

A conceptual framework for community engagement at the North- West University (Potchefstroom Campus) : a participatory approach to communication for sustainable social change

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degree DOCTOR OF PHILOSOPHY *in Communication
Studies* at the Potchefstroom Campus of the North-West
University

Promotor: Prof LM Fourie...

December 2016

It all starts here [™]



SOLEMN DECLARATION

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PHILOSOPHIAE DOCTOR IN COMMUNICATION STUDIES

In the Faculty of Arts

North-West University (Potchefstroom Campus)

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Signed: December 2016

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PREFACE AND ACKNOWLEDGEMENTS

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ABSTRACT

Higher education institutions are required by law to participate in community engagement projects. However, the nature of community engagement is not clearly stipulated, which leads to some confusion regarding community engagement in this sector. The North-West University is no exception in this regard; and their policy on community engagement was only approved in November 2016.

In this study it was argued that communication in community engagement would fall in the subject field of communication for social change. Following this argument it is evident that community engagement communication should adhere to the principles of the participatory approach to development communication, which is seen as the normative approach in the field of communication for social change. However, it is acknowledged that community engagement in the higher education sector environment is more complex than small-scale social change projects. It would therefore be an over-simplification to merely assume that the principles of the participatory approach could be applied to this context without adapting them.

It is against this background that this study investigated what a conceptual framework for community engagement at the NWU (Potchefstroom Campus), based on the principles of the participatory approach to communication for social change, and would look like.

From the literature study it followed that participation, dialogue, empowerment that leads to self-reliance, as well as the acknowledgement of the importance of the social context would serve as theoretical point of departure for the study.

To determine the context of the community engagement at the NWU, policy documents were analysed and semi-structured interviews were conducted with the directors of community engagement at the Institutional Office of the NWU, as well as on the Potchefstroom Campus. It was evident from this analysis that there was not participatory communication between management, the community engagement office and staff of the NWU.

On the other hand semi-structured interviews with the project leaders of the Holding Hands Project and the ECD Training Project, as well as focus group interviews and semi-structured interviews with the community members who are part of these engagement projects, revealed that both parties perceived their communication as predominantly participatory.

Against this background this study proposes a framework based on participation, dialogue, empowerment to self-reliance and sensitivity to the social context, but taking the complex bureaucratic nature of a higher education institution into account.

Thus a conceptual framework for community engagement projects at the North-West University (Potchefstroom Campus) is necessary to include all aspects of communication. Aspects of communication include the uninterrupted, repeated, interpreting and reinterpreting of logical discussion of opinions, based on morally sound communication practices. The framework should include participatory collective processes between participants, where the community control the communication with the staff of the NWU (Potchefstroom Campus) and the possibility for self-reliance and sustainability exists.

From the research it was evident that the staff of the NWU (Potchefstroom Campus) perceive the communication challenges in the policy formulation and implementation of community engagement quite challenging as there is a lack of capacity, a lack of resources, and negative attitudes, as well as different interpretations and little (if any) policy regulation of community engagement. It was found that project leaders of the Holding Hands Project and the Early Childhood Development (ECD) Training Project perceive the process of communication between them and the community members as mostly open and participatory. Shared interest in social issues is a definite motivation for the building of partnerships and opening communication between participants. The community members of the Holding Hands Project and the ECD Training Project perceived the process of communication between them and the NWU (Potchefstroom Campus), as very positive as there is open, intentional, participatory communication between them that lead to the building of trusting relationships, where there is a recognition of the importance of the social context and where an empowerment process can possibly lead to self-reliance and sustainable community engagement projects.

KEYWORDS

1. Communication strategy
2. Community engagement
3. Higher education
4. Participation
5. Participatory communication for social change
6. Participation and collaboration
7. Social responsibility
8. Holding Hands project
9. Early childhood development training project
10. North-West University (Potchefstroom Campus)

OPSOMMING

Hoër onderwysinstellings word deur die wet verplig om betrokke te wees by gemeenskappe. Die aard en omvang hiervan word egter nie duidelik deur die wet uiteengesit nie. Dit lei tot verwarring in die definisie en uitvoering van gemeenskapsbetrokkenheid. Die Noordwes-Universiteit is geen uitsondering nie en 'n beleid vir gemeenskapsbetrokkenheid is eers in November 2016 goedgekeur.

In hierdie studie word geargumenteer dat kommunikasie in gemeenskapsbetrokkenheid binne die vakgroep kommunikasie vir sosiale verandering val. Dit word geargumenteer dat kommunikasie in gemeenskapsbetrokkenheid moet voldoen aan die beginsels van die deelnemende benadering tot kommunikasie vir sosiale verandering. Die deelnemende benadering is tans die normatiewe benadering binne die studieveld vir kommunikasie vir sosiale verandering, maar die omvang van gemeenskapsbetrokkenheid in hoër onderwys is egter meer kompleks as slegs kleinskaalse gemeenskapsprojekte. Dit sal dus 'n ooreenvoudiging wees om slegs die beginsels van die deelnemende benadering lukraak op die konteks toe te pas, sonder enige aanpassings.

Uit die literatuurstudie was dit duidelik dat deelname, dialoog en bemagtiging wat lei tot selfaktualisering, asook die belangrikheid van die sosiale konteks dien as teoretiese vertrekpunt vir hierdie studie.

Ten einde die konteks van gemeenskapsbetrokkenheid by die NWU (Potchefstroomkampus) te bepaal, is beleidsdokumente ontleed, asook semi-gestruktureerde onderhoude gevoer met die direkteure van gemeenskapsbetrokkenheid by die institusionele kantoor en op die kampus. Daar is gevind dat daar nie deelnemende kommunikasie tussen die bestuur, die gemeenskapskantore en die personeel van die NWU is nie.

Aan die ander kant het die semi-gestruktureerde onderhoude met die projekteleiers van die Holding Hands en die ECD Opleidingsprojek, asook die fokusgroeponderhoude met die gemeenskapslede van die projekte, getoon dat alle partye die kommunikasie as oorwegend deelnemend ervaar.

Teen hierdie agtergrond stel hierdie studie 'n raamwerk voor gebaseer op deelname, dialoog, bemagtiging tot selfstandigheid en sensitiwiteit tot die sosiale konteks, met inagneming van die komplekse burokratiese aard van 'n hoëronderwysinstelling.

