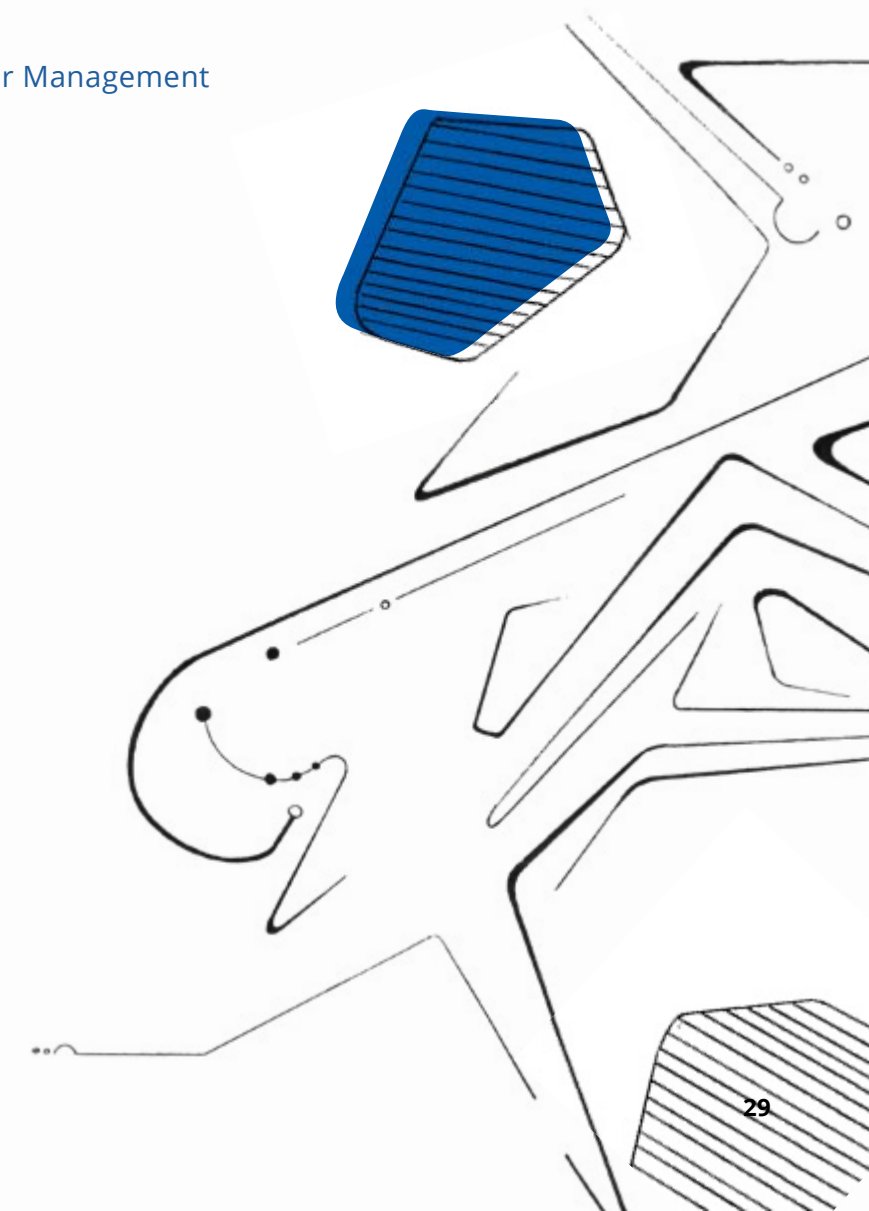
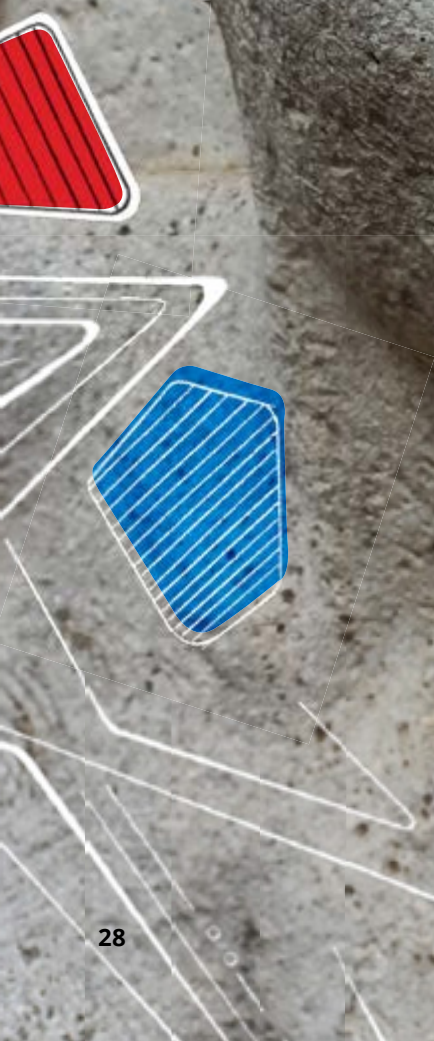


# Governance

- 1. Governance, in overview
- 2. Council
- 3. Senate
- 4. Institutional Forum
- 5. Student Governance
- 6. UP Executive and Senior Management
- 7. Office of the Registrar





- Human Resources Committee
- Audit, IT and Risk Management Committee
- Investment Committee



- Faculty Boards
- Academic Planning Committee
- Senate Review Committee on Re-admission
- Senate Committee for Teaching and Learning
- Senate Committee for Student Life
- Senate Committee for Research Ethics and Integrity
- Senate Committee for Research and Postgraduate Education
- Senate Selection Committee for Honorary Degrees
- Senate Central Admissions Committee
- Inter-Faculty Academic Committee - Mamelodi Campus

- Deans' Committee
- Directors' Management Committee
- Institutional Transformation Committee
- Operational Risk Management Committee
- Planning and Budget Committee
- Strategic Risk Management Committee
- Committee for Financial Aid and Bursaries
- Facilities Advisory Committee
- Student Affairs and Residence Accommodation Operations Management Committee

Figure 2.1. Governance structures of the University of Pretoria

# 1 | Governance, in overview

The governance of South Africa's public higher education institutions is prescribed by the Higher Education Act (Act No. 101 of 1997, as amended), and by the individual statutes of universities. Council and Senate are considered the apex structures vital to the well-being of institutions, each with clearly delineated roles and responsibilities.

As reported in Chapters 1 and 3, the higher education sector experienced great volatility during the review period, as a result of the nationwide #FeesMustFall student protests, the impact of which would be felt for years to come. By 2018, several higher education institutions were experiencing considerable challenges; some were under administration. Despite the sector-wide crisis, the institutional context of the University of Pretoria remained stable, although critical decisions had to be taken. This stability was in no small measure due to strong leadership within the University, and at each of the apex governance levels, and the Vice-Chancellor and Principal's close relationship with the Chancellor and the Chair of Council.

Since the early 1990s, good governance has received considerable attention. This was no surprise in post-apartheid South Africa as institutions needed to be rebuilt

and governance structures and processes had to adhere to the values and principles of a new Constitution and young democracy to ensure that transformation would be achieved. For the higher education sector, the work of the National Education Policy Initiative (NEPI), followed by the National Commission on Higher Education (NCHE), laid the groundwork for what was termed 'cooperative governance'.<sup>1</sup>

The University sustained good governance practices through a number of key Council and Senate committees, as well as committees at faculty and departmental levels. Framed by UP 2025 and continuous one- and five-year planning cycles, institutional actions became well-anchored in the University's formal governance structures and processes.

The organogram on the left gives an overview of the governance structures of the University of Pretoria.



<sup>1</sup> See Chapter 1.



The sections in this chapter elaborate on:<sup>2</sup>

- Council, the apex governance structure for oversight and policy approval
- Amendments to the UP Institutional Statute
- Senate, the highest academic governance structure
- Advisory bodies, with a specific focus on the Institutional Forum
- Student governance and representation, with a specific focus on the Student Representative Council (SRC)
- The Executive, responsible for strategic leadership, decision-making and operational management
- The Registrar’s Office, with a focus on, inter alia, governance, compliance, policies, legal services, information governance and the UP Archives.

### The Chancellor

The Chancellor of the University of Pretoria is the titular head of the institution, elected by an electoral college consisting of members of Council, Senate, and the President of the Convocation. The Chancellor is a respected senior public figure with a notable reputation and values aligned with the identity of the University. The role does not involve any executive powers or administrative duties. The term of office is five years. In essence, the Chancellor is the ‘face of the University’ and fulfils key ceremonial functions at graduation and other ceremonial gatherings.

Prof Wiseman (WL) Nkuhlu served as the Chancellor of the University of Pretoria for the duration of the review period, 2009 and 2018. Installed to this position in 2007, he was the first black Chancellor of the University and served the institution most admirably throughout his term, which was renewed twice — in 2012 and again in 2017.

