Education (CHE) serves as the statutory and independent advisory body to the Minister. It is also responsible for monitoring the achievement of policy goals, reporting to Parliament on the state of higher education. The CHE is also responsible for quality assurance (programme accreditation, programme reviews, institutional audits and quality promotion) through its Higher Education Quality Committee.

A report was issued by the late Minister for Education, Prof Kader Asmal, wherein decisions were taken for the transformation and restructuring of higher education which thus reconfigured the higher education sector, based on the response to the National Working Group (NWG) mandated to issue recommendations on the restructure of the higher education landscape to achieve transformation to fully meet the challenges of reconstruction and development. The new institutional landscape proposed by the NWG report, provides the foundation for establishing a higher education system that is consistent with the vision, values and principles of non-racial, non-sexist and democratic society and which is responsive and contributes to the human resource and knowledge needs of South Africa (Asmal, 2002).

The HE Act 1997 has delegated powers to a Council to govern a public higher education institution as the highest decision-making body. The Council delegates the running of the day to day operations of the university to the rector/principal/vice-chancellor. Universities are autonomous and enjoys freedom [reasonable] from the State (HE Act, 1997).

State resourcing of universities are currently administered through a higher education funding framework. Historically, the SAPSE funding framework was used to fund higher education which was based on outcomes and ignored current enrolments. The “A” factor was introduced to align institutional distribution with state budgets and discriminated between HDIs and HAIs (Bunting, 2006). The SAPSE system reflected the apartheid mentality of those who governed

and worked to the distinct disadvantage of HDIs (Moja and Hayward, 2005). The SAPSE funding system was replaced by a funding framework in 2004 that accounted for enrolments, institutional factor (redress), teaching and research outputs which is representative of a more transparent and equitable funding model. I hypothesise that it can be inferred that the funding framework presupposes that all universities are operating from the same base. This is of course far from the reality due to the disadvantaged backgrounds of many universities and therefore remains in a paradoxical binary of HAIs earning more funding due to their predisposed advantage compared to the HDIs who was previously disadvantaged. The DHET does acknowledge that universities in South Africa are not operating from an equal base and has introduced development grants so as not to destabilise non-performing universities as per the funding framework.

3.3 Transformation

The definition of transformation in the South African higher education landscape is nuanced and often referred to as a change of profile with regard to race or student and staff inclusivity or proportionate mix of students and staff in relation to its past. Since 1994, higher education went through at least three transformational changes at a national level. The first was in 1995 when the new government was seeking policy to establish a new policy for higher education with the appointment of a National Commission on Higher Education (NCHE), the second was in 2000 on the restructuring of the higher education system with the Council on Higher Education (CHE) and the third in 2008 after a racist incident at the University of the Free State (Soudien, 2010). UWC had to navigate through these various transformative phases.

O'Connell (2010) makes the argument that HDIs can be successful and reach levels of excellence in the academic project that as part of transforming, HDIs needs friends for example the state, municipalities, donors, sister universities, alumni and its communities. Respected leadership, outstanding management and good governance are crucial in winning this favour. The challenge for transformation is becoming aspirational and modelling a cultural change (O'Connell, 2010).

The term transformation in the title of this study is a reference to change and investment in change at an institutional level. Through transformation of its research portfolio, UWC became a research-led teaching and learning developmental university and financially sustainable. UWC transformed in more than just an academic sense, it invested in research, niche areas, support for staff to achieve PhDs, student and staff inclusivity, physical infrastructure and international collaborations. It consequently transformed itself beyond an HDI relative to the rest of the HDIs in South Africa. In Chapter Five I will demonstrate the institutional investments made that led to positive change at UWC.

3.4 Research-led

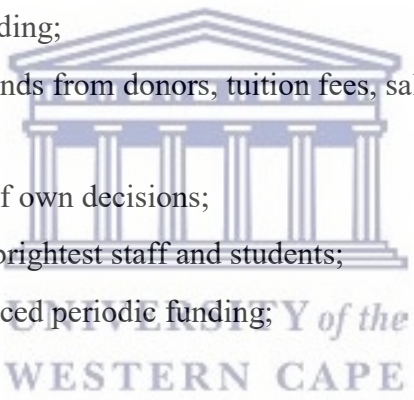
There is no consensus definition on what constitutes a research-led university. There is ambiguity in its literal meaning in that a university is either led by its research or the research is led by the university or more emphasis on research-led first before teaching and learning. None of these are what is intended to give meaning to the phrase. The reality is that there are multiple definitions for an institution that is performing research at a scale relative to the context of other universities by region or classification or globally. The measurement of research-led for UWC is in the context of South African universities. Can an institution call itself a research-led university? There is no law prohibiting a university on how it wishes to give expression to its identity or how it wishes for others to perceive it. Other phrases used in South Africa for a research-led university are “research intensive”, “research based”, “world class”, “research university”, “research oriented”, etc. These terms are not used by scholars in the field and are not technical terms. They are phrases used by senior officials or managers of a university as an identity of themselves for marketing, symbolic or aspirational purposes. There is an inherent expectation that if a university uses a term “research-led” in the way that it identifies itself, the university is conducting research to a contextual scale and has the staff infrastructure, the funding structures and physical infrastructure to do so.

There are some attributes of a research university that is prevalent of a university’s composition as Salmi, et al. (2011) explains a research university:

- Research universities are expensive compared to non-research universities;

- Require more funding to attract the best staff and students to provide the infrastructure for top research and teaching;
- The cost per student is higher than the average cost per student across the higher education sector;
- Adequate salaries for faculty, well equipped libraries, laboratories and scholarship assistance;
- Must have adequate and sustained budgets;
- Has the potential for significant income generation;
- The infrastructures are both complex and expensive to maintain and periodically upgraded.

Salmi, et al. (2011) goes further to explain elements that would be central to a successful research university as follows:

- 
- Adequate and stable funding;
 - Potential to raise own funds from donors, tuition fees, sale of intellectual products and consulting;
 - Autonomy and control of own decisions;
 - Attract the best and the brightest staff and students;
 - Privatisation due to reduced periodic funding;
 - Exceptional leaders;
 - Successful in formulating an inspiring vision for the future and rally academic and administrative staff behind this vision;
 - Becoming an “entrepreneurial university” that spawns successful high-tech spin-offs and generates wealth (economic) through commercialisation.

The above are factors and attributes to consider if a university wishes to be defined as a research-led university (Salmi, et al., 2011).

One cannot ignore the real tension that exists between research and teaching and learning and despite this admirable sentiment of being a research-led teaching and learning institution, any

claims to, or about any relationship between teaching and research have been experienced as “an intractable problem in American higher education” (Astin & Chang, 1995: 45). The United Kingdom and Australia have a fraught and contested relationship between research-led and teaching and learning concepts and if it is a university’s strategy or identity, the nuanced relationship is worth being a positive one (Schapper, 2010) that leads to expression of institutional commitment and support for its implementation. Most research work done in the sphere of defining whether an institution is a research-led university or proving beneficial relationships between research-led and teaching and learning is fraught with ideological baggage and criticism of variables on empirical evidence produced (Schapper & Mayson, 2010).

The National Development Plan 2030 (NDP) set a target of 75% of academic staff of universities in South Africa to have a PhD and graduate at least 100 PhDs per million of the South African population. To achieve the 100 PhDs per million of population, South African universities will have to “graduate at least 5000 PhDs per annum” (Cloete, et al., 2015: 195). Whilst this is a very ambitious plan, UWC is well poised to contribute to this plan.

3.4.1 Defining Research-Led for purposes of this study

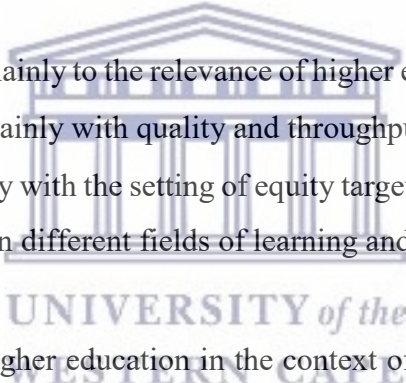
As mentioned earlier, there is no consensus definition in this field of study. For the purpose of this study I will define a research-led university in the South African context that qualifies the following criteria:

- 1) High number of faculty staff has PhDs in proportion to the average PhDs of other universities in South Africa.
- 2) High number of publications (journals, chapters, books, conferences, etc) proportionately relative to other universities in South Africa.
- 3) Access to specialised physical infrastructure.
- 4) International collaborations exist and grant funding is on a relatively high scale.
- 5) More than one research niche area exists.

These factors above will guide us in Chapter Five as to whether UWC is indeed a research-led institution.

3.5 Teaching and learning

There is acknowledgement generally of the tension and possible neglect of teaching and learning activities by universities who place more emphasis on research and tried to introduce initiatives by integrating general and professional education curricula and by bringing teaching practice more in line with diversified needs of the higher education system (Cloete, et al., 2006). However, funding regimes have driven teaching reforms in that nationally and academically oriented curricula go hand in hand with the introduction of performance evaluation linked to funding and the strengthening of inter-institutional competition (Cloete, et al., 2006). The Council on Higher Education (CHE) in 2000 has issued three key challenges (CHE, 2000):

- 
- Effectiveness, relating mainly to the relevance of higher education to the labour market.
 - Efficiency, concerned mainly with quality and throughputs.
 - Equity, concerned mainly with the setting of equity targets of students and staff by race, gender and social class in different fields of learning and teaching.

The CHE acknowledged that higher education in the context of globalisation was not simply about students and staff, but a radical restructuring of higher education that accompanied changes in various factors example managerialism and marketisation, as well as the production of knowledge itself in terms of consumption, circulation and conservation; exponential growth of information and communications technology, etc. (Muller, et al., 2017). Castells's visit to South Africa with former South African President Mbeki, emphasised the importance of being ready to embrace globalisation and information communication technology (ICT) as part of the country and higher education infrastructure (Muller, et al., 2017). The university's unique contribution to development is via knowledge – transmitting knowledge to individuals who will go out into the labour market and contribute to society in a variety of ways (teaching), and producing and disseminating knowledge that can lead to innovation or be applied to the

problems of society and economy (research, engagement). Part of what impacts on a university's ability to make a sustainable contribution to development therefore focuses on the nature and strength of its knowledge activities (Clark, 1983).

Universities can contribute to a new global sustainability paradigm by reviewing how and whether their current practices contribute to the generation and dissemination of holistic knowledge in supporting a new worldview aligned with the complexities of the twenty-first century. They can critically assess the competency profile of their graduates and reformulate course content and pedagogies as appropriate and orient research priorities to support the Strategic Development Goals (SDGs) of their respective countries which emphasize the social and environmental impacts of research, innovation and teaching and learning (Escrigas, 2016).

Redesigning curricula offers a great opportunity to facilitate reflective, critical, transformative learning that fosters responsible paradigms for living and being, both as individuals and as communities (Escrigas, 2016). Universities who has curriculum design, review and amended to relevance infused as part of their normal operations, becomes a critical source of equalisation of chances and democratisation of society making it possible for equal opportunities. It thus not only contributes to economic growth, it is a contribution to social equality, development of new cultures and cultural innovation linked to the new eras we are living in (Coleman, 1986). Castell warns universities of the folly of calling oneself a research-led university and smothering the academic staff with teaching and research loads which negatively impacts research and teaching and learning (Muller, et al., 2017).

3.6 Developmental University

Universities have been in the spotlight for a long while and having to continuously justify its support from the state and communities. Coleman (1986) posits that universities must be demonstrably relevant for and committed to national development and saturate its activities that espouses its relevance and support to the state and its communities (Coleman, 1986). Developmental universities have the characteristic of being inside of the general social fabric of an era and follows a model that considers values, facts and policies as a coherent whole (Arocena, et al. 2014, Coleman, 1986).

Escrigas (2016) argues that participating in the transformation of the awareness and behaviour of all societal actors is central to how successful a country's knowledge base will be. University community engagement is critically important for identifying and solving pressing problems of common people in all societies and, at the same time, introducing new ways of conducting research and teaching and learning processes. Cross-fertilization with communities can enhance the role higher education play, taking their knowledge into the streets and putting it to work in campaigns for social change (Escrigas, 2016).

Arocena, et al. (2014) defines elements of the developmental university such as the promotion of process of learning and innovation to foster development by being committed to social inclusion through knowledge; agency based notion of development as the expansion of individual and collective freedoms and capabilities within an egalitarian orientation; implementation of policies for promoting the production and use of knowledge that is able to foster different facets of social inclusion and can be formulated and implemented. Solutions lead to an enhancement of social inclusion (Arocena, et al. 2014).

Coleman (1986) advanced that developmental universities are inside the general social fabric of a given era; is an expression of the age; is in all its aspects concerned with solutions to problems of society; serves as an instrument in the reconstruction of society; assume responsibility for teaching and learning and research to society and the state; committed to the national development plans; committed to human equality; human dignity and human development; and contract research is materially involved in developmental activity (Coleman, 1986).

Castells in his visit to UWC in 2009 delivered a special lecture on higher education where he defined a developmental university as engaged in equity, responsiveness and citizenship formation (Muller, et al. 2017). Guimon (2013), Fredua-Kwarteng (2015) & Brundenius, et al., (2008) states that collaboration between the university and industry is critical which better addresses the needs of industry, care for the environment and contributing directly to economic growth and development and accordingly maintains partnerships with the state, industry and community organisations (Guimon, 2013, Fredua-Kwarteng, 2015, Brundenius, et al., 2008). Developmental universities must be a fountainhead of critical mass of change which impacts

under-developed dynamics of the country, be national in character and interest, local content and ethos (Lama, 2013). Ekanola (2013) & Fredua-Kwarteng (2015) expressed the view that development universities are geared towards producing practical graduates as the course content will reflect national needs not just hypothetical standards. The development university is more responsive to global trends and demands and national needs and must have a research-mission agenda, corresponding curricula and pedagogy that contributes to the fulfilment of national priorities and aspirations (Ekanola, 2013, Fredua-Kwarteng, 2015).

The trilogy of research, teaching and learning and service - participation in public policy formulation at all levels is an important attribute of a developmental university. President Julius Nyerere of Tanzania, as per Coleman (1986), stated that universities must be committed to the people of that nation and their humanistic goals and that the role of the university in a developing nation is to contribute to ideas, manpower and service for the furtherance of human equality, human dignity and human development (Coleman, 1986). This was supported by Kofi Anan who said that universities must become a primary tool for generating knowledge for national purposes (Fredua-Kwarteng, 2015).

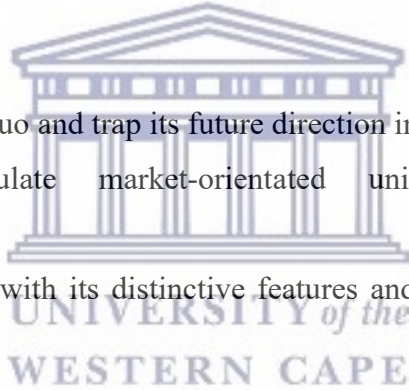
In his lecture during 2014 in Cape Town, Castells focused on the need to reconceptualise development, acknowledging the role of universities in a new development paradigm. Not all universities in South Africa will be able to be a developmental university as we experience the growing pains of developmentalism, as universities in Africa struggle to discover what it is to be a developmental university in a developing country (Muller, et al., 2017).

The benefits of a developmental university is that it maintains a harmonious relationship with others without interfering with others who are specialised in society, state and industry; delivers holistic education as a means of overcoming the problems of underdevelopment; enhancing the capacity of all and creative moral vibration on the social system; it avoids duplications between stakeholders; stimulates additional research; exploit synergies and complements capabilities; greater collaboration between local and international partners in higher education; attractive to the donor community and lastly measurable amelioration of poverty, unemployment and inequality (Guimon, 2013, Ekanola, 2013, Coleman, 1986). Coleman (1986) expanded further

to say that the developmental university is a good self-defence for purpose and proof of value to the state, industry and society (Coleman, 1986).

Is UWC a developmental university? The literature on developmental universities are synonymous to that of an engaged university or responsive university or civic university or developmental oriented university. I will not attempt to address the nomenclature and accuracy of the terms in this study. The themes that emerges from the developmental university that I could best describe it is that everything the university does gives consideration to the environment, inclusion of society or communities, alignment with national planning, inclusion in policy making at different levels of state, responsiveness to global and local demands and needs alignment and partnership with industry.

UWC has adopted the term “engaged university” in its 2005 to 2009 Institutional Operating Plan (UWC IOP 2005-09, 2004) which was the turning point on how UWC identifies itself based on three scenarios:

- 
- 1) Maintaining the status quo and trap its future direction in its past as an HDI. or,
 - 2) Entrepreneurially emulate market-orientated universities for profit and competitiveness. or,
 - 3) An engaged university with its distinctive features and particular importance to the South African context.

UWC chose the “engaged university” scenario as the IOP describes it as the university envisions a favourable future that transcends past glories and embraces a complex future in which the realities of transformation and global and technological advances are held in tension. In this scenario, the University’s associational engagement puts the individual student-in-community at the centre of its concerns for local and global issues, particularly issues pertaining to the African continent (UWC IOP 2005-09, 2004). This was indeed a defining moment in the history of UWC where it chose a strategy to liberate itself from HDI victimhood and embrace an attitude of taking on the future not bounded by its past and taking on the role of a developmental university.

Figure 6. Shows the contrast of life in South Africa between opulence and abject poverty. O'Connell referred to this image of being an engaged university, one must operate between these two worlds and navigate the nuances through sense-making. The only way South Africa could be successful is by empowering the poor to be shifted from poverty to self-sustainability and UWC has a significant role to play in this (Bharuthram & Pokpas, 2020).

UWC recognised that of the three scenarios listed of 1) Operate as a victim of the past as an HDI or 2) Operate as a for profit organisation or 3) Operate as an engaged university. The IOP process of 2010 noted that UWC has always been operating as an engaged university and committed that it will continue to do so as a formal cross cutting intervention across all of its strategic goals and embedded within everything that it does (UWC IOP 2010-2014, 2009). In the IOP campus consultative meeting during 2008, it was agreed that UWC identifies itself by being an engaged university, The University is shaped by contradictions and congruencies, engages in the generation, transmission and use of knowledge to transcend past problems and glories and to enable students and other stakeholders to address complex realities of transformation of global and technological advances (UWC consultative meeting 2008, 2008). This was a clear indication of the intention of being an engaged university that is synonymous to a developmental university.



3.7 Financial sustainability

UWC's financial sustainability is addressed in detail in Chapter 5 which demonstrates whether UWC is successful in its endeavour to be financially sustainable. To reiterate, the liquidity of UWC deteriorated from 1997 to below the standard acceptable liquidity rate. Coupled with declining student numbers, UWC was effectively insolvent in 1999 (Cloete, 2019).

Government committed funds to HDIs to accelerate their financial sustainability over the period 2000 to 2020. These funds were embedded as part of recurring subsidy allocation, once off recapitalisation and in small chunks thereafter based on interventions. In 2014, the Minister of Higher Education, BE Nzimande, further acknowledged the plight of HDIs and committed funding in the form of an HDI grant to address their challenges and Gazetted historically disadvantaged universities, which are mainly located in poor rural areas, serve in the main poor

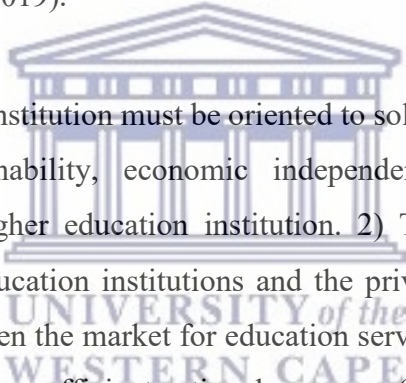
students who are poorly prepared for higher education studies. Nzimande (2014) stated that the participation rates of African and Coloured students in higher education remain low compared to whites and Indians and is of great concern. He further asserted that it is untenable both from a social justice perspective, and in meeting the demands of the 21st century and the needs of our economy. He therefore introduced an HDI grant with the aim of ensuring that over the short, medium and long-terms, HDIs improve their level of development and efficiency (Nzimande, 2014). This was a very important acknowledgement from the Minister of Higher Education as it translated into an intervention committing grant funding to assist HDIs in their financial plight to become more financially stable.

In most countries, government or other private organisations provide financial assistance in the form of block grants to public universities that allow them to carry out their duties efficiently and fulfil the academic objectives they aim to accomplish. Almagtome, et al. (2019) asserts that internationally, the financial sustainability of educational institutions is the main problem of public and private universities in the last years. Financial sustainability involves its ability to manage its short and long-term financial capacity while preserving the level of services. It requires measures to guarantee the provision of public services to the current generation as much as possible while protecting the requirements of the future and maintaining equity between generations (Almagtome, et al., 2019). Afriyie (2015) explains that the short-term perspective should not compromise the future perspective, which pertains to the sustainability of the institution and thus financial sustainability becomes the institution's capacity to fulfil current obligations without compromising its ability to meet future financial obligations (Afriyie, 2015). He further expands that institutions should be faithful to sustainability and engage in building institutional competence that takes generations to acquire wealth. As such institutions that want to succeed need to take a long-term perspective and plan its finances the same way to stay afloat to achieve financial success of its institution (Afriyie, 2015).

A perspective shared by Dumestre (2016) is that financial instability is merely a barometer of overall institutional health. Dumestre made it clear that US higher education is in financial trouble as the tuition fees are outpacing the 'working class' ability to pay for it which places most small to medium-sized universities 'at-risk', these at-risk universities are already in trouble or are well on their way to be at-risk. This was particularly interesting in that Dumestre

was referring to ‘at risk’ institutions. An ‘at risk’ situation exists when an institution's self-understanding is intimately connected with the traditional university model. These institutions require reinventing. Fundamental change will only come about after overcoming significant conflicts. Strategic planning is required rather than a process of simply adopting models that have been successful at other institutions. Inefficiencies are rife in terms of duplicative or ineffectual curricula and overall organisational bloat. Strategic thinking is a transformational methodology that underlies strategic planning (Dumestre, 2016).

Chumba, et al. (2019) explains that we must be aware of the signals of financial risk as it is evident that public universities, continue to suffer from various financial problems including but not limited to debt accumulation and inability to promptly pay suppliers of goods and services, inability to make timely purchases of project inputs, delay in payment of salaries and implementation of collective bargaining agreements, limited number of academic field courses and academic conferences, curtailment in purchase of books, and reduction of research grants, among others (Chumba, et al., 2019).



The efficient higher education institution must be oriented to solving the following tasks: 1) to increase the financial sustainability, economic independence, and flexibility of the management structure of a higher education institution. 2) To increase the efficiency of cooperation between higher education institutions and the private sector, 3) to increase the efficiency of cooperation between the market for education services and national and regional labour markets, resulting in a more efficient national economy (Sazonov, et al., 2015).

Higher education institutions are required to become more entrepreneurial in their thinking. Institutions are strategically positioning themselves to flourish in an increasingly competitive environment and constrained fiscal conditions created by new state policies regulating higher education. To this end, they are exploring new entrepreneurial activities and implementing internal organizational and managerial arrangements to support this. Universities are appointing ‘knowledge workers’ or “entrepreneurial scientists”. These developments are being widely interpreted as a new normative yardstick of institutional innovation (Subotzky, 2000).

It is evident that financial sustainability has been on the radar for most higher education institutions as they grapple with the ever-changing higher education landscape and reduced government support (Dumestre, 2016). Based on the many definitions that exist for financial sustainability, the common thread of the definitions is that an enterprise will be able to operate in the future without sacrificing existing operations.

3.8 Leadership

There is an ongoing focus on South African leadership in higher education and in particular the role of vice-chancellors. Leaders need to understand the past, present and the future in their local, national and global context. There is no retreat from an institution's historical consciousness, but it takes courage to act on it (Dumestre, 2016).

Based on my anecdotal evidence as a leader and having experienced some of the leadership at UWC, I hypothesize that UWC was blessed with leadership excellence. There is an abundance of literature on leadership excellence. What resonates with me is the definition of Stallard (2015) who narrates that leadership excellence is about task excellence and relationship excellence. Task excellence is about setting the goals, right attitude, inspiring the vision, sense of purpose and motivation. Relationship excellence is about connecting with your staff, getting to know them, understanding them and what motivates them. Balancing task and relationship excellence results in highly engaged and productive teams (Stallard, 2015). A further definition is that of Havard (2014) where he defines leadership excellence as character and virtue motivated by a magnanimous vision for all charged. The content of character is virtue, magnanimity, humility, prudence, courage, self-control and justice (Havard, 2014).

For the purpose of this study, it is important to understand the period and the context of each period that a leader served UWC. For the period 2000 to 2020, UWC had two rectors namely Prof Brian O'Connell from 2001 to 2014 and Prof Tyrone Pretorius from 2015 to 2020. Prof Pretorius continues to serve UWC as rector as the Council has extended his term for another 5 years. As this study focuses on the period 2000 to 2020, I will be referring mostly to these two rectors serving UWC.

With the advent of fresh leadership at UWC, a new narrative was sutured, one which would place the university in a different alignment with state and community with the appointment of O'Connell and new Executive team. O'Connell and his executive team re-narrated UWC, in which the idea of forging an intellectual home of the left was allowed to recede, while the reputation as a significant site of knowledge, capable of addressing the legacies of apartheid by enabling a practice of thinking beyond its own constraints, was foregrounded (Lalu & Murray, 2012).

O'Connell, appointed in 2001 as the Vice-chancellor, initiated an open and transparent process of strategically rebuilding UWC. He convinced the NWG not to merge UWC with the Peninsula Technikon with his vision and strong argument that it was necessary for UWC in terms of the reconstruction and development of South Africa to remain a stand-alone institution (Bharuthram and Pokpas, 2020). Pokpas, et al. (2021) narrates that Prof O'Connell was saddled with the aftermath of the retrenchments in 1999, financial vulnerabilities and vagaries of the higher education sector impacting enrolments, a despondent campus community and another crisis being the potential loss of identity due to the imminent merger with the Peninsula Technikon (Pentec) (Pokpas, et al., 2021). O'Connell had to convince the campus community to make sacrifices and persuade the state to reverse the decision to merge with Pentec (Lalu & Murray, 2012, Bharuthram & Pokpas, 2020, Pokpas, et al., 2021).

The focus was now to realise the vision of transforming UWC into a financially viable academic institution underpinned by excellence and impact in teaching and learning, research and innovation, and community engagement, that would revitalise the university's promise to work towards a post-apartheid future (Lalu & Murray, 2012).

O'Connell constantly articulated the need for 'sense-making' of a depiction in Figure 6. displaying the divide of South Africa of which 15% were 'haves' and 85% were 'have nots' where the haves are represented as the plush Cape Town CBD surrounded by the blue Atlantic Ocean and Mountains and the have nots being represented as the majority of South Africa of an informal settlement with kids playing close to stagnant stormwater.

Figure 6. O’Connell’s depiction of the South African realities (Bharuthram & Pokpas, 2020)



Source: (Bharuthram & Pokpas, 2020: 8) O’Connell’s sense-making depiction of the divide in South Africa.

The challenge was to find the middle road that addresses the dire needs of the 85% of our country's population who were previously disadvantaged, at the same time not putting fear into the 15% who were advantaged. I look at four ways in which Prof O'Connell's leadership shaped this implementation process and arguably the significant progress made by UWC over this period:

- 1) Making an intellectual case for UWC as an engaged university - envisions a favourable future that transcends past glories and embraces a complex future in which the realities of transformation and global and technological advances are held in tension (UWC IOP 2005-09, 2004).
- 2) Translating the vision into practice through "sense making" - a conceptual frame for the implementation of its strategic plans after recapitalisation, it was recognised that the litmus test for UWC would be the translation of this vision into practice across the

institution. Valuing its human agency through building trust among the institutions leadership and strengthening its capacity at all levels (Executive, Deans, professors, academic and support heads). The other focus was leadership development capacity across the institution and creating spaces for collaborative engagements.

- 3) Identifying and strengthening strategic levers for change such as the focus of reaffirming the primary focus of the knowledge project at UWC. Establishing strong niche areas, research institutes and centres, successfully bid for major national grants, for example, in the DSI/NRF South African Research Chair Initiative programme.
- 4) The focus on reimagining campus infrastructure in support of its strategic aspirations. It also focuses on reimagining the University and the possibilities of creating a physical environment that supports continuous change in pursuit of excellence (Bharuthram & Pokpas, 2020).