'n Konseptuele raamwerk vir gemeenskapsbetrokkenheidsprojekte by die Potchefstroomkampus van die Noordwes-Universiteit sal alle aspekte van kommunikasie

insluit. Hierdie aspekte sluit in ononderbroke, herhalende interpretasie en herinterpretasie van logiese besprekings van opinies wat gebaseer is op etiese kommunikasiepraktyke. Die raamwerk behoort ook die deelnemende kollektivistiese prosesse tussen deelnemers in te sluit, waar die gemeenskap die kommunikasie met die personeel van die NWU (Potchefstroomkampus) beheer. Hierdie proses kan die belofte inhou tot selfstandigheid en dit kan lei tot volhoubare gemeenskapsbetrokkenheid.

Dit was duidelik vanuit die navorsing dat die personeel van die NWU (Potchefstroomkampus), die kommunikasie-uitdagings in die beleidsformulering en implementering van gemeenskapsbetrokkenheid as heelwat uitdagend beskou aangesien daar 'n gebrek aan kapasiteit, gebrek aan hulpbronne en negatiewe houdings is. Daarbenewens is daar verskillende interpretasies en min (indien enige) beleidsregulasie van gemeenskapsbetrokkenheid. Daar is gevind dat projekteleiers van die Holding Hands Projek en die ECD Opleidingsprojek die proses van kommunikasie tussen hulle en die gemeenskapslede as meestal oop en deelnemend beskou. Gedeelde belangstelling in sosiale kwessies is 'n definitiewe motivering vir die bou van vennootskappe en die openheid van kommunikasie tussen deelnemers. Die gemeenskapslede van die Holding Hands Projek en die ECD Opleidingsprojek het die proses van kommunikasie tussen hulle en die NWU (Potchefstroomkampus) as baie positief beskou, aangesien daar oop, doelbewuste, deelnemende kommunikasie tussen hulle is, wat lei tot die bou van vertrouensverhoudings waar daar 'n erkenning van die belangrikheid van die sosiale konteks is en waar 'n bemagtigingsproses moontlik kan lei tot selfstandigheid en volhoubare gemeenskapsbetrokkenheidprojekte.

SLEUTELWOORDE

1. Kommunikasiestrategie
2. Gemeenskapsbetrokkenheid
3. Hoër onderwys
4. Deelname
5. Deelnemende kommunikasie vir sosiale verandering
6. Deelname en samewerking
7. Sosiale verantwoordelikheid
8. Holding Hands-projek
9. Vroeë kinderonwikkelingopleidingsprojek
10. Noordwes Universiteit (Potchefstroom Kampus)

Declaration

This is to declare that I, Annette L Combrink, accredited language editor and translator of the South African Translators' Institute, have language-edited the thesis by

H Jonker (10783164)

A conceptual framework for community engagement at the North-West University (Potchefstroom Campus) : a participatory approach to communication for sustainable social change



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ETHICS APPROVAL



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ETHICS APPROVAL OF PROJECT

The North-West University Research Ethics Regulatory Committee (NWU-RERC) hereby approves your project as indicated below. This implies that the NWU-RERC grants its permission that provided the special conditions specified below are met and pending any other authorisation that may be necessary, the project may be initiated, using the ethics number below.

Project title: A conceptual framework for community engagement at the North-West University (Potchefstroom campus): A participatory approach to communication for sustainable social change																															
Project Leader:	Prof LM Fourie																														
Student:	H Jonker																														
Ethics number:	<table border="1"><tr><td>N</td><td>W</td><td>U</td><td>-</td><td>0</td><td>0</td><td>1</td><td>1</td><td>0</td><td>-</td><td>1</td><td>4</td><td>-</td><td>A</td><td>7</td></tr><tr><td colspan="3">Institution</td><td colspan="6">Project Number</td><td colspan="2">Year</td><td colspan="4">Status</td></tr></table> <small>Status: S = Submission; R = Re-Submission; P = Provisional Authorisation; A = Authorisation</small>	N	W	U	-	0	0	1	1	0	-	1	4	-	A	7	Institution			Project Number						Year		Status			
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Special conditions of the approval (if any): None

<p>General conditions:</p> <p>While this ethics approval is subject to all declarations, undertakings and agreements incorporated and signed in the application form, please note the following:</p> <ul style="list-style-type: none">• The project leader (principle investigator) must report in the prescribed format to the NWU-RERC:<ul style="list-style-type: none">- annually (or as otherwise requested) on the progress of the project,- without any delay in case of any adverse event (or any matter that interrupts sound ethical principles) during the course of the project.• The approval applies strictly to the protocol as stipulated in the application form. Would any changes to the protocol be deemed necessary during the course of the project, the project leader must apply for approval of these changes at the NWU-RERC. Would there be deviation from the project protocol without the necessary approval of such changes, the ethics approval is immediately and automatically forfeited.• The date of approval indicates the first date that the project may be started. Would the project have to continue after the expiry date, a new application must be made to the NWU-RERC and new approval received before or on the expiry date.• In the interest of ethical responsibility the NWU-RERC retains the right to:<ul style="list-style-type: none">- request access to any information or data at any time during the course or after completion of the project;- withdraw or postpone approval if:<ul style="list-style-type: none">· any unethical principles or practices of the project are revealed or suspected,· it becomes apparent that any relevant information was withheld from the NWU-RERC or that information has been false or misrepresented,· the required annual report and reporting of adverse events was not done timely and accurately,· new institutional rules, national legislation or international conventions deem it necessary.
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The Ethics Committee would like to remain at your service as scientist and researcher, and wishes you well with your project. Please do not hesitate to contact the Ethics Committee for any further enquiries or requests for assistance.