### Chancellor’s Medal

The Chancellor’s Medal is a prestigious award made to individuals who have excelled in areas which are broader than the purely academic, such as the arts, welfare services, industry and innovations. The Council approved 13 Chancellor’s Medal Awards during the period 2009 to 2018.<sup>3</sup>

Prof Nkuhlu is renowned as South Africa’s first qualified black chartered accountant. From 1998 to 2000 Prof Nkuhlu was president of the South African Institute of Chartered Accountants (SAICA). He served as an economic advisor to President Thabo Mbeki’s administration from 2000 to 2004 and chaired the Development Bank of Southern Africa’s transition team from January to May 1995. He was also the first Chair of the Council on Higher Education (CHE) and the president of the Black Management Forum. From 2010 to January 2018 he chaired the multinational investment bank and financial services company, NM Rothschild & Company in South Africa.



## 2 | Council

As the apex governance structure, the UP Council is responsible for ensuring the stability, strategic direction, financial health and a positive public image of the University. Council members collectively and individually, have a fiduciary responsibility towards the University and the public.

### The Chair of Council

The Council elects the Chair of Council from the ranks of its external members. Futhi (NT) Mtoba was appointed as a member of Council in 2007, on the basis of her experience, and expertise. In 2008, she succeeded Prof Esmé (ED) du Plessis as the new Chair of Council, a position she held for the entire review period. She is a chartered accountant who has received several distinguished awards, including the 2008 TuksAlumni Laureate Award, for her impactful work in the field and for her outstanding leadership as a businesswoman. She was the University’s first black Chair of Council, a position she held with distinction.



As Chairperson of the University Council, she was an ex officio member of the Council’s Human Resources Committee, Standing Committee and Investment Committee.

### Membership of Council

Council comprised the following during the review period:

- the Vice-Chancellor and Principal, and Vice-Principals as ex officio members
- not more than five persons, appointed by the Minister
- three members of Senate, elected by Senate
- two employees, elected by the relevant category of UP employees
- two students, elected by the SRC
- six members, appointed on the basis of their expertise and experience
- one member, appointed by the local municipal authority
- four members, elected by the Convocation
- two members, elected by the donors of the University.

Futhi Mtoba started her professional career at WL Nkuhlu & Co in association with Hoek & Wiehelm before joining what was then known as Deloitte & Touche in 1988. She rose up the ranks to become the firm’s first black female partner and, subsequently, chairperson at Deloitte Southern Africa. In due course, she became President of the Association for the Advancement of Black Accountants of Southern Africa. She also served on the Board of the Nelson Mandela Foundation and as Chairperson of the National Anti-Corruption Forum. In 2014, Ms Mtoba, received an honorary doctorate from the University of Limpopo in recognition of her contribution to society and to the accounting profession. She was also appointed to the African Union Foundation, established by the African Union Assembly, which aims to finance African priorities through voluntary contributions.

<sup>2</sup> The text is adapted from extensive notes prepared by Michelle Viljoen, and informed by the UP Institutional Audit Self-Evaluation Report, May 2022.

<sup>3</sup> See Appendix B for the list of the recipients.

In addition to the Chair of Council, the individuals who served as members of the University Council between 2009 and 2018 are listed in Appendix D. With the exception of ex officio members and student representatives on Council, the term of office of Council members is four years.

### Council meetings

In line with statutory requirements, three ordinary Council meetings are held per year, normally in March, June<sup>4</sup> and November. In addition, a strategic Council workshop is held every year to deliberate on matters of strategic importance to the University. In overview, Council is responsible for:

- overseeing and monitoring institutional policy, including admission and language policies
- formulating guidelines relating to strategic and financial governance
- evaluating performance and risk assessment; and
- overseeing matters of staff and student discipline; and fostering a positive academic atmosphere.

During the review period, 2009 to 2018, only one extraordinary meeting of Council was held — on 27 February 2016, when it was necessary to discuss the way forward, following violent protests under the banner of #FeesMustFall. At that meeting, Council approved the establishment of an independent Transformation Panel for multi-stakeholder consultation on transformation issues at the University.

### Assessment of performance

All reports confirm that the Council and its committees functioned well in this review period, with the quorum met for meetings. Processes ran smoothly, and no rules of conduct were transgressed. As mentioned earlier, the successful functioning of UP's Council can, in large part, be attributed to the close working relationship between the Chair and members of Council, the Vice-Chancellor and Principal, and to a well-functioning Office of the Registrar.

Members of Council were well-prepared for their role in UP's institutional governance and oversight. Once elected or appointed to Council, individuals attended an induction session with the Registrar where regulatory documents, including the UP Statute, and information on committees were shared. Members therefore had a clear understanding of the roles and responsibilities of Council, the higher education context in which the University operated, and of

the terms of reference of Council Committees. An annual performance self-assessment of the functioning of Council provided a further opportunity for feedback.

### Special honours

Two Council members were honoured for their business leadership and contribution to South Africa's economic growth in the 2014 Sunday Times Top 100 Companies Awards. Laurie (L) Dippenaar, Chairperson of FirstRand financial group, received the Sunday Times Business Times Lifetime Achiever Award in 2013. Former UP Vice-Chancellor and Principal, and Group Chief Executive Officer of Sanlam, Dr Johan (J) van Zyl, was voted 2014 Sunday Times Business Leader of the Year. In 2017, he was named UP's Agriculturalist of the Century.

### In memoriam

The former Chair of Council for the period 1999 to 2003, Ben (BC) Alberts, passed away in April 2013. He was president of the UP Alumni Association from 1988 to 1992, and member of Council elected by the Convocation in 1988. During his long association with the University of Pretoria he left a meaningful legacy through his national impact on the mining sector and the Department of Mining Engineering, his key role in the rebuilding of Kya Rosa on the Hatfield Campus, his service on the Convocation, the Audit Committee of Council and the University Council, and his personal contributions to the bursary fund for historically disadvantaged and financially needy students.

### Council Committees

In this period, there were five Council Committees, each with a mandate of strategic or financial significance, chaired by individuals with appropriate skills and experience:

- Standing Committee of Council
- Human Resources Committee of Council
- Investment Committee of Council
- Audit and Risk Management Committee of Council (later the Audit, IT and Risk Management Committee of Council)
- Joint Committee of Council.<sup>5</sup>

Council Committees report to Council at each ordinary Council meeting. The Charters and delegations of Council Committees were updated and revised in 2011, 2013 and 2017.

### Standing Committee of Council

The Standing Committee of Council (SCC) serves as the executive committee of Council and may act as the representative of the Council when it is not in session and may assume the authority and act on behalf of the Council in urgent matters. The seven-member Committee was chaired by Dr Piet (BP) Botha from 2010 to May 2018.

### Human Resources Committee of Council

The Human Resources Committee of Council (HRCC), which exclusively comprises external members of Council, regulates all aspects related to appointments, remuneration, conditions of service, and performance of all employees, ensuring effective delegations to the management where applicable, and makes recommendations to Council for approval. The Committee comprised seven members, including the Chair and Deputy Chair of Council (ex officio). Anton (AD) Botha was the Chairperson of the Human Resources Committee of Council in 2009. In 2010 Dr Steve (SF) Booysen was elected as Chair and served in the role until November 2018.

The Senior Appointment Committee (Academic) and the Senior Appointment Committee (Academic Management) support the Human Research Committee in its role.

### Audit and Risk Management Committee

The primary role of the Audit and Risk Management Committee of Council is to ensure that the University's executive leadership continually implement effective internal control systems to minimise material risks and prevent losses, and to ensure that the University acts with integrity with regard to financial transactions and reports. The Committee comprises four external Council members, and meetings are attended by the Vice-Chancellor and Principal, the Executive Director responsible for Finance, and the Director: Finance by standing invitation. Dr Piet Botha chaired the Committee between 2009 and 2017. He was succeeded by Israel (IB) Skosana who was elected to chair the Committee from March 2018. In 2013, the Charter of the Committee was amended and the mandate expanded to include Information Technology (IT) and the Committee became the Audit, IT and Risk Management Committee of Council. Dr Danie (DM) Behr was appointed as an additional member based on his expertise and experience in the field of IT.

### Investment Committee of Council

The Investment Committee of Council is charged with determining the investment policy and strategy and overseeing the investment portfolio of the University. The Chair of Council, Vice-Chancellor and Principal, Executive Director: Finance and the Director: Finance are ex officio members of the Committee. Additional members include Vice-Principals and advisors nominated by the Vice-Chancellor and Principal, at least three external members of Council appointed by the Chair of Council, and at least one competent full-time academic member of staff appointed by the Chair of the Investment Committee. The Chancellor has a standing invitation to attend the meetings of the Committee. Anton (A) Botha served as Chair of the Investment Committee of Council during the review period.

### Joint Committee of Council

Since 2010, and in accordance with regulations, the SCC and HRCC sit together as a Joint Committee of Council to consider the appointment of the Vice-Chancellor and Principal and the Vice-Principals. The JCC interviews candidates and makes recommendations on appointments to the Council.