O'Connell, as the Vice-Chancellor of UWC drove the Institutional Operating Plan (IOP) to rebuild UWC, he was instrumental in securing the incorporation of the School of Oral Health of Stellenbosch University into UWC, completion of the process of becoming the sole enrolment university for undergraduate Nursing in the Western Cape, Recapitalisation by the government, building the new Life Sciences building and securing the funds for it, etc. These are all defining moments that altered the path for UWC to become a research-led teaching and learning developmental institution and financially sustainable. The Executive management team embraced the O'Connell Vision, created the stable, cohesive and collaborative climate for achieving the strategic goals. Consequently, the significant shifts that took place within the UWC community led to the development of a culture where all were encouraged to bring their share, this resulted in a collective momentum going forward with ever-increasing success becoming the norm (Bharuthram & Pokpas, 2020).

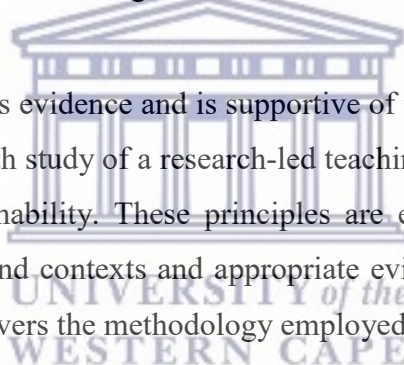
Prof Tyrone Pretorius's appointment in 2015 brought about consolidation of the knowledge project that his predecessor initiated. At his inaugural address in February 2015, Pretorius grappled with central leadership questions: "How to maximise UWC's sources of organisational strength; how to retain the vitality of the intellectual project; and how the university's connectedness with its wider context will influence its sense of identity and future strategic choices in a complex and ever-changing world". For him, these questions all point to

mission and purpose, namely that “[a] University ... has to be an unapologetically intellectual community with an ongoing interest in the significance of knowledge for our country and world” (Pretorius, 2016: 7). In addition to the consolidation of the knowledge project, Pretorius had to contend with the remnants of the battle between the UWC Council and the Executive, advent of the national #FeesMustFall campaign, the Western Cape drought, pressure of insourcing contracted workers and the Corona Virus (COVID-19) pandemic all of which will be discussed in Chapter Five.

3.9 Conclusion

This chapter reviewed the various literature that defines transformation and research-led, attributes of teaching and learning, financial sustainability and a developmental university which profiles UWC as a research-led teaching and learning developmental university. Leadership at UWC was reviewed providing evidence of interventions undertaken to transform UWC setting it up for success in delivering on its mandate with confidence.

The literature reviewed provides evidence and is supportive of the arguments that defines and reveals principles for an in-depth study of a research-led teaching and learning developmental university and financial sustainability. These principles are embedded in the literature on definitions, various scenarios and contexts and appropriate evidence that is aligned with the arguments. The next chapter covers the methodology employed to perform the study.



CHAPTER FOUR: RESEARCH METHODOLOGY

4.1 Introduction

This chapter presents the research approach used in this study. It discusses the rationale for the research approach/method. It covers factors considered for the study participants population size, nature of their relationship with the University and reasons for their selection. The chapter sets out the design first and thereafter outlines the research design and methodology with the elements considered for reasonableness. With this in mind, the study is based on a mixed method research approach as explained below.

4.2 Research design

Research design articulates the data required, methods to be used to collect and analyse the data and how this will bring an answer to the research question. McMillan & Schumaker (2001) defines research design as a plan for selecting subjects, research sites, and data collection procedures to answer the research questions and further indicates that the goal of a sound research design is to provide results that are judged to be credible (McMillan & Schumaker, 2001). The purpose of a research design is to provide, within an appropriate mode of inquiry, the most valid and accurate answers possible to the research question (Denzin & Lincoln, 2000). The research design encourages the process of strategic thinking and reflection. A research design alludes to the general technique incorporating the diverse segments of the study in a sound and sensible route, to adequately address the research issue (Bertram & Christiansen, 2014).

This study adopted a mixed-method of research design. The research design used three approaches namely an explanatory design, a descriptive design and a correlational design. The explanatory design is appropriate in that study participants were purposefully selected to explore experiences (Ivankova, et al., 2006) in more depth through a qualitative study analysis. The descriptive design is appropriate in the context where there was no comparable sample

within a group (Omair, 2015). The correlational design is appropriate where there is no inferred cause and effect but rather describing relationships between variables (Lappe, 2000).

4.3 Research methodology

The research methodology involves analysis of assumptions, principles and procedures in a particular approach to inquiry. Research methodology is a systematic way to solve a problem. It is a science of studying how research is to be carried out. Essentially, the procedures by which researchers go about their work of describing, explaining and predicting phenomena are called research methodology (Gounder, 2012). According to Creswell, methodologies explicate and define the kinds of problems that are worth investigating, what constitutes a researchable problem, testable hypotheses, how to frame a problem in such a way that it can be investigated using particular designs and procedures, and how to select and develop appropriate means of collecting data (Creswell, 1998).

This study is based on a qualitative and a quantitative methodology to obtain varied interpretations of occurrences and contextual understandings of the historical events that gave rise to a research-led teaching and learning institution and financial stability to establish cause and effect between variables. The qualitative method was considered due to the time span of the study from 2000-2020 and prior years; it allows personal observation of emotions embedded in discussions; open-ended structured questions that enriches data gathering; comprehension of study participants' perceptions and experiences and tracking rich descriptions of complex, unique or unexpected events. A quantitative method was used in the analysis of financial data and statistical information from UWC and public records.

4.4 Qualitative methodology and quantitative methodology

The research approach is a qualitative methodology. Study participants were used in the qualitative approach and public/institutional records were accessed to support many of the findings in a quantitative approach. The approaches seek to understand and explore study participants' experiences, occurrences, discover and interpret rather than hypothesis testing

(Denzin & Lincoln, 1994). A qualitative and quantitative approach is considered appropriate for this study as it is an empirical inquiry that reviews a contemporary phenomenon within its real life context using multiple sources of evidence (Yin, 1989). Furthermore, a qualitative research method is valuable in that it provides rich information and unexpected instances. Anderson (1993) sees this approach as being concerned with how and why things happen, allowing the investigation of contextual realities and the differences between what was planned and what actually occurred (Anderson, 1993). Bosetto (2020) explains that the steps of data collection and analysis for qualitative research is characterised by its flexibility, openness and responsiveness to context of the study. As a rule of thumb, qualitative research generally includes data in the form of words rather than numbers (Bosetto, 2020). Kothari states that qualitative research relates to or involves “quality” or “kind” whereas quantitative research is based on measurement of quantity or amount that can be expressed in quantity (Kothari, 2004). A quantitative approach was used to collect data from UWC records and public South African Higher Education records. Data was classified and categorised and transformed into graphic presentations and tables. This data was used as a correlation to study participants to corroborate their experiences and remove inherent biases.

4.5 Sampling of study participants

A sample of participants was selected for this study on the basis of the participants’ current and/or past relationship with UWC. The criteria applied for sampling is that the study participants had experience with UWC in at least one of the following classifications:

- student, governance, leadership (executive) and government.

These four spheres were considered as an adequate coverage of being able to share experiences of UWC from targeted group perspectives. A sample is a subset of a population selected to be representative of that population. Acharya et al. (2013) refers to sampling techniques that can be broadly classified as “probability” and “non-probability” samples. Probability sampling allows the investigator to generalise the findings of the sample to the target population and could include sampling such as “simple random sampling”, systematic random sampling, stratified random sampling, etc., (Acharya, et al., 2013). Non-probability sampling includes

convenience/purposive sampling, Quota sampling, Snow ball sampling, etc. Each method of sampling has its own advantages and limitations (Etikan, et al., 2016 & Acharya, et al. 2013). Etikan, et al. (2016) posits that the purposive sampling technique, also called judgment sampling, is the deliberate choice of a participant due to the qualities the participant possesses (Etikan, et al., 2016). The inclusion criteria of the sample of study participants were based on their time served and relationship with UWC at or during a specific period. The sample was therefore purposive.

4.6 Selection of Study Participants

Study participants were selected on a purposive basis as described in the “sampling of study participants” above for this study. The criteria used to select the study participants were on the basis of four sets of sampling criteria mention in 4.5. Further criteria were required in the selection of study participants as follows:

Formal relationship with UWC past or present, the relationship was during the study period 1995 to 2000 or 2000 to 2020.

A total of 16 participants were invited to participate in the study. A total of 10 participants responded as per the table below:



Table 1. List of study participants cohort profiles

<u>Participants</u>	<u>Participant classification</u>
Participant 1	Executive member
Participant 2	Executive member
Participant 3	Government official
Participant 4	Governance member
Participant 5	Governance member
Participant 6	Executive member
Participant 7	Student
Participant 8	Government official
Participant 9	Executive member
Participant 10	Student

Source: Author's compilation of fieldwork, 2022

I can only disclose the participant classification which is indicative of the nature of the relationship with UWC. Disclosing any further information such as gender, age, period of service, etc. would compromise the identity of the study participants. Gender and age were not relevant for the selection criteria. The 10 study participants were adequate in that the sample represented the four classifications of UWC and is a 63% participation rate. What was of great importance is that there was more than 1 study participant per classification to provide assurance of coverage.

4.7 The semi-structured interview

An interview is used as a tool for data collection and is amongst most commonly used for qualitative data collection (Jamshed, 2014). According to Oakley (1998) & Jamshed (2014), a qualitative interview is a type of framework in which the practices and standards be not only recorded, but also achieved, challenged and as well as reinforced (Oakley, 1998, Jamshed, 2014). Most qualitative formats of interviews are either “unstructured”, “semi-structured” or “structured”. London (1994) and Corbin & Morse (2003) shares that unstructured interviews are generally used in conducting long-term field work and allow respondents to let them express in their own ways and pace, with minimal hold on respondents' responses (London, 1994, Corbin & Morse, 2003). Semi-structured interviews are those in-depth interviews where the respondents have to answer pre-set open-ended questions. Semi-structured, in-depth interviews are utilized extensively as an interviewing format (Corbin & Strauss, 2008). Structured interviews are descriptive with a specific set of questions (Blumberg, et al., 2008).

The research question guides the type of questions to be asked in an interview. Questions did not include a set of response options and are therefore known as open-ended questions. Open-ended questions require study participants to formulate a response in their own words and to express it verbally or in writing. Study participants were not steered in a particular direction by predefined response categories (Zull, 2016, Reja, et al., 2003).

All study participants were asked the same pre-set questions. The questions were open-ended that allowed the study participant to volunteer and contribute more data. This enriched and diversified the data. Interviews were recorded and transcribed. The transcripts were computer generated and shared with the respective study participants for accuracy. The duration of interviews were 90 minutes. All interviews were performed via the Zoom online platform to secure social distancing due to the COVID-19 pandemic. Nine participants gave express permission to record the meetings via Zoom. One participant preferred to respond in writing and was given an opportunity to provide clarity via telephone.

4.8 Secondary data: Literature review

This study included an extensive review of literature that complements the data collected. The sources of data included published journals, books, government publications, legislation, UWC institutional documents and internet sources. The literature review addressed aspects of UWC as an HDI in South Africa and changes to the South African higher education landscape pre and post-apartheid government, the change in legislation and policy changes at a government level that influenced UWC, the context of transformation within this study, attributes of a research-led teaching and learning university, elements of a developmental university, financial sustainability and leadership. The UWC institutional documents were particularly useful for verifying changes, interventions, strategies and influencing factors that resulted in UWC being transformed to a research-led teaching and learning developmental institution that is financially sustainable.

4.9 Data analysis

Data analysis involves the process of reviewing, examining and interpreting through the use of analytical and logical reasoning to determine patterns, trends, insights, relationships, etc. (Braun & Clarke, 2006). According to Braun (2013), data analysis can be performed through a quantitative or qualitative analysis, a quantitative analysis involves numbers as data, is detached and impartial whereas a qualitative technique provides data in words, language, images and values, personal involvement and partiality (Braun & Clarke, 2013). Qualitative and quantitative data techniques were used for this study.

4.10 Qualitative data analysis and quantitative data analysis

Qualitative and quantitative data analysis techniques were used in this study. I reviewed the data collected from the study participants' interviews. Qualitative data analysis is usually used to interpret and assess data collected and obtaining an understanding of the context and lived experiences. A thematic analysis was used to analyse the data. Thematic analysis is a method for identifying and analysing patterns and meanings in a data set (Braun & Clarke, 2006). Thematic analysis illustrates which themes are important in the description of the phenomenon under study (Daly, et al., 1997). I have adopted the six-step analytical approach as per Braun & Clarke (2013) method to qualitatively evaluate the data (Braun & Clarke, 2013).

- 1) **Become familiar with the data** – I had to read and reread the transcripts (data) to familiarise myself with the data. I had to listen to the recordings again.
- 2) **Generate initial codes** – After familiarising myself with the data, I systematically classified the data based on the nature of the data, such as picking up key words, phrases and meanings that was interpreted from the data. I then coded the data as per the classifications.
- 3) **Search the data for themes** – I reviewed the codes and reclassified the codes into groupings as per its meaning, intention, phrases, etc. and created themes from these classifications. A good example is where study participants gave characteristics of good management or was complimentary to an individual in a formal leadership position, etc. I would group all these codes into a theme called “Leadership”.
- 4) **Review the themes** – I reviewed the themes to understand if the themes were logical and aligned to the research questions and literature. Some themes were discarded as new themes evolved.
- 5) **Define themes** – After reviewing the themes, I had to define the themes so that it expressed the essence of the meaning of the data.
- 6) **Compile the report** – I had to convert the qualitative data into information for purposes of interpretation and support or alignment of the research questions and literature. The interpreted data was used for the qualitative component of this study.

Quantitative data analysis was used to collect financial data and document reviews from sources within the UWC governance structures and from public information of higher education in South Africa. Relevant data was collated and transformed into graphs and tables to provide meaningful information such as trend analysis, fact findings and corroborating information that supported the study.

4.11 Limitations of the research

There were no limitations on this study. Out of 16 selected study participants invited to participate in the study, only 10 study participants responded. The 10 respondents included all of the important categories of stakeholders, and provided ‘thick’ data. They are a fair representation of the population and accepted as adequate for the qualitative methodology for this study.

4.12 Ethical considerations

Research ethics are concerned with moral behaviours in research contexts. Ethics plays a very important role in any research study. Apart from the obvious falsification of data or abuse of participants, issues such as subjective biases, values and political or religious views should be excluded from research data (Bell & Wray-Bliss, 2009). One should consider the risk to the study participants associated to the research topic which could be sensitive or pose a threat to study participants (Wiles, 2013).

Important ethical elements were considered and addressed in this study such as avoiding damage or harm to study participants, communication of invitations and informed consent, privacy, anonymity and confidentiality. Informed consent involved participants with clear information about what they participating in and what the research project will involve and giving them the opportunity to decide whether or not they want to participate (Wiles, 2013). All study participants are protected by confidentiality and anonymity by ensuring that I remove any form of identity, hint or inference of an identity by coding the study participants and making use of this code throughout the study.

The University of the Western Cape's ethical code was complied with. The research work was only performed once the University's Senate Higher Degrees Committee accepted the research proposal.

4.13 Conclusion

This chapter discussed the research methodology in detail. The qualitative and quantitative methodologies are appropriate for this research study and is governed by the research ethics. The next chapter covers the findings and discussions of this study.



CHAPTER FIVE: FINDINGS AND DISCUSSION

5.1 Introduction

This chapter covers the findings of the study. It seeks to understand how UWC achieved success from financial constraints through transformation to a research-led teaching and learning developmental university from the year 2000 to 2020. There were two complications with this title. The first is conceptual and the second is causality. The conceptual understanding of research-led is not defined and scholars in the field do not make use of the term and thus, I had to define what constitutes a research-led university for the purpose of this study. I have defined a research-led university in Chapter Three section 3.4.1. The causality complication exists due to inference drawn from the title that “through transformation” UWC became a research-led teaching and learning developmental university and inferred financially sustainable. This was resolved in Chapter Three section 3.3 which defines transformation in the context of the title which is effectively the university evolved through stages of changes. This chapter covers the empirical evidence of this causality and the transformative activities are identified within the sections.

The aim of this chapter is to revisit the research objectives and to provide data that Chapter Three, the literature review, did not cover adequately. It also integrates the codified themes of the study participants. The research questions are asked in Chapter One section 1.2.4. The research questions are: 1) Is UWC a historically disadvantaged institution? This question was answered in Chapter 2. 2) Is UWC a research-led teaching and learning university? This question was partially answered in Chapter 3 and is further addressed in this chapter. 3) Is UWC a developmental university? This question was partially answered in Chapter 3 and is addressed fully in this chapter. 4) Is UWC financially sustainable? This question to be addressed in this chapter. 5) What role did UWC’s leadership play in these achievements? This question to be addressed in this chapter. The research questions will guide the various sections in this chapter with presentation of data, graphs, tables, quotations, study participant findings and interpretations.

5.2 Study Participants and Themes

As mentioned in Chapter Four, study participants were selected on the basis of their current or past relationship and status with UWC. See section 4.6 Table 1. for details regarding the participants. I had to assign interview ID's to study participants to ensure anonymity of the study participants. All transcripts were prepared by using the study participants' own words and forms of expression. As mentioned in Chapter Four, qualitative data techniques were used in analysing and interpreting data collected and obtaining an understanding of the context and lived experiences. A thematic analysis method was used to interpret themes that emerged from the interviews (Braun & Clarke, 2006). The themes were codified from the interviews and is appropriately included under sections in this chapter. Table 2. lists the themes that emerged from the thematic analysis and number of items raised combined, related to the theme.

Table 2. Thematic analysis of study participants

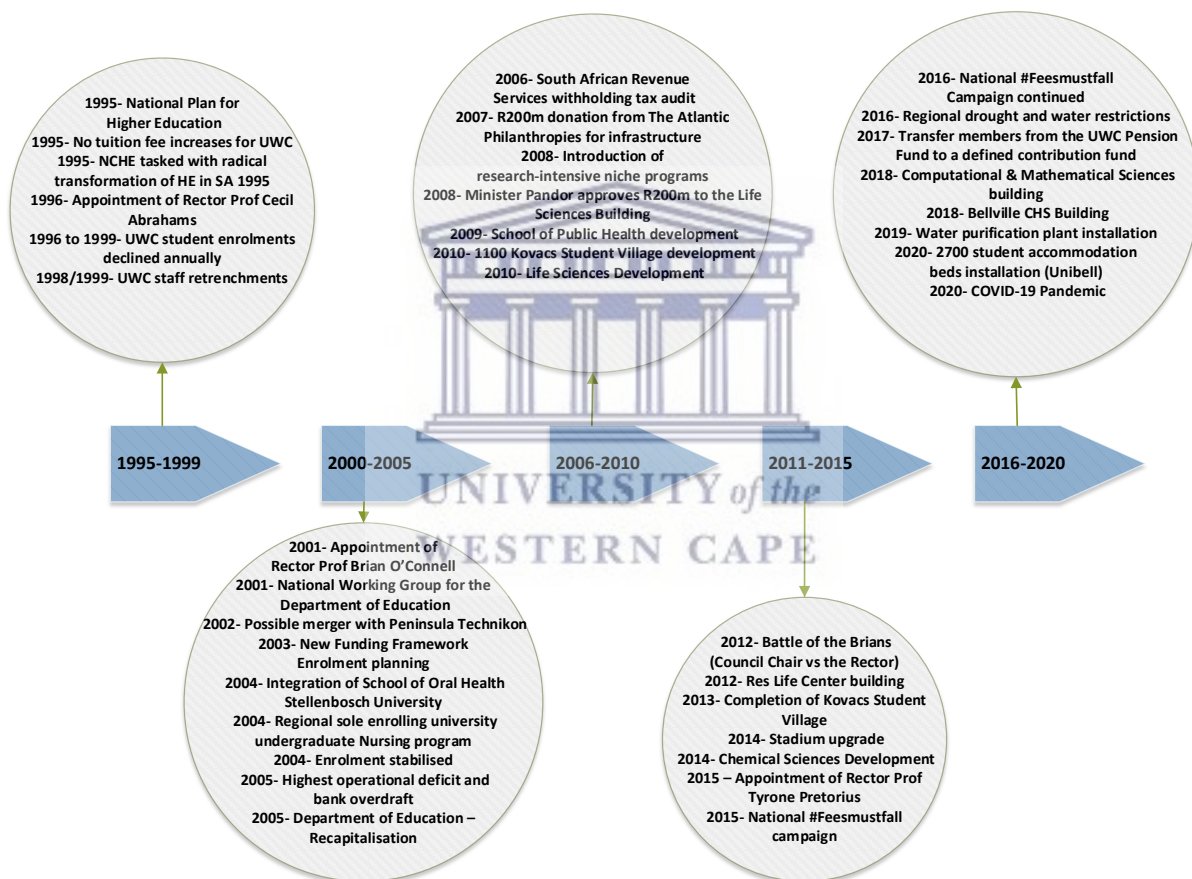
<u>Theme</u>	<u>Number items raised per participant combined</u>
1) Restructuring and funding of the higher education system in South Africa	21
2) Research, teaching and learning	38
3) Developmental university	23
4) Financial	34
5) Infrastructure	13
6) Leadership	32
7) Governance	5

Source: Author's compilation based on fieldwork, 2022

The Themes listed in Table 2. will be discussed in the appropriate sections in this chapter.

Chapter Two includes the timeline from conception in 1954 of the promulgation of the Bantu Education Act of 1954 foregrounding university apartheid, the commencement of the Extension of the University Education Act of 1959 (Thompson, 2020), the creation of UWC in 1960 to 1994 and serves as highlights of 35 years of UWC’s evolution. For the purposes of understanding this chapter with ease, its best to illustrate the next 25 years in a timeline from 1995 to 2020, see Figure 7. below:

Figure 7. Timeline for the evolution of UWC from 1995 to 2020



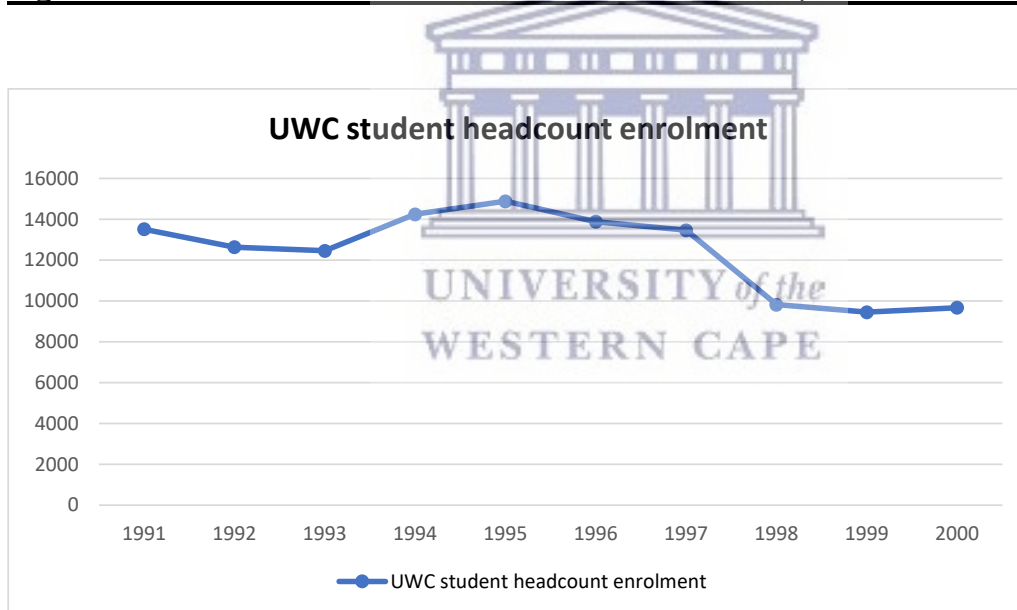
Source: Author’s compilation based on fieldwork, 2022.

5.3 Restructuring and Funding of the Higher Education System in South Africa

In Chapter Two the study reviewed the timeline pre and post-1994 which set the scene for a radical transformation in the higher education landscape in South Africa. The White Paper 3 1997 was the prelude to the Higher Education Act 101 of 1997 which repealed all previous higher education legislation opening all universities for all races and ethnicities (HE ACT, 1997). HDIs black student enrolments were diluted by students exercising their freedom of choice to enrol at HAIs (Pokpas, et al., 2021). Wangenge-Ouma & Carpentier (2018) revealed that the student enrolments at HDIs reduced substantially leaving them in a very precarious position (Wangenge-Ouma & Carpentier, 2018).

UWC as an HDI was no exception and lost more than a third of its student enrolments between the period 1995 to 1999, see Figure 8. (Cloete & Bunting, 2019).

Figure 8. Decline in student enrolment – UWC 1991-2000 (Cloete & Bunting, 2019)

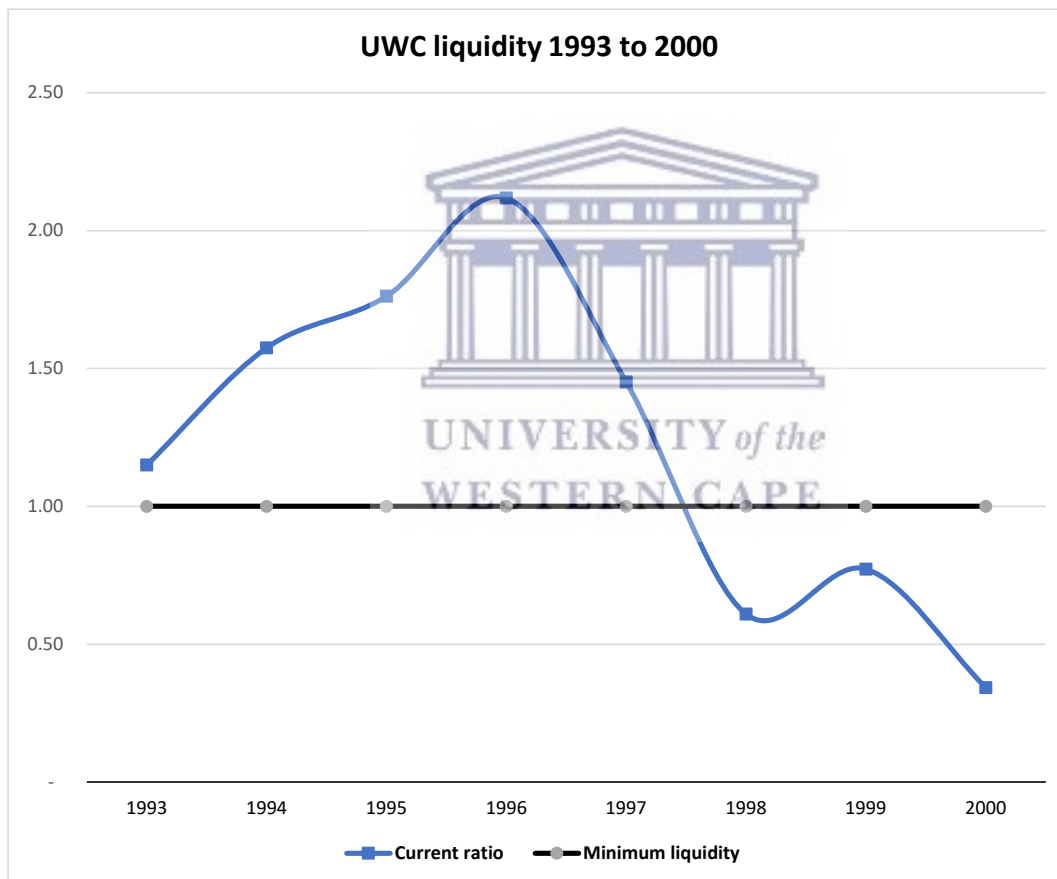


Source: Author's compilation of fieldwork, 2022. Data obtained from (Cloete & Bunting, 2019).

Figure 8. indicates that there was no sign of normalcy by the year 2000 with regards to student enrolment with projected future student enrolment numbers of similar value. The UWC student enrolment numbers is a driver of state subsidy and student revenue funding, thus, as a result of the decline of student enrolment numbers, the subsidy and student revenue declined placing UWC in the category of a going concern risk resulting in qualified audit reports (UWC Annual Report, 2003).

Figure 9. shows that UWC was operating as a going concern as the liquidity ratio is above 1.0 until the late 1990s.

Figure 9. UWC liquidity ratio 1993 to 2000 (UWC Annual Report, 1993-2000)



Source: Author's compilation of fieldwork, 2022. Data obtained from the UWC audited Annual Reports 1993 to 2000.

The steep decline and low forecasted student numbers were key factors that resulted in the National Working Group's (NWG) recommendation to merge UWC with the Peninsula Technikon to form a new comprehensive university (Cloete and Bunting, 2019). The Ministry of Education did not accept the recommendation for UWC to merge and that it should be retained as a separate institution, incorporating the Dental School of Oral Health of the University of Stellenbosch. Furthermore, the University of Cape Town and the University of Stellenbosch should discontinue undergraduate nursing programmes, which must be offered by the University of the Western Cape as the sole undergraduate nursing programmes enrolling institution in the region (Asmal, 2002). Section 5.3.2 contains more details of this restructuring change in the higher education landscape.