Yours sincerely

Prof Amanda Lourens
Chair NWU Research Ethics Regulatory Committee (RERC)

TABLE OF CONTENTS

PREFACE AND ACKNOWLEDGEMENTS	II
ABSTRACT	III
KEYWORDS.....	V
OPSOMMING	VI
SLEUTELWOORDE	VIII
ETHICS APPROVAL	X
TABLE OF CONTENTS	XI
LIST OF TABLES.....	XXIII
LIST OF ABBREVIATIONS.....	XXIV
APPENDICES.....	XXV
CHAPTER 1	1
INTRODUCTION AND PROBLEM STATEMENT	1
1.1 INTRODUCTION AND BACKGROUND	1
1.2 PROBLEM STATEMENT.....	5
1.3 RESEARCH QUESTION.....	5
1.3.1 Specific research questions.....	6
1.4 RESEARCH AIM.....	6
1.5 SPECIFIC RESEARCH OBJECTIVES	6
1.6 CENTRAL THEORETICAL ARGUMENTS	7
1.7 RESEARCH DESIGN.....	7
1.7.1 Orientation and approach.....	7
1.7.2 Literature study	7
1.7.3 Motivation for selection of case studies	8

1.7.4	Document analysis	8
1.7.5	Semi-structured interviews	9
1.7.6	Focus groups	9
1.7.7	Personal observation.....	10
1.8	CONTRIBUTIONS OF THE STUDY.....	10
1.9	CHAPTER LAY-OUT	10
CHAPTER 2		12
THEORETICAL PERSPECTIVE - PARTICIPATORY COMMUNICATION FOR SOCIAL CHANGE.....		12
2.1	INTRODUCTION.....	12
2.2	DEVELOPMENT AND SOCIAL CHANGE.....	13
2.3	DEVELOPMENT COMMUNICATION AND COMMUNICATION FOR SOCIAL CHANGE	13
2.3.1	Development communication	13
2.3.2	Communication for social change.....	14
2.4	APPROACHES WITHIN THE FIELD OF DEVELOPMENT COMMUNICATION.....	15
2.4.1	The modernisation approach.....	15
2.4.1.1	The main elements of the modernisation approach	15
2.4.1.2	Economic growth.....	16
2.4.1.2.1	Capital-intensive technology.....	16
2.4.1.2.2	Centralised planning.....	16
2.4.1.2.3	Mainly internal causes were to blame for under-development	16
2.4.1.3	Communication within the modernisation approach.....	17

2.4.1.3.1	Dissemination of information	17
2.4.1.3.2	Mass media.....	17
2.4.1.3.3	A uniform message	17
2.4.1.3.4	Dominating communication models.....	17
2.4.1.4	Critique against the modernisation approach.....	18
2.4.2	The dependency approach.....	19
2.4.2.1	Origin of the dependency approach.....	19
2.4.2.2	Communication component of the dependency approach	19
2.4.2.3	Critique against the dependency approach to communication	20
2.4.3	The basic needs approach	20
2.4.3.1	The main elements of the basic needs approach	20
2.4.3.1.1	Needs analysis.....	20
2.4.3.1.2	Alleviation of poverty	21
2.4.3.2	Critique against the basic needs approach.....	21
2.4.4	Development Support Communication	22
2.5	APPROACHES WITHIN THE FIELD OF COMMUNICATION FOR SOCIAL CHANGE	22
2.5.1	The multiplicity approach.....	23
2.5.1.1	The importance of structural change	23
2.5.1.2	The importance of culture.....	23
2.5.1.3	Sustainability.....	23
2.6	PARTICIPATORY APPROACH TO COMMUNICATION FOR SOCIAL CHANGE	24

2.6.1	Participation	25
2.6.1.1	Pseudo-participation (means to an end)	25
2.6.1.2	Giving of information	25
2.6.1.3	Consultation (participating in participation)	26
2.6.1.4	Tokenism	26
2.6.1.5	Authentic participation (end in itself)	26
2.6.1.5.1	Initial participatory communication.....	26
2.6.1.5.2	Building partnerships.....	27
2.6.1.5.3	Combining of knowledge and skills.....	27
2.6.1.5.4	Participation in the planning of projects	27
2.6.1.5.5	Participation in the implementation of projects.....	27
2.6.1.5.6	Participation in the evaluation of projects	28
2.6.1.6	Conclusion	28
2.6.2	Dialogue.....	29
2.6.2.1	Influential philosophers of dialogue	29
2.6.2.1.1	Martin Buber.....	29
2.6.2.1.2	Mikhail Bakhtin	29
2.6.2.1.3	Paulo Freire.....	30
2.6.2.1.4	Jürgen Habermas.....	31
2.6.2.2	Conclusion	31
2.6.3	Empowerment that leads to self-reliance.....	33
2.6.3.1	Definition of empowerment.....	33
2.6.3.2	Stages of empowerment	34

2.6.3.3	Empowerment occurs at many levels	34
2.6.3.4	Self-reliance	34
2.6.3.5	Conclusion	35
2.6.4	Understanding and recognition of the social context.....	35
2.6.5	Critique against the participatory approach to communication for social change	36
2.6.5.1	Extended time frames	36
2.6.5.2	Bureaucratic style.....	36
2.6.5.3	Funding limitations	37
2.6.5.4	Necessity for skilled practitioners	37
2.6.5.5	Too idealistic	37
2.6.5.6	Fitness for the political culture	37
2.6.5.7	Difficulty to measure process	37
2.6.5.8	The unavailability of grand theories or quick fixes	38
2.7	SUMMARY AND CONCLUDING ARGUMENTS	38
CHAPTER 3	41
RESEARCH METHODS	41
3.1	INTRODUCTION.....	41
3.2	QUALITATIVE RESEARCH APPROACH	42
3.2.1	Purpose of qualitative research: understanding of the subjective reality	42
3.2.2	Phenomenology	43
3.2.3	Motivation for selection of projects to study	43

3.2.4	The researcher and the role of communication within the research process	44
3.2.5	Conclusion	45
3.3	RESEARCH DESIGN.....	45
3.3.1	General research question	45
3.3.2	Specific research questions.....	45
3.4	RESEARCH METHODS	50
3.4.1	Document analysis	50
3.4.1.1	Criteria used for inclusion of documents.....	51
3.4.1.2	Documents included in the analysis	51
3.4.1.3	Focus of the document analysis	52
3.4.2	Two-phased semi-structured interviews	52
3.4.2.1	Interview guide: Semi-structured interview with the Director of Community Engagement at the NWU (Institutional Office)	53
3.4.2.2	Interview guide: Semi-structured interview with the Director of Community Engagement at the Potchefstroom Campus	55
3.4.2.3	Interview guide: Semi-structured interviews with the project managers of the Holding Hands project and ECD Training Project at the NWU (Potchefstroom Campus).....	57
3.4.3	Focus groups	59
3.4.4	Personal observation and field notes.....	61
3.5	ANALYSING THE DATA	62
3.5.1	Coding/Categorising.....	62
3.5.2	Operational definitions of constructs.....	62
3.6	ETHICAL ISSUES.....	64