<sup>4</sup> In 2010 the FIFA Soccer World Cup was hosted in South Africa, and the date of the June Council meeting was moved to August 2010.

<sup>5</sup> The JCC is a joint sitting of the SCC and the JRCC, convened to deal with appointments at executive level (Vice-Chancellor and Vice-Principals).



## Important decisions of Council

There were several standing matters on the agenda of the Council. These included the approval of the annual budget; financial reporting to the DHET; enrolment planning and efficiency targets; Employment Equity Reporting to the Department of Labour; institutional risk analysis and risk treatment plans; and all reports submitted by Council Committees and Senate.

Between 2009 and 2018, a significant number of specific items within the mandate of Council, and which had a lasting impact on the University, were considered. These included, among others:

- In March 2009, the approval of the designation of the post of Senior Vice-Principal to support the Vice-Chancellor and Principal in positioning the University on an international level and focus more on external matters. Council approved that Prof Chris (CR) de Beer be the designated appointee. Over this period, Council also considered and approved the appointment of several members of the Executive (see Section 6 below).
- In 2011, Council approved amendments to the regulations and procedure for the appointment of Vice-Principals, and the appointment of Deans and Deputy Deans. In the same year, Council approved the University's long-term strategic plan, UP 2025; and in subsequent years, consecutive one- and five-year plans.
- In November 2012, Council approved the Campus Master Plan, which became the blueprint for infrastructural development in support of the University's future growth and research strategy. In view of the large capital amounts involved for some of the projects, Council had a particularly important fiduciary responsibility in this regard.<sup>6</sup>
- Council approved changes to the UP Statute in 2010, 2011, 2012, 2016 and 2018.
- Changes to the Constitution for Student Governance became a regular feature on the agenda of Council. The

Constitution for Student Governance, approved in 2010, was replaced in 2014, and amended in 2015 and 2018. Council approved the appointment of Temporary Student Committees (TSCs) for 2010, 2012, 2013 and 2017. A TSC is established as an extraordinary temporary measure in the case where a free and fair election of the SRC cannot be concluded.

- Among the most far-reaching decisions of Council was the review of the University's language policy (2015/2016), resulting in English becoming the primary language of instruction, from 2019. This was a controversial decision and, in the view of some, was a retrogressive step for the University with respect to the multicultural language identity it pursued.<sup>7</sup>
- The reports by the Independent Transformation Panel of Council, led by Justice Johann van der Westhuizen, served before Council in June and November 2016, and informed subsequent decisions of a transformational nature.<sup>7</sup>
- In November 2018, Council approved the amendment of the 2000 policy on the naming of chairs, buildings and other university facilities.
- Linked to the Fallist movement, was the large-scale insourcing of campus services in March 2016, placing the financial sustainability of the University at risk.

## Convocation

In accordance with statutory provisions, Convocation has the role of ensuring that alumni input is obtained in matters affecting the University and it provides the formal link to alumni of the University. It plays an advisory role and was represented on the University Council by elected members. Retired Judge Frikkie (CF) Eloff<sup>8</sup> served as president of the Convocation from October 1994 to 2012. He was succeeded by Leo (LA) Haese<sup>9</sup> in 2012. The position was vacant in 2018.

During this period, a new constitution was drafted for TuksAlumni. The election of a new president of the Convocation was postponed and new institutional rules for



From l to r, first row: Danai Magugumela, Dr Piet Botha, Prof Cheryl de la Rey, Futhi Mtoba, Kuseni Dlamini, Prof Russell Loubser  
second row: Prof Norman Duncan, Prof Stephanie Burton, Neo Lesela, Vuyelwa Qinga, Dr Barbara-Ann Ribeiro, Kedibone Diale, Soraia Machado, Allan Taylor  
third row: Cilliers Brink, Danie Behr, Appie Pienaar, Prof Innocent Pikirayi, Israel Skosana, Kwena Moloto, Prof Themba Mosia, Dr Steve Booysen  
fourth row: Laurie Dippenaar, Dr Johan van Zyl, Prof Caroline Nicholson, Prof Carolina Koornhof, Anton Botha, Prof Sunil Maharaj, Prof Anton Ströh, Prof André Borraine

<sup>6</sup> See [Facilities Management](#) in Chapter 5.

<sup>7</sup> See Chapter 3, [Section 7](#).

<sup>8</sup> Christoffel Frederik 'Frikkie' Eloff SC (31 January 1925–10 December 2017) was a South African judge who served as Judge President of the Transvaal Provincial Division of the Supreme Court of South Africa from 1991 until 1998.

<sup>9</sup> Prominent alumnus, businessman and owner of BMW dealerships in Pretoria, Leo Haese sponsored UP's weekly lunch-hour concerts for 21 years.



the Convocation were approved by Council in November 2018, which were included in the revised Statute.

### Amendments to the UP Statute<sup>10</sup>

Between 2009 and 2018, a number of amendments were made to the University's Statute. In summary:

- The first set of amendments, in 2010/2011, were for reasons of good governance.

Council approved the proposed amendments at its meetings of 17 November 2010, and 16 March 2011 respectively. The latter amendments related to revisions to the constitution of TuksAlumni. The amendments to the UP Statute were submitted to the Minister of Higher Education and Training for approval, and published in *Government Gazette* No. 35195 of 30 March 2012.

- The second set of amendments, in 2016, related to the Convocation.

Council approved the amendment of paragraph 48(7) of Chapter 9 of the Statute relating to the election of Convocation members to serve on Council. The amendments were drafted against the background of an application to the Equality Court flowing from the previous elections in 2012/2013, and the finding that diversity must be achieved in the appointment or election of members of the Convocation to Council. The Minister approved the amendment, which was published in *Government Gazette* No. 40711 of 24 March 2017.

- The third set of amendments, also in 2016, related to the University's new language policy.

In concurrence with Senate, Council approved a new language policy for the University at its meeting of 22 June 2016. In order to give effect to the new language policy, the Minister was requested to approve the deletion of the details on the language policy provided in paragraph 3 of Chapter 2 in the 2012 UP Statute, to indicate that the language policy of the University shall be determined by Council with the concurrence of Senate, as provided for in section 27(2) of the 1997 Higher Education Act (Act No. 101 of 1997, as amended). The Minister approved the amendment, which was published in *Government Gazette* No. 41047 of 18 August 2017.

- Further amendments to the UP Statute were made in light of the Higher Education Amendment Act (Act No. 9 of 2016), which came into effect on 17 January 2017.

In addition to the amendments described above, it was considered necessary to do a full review of the University's Statute to align it with the Higher Education Act (as amended), as well as relevant guidelines, such as the *King IV Report on Corporate Governance for South Africa* (2016). The amendments were approved by Council at its meeting of 27 November 2017 and submitted to the DHET. Following a meeting with the DHET, a number of further amendments were made at the request of the Department. Council approved the further amendments to the Statute at its meeting of 27 June 2018. The amendments were subsequently approved by the Minister and published in *Government Gazette* No. 42127 of 21 December 2018.

<sup>10</sup> The text is adapted from a summary developed by Elzanie Slabbert, Head of the Secretariat.

## 3 | Senate

Senate oversees the University's academic activities and is the apex academic governance structure, in line with the Higher Education Act (Act No. 101 of 1997, as amended), and the UP Statute. Senate is accountable to Council for the way in which the University advances its academic mission. For this reason, regular summary reports and recommendations from Senate serve before Council for consideration. Full agendas and minutes of Senate meetings are available to Council members on request to the Registrar's office.

Chaired by the Vice-Chancellor and Principal, Senate comprises the Vice-Principals, the Registrar, Executive Directors, representatives of Council, Deans, Deputy Deans and academic staff with a similar status, Heads of Academic Departments and academic staff with a similar status, Chairs of Schools, Directors of service departments or divisions whose line function includes academic support, the Chair of the Institutional Forum, student representatives, and academic and non-academic employee representatives.

During the review period, Senate met twice per annum and, in addition, hosted a Senate conference at the beginning of the academic year. In line with Senate's role of providing academic leadership, the conference provides senators an opportunity to examine strategic, current and future-orientated issues which may affect the University and its development.

### Senate responsibilities

There is a clear delineation between the roles and responsibilities of Council and Senate, and that of Senate, the

Senate Executive (Senex) and the Senate Committees. Senate ensures that the University's academic offering is relevant, current and speaks to the needs of the broader South African society.

To fulfil its mandate, Senate must follow due process and consider the recommendations of the respective Faculty Boards and Senate Committees.