During this period of student enrolment reduction, UWC had to contend with an exodus of senior scholars who left UWC for a position in government. It also had several acting rectors as Gerwel left to take up a senior position in the South African President's office. The state subsidy was substantially reduced by the state by application of the discretionary "A" factor as some would say the state penalised UWC for its defiance and opposition of the apartheid government (Pokpas, et.al., 2021). UWC also headed the Minister of Education's call not to increase tuition fees during 1995 compounded by accumulation of student debt. If this was not enough of a challenge, the new rector Prof Cecil Abrahams was appointed who did not manage to lead well in this difficult period (Pokpas, et al., 2021 & Tapscott, et al., 2014). A retrenchment program was initiated with 41 academics and about 300 non-academic staff lost their jobs (Tapscott, et al., 2014). The consequences were severe for UWC which resulted in mistrust in leadership, intrigue and institutional divide.

Study participant 8 is quoted below as part of this lived experience during the tumultuous 1990s time at UWC.

The institution's [UWC] financial plight was really very, very bad. I'm not sure you could even say it was a going concern, ...I think UWC was a bit naïve to think that the new government would look upon UWC very favourably...And so UWC found itself in this position where it not only bled finances but it bled leadership. Jakes had already

been part of the transition [government-in-waiting] and so many of the leadership at UWC went on to assume extremely senior positions in government.

Study participant 10 said the following on the UWC education project:

After 1994, ...UWC was under enormous stress and it is marked by a lack of continuity in vision...I think UWC was caught off guard...There would no doubt be difficulty and the difficulty would have been because the educational project was too closely wedded to a political identity, making it difficult to understand what was important about education per se. What was UWC's perspective of the all-important question of the future of higher education?...but we lacked a coherent educational vision...It was a very dark period for UWC.

The late 1990s was a difficult period for UWC, and as mentioned before, the retrenchment of staff and the near bankruptcy of the university has led to intrigue and mistrust. Study participant 10 had this to say about mistrust at UWC due to the retrenchments:

Unfairly perhaps, UWC bore the burden of being the struggle university and had to keep up the pretence to survive a highly competitive environment... There was a letter that was then circulated on a Sunday after promise was given on a Friday that there would be no retrenchments and it led to 40 people losing their posts in the Arts Faculty...it led to enormous mistrust amongst colleagues across the university. And if there was something we inherited from this period is mistrust and intrigue and suspicion...the sense of estrangement and paralysis that followed the retrenchments persist.

Study participant 9 shared the context of the unceremonious closure of certain departments, hurt and shame experienced during the late 1990s:

The 1998 retrenchments, the closure of the Faculty of Theology and the downgrading of the Department of Philosophy must rank as the most shameful and embarrassing for

UWC. While ... [deleted for anonymity] as senior management, were still engaging with the Executive to provide targets for each faculty for cost saving which we meant to cover through not filling vacant posts or using the Deans pool to reach those targets, the Executive unilaterally implemented the retrenchment exercise. It was the first and only time in the history of higher education in South Africa that academic staff were put through such a crude retrenchment exercise where the principle of LIFO was indiscriminately applied irrespective of the particular set of academic expertise required in each department. This episode has led to significant trauma and has left a deep scar on the University's soul, especially given the kind of collegial relationships as opposed to hierarchical relationships that existed. The closure of the Faculty of Theology has led to senior theologians joining the University of Stellenbosch en masse and they are now one of the leading Theology schools in the country. To rub salt into the collective wounds of UWC, none of these interventions turned around the financial fortunes of UWC.

The late 1990s was expressed in a very emotive tone by the study participants. This was also noted in the literature in which UWC was seen as destined for bankruptcy (Cloete, et.al, 2019) and a divided campus community (Tapscott, et al., 2014). A significant point raised by study participant 9 was that it was the first and only time in South African higher education history that academics were retrenched.

UNIVERSITY of the
WESTERN CAPE

5.3.1 Turning point for UWC within the restructuring of the higher education landscape

The radical change in higher education and UWC came about when the National Working Group (NWG) for higher education was constituted by the post-1994 government to provide recommendations on the transformation of the South African higher education landscape and presented their report to the Minister of Education in the early 2000s. Prof Brian O'Connell joined UWC in 2001 as rector, at the beginning of his tenure he had to face disillusioned staff, low staff morale, financial crisis, low student enrolments, administrative and academic leadership vacuum, threat of the imminent merger with the Peninsula Technikon (Pentec) and a plethora of academic challenges (Pokpas, et al., 2021). He carefully constructed a vision for UWC and highlighted the importance of its role in South Africa's reconstruction and

development (Bharuthram & Pokpas, 2020). He presented this vision to many stakeholders and the Department of Education. His vision was well received by the Minister of Education and thereby avoiding the merger with Pentec (Bharuthram & Pokpas, 2020).

The Minister of Education responded to the NWG recommendations with the following items applicable to this study- The agenda for the restructuring of the institutional landscape of the higher education system is far-reaching in its vision, ambitious in scope and range and complex in its implementation. He contended that it will stretch the capacity and resources of the system and it will require strong management and leadership to guide the process to a successful conclusion. It will require, as the National Plan indicated, a single-minded sense of purpose and mission by all the constituencies in higher education, as well as the key constituencies outside higher education and the full weight of the human and financial resources at our disposal (Asmal, 2002).

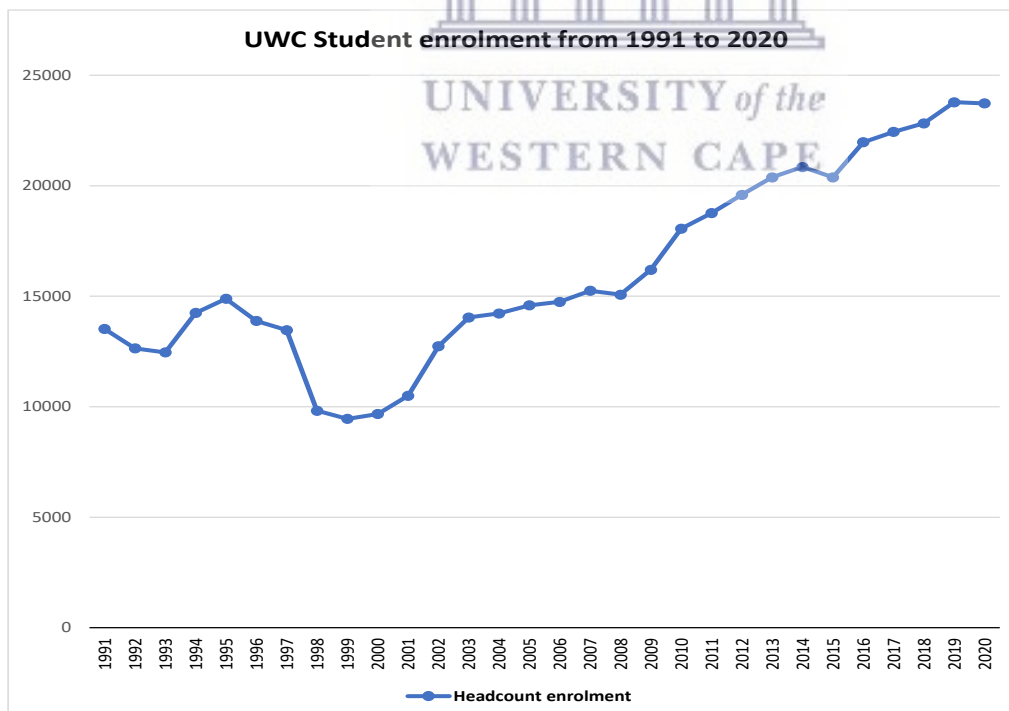
The restructuring of the institutional landscape was a fundamental pre-requisite if the higher education system was to meet the multiple challenges of reconstruction and development in South Africa (Asmal, 2002). The NWG recommended that UWC merge with the Pentec forming a comprehensive university in the Western Cape. This would have erased the history of UWC and dissolved the University as a formal public higher education institution. However, the Ministry has agreed to all of the NWG's proposals except for the proposed merger of Pentec with UWC (Bharuthram & Pokpas, 2020, Asmal, 2002). The Ministry further agreed that UWC should be retained as a separate institution, incorporating the Dental School of Stellenbosch University (SU) and furthermore, the University of Cape Town (UCT) and SU should discontinue undergraduate nursing programmes, which should be offered by the University of the Western Cape only (Asmal, 2002). The incorporation into UWC of the School of Oral Health at SU and the function of the sole enrolling institution for university undergraduate Nursing training in the Western Cape has had a material impact on the shape and size of UWC. The Ministry further stated that except for UWC, the remainder of the institutions not affected by mergers are all historically white institutions, which as the NWG indicates must give urgent attention to internal transformation processes, in particular, to "issues of increasing access and equity, improving success rates and should apply themselves to the development of an enabling environment in which all South Africans can pursue their studies unhampered by social and

cultural impediments (Asmal, 2002). Study participant 6 shared some views on the SU School of Oral Health into UWC Faculty of Dentistry as follows:

The external professional consultants assisting with the Stellenbosch Dental School incorporation into UWC said that it's the first time they experience a small body absorbing a bigger body...If they meant space, then yes, they are bigger but when it came to community footprint and patient scene, they could not compete with UWC... A defining moment was when we could access the Deans office as we were never allowed access to the Stellenbosch section.

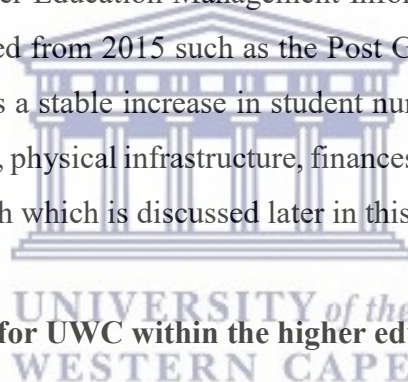
The incorporation of the SU's School of Oral Health into the UWC Faculty of Dentistry and UWC becoming the sole enrolling institution for undergraduate Nursing in the Western Cape impacted the student enrolment numbers, students and academic staff were attracted to the O'Connell vision and thereby UWC started building on its academic project and student trajectory. The student enrolment numbers increased as per Figure 10:

Figure 10. Historical headcount student enrolment of UWC from 1991 to 2020



Source: Author's compilation of fieldwork, 2022. Figure 8. Illustrates the student enrolment behaviour from 1991 to 2020 (UWC Institutional Planning, 2022).

The reduction in student numbers from 1995 to 2000 was explained in detail in Section 5.3 and previous chapters which relates to the opening of all universities in the sector to all races and ethnicities, see Figure 8. The growth experienced by UWC from its lowest point in 1999 of 9453 students to 2020 of 23731 represents an annual average growth of 4.4% of student enrolment. This is an above average growth for the South African higher education sector at university level. The joining of the rector O'Connell in 2001, the implementation of the SU Dentistry incorporation in 2004, UWC sole enrolling Nursing university in 2004 for the region and the O'Connell vision were material influencing factors, defining moments, that increased the number of student enrolments and consequential funding. The Dentistry and Nursing students are also funded at a higher CESM (Classification Education Subject Matter) category in terms of the funding formula. The reduction in 2015 is a result of change in reporting requirements by HEMIS (Higher Education Management Information System) where certain course registrations are excluded from 2015 such as the Post Graduate Continuing Education programmes. The graph depicts a stable increase in student numbers from 2002 to 2020. The concomitant staff infrastructure, physical infrastructure, finances and operations were impacted by the student enrolment growth which is discussed later in this chapter.



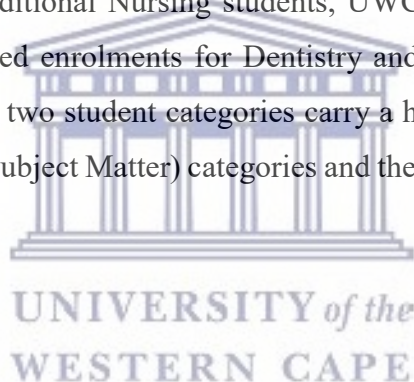
5.3.2 Financial restructuring for UWC within the higher education landscape

Minister Bengu in 1998 lamented the fact that higher education in South Africa was still applying the old SAPSE funding formula designed by the apartheid government and was embarrassed by it (Moja & Hayward, 2005). Surprisingly, a new funding framework was only launched in 2003 and only implemented in 2004 (de Villiers & Steyn, 2009). Minister Nzemanda (2014) stated that the allocation of resources is underpinned by the principle of shared cost between the students and government. The main feature is that the government funding is goal oriented considering the national plans and priorities, approved enrolment plans and available government funds (DHET, 2014).

5.3.2.1 Funding Framework

The 2003 new funding framework brought about more equity and transparency in the distribution of funds (state subsidy) to the higher education sector and reclassified funding by “block grants” and “earmarked grants”. The “A” factor, see 2.2.4, was eliminated from the formula thus removing the government’s ability of discretionary reductions that historically resulted in unfair isolation and varied reductions. The inputs and outputs of the grants of the new funding framework has resulted in an enhanced outlook in research as more funding was allocated for publications than before thus resulting in universities exploiting the funding framework (Styger, et al., 2015). De Villiers and Steyn, (2009) reported that the formula will inevitably be exploited by universities by finding loopholes in its composition or in the definition or calculation of the input parameters (de Villiers & Steyn, 2009).

Although UWC had to carry more costs associated with the additional costs for the SU Dentistry incorporation and additional Nursing students, UWC was advantaged by the new funding formula as the enhanced enrolments for Dentistry and Nursing students resulted in more subsidy to UWC as these two student categories carry a higher weighting in the CESM (Classification of Educational Subject Matter) categories and therefore a higher Rand value per measure of unit.



5.3.2.2 Recapitalisation

A defining moment for UWC was the Department of Education’s commitment to make a once off redress payment to erase the accumulated deficit during 2005. UWC was on a positive trajectory from 2004 in which it generated its first operating surplus (UWC Annual Report, 2004) and to this day continue to do so. However, the recovery was going to be a slow period. The Department of Education recapitalised the University based on its Institutional Operating Plan and confidence in UWC in 2005, eliminating the overdraft and accelerated the financial recovery period to the extent of R170 million (Bharuthram & Pokpas, 2020). A very important factor of the recapitalisation was that UWC did not spend the cash. Study participant 5 said:

The good thing is that we did not spend the money, what was it called? Recapitalisation yes, it was a big amount.

Study participant 2 reminded us that other universities who received recapitalisation spent it on operations:

One needs to give some recognition to the recapitalisation. Unlike other institutions, where it just became a kind of interim lifeline to sustain the institutions for a limited period. I think the commitment by leadership to when it said, you know, it will never return to that moment again [retrenchments] and to make sure that recapitalised funding is not sucked into the operations of the institution.

The recapitalisation was indeed an acceleration of deficit recovery and remains unspent since receipt for the sake of maintaining an upward financial trajectory and positivity.

5.3.3 UWC a Historically Disadvantaged Institution (HDI)

There is no doubt that UWC was an HDI based on the findings in Chapter 2. Is UWC still an HDI? There has been lots of debate and conjecture about UWC still being an HDI. Bharuthram and Pokpas (2020) expressed the constant debate taking place at various engagements with state officials and sectoral colleagues that UWC's HDI status is in question as its performance is that of a HAI and that its competing with the best HAIs in South Africa. The argument made for the continuation of HDI status is that UWC is operating from a historical deficit with significant sacrifices and should not be seen otherwise as its success is not a factor for determination of its status (Bharuthram & Pokpas, 2020). The on-going financial and physical infrastructure constraints and the composition of UWC's student base is a poignant reminder that despite the restructuring of higher education in South Africa, UWC continues to be an HDI.

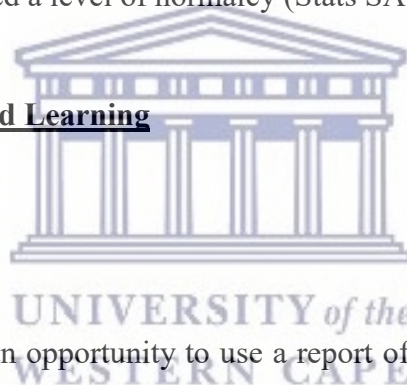
Further arguments as to whether UWC is still an HDI (Stats SA, 2021):

- 5.3.3.1 UWC does not have sport facilities comparable to that of HAIs.
- 5.3.3.2 UWC does not have special funds for strategic interventions and targeted appointments.
- 5.3.3.3 UWC does not have its own hotel or hotel style facility at its disposal for visiting scholars, guests, international partnership visits and student mobility, etc.
- 5.3.3.4 UWC does not have land in sought after urban areas.
- 5.3.3.5 UWC does not have reserves that are comparable to HAIs.
- 5.3.3.6 UWC tuition fees are low and not comparable to that of HAIs.
- 5.3.3.7 UWC management and support structures are lean.

UWC has the highest dependency level on state subsidy of which tuition fees forms 21% proportion of its revenue versus other universities in the country averaging 33% which is an indicator of a low fee structure and amongst the lowest tuition fees in the country. Two universities that have a higher dependency rate than UWC are universities that have recently been created that has not reached a level of normalcy (Stats SA, 2020).

5.4 Research-led Teaching and Learning

5.4.1 New internal structure



The leadership of UWC used an opportunity to use a report of the CHE (Council for Higher Education) to reposition UWC to a research-led institution through the embedding of scholarship while simultaneously strengthening the institutions commitment to being an engaged university of relevance to the broader society. The CHE audit certainly assisted the University in driving its research-led agenda successfully. The impact of this would have a far-reaching positive impact on UWC such as a drive towards effective and efficient management and operational systems, improved financial stability, good human resources policies and practices, and enhancing the quality of student life (Bharuthram & Pokpas, 2020).

Reflecting on the challenges facing South Africa and mentioned above by the CHE, UWC has taken a position to be relevant and impact on the transformation of South Africa, appropriate

curriculum design and academic viability, Bharuthram & Pokpas (2020) narrates that UWC created a new directorate for teaching and learning as well as a Senate Teaching and Learning Committee in 2008. The then newly established Directorate Teaching and Learning was headed by a full time Director of Teaching and Learning (DTL) together with the establishment of a Senate Teaching and Learning Committee (STLC). The purpose of DTL and STLC was to oversee all initiatives and programmes related to the advancement of teaching and learning for all full-time and part-time student programmes and community-based outreach teaching programmes, in conjunction with relevant support divisions (Bharuthram & Pokpas, 2020).

Each Faculty established a Faculty Teaching and Learning Committee of which the Chair would be a member of the STLC. The E-Learning unit was reassigned to the DVC: Academic from Information Communication Services forming a new centre called Centre for Innovation Education and Communication Technologies (CIECT) in 2010. The infusion of technology into teaching and learning and promoting the use of e-pedagogy were identified as pivotal components of the strategic plan, and they soon expanded rapidly into the research and innovation domain (Bharuthram & Pokpas, 2020). Unbeknown at the time of the creation of the CIECT, it became prominent and a means of business continuity in the 2015 and 2016 #Feesmustfall campaign when UWC was shut down due to violent student unrest, allowing online modalities to continue with teaching and learning. Moreover, when the Corona virus pandemic (COVID-19) broke out in 2020 in South Africa, the CIECT facilitated the online platform of the student learning management system thus allowing UWC to make use of a multi modal flexible teaching and learning environment during harsh lockdowns imposed by the South African government (UWC, 2020).

Another defining moment was the changing of the reporting line of the Dean of Research from the Rector's line to the DVC's line and a new “Research and Innovation” and “Teaching and Learning” policy was created in 2010 to galvanise the new processes and systems aligned with inclusivity of stakeholders, social responsibility, student centredness, scholarship, excellence, impact and accountability. UWC created a division for Postgraduate Studies giving more prominence to postgraduate studies, as well as a Technology Transfer Office to support elements of research and innovation. It further created research niche areas, research institutes and centres, UWC's academic enterprise was now reimagined (Bharuthram & Pokpas, 2020).

5.4.2 International Partnerships

A good sign of a research-led university is the extent of international collaborations and partnerships which is very important to the success of universities (Salmi & Altbach, 2011). O'Connell referred to the importance of partnerships by taking ourselves outside of our own territory or inviting the stranger into our own as a prerequisite for excellence (O'Connell, 2010). It can have a positive impact on finances and education for all partners. International partnerships arrangements can provide students with study and volunteering opportunities, offer staff a diverse portfolio of teaching, research and consultancy and for institutions, can offer more secure, sustainable or novel routes for the recruitment of international students and for student mobility overseas (Woodfield, 2009). Taking a long-term view of the relationship between universities and internationalisation, highlights two important dynamics, first the association between contemporary universities and 'the nation state' and second, the development of 'universal science'. These two dynamics and their interconnections deserve exploration because of their continuing influence on universities' international strategies and behaviour (Woodfield, 2009).

Tapscott, et al. (2014) narrates that O'Connell was fortunate to forge partnerships with Flemish universities, the VLIR partnership which resulted in a 12 year partnership, ending in 2014 of which the partnership produced under the banner of "Dynamics of Building a Better Society" (DBBS) 74 book chapters, 21 edited books, 47 doctoral dissertations, 45 masters theses, 9 policy papers, 7 conferences, 155 conference papers, 2 new masters programmes and 18 new short courses, 4 new postgraduate diploma programmes and 2 new joint degrees. This partnership served as a catalytic force forming the foundation of future relationships and alliances (Tapscott, et al., 2014).

Bharuthram & Pokpas (2020) narrated that the Missouri partnership [University of Missouri] with UWC was twinned with UWC since 1984 in the most profound way possible and the intellectual and administrative gains for both institutions have been phenomenal. UWC expanded its partnership with the University of Missouri, which now spans more than 35 years, to include Ghent University, with whom UWC has collaborated since 2002, to extend their respective bilateral connections into a trilateral partnership. Another material international

partnership presented itself early in 2002 with VLIR-OUS named later as Dynamic of Building a Better Society programme (DBBS). The project was a resounding success and resulted in solid international partnerships and a joint PhD framework between UWC and Flemish universities beyond funding cycles.

Partnerships also arose from O'Connell's experiences during the HIV/AIDS pandemic. Between 2000-2005 and 2005 -2010 UWC participated as a lead partner in the SANTED (South African Norway Tertiary Education Development programme)-funded Regional (SADC) Cooperation programme, using peer education as a HIV preventative measure. One of the unintended outcomes of this project has been that the leadership of the respective universities, based on mutual friendship and trust, forged a long-term relationship with Nordic universities and became founding members of SANORD (South African Nordic Centre) of which O'Connell was one of the founding members. The VLIR-UOS programme paved the way for the establishment of several entities such as the Centre for Multilinguism and Diversity Research (CMDR), the Institute for Water Research (IWR) and the Co-lab for Digital Inclusion and Social Innovation (Bharuthram & Pokpas, 2020). Twinning of HDIs even with its local sister institutions would be of great assistance to HDIs as they strive for excellence (O'Connell, 2010).

Participant 6 discussed the impact of international relationships as follows:

...[deleted for anonymity] went with to the University of Missouri to extend the collaboration with our faculty and they subsequently came to our faculty. From these visits we established exchanged lectureships which resulted in student exchange programmes, augmented teaching and learning, they stimulated research at UWC and suddenly UWC started publishing in the faculty and staff motivated to complete their PhDs. They [Missouri staff] benefitted by accessing our patient base.

From the study participant's message, the partnership influence is positive in that it inspired the faculty to publish and obtain their PhDs. Study participant 1 expressed the following views about the importance of International partnerships as follows:

Prof O'Connell realised that strategic international partnerships were very necessary to advance UWC to a research-led teaching and learning and engaged university... As you know, the University of Missouri partnership is more than 35 years old, the DBBS [Dynamics of Building a Better Society] partnership with the Ghent University was very important. And at that time, the partnership with the University of Minnesota was growing in leaps and bounds through the CHR [Centre for Humanities Research]. And he said to me, you know, these are such key projects, he didn't want to leave them in the international office, like all other partnerships, so he said, I want these things [strategic partnerships] to move into DVC Academic office.

From the above comment it is clear that strategic partnerships were treated with more seniority and nurtured to secure mutually beneficial partnerships. Study participant 1 went on further to say that:

..we [UWC] expanded partnerships to the Scandinavian countries. So, when the Vice-Chancellor wanted to visit, University of Oslo, University of Bergen and in Norway, SANORD and then a range of Swedish universities, ... [deleted for anonymity] was the person who did all the contacts with those universities, ...

Careful consideration was given to nurture international partnerships which secured long lasting relationships.

UWC had several other international collaborative partners such as Vrije University Brussels (VUB), Deutscher Akademischer Austauschdienst (DAAD), University of Ruhr-Bochum, Leiden University, University of Valladolid, University of Groningen, University of Toronto, University of Minnesota, Trinity College Dublin, University of Chile Santiago etc. These partnerships facilitate student and staff exchange programmes, joint doctoral degrees, student mobility, co-authored publications, scholarships, exchange visits, research and teaching and learning with the ultimate goal is to build co-operative engagements that enhance the quality of knowledge production and develop socially-responsive scholars committed to transforming the lives of the vulnerable and marginalised (UWC, 2022).

5.4.2 Staff complement

In the late 1990s and early 2000s, UWC had a reputation of loss of senior academics, threat of merging with Pentec, retrenchment of staff, spiralling student debt and insolvency which made it unattractive for anyone to join UWC or do business with UWC. The restructuring of the Dentistry and Nursing placed UWC on a new student enrolment trajectory and state subsidy earnings. The 2005 once-off redress funding by recapitalising all HDIs brought the UWC financial deficit balance to zero thereby eradicating the prior years accumulated deficit reserves. O'Connell used the IOP (2004) to attract a deputy vice-chancellor of weight to build on the research and teaching and learning project as an engaged university. The IOP (2004) emphasised the strength of using UWC's distinctive academic role to rebuild the institution as an inspirational community of hope, to be a premier site of knowledge production and to draw on the agency of its people to use and produce knowledge as agents of change (Pokpas, et al., 2021).

Prospective students and top end researchers were paying attention to UWC's successes and started joining the UWC journey. O'Connell moved to the next level with the replacement of the title Vice-Rector: Academic to Deputy Vice-Chancellor: Academic and appointed the DVC Academic, Prof Ramesh Bharuthram, who was charged with the responsibility of taking research and teaching and learning to new heights benchmarked by international best practices. At the same time UWC was planning to invest in infrastructure that would accommodate an enhanced level of research and teaching and learning outputs (Pokpas, et al., 2021). The number of SARChI Chairs (South African Research Chairs Initiative) grew from 1 in 2008 to 18 in 2019. UWC has a close relationship in the UCT/UWC/SKA Chair (Square Kilometre Array) in Astronomy from 2014. The SKA is the world's largest radio telescope and has brought significant research opportunities. The highest concentration of researchers at the SKA is based at UWC.

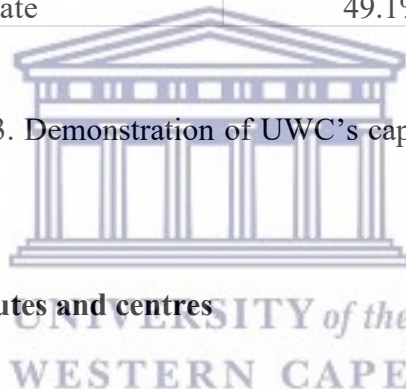
A very important indicator for research is the number of permanent PhD academic staff as a percentage of total permanent academic staff. This indicator illustrates a university's ability to produce research. The most recent audited statistics available is from the 2019 DHET data of which only eight universities have more than 50% permanent academic staff with PhDs'. UWC

is ranked number 5 in South Africa at 59.9% permanent academic staff and most notably the only HDI in the top 10. This is an unofficial ranking based on available data.

Table 3. Top 10 universities permanent staff with PhDs (DHET, 2022).

Rank	South African University	% Academic staff with Doctorates
1	University of Pretoria	69.7%
2	University of Witwatersrand	66.0%
3	University of Cape Town	62.4%
4	University of KwaZulu-Natal	61.5%
5	University of the Western Cape	59.9%
6	Rhodes University	59.4%
7	University of Stellenbosch	57.0%
8	North West University	51.0%
9	University of Johannesburg	49.6%
10	University of the Free State	49.1%

Source: (DHET, 2022). Table 3. Demonstration of UWC’s capacity to generate research and teaching and learning.



