



higher education
& training

Department:
Higher Education and Training
REPUBLIC OF SOUTH AFRICA

Governance Indicators Scorecard for Councils of South African Public Higher Education Institutions

Name of Institution: University of Cape Town

In the case of qualitative assessments the following 'scoring' system should be used:

True i.e. the statement is true of governance practices at the institution with very rare exceptions

More true than false i.e. the statement is more often true of governance practices at the institution than is not the case

More false than true i.e. the statement is more often false of governance practices at the institution than is not the case

False i.e. the statement is false with regard to governance practices at the institution with very rare exceptions

1. Strategic leadership, vision, mission, context and transformation, and risk management and sustainability

- 1.1 Council reviews the institution's strategic plan, specifically in relation to the institution's annual budget, and other strategic plans such as the academic and financial plans as well as risk management and other sustainability plans annually.

True	More true than false	More false than true	False
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Comments:

Council sets and reviews the strategic plan, financial plans and annual budget, academic reports (in the form of the annual teaching and learning report, the research report and the related social responsiveness report).

Council approved the framework for the Strategic Plan in December 2016, confirming the thrust of the strategic direction for the University, and reviewed the detailed aspects of the operational and implementation plans at its December 2017 meeting. Council also annually approves the Annual Performance Plan and the Mid-Year Performance Plan for submission to the Department of Higher Education and Training.

Council annually sets its objectives, linked to the strategic plan of the University.

The risk schedules are reviewed in detail by the Risk Management Committee (which is chaired by the Vice-Chancellor). This is then reported to the Audit Committee (which is chaired by an external member of Council) and to Council. The University Strategy Forum is a joint standing committee of Senate and Council, chaired by the Vice-Chancellor, and made up of Senate, staff and student representatives. This standing committee advises Council on strategy issues and met three times in 2017, including a joint meeting with the University Finance Committee (which is also chaired by an external member of Council). This includes review by Council of the budget alignment to the strategic objectives set.

Council also approved revised terms of reference for the University's Risk Management Committee.

- 1.2 Council assesses institutional policies and institutional initiatives in terms of approved strategic goals and targets

True	More true than false	More false than true	False
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Comments:

In 2017 Council gave attention to key policies and initiatives as linked to the strategic goals. Council previously established task teams to advance a new inclusive identity for UCT (linked to the key goal of transformation) and in 2017 continued to review the work of these task

teams. This includes the task teams on Artworks and the Naming of Buildings. A further example was the adoption by Council of an Inclusivity Policy for Sexual Orientation, articulating the ways in which the UCT institutional culture can recognise sexual diversity and protect the constitutional rights of staff and students. Council also approved building projects, noting that private and government funding was available towards these projects. To the extent that further funding was required for these projects, such requests are put to the University Finance Committee for capital cost consideration and approval.

1.3 Council reviews all internal and external stakeholder relationships annually.

True	More true than false	More false than true	False
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Comments:

Council receives regular reports from the Vice-Chancellor at each of the Council and Executive Committee of Council meetings, and Council engages with these reports. In his reports to Council, the Vice-Chancellor informs Council on engagements with staff representative bodies, local alumni and alumni chapters around the world, the SRC and student societies and movements, visits to UCT by external parties, relationships with universities across the world, and engagements with important partner organisations like Universities South Africa, the Department of Higher Education and Training, the Department of Science and Technology, the National Student Financial Aid Scheme, Universities South Africa (USAf) as well as international higher education bodies.

1.4 Council reviews its transformation strategy and policies regularly on the basis of feedback on institutional transformation indicators

True	More true than false	More false than true	False
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Comments: Council receives from the University Executive and annual report on Transformation. Council held a special workshop in 2017 solely for the consideration of the Transformation Report. Council has steered the University into consideration of the issue of setting stretch targets for employment equity purposes over and above the targets set for the Department of Labour. Transformation has been set as a fundamental objective in the strategic plan of the University. See also response to 1.2.

1.5 Council ensures that appropriate steps are instituted in order to meet transformation targets and communicates regularly with its stakeholders on its endeavours in this regard

True	More true than false	More false than true	False
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Comments:

Council approved the strategic plan up to 2020, a key aspect of which is transformation of UCT. This includes giving attention to the setting of stretch targets for employment equity

purposes and a range of additional transformation goals related to institutional culture, curriculum reform, and improving student throughput rates and developing the next generation of academics, including women and black academics.

2. Governance of core functions of teaching and learning, research and community engagement

2.1 Council reviews the institution's programme qualification mix (PQM) and enrolment plan annually to ensure alignment to the strategic plan and national objectives – with the knowledge that Senate has scrutinised the academic requirements of the PQM.

True	More true than false	More false than true	False
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Comments:

Council approved faculty admissions criteria and selection methods for 2019. All academic matters are dealt with by Senate. Council has representation on Senate. Council has access to Senate meeting documents and Council considers the recommendations of the Senate. Changes to the PQM are considered and approved by Council on the recommendation of the Senate. Council approves the enrolment plan annually, which plans are aligned to the agreements with the Department of Higher Education & Training in terms of institutional size and shape.