### Senate Committees

Senate is supported by the Senate Executive (Senex), Senate Committees and Faculty Boards. Following a review of committee structures and mandates in 2016, the respective terms of reference were redrafted and aligned with best practice. Each committee, chaired by a relevant member of the Executive, has a distinct mandate and reporting line to Senate. Senex considers all matters that need to be taken into account by Senate and makes recommendations to Senate. In addition to Senex, Senate Committees during the review period were:

<b>Senate Committee for Research and Postgraduate Education</b>	The Committee guides the research strategy of the University and is responsible for the support and monitoring of all UP research and related activities.
<b>Senate Committee for Research Ethics and Integrity</b>	The Committee is responsible for a comprehensive policy on research ethics and integrity for the University, in accordance with the statutory requirements and best practices for research ethics and integrity.
<b>Senate Committee for Teaching and Learning</b>	The Committee is responsible for all matters pertaining to curriculum development and delivery.
<b>Senate Central Admissions Committee.</b>	The Committee oversees and coordinates undergraduate and postgraduate enrolment and monitors enrolment plans and admission policies.
<b>Senate Review Committee on Readmissions</b>	The Committee considers the possible readmission of students who have been excluded mainly because they failed to comply with institutional or faculty-specific regulations and requirements for progress. The Committee was reconstituted in 2013 to provide for effective student representation. In 2015, guidelines were updated.
<b>Senate Committee for Student Life and Student Services</b>	The Committee aims to ensure strategic alignment between faculties and support services with respect to holistic student life both in and outside the formal classroom environment.
<b>Academic Planning Committee</b>	The Committee provides an academic forum for discussion of key academic planning and development matters in order to provide the necessary background material for informed deliberation within Senex and Senate. It plays a key role in quality assurance, monitoring review schedules, self-evaluation reports, panel recommendations and improvement plans.
<b>Faculty Boards</b>	The Faculty Boards of the nine UP faculties and the Gordon Institute of Business Science (GIBS), are chaired by the Vice-Principal: Academic. They advise Senate on academic matters and are regulated by the Institutional Rules of the University.
<b>Senate Selection Committee for Honorary Degrees</b>	The Committee is responsible for considering proposals from the faculty executives regarding the conferral of honorary degrees, and considers candidates for the award of the Chancellor's Medal.
<b>Inter-Faculty Academic Committee — Mamelodi Campus</b>	The Committee is responsible for all academic matters of the UP Mamelodi Campus, and for cross-cutting coordination between UP faculties, activities on the Mamelodi Campus and the Mamelodi community.
<b>Senate Timetable Committee</b>	As indicated in the name, this Committee is responsible for the timetable of the University's academic programmes and activities.

### New and amended policies

By their very nature, institutional and academic policies are time- and context-appropriate and therefore need continually to be reviewed and updated. Academic policies are developed by stakeholder groups within the University and referred to faculty boards for discussion and feedback. They are then considered by the Academic Planning Committee (APC) and Senex before approval by the Senate.

Among the approximately 300 institutional policies, the list below shows some of the main policies approved by Senate in the review period.<sup>11</sup>

#### Some of the policies in this period

- Plagiarism prevention policy (2009) [S4726/09]
- Contract research and consulting policy (2010) [S4442/09]
- Intellectual property rights policy (2010) [Rt181/09]
- Education technology policy (2010) [S4485/11]
- Policy on joint degrees at master's and doctoral levels (2010) [S4444/11]
- Policy on teaching evaluation (2012) [S4451/13]
- Community engagement policy (2012) [S4559/12]
- Code of ethics for scholarly activities (2012) [S4755/12]
- Web policy (2014) [Rt291/14]
- Social media policy (2014) [Rt38/14]
- Policy on inaugural addresses (2015) [S4633/15]
- Integrated risk management policy (2015) [Rt40/15]
- Whistle-blowers policy (2015) [Rt377/15]
- Policy on teaching and learning (2016) [S4463/16]
- Policy on academic professional development: teaching and learning (2016) [S4671/16]
- Guidelines on curriculum design, development and implementation (2017) [S4691/17]
- Research data management policy (2017) [S4417/17]
- Revised regulation for honorary degrees (amended, 2017) [R27/17]
- Revised language policy (2017) [R31/16], [R56/17]
- Anti-discrimination policy and manual (2018) [R34/19].

<sup>11</sup> See <https://www.up.ac.za/article/2754069/up-policies-and-other-important-documents>



## 4 | Institutional Forum<sup>12</sup>

The Institutional Forum (IF) is constituted in terms of the Higher Education Act (Act No. 101 of 1997) and the Statute of the University. The IF is a representative advisory body, which advises Council on, inter alia, the implementation of the Higher Education Act and national policies on higher education; policy relating to racial and gender equity; selection of candidates for senior management positions; codes of conduct; mediation and dispute resolution procedures; policy for the promotion of a culture of tolerance and respect for fundamental human rights as well as a positive academic climate; and the management of diversity on the University campuses.

In the period under review, the IF comprised two representatives each of the Executive, Council and Senate; a representative from the ranks of each of the unions and employee organisations; one member nominated by TuksAlumni; one disabled person (either a staff member or a student) who is appointed by Council; ten members of the Student Representative Council who were appointed in accordance with the nomination procedure of the SRC; and one to two members elected within the discretion of the University Council on the basis of their expertise and experience, or to represent a stakeholder group that is not already represented on the Forum.

In 2009, three unions were represented on the IF, namely the University of Pretoria Workers' Organisation (UPWO), the University of Pretoria Staff Association (UPSA), and the National Education, Health and Allied Workers' Union (NEHAWU). From 2010, only UPWO and NEHAWU were represented and, in October 2018, the Academic and Professional Staff Association of the Universities of South Africa (APSA) took a seat on the IF.

Members representing a variety of expertise were appointed by the University Council to serve on the IF over the course of the review period. These included the Dean of Students,<sup>13</sup> Prof McGlory (MG) Speckman; staff members with disabilities, Simon (SW) Mahlangu and André (A) Kleynhans; and a member of Senate appointed for a second term, Prof Jean (JMS) Lubuma. In 2013, no-one was nominated to serve on the IF in the discretionary category. The list of IF members during the review period is given in Appendix F.

In terms of the Statute, the IF also elected an Executive Committee, which consisted of the Chairperson and Deputy Chairperson of the Forum and three other members, two of

which had to be students. While members of the Forum were duly elected to the IF Executive Committee every year, this Committee seldom met separately from the larger Forum.

Over the review period, an average of three or four ordinary meetings of the IF were scheduled to take place each year, with extraordinary meetings scheduled from time to time. Extraordinary meetings were mainly held to enable the IF to fulfil its statutory mandate to advise the University Council on candidates shortlisted for senior management positions. According to regulation, the Forum voted and did not discuss the candidates. The vote, which took place by way of a secret ballot, was a yeas or nays in respect of whether the candidate was 'suitable for appointment'. The University Council was not bound to accept the advice of the IF in respect of senior appointments. During this review period, members increasingly agitated for the opportunity to discuss candidates shortlisted for Executive positions rather than to merely vote on the suitability for appointment of the candidates.

At the ordinary meetings of the Forum, documents of a strategic nature and topics identified by the Forum were discussed. The documents on which the Forum advised included:

- The University's draft new strategic plan, UP 2025 (2011)
- Policy and Procedure for Staff with Disabilities (2012)
- Code of Conduct for Council Members (2013)
- Code of Conduct Applicable to Personal Relationships between Employees and Students (2014)
- UP Transformation Implementation Plan (2017)
- UP Language Policy (2017).

The topics and annual themes identified by the Forum were linked to its mandate, meaning that they generally had a transformation focus. For each topic, a convener was nominated from within the ranks of the Forum. The convener drew up a discussion document and one or more working group meetings were scheduled. Unfortunately, in most cases such working group meetings were poorly attended. The working group meetings were followed by a discussion by the Forum as a whole. Where appropriate, issues raised during these discussions were brought to the attention of the relevant line managers within the University or were forwarded to the Executive Committee or the University Council by the Chairperson. Some themes were addressed only by way of an information sharing session or presentation to the IF.

Examples of topics or themes identified by the Forum during the review period were:

- The University's language policy
- Creating a positive academic climate at the University
- Affordability, including food prices in residences
- International students (undergraduate and postgraduate) and general problems experienced
- Diversity and transformation, including progress made in respect of the UP Journey for Change<sup>14</sup>
- The implications of the *White Paper for Post-school Education and Training* (2013)
- Student and staff health and wellness, including the University's support to victims of gender-based violence
- In 2015, following several meetings on the topic, the IF prepared a proposal on appointing a University ombud for dealing with disputes. After extensive research and consideration, the proposal was, however, not implemented by the University
- In 2018, the IF had a discussion with the Vice-Principal: Student Affairs, the Dean of the Faculty of Veterinary Science and the Director and other staff members of the

Department of Residence Affairs and Accommodation to address concerns regarding transformation at the Onderstepoort Campus, in particular in as far as the residences were concerned.

In the broader South African university context, institutional forums remained a contested space, with these forums being dysfunctional, or worse, disruptive, at a number of universities. During 2008, the DHET commissioned The Growth Laboratory to conduct a national review of institutional forums. The report, which was completed in September 2008, was circulated to members of the University's IF. When the Higher Education Act (Act No. 101 of 1997) was subsequently amended, the IF was retained, and a requirement for Councils to provide written responses to advice received from the IF was included.