3.7	TRUSTWORTHINESS OF THIS STUDY	64
3.8	LIMITATIONS OF THE STUDY	65
	CHAPTER 4	66
	COMMUNITY ENGAGEMENT AT THE NWU (POTCHEFSTROOM CAMPUS)	66
4.1	INTRODUCTION.....	66
4.2	COMMUNITY ENGAGEMENT POLICY OF THE NWU (SEE ANNEXURE H).....	66
4.2.1	“Sharing of expertise”	67
4.2.2	Objectives of the policy	67
4.2.3	Policy statement.....	67
4.2.4	Definitions in the policy.....	68
4.2.4.1	Community engagement	68
4.2.4.2	Communities	68
4.2.4.3	Engaged research/innovation.....	69
4.2.4.4	Engaged teaching-learning.....	69
4.2.4.4.1	Professional community services and discipline-based outreach.....	70
4.2.4.4.2	Developmental activities with a recruitment focus	70
4.2.4.4.3	Subsidised developmental community engagement.....	70
4.2.4.4.4	Voluntary skills transfer	70
4.2.4.4.5	Volunteerism	70
4.2.5	Rules of engagement	71
4.2.6	Procedures.....	71
4.3	CHALLENGES OF COMMUNITY ENGAGEMENT AT THE NWU (POTCHEFSTROOM CAMPUS)	72

4.3.1	Formulation and implementation of a policy.....	72
4.3.2	There is no scholarly debate on community engagement.....	73
4.3.3	Misunderstanding of terms	73
4.3.4	Perceptions regarding the Institutional engagement office.....	74
4.3.5	Communication issues	75
4.3.5.1	Communication between the institutional Community Engagement Office and management of the NWU.....	75
4.3.5.2	Communication between the institutional community engagement office and management of the Potchefstroom campus	76
4.3.5.3	Communication between the campus staff and the Institutional Community Engagement Office.....	77
4.3.5.4	Communication within faculties regarding community engagement.....	78
4.3.5.5	Communication between the Potchefstroom Campus Community Engagement Office and the Institutional Community Engagement Office	78
4.3.5.6	Communication between the Campus Community Engagement Office and the staff of the Potchefstroom Campus.....	79
4.3.5.7	Communication between the campus Community Engagement Office and management	79
4.3.6	No analysis of engagement processes.....	80
4.3.7	Lack of resources.....	81
4.3.8	Database of community engagement projects.....	81
4.3.9	Integration of community engagement into teaching and learning	82
4.3.10	Reward system	84
4.3.11	Engagement with the community.....	84
4.3.12	Development of a collective vision.....	85

4.4	SUMMARY AND CONCLUDING ARGUMENTS	86
4.4.1	The policy is in line with a participatory communication approach	86
4.4.2	Engagement Office on the Potchefstroom Campus realises the importance of participatory communication	86
4.4.3	Difference between policy requirements and implementation	87
4.4.3.1	Skills transfer.....	87
4.4.3.2	Awareness training.....	88
4.4.3.3	Volunteerism	88
4.4.3.4	General lack of participatory communication within the NWU.....	89
CHAPTER 5	91
	PERCEPTIONS ON THE COMMUNICATION BETWEEN THE NWU (POTCHEFSTROOM CAMPUS) AND THE COMMUNITY	91
5.1	INTRODUCTION.....	91
5.2	PARTICIPATION	93
5.2.1	Participation through the forming of partnerships through continued contact	93
5.2.2	Participation: Combining knowledge and skills	94
5.2.3	Participation in the initiation into the project.....	95
5.2.4	Participation in the planning of the project.....	96
5.2.5	Participation in the implementation of the project	97
5.2.6	Participation in the evaluation of the project	99
5.2.7	Conclusion	100
5.3	DIALOGUE	100
5.3.1	Dialogue as open, intentional interpersonal communication	100

5.3.2	Reflective listening skills as an important part of dialogue	101
5.3.3	The aim of dialogue: creating mutual understanding	102
5.3.4	Dialogue that leads to the building of respectful and trusting relationships	103
5.3.5	Negotiation/bargaining	105
5.3.6	Conclusion	106
5.4	EMPOWERMENT THAT LEADS TO SELF-RELIANCE	107
5.4.1	Developing self-esteem and self-confidence	107
5.4.2	Skills development	109
5.4.3	Better quality of life.....	110
5.4.4	Contributing own resources.....	111
5.4.5	Conclusion	112
5.5	IMPORTANCE OF THE SOCIAL CONTEXT	112
5.5.1	Understanding and recognition of the culture	113
5.5.2	Understanding and recognition of the gender roles	114
5.5.3	Understanding and recognition of religion	115
5.5.4	Conclusion	115
5.6	SUMMARY AND CONCLUDING ARGUMENTS	116
CHAPTER 6		118
SYNTHESIS DEVELOPMENT AND RECOMMENDATIONS		118
6.1	INTRODUCTION.....	118
6.2	THE PRINCIPLES OF THE PARTICIPATORY APPROACH TO COMMUNICATION FOR SOCIAL CHANGE RELEVANT TO A CONCEPTUAL	

FRAMEWORK FOR COMMUNICATION WITHIN COMMUNITY ENGAGEMENT PROJECTS AT THE NWU (POTCHEFSTROOM CAMPUS)	118
6.2.1 Participation	119
6.2.2 Dialogue.....	119
6.2.3 Empowerment that leads to self-reliance.....	120
6.2.4 Importance of the social context.....	121
6.3 COMMUNICATION CHALLENGES IN THE POLICY FORMULATION AND IMPLEMENTATION OF COMMUNICATION WITHIN COMMUNITY ENGAGEMENT AT THE NWU (POTCHEFSTROOM CAMPUS)	121
6.4 THE PERCEPTIONS ON THE COMMUNICATION PROCESS BETWEEN THE PROJECT LEADERS AND THE ACTIVE MEMBERS OF THE PROJECTS	123
6.4.1 Participation	124
6.4.2 Dialogue.....	124
6.4.3 Empowerment that leads to self-reliance.....	125
6.4.4 The importance of the social context.....	125
6.5 RECOMMENDATIONS	126
6.5.1 A conceptual framework for community engagement	126
6.5.1.1 Participation within a framework for communication within community engagement	126
6.5.1.1.1 Forming partnerships	126
6.5.1.1.2 Combining of knowledge and skills.....	126
6.5.1.1.3 Participation in the initiation of the project	126
6.5.1.1.4 Participation in the planning of the project.....	127
6.5.1.1.5 Participation in the implementation of the project	127
6.5.1.1.6 Participation in the evaluation of the project	127