5.4.3 UWC niche areas, institutes and centres

UWC was well poised to move to the next level of research and teaching and learning with O’Connell’s IOP (2004) vision of an engaged research-led teaching and learning university. The plan included additional physical infrastructure which will be covered in detail later. The funding for all of these were not clear but it was part of the vision of reimagining the new UWC. Due to the internal structure changes discussed in Section 5.4.1, niche research areas, institutes and centres were created none of which would be possible without the people and institutional confidence and belief that UWC could operate at a higher level.

Several research areas across the human and social sciences as well as the health and natural sciences were identified and supported through institutional, external and other grant funding

resulting in strong research niche areas, institutes and centres. The following achievements were created and strengthened to elevate the niche areas to higher levels and thereby attracting funds and more skilled people.

UWC was the first HDI to host a national DSI-NRF Centre of Excellence in Food Security Research that entails capacity building and dissemination on how a sustainable food system can be achieved to realise food security for the poor, vulnerable and marginal. Some other achievements are mentioned below:

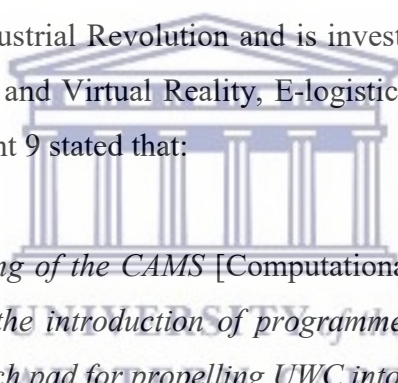
- The Faculty of Dentistry was given the status of the World Health Organisation (WHO) Collaboration Centre with the mandate to provide postgraduate and continuing professional development to practitioners from African countries.
- The School of Public Health (SOPH) provides academic programmes in public health through flexible modes of delivery at postgraduate diploma, master and doctoral levels; the SOPH has attracted over 12000 participants to their annual summer and winter schools; is a WHO Collaboration Centre for Research and Training in Human resources for Health and hosts two SARChI chairs.
- The Dullah Omar Institute which is the renewed Community Law Centre has five niche areas which is the African Criminal Justice Reform Project, the Applied Constitutional Studies Laboratory, the SARChI Chair in Multilevel government Law and Development, the Socio-Economic Rights Project and lastly the Women and Democracy Initiative.
- The Institute for Poverty, Land and Agrarian Studies (PLAAS) has a strong national and international reputation for research in human rights and access to land, land governance, tenure and natural resource management and farmworkers living and working conditions. PLAAS hosts the SARChI Chair in Poverty, Land and Agrarian Studies.
- The Centre for Humanities Research has offered the space to critically reflect on issues of post-apartheid subjectivity and new possibilities arising from emerging contexts. It was awarded the national Flagship on Critical Thought in Humanities.
- The South African National Bioinformatics Institute (SANBI) delivers biomedical discovery appropriate to both international and the African context. Researchers at

SANBI perform the highest level of research and provide excellence in education. Key areas of research include cancer, multifactorial disease and Pathogen and Vector research.

UWC had many achievements during the period 2000 to 2020 as follows:

- UWC had been awarded 18 SARChI chairs,
- 5 NRF A rated researchers,
- Ranked in the Top 10 universities in South Africa consistently and among the top universities on the continent as evidenced by recent global rankings,
- In the top 200 in the world for its Astronomy and Astrophysics,
- 5th in South Africa for impact rankings (focus on social and economic impact, through universities' contribution to the Sustainable Development Goals).

UWC has embraced the 4th Industrial Revolution and is invested in E-skills Development in the area of Augmented Reality and Virtual Reality, E-logistics, Big Data, Data Science and Data Analytics. Study participant 9 stated that:



Furthermore, the opening of the CAMS [Computational and Mathematical Sciences] building together with the introduction of programmes in AVR/VR as well as data science provided a launch pad for propelling UWC into the 4IR.

The IOP (2010) that included 8 strategic goals galvanised the vision of O'Connell to launch UWC into a higher level of research and teaching and learning (UWC IOP 2010-14, 2009) as is evidenced above.

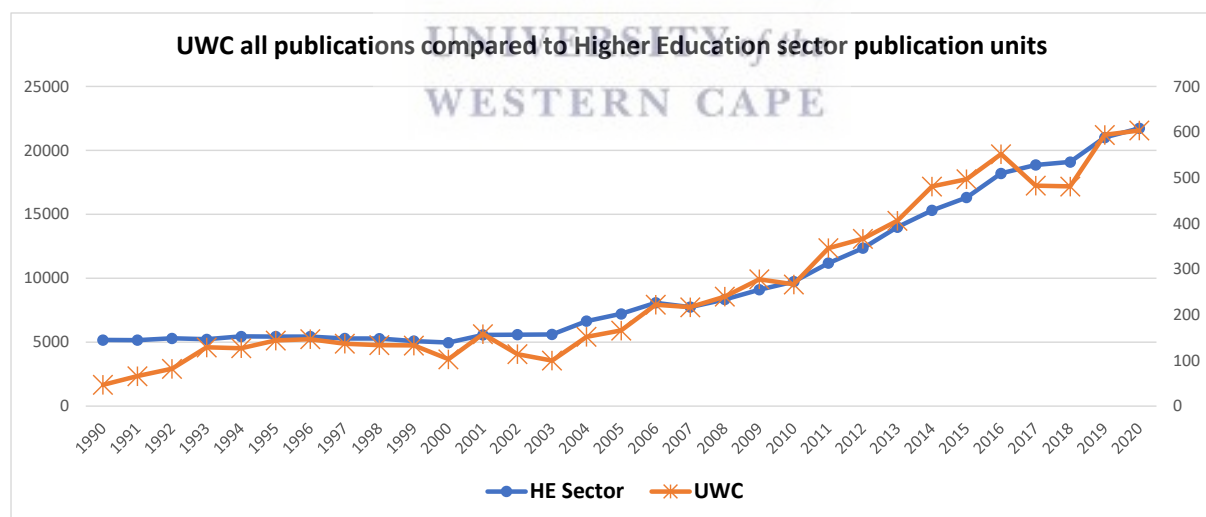
5.4.4 Data analysis Research and Teaching and Learning

Mouton (2019) provided a research performance report on UWC up to 2017 (Mouton, 2019). I have obtained updated information up to 2020 courtesy from CREST (Centre for Research on Evaluation, Science and Technology). CREST obtains the data from the audited HEMIS

data managed by DHET. The data below and interpretations are crucial in establishing whether UWC is indeed a research-led institution as defined in **section 3.4.1** of this study and how UWC has performed relative to other universities in South Africa as a measure of success. The definition is as follows:

- 1) High number of faculty staff has PhDs in proportion to the average PhDs of other universities in South Africa.
- 2) High number of publications (journals, chapters, books, conferences, etc) in relative proportion to other universities in South Africa.
- 3) Access to specialised physical infrastructure.
- 4) International collaborations exist and grant funding is on a relatively high scale.
- 5) More than one research niche area exists.

Figure 11. Consolidated publications compared to SA higher education sector from 1990 to 2020 (Mouton, 2022)

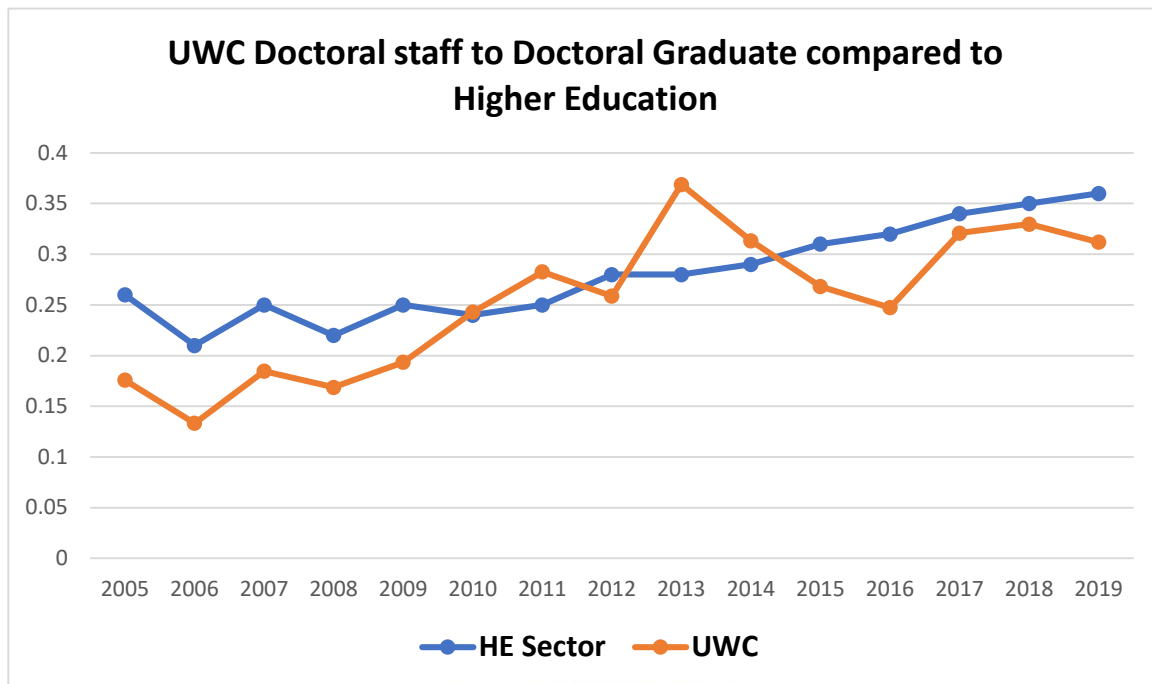


Source: Author’s compilation of fieldwork, 2022.

Figure 11. includes articles, books and chapters and conference proceedings (consolidated publications) on the South African higher education sector scale versus the UWC consolidated publications. The UWC data is scaled and is overlaid on the scaled HE sector data. Based on the data above, UWC was way below the HE performance in 1990. In 1993 UWC caught up proportionately with the sector and remained on a flat rate on average up to 2004 where an upward trajectory is experienced. The HE sector has also started increasing journal publications from 2004 due to funding made available for publications at much higher rates than in the past (Styger, et al., 2015). From the year 1990 to 2020, UWC has increased its average annual outputs by 8.89% starting from 47 units to 604 units compared to the HE sector that increased its average annual outputs by 4.49% for the same period from 5177 to 21734. UWC has effectively outperformed the HE sector by 81%, almost double the HE sector performance. The analysis shows that UWC has diversified its publication papers in a greater range of journals (Mouton, 2019). The UWC dip in performance for 2017 and 2018 is due to the UWC protracted unrest of the national #FeesMustFall campaign resulting in the physical shutdown of the campus in 2015 and most of 2016. The outputs for 2017 and 2018 is nonetheless disappointing and reflect the vulnerability of UWC as remaining an HDI.

The permanent doctoral staff as a percentage of doctoral graduates highlights the efficiency of PhD students and staff. The lower the percentage the more inferred unfavourable efficiency ratio. The annual PhD graduations is reflected in Figure 12 from 2005 in comparison to the HE sector. UWC approximates the sector results as per the data transposed in Figure 12 but it is an indicator that either the PhDs are taking too long to graduate or there is an under-enrolment problem or the PhD supervisors need to implement more interventions to get the students to graduate.

Figure 12. UWC permanent Doctoral staff compared to the HE sector ((Mouton, 2022))



Source: Author’s compilation of fieldwork, 2022.

In terms of per capita publication output, UWC is ranked unofficially 11th in 2019 as per the data. The per capita output is defined as the number of publication output units as a percentage of permanent academic staff (instruction and research). The objective is to establish how many publication units are published per permanent academic staff member. See Table 4. below:

Table 4. Unofficial 2019 ranking of publication units output per capita (DHET, 2022).

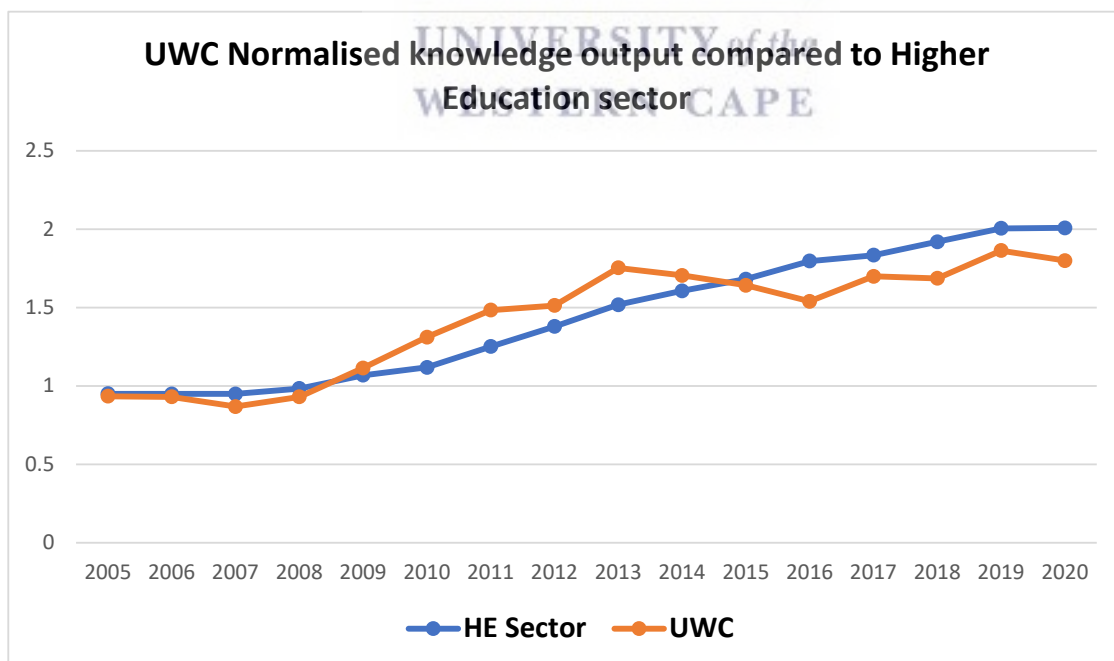
<u>No</u>	<u>University</u>	<u>2019</u>
1	University of KwaZulu-Natal	1.84
2	University of Stellenbosch	1.81
3	University of Johannesburg	1.75
4	University of Pretoria	1.72
5	University of Cape Town	1.69
6	University of Witwatersrand	1.62
7	Rhodes University	1.57
8	University of the Free State	1.25
9	University of Fort Hare	1.04
10	North West University	0.98
11	University of the Western Cape	0.91

Source: DHET 2022 – ranking was performed by the author based on the available DHET data.

UWC’s ranking was hovering around 11th over the prior 5 years. The University of Fort Hare (UFH), an HDI, is ranked at 9 indicating that UFH has become more efficient in terms of publications per permanent academic staff member. The result for UWC can be interpreted as each permanent academic staff member has produced 91% of one publication unit. The publication units used in Table 4. are unweighted units.

The normalised knowledge output is calculated when aggregating all publication and graduate outputs and dividing it by the permanent academic staff. It generates a holistic view of performance relative to other universities. UWC has on average remained consistent with its performance in the ranking and on average approximates the performance of the sector. Figure 13. indicates that the knowledge output for UWC exceeded the overall performance of the sector from 2009 through 2015 at which point its knowledge output dropped below the sector performance and has remained there.

Figure 13. UWC Normalised knowledge output compared to the HE sector (Mouton, 2022, Mouton, 2019).



Source: Author's compilation of fieldwork, 2022.

I have not included elements of UWC authors' race, gender, age and bibliometric indicators for papers published in the Web of Sciences as it is not relevant to this context. Although UWC is following the trend of the HE sector, it has been performing lower than the HE sector from 2016 as recognition of certain journals were removed from the approved DHET journals data base coupled with student unrest from 2015 to 2017 resulting in less production of outputs.

5.4.5 Rankings

Rankings of universities are very controversial and there are lots of arguments for and against it. Millot (2015) argues that rankings forms an integral part of the higher education landscape but warns that a deeper focus is given to a few hundred universities whereas there are more than 20 000 universities worldwide and that the rankings are not inclusive of the institutional or country/regional context (Millot, 2015). University rankings are important from a global acknowledgement and local and international perception and can be useful as a benchmarking tool (Olcay & Bulu, 2017). Castell (2017) confirms that rankings do confer network advantages to those that are included in the rankings over those who are not ranked (Muller, et al., 2017). UWC's leadership have repeatedly stated that the University is not driven by rankings and believes that if the 'right things' are done in terms of research and teaching, the rankings will follow (Bharuthram & Pokpas, 2020).

The rankings of UWC are varied which is often made known to the public through online media agencies. "Briefing news" published for 2019 'best universities' that UWC is 8th in South Africa and 1034th in the world according to the Centre for World University Rankings (Tabalia, 2020). According to a BUSINESSSTECH article for best universities in emerging markets in 2019, UWC featured 7th position in South Africa and 121st position out of 422 universities for 2018 as per the Times Higher Education rankings (BUSINESSSTECH, 2019). In 2021, the US News and World Report published its Best Global Universities rankings where UWC featured as 8th in South Africa and 729th in the world (BUSINESSSTECH, 2021). Only 5 universities in South Africa made it to the Times Higher Education Impact Rankings for 2021 as per Media24, UWC featured 5th in South Africa and in the 401-600th band globally. This ranking was based

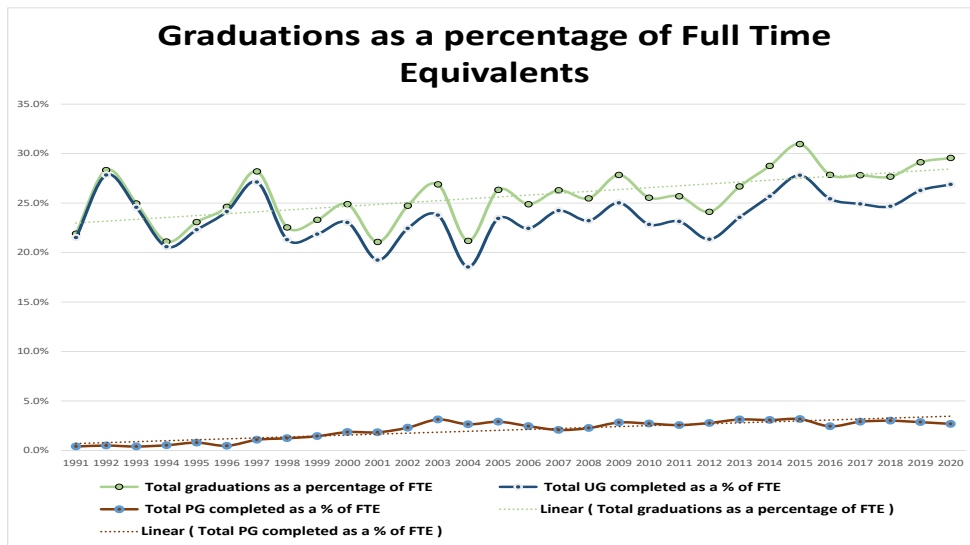
on the United Nation's Sustainable Development Goals (SDGs) such as no poverty, quality education, decent work, economic growth and reduced inequalities.

There are many other rankings such as QS, QS BRICS Ranking, The African Pacemakers, etc. but for purposes of this study, based on the rankings above, UWC is well positioned in the top 10 universities in South Africa according to the above data and between the 600th - 800th position in the world.

5.4.6 Completion rates

The higher education system in South Africa is described as a low completion rate and high attrition rate of registered South African students (UWC, 2019). Subotzky and Prinsloo (2011) has described student success as complex, layered and dynamic interplay of personal and contextual factors and that a mutual engagement is necessary with students to change the current trends (Subotzky & Prinsloo, 2011). The non-completion of students' programmes was stated by Cloete (2016) as a lose-lose situation for poor students who drop out and find themselves "being revolved back into poverty", with the added burden of student debt they cannot repay because they lack the qualifications to secure formal employment (Cloete, 2016: 4). UWC has initiated a programme called "Operation Student Success" that essentially established the various structural and underlying reasons for non-completion of programmes. The performance of UWC student completions or graduations have been an upward trajectory but rather at a very slow pace. Figure 14. Illustrates the slow increase of completions as a percentage of full-time equivalents (FTEs).

Figure 14. Graduations as a percentage of full-time equivalents:



Source: Source: Author’s compilation of fieldwork, 2022.

Figure 14. demonstrates the rate of completion as a percentage of full-time equivalents registered in that particular year of completion for undergraduate and postgraduate completions. The trend of completion for both undergraduate and postgraduate is a slow upward trajectory. It nonetheless demonstrates improvement. The undergraduate completion percentage as improved by 2.9% and the postgraduate completion percentage improved by 1.5% for the period.

5.5 UWC a developmental university

There are many ways to define a developmental university as mentioned in Chapter Three and the common thread based on my interpretation of the definitions is the extent of a university’s inclusivity, connectedness and relevance of its era, local, national and global context. As mentioned in 5.4.3, UWC was ranked 5th in South Africa for impact rankings, thus illustrating that UWC is conscious of its connectedness with the United Nations Sustainable Development Goals (SDGs) and integration of SDGs into teaching and learning activities (British Council, 2020).

UWC identified itself in 2004 as an “engaged university” (UWC IOP, 2004) in which it receded its “pervasive deficit discourse” of being an HDI and embraced the future in which it will face the challenge of being an excellent university in a global environment and responsive to social and economic development imperatives in UWC’s local and national context (UWC IOP 2010-14, 2009: 5). The following three kinds of engagement and interface were embraced (UWC IOP 2010-14, 2009):

- 1) Service engagement of students and staff with communities through service learning, internships and supervised voluntary work;
- 2) Innovation engagement of research teams with industry and government;
- 3) Public engagement through knowledge sharing activities and servicing the public.

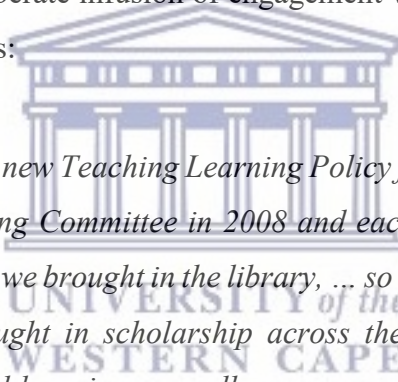
There were material changes at UWC regarding the realignment of units within UWC to embrace an engaged university principle. Bharuthram & Pokpas (2020) refers to the first change was the reconceptualisation of the old Vice-Rector: Student Affairs office to the Deputy Vice-Chancellor: Student Development Support role. The second was the embedding community engagement by creating the Directorate: Community Engagement who was responsible for the creation of a climate and space for community engagement as an infused principle of research, teaching and learning as well as creating graduates who are agents of change. Thirdly, the creation of the student graduate charter that provides the graduate attributes with community engagement embedded in academic programmes. The outcomes of the three transformative changes translates into UWC graduates who have attributes of belief and values consistent with democratic citizenship and are responsive to both working and living environments (Bharuthram & Pokpas, 2020, UWC IOP 2010-14, 2009). Study participant 9 reflected on the “engaged university” and stated that:

UWC is an institution for the public good providing access to those who otherwise would not have those opportunities for access by educating the next generation of leaders, and delivering high quality education. In terms of this, there is ample evidence of UWC’s success in terms of its mandate and UWC graduates are found in highly valued positions in both the public and private sector.

UWC continues to articulate the importance of being an engaged university in its 2016 to 2020 IOP where it emphasises the importance of different notions of engagement and building a sense of community through different forms of connectedness in order to better understand their importance to the intellectual project and the tensions and opportunities they generate (UWC IOP 2016-20, 2015). A number of interventions have been introduced by UWC and I mention a few such as – a mobile dental clinic taking dental services to communities, community and health sciences programmes that services communities such as psychology, nursing, occupational therapy, physiotherapy, legal aid clinic, entrepreneurial development programmes, etc. in various locations in the Western Cape region. Study participant 1 expressed UWC's commitment to being an engaged university:

... the Rector strategically decided that to expand UWC's participation in humanities and social sciences connected better with the communities.

The intention of UWC and deliberate infusion of engagement with communities was narrated by study participant 1 as follows:



When UWC developed a new Teaching Learning Policy for UWC, we established a new Senate Teaching Learning Committee in 2008 and each faculty rep had to report on community engagement, we brought in the library, ... so all of them involved in teaching and learning... we brought in scholarship across the three domains research and innovation, teaching and learning, as well as community engagement and that was a defining moment.

We have phenomenal students out in the community. At the cost of the university, our students go as far as Theewaterskloof, to engage those communities through the faculty of Community and Health Sciences to assist those communities. Locally, the communities are working also in urban and peri urban area, ..., they work in the Fisantekraal area, upgrading communities, educating the local, the women, the communities, skilling them, so that they keep themselves active and make better contribution to their own societies. The Dental faculty, you know, if you look at the chapter on dentistry, our students are working in different hospitals. I mean, it's

phenomenal. The entire curriculum of dentistry is community oriented. What is fascinating is that the entire dental, the academic program, is structured around service. Because the students from the second year onwards are already working with community members who have problems with teeth one form or the other. And when ...[deleted for anonymity] showed the MSE for Health around together with the ...[deleted for anonymity] and he said to them, and I don't know if you noticed figures that the UWC Dental faculty in its outpatient division treats between 170 000 to 200 000 patients. And people pay around R200 at that time to get maxillofacial facial surgery. Here, that's phenomenal. ... and you can take that across the university. I mean, it's a moral story.

Study participant 1 was very emotional about UWC's engagement with communities. The community engagement has proven to enrich the scholarly endeavour and benefitted many communities. The UWC Centre for Humanities Research (CHR) has one of its founding objectives to extend the research of local and international humanities scholarship, and opportunities for arts education and cultural production, into humanities on the Cape Flats. It also created pipelines for rural youth to consider options in higher education beyond the entrapments of rural agricultural labour. For example, the CHR Barrydale project, a rural village about 200 kilometres from UWC, has recruited sixty-six youth into higher education institutions in South Africa where not a single matriculant has entered higher education from 1994 to 2010 (Lalu, 2021). Study participant 10 said this about rural Barrydale:

After ten years of dedicated work, you must hear the parents of the Barrydale talk about UWC, it's quite remarkable. Not all the 60 youth who've entered higher education institutions have come to UWC, but the parents know that UWC did the work to offer the youth of the area prospects for the future and I'm truly proud of that achievement. More importantly, the collaboration has strengthened the commitments of its youth in such a profound way in Barrydale that it has resulted in bonds of friendship across generations. I promise you; those kids are so profoundly transformed. The point I'm making is that for that community, where there once were no prospects for further study, the success of one student can be transformative for the entire community.

Study participant 10 was resolute in the interview about UWC being an engaged university bringing about true transformation and UWC's authenticity with reference to the future:

Community engagement, infrastructure development, public commitments, and of making sure a certain responsibility exists in the way UWC operates in the world, we're not just going there to check a box. We're going there to learn about how we build this post-apartheid future together.

The UWC Centre for Entrepreneurship and Innovation each year attract over 250 participants in entrepreneurship training at no cost to them from communities and students. The programmes stimulate production and economic growth. Entrepreneurs are acknowledged drivers of innovation and job creation. Entrepreneurs turn ideas and market opportunities into businesses resulting in building the South African economy and creating jobs aligned with the National Development Plan (Duncan, 2017).

At its annual colloquium, the UWC Community Engagement Unit (CEU), creates a space for faculties and departments to showcase their community engagement activities and how it is infused in research, teaching and learning. Activities and plans are discussed such as work integration, curriculum design, community partnerships and networking, etc. The colloquium also allowed for a deeper understanding of the integral value of scholarly engagement, offering opportunities for networking as well as the building of partnerships (Daniels, 2017). Empowering of communities is a strong focus of the CEU of which it conceived the "Community Workers Substance Abuse Training Course" in partnership with the Western Cape Government Department of Social Development capacity building training initiative which effectively trained community members who work in the area of substance abuse. The aim was to inform future course development and extend these courses into the structured programmes for undergraduate students. Future health professionals would thus be adequately prepared to deal with the reality of substance abuse in the Western Cape (Daniels, 2019).

Is UWC then a developmental university? UWC has deliberately setup the CEU to ensure embeddedness of community engagement in everything that it does. The Higher Education Quality Committee reported in 2007 that UWC's mission and understanding of its role in its

mission and that of community engagement places it in a good position to give effect to a rich understanding of transformation and to reconcile in practice the tensions between equity and quality and between the local and the global through sound research-based teaching at the undergraduate and postgraduate levels focused research in all its strength and carefully thought through community engagement (Bharuthram & Pokpas, 2020). UWC is truly an engaged university and is thus known as a developmental university.

5.6 Financial performance

It is best to review the historical financial positions of UWC pre and post-2000 to assist with the understanding of the reduction in student numbers from 1996 and its impact into the future. The financial performance review will consider income streams such as state funding, student revenue and lastly third-stream income such as grant income, private gifts, income from investments, etc. The cost structure will also need to be examined to understand cost configurations and interventions with results.