Within the UP IF, the role and mandate of the Forum was a perennial topic for discussion. As a rule, at the first meeting of the year, the IF considered its mandate as set out in the University Statute. In 2015, the Forum furthermore received feedback on a meeting held with IF chairpersons by the DHET, and the decision that a workshop would be held to consider the mandate of the IF and an appropriate agenda for discussion. However, due to the disruption caused by the #FeesMustFall campaign towards the end of the year, among other things, it was decided to postpone the workshop to 2016. At the workshop, which was held in April 2016, a representative of the DHET, Dr Philia (PR) Vukeya, addressed the meeting on the Department's expectations of institutional forums.

The sectoral focus on institutional forums was taken further in 2017 by Prof Yunus (Y) Ballim, who prepared a set of general guidelines for institutional forums and suggested the creation of a Community of Practice Forum of Institutional Forum Chairpersons. In 2018, the DHET hosted a further meeting with IF Chairs and Registrars on the role of the IF. Discussions at the UP IF focused on the Forum's role in respect of the cross-cutting issues of transformation, especially vis-a-vis the role of the Transformation Office and the Institutional Transformation Committee.

<sup>12</sup> Text prepared by Dr Desirée Tesner-Smith, Executive Operations Manager, UP Executive.

<sup>13</sup> This position changed to an executive portfolio with the appointment of Prof Themba Mosia as Vice-Principal: Students in 2013.

<sup>14</sup> See Section 7, Chapter 3.



## 5 | Student governance

The Student Representative Council (SRC) is the highest student governance structure and represents the students of UP in all aspects of student life. In accordance with the UP Statute, the SRC has formal representation on the University's Council, Senate, Senate committees, and the Institutional Forum. In the period between 2009 and 2018, Council considered and approved several amendments to the Constitution for Student Governance<sup>15</sup> and the appointment and composition of a Temporary Student Committee (TSC).

### Summary of elections

In September 2009, the SRC elections were disrupted by student political structures demanding that elections be run along party political lines rather than constituencies. The existing model provided for student representation from each of the nine faculties, with proportional representation based on the size of the faculty, as well as 20 members elected from the residences, day houses and service providers. The demand by student political structures resulted in a failure to constitute an SRC for 2010. A transitional year for student governance was 2010, with a temporary structure fulfilling the role of the SRC while a new constitution for student governance was negotiated. Once Council had approved the new constitution, a new SRC for 2011 could be elected. They took office in October 2010.

The new model for student governance provided for a two-tier constituency-based dispensation. The larger tier comprised the Student Assembly, with democratically elected members from whose ranks the smaller top tier of the SRC was elected. The constituencies consisted of the nine faculties, five student service providers<sup>16</sup> (later renamed key committees), residences, day houses and the Mamelodi Campus. In this model, portfolios were identified and allocated after the elections were concluded and the SRC was constituted.

Due to irregularities during the 2011 elections of the SRC for 2012, the election in seven of the constituencies was declared not free and fair, and a re-election had to be scheduled for early in 2012. Again, a TSC appointed by Council had to take charge of the day-to-day administration of student governance at the start of 2012 until a democratically elected SRC could take office. This SRC was involved in a further review of the constitution and the adoption of yet another model for student governance. This model provided for the election of 12 predetermined portfolios and seven ex officio members. Although student societies could no longer contest

in the elections, candidates, running as individuals, were permitted to declare their affiliations. The new model reduced the undue influence of external political parties in UP SRC elections and restored the focus on student leadership.

In spite of the extensive involvement of students in the development of the new model, controversies and objections still plagued the election processes in 2012. The elections for the 2013 SRC were suspended and a TSC had to be appointed yet again. Finally, the processes for electing the SRCs for 2014 and 2015 went smoothly, resulting in the constitution of a full SRC. The same was true for the SRC election for 2016, with the exception of the President and Deputy President. After due consideration, the University Council approved that the SRC could carry the two vacancies for the duration of their term, with an appropriate delegation of duties, as was required.

The election of the SRC for 2017 was scheduled for the period when the #FeesMustFall student protests had destabilised universities. No elections could be held and a TSC was appointed by Council. Fortunately, the next round of elections at the end of 2017, ensured the election of a full 19-member SRC for 2018. They served an extended term, commencing on 11 September 2017 until 31 December 2018.

One of the most significant achievements in student governance during this period was the switch to electronic voting. While the online voting system had been under development for several years, it was finally implemented with great success in 2017 and reflected increased voter participation.

Until 2012, all documentation for meetings of and with the SRC was made available in both English and Afrikaans. From 2013 onwards, English became the only medium of communication for the SRC.

Details of the membership and portfolios appear in Appendix G.



### Highlights of engagement

During their respective terms, the SRC or TSC made meaningful contributions to student life and the University. To illustrate, SRC/TSC input and recommendations on institutional policies and senior appointments were valuable, as was their input on the code of conduct for students. Other substantive matters on the agenda of the SRC between 2009 and 2018 included:

- The functioning of student structures such as day houses and societies.
- Residence matters, including placement, food, club houses and the need for additional and alternative student accommodation.
- Academic matters focused on the orientation of first-year students, internet access, plagiarism and exam fraud, extended library hours, the installation of clocks in exam and test venues and more.
- Campus-specific challenges facing students.

The SRC was involved in the preparation of the institutional culture survey of 2010/2011; student-led community engagement; the establishment of the Advisory Panel for Student Discipline (approved in 2012); the development of the University's long-term plan, UP 2025; the national Moral

Regeneration Movement; and naturally, in student protest action, #UPrising and the Fallist movement. The SRC was consulted on matters of transformation;<sup>17</sup> the move from Tukkiewerf and the Student Affairs Building;<sup>18</sup> annual student fee adjustments, payment schedules and financial aid;<sup>19</sup> and further student life issues, including student parking, inter-campus bus transport, student entrepreneurship, safety and security, religious practices in a secular environment, and the insourcing of contracted service staff, one of the consequences of the Fallist movement. The SRC, as the apex student governance structure, was also responsible for overseeing the student life<sup>20</sup> programme, including culture, sport and RAG. The programmes and activities underwent significant changes, driven by students.

The UP Executive maintained a practice of regular formal interaction with the SRC and other student structures, and the SRC was consulted on all salient matters pertaining to the student body. The Executive also ensured that members of the SRC received training and development opportunities to empower them for their role in student governance and beyond. In 2012, the University introduced formal mentorship programmes for members of the SRC, and since 2013, formal meetings chaired by the Vice-Principal: Student Life, Prof Mosia, took place, sometimes weekly. Important information was shared, key issues discussed, and a relationship of mutual trust fostered.

<sup>17</sup> SRC representatives were actively involved in transformation processes and platforms, including the Transformation Lekgotlas held in March and May 2016 and the workstreams flowing from these events.

<sup>18</sup> In 2009 staff of the Department of Student Affairs and student leaders were spread between the Student Affairs Building (the historical site of College residence), Tukkiewerf and the Student Health Services Clinic. The Department was relocated, with the management team and SRC being moved to Roosmaryn, the historic building that used to house Laerskool Pretoria-Oos, and other staff and structures moving to the properties around Roosmaryn.

<sup>19</sup> In 2012 the SRC established the SRC Aid Fund and approved that 0,5% of the SRC budget be contributed to the fund every year to assist destitute students with bridging funding for registration and textbooks at the beginning of each academic semester.

<sup>20</sup> The SRC was also a key participant in the Student Life Lekgotla held from 31 July to 1 August 2015, from which a new vision for student life was developed.

<sup>15</sup> The Constitution for Student Governance, which was approved in 2010, was replaced in June 2014 and amended in 2015 and 2018.

<sup>16</sup> Tuks RAG, Student Culture (STUKU), Student Sport Committee, *Perdeby* (later renamed PDBY) and Tuks FM.



## 6 | UP Executive and senior management

The University's Executive is responsible for strategic leadership and decision-making in the best interest of the institution. Their powers and duties are conferred by the University Council, the UP Statute and Institutional Rules. Portfolios are adjusted from time to time, at the discretion of the Vice-Chancellor and Principal, with the accompanying amendments to line responsibilities, where required.

The Vice-Principals, Executive Directors and Registrar are responsible for assisting the Vice-Chancellor and Principal in the strategic leadership, decision-making and operational management of the University. Given that executive and senior academic management positions are term appointments, it is to be expected that there would be a measure of flux. The period 2009 to 2018 saw several changes in the Executive team, portfolio allocation, the support team and in the senior management structure.

### The Vice-Chancellor and Principal

This volume in the *Ad Destinatum* series starts with the appointment of Prof Cheryl de la Rey in November 2009 as the 12th Vice-Chancellor and Principal of the University of Pretoria. She succeeded Prof Calie (CWI) Pistorius who had served in this leadership position from August 2001 to June 2009. Prof Chris (CR) de Beer, Senior Vice-Principal, served as Acting Vice-Chancellor and Principal for the period 1 July 2009 to 31 October 2009.