6.5.1.2	Dialogue within a framework for community engagement.....	128
6.5.1.2.1	Intentional interpersonal communication	128
6.5.1.2.2	Reflective listening skills.....	129
6.5.1.2.3	Create mutual understanding	129
6.5.1.2.4	Building respectful and trusting relationships.....	129
6.5.1.2.5	Negotiation/bargaining	129
6.5.1.3	Empowerment that leads to self-reliance.....	129
6.5.1.4	The importance of the social context	130
6.6	CHALLENGES AND LIMITATIONS IN THIS STUDY	131
6.7	SUGGESTIONS FOR FUTURE RESEARCH	131
6.8	CONCLUDING ARGUMENTS	132
	REFERENCE LIST	133
	APPENDICES.....	231

LIST OF TABLES

Table 1: Research questions and research methods	47
Table 2: Concepts and constructs	49
Table 3: Interview guide: Semi-structured interview with CE director	54
Table 4: Interview guide: Semi-structured interview with CE campus director	56
Table 5: Interview guide: Semi-structured interviews with project managers	58
Table 6: Topic guide: Focus groups with the community members	60
Table 7: Operational definitions	63

LIST OF ABBREVIATIONS

NWU:	North-West University
ECD:	Early Childhood Development
CE:	Community Engagement
ICRI:	Institutional Committee for Research and Innovation
ICTL:	Institutional Committee for Teaching Learning
IP:	Institutional Plan
IM:	Institutional Management
DVC:	Deputy Vice-Chancellor
SJGD	Students' Rag Community Service

APPENDICES

Annexure A: JAFTHA REPORT

Annexure B: Response on the JAFTA REPORT 20 February 2014

Annexure C: The Quarterly Report – Institutional Committee for Research and Innovation (ICRI) and Institutional Committee for teaching and learning (ICTL) 14 September 2016

Annexure D: Soft Review Report - 29 August 2013.

Annexure E: Soft Review Improvement Plan 2013-2014

Annexure F: Report on Community Engagement Indaba Workshop 13 April 2015

Annexure G: From 'Passion to Success', August 2015

Annexure H: Policy on Community Engagement 2016

Annexure I: Processes and Quality manual on Community Engagement, 26 September 2012

Annexure J: Yearly planning of director of community engagement on the Potchefstroom Campus (January until June 2016)

CHAPTER 1

INTRODUCTION AND PROBLEM STATEMENT

“One must seek to live with others in solidarity.. only through communication can human life hold meaning.” — Paulo Freire

1.1 INTRODUCTION AND BACKGROUND

Prior to the late 1990s community engagement was a fairly unknown concept in South African higher education. Community engagement was regarded as the “Cinderella mission” of universities, while the focus was on teaching, learning and research (Lazarus et al., 2008:57). Local communities saw universities as unapproachable ivory towers, far removed from ordinary citizens. Universities only acknowledged communities in order to do research “on” them (Lazarus et al., 2008:62; Wood & Zuber-Skerrit, 2013:2). In more extreme cases higher education institutions treated communities as “laboratories” or passive recipients of expertise (Bringle & Hatcher, 2002:503). Some community engagement projects were even used for financial gain or public relations stunts (Jansen van Rensburg, 2007:173; Kloppers & Froneman, 2009:213).

The democratic framework of the Higher Education Act (101/1997) indicates that institutions of higher learning have a responsibility towards society to engage with all its stakeholders and focus their training and research on the specific needs of the community and make academic expertise available to society. Institutions of higher learning play an important part in the intellectual life of the country and have a major impact on the social, economic and cultural development of the nation (CHE, 2016:2). One of the strategic objectives of Universities South Africa, formerly known as Higher Education South Africa (HESA) is to support South African higher education institutions to perform their function of community engagement by reviewing and increasing the implementation of projects through strategy groups. The aim is to strengthen sector initiatives in the areas of financing of higher education; transformation; research and innovation; teaching and learning; HIV and AIDS; and other emerging issues of relevance to institutions of higher education (CHE, 2016:6).

However, the democratic framework on higher education is not very clear on what is precisely meant by community engagement. It is thus not surprising that higher education institutions interpret community engagement differently.

Community engagement is a specific area within higher education that requires professional development, financing, policy support as well as networks with other higher education leaders around the world (Bender, 2008:82; MacGregor, 2011:1). An executive person should be appointed to manage the community engagement office at a university, together with senior academic and support staff (Lazarus et al., 2008:64, 66, 68).

The community engagement office at the Institutional Office of the North-West University was established in July 2007 with the appointment of a manager¹ of community engagement. Before that there were no formal structures available and no formal thinking on how to integrate community engagement into the university vision and mission. On the Potchefstroom campus the Engagement Office was established in June 2015 with the appointment of the director of community engagement.

One of the most successful community engagement projects of the NWU, is the Holding Hands Project. The project started in 2000 as part of the intervention programmes of the FLAGH (Farm Labour and General Health) study. It started out as a small income-generating project among 38 women living on two commercial farms in the Ventersdorp District of the North West Province. There is a NWU staff member who act as the project manager, who is responsible for the management of the project. Another NWU staff member is the facilitator for the project. The community members elect their own community leaders amongst themselves and each project site have a leader. The community members were trained in basic sewing and embroidery skills. This project has grown tremendously during the past few years and today it has already benefitted more than 160 families and is a successful business with a number of regular clients. The project has an extended range of products. The community members of this community project make, among other things, aprons, handbags, and shopping bags (Niesing, 2013). Another group was trained at Jan Kempdorp - also in basic sewing and embroidery skills. In their local community they do alterations and embroidery and make labels and track suits, as well as designing evening wear and traditional and white wedding dresses. The Ganspan Glass Recycling project started in 2012 with Lifeplan® training with unemployed youth of the region. The Lifeplan® programme is a life-skills training programme that was developed by the Africa Unit for Transdisciplinary Health Research (AUTCHeR) from the North-West University. The programme consists of relevant topics for life skills training, e.g. healthy habits, decision-making, motivation, conflict management etc. The emphasis is on the improvement of living standards and better quality of life (Bonthuys et al., 2011:423).