5.6.1 Financial performance pre-2000

In the late 1990s, UWC went through a difficult period highlighted by poor management and uncertainty, a significant drop in student numbers and consequent financial instability. The university was on the verge of bankruptcy and stripped of the majority of its intellectual leaders, who had been called to serve in a range of government and leadership positions after the democratic election in 1994. The most pressing was the need to arrest the decline in student numbers and to embark on a process of financial recovery through enrolment management and increasing public confidence in the University (Bharuthram & Pokpas, 2020). Participant 9 mentioned the injustice of funding by the state that contributed to the UWC's poor financial position:

For a variety of political reasons, largely the Universities anti-apartheid stance, UWC's A factor [SAPSE funding model] in the period 1990-1994 was on average 0.57 compared to the historically white institutions that on average had A factors above

0.80. This implies that during the period 1990 to 1994, that for every R100 that the University was supposed to get because of student enrolment, course completion and research output, the University only received R57. The result of this consistent under-funding over this period meant that the University largely survived because of a significant overdraft facility.

Among the staff there was a perceived mistrust of the university Executive Management arising from a deep sense of betrayal (Tapscott, et al., 2014) by the previous university leadership that led to, amongst other things, staff retrenchments. The ability to pay staff salaries while at the same time satisfying creditors presented an enormous challenge (Bharuthram & Pokpas, 2020). The main reason for the near bankruptcy was the reduced student numbers from 1995 to 2000 as mentioned in previous chapters.

Chapter one and this chapter illustrates the poor liquidity levels of UWC, see Figure 9. representing the extraction of audited annual reports data from 1993 to 2000. The mix of low student numbers representing a loss of student revenue and lower state subsidy, accumulation of student debt representing poor conversion of student debt to cash and employment cost translated into liquidity ratios of an ‘at risk’ university due to ratios falling below the going concern benchmark of 1 (Dumestre, 2016, Drury, 2004). Figure 15. Illustrates what could have happened to UWC’s financial position had the staff retrenchment not taken place.

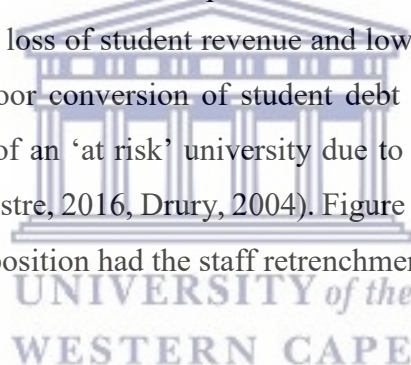
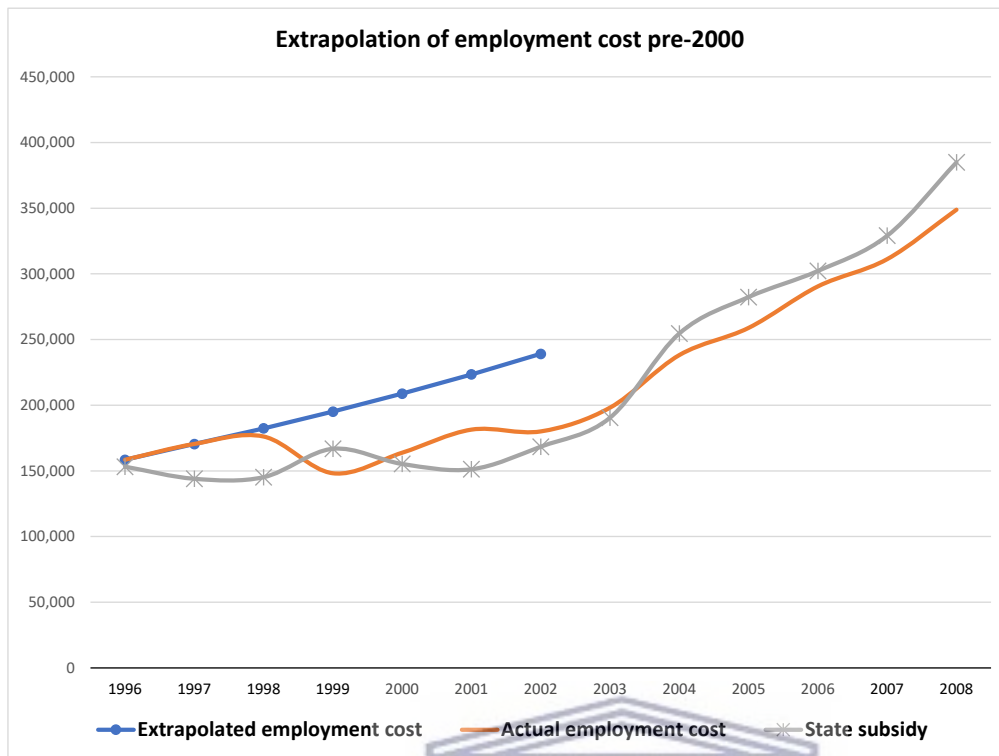


Figure 15. Extrapolation of employment costs pre-2000 (UWC Council, 2004)



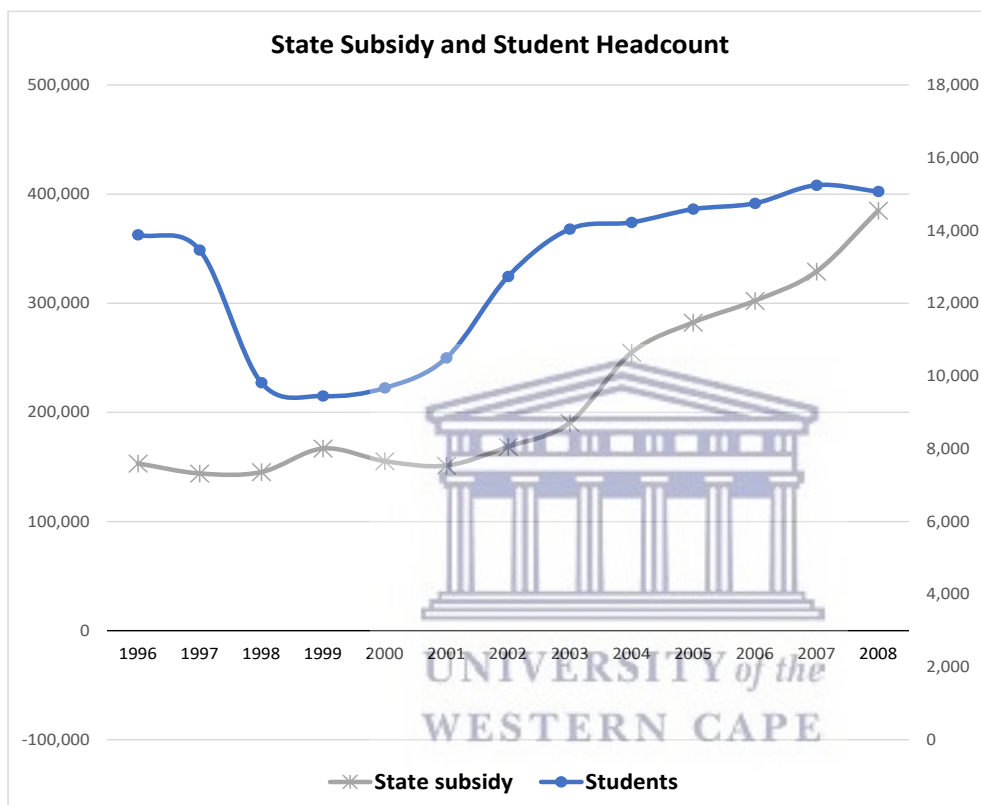
Source: UWC Council, 2004 & author's compilation of fieldwork, 2022.

State subsidy approximates the cost of employment as can be seen in years 96, 97 and 98. Figure 15. clearly illustrates that had there not been a retrenchment program during 1998 and 1999, the state subsidy would not have kept up with the employment cost extrapolated at an inflationary increase excluding growth from 2000. Study participant 9 agonised over the retrenchments and stated that:

It was the first time in the history of higher education in South Africa that academic staff were put through such a crude retrenchment exercise where the principle of LIFO was indiscriminately applied irrespective of the particular set of academic expertise required in each Department. This episode has led to significant trauma and has left a deep scar on the University's soul, especially given the kind of collegial relationships as opposed to hierarchical relationships that existed.

The state subsidy normalises in 2005 following the trend of the extrapolated employment costs. When comparing state subsidy to student headcount, one can see the trend of state subsidy increase as the student headcount increases as per Figure 13. There is a two-year lag of increase of state subsidy due to the state subsidy distribution being based on two years data in arrears.

Figure 16. State subsidy and student headcount (UWC Annual Reports 1993-2020, 1993-2020)

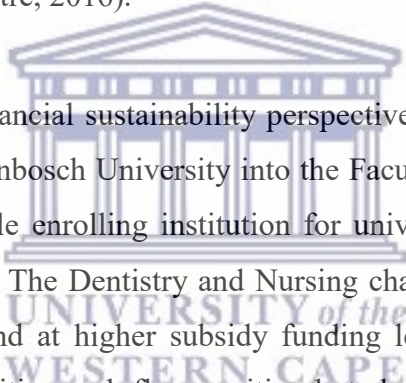


Source: Author’s compilation of fieldwork, 2022.

The state subsidy and student enrolment points are close to intersect each other in 2008. This is of no significance as the two lines are on different scales. The purpose of placing the two lines of different scales on the same graph is to illustrate the impact and trend of the drop-in student enrolments from 1996 and subsequent increase in student enrolments.

5.6.2 Financial performance post-2000

Universities across the world have become sensitive to looming financial challenges as state support is reducing in real terms and student revenue is negatively impacted by the unaffordability of household income (Dumestre, 2016). Afriye (2015) contends that an education institution must focus on recovering its full economic costs and must invest in its infrastructure (physical, human, and intellectual) at a rate adequate to maintain the future productive capacity needed to deliver its strategic plan and to serve its stakeholders. Financial sustainability cannot be devoid of authentic leadership ideals, since without such leaders in place institutions will operate but will neglect the long-term performance and the continuity of the institution and its employees (Afriyie, 2015). Dumestre (2016) warns that the traditional university ‘gold standard’ model is becoming unaffordable to the average student, institutions must avoid making peripheral changes and get real about the problems and stop suffering from organisational blindness, a form of scotosis in which fundamental problems are ignored or dismissed as temporary (Dumestre, 2016).



The first turnaround from a financial sustainability perspective was the incorporation of the School of Oral Health of Stellenbosch University into the Faculty of Dentistry at UWC. The second was the mandate of sole enrolling institution for university undergraduate Nursing programs in the Western Cape. The Dentistry and Nursing change resulted in an immediate increase in student numbers and at higher subsidy funding levels. These changes did not translate into an immediate positive cash flow position but changed the trajectory of student enrolments resulting in a positive financial trajectory. During this period of trying financial times, the University remained transparent with stakeholders which resulted in the leadership achieving a collective vision of how UWC was going to be turned around (Bharuthram & Pokpas).

The University was transparent with its bankers, creditors, staff and stakeholders to gain support and to get people to believe in the University’s vision. O’Connell stated that he strongly emphasised that without their [stakeholders] support and collective vision, UWC would not survive. UWC had to undertake some tactical financial management interventions, to name a few (Bharuthram & Pokpas, 2020):

- 1) Convert student debt to cash as quick as possible;
- 2) Instilled a culture of fiscal discipline;
- 3) Decentralised the financial system coupled with up to date data;
- 4) Deferred payments and spending of budgets;
- 5) Kept salary increases at affordable levels;
- 6) Introduced upfront payments for student registration;
- 7) Upskilling of staff;
- 8) Reconstruction of contracts with vendors; and
- 9) Implemented sound financial control.

Study participant 9 stated that the tactical management interventions is articulated as follows:

Firstly, investing in Honours bursaries so that we can increase the pipeline to PG enrolment. Secondly, attempting to keep the biggest component of our expenses under control namely salaries and ensuring a very rigid process around the creation of new posts. Thirdly, ensuring that operational expenditure is minimally adjusted every year for inflation. This provides us the space to also ensure investment in new strategic areas.

The principle undertaken by Executive management since the 2004 financial year is that UWC will never generate deficits again and never repeat the assault on people's livelihoods. This statement resonated throughout the university and got staff to respect good fiscal discipline. Participant 2 stated that:

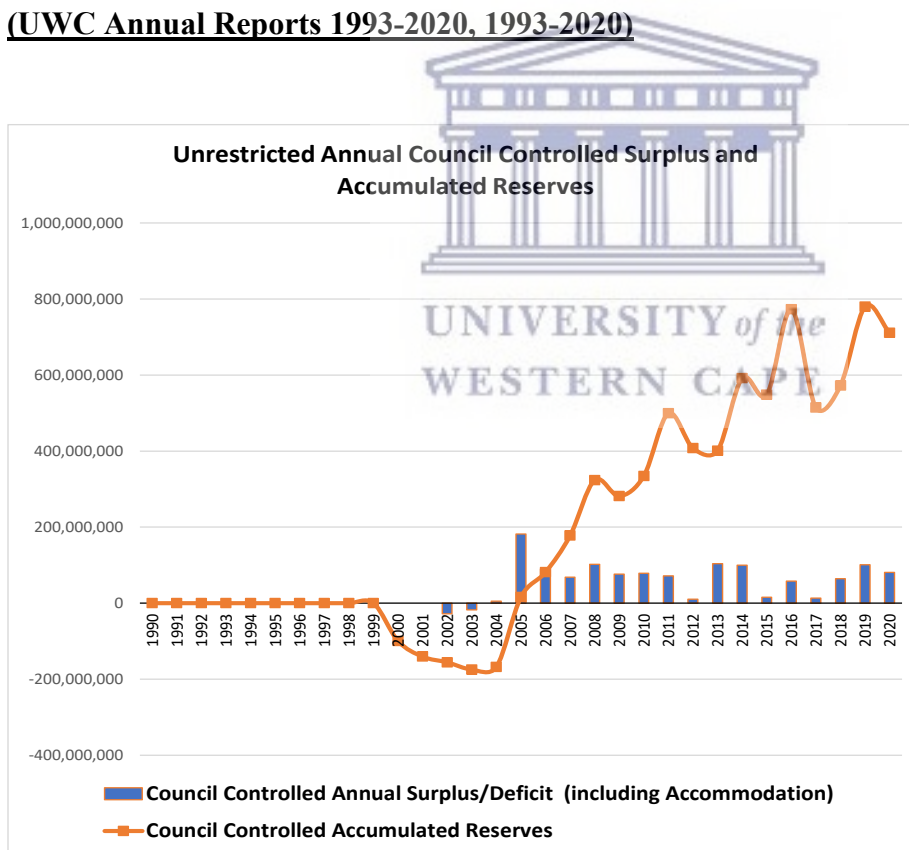
Despite the many years that have passed since the 90s retrenchments, staff still talk about it as if it happened yesterday. It takes me back to the time when we agreed at Exec meetings that we will never allow UWC to experience the hardship our staff and students had to experience as a result of the assault on jobs. We openly shared this with staff and unions in various forums.

5.6.2.1 UWC Surpluses and Accumulated Reserves

UWC introduced a practice that supports the IOP Finance goal of building reserves since 2005 which has carried through all IOPs' from 2004 and formalised it in a "Budget Policy" in 2014. UWC posted its first Council-Controlled Surplus for the financial year ended 31 December 2004 and has remained on this positive financial trajectory. The University received a clean audit report (unqualified audit report) as per the published Annual Financial Statements 2004 and has kept that record to 2020 (UWC Annual Report, 2004: 38).

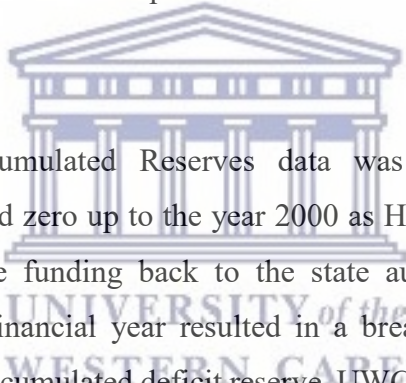
Figure 17. illustrates the movements of unrestricted surpluses per annum (excluding restricted surpluses) which is held for accumulation of unrestricted accumulated reserves. Unrestricted funds in this context is the funds that are under Management and Council control.

Figure 17. Unrestricted Annual Surplus/Deficit and Unrestricted Accumulated Reserves (UWC Annual Reports 1993-2020, 1993-2020)



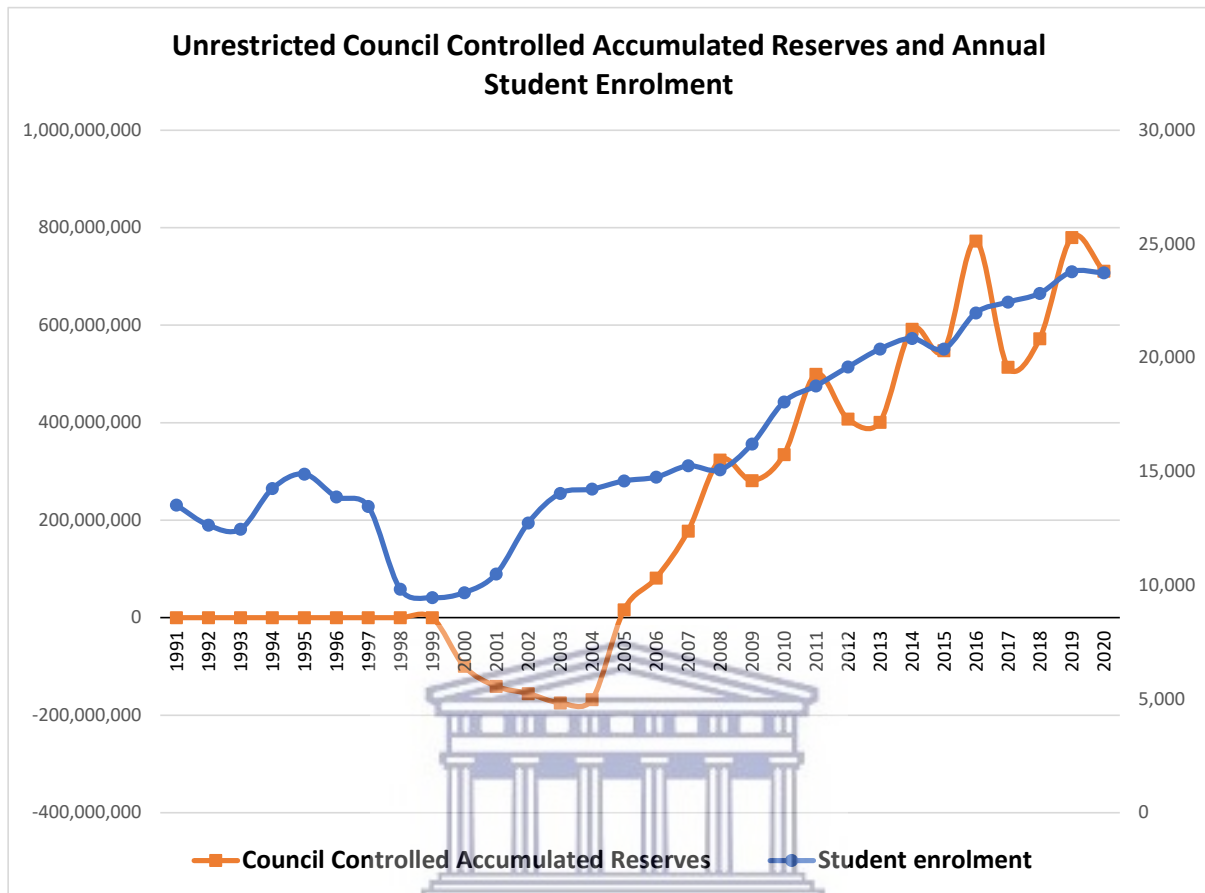
Source: Author's compilation of fieldwork, 2022, extracted from UWC audited annual reports.

The interpretation of Figure 17. is subject to the following factors: - In terms of the reporting requirements prior to 2003, UWC was not required to report unrestricted funds separately from restricted funds and therefore I have excluded the annual unrestricted surpluses and deficits as the information would be inaccurate, audited annual report data is not available for 1991 and 1992. The 2004 annual surplus is the first year of surplus generation and is consistently generated each year thereafter. The 2005 annual surplus is stated at R182 million due to the recapitalisation of R170 million and R12 million normal surplus. The three low surplus years' 2012, 2015 and 2017 are anomalies due to the following: 2012 financial year returned a surplus of R10 million due to a R44m pension fund cost charged in recognition of the employees defined benefit fund being in deficit and in terms of the Financial Services Conduct Authority (FSCA) requirement, the employer must make good the deficit. The 2015 surplus amounted to R15m due to the risk mitigation costs incurred on the national #FeesMustFall campaign that resulted in protracted protests, institutional shutdowns and damage to property. The costs associated to the national #FeesMustFall campaign amounted to R46m. The 2017 surplus result of R13 million was adjusted for the second phase of the settlement of the UWC Pension Fund to the extent of R28 million.



The Council Controlled Accumulated Reserves data was available from 1993. The Accumulated Reserves remained zero up to the year 2000 as HDIs were not allowed to build reserves and had to return the funding back to the state authority (Wangenge-Ouma & Carpentier, 2018). The 2005 financial year resulted in a break-even (zero reserve) as the recapitalisation wiped out the accumulated deficit reserve. UWC has been building up reserves from 2006. When reviewing the reasons for sharp increases of accumulated reserves, the main reasons are infrastructure donor receipts from private donors and government; and the sharp decreases is representative of the spending of the funding. There is an upward trajectory in the accumulated reserves with the 2020 balance being R711 million (R779 million: 2019). There has been a strong correlation between increase in student enrolment and Accumulated Reserves as per Figure 18. Due to the student enrolments being the driver of income generation through fees and state subsidy.

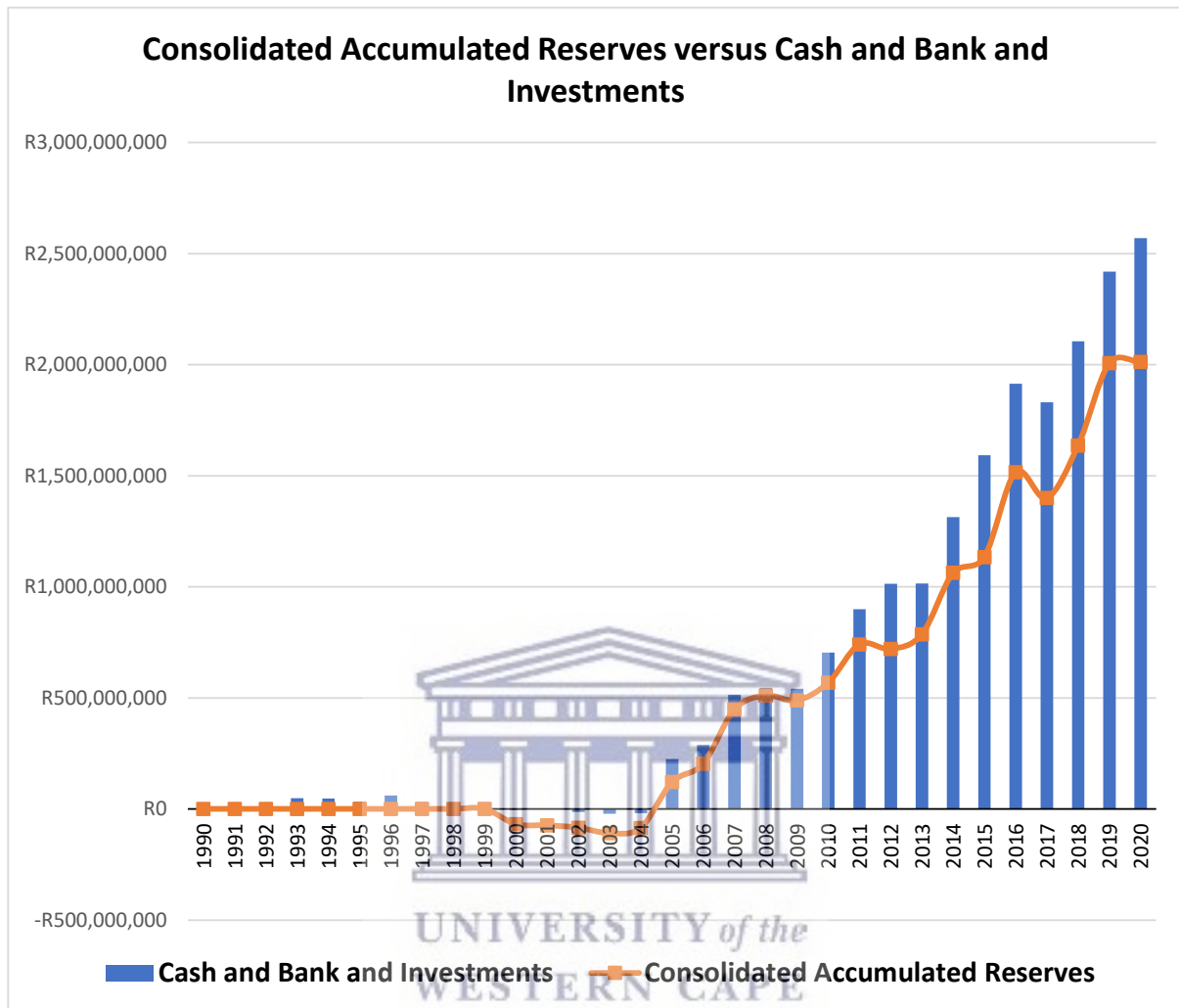
Figure 18. Unrestricted Council Controlled Accumulated Reserves and Student Enrolment (UWC Annual Reports 1993-2020, 1993-2020)



Source: Author’s compilation of fieldwork, 2022

The Accumulated Reserves is representative of UWC’s recovery since the late 1990s and early 2000s decrease in student numbers. The next important point is to prove if the Accumulated Reserves is backed up by cash in the bank and/or investments. In terms of the nature of accounting for reserves, a separate bank account is not held for Restricted Accumulated Reserves and therefore we have to combine the Restricted Accumulated Reserves with Unrestricted Accumulative Reserves which is identified as Consolidated Accumulated Reserves. Figure 19. Illustrates the movement and growth of the Consolidated Accumulated Reserves and Cash and Investments combined.

Figure 19. Consolidated Council Controlled Accumulated Reserves and Cash and Bank and Investments (UWC Annual Reports 1993-2020, 1993-2020)



Source: Author’s compilation of fieldwork, 2022

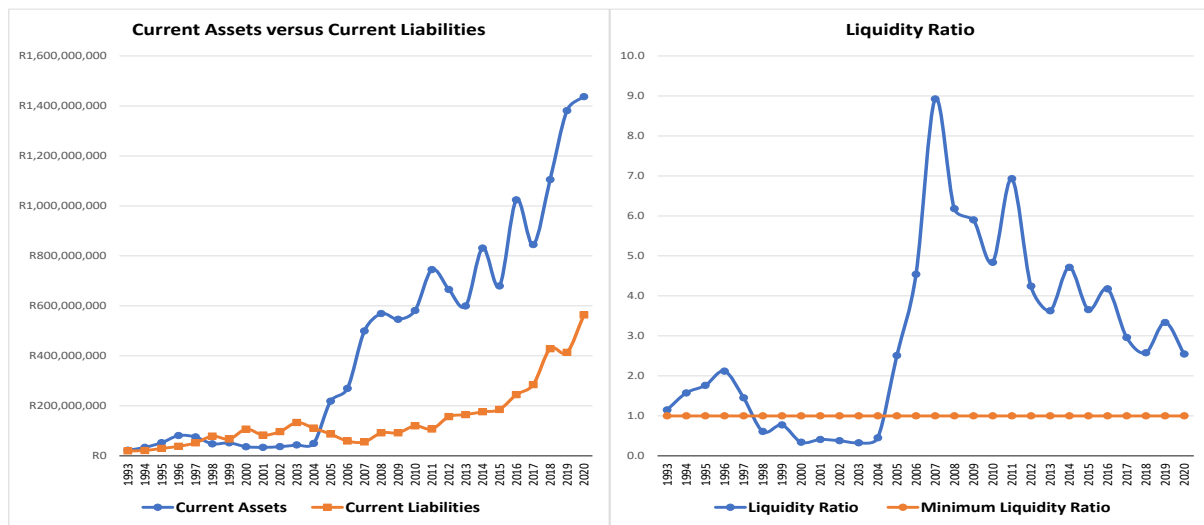
Figure 19. Illustrates that there are adequate Cash and Bank and Investments to cover Consolidated Reserves thereby proving that reserves are backed by cash and investments. To further demonstrate whether Accumulated Unrestricted Reserves are backed by Cash and Bank and Investments, deduct the Accumulated Restricted Fund Reserves from the sum of Cash and Bank and Investments and compare the values. Using the 2020 audited results, the sum of Cash and Bank and Investments amounts to R2.6bn. The Accumulated Restricted Funds Reserve amounts to R1.3bn. The difference between these two amounts is R1.3bn which approximates

the Accumulated Unrestricted Reserves of R1.7bn (UWC Annual Reports 1993-2020, 1993-2020). The R400m difference is attributable to the accruals and transfers processed through the Income Statements and Statements of Reserves. The number of days cash on hand excluding long term investments is 196 days for 2020 (Drury, 2004).