The Vice-Chancellor and Principal of the University is its chief executive and accounting officer, responsible for the management and administration of the institution. The appointment is for a five-year period, subject to possible renewal for a further term, at the discretion of Council. The Vice-Chancellor and Principal reports to Council and is supported by the senior leadership of the University — the Vice-Principals, Executive Directors and the Registrar.

Prof De la Rey was appointed for a second term in March 2014. In 2018, after nine years at the helm of UP, she resigned to take up a new role as Vice-Chancellor of New Zealand's University of Canterbury, from 1 January 2019. In November 2018, the Council approved the appointment of Prof Tawana (T) Kupe as Vice-Chancellor and Principal to succeed Prof De la Rey, with effect from 1 January 2019.



The appointment of Prof De la Rey marked an important point in the history of the University of Pretoria. She was both the first female and the first black Vice-Chancellor and Principal of the University. During her tenure, Prof De la Rey led the collective efforts to enhance the University's academic stature, improve its international rankings and attain its transformation goals. The University's long-term strategy, UP 2025, framed this era in the history of the University and shaped an identity that found expression as a research-intensive institution in Africa.

<sup>21</sup> At the time that Prof De la Rey assumed duties as Vice-Chancellor and Principal in November 2009, Mr Nel (Executive Director: Finance) resigned to pursue a career in the private sector.

### The Executive team

At the start of Prof De la Rey's tenure, the Executive team comprised of:

- Senior Vice-Principal Prof Chris (CR) de Beer; Vice-Principals Prof Ramaranka (RA) Mogotlane, Prof Robin (RM) Crewe and Prof Nthabiseng (NA) Ogude; Executive Directors Prof Antony (AP) Melck, Prof Antonie (AM) de Klerk and Johan (JS) Nel<sup>21</sup>; Advisor to the Principal, Prof Sibusiso (S) Vil-Nkomo; and the Registrar, Prof Niek (NJ) Grové.

In the years following the appointment of Prof De la Rey, changes took place in the composition and portfolio allocation of the Executive team. By the end of her tenure, in December 2018, the Executive team comprised of:

- Vice-Principals Prof Stephanie (SGB) Burton, Prof Norman (NTF) Duncan, Prof Themba (NT) Mosia and Prof Anton (A) Ströh; Executive Director, Prof Carolina (C) Koornhof; and the Registrar Prof Caroline (CMA) Nicholson.

As noted above, the Joint Committee of Council makes recommendations to Council with respect to appointment to executive portfolios. The list below provides a summary of the vacancies, appointments and reappointments during the period 2009 to 2018:

- In 2010, two Vice-Principal positions were advertised. In 2011, Prof Carolina Koornhof was appointed as Executive Director: Finance and Business Activities; and Prof Stephanie Burton as Vice-Principal: Research and Postgraduate Studies. Prof Antonie de Klerk was appointed for a second term as Executive Director: Infrastructure and Sport.
- In 2012, there were two vacancies in the Executive team and the Joint Committee met twice to consider the filling of these vacancies. Only one position was filled. Patience (TP) Mushungwa was appointed as Executive Director: Human Capital and Transformation.
- In 2013, the Joint Committee of Council met on three different occasions to consider the reappointment of Prof De la Rey for a second term; and the appointments of Prof Tyrone (TB) Pretorius as Vice-Principal: Academic, and Prof Themba Mosia as Vice-Principal: Student Affairs.
- The Committee met twice in 2014 to consider the appointment of Prof Norman Duncan as Vice-Principal: Academic and Prof Anton Ströh as Vice-Principal: Institutional Planning; and once in 2015, for the reappointment of Prof Burton and Prof Koornhof. No meetings were held in 2016.

- In 2017, the Committee approved the appointment of Prof Caroline Nicholson as Registrar with effect from January 2018.
- In 2018, the applications received for the position of a new Vice-Chancellor and Principal, as successor to Prof De la Rey, were considered.

A summary of the Executive team, their portfolios and the support staff in the respective offices is presented in [Appendix E](#). In addition to the core staff, several individuals were appointed for short periods to assist the Executive and the Vice-Chancellor and Principal with specific projects. These appointments are also summarised in Appendix E.

There are many areas in which the University of Pretoria, through its senior leaders and Executive team, contributed to strengthening institutional capacity, and to South Africa's development. Firstly, and as was to be expected, members of the Executive team contributed in many ways to strengthening the South African higher education system, linked to their specific fields of expertise. Over time, the University, through its Executive and the Registrar's Office, also provided critical input on draft policies and documents. In addition, members served in their individual capacity, or on behalf of the University, on various external structures, either linked to the higher education sector or more broadly within national, regional or international institutions. This brought visibility to the University and contributed to strengthening the University's academic identity as a university in and of Africa.

Secondly, and in recognition of the calibre of the senior UP leadership, there were also instances where individual members of the Executive team were seconded, at the behest of the Minister of Higher Education and Training, the DHET or the Presidency. In such periods, understandably, Executive portfolios needed to be adjusted. Two instances illustrate:

- In April 2011, Prof De Beer was seconded to the University of Zululand as the institution's full-time Administrator. The secondment was subsequently extended to October 2013, given the enormity of the task in rescuing the institution from a governance, systems and financial disaster. In 2014, the DHET requested a further secondment of Prof De Beer to work on a number of high-level projects, including the establishment of two new universities, and the interim principalship of the Sefako Makgatho Health Sciences University. In tandem, he continued to assist the UP Executive with internal UP projects until his retirement from the University in July 2014.





The Executive 2014-2017: Profs Niek Grové, Stephanie Burton, Antonie de Klerk, Temba Mosia, Cheryl de la Rey, Carolina Koornhof, Norman Duncan, Ms Patience Mushungu, Prof Anton Ströh

- In January 2016, Prof Mosia was seconded to the Presidential Commission of Inquiry into Higher Education and Training, a commission established by the then president of South Africa, Jacob Zuma, at the height of the #FeesMustFall student protests. The mandate included, among several higher education issues, to investigate the feasibility of fee-free education for poor and working-class students, and to make recommendations related to relevant funding model(s) for higher education. Led by Justice Jonathan (JA) Heher, the commission submitted its report to the president in August 2017. The report was released to the public on 17 November 2017.<sup>22</sup>

Counter to the recommendations of the Heher Commission, on 16 December 2017, the president announced that students from working-class and poor households would receive a full NSFAS bursary to cover the cost of their studies, as from the beginning of 2018.

A third area of exceptional contribution on the part of the UP Executive team related to fundraising, with many examples over this period that strengthened the University's third-stream income, infrastructure development, research and collaboration. One instance serves as an illustration: before

his retirement at the end of 2013, Prof Melck negotiated a donation of R50 million from the Javett Family Charitable Trust towards the establishment and construction of a new Javett-UP Art Centre, and R25 million operating capital for the first ten years, as well as a permanent loan of artworks estimated at R45 million, to assist the University in its mission of furthering the arts in South Africa. The construction of the Javett-UP Art Centre at UP on the University's South Campus in Hatfield commenced in 2016, with the Centre officially opened in September 2019. A gallery bridge spanning Lynnwood Road connects the Javett-UP with the Arts Square and student gallery at the south end of Tukkielaan on the Hatfield Campus.

### Operational governance

The UP Executive is supported by several committees which are summarised below. Deans and Directors make up the senior management of the institution and play a central role in the University's 'nested' approach to planning, and in strategic and operational management.<sup>23</sup>

In brief follows a summary of the structures that assist the Executive and the senior leadership in their institutional roles and responsibilities:

<sup>22</sup> The Presidency. August 2017. *Commission of Inquiry into Higher Education and Training*.

<sup>23</sup> See Chapters 4 and 5 for detail on faculties, academic and service departments, and research entities.