¹ In 2009 the manager was appointed as the Director of Community Engagement at the Institutional Office of the NWU.

The Early Childhood Development (ECD) Training project started in 2008 after education lecturers and students became aware of the huge need for training of teachers/care-givers of day-care centres in the informal settlements of Potchefstroom (North West Province). Aspects such as child development, hygiene, daily programmes and school management, form part of the training course that is presented on Saturday mornings on the North-West University (Potchefstroom Campus) by the project manager (Janse van Rensburg, 2013).

The NWU defines community engagement as

activities performed by staff and students primarily aimed at uplifting society and or individuals in need of assistance or engagement. The engagement should be actively linked to identifiable needs of both the university and the community. These activities should be interactively linked to an identifiable group in a community outside/inside the institution. It is part of a core function of the university to nurture and manage partnerships with communities thereby facilitating cooperation between various communities and the university, and providing the means whereby both parties can actively discover knowledge, teach, and learn from each other in a reciprocal, mutually beneficial relationship (NWU, 2016a:3).

Communication within community engagement is about the building of relationships among all participants (between staff of the NWU and between the staff of the NWU and the community). The building of relationships establishes a sense of understanding, responsibility for and ownership of the engagement process. If there is not a good relationship, the attention of the participants is also not necessarily captured in a way that encourages them to focus their efforts on the engagement process (Heil et al., 2010:108). The building of relationships in participation is facilitated by participatory communication, therefore community engagement in higher education must include participatory communication processes. Participatory communication, as part of the community engagement process, will only facilitate a mutually beneficial relationship if the engagement process is sustained over the long-term and continued communication between the participants leads to the development of trust and mutual respect between all participants. It will be argued in this study that social change lies at the core of community engagement, also in the context of service learning, and as such should be informed by the participatory communication for social change approach. However the participatory approach for social change could not just be duplicated to fit communication within community engagement. The participatory approach for social change should therefore be redefined to fit the higher education context.

Although it is widely accepted that the participatory communication approach is the normative approach in social change, there is not a universally accepted definition of participatory communication (Servaes, 1995:47; Jacobson & Storey, 2004:99; Otto & Fourie, 2009:225). However, some central themes in the literature on participatory communication could be identified and these could possibly serve as guidelines for a conceptual framework for communication within community engagement: participation, dialogue and empowerment leading to self-reliance and the importance of the social context.

Participation is regarded as the cornerstone of any democracy; however, participation in social change is a very complex process. Participation happens in different phases and on different levels that are influenced by different factors such as political power, social levels or power imbalances in a community. Participation can be seen as a means to an end, or a valuable end in itself to affect the outcome of a process for social change. Scholars agree that there is no uniform definition of participation and various definitions and ideas on participation exist (see Arnstein, 1969:216; Baum, *et al.*, 2000:414; Deetz & Simpson, 2004:151; Jacobson & Storey, 2004:116; Dasgupta, 2009:159; McPhail, 2009:201). For the purposes of this study, participation will be defined as involvement of the local community in social change from the early stages of the initiation, project planning and policy-making through the process of managing the project, and monitoring and evaluation of the project.

This process of participation presumes dialogical interaction. Dialogue can be seen as a face-to-face, two-way process through which individuals are able to express their views, question the views of others, engage in arguments and debate, and therefore arrive at a possible collective decision (Thompson, 1995:84, 254). Dialogue is central to the participatory approach, and the ground-breaking work of Paulo Freire, a Brazilian pedagogue, is very important to the development of thoughts on dialogue. Freire proposed a problem-based model for education where students are aware of their social, political and economic conditions and by means of discussion create possible solutions. It is through dialogue that people themselves critically define who they are, what they need and how to get what they need in order to improve their own lives (Freire, 1992:36, 61, 103).

It is important to remember that communication within community engagement occurs within a certain social context, which entails a unique, local culture, worldview, cultural beliefs, ceremonies, norms, rules, religion, gender roles, language, economic and political conditions, historical and geographical settings, family, education and work that give meaning to people's lives. Cultural diversity must be embraced within a multiple communication process, in which all participants in a community participate (see Whiting, 1976:113; Waisbord, 2001:29; Mato,

2004:674; Colle, 2008:96; Gumucio-Dagron, 2008:69; Servaes, 2008:27; Servaes & Malikhao, 2008:170; Mefalopulos, 2008:8,19; Bosch, 2009:56; Gutek, 2011:458,459,463; Servaes et al., 2012:118).

Besides the importance of the dialogical nature of the participatory communication approach, as well as the sensitivity towards the social context, the community must realise that they are active participants in their own empowerment and not mere beneficiaries of social change efforts. When communities see themselves as important participants in a project, they identify with the objectives of the project and they feel a responsibility to commit to the positive outcome. Freire (1992:89) indicated that the awareness of the circumstances of a person (*conscientizacao/consciousness-raising*), will lead to a personal commitment to work towards social change. The on-going process of empowerment leads to self-reliance as communities integrate their skills, knowledge and resources to obtain a higher quality of life (Freire, 1992:32; Engberg, 1995:95; Gutiérrez, 1995:229; Musampa, 2007:89; Servaes, 2008:27).

1.2 PROBLEM STATEMENT

NWU (Potchefstroom Campus) engages in a vast variety of community engagement projects, with a strong focus on volunteerism/outreach/charity, which is not linked to any form of teaching-learning or research. However, for many years there was only a draft policy to facilitate community engagement at this university. From this follows two major inter-related inadequacies, namely

- that there is not a clear understanding of what communication within community engagement in the higher education environment entails,
- and in the case of the NWU, a communication framework for the management of community engagement is lacking.

This study focuses, from a communication for social change perspective, on two aspects of such a strategic framework.

1.3 RESEARCH QUESTION

In the light of the above-mentioned arguments, the following research question arises:

What would a conceptual framework for communication within community engagement at the NWU (Potchefstroom Campus), based on the principles of the participatory approach to communication for social change, look like?

1.3.1 Specific research questions

In order to answer the above-mentioned general research question, the following specific research questions are posed:

1. How can the principles of the participatory approach to communication for social change, including participation, dialogue, self-reliance and the importance of the social context, contribute to a conceptual framework for community engagement projects at the NWU (Potchefstroom Campus)?
2. How do the staff of the NWU perceive the communication challenges in the policy formulation and implementation of community engagement, at the NWU (Potchefstroom Campus)?
3. How do the project leaders and active participants of the Holding Hands Project and the Early Childhood Development (ECD) Training Project perceive the process of communication between the project leaders and the active members of the two different projects?