5.6.2.2 UWC Cash flow, Going Concern and Debt

This section will focus on UWC's ability to settle its obligations and fund operations. Cash flow can be defined as cash and cash equivalents, referred to as cash and bank in this study. The going concern concept is defined as an assumption made at the end of the year as to whether there is significant certainty or uncertainty which exists or is probable that certain events or conditions arise that could question the university's ability to manage the going concern risk (Lombardi, 2021, Drury, 2004). Financial sustainability is the ability to manage its financial capacity in the short term and the long term while maintaining the level of services (Caruana, et al., 2019). Financial ratios are used as indicators to benchmark against the sector and determine financial performance and measure the going concern risk. The 1993 to 2020 audited annual reports historical data were used to measure Current Assets versus Current Liabilities and the Liquidity ratio. When Current Assets exceeds Current liabilities, the university is considered a going concern (Drury, 2004, Murage & Onyuma, 2015). When the liquidity ratio, which is an expression of Current Assets divided by Current Liabilities, is less than 1, then UWC is considered illiquid or insolvent and a going concern risk (Cloete & Bunting, 2019).

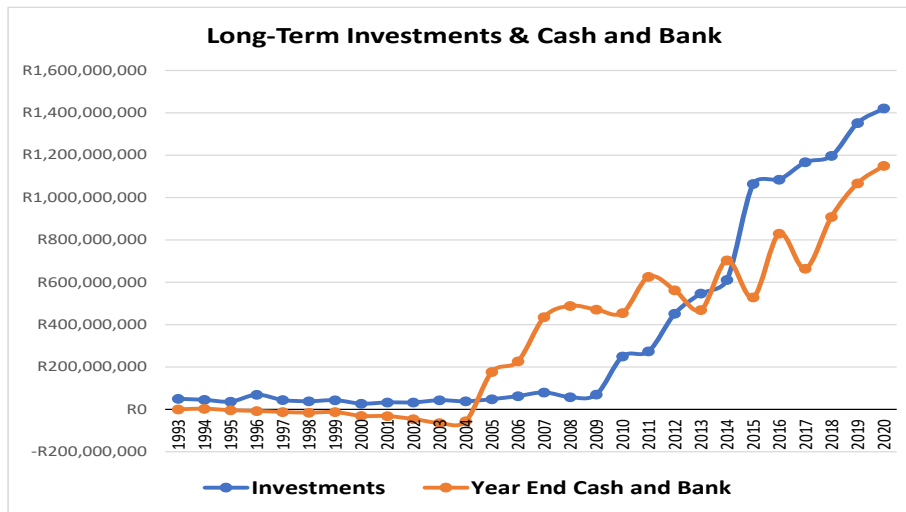
Figure 20. Current Assets vs Current Liabilities and Liquidity (UWC Annual Reports 1993-2020, 1993-2020)



Source: Author’s compilation of fieldwork, 2022, extracted from the UWC audited annual reports 1993-2020.

Figure 20. illustrates that UWC was insolvent from the year 1998 until 2004. This can be seen clearly in both graphs of Figure 20. where Current Assets are below Current Liabilities or reveals a liquidity ratio of less than 1. Although it was UWC’s financial plan to recover from insolvency by generating surpluses, this was accelerated by the recapitalisation which explains the spike for 2005 and thereafter fundraising campaigns for infrastructure that supported the subsequent years’ spikes (Bharuthram & Pokpas, 2020). There is a downward trend of the annual liquidity ratio from 2008 to 2020. Based on my interpretation of the relevant annual reports, the downward trajectory is mainly because of spending the donor and government funds received for infrastructure; and the transfer of Cash and Bank (free cash) portions to long-term Investments. The transfer of portions of cash to long-term Investments translates in a higher return on investment (ROI) than what the banks can offer for cash in a current account. It is best to illustrate the increases in long-term investments in Figure 21.

Figure 21. Long-term Investments and Cash and Bank (UWC Annual Reports 1993-2020, 1993-2020)



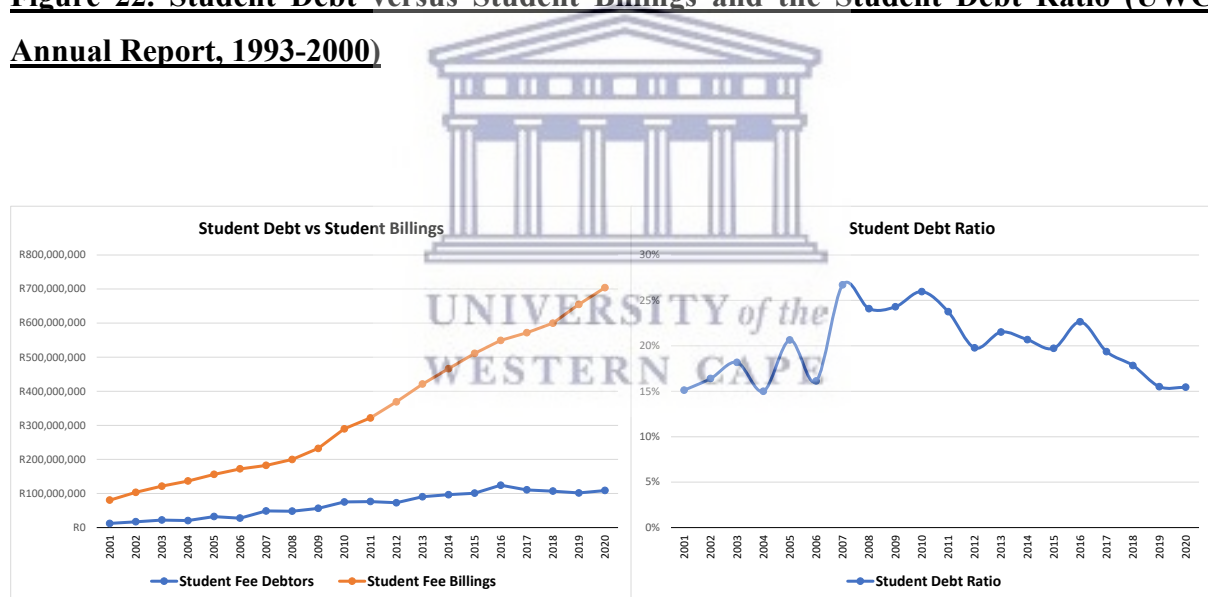
Source: Author’s compilation of fieldwork, 2022, data extracted from the UWC audited annual reports 1993-2020.

Figure 21. illustrates the transfer of free cash flows to long-term investments in 2010, 2012 and 2015, the funds that are unrestricted that forms part of the long-term Investments amounts to R1.1 billion and R300 million is encumbered through endowments (UWC Fin Com, 2021).

Inadequate student debt recovery has become a funding constraint at South African universities and has been a major obstacle in achieving financial stability (de Villiers & Steyn, 2006). According to the HESA (2008) report on tuition fees, HDIs have a higher level of unpaid student fees compared to that of HAIs, the methods of debt collection varies and acknowledgement is given that 90% of South African households would not be able to afford tuition fees but overall, universities are as humane and flexible as possible in credit management, and go to great lengths to accommodate deserving students. Some universities provide a reasonable balance between the need of the institution to recover outstanding debt from students and the interest of students in continuing with their studies (HESA, 2008).

UWC’s success in debt collection is a tribute to its students, credit management practices, donors, NSFAS and parents captured in the financial review of the annual reports. While student registration with the constraints related to student debt is a contentious period annually characterised by student protesting, UWC has managed to improve its debt collections. This can be seen in the graph where student debt does not grow at the same rate as student billings and the ratio for student debt (student debt divided by student billings) is on a downward trajectory indicating that the collections are improving annually. Student debt ratio was at its worst at a rate of 27% in 2007. The 2020 student debt ratio is calculated at 15%. The improvement is attributable to student credit management discipline and the presidential announcement of free cost of study to students with a combined household family income of less than R300 000 per annum for South African citizens. The free cost of study was applicable from the 2018 financial year resulting in at least 50% of UWC’s students being funded by NSFAS as “fee-free” education (Presence, 2017).

Figure 22. Student Debt versus Student Billings and the Student Debt Ratio (UWC Annual Report, 1993-2000)

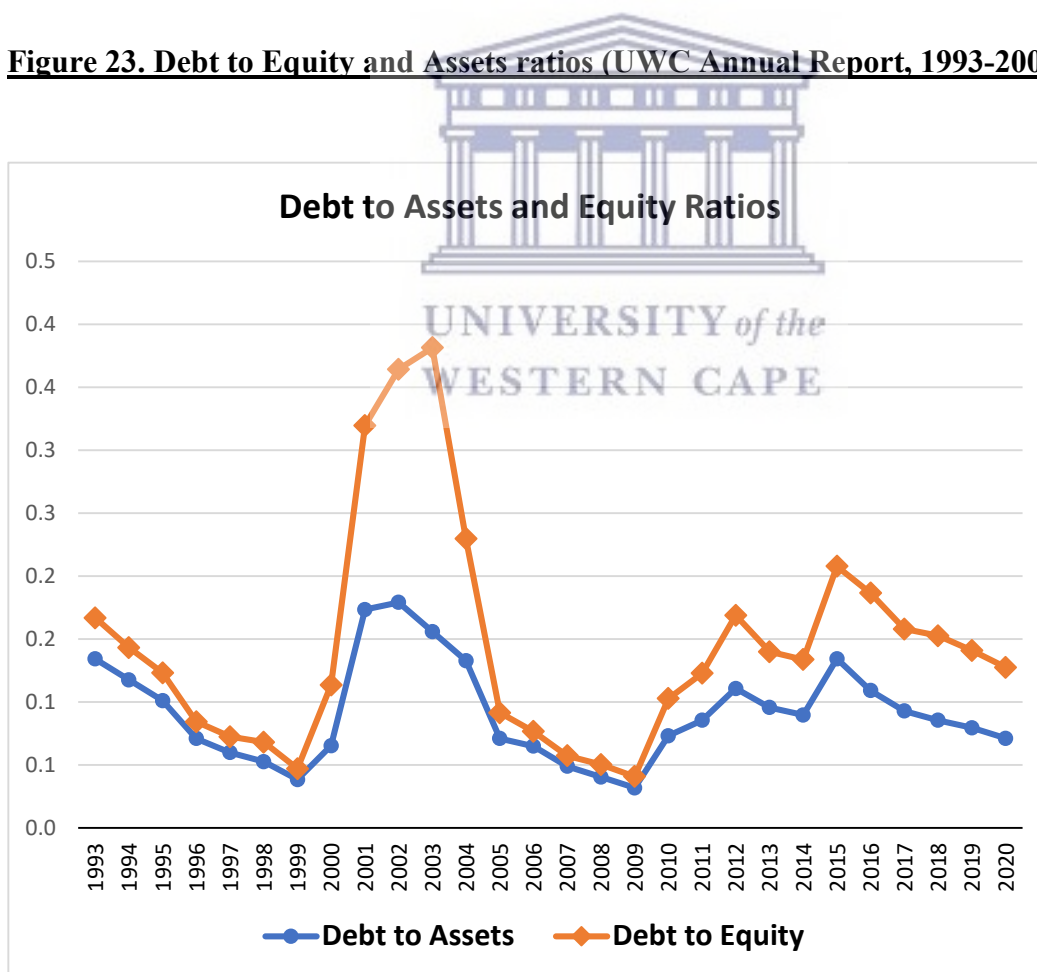


Source: Author’s compilation of fieldwork, 2022, data extracted from the UWC audited annual reports 1993-2020.

The debt structure of UWC is at best described as a low gearing. In other words, the level of funding by lenders is a small proportion to that of equity (operations and reserves) (de Wit,

2006). Private companies (for profit) are always seeking ways to create shareholder value from lenders. The optimal capital structure is the combination of the equity and debt that will maximize the value of the business as a whole. According to Ehrhardt & Brigham (2003), the value of a business based on the going concern expectation is the present value of all the expected future cash flows to be generated by the assets, discounted at the university's weighted average cost of capital (WACC). The target capital structure is therefore that combination of long-term sources of finance that leads to the lowest WACC and, consequently, to the highest value for the business as a whole (Ehrhardt & Brigham, 2003). UWC is a going concern but does not seek to achieve the highest return on investment by risking public funds. However, as per Figure 23., UWC has adopted the principle of borrowing (long-term debt) when investing in long-term assets (land and buildings), not operations (UWC Fin Com, 2010). Prior to 2005, UWC was borrowing short-term debt (overdraft) to fund its operations which is not ideal but a necessary requirement due to its low liquidity rate and needed to augment its deficit cash flows.

Figure 23. Debt to Equity and Assets ratios (UWC Annual Report, 1993-2000)

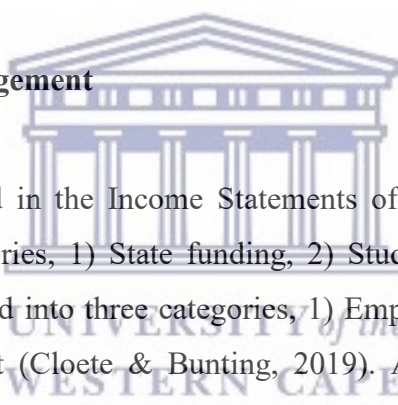


Source: Author's compilation of fieldwork, 2022, data extracted from the UWC audited annual reports 1993-2020.

The 1999 to 2004 are unfavourable for both the Debt to Assets and Equity ratios. The main reason for this is due to the low liquidity and the necessary funding of operations with third party debt (overdraft) depicted Figure 20. The spikes in debt to equity and debt to assets ratios in 2012 and 2015 represents new loans undertaken of R90 million and R219 million respectively with regards to infrastructure expansion projects such as the Life Sciences Building, Chemical Sciences Building, Bellville Community and Health Sciences Building, Sports Stadium and the Computational and Mathematical Sciences building (UWC Annual Reports 1993-2020, 1993-2020).

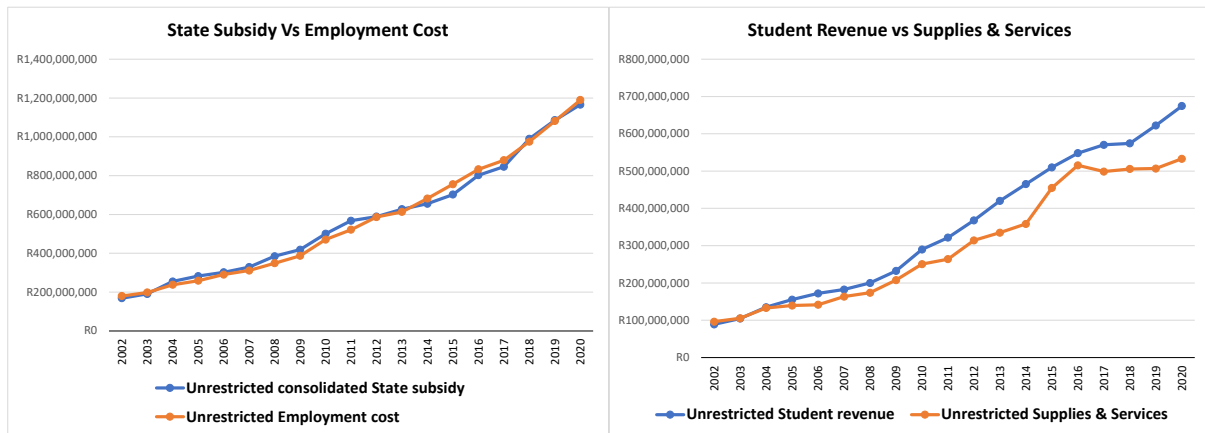
On the whole, based on the information above, UWC's financial position is stable and is a going concern.

5.6.3 Revenue and Cost management



Revenue and cost are captured in the Income Statements of universities. Revenue can be divided into three main categories, 1) State funding, 2) Student fees and 3) Third stream income; and cost can be divided into three categories, 1) Employment cost, 2) Supplies and services and 3) Financing cost (Cloete & Bunting, 2019). Anecdotally, there is a strong correlation between State funding and Employment cost, and similarly between Student fees and Supplies and services. The differences between these two relationships will fund Depreciation, Financing costs and the remaining balance is the surplus available for reserve accumulation. Figure 24. illustrates the relationship of these revenue streams with costs. The Employment costs are well aligned with State Subsidy which is a signal of good budgeting processes. The Student Revenue is above Supplies and Services creating room for financing of Debt impairment, Depreciation and Finance Costs. The steep increase in Supplies and Services for 2015 and 2016 is related to the risk mitigation costs of the #FeesMustFall campaign and UWC Pension Fund settlement with staff respectively. Supplies and Services were not increased for 2017, 2018 and 2019 except for a small increase in fixed costs. This slowed the upward trajectory of year over year cost increases.

Figure 24. State Subsidy versus Employment Costs and Student Revenue versus Supplies and Services (UWC Annual Reports 1993-2020, 1993-2020)



Source: Author’s compilation of fieldwork, 2022, data extracted from the UWC audited annual reports 1993-2020.

Study participant 7 had this to say about resources:

after the leadership got UWC out of that crisis, you kind of managed to strike that equilibrium very well, you know, with the limited resources, given how much you charge, given the kinds of students that you receive, given the type of PQM [Programme Qualification Mix] that you have.

Study Participant 5 believed that UWC got their budgeting and financial management aligned with best practices:

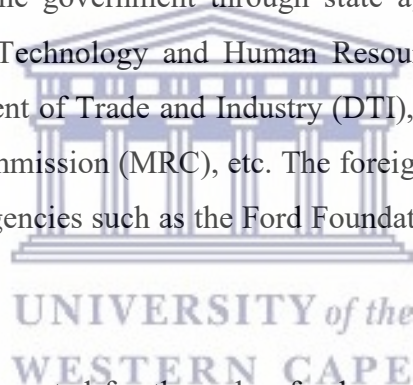
We used financial management in its purest sense to provide the basis of the technical understanding of where we were, what the current trend looked like, where it would lead us and what the budget looked like. We understood that a budget was a very important, multi-year process in which the longer-term financial sustainability could be judged and so that we could make early decisions about where was the problem. Increasing fees from one year to the next. So easy to call it a lower increase this year,

but that means the base for next year is lower. So, it was always the fact that Council, I think, was confronted with the real facts, and not what they wanted to hear.

Based on the above, my view is that the university has maintained a balanced cost structure and good budgeting processes since 2002/2003.

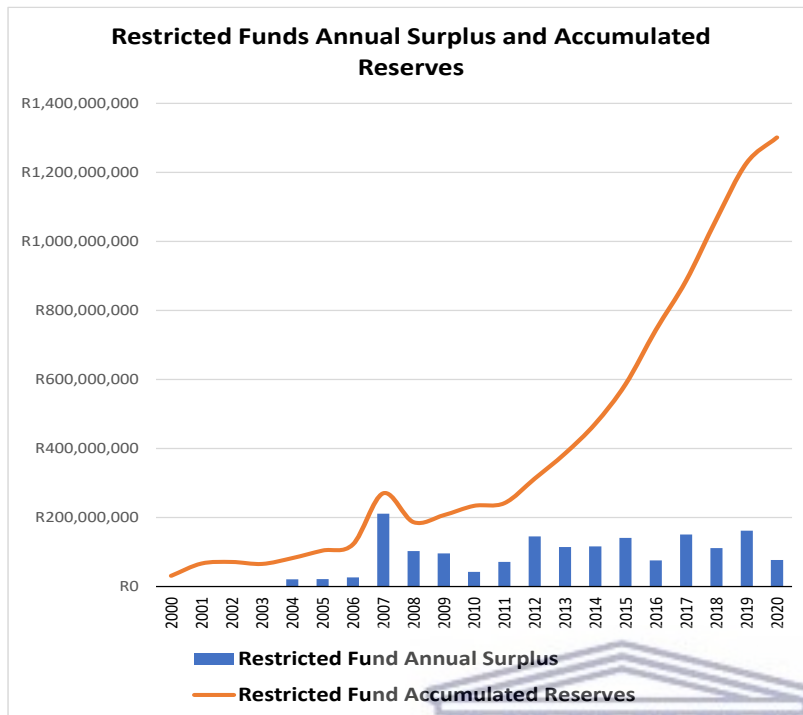
5.6.4 Grants and Contracts (Restricted Funds)

Restricted Funds comprising grants, contracts and entrepreneurial activity is an important segment of UWC's financial structure. It augments the operational costs of research and grant contracts, student funding, post-doctoral funding, teaching and learning infrastructure, employment cost and running cost. The Restricted Fund Income Statement comprise of local and international funding all controlled through the Grants and Contracts Office and the Research Office according to the grant mandate agreed upon. Local funding is received from private companies and from the government through state agencies such as the National Research Foundation (NRF), Technology and Human Resources for Industry Programme (THRIP) through the Department of Trade and Industry (DTI), Water Research Commission (WRC), Medical Research Commission (MRC), etc. The foreign grants and contracts such as foundations and government agencies such as the Ford Foundation, European Union funding, Andrew Mellon grants, etc.



The Restricted Fund has is accounted for through a fund accounting system that allows for reporting and financial accountability. The research and teaching and learning are accounted for in Figure 25. displaying the Revenue and surplus lines as per the UWC audited annual reports. The Restricted Funds comprise a myriad of projects funded that often has a life extending beyond a financial year, those funds are recognised as income received in advance in the Balance Sheet. The annual surpluses returned on the graph is representative of the annual contribution to the accumulated reserve, available for future spending.

Figure 25. Restricted Funds annual surplus and accumulated reserves (UWC Annual Reports 1993-2020, 1993-2020)



Source: Author’s compilation of fieldwork, 2022.

The years 2000 to 2003 do not have Restricted Fund Income Statements available in the annual reports as it was not a requirement to report on it. The 2007 financial year returned a surplus of R211 million mainly due to the Atlantic Philanthropies donation of R150 million received in 2007 for infrastructure. The average annual Restricted Surplus for the period 2004 to 2020 amounts to R99 million. When comparing the 2004 Restricted Surplus of R21 million to an annual average of R99 million represents an increase of 371% for the period up to 2020.

Based on the Restricted Funds annual average Surplus and Accumulated Restricted Reserves, the fund is stable and has a process of obtaining new contract income annually.

5.6.5 Financial Sustainability

I have shared many definitions in this study of financial sustainability and it is clear that it is different to the definition of a going concern. Financial sustainability has a longer-term outlook than the going concern concept and is more than effectively the ongoing operations without the risk of insolvency in the long run. It's also having sufficient funds for operations, investment in infrastructure, and new programs.

UWC implements a five-year financial rolling plan with the first year representing the following year's approved budget. This process revises the base annually for the future years' financial trajectory thus making it easy to see what the financial impact of new or current decisions may have on UWC. It is my view to share data and interpretations from the latest Council approved Five-year Plan 2021 (FYP-2021) that will provide insight as to whether UWC is indeed a financial sustainable institution. The 2020 and 2021 financial years were very uncertain due to the break out of the COVID-19 pandemic resulting in the physical shutdown of campuses across the world and adoption of multi modal-teaching and learning processes (hybrid method). UWC mitigated the COVID-19 risks well by working from home and implementing its content via online platforms. Table 5. displays the abridged Income Statement and Balance Sheet for the FYP-2021.

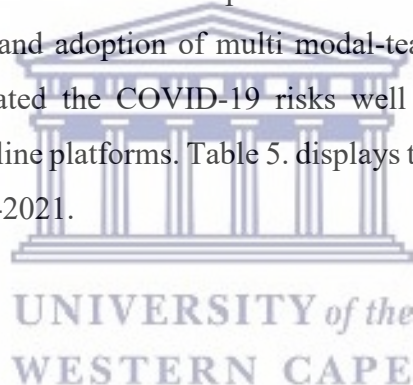


Table 5. Abridged Income Statement- Unrestricted Funds (UWC Fin Com, 2021)

Council Approved Five-Year Plan 2021	Final Five-Year Plan 2021 and Budget 2022 R'000	Five-Year Plan 2023 R'000	Five-Year Plan 2024 R'000	Five-Year Plan 2025 R'000	Five-Year Plan 2026 R'000
Income	2,214,295	2,403,502	2,524,239	2,652,063	2,788,002
Expenditure	2,195,354	2,370,512	2,516,491	2,637,378	2,763,757
Total people cost	1,357,846	1,469,022	1,556,866	1,649,978	1,743,890
Total supplies and services	793,946	856,985	917,495	946,622	979,633
Finance cost	43,562	44,505	42,130	40,779	40,234
Net Surplus	18,941	32,990	7,748	14,685	24,245
Surplus as % of income	0.9%	1.4%	0.3%	0.6%	0.9%

Source: Author's compilation of fieldwork, 2022. Data extracts from the Council approved FYP 2021.

The future years post 2022 seems reasonable in that inflationary increases are used to project future income and expenditure. The financial modelling assumes a return to campus similar to pre COVID-19 and therefore it is assumed that there will be no savings associated with working and attending class remotely.

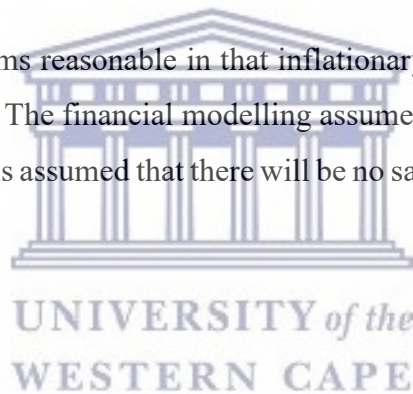


Table 6. Abridged Balance Sheet – Consolidated (UWC Fin Com, 2021)

Consolidated Balance Sheet					
Council Approved Five-Year Plan 2021	FYP 2022 Budget 2022	FYP 2023	FYP 2024	FYP 2025	FYP 2026
	<u>R 000'</u>	<u>R 000'</u>	<u>R 000'</u>	<u>R 000'</u>	<u>R 000'</u>
ASSETS	6,905,430	7,091,182	7,273,889	7,489,110	7,720,950
Non-current Assets	5,487,932	5,579,414	5,591,182	5,514,452	5,435,024
Current Assets	1,417,499	1,511,768	1,682,708	1,974,658	2,285,926
FUNDS AND LIABILITIES	6,905,430	7,091,182	7,273,889	7,489,110	7,720,950
Funds available	4,018,291	4,209,070	4,359,124	4,439,814	4,520,952
Non-Current Liabilities	2,428,072	2,473,649	2,518,266	2,610,160	2,715,713
Current Liabilities	459,067	408,463	396,499	439,136	484,285
Debt to funds ratio (Debt to Equity)	30%	28%	27%	27%	28%
Current ratio	309%	370%	424%	450%	472%

Source: Author's compilation of fieldwork, 2022. Data extracts from the Council approved FYP 2021.

The Balance Sheet for UWC into the future years (FYP-2021) predicts an improvement financial position in that the Debt to Equity ratio remains constant and the liquidity ratio remains above 1 and is enhanced as the FYP-2021 unfolds. Study participant 9 had this to say about UWC's financial situation post-2000:

In terms of financial sustainability, I think our annual financial reports, our ongoing unqualified audits, our ability to fund new and strategic projects without placing a significant load on available resources bears testimony to the extent to which we have managed our financial resources and ensured our financial sustainability.

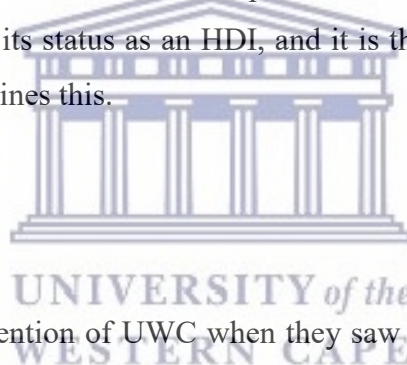
Is UWC still an HDI when looking at the financial position of UWC? Study participant 3 reflected on this and said the following:

A lot of people outside raise their eyebrows and say, well, is UWC really still an HDI? And, of course, it does serve, you know, large numbers of poorer students. And we did keep it in that category. But in terms of some of its developments, it's certainly moved quite significantly from being an HDI type institution, those types of problems to a different kind of institution. You see that in all kinds of aspects. You see it in the infrastructure program, you see it in the research outputs, you see it, in terms of its ability to remain not in a bad financial situation, when you look at the financial health of the institution.