<b>Directors' Management Committee</b>	The Committee, chaired by Prof Koornhof (Executive Director: Finance), comprised the Directors of the support and professional departments. <sup>24</sup> With a schedule of fortnightly meetings, the primary purpose in the review period was to create a platform where cross-cutting professional service-related matters could be considered, for recommendation to the Executive and/or for implementation.
<b>Deans' Committee</b>	The Committee, chaired by Prof Duncan (Vice-Principal: Academic), and comprising Deans of faculties, provided a monthly platform to debate academic, operational and strategic matters. The Committee served as one of the conduits between the Executive and faculties, facilitating inter- and transdisciplinary initiatives and coordinating the submission of cross-cutting proposals to the Executive.
<b>Planning and Budget Committee<sup>25</sup></b>	The Committee, chaired by Prof Chris de Beer, was responsible for the integration of planning and resourcing and dates back to 2005. It was renamed the Resource Allocation Committee in 2009, and again renamed the Planning and Budget Committee in 2013. Prof Pretorius (Vice-Principal: Academic) chaired the Committee in 2013, and from 2014, Prof Ströh (Vice-Principal: Institutional Planning). The primary responsibility was to ensure that resourcing was sustainable and aligned with strategic priorities.
<b>Committee for Financial Aid and Bursaries</b>	The Committee was responsible for the development and implementation of financial aid policies, and advised the Executive on financial aid strategy.
<b>Institutional Transformation Committee</b>	The Committee championed diversity, equity and respect for human rights across the institution, and promoted inclusivity and a culture of dignity and rights.
<b>Operational Risk Management Committee</b>	The Committee was established in 2017, following campus closures during the student protests in 2015/2016. The role of the Committee, comprising members of the Executive and Directors in key departments, was to analyse, mitigate and manage operational risk arising from crisis incidents or disruptions, and to oversee the implementation of the University's business continuity plans.
<b>Strategic Risk Management Committee</b>	The Committee was responsible for assessing the impact and likelihood of strategic and operational risks of the University, against predetermined parameters. It recommends strategies and treatment plans to mitigate risks for approval by the Executive.
<b>Student Affairs and Residences and Accommodation Operations Management Committee</b>	The Committee was responsible for budget allocation and control of residence infrastructure, refurbishments and maintenance, food services, leased accommodation, the SRC and its sub-structure budgets, and operational units of the Department of Student Affairs (DSA).
<b>Facilities Advisory Committee</b>	The Committee was mandated to advise and make recommendations on matters within the scope of responsibilities of the Department of Facilities Management, and to act as the de facto tender committee of UP for projects that exceed the delegation of the Director: Facilities Management.

<sup>24</sup> See Chapter 5.

<sup>25</sup> The Planning and Budget Committee was replaced by the Strategic Planning and Allocation of Resources Committee (SPARC) in 2020.



## 7 | Office of the Registrar

There were two Registrars in this review period: Prof Grové served as Registrar for 18 years until 2017 when he returned to full-time academia in the Faculty of Law. Prof Caroline (CMA) Nicholson was his successor, appointed with effect from 1 January 2018.

The Registrar is the secretary of Council, the Standing Committee of Council, Senate and Senex. Accordingly, the Registrar must oversee the nomination and election of various categories of Council members, including employees, donors and members appointed on the basis of their expertise. The Registrar also oversees the election of members of Senate and the Institutional Forum. The duties of the Registrar are prescribed by the UP Statute and, from August 2013, include the role of the Deputy Information Officer of the University responsible for information governance.

In the review period, the Registrar's portfolio included oversight of Academic Administration and the Client Service Centre (which merged and became the Department of Enrolment and Student Administration (DESA)),<sup>26</sup> information governance, legal services, student discipline, UP Archives,

the Secretariat, the Hatfield City Improvement District (CID), as well as Security Services.<sup>27</sup> Three foci that formed part of the portfolio of the Registrar are singled out here for brief description: legal services, information governance, and UP Archives.

### Legal services

The Division of Legal Services at UP was headed by Elize (E) Gardiner and supported by Jacques (J) Ferreira and his team of CLS Consulting Services (Pty) Ltd (the company later changed its name to Inlexso (Pty) Ltd.). Ms Gardiner was supported by Jeanette (J) Kruger and, following Ms Kruger's resignation, by Ronél (R) Jordaan. In addition to the focus on student matters, the division also provided wide-ranging support to academic and professional/support services departments and staff.



Profs Grové and De la Rey with two previous UP Vice-Chancellors, Prof Johan van Zyl (l) and Prof Flip Smit (r)

<sup>26</sup> See Chapter 5.

<sup>27</sup> See Appendix E for further detail, and the department texts in Chapter 5.



l to r: Janine Esterhuizen, Elzanie Slabbert, Prof Niek Grové, Linda Pelser, Elana van Vreden and Shirley Motea

Mr Ferreira was supported by Ruaan (R) Pelser and Cyprian (C) Khumalo, with additional support from a 'back office' that consisted of experts in Labour Law, Environmental Law, Corporate and Commercial Law, Property Law, Governance and Compliance, etcetera. A number of graduate law students were offered internships on an annual basis to gain valuable experience.

In addition to the work of the Legal Services Division, the Department of Research and Innovation (reporting to the Vice-Principal: Research, Innovation and Postgraduate Education), attended to all research- and intellectual property-related legal work. Adv Lawrence (L) Baloyi headed this division. The Legal Collections Division in the Department of Finance attended to all student debt collection matters. Sarah-Lee (SL) Engelbrecht was the Head of this division and reported to the Deputy Director: Finance.

There were several matters that involved UP's Legal Services, for example:

- Amendments to the UP Statute and the University's new language policy, the latter resulting in court cases.
- The restructuring of the Convocation and Alumni entities, and the drafting of the institutional rules underpinning the Convocation structures and the proposed Alumni Advisory Board Constitution, subsequently approved by Council in November 2018.

- UP's registration as a credit provider in terms of the National Credit Act (Act No. 34 of 2005), in this period.
- A number of large-scale projects related to establishing inter- and transdisciplinary research platforms; e.g., the National Exotic Leather Cluster; TuksNovation NPC; the Sport, Exercise Medicine and Lifestyle Institute (SEMLI); and the development of Future Africa, Engineering 4.0 and the Javett-UP Arts Centre.

A number of sport-related developments in this review period, also involved Legal Services. These included:

- The incorporation of TS Soccer as a Campus company.
- The sponsorship of the Athletic Foundation Trust of the new high-performance school, the TuksSport High School, and bursaries for students.
- The legal contracts linked to the Varsity Cup competition.
- The agreement with Cricket South Africa for the construction of their high-performance centre on the Hillcrest Campus.
- The hosting of the Argentinian National Soccer team at the High Performance Centre (hpc) during the 2010 Soccer World Cup.

Related to staff and students, the #FeesMustFall and #InsourcingMustFall campaigns gave rise to numerous



court cases and disciplinary matters which involved Legal Services, and a new organised labour union, the Academic and Professional Staff Association of the Universities of South Africa (APSA), was recognised.

There was also a wide range of collaborative agreements, which included:

- The MOU with the City of Tshwane (CoT), and the conclusion of a land-swap agreement with respect to the Hammanskraal Campus and the Maritimo property.
- Negotiations undertaken with SANRAL related to the Gautrain development and the expropriation of property.
- The purchase of Erf 19 in Illovo, Johannesburg to expand the GIBS Campus, and the Nedhill property in Hillcrest to accommodate Enterprises University of Pretoria (Pty) Ltd. Varsity Lodge, Hatfield was also purchased as a student residence.
- Collaboration with the MasterCard Foundation resulted in a large number of student bursaries.
- The conclusion of a Tripartite Heritage Agreement between UP, SANParks and the South African Heritage Resources Agency (SAHRA).
- The conclusion of a bilateral agreement with the National Health Laboratory Service (NHLS) and an MOU with the South African Veterinary Council.

### Information governance<sup>28</sup>

In 2009, the need was identified for an institution-wide strategy for the management of institutional information. In a research-intensive institution, information (and data) are strategic resources. The complexity of institutional information in its many manifestations, combined with requirements regarding the protection and regulation of information, present governance, risk and compliance challenges. Following a workshop and a series of discussions, a proposal was submitted to the Executive for the development of a strategy and plan. One of the main recommendations was that there should be a broad-based information governance structure to direct and manage the various information-driven processes throughout the University.<sup>29</sup>

In 2010, an information management project was initiated at the University with the aim of taking forward the planned outcomes discussed in 2009. In 2011 and 2012, proposals concerning an overarching structure for the Quality Unit, a Unit for Information Governance, and an expanded version of the Language Unit (previously located in Academic Administration) were submitted to the Executive for consideration. While the specifics were not agreed to, the detailed work undertaken paved the way for informed decisions with respect to information governance, going forward.

At its meeting of 6 August 2013 (Rt 275/13), the Executive designated the Registrar as the Deputy Chief Information Officer of the University, responsible for the management of information as a strategic business asset, and for implementing an information management framework. Subsequently, in March 2014, the Vice-Chancellor and Principal approved the transfer of Janine (J) Esterhuizen (with post) from the Department of Human Resources to the Office of the Registrar to manage the information governance portfolio. On 16 May 2014, the Executive approved the Information and Data Governance Framework Policy, supported by an information governance matrix.

Initially the focus was on developing an institutional strategy for information governance and the required policies and procedures. The next step required a more collaborative approach to enable the coordination of related functions. With changes in legislation, internal structures and operational requirements, the initial information governance approach and policy had to be revised and aligned with the overall risk management and institutional compliance strategies identified. Following an information governance status report<sup>30</sup> to the Executive in November 2017, and the appointment of Prof Caroline Nicholson as Registrar on 1 January 2018, a project to develop a coordinated Information Governance and Privacy Protection (iGaPP) programme was approved by the Executive on 7 August 2018. Implementation of the iGaPP programme would roll out over a three-year period, starting in 2019.