1.4 RESEARCH AIM

To determine what a conceptual framework for communication within community engagement projects at the NWU (Potchefstroom Campus), based on the principles of the participatory approach to communication for social change, could look like.

1.5 SPECIFIC RESEARCH OBJECTIVES

To achieve the aim of the study, the specific objectives are to:

1. determine how the principles of the participatory approach to communication for social change, including participation, dialogue, self-reliance and the importance of the social context, could contribute to a conceptual framework for community engagement projects at the NWU (Potchefstroom Campus) by means of a literature study;
2. determine the communication challenges of policy formulation and implementation of community engagement at the NWU (Potchefstroom Campus) by means of a document analysis and semi-structured interviews;
3. determine how the project leaders and active participants of the Holding Hands Project and the Early Childhood Development (ECD) Training Project perceive the process of communication between them, by means of semi-structured interviews and focus groups

1.6 CENTRAL THEORETICAL ARGUMENTS

The following arguments serve as the theoretical foundation of the study:

- Metatheoretically the study is approached from the phenomenological tradition, firmly based on dialogue and participation, explaining the dynamics in dialogue and participation, because this is important to understand the communication practices that enable and sustain relationships within the institution of higher education and in the community. The explanation of communication practices is based on the experiences and perceptions of the staff members of the university and the community members and the meaning they attach to it (see Lindlof & Taylor, 2002; Craig & Muller, 2007:56; Frost, 2011:194).
- The communication with communities, with regards to community engagement projects, should be participatory as the communities are not merely beneficiaries, but part of the discussion and decision-making process of social change. These partnerships between communities and higher educational institutions are a strategy for sustainable social change (Bessette, 2004:19). Both the higher educational institution, and the participating communities, have knowledge and skills to contribute to social change. Combining these efforts by forming a partnership will result in a much stronger strategy.

1.7 RESEARCH DESIGN

1.7.1 Orientation and approach

The research approach in this study will be qualitative in nature. Qualitative research is concerned with understanding the processes and the social and cultural contexts which shape various behavioural patterns. It strives to create a coherent story as it is seen through the eyes of those who are part of that story. The richness and depth of qualitative data would be more valuable to the understanding of the phenomena of communication within community engagement in higher education (see Henning et al., 2004:3; Rensburg & Cant, 2009:72; Wagner et al., 2012: 126-127)(see chapter 3 for a more in-depth discussion).

1.7.2 Literature study

A literature study regarding the participatory approach to communication for social change was done by consulting primary literature sources, such as books, periodicals, and legislative documents. A preliminary analysis indicated that adequate research material and literature are available to do research on this topic. The following databases were consulted to ascertain the availability of material for the purpose of this research: Catalogue of books: Ferdinand Postma

Library (North-West University); Catalogue of journals: Ferdinand Postma Library (North-West University); EBSCO HOST Database; LexisNexis Database; Sabinet Online Databases; ScienceDirect Database; Catalogue of Theses and Dissertation of South African Universities (GKPV); Internet search data basis and search engines, such as (Google Scholar).

A number of studies on participatory communication have been done previously in the context of CSR communication, but few studies focused on the perceptions of the community as a relevant participant. Degenaar (1996) did a qualitative study on the social responsibility programmes that were part of the activities of the department of public relations at the former Potchefstroom University for Christian Higher Education (today, the North-West University, Potchefstroom Campus). The study confirmed that the social responsibility programmes facilitated by the then department of public relations were not as such part of the normal scope of public relations. However the public relations activities could be linked to the Christian mission and vision of the university. The study also indicated that the programmes facilitated by the university, were in line with the principles of the Reconstruction and Development Plan (RDP) of the Government of National Unity (Degenaar, 1996:92). Jansen van Rensburg (2007) did a qualitative study on strategic communication management of the corporate social responsibility programmes at the North-West University (Potchefstroom Campus). The current study differs from the above-mentioned studies as the previous studies focused more on the strategic communication perspective and this study focuses on communication for social change specifically in community engagement projects of the North-West University (Potchefstroom Campus).

1.7.3 Motivation for selection of case studies

The aim would not be to compare the projects, but to obtain an understanding of community engagement at the NWU (Potchefstroom Campus) by investigating two different projects, which include different communities and have different project goals. The two projects are also from different faculties; as Holding Hands is a project within the Faculty of Health Sciences and the ECD Training Project is a project within the Faculty of Education Sciences. Furthermore, the sampling criteria were to select projects that define and manage their community engagement differently. This specific campus of the university was selected as this is currently the campus with the most community engagement projects.

1.7.4 Document analysis

Documents can be seen as symbolic representations or evidence of events that took place between people or groups and provide background information. The meaning as well as the

situation in which documents emerge is significant. Document analysis can be described as a method where documents will be analysed by identifying and labelling relevant information/themes/patterns that can be used to understand and interpret the social context (Bryman, 2012:554; Rossman & Rallis, 2012:313; Silva, 2012:141,144; Arthur, 2013:138; Leedy & Ormrod, 2013:159; Bertram & Christiansen, 2014:97; Owen, 2014:8). In the case of this study relevant strategy documentation will be analysed to identify the communication challenges in the policy formulation and implementation of community engagement at the NWU (Potchefstroom Campus).

1.7.5 Semi-structured interviews

Semi-structured interviews usually take place in a non-interview setting, e.g. a school playground, in a taxi, factory, etc. The interviewer only has a list with topics to be discussed. The interviewer is allowed to probe or ask additional questions (Holstein & Gubrium, 2004:144,157). Semi-structured interviews were conducted with the Director of Community Engagement at the Institutional Office of the NWU as well as the Director of Community Engagement at the NWU (Potchefstroom Campus) because they are the main role players who give definition to community engagement and how it is practised at this institution. A semi-structured interview was also conducted with each of the project leaders of the two different projects, namely the Holding Hands project and the Early Childhood Development (ECD) Training Project. These semi-structured interviews are a search and discovery to determine the nature of the engagement, especially pertaining to the principles of the participatory approach to communication for social change. This method was chosen because it allows the interviewer to easily ask additional questions when more information on a certain topic surface.