UWC has been acknowledged for its positive financial position as per study participant 3 and that questions are raised that due to its success despite its student profile, perhaps it should no longer be seen as an HDI as it is clearly producing positive results.

Based on the Going concern concept proven in the previous section and the above projected results, the university is in a sustainable financial position. But this alone is not sufficient to 'graduate' the University from its status as an HDI, and it is the availability of infrastructure and reserves that finally determines this.

5.7 Infrastructure

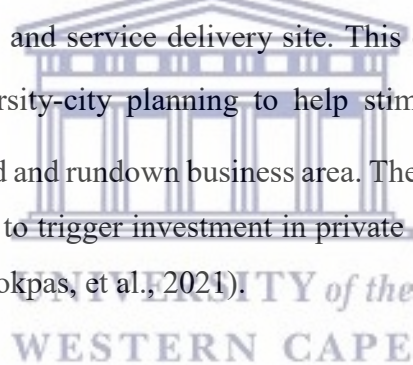


Stakeholders started paying attention of UWC when they saw the physical transformation in UWC's buildings being upgraded and new buildings with specialised equipment. This was part of the reimagining of the Master Development Plan aligned with the Institutional Operating Plan. The Master Development Plan was ambitious and formed part of the strategy of a centrifugal approach by developing along the campus edges to increase visibility and becoming an anchor in the region (Pokpas, et al., 2021). There was no way in which UWC could afford the implementation of its ambitious infrastructure strategy. O'Connell went on a fundraising drive during 2005 armed with his ambitious vision, self-belief, passion and deep understanding of the importance of the role UWC had to play in the rebuilding of South Africa. He was able to impress Mr Charles (Chuck) Feeney, Founder of the Atlantic Philanthropies, who endorsed the vision and donated R200 million for the construction of the Life Sciences Building

(R130m) and the School of Public Health Building (R70m). This was by far the biggest donation in the history of UWC (Bharuthram, 2020).

The Life Sciences Building cost R550m. O’Connell requested the Minister of the Department of Education to match the R200m which was approved by the Minister. This was a defining moment for UWC’s infrastructure program. The Minister, Naledi Pandor, acceded to the request and approved the transfer of R200m to UWC for the proposed structure. The Kresge Foundation donated R40m and another R5m was received from various smaller donors. The balance was funded by a loan with the Development Bank of Southern Africa (DBSA) (Bharuthram & Pokpas, 2020).

Pokpas et al. (2021) narrates that much attention has been paid to UWC as an anchor institution in the region and its physical connectedness to communities in Bellville and Cape Town. In 2018 the university launched its repurposed Community and Health Sciences campus in the Bellville central business district, and relocated about 2000 students and staff from the main campus to the new educational and service delivery site. This catalytic project forms part of UWC’s efforts to align university-city planning to help stimulate urban renewal and the revitalisation of an overcrowded and rundown business area. The new facility, easily accessible by public transport, has started to trigger investment in private student accommodation in the area, amongst other benefits (Pokpas, et al., 2021).

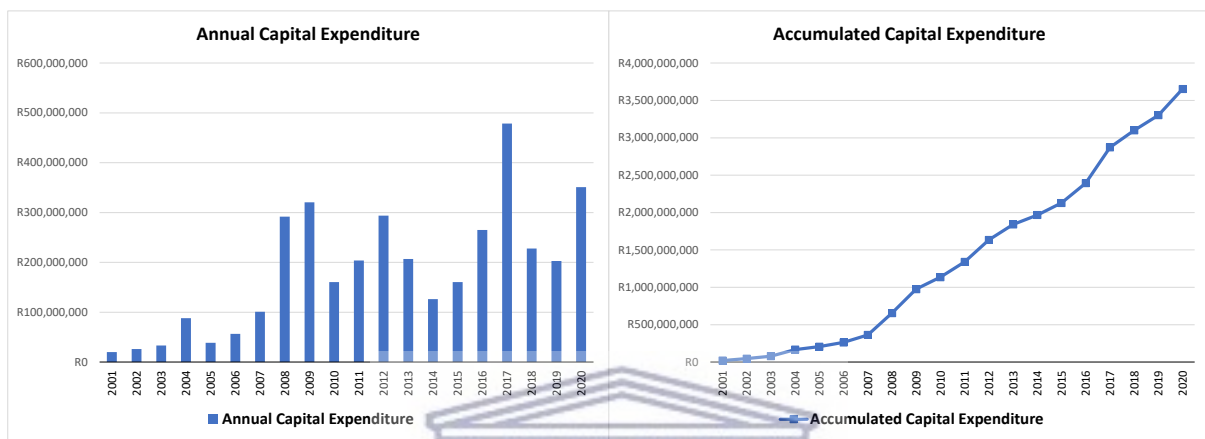


Other off-campus developments include the upgrade and reuse of an abandoned heritage site and building in Woodstock, Cape Town, to establish an arts facility at the edge of the central business district. UWC has also acquired facilities in Kuils River and Parow to provide, respectively, student accommodation and a virtual/augmented reality laboratory to link with industry partners. South of the main campus, a new student accommodation project is underway to add approximately 2700 new beds to the university’s accommodation offering. This project will extend the campus footprint within safe and walkable distance from the campus, while integrating it within the neighbouring mixed-income residential community (Pokpas, et al., 2021).

5.7.1 Capital Expenditure

There has been steady growth in the campus infrastructure expansion and improvement projects. It is best to see the annual investment in capital expenditure and highlight some of the major projects and associated values.

Figure 26. UWC Capital Expenditure (UWC Annual Report, 1993-2000)



Source: Author’s compilation of fieldwork, 2022. Data extracts from the UWC audited annual reports up to 2020.



Some of the major projects are as follows: Annual Teaching facilities upgrade on average R10 million, Life Sciences Building R550 million, School of Public Health R65 million, East Link road installation R8 million, Chemical Sciences Building R260 million, Res Life Centre R30 million, Stadium Upgrade R60 million, Bellville Community & Health Sciences R260 million, Computational & Mathematical Sciences R240 million, 2700 Unibell Residences R83 million to date, South Campus Education Precinct R100 million to date, Greatmore upgrade R10 million to date, Arts infill project R35 million, Dentistry Tygerberg infill project R20 million, Digital Innovation Hub R35 million to date, Water purification plant R24 million and Riverpark residential units R20 million. Study participant 5 had this to say about investment in infrastructure regarding the financial impact and cautiousness of future operations when adding infrastructure:

But I often was confronted with the exuberance and joy of funding infrastructure costs, we build a building, but then we haven't got furniture to put in it or teachers to put in it. So, it was marrying those two recurrent costs increases with an infrastructural expansion, or if you like student expansion, that now helped to have student expansions on the one side and be joyous in the fee increase. But if you didn't apply it correctly, to provide the proper teaching staff for that, you know, you're going nowhere. The opposite as well, that if we have fallen off of the current or recurrent income, we can't keep all the teachers we have got.

The message of study participant 5 is that you have to operationalise the infrastructure so that it does not become a financial burden to the university.

5.7.2 Capital Financing

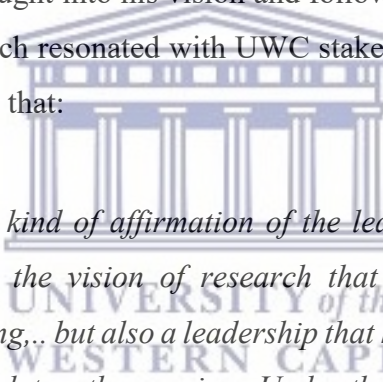
UWC entered into three loan agreements from 2000 to 2020 for the purposes of financing long-term assets (land and buildings). It is UWC's practice to approach lenders to fund material values that is preferred to be funded by a lender than making use of its own cash resources. The internal loan process is secured through various management and governance structures in compliance with the HE Act 1997. The first loan was to fund the shortfall for the completion of the Life Sciences Building of R90 million. The last instalment repayment was during 2020 in full and final settlement. The second loan was for R219 million for the combined shortfall of the Sports Stadium, Chemical Sciences Building and the Bellville Community & Health Sciences Building. The last instalment is during 2025. The third loan was approved during 2020 for the shortfall of R375 million for the construction of 2700 student accommodation beds adjacent to UWC. The loan term is 20 years. The first drawdown took place in 2022 (UWC Fin Com, 2022).

Based on the above, the debt structure of UWC is balanced in that lenders' funding is utilised to augment the acquisition of long-term opportunities (fixed assets like land and buildings, equipment) as they arise and operations are funded by UWC's working capital. In contrast to the HAIs, long-term opportunities are funded from reserves. UWC has to play catch up with HAIs to have the capability to pay for long-term opportunities from reserves (Stats SA, 2017).

5.8 Leadership

This section is a review of the leadership attributes and interventions of the UWC journey 2000-2020 rather than an appraisal of leadership performance. Bharuthram and Pokpas (2020) asserts that rector Prof O'Connell's leadership is aligned with UWC's success as a research-led university. O'Connell had a deep understanding of the legacy of apartheid and the role UWC had to play in reconstructing the country, Minister Naledi Pandor affirms that she will never forget her excitement when O'Connell came to present his plans for achieving science excellence at UWC. She also said that O'Connell clearly knew that the legacy of apartheid and the lack of intellectual ambition it imposed on majority black institutions had to be confronted and further claimed that UWC is a rare account of how to transform an institution. She further praised UWC as a shining star when reflecting on what's possible with visionary leadership (Bharuthram & Pokpas, 2020).

O'Connell's Executive team bought into his vision and followed his example of transparency and honesty about the facts which resonated with UWC stakeholders (Bharuthram & Pokpas, 2020). Study participant 10 said that:



..I had not received the kind of affirmation of the leadership of the university and I really, really treasured the vision of research that Brian O'Connell and Ramesh Bharuthram were building,.. but also a leadership that has understood that we will need to put this university back together again... Under the leadership of O'Connell, there was a sense of purpose, a common purpose... I think that when the executive leadership of the university was at its most coherent, the separation between financial management and research pursuits and teaching were not apparent. When there was a rhyme to those three primary functions of the university, that university is one that is seriously emboldened to take hold of its future. That's the time when I felt most encouraged to come to work every morning. So, in 2009 or there about, you suddenly saw a commitment on the part of the leadership to make some tough decisions, the university appeared determine to pursue ambitions, in the absence of guarantees about the future.

Study Participant 10 was very clear that there was a great relationship between leadership and university stakeholders and that people felt good and positive about UWC because of the leadership attributes. Study participant 1 shared the following about leadership:

You had an executive team under the leadership of Brian O'Connell that was able to go down to every stakeholder that had a role played in UWC, you have to be part of this, if you're not going to be part of this there'll be no university. And that has remained the strength of UWC... Brian O'Connell built probably the strongest executive management team I've ever seen.

There was strong acknowledgement for O'Connell and his Executive team. Study participant 7 had this to say about leadership:

UWC then managed to kind of pick itself up from the ashes, you know, with strong leadership, we see the student numbers beginning to grow, we see strong staff beginning to come at the institution... the leadership was very, very important, and, always plays a very, very important role in terms of that capacity and mobilizing people to put together and the belief that there was something that was happening at UWC. And we had a role and we bought into that vision to make it happen... and then of course, the leadership, a very charismatic Vice-Chancellor, you know, very practical, knew what he wanted for the institution, mobilized networks put together a team that bought into his vision, and pursued that vision, very, very vigorously.

Based on the above and from the study participants, O'Connell managed to get the buy in from the campus community and stakeholders and drive the institution in a positive trajectory.

Resulting from his inaugural address in 2015, Rector Prof Tyrone Pretorius, articulated the importance of different notions of engagement and building a sense of community through different forms of connectedness, in order to better understand their importance to the intellectual project and the tensions and opportunities they generate (UWC IOP 2016-20, 2015, Pretorius, 2016). Pretorius commented that UWC was vastly different to the university he left as the Vice-Rector: Academic. UWC was now much larger in size, student and staff numbers

had grown at an unprecedented rate and areas of niche specialisation proliferated alongside standard disciplines, able to compete locally and globally in key niche areas (Pokpas, et al., 2021). He further stated in his inaugural address that UWC “has to be an unapologetically intellectual community with an ongoing interest in the significance of knowledge for our country and the world” (Pretorius, 2016: 7).

Study participant 3 had this to say about UWC leadership:

I think that, that strong leadership really had a lot to do with pulling the institution together and really pulling it up by its bootstraps...

Study participant 4 commented on leadership as follows with reference to other HDIs:

I think what saved us was the leadership at UWC, the commitment to transform UWC from a learning and teaching institution to a hub of research and playing a different role in the academic society... when it comes to the leadership, I think University of the Western Cape was blessed with leadership, if I compare it to a university that has gone through the same struggles as UWC, where the minister then went ahead and disbanded the board and then appointed an administrator for the university, even though all its [UWC] trials and tribulation was never under administration, which is a plus to the management [UWC] on how we train the institution.

Study participant 7 believed that UWC got the leadership mix right:

It's more of a conjuncture in terms of quite a number of forces coming together, from the mid-2000s, we now see that steady upward trajectory, growing, and there's a vision that drives the strong leadership that drives that there's capacity that drives that there's debt management of resources that drives that there is external funding that drives that. I really wouldn't put it at one point that there were quite a number of investments that came in, and we start seeing those results, especially in the mid-2000s. You know, where then we start seeing that steady upward trajectory.

Since Pretorius's appointment in 2015, he had to mitigate a number of risks from a national and global perspective. Study Participant 2 gave a detailed account of the leadership risks as follows:

The first was what the campus community fondly refers to Pretorius's "baptism of fire" which was the national #FeesMustFall campaign. The campaign objective was to convince the state that there was enough money in the government fiscus to pay for students cost of studies. In other words, students should study for free. The campaign was underpinned by violence, destruction to property, fear and disruption of university operations sector wide. The next challenge was the regional drought in Cape Town resulting in considerable investment in infrastructure so that UWC could independently supply potable water to the campus community. The next challenge was the pressure from contract workers to be permanently employed on the UWC payroll which resulted in protests, disruption of operations and damage to property. The last major risk was the novel Corona Virus (COVID-19) pandemic that hit the South African shores in early 2020 whereby UWC had to transform its method of instruction and operations to a remote format. These were all risks that had to be managed under the leadership of Pretorius who did an excellent job in maintaining UWC operations, connecting with the campus community and holding the campus together.

The 2015 national #FeesMustFall (#FMF) campaign brought to bear the movement of black consciousness and demand of transformation of the curriculum and the hiring of black professors, the ensuing racial fault lines among students, members of staff, the administration and ultimately transformation of South African universities. The #FMF campaign took the form of violent protests and national shutdown of universities and forced the higher education sector to reflect deeply on its make up and past injustices. The protests resulted in the Presidential announcement that all qualifying students cost of study will be subsidised by the state also known as fee free education (Mangu, 2017). Pretorius as a recently inaugurated rector in 2015 was faced with the unenviable task of responding to violent student protests, campus shutdowns, damage to infrastructure, students, Senate, staff and various local and national platforms. The student protests tied in with the students demand for an end to outsourcing of workers. Pretorius argued that even though UCT and CPUT agreed to insource its workers,

UWC could not afford insourcing and that it would result in severe financial deterioration of the UWC finances. Pretorius and his team convinced the UWC Council who agreed that insourcing would be unjustified at UWC on financial grounds and to subvent the salaries of outsourced workers and allow study benefits to outsourced workers and their families (UWC Council, 2016).

The student leadership have always been driven by political aspirations and political mandates at UWC, potentially making the engagement with students less productive and complex. Student leadership in South Africa have a transient student political leadership, connected to powerful national political organisations, carrying external mandates into the university, and the ensuing contestation for political rather than knowledge power amongst them, is a major source of entropy and a significant barrier to predictability and stability, thus hamstringing our struggle for excellence (O'Connell, 2010). O'Connell (2010) expressed the view that had it not been for the strong student affiliations to political parties, student leadership would be a lot more focused on the academic project rather than mandates from political parties that are not aligned to higher education (O'Connell, 2010). This was indeed a disappointment from a student leadership perspective.

Warnings from local and national government were received on a daily basis during 2016 and 2017 that the city of Cape Town water feeder dams were drying up as the city was experiencing a three-year rain deficit dubbed as 'day zero' (City of Cape Town, 2017). Pretorius gathered support for the installation of a water purification plant and air to water plant that was completed during 2019 which has positively changed the campus community relationship with water (UWC Online, 2019).

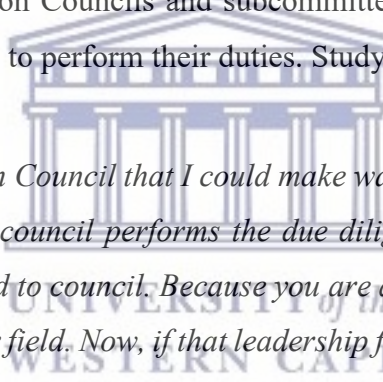
Pretorius had just successfully dealt with the water crisis when the novel Corona Virus 2019 (COVID-19) pandemic emerged as a threat to the business continuity of UWC in early 2020. Pretorius followed a collective leadership and campus inclusive approach by engaging the UWC community on various online platforms, converted the teaching and learning programmes and research to multi modal forms of instruction, introduced health and safety measures and produced online connectivity and protocols for all UWC stakeholders. The

ultimate goal achieved was to demonstrate care for people and saving the academic year which was successfully achieved (UWC Council, 2021).

The interventions and outcomes under O'Connell and Pretorius demonstrate the nature of their successful leadership when faced with difficult challenges.

5.9 Governance

Governance has been in the spotlight for the last 3 decades or so for failures in the private and public sector in South Africa and is well publicised. The South African higher education landscape has its challenges ranging from Council to various subcommittees of Council. Afriyie (2015) asserts that attention must be focussed on systems of governance and management of higher education with particular reference to their impact on the financial viability of higher education institutions (Afriyie, 2015). Members recruited and appointed by stakeholder delegation serving on Councils and subcommittees of Council must contain the appropriate skills and intentions to perform their duties. Study participant 4 argued that:



If there's one decision on Council that I could make was to ensure that we get the right people on council, that council performs the due diligence on everybody whom they appoint before appointed to council. Because you are a university, you are expected to be the leadership in your field. Now, if that leadership fails in having the correct ethical values and a joint vision for the institution, then we will fail as an institution.

The study participant 4 makes specific reference to the experience endured at UWC and its membership at Council which was sometimes very counter-productive. Study participant 3 makes specific reference to a governance challenge at UWC:

- you know, the problems that were had at the governance level at institutions, and particularly kind of stakeholderisation of Councils which led to many institutions having quite difficult experiences. And UWC wasn't immune from that. So, while there were a lot of strong things happening at UWC "The Battles of the Brians" was a major

issue for the institution from a governance point of view. And I think it wasn't something that was unique to UWC, quite a number of institutions had to go under administration, and most of those were linked to governance issues, although there were also management issues.

Study participant 3 makes specific reference to the dysfunctionality of Council dubbed “Battle of the Brians” (Powell, 2014) and the “Two Brians battle for the soul of UWC” (Abader, 2014). Mr Brian Williams as the Chair of the UWC Council and Prof O’Connell as the Vice-Chancellor’s relationship broke down when Williams insisted that a guest from Cuba’s airfares and accommodation costs be reimbursed. O’Connell disagreed as he believed that the guest from Cuba was not visiting on UWC’s invitation nor performing UWC business. This led to infighting within the Council, creation of support camps, intimidation, court battles, unpleasant media reports, interventions from outside stakeholders, DHET and the Ministry all of which caused considerable damage to the reputation of UWC and its stakeholders. Study Participant 1 stated that:

The academic project was not hurt by what happened in Council as Brian (O’Connell) protected the academic project because if it collapses, there will be no university.

Study participant 1 referred to this as similar to state capture events that occurred in South Africa where Organs of State were usurped by a few individuals through legal frameworks and wreaked havoc. O’Connell protected UWC by not allowing a few individuals to take control of the university.

Study participant 5 felt that the Councils of universities are too big:

I think the Council was too big. We had difficulty at times making a decision because everybody, in a very democratic way, on the way the Council was chaired and led, everybody should get an opportunity to have a say, and there was a lot of posturing. And at times, even political positioning taken. And the Council, in my view, was not business like enough. But maybe that's how University Councils have to be. But if you

really want to run an institution as a business, you need to be able to say, okay, let everybody put their views on the table, manage the time for that, and then make a decision and be comfortable that it will never be a unanimous decision. But the university strove to get a unanimous decision. It can be very frustrating and time consuming.

University Councils are established by law and is the highest decision-making body. Study participant 5 felt that the Council had too many members and that the democratic style of decision making was not the most effective and results in frustration.

5.10 Conclusion

The findings of the study were divided firstly to understand the historical context of UWC being an HDI that gave rise to the experience of financial constraints which included the penalisation of UWC through state funding, exodus of senior academic staff and reduction of student numbers when the sector was declared open to all races and ethnicities. Secondly, the change in institutional leadership that was exemplary and concurrent radical change in legislation and higher education policy that was the cause of a restructure in the higher education landscape which favoured UWC by the incorporation of the Stellenbosch University School of Oral Health into the UWC Faculty of Dentistry, the right to the sole enrolling higher education institution for undergraduate Nursing in the region and the subsequent recapitalisation from the state that placed UWC in a break-even position. Thirdly, providing evidence of being a research-led teaching and learning university. Fourthly, the leadership interventions and campus community buy in to be an engaged university (developmental university) that is connected to the local and global context and serving both the “haves” and “have nots” and balancing of resources in this space. Lastly, providing financial data and interpretations that UWC is a financially sustainable university. All of these are underpinned by exemplary leadership and governance navigating challenges and risk mitigation actions.

The study confirmed that UWC is indeed an HDI that is a research-led teaching and learning developmental university that is financially sustainable. The study supports the assertion that UWC was blessed with leadership excellence and is an HDI that is on a trajectory that is

discernibly different from the other HDIs. I have defined leadership excellence in 3.8 as task excellence, relationship excellence, character and virtue. O'Connell, Pretorius and their teams have executed their tasks with vigour, engaged the campus community with passion and lived by high standard of character and virtues.



CHAPTER SIX: SUMMARY OF FINDINGS, RECOMMENDATIONS AND CONCLUSIONS

6.1 Introduction

This study seeks to understand the journey of UWC 2000 to 2020 from financial constraints through transformation to a research-led teaching and learning developmental university. This was done by identifying the research objectives- 1) To understand the context and reviewing of existing literature on the transformation of the South African higher education landscape of pre and post-1994. 2) To investigate whether UWC is indeed an HDI. 3) To investigate the various defining moments and attributes that materially impacted the UWC journey to a research-led teaching and learning developmental institution. 4) To investigate the financial strategies including threats and opportunities, leadership processes, strategies implemented, management interventions, governance structures and engagements with stakeholders. This chapter summarises the key findings of the study, recommendations and conclusions.

6.2 Financial constraints through transformation to a research-led teaching and learning developmental university

The study has documented that UWC's financial constraints in the early 2000s were due to three things: 1) the reduction in state subsidy imposed by the apartheid government pursuant to UWC declaring itself open to all races and ethnicities and, thus opposing the apartheid government (Wolpe, 1995); 2) the fact that HDIs were not allowed to build up reserves (Wangenge-Ouma & Carpentier, 2018) and 3) to the opening of the sector to all races in the late 90s resulting in students choosing other institutions by attraction through bursaries (Tapscott, et al., 2014).

The transformation of UWC to a research-led teaching and learning developmental university is effectively stages of change which was due to the restructuring of the higher education landscape (Asmal, 2002), 2004 funding framework (de Villiers & Steyn, 2006), fresh leadership (Lalu & Murray, 2012), restructuring of the academic project and strategic

interventions for research and teaching and learning, creation of niches and focus areas of study, attraction of major funders and senior scholars (Bharuthram & Pokpas, 2020). UWC also freed itself from HDI victimhood and embraced the future as an engaged university (Pokpas, et al., 2021). Based on the findings, UWC is indeed an HDI that is a research-led teaching and learning developmental university.

6.3 Financial sustainability

UWC was indeed in financial distress in the year 2000 and as study participant 7 stated:

It's more of a conjuncture in terms of quite a number of forces coming together...

The negative forces such as insolvency, low staff morale, low student enrolment, accumulation of student debt, threat of merger with Pentec, were usurped by positive forces such as fresh leadership, Stellenbosch University Dentistry incorporation, regional undergraduate Nursing sole enrolling institution, changed funding framework, state recapitalisation, Life Sciences and School of Public Health buildings donor and infrastructure state contributions of R200m. With all these forces, UWC launched itself into a positive trajectory on student enrolment and reserves build up with positive cash flows and free cash flows transferred to long-term investments. O'Connell stated UWC should be a metaphor for the rest of South Africa and an inspiration for communities to take charge of their own advancement (Mail & Guardian, 2012).

6.4 Self-reflections

The title of this thesis sounds easy but in reality, it is nuanced by inferences and bias. The word transformation in itself has many meanings of which I had to clarify more than once in the study. The words research-led in the title is highly problematic as it is not defined by scholars and is subjective with sectoral tensions and baggage which I detected in the literature and in my engagement with scholars from other South African universities. For example, universities in South Africa who claim to be research-led or research intensive may be pushing an agenda to receive more funding by virtue of receiving the entire share of the sectoral state subsidy earmarked for research and thus leaving those who do not claim or perceive to be research-led

with no research funding. Another example is the negative perception of research-led universities by universities who do not market or claim to be research-led and would never be able to catch-up due to historical inequities unless significant redress funding is provided by the state. A striking bias I detected was the frowning of HAIs' having a jaundice view of HDIs' successful market share gain of the sectoral research state subsidy and funding from state agencies. This is all part of a gradual changing landscape of higher education in South Africa. Locally and abroad, academic staff are in tension for access to resources at institutions who are research-led as the size of funding allocations and infrastructure often shift towards research.

I had emotive interviews with study participants and many asked me not to quote them for certain utterances for fear of reprisal or perceived guilt by association. Nonetheless, it was wonderful to experience the history of UWC through the lens of the study participants. I heightened my awareness of potential bias and made sure that there was a strong correlation with the fieldwork evidence. It was particularly intriguing that I had to probe study participants to talk about the period 1995 to 2000 as they either skipped this period or did not want to engage on this period. I observed that all study participants spoke with emotion, passion, pride, proudness and love for being associated with UWC, an HDI, that has shown resilience throughout its history.

I had to maintain critical distance from the data collected because of my senior role at UWC. Many experiences shared by the study participants was relatable and kept the study participants honest and unbiased. This study is not an autobiography and does not lean towards an autobiography as a viable methodology of research. However, there was a pull-on tenet of a narrative enquiry. A narrative enquiry is the study of how different people experience the world and allows people to tell the stories of their lived experiences (Walker, 2017). The use of research frameworks combined with reflective analysis provided me the platform to implement data-informed interpretations.

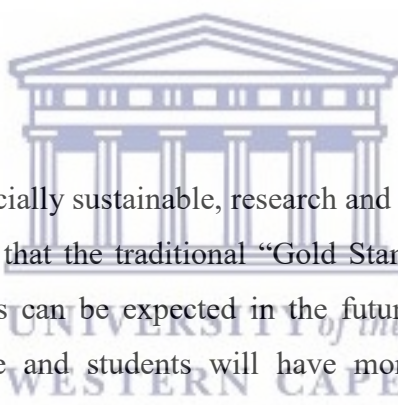
Data on the developmental university was easy to find from literature and from the interviews with study participants, each of whom had something to say about the UWC positive impact to communities without having to probe. Community engagement is thriving at UWC with a discourse of development with little focus on financial gain or profits which makes it a very

special university as it resonates within the South African context. I think this is what makes UWC special.

Leadership and its importance to any enterprise is well documented. UWC can proudly say that they were blessed with leadership who were passionate and cared for the students and campus community, were selfless in their duties and has allowed all stakeholders to talk about UWC as a metaphor of success to all South Africans.

There is a potential issue of latent bias. At the time of many of the events described in this thesis, I was in the employ of UWC as the Executive Director: Finance and Services. While I have consciously tried to ensure that my involvement in the decisions and actions has not influenced my interpretation of the information, this remains possible. I hold the view that UWC's recovery from its financial crisis was an achievement that few other universities have been able to make. Certainly, I could find no similar examples in my literature review.