2.2 Council assesses the institution's enrolments, throughput and graduation rates at least once per annum in line with strategic targets set for these

True	More true than false	More false than true	False
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Comments:

Council annually receives and reviews the teaching and learning report as recommended by the Senate, inclusive of enrolments, throughput and graduation rates.

2.3 Council reviews the institution's research and innovation endeavours and outputs against strategically set targets at least once per annum.

True	More true than false	More false than true	False
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Comments:

Council receives and reviews the annual research report as recommended by the Senate, inclusive of research and innovation endeavours.

2.4 Council reviews the institution's community engagement endeavours against strategically set targets at least once per annum.

True	More true than false	More false than true	False
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Comments:

Council receives and reviews the annual Social Responsiveness report, inclusive of UCT's community engagement endeavours, its social outreach activities and research undertakings relevant to local communities and wider society.

2.5 Council receives and considers regular reports from senate and institutional forum on the core business of the institution and other institutional culture imperatives.

True	More true than false	More false than true	False
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Comments:

Council receives the annual reports referred to in 2.2 to 2.4 above, as well as the quarterly reports of the Senate and annual report of the Institutional Forum.

3. Governance of resources: Financial, human, equipment and infrastructure

3.1 Council approves the institution's budget, especially in relation to the institution's strategic plan , and regularly reviews the institution's income and expenditure against the budget

True	More true than false	More false than true	False
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Comments:

Council approved (a) the proposals by the University Finance Committee in respect of tuition and residence fees, (b) the International Term Fees and the Semester Study Abroad fees, (c) the operating budget as well as capital and strategic proposals, and (d) other additional allocations as required. The University Finance Committee provides regular reports to Council on expenditure against budget. The University Finance Committee includes three external members of Council in addition to the Committee's chairperson.

3.2 Council receives and considers regular reports from internal audit and engages with the external auditors at least once per annum

True	More true than false	More false than true	False
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Comments:

The internal audit reports are considered by the University Audit Committee (which is chaired by an external member of Council) and the latter in turn reports to Council after every meeting. In 2017 Council also approved a Fraud and Corruption Policy for the University. The Audit Committee and University Finance Committee has a joint meeting annually.

3.3 Council approves the institution's annual financial statements and takes appropriate steps in the case of qualified external audit opinions

True	More true than false	More false than true	False
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Comments:

Council approves the annual financial statements which are externally audited. The University has a good record of receiving unqualified audit reports.

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3.4 Council evaluates and approves the institution's IT governance systems and policies in relation to the institution's strategic objectives

True	More true than false	More false than true	False
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Comments: The University Information and Communication Technology Committee generally reports to Council annually during which Council is given the opportunity to review the Committee's Risk Management Committee reviews the ICTS Risk Schedule at every meeting because of assessment of high risk, particularly cyber-security

3.5 Council has in place legally sound and fair appointment policies for all staff and in particular for the vice chancellor and members of senior management

True	More true than false	More false than true	False
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Comments:

The appointment policies are in place and have the status of being Council-approved. All senior appointment processes are vetted by the Institutional Forum

3.6 Council reviews the performance of the vice chancellor regularly each year with a view to corrective steps being taken where needed.

True	More true than false	More false than true	False
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Comments:

The Chair and Deputy Chair of Council appraise the Vice-Chancellor's performance annually. Council members are consulted in this process, as are the members of the Senior Leadership Group, the SRC and the staff representative bodies. The Remuneration Committee, chaired by the Chair of Council, then considers the performance outcome for purposes of salary review annually.

3.7 Council reviews and approves all building and infrastructure projects as well as procurement of services in terms of its decision making delegations

True	More true than false	More false than true	False
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Comments: Projects are submitted to Council for approval as and when required and the University Building and Development Committee (UBDC) reports to Council annually, and makes recommendations to Council for all major building projects. For capital costs, all

recommendations from the UBDC are also considered by the University Finance Committee before recommendations reach Council.

- 3.8 Council has in place working whistle blowing services and receives regular reports on alleged fraudulent and corrupt activities in the University.

True	More true than false	More false than true	False
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Comments: UCT does have an externally-run whistleblower hotline designed to enable concerned employees and students, as well as third parties associated with the university to report fraudulent, corrupt and unethical practices in the University. The hotline allows for UCT staff, students, suppliers and other interested parties to report fraud, corruption, unethical conduct and misconduct confidentially and anonymously.

4. Governance of institutional accountability including public reporting

- 4.1 Council receives and considers institutional reports from the vice chancellor in a format and covering items as approved by it at each meeting of council

True	More true than false	More false than true	False
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Comments: The Vice-Chancellor reports in writing at each regular meeting of the Council and of the Executive Committee of Council on issues which in his view pose a risk to the University. Council and the Exco engage extensively with the reports of the Vice-Chancellor.

- 4.2 Council considers and approves the institution's annual performance plan and the accompanying performance report for DHET and ensures its timeous submission to DHET

True	More true than false	More false than true	False
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Comments: Council considers and approves the annual performance plan and accompanying reports to the DHET, and has met the required reporting deadlines on an annual basis.