The main driver for implementing the iGaPP programme was compliance with information-related legislation, including the Protection of Personal Information Act (POPIA) (Act No. 4 of 2013) and the European Union's General Data

Protection Regulation (GDPR). The iGaPP programme would bring together relevant policies, procedures, structures and controls to ensure that institutional information is managed in accordance with immediate and future regulatory, legal, risk and operational requirements.

### UP Archives

The period between 2009 and 2018 was one of growth and development for UP Archives in respect of staff, collections, facilities and activities. Following the consolidation of its position within the University in the previous review period, UP Archives was able to expand the scope of its collection, preservation and accessioning of records as well as its research support. It also saw an increase in use by UP staff and students in teaching and research, and by researchers external to the University.

Prof Karen (KL) Harris remained Director of UP Archives, a position which she had held since 1999. This was in addition to her position as full professor and later Head of the Department of Historical and Heritage Studies. Dr Ria (R) van der Merwe remained in the position of full-time assistant archivist, with the second assistant archivist position held by Bronwyn (BL) Strydom until the end of 2010. Ms Strydom was replaced by Alida (A) Green in 2011, first in a part-time capacity and since 2017, in a full-time position. UP Archives also employed administrative and student assistants in various capacities in part-time positions until the creation of two permanent full-time assistant archivist positions. From 2017, Sian (S) Pretorius and Tiffaney (T) da Gama were appointed, and a further administrative assistant, Coenie (C) Potgieter, was appointed from the end of 2015 until 2018. As a legally compliant institution within the University, UP Archives continued to report to the Registrar, Prof Grové, until 2017, and to Prof Nicholson from 2018.

### Archival space

Secure storage space for the growing archival collections remained a priority during this period. The ground floor of the southern wing of the Old Arts Building continued to be used as a reading room, office space and exhibition area for UP Archives.

From the end of 2017, the 'Century in the News' exhibition in Old Arts 1-20 was removed to make space for the temporary accommodation of the Javett-UP Art Centre offices. UP Archives still used the fifth level of the Humanities Building as an interim storage area and a portion of the Old Merensky basement for more frequently consulted records. During

2011 an air-conditioning system was installed in the area to dry out the air and maintain an ideal temperature for archival material.

A highlight of the period was the acquisition of much-needed additional space to accommodate some of the University's most critical collections with the refurbishment of the former SACTE (now Letlotlo) Building on the Groenkloof Campus. Space on the southern side of the third level of the building was reconfigured and equipped to house archival collections. Some of the large and critical collections of records were transferred into this space in 2015, including the University's Human Resources files.

### Projects and collaboration

Several annual projects continued from the previous era into the review years. These included the annual Q-Photo student photographic workshop competition, which expanded to include the collaboration of a photographic instructor from the VEGA educational institution in Pretoria. This collaboration continued until 2016, the last year of the project. At its close, the photographic project had run for a total of 15 years and had generated a unique collection of over 1 000 photographs for the UP Archives, depicting both the broader UP campus environment and student perspectives of campus life. Other projects which continued during this period were the Residence Archives and Photobook project, capturing and preserving the records of the various UP residences.

UP Archives also continued to play an active role in assisting the honours students in Heritage and Cultural Tourism who ran UP Campus Tours, with Dr Van der Merwe and Ms Green presenting hands-on sessions on doing research in archives. UP Archives further assisted with various UP Campus Tours projects, including the production of the award winning UP Campus Board Game and the presentation of the 'Walk back in time' campus tour, both in 2011. UP Archives collaborated with TuksAlumni in 2010, on a creative essay-writing competition, 'Fact-to-Fiction', that focused on Kya Rosa.

UP Archives maintained an ongoing involvement in various academic programmes at the University. Archival staff were involved in assisting with research assignments for undergraduate and honours students in History, Heritage and Cultural Tourism, and in Archaeology and Anthropology, and also contributed to the Engineering ENGAGE project. They also supported postgraduate students from a wide of range of disciplines with research for both master's and doctoral degrees. The collections of the Archives were used as part of teaching and student projects in a range of subjects and

<sup>28</sup> Adapted from a text developed by Janine Esterhuizen, Manager: Information Governance.

<sup>29</sup> The outlines of a proposed information management strategy, policy and structure to effect implementation were developed by Christa (C) North, Head of the Quality Unit at the time. The submission to the Executive (Rt 642/10) addressed aspects of the management of information, language and quality.

<sup>30</sup> Status Report on the Information Governance Portfolio. [Rt 681/17]



disciplines. Dr Van der Merwe continued to teach an archival component of the Postgraduate Diploma in Museum Sciences until the course offering was terminated in 2016.

UP Archives continued with its student trainee programme, a mentorship programme that involved the upskilling of postgraduate students on correct archival practices.

### Contributions to publications

The Archives assisted with research, information and visual material for a number of commemorative publications produced during this time for various departments and divisions at the University. These included the Graduate School of Management, Sonop Men's Residence, the centenary publications of the Faculty of Veterinary Science, and the Faculty of Theology and Religion, the 60th anniversary of the Faculty of Engineering, Built Environment and Information Technology, the 80th anniversary of *Perdeby*, TuksSport, the Department of Plant Physiology, and the Heidelberg Teaching College.

Assistance was also given on an ongoing basis to the Department of University Relations with information and images for articles published in *Tukkiewaria* and *Tukkie* and with the research, compilation and verification of information published in *Ad Destinatum V*.

In addition, the Archives assisted with research and visual material for a number of institutional celebratory events, publications and exhibitions, which included the *South Africa History Online* (SAHO) Women's Day exhibition (2009); the Old Arts Century photographic exhibition (2010); the 'Sport at UP' photographic exhibition (2013); 'A Century in the News' (2008–2017) exhibition; Kya Rosa and UP photo exhibition (2014); the 'Sustainability and UP' exhibition (2015); the 'Then and Now' exhibition (2016); 'UP's History through Photographs' (2008–2019) exhibition; the UP Choir, Tuks Camarata centenary publication and exhibition (2018–2019); *Humanities 100*, a centenary publication (2019).

### In support of research

UP Archives further assisted in facilitating research projects and continued to receive requests from the UP Executive, academic and administrative staff and students as well as alumni and external researchers. Another feature of this period was the large number of institutions, both higher education and corporate, that approached UP Archives for consultation regarding best practices in institutional archives.

In 2012, the UP Archives webpage was upgraded and expanded to showcase activities of the Archives, including some of its collections, workshops and photographic material that formed a part of its holding. From 2012 to 2014, the Archives selected and supplied photo galleries for the UPMobile marketing project.

The UP Archives remained involved with the [information governance project](#) (see above), which aligned well with the goals of the UP Archives in terms of the preservation of University records and their ultimate transfer to the Archives as the final custodian. In 2017, UP Archives staff attended training sessions on the Protection of Personal Information Act (Act No. 4 of 2013) and Prof Harris was nominated as Deputy Information Officer (POPI), while Dr Van der Merwe represented the UP Archives on UP's Information Governance Committee.

From 2016, Prof Harris and Dr Van der Merwe were involved with the Mellon Foundation Tangible Heritage Project in an advisory capacity. Prof Harris envisioned and developed a practical, hands-on, archival component for History honours students. The 'What's in the Box?' project was successfully launched in early 2019 using the Transvaal Education Department documents as a pilot project.

UP Archives embarked on projects during this period which highlighted the increasing role of technology and digital records within the University. In 2010 the Archives was part of the Systems Renewal Project which provided it with an electronic content management solution in the form of a database in which information items in a variety of formats could be captured, stored and retrieved. Furthermore, the digitisation of some of its key and most frequently used collections was earmarked as a long-term project that continues beyond the period of this review. A further focus during this period was to find solutions and methods to best preserve electronic records produced by the University, as many publications and records began to appear only in digital formats.

Despite the growing need to archive digital records, this period also saw the rapid expansion of physical records in the Archives. This included the preservation of the staff records collection, an important project that started in 2006 and involved the transfer, sorting and appraisal of over eight decades of staff records. This project was completed in April 2012.

### Research collections

Some of the larger research collections that were added to the Archives were the Art Archives collection and the Education Collection. The Art Archives is a collection of invaluable documents relating to South African art and artists collected since the 1940s by the Department of Visual Studies at UP. The collection is highly significant in terms of its heritage value and research potential and continues to be consulted both nationally and internationally. A further collection which was added to the Archives during this period, was the collection of the former Transvaal Education Department Museum which sheds light on developments in education in South Africa during the twentieth century.



Prof Caroline Nicholson, Registrar | 2018—

### A memory bank

UP Archives thus strengthened and furthered its mandate to act as the University's memory bank during this era, adapting and expanding to accommodate increasing demands for information and the need to house the institution's growing collections. However, the Archives continued not only to fulfil its legal requirements in terms of the retention of University records, but also to develop its role as part of the wider UP community, both in the services it rendered to other divisions within the institution and in the provision of teaching, learning and research support to UP students and staff, and national and international scholars and researchers.