6.5 Recommendations



For universities to remain financially sustainable, research and teaching and learning relevant, universities must acknowledge that the traditional “Gold Standard” university model is not sustainable and radical changes can be expected in the future due to tuition fees that has generally become unaffordable and students will have more diverse options for higher education (Dumestre, 2016). There are five fundamentals in administration that must be considered by every university if they want to manage financial sustainability, the elements are (a) strategy for direction, (b) sustainability but recovering all costs, c) generation of income by using networking and public relations, (d) investment that maintains the appropriate level of productive capacity, and (e) managing risk appropriately to avoid potential problems. These elements are indicators that can be used to "assess how well an institution is managing its own sustainability" (Afriyie, 2015: 19). A developmental university or engaged university will adapt its research and teaching and learning based on the inclusivity of its stakeholder base and local and international context (Coleman, 1986). A particular emphasis on adapting curriculum design and relevance has been shared by many authors which highlights the risk of curriculum

management. The five fundamentals for financial sustainability are further explained below (Organization for Economic Co-operation and Development, 2004):

- (a) Strategy for direction- An institution must be driven by its academic and research vision, not its financial goals. It should have an ethos of public service and social responsibility that leads to the provision of services. These factors must be balanced with financial sustainability. The development of an integrated institutional strategy achieves this balance.
- (b) Sustainability but recovering all costs- An institution is being managed on a financially sustainable basis if it is recovering its full economic costs and is investing in its infrastructure (physical, human and intellectual) at a rate adequate to maintain the future productive capacity needed to deliver its strategic plan and to serve its students and communities.
- (c) Generation of income by using networking and public relations- Increasing the range of possibilities of income generation, seeking the optimal mix of income generating units such as state subsidy, student tuition income, knowledge transfer activity, sale of spare capacity (eg. conferences), fund raising, etc. Building an operation model that takes the potential network society (partnerships) with sustainable growth benefits will support financial sustainability. Public relations activity is encouraged to influence positive perceptions and is compatible with financial sustainability.
- (d) Investment that maintains the appropriate level of productive capacity- Development of a strategy that enables maintenance and investment of current and future infrastructure and people that translates into the desired research and teaching and learning. Achieving the optimal mix of cash, surpluses and capital planning.
- (e) Managing risk appropriately to avoid potential problems- Establish strategic and systematic processes of risk assessment and risk management which must permeate throughout the whole university if it is to protect from serious financial failures.

The element of change is on our doorstep and we are constantly evolving without realisation. A constant critical analysis of our environment and context will highlight threats and opportunities. Universities do not need to abandon its intellectual values when transforming models and creating realistic alternatives, of great importance is that we identify threats and

opportunities early and be real about what's happening around us. These changes must come about in the framework of 'strategic action' through strategic planning and is dependent upon authentic institutional thinking and engagement.

It is apparent that universities must seek ways to become less dependent on state subsidy as the trend has been that higher education is competing for funds with health and social development, etc. causing government to provide a smaller share of the fiscus to higher education. Third stream income is part of the solution but it does change how universities identify themselves as "for profit" or "not for profit" and this tension will have to be addressed at all levels of university structures.

Leadership is at the core of successes and failures of university programmes and interventions. If there is one thing we have to get right in higher education, it is leadership from a management and governance perspective. We have seen how things have gone horribly wrong because of leadership and we have seen great successes because of leadership.

Based on my engagements and literature review, I believe that UWC has not given enough expression to its positive impact on the higher education landscape, communities and South African struggle for freedom. There is an admirable humility that UWC espouses that is indicative of its authenticity in terms of its role, but UWC should bring to bear the significance of its transformation to the South African people. The lessons that have been learnt could be transferred to other contexts and institutions.

6.6 Conclusion

The findings of the study have provided overwhelming evidence that UWC, is an HDI, is indeed a research-led teaching and learning developmental university that is financially sustainable. The ingredients of UWC's success I will present as follows:

- 1) UWC was blessed with exemplary leadership.

- 2) UWC's geographical location has advantaged it when compare to other HDIs in South Africa.
- 3) The timing of strategic planning and implementation was performed by the right people at the right time.
- 4) The financial sustainability success is due to the success of the research, teaching and learning and being an engaged university.
- 5) The university has freed itself of victimhood of being an HDI facing elements of decolonisation and individual South African people from historical oppression.

I repeat the quotes stated in this study which resonates with me and captures the UWC success story aptly “your origin does not define your destiny” (Bharuthram & Pokpas, 2020: 436) and UWC should be a metaphor for the rest of South Africa and an inspiration for communities to take charge of their own advancement (Mail & Guardian, 2012).



REFERENCES

- ABADER, G. 2014. *Two Brians Battle for the Soul of UWC* [Online]. Cape Town: IOL. Available: <https://www.iol.co.za/news/south-africa/western-cape/two-brians-battle-for-soul-of-uwc-1699612> [Accessed].
- ACHARYA, S., PRAKASH, A., SAXENA, P., & NIGAM, A. 2013. Sampling: Why and How of it? *Indian Journal of Medical Specialities*, 4, 330.
- AFRIYIE, A. O. 2015. Financial Sustainability Factors of Higher Education Institutions: A predictive Model. *International Journal of Education Learning and Development*, 2, 17-38.
- ALMAGTONE, A., SHAKER, A., AL-FATLAWI, Q., & BEKHEET, H., 2019. The integration between financial sustainability and accountability in higher education institutions: An Exploratory case study. *International Journal of Innovation, Creativity and change*, 8.
- ANC 1994. White Paper on Reconstruction and Development. In: AFRICA, P. O. T. R. O. S. (ed.). Cape Town: Government Gazette 1954.
- ANDERSON, G. 1993. Fundamentals of Educational Research. *Falmer Press*, 152-160.
- AROCENA, R., GORANSSON, B., SUTZ, J., 2014. Knowledge policies and universities in developing countries: Inclusive development and the "developmental university". *Technology in Society, ELSEVIER Ltd.*
- ASMAL, K. 2002. Transformation and Restructuring : A new institutional landscape for higher education. In: EDUCATION, M. O. (ed.). Pretoria.
- ASTIN, A. W., CHANG, M.J, 1995. Colleges that Emphasize Research and Teaching: Can you have your cake and eat it too? *Change: The Magazine for Higher Learning*, 27, 45-50.
- BADAT, S. 1998. *Education after Apartheid: South African Education in Transition*, Cape Town, UCT Press.
- BADAT, S. 2003. Transforming South African Higher Education, 1990:2003: goals, policy initiatives and critical challenges and issues. (*CHE*).
- BADAT, S. 2013. Jakes Gerwel (1946-2012): Humble intellectual, scholar and leader. *South African Journal of Science*, 109, 1-2.
- BARNES, T. 2003. Changing discourses and meanings of redress in South African Higher Education, 1994-2001. *Centre for Civil Society Research*, 38, 211-230.
- BEHR, A. L. 1988. *Education in South Africa: Origins, Issues and Trends 1652-1988*, Pretoria.

- BELL, E., & WRAY-BLISS, E. 2009. *Research Ethics: Regulations and Responsibilities*. Sage publications, London, 2009, 78.
- BENGU, S. M. E. 1997. Government Gazette 1196, White Paper 3, A programme for the transformation of higher education. *White Paper*.
- BERTRAM, C., & CHRITIANSEN, I. 2014. *Understanding Research: An introduction into reading research*, Cape Town, Van Schaik Publishers.
- BHARUTHRAM, R., & POKPAS, L. 2020. *From hope to action through knowledge: The Renaissance of the University of the Western Cape 2001-2014*, Cape Town, UWC Press.
- BLUMBERG, B., COOPER, D., & SCHINDLER, P. 2008. *Business Research Methods (2nd ed)*. Berkshire: McGraw-Hill Higher Education.
- BOSETTO, L. 2020. How to use and assess qualitative research methods. *Neurological Research and Practice*, 14.
- BRAUN, V., & CLARKE, V., 2006. *Using thematic analysis in psychology*. *Qualitative Research in Psychology*.
- BRAUN, V., & CLARKE, V., 2013. *Successful qualitative research: A practical guide for beginners*, London, Sage Publications.
- BRITISH COUNCIL. 2020. *Going Global 2020* [Online]. London: British Council. Available: <https://www.britishcouncil.org/going-global/about/past-events/2020> [Accessed].
- BRUNDENIUS, C., LUNDVALL, B.A., & SUTZ, J., 2008. Developmental Systems: Empirical, Analytical and Normative Perspectives. *Paper presented in the IV Globelics Conference in Mexico City*, 1-25.
- BUNTING, I. 1994. *A Legacy of Inequalities: Higher Education in South Africa*, Cape Town, UCT Press.
- BUNTING, I. 2006. Funding. In: CLOETE, N., FEHNEL, R., MAASSEN, P., MOJA, T., PEROLD, H., & GIBBON, T. (ed.) *Transformation in higher education: Global Pressures and local realities in South Africa*. Netherlands: Springer.
- BUSINESSTECH. 2019. *9 South African universities ranked among the best in emerging markets* [Online]. BUSINESSTECH. Available: <https://businessstech.co.za/news/lifestyle/293790/9-south-african-universities-ranked-among-the-best-in-emerging-markets/> [Accessed].
- BUSINESSTECH. 2021. *These 6 South African universities are ranked among the top 500 in the world* [Online]. BUSINESSTECH. Available: <https://businessstech.co.za/news/lifestyle/532106/these-6-south-african-universities-are-ranked-among-the-top-500-in-the-world-2/> [Accessed].

- CARUANA, J., BRUSCA, I., CAPERCHIONE, E., COHEN, S., & ROSSI, M.F., 2019. *Financial Sustainability of Public Sector Entities: The Relevance of Accounting Frameworks*, Switzerland, Springer Nature Switzerland AG.
- CHE 2000. Towards a New Higher Education Landscape: Meeting the Equity, Quality and Social Development Imperatives of South Africa in the 21st Century. In: DEPARTMENT OF EDUCATION (ed.) *Council on Higher Education*,. Pretoria.
- CHETTY, R., & PATHER, S., 2015. Challenges in Higher Education in South Africa. In: CONDY, J. (ed.) *Telling Stories Differently: Digital Storytelling(DST) and Social Justice in South Africa*. Stellenbosch: SUN Press.
- CHUMBA, A. J., MUTURI, W., & OLOUCH, J.O. 2019. Effect of Financial Investment Strategies on the Financial Sustainability of Universities in Kenya. *International Academic Journal of Economics and Finance*, 3, 37-49.
- CITY OF CAPE TOWN 2017. Critical Water Shortages Plan-Drought Response. *City of Cape Town*, 5.
- CLARK, B. 1983. The Higher Education Systems: Academic organization in cross-national perspective. *Berkeley: University of California Press*.
- CLOETE, N. 2016. For sustainable funding and fees, the undergraduate system in South Africa must be restructured. *South African Journal Science*, 112.
- CLOETE, N., & BUNTING, I. 2019. Performance Goals and Targets of South African Public Universities. 1-94.
- CLOETE, N., MAASSEN, P., FEHNEL, R., MOJA, T., GIBBON, T., & PEROLD, H., 2006. *Transformation in Higher Education: Global Pressures and Local Realities*, Netherlands, Springer.
- CLOETE, N., MOUTON, J., & SHEPPARD, C., 2015. *Doctoral Education in South Africa*, Cape Town, African Minds.
- COLEMAN, J. S. 1986. *The idea of the Developmental University*, Minerva, JSTOR & Springer.
- CONSTITUTION 1996. The Constitution of the Republic of South Africa. *Chapter 2: Bill of Rights*, Act 108.
- CORBIN, J., & MORSE J.M., 2003. The unstructured interactive interview: Issues of reciprocity and risks when dealing with sensitive topics. *Qual Inq.*, 9, 35-54.
- CORBIN, J., & STRAUSS, A., 2008. Basics of Qualitative Research: Techniques and Procedures for Developing Grounded Theory. *Thousand Oaks, California: Sage Publications*, 3.

- CRESWELL, J. W. 1998. *Research design: qualitative and quantitative. Mixed methods approach. California: Sage Publications.*
- DALY, J., KELLEHEAR, A., & GLIKSMAN, M., 1997. *The public health researcher: A methodological approach. Oxford University Press.*
- DANIELS, P. 2017. Colloquium Report: “(RE) Thinking and (RE) Creating Community Engagement (CE) at the University of the Western Cape (UWC)”. *University of the Western Cape.*
- DANIELS, P. 2019. *Community engagement, substance abuse report 2019. University of the Western Cape.*
- DBE. 2021. *Department of Basic Education* [Online]. Pretoria: Department of Basic Education. Available: <https://www.education.gov.za/> [Accessed].
- DE VILLIERS, A. P., & STEYN, A.G.W 2009. Effect of changes in state funding of higher education on higher education output in South Africa: 1986-2007. *South African Journal of Higher Education*, 23, 43-68.
- DE VILLIERS, A. P., & STEYN, A.G.W, 2006. *The Impact of Changing Funding Sources on Higher Education Institutions in South Africa*, Pretoria.
- DE WIT, J. H. V. 2006. Determining the optimal capital structure: a practical contemporary approach *Meditari Accountancy Research*, 14, 1-16.
- DENZIN, N., & LINCOLN, Y.S. 1994. *Handbook of Qualitative Research. Sage Publication*, 14, 3-5.
- DENZIN, N., & LINCOLN, Y.S. 2000. *Handbook of qualitative research. Sage Publication*, 22.
- DHET 2014. Report of the Ministerial Committee for the review of the funding of universities. *In: DEPARTMENT OF HIGHER EDUCATION AND TRAINING (ed.). Pretoria.*
- DHET 2020. Ministerial Statement on University Funding 2021/2022 and 2022/2023. Department of Higher Education and Training, 25.
- DHET. 2021. *Department: Higher Education and Training* [Online]. Pretoria: DHET. Available: <https://www.dhet.gov.za/SitePages/AboutUsNew.aspx> [Accessed].
- DHET. 2022. *Peer Data - Number of Permanent Instr/Research Staff Headcount with Doctoral as highest qualification* [Online]. HEDA. Available: <https://www.heda.co.za/PowerHEDA/dashboard.aspx> [Accessed].
- DRURY, C. 2004. *Management and Cost Accounting*, London, Thomson Learning.
- DUMESTRE, M. J. 2016. *Financial sustainability in US higher education: Transformational Strategy in Troubled Times*, New York, Palgrave Mcmillan by Springer Nature.

- DUNCAN, C. 2017. Report on the Centre for Entrepreneurship and Innovation.
- EKANOLA, A. B. 2013. The Idea of a Developmental University. *In: OYESHILE, O., KENNY, J. (ed.) The Idea of a Nigerian Univeristy: A Revisit.* Washington DC: The Council for Research in Values and Philosophy.
- ERHARDT, M. C., & BRIGHAM, E.F 2003. *Corporate finance – a focused approach*, Mason:Thompson.
- ESCRIGAS, C. 2016. A Higher Calling for Higher Education. *GT Network Space (Great Transition Initiative).*
- ETIKAN, I., MUSA, S.A., & ALKASSIM, R.S. 2016. Comparison of Convenience Sampling and Purposive Sampling. *American Journal of Theoretical and Applied Statistics*, 5.
- FREDUA-KWARTENG, E. 2015. Africa: The Case for Developmental Universities. *In: MIHUT, G., ALTBACH, P.G., & DE WIT, H. (ed.) Understanding Global Higher Education.* The Netherlands: Sense Publishers.
- GERWEL, G. J. 1987. *Inaugural Address*, Cape Town, University of the Western Cape.
- GOOGLE EARTH. 2022. *University of the Western Cape topical view* [Online]. Available: <https://earth.google.com/web/search/University+of+the+western+cape/@-33.9328349,18.6249114,57.8551222a,448t,14240044d,35y,360h,0.00000001t,0r/data=CigiJgokCVrs62LEBEHAEa4tLxCKBUHAGdlf3Qs6njJAfcD03qq9nDJAogMKATA?authuser=0> [Accessed 2022].
- GOUNDER, S. 2012. Research methodology and research methods. *Victoria University of Wellington.* Wellington- New Zealand: ResearchGate.
- GUIMON, J. 2013. Promoting University-Industry Collaboration in Developing Countries. *The Innovation Policy Platform*, 1-11.
- HAVARD, A. 2014. *Virtuous Leadership: An agenda for personal excellence*, Boston, Scepter Publishers, Inc.
- HE ACT 1997. Higher Education Act (101) 1997. *Government Gazette 18515*, 1655.
- HE AMENDMENT ACT 2016. Higher Education Amendment Act (9) 2016. *Government Gazette 40548*, 619.
- HESA 2008. *Tuition Fees*, Pretoria, Higher Education South Africa (HESA).
- HIRSON, B. 1979. *Year of Fire, Year of Ash. The Soweto Revolt: Roots of a Revolution?*, London, Zed Press.

- HORTON, J., MACVE, J., & STRUYVEN, G. 2004. Qualitative Research: Experiences in using semi-structured interviews. In: CHRISTOPHER HUMPHREY, B. L. (ed.) *The real life guide to accounting research: A behind-the-scenes view of using qualitative research*. Oxford: ELSEVIER.
- IVANKOVA, N., CRESWELL, JW., & STICK, SL. 2006. *Using Mixed-Methods Sequential Explanatory Design: From Theory to Practice*, Sage Publications.
- JAMSHED, S. 2014. Qualitative research method-interviewing and observation. *Journal of Basic and Clinical Pharmacy*, 32, 31-32.
- KOTHARI, C. R. 2004. *Research Methodology: Methods and Techniques*, New Delhi, New Age International Publishers.
- LALU, P. 2021. DSI-NRF Flagship on Critical Thought in African Humanities. *Self-assessment Report*.
- LALU, P., & MURRAY, N., 2012. *Becoming UWC*, Centre for Humanities Research, UWC.
- LAMA, M. 2013. Visioning a Development University. In: PRASAD, C. S., BHUBANESHWAR, & D'SOUZA, J (ed.) *Rethinking Universities for Development Intermediaries, Innovation and Inclusion*. New Delhi: Xavier Institute of Management.
- LANGA, M. 2017. #Hashtag: An Analysis of the #FeesMustFall movement in South African Universities.
- LAPPE, J. 2000. Taking the Mystery Out of Research. *Orthopaedic Nursing*, 19.
- LOMBARDI, R. 2021. *The Going-Concern-Principle in non-Financial Disclosure*, Springer.
- LONDON, M. J. 1994. Linking qualitative and quantitative data analysis- Analysing qualitative data. 89-110.
- MAIL & GUARDIAN. 2012. UWC celebrates science excellence. *Mail & Guardian*.
- MANGCU, X. 2017. *Critical Philosophy of Race*, Pennsylvania, Penn State University Press.
- MARAIS, H. 1998. *South Africa: limits to change*, London, Palgrave Macmillan, Zed Books.
- MCMILLAN, J. H., & SCHUMAKER, S., 2001. Research in education. A conceptual Introduction (5th ed.). *New York: Longman, 2001*, 166.
- MILLOT, B. 2015. International Rankings: Universities vs. higher education systems *International Journal of Education Learning and Development*, 40, 156-165.
- MOJA, T., & HAYWARD, F.M., 2005. The changing face of redress in South African Higher Education (1990-2005). *Journal of Higher Education in Africa*, 3, 31-56.

- MOUTON, J. 2019. Research Performance Report. *CREST - Centre for Research on Evaluation, Science and Technology*, 1-32.
- MOUTON, J. 2022. Data analysis of UWC. *CREST - Centre for Research on Evaluation, Science and Technology*.
- MULLER, J., CLOETE, N., & SCHALKWYK, V.F., 2017. *Castells in Africa: Universities & Development*, Cape Town, African Minds.
- MURAGE, M. S., & ONYUMA, O.S 2015. Analysis of Financial Performance of Income Generating Activities in Public Learning Institutions: Experience from Egerton University, Kenya. *Research Journal of Finance and Accounting*, 6, 247-254.
- MURRAY, M. 1987. *South Africa: Time of Agony, Time of Destiny*, London, African Affairs.
- NZIMANDE, B. E. 2014. Government Gazette 37384, Report of the Ministerial Committee for the review of the funding of universities. 37384.
- O'CONNELL, B. 2010. How formally historically disadvantaged universities (FHDUs) can create academic excellence. *DiscourseDiskoers*, 38, 1-4.
- OAKLEY, A. 1998. Gender, methodology and people's ways of knowing: Some problems with feminism and the paradigm debate in social science. *Sociology*, 32, 31.
- OLCAY, A. G., & BULU, M. 2017. Is measuring the knowledge creation of universities possible?: A review of university rankings. *Technological Forecasting and Social Change*, 123, 153-160.
- OMAIR, A. 2015. Selecting the appropriate study design for your research: Descriptive study designs. *Journal of Health Specialities*, 3, 6.
- ORGANIZATION FOR ECONOMIC CO-OPERATION AND DEVELOPMENT 2004. On the Edge: Securing sustainable future for higher education. *OECD-Project on financial management and governance of higher education institutions*, 7.
- PARLIAMENT-RSA 1988. Tertiary Education Act. *Government Gazette*, 66.
- PARLIAMENT RSA 1959. Extension of University Education Act of 1959. *Act no. 45*.
- PARLIAMENT RSA 1959. Fort Hare transfer Act of 1959. *Act no. 64*.
- POKPAS, L., DIPPENAAR, L., & BADSHA, N., 2021. *The University of the Western Cape: Educating towards and for a Changed Society*, Leiden, KONINKLIJKE BRILL NV.
- POWELL, I. 2014. *UWC's 'battle of the Brians'* [Online]. Cape Town: IOL. Available: <https://www.iol.co.za/news/south-africa/western-cape/uwcs-battle-of-the-brians-1697209> [Accessed].

- PRESENCE, C. 2017. #FeesCommission: Free higher education for all not feasible – report [Online]. IOL. Available: <https://www.iol.co.za/capetimes/news/feescommission-free-higher-education-for-all-not-feasible-report-11984732> [Accessed].
- PRETORIUS, T. B. 2016. Inaugural address. *University of the Western Cape, Cape Town*.
- REDDY, T. 2004. HIGHER EDUCATION AND SOCIAL TRANSFORMATION South Africa Case Study. *Council on Higher Education*, 13,.
- REJA, U., MANFREDA, K.L., HLEBEC, V., & VEHOVAR, V., 2003. Open-ended vs close-ended questions in Web questionnaires. *Developments in applied statistics, Metodološki zvezki*, 19, 159.
- SAHO. 1998. *Black Consciousness and student revolt in the Cape* [Online]. South African History Online (SAHO). Available: <https://www.sahistory.org.za/article/black-consciousness-and-student-revolt-cape> [Accessed].
- SALMI, J., & ALTBACH, P.G., 2011. *The Road to Academic Excellence: The Making of World-Class Research Universities*, Washington DC, The World Bank.
- SAZONOV, S. P., KHARLAMOVA, E.E, CHEKHOVSKAYA, A.I., & POLYANSKAYA, A.E, 2015. Evaluating Financial Sustainability of Higher Education. *Asian Social Science, Canadian Centre of Science and Education*, 11, 34-40.
- SCHAPPER, J., & MAYSON, S.E., 2010. Research-led teaching: Moving from a fractured engagement to a marriage of convenience. *Higher Education Research and Development*, 1-12.
- SOUDIEN, C. 2010. Grasping the nettle? South African Higher Education and its transformative imperatives. *South African Journal of Higher Education*, 24, 881-896.
- STALLARD, M. L. 2015. *Connection Culture* Switzerland, ASTD.
- STATS SA 2017. *Financial statistics of higher education institutions, 2016*, Pretoria, Department: Statistics South Africa.
- STATS SA 2020. *Financial statistics of higher education institutions, 2019*, Pretoria, Department: Statistics South Africa.
- STATS SA 2021. *Financial statistics of higher education institutions, 2020*, Pretoria, Department: Statistics South Africa.
- STYGER, A., VAN VUUREN, G.W., & HEYMANS, A., 2015. Government Funding Framework for South African Higher Education Institutions. *South African Journal for Higher Education*, 29, 260-278.
- SUBOTZKY, G. 2000. NRF Macroscan: Knowledge organisations. *A position paper, Education Policy unit, University of the Western Cape*.

- SUBOTZKY, G., & PRINSLOO, P., 2011. Turning the tide : a socio-critical model and framework for improving student success in open distance learning at the University of South Africa. *Distance Education for Empowerment and Development in Africa*, 32.
- TABALIA, J. 2020. *Top universities in South Africa 2019 - 2020* [Online]. Briefly News. Available: <https://briefly.co.za/23674-top-universities-south-africa-2019-2020.html> [Accessed].
- TAPSCOTT, C., SLEMBROUCK, S., POKPAS, L., RIDGE, E. & RIDGE, S. 2014. *Dynamics of Building a Better Society: Reflections on Ten Years of Development Cooperation and Capacity Building*, Cape Town, University of the Western Cape.
- THOMAS, C. C. 2014. Finding voice, vocabulary and community. The UWC Student Movement 1972-1976. *Journal of Contemporary History*, 39(1).
- THOMPSELL, A. 2020. *South Africa's Extension of University Education Act of 1959* [Online]. New York: ThoughtCo. Available: <https://www.thoughtco.com/extension-of-university-education-act-43463> [Accessed].
- UWC 2019. *UWC Student Retention and Success*, University of the Western Cape.
- UWC. 2020. *Remote Teaching and Learning* [Online]. Cape Town: University of the Western Cape. Available: www.uwc.ac.za [Accessed 2020 2020].
- UWC. 2022. *International Relations* [Online]. Cape Town,: UWC. Available: <https://international.uwc.ac.za/about/> [Accessed].
- UWC ANNUAL REPORT 1993-2000. UWC Annual Report.
- UWC ANNUAL REPORT 2003. UWC Annual Report.
- UWC ANNUAL REPORT 2004. UWC Annual Report.
- UWC ANNUAL REPORTS 1993-2020 1993-2020. University of the Western Cape Audited Annual Reports. *University of the Western Cape Audited Annual Reports 1993 to 2020*.
- UWC CONSULTATIVE MEETING 2008 2008. UWC consultative meeting Institutional Operating Plan 2010-2014. 6.
- UWC COUNCIL 2004. UWC Council. *University of the Western Cape*.
- UWC COUNCIL 2016. Minutes of the UWC Council meeting. *University of the Western Cape*, 25.
- UWC COUNCIL 2021. UWC Council. *University of the Western Cape*.
- UWC FIN COM 2010. *UWC Finance Committee of Council*, Bellville, University of the Western Cape.

- UWC FIN COM 2021. *UWC Finance Committee of Council*, Bellville, University of the Western Cape.
- UWC FIN COM 2022. *UWC Finance Committee of Council*, Bellville, University of the Western Cape.
- UWC INSTITUTIONAL PLANNING 2022. HEMIS submission reports - Audited. *University of the Western Cape Institutional Planning*.
- UWC IOP 2005-09 2004. UWC Institutional Operating Plan 2005-2009. *University of the Western Cape*.
- UWC IOP 2010-14 2009. UWC Institutional Operating Plan 2010-2014.
- UWC IOP 2016-20 2015. UWC Institutional Operating Plan 2016-2020.
- UWC IOP 2004. Institutional Operating Plan 2004-2009. *Institutional Operating Plan*
- UWC ONLINE. 2019. *UWC implements game changers to become responsible global citizens with its water-wise programme* [Online]. Bellville: University of the Western Cape. Available: <https://www.uwc.ac.za/news-and-announcements/news/uwc-implements-game-changers-to-become-responsible-global-citizens-with-its-water-wise-programme-251> [Accessed].
- WALKER, A. 2017. Critical Autobiography as Research. *The Qualitative Report*, 22.
- WANGENGE-OUMA, G. 2007. Reducing resource dependence on government funding: The case of public universities in Kenya and South Africa. *Unpublished doctoral dissertation, School of Education, University of Cape Town*.
- WANGENGE-OUMA, G., & CARPENTIER, V., 2018. Subsidy, Tuition Fees and the Challenge of Financing the Higher Education in South Africa. In: ASHWIN, P., & CASE, J.M., (ed.) *Higher Education Pathways: South African Undergraduate Education and the Public Good*. Cape Town: African minds.
- WILES, R. 2013. What are qualitative research ethics. *Bloomsbury Publishing Plc, London*, 6-7.
- WOLPE, H. 1995. The Debate on University Transformation in South Africa: The case of the University of the Western Cape. In: FRANCIS, T. (ed.) *Comparative Education*. London: Carfax Publishing Ltd.
- WOODFIELD, S., MIDDLEHURST, R., & FORLAND, H., 2009. *Universities and International Higher Education Partnerships: Making a Difference*, UK, Centre for Policy & Change in Partnership with CHEMS.
- YIN, R. 1989. Case Study Research. *Journal Publication*, 22-26.

ZULL, C. 2016. Open-Ended Questions. *GESIS Survey Guidelines*. Mannheim, Germany: Gesis Leibniz Institute for the Social Sciences, 10, 1.