- 4.3 Council participates constructively, through its members nominated for this purpose, in meetings of senate and the institutional forum

True	More true than false	More false than true	False
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Comments: From amongst its external members, Council appoints members to be representatives on the Senate and the Institutional Forum. The members are invited to the relevant meetings, receive the necessary meeting papers and participate in the business of these meetings.

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5. Council and Committee meetings and conduct of business

5.1 Council has in place and regularly uses the following good governance instruments: A set of institutional rules covering provisions within the institutional statute in greater detail; a code of conduct; conflict of interest declaration procedures; a comprehensive decision making delegations framework, a council performance assessment instrument; a performance agreement between itself and the vice chancellor

True	More true than false	More false than true	False
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Comments: True in all instances. The Institutional Statute and Institutional Rules are in place. So too a code of conduct which Council members are required to sign on an annual basis, as is also the case for a conflict of interest declaration. Council does review the schedule of delegated authority, and is aware of those decisions that it may not delegate. Council does conducts a self-evaluation of Council and the Vice-Chancellor sets his performance goals which are reviewed via the process described in 3.6 above.

5.2 Council annually has workshops for all council members covering the induction of any new members and all strategic planning matters.

True	More true than false	More false than true	False
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Comments: Council membership is for periods of four years and Council members are given induction at the start of each term. Additional workshops are held as and where necessary.

5.3 Council has ensured that its institutional statute and/or institutional rules include membership criteria for members of council and its committees and applies these rigorously

True	More true than false	More false than true	False
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5.4 Council has ensured that its institutional statute and/or institutional rules spell out the duties of council and its committees

True	More true than false	More false than true	False
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Comments: This is done and the terms of reference for Council and the Committees of Council exist in an institutional manual of committees.

5.5 Council continually ensures that all committees operate in terms of council approved charters and takes the necessary remedial steps in cases where this proves to be not so.

True	More true than false	More false than true	False
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Comments: Council approves all committees of Council and Joint Council and Senate Committees and receives reports from these committees.

5.6 Council agendas and supporting documentation in an appropriate format are delivered at least 7 working days before each council meeting with no or a minimum of supplementary agendas permitted

True	More true than false	More false than true	False
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Comments: Council agendas are comprehensive and include required supplementary documents. Additional agendas are prepared as required. Agendas are distributed in electronic format, and in most instances meet the requirement for distribution 7 days in advance of a meeting. For Council members who so request, hardcopies of agenda papers are made available to them. There is no rule regarding a minimum number of supplementary agendas permitted, but this ordinarily does not exceed one and in rare cases two supplementary agendas.

5.7 Council and specifically the chairperson ensures that accepted meeting procedures are adhered to strictly.

True	More true than false	More false than true	False
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Comments: Required and correct meeting procedures are followed.

5.8 Council ensures that apart from its own annual self-evaluation it is evaluated externally at least every 3 years by peers such as 1 or 2 former vice chancellors and former registrars

True	More true than false	More false than true	False
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Comments: An external evaluation has not been arranged.

5.9 Attendance of council meetings

- i) Average attendance expressed as a % of external members of council meetings measured over 12 months: See comments below
- ii) Average attendance expressed as a % of internal members of council meetings measured over 12 months: See comments below
- iii) Average overall attendance expressed as a % of all council members of council meetings measured over 12 months: See comments below

Comments:

- i) **81%**
- ii) **90%**
- iii) **83%**

5.10 Attendance of council committee meetings

- iv) Average attendance expressed as a % of external members of council committee meetings measured over 12 months: See table below
- v) Average attendance expressed as a % of internal members of council committee meetings measured over 12 months: See table below
- vi) Average overall attendance expressed as a % of all council members of council committee meetings measured over 12 months: See table below

Comments:

The current Council has only implemented an attendance monitoring system for Council committees in December 2017. The attendance is reflected in the table below.

Committee	External	Internal
Executive Committee of Council	72%	53%
University Finance Committee	83%	88%
University Audit Committee	85%	75%
University Human Resources Committee	88%	79%
Council Remuneration Committee	97%	96%
University Building and Development Committee	63%	57%
University Student Affairs Committee	50%	62%

5.11 General comments:

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Requirements with regard to the above governance scorecard:

- a) The initial governance assessment is to be conducted by the executive committee of council and this assessment must then be presented to council itself for discussion, amendment and final approval.
- b) This governance scorecard is to be signed by the chairperson of council, the vice chancellor, and the secretary of council (registrar) containing a declaration that the final outcome carries the approval of the whole council.
- c) In cases where deemed necessary DHET may require this scorecard to be verified by the institution's external auditors.

Approval and Sign-off

Mr S.M. Pityana  23 June 2018

Chairperson of Council: Title,
Initials & Surname

Signature

Date



Dr MR Price

23 June 2018

Vice-Chancellor: Title, Initials
& Surname

Signature

Date

ROYSTON Pillay



23 JUNE 2018

Secretary to Council: Title,
Initials & Surname

Signature

Date