1.7.6 Focus groups

A focus group can be described as a small group of people interacting with each other while being facilitated by a researcher. Focus groups are a method that represents a more 'normal' situation than that of an individual interview. The aim of a focus group is to promote self-disclosure (Greeff, 2013). Members in the group "can spark each other off" and has an influence on the perceptions of each other (Krueger, 1994:19; Wellington & Szczerbinski, 2007: 89). Focus groups were conducted with selected representatives of community engagement projects. There were at least three focus groups with four participants in each focus group. However, focus groups were conducted until saturation was reached. The main aim of the focus groups was to understand the perceptions that they have with regards to the process of communication with the staff of the NWU (Potchefstroom Campus).

1.7.7 Personal observation

Personal observation can be described as a method whereby people are not removed from their contexts and daily activities and their behaviour is not manipulated through experimental design. This method was used to triangulate data, to verify non-verbal behaviour that was used in the semi-structured interviews and to learn about social norms in the community. Personal observation is different from focus groups as the community members are allowed to speak in their own languages and carry on with their daily activities, while the researcher observed interactions as they occurred. The researcher used field notes to record the observations of contextual information, like the lay-out of the area, the size of the room, the furniture, the activities that took place, notes on conversations and non-verbal behaviour (Nolas, 2011: 22,23,29; Kawulich, 2012:154).

In this study personal observation complemented the semi-structured interviews and focus groups and served as a method of triangulation.

1.8 CONTRIBUTIONS OF THE STUDY

On a theoretical level this study will contribute to suggesting a conceptual framework for community engagement projects in the higher education environment, based on the principles of the participatory approach to communication for social change. In suggesting a framework to facilitate community engagement, based on the principles of the participatory approach to communication for social change this study will contribute to the legal obligation of institutions of higher education as indicated in the Higher Education Act (101/1997) as well as the sustainable community projects. On the other hand, communities will benefit as dialogue will give them “a voice”. Sustainable engagement with communities can lead to sustainable projects in communities that desperately need it.

1.9 CHAPTER LAY-OUT

Chapter 1: Introduction and problem statement

As background, this chapter stated the research questions and objectives, as well as the social context of this study. The management of community engagement in the higher education sector, as well as legislature on higher education sector was discussed. This chapter also introduced the qualitative research approach used in this study.

Chapter 2: Theoretical perspective: Participatory communication for social change

By means of a literature study, this chapter critically reviews the range of theories within the field of communication for social change, namely the modernisation approach, the dependency approach; the basic needs approach as well as the multiplicity framework. A critical discussion on the chosen theory for this study, the participatory approach, forms the core of this chapter in order to be able to propose a conceptual framework for community engagement.

Chapter 3: Research methods

This chapter deals in detail with the motivation for choosing a qualitative research approach, the research methods and triangulation; collecting of the data during the data analysis, semi-structured interviews and focus groups.

Chapter 4: Community engagement at the North-West University (Potchefstroom Campus)

This chapter consists of the empirical findings of the document analysis, as well as the semi-structured interviews with the management of Community Engagement at the NWU, Potchefstroom Campus.

Chapter 5: Empirical findings - perceptions on the communication between the NWU (Potchefstroom Campus) and the community

This chapter consists of the empirical findings of the study pertaining to the perceptions of the NWU staff and the community, which is part of the community engagement projects.

Chapter 6: Conclusion and recommendations

The conclusion, based on the findings and recommendations that emanated from this study is provided. A conceptual framework, based on the findings is proposed. This chapter also reflects on some of the challenges and limitations of this study, as well as some suggestions for future research. - ✎ -

CHAPTER 2

THEORETICAL PERSPECTIVE - PARTICIPATORY COMMUNICATION FOR SOCIAL CHANGE

“Some may think that to affirm dialogue is naively and subjectively idealistic. There is nothing, however, more real or concrete than people in the world and with the world, than humans with other humans.” Paulo Freire

2.1 INTRODUCTION

In the previous chapter it was indicated that participatory communication lies at the heart of community engagement.

What would a conceptual framework for communication within community engagement at the NWU (Potchefstroom Campus), based on the principles of the participatory approach to communication for social change, look like?

In order to propose a conceptual framework for communication within community engagement at the North-West University (Potchefstroom Campus), based on a participatory communication approach, this chapter, by means of a literature study, critically reviews the difference between development communication and communication for social change. The range of theories, namely the modernisation approach, the dependency approach; the basic needs approach as well as the multiplicity framework, is discussed. A critical discussion of the normative theory within the field of communication for social change, namely the participatory approach to communication for social change, also forms part of this chapter. The discussion strongly focuses on the most important principles of the participatory approach, namely participation, dialogue, empowerment that leads to self-reliance and the importance of the social context. This chapter aims to answer the following specific research question:

How can the principles of the participatory approach to communication for social change, including participation, dialogue, empowerment that leads to self-reliance and the importance of the social context, contribute to a conceptual framework for community engagement projects at the North-West University (Potchefstroom Campus)?

2.2 DEVELOPMENT AND SOCIAL CHANGE

The term *development* suggests a process with a definite beginning and an end. However, this is not fitting for the complexity of the physical, social, economic and psychological challenges of the marginalised groupings that form the community of the North-West University (Potchefstroom Campus) (see Wetmore & Theron, 1998:32).

Community engagement is an on-going, process with the aim of “engaging the community to take action” (Driscoll, 2009:8-9; Thompson, et al. 2009:7,19; Hart & Northmore, 2010: 49; Mahlomahole et al., 2010:284; Msibi & Penzhorn, 2010:225; Wood & Zuber-Skerrit, 2013:10). This on-going process is facilitated by participatory communication. Participatory communication processes are important mechanisms that can bring about effective social change (Msibi & Penzhorn, 2010:225). Social change, which implies a unique, ongoing, integral, multidimensional and dialectic process which can differ from society to society, community to community and context to context is needed for community engagement at the North-West University (Potchefstroom Campus) (see Rogers & Shoemaker, 1971:7; Servaes, et al., 2012:105).

2.3 DEVELOPMENT COMMUNICATION AND COMMUNICATION FOR SOCIAL CHANGE

Since it emerged, communication for social change has undergone a constant process of redefinition through the years as thinking on communication, development and social change evolved over time (Sáez, 2013:549; Carciotto & Dinbabo, 2013:69).

2.3.1 Development communication

From the literature it is evident that development communication is seen as a monological, ‘top-down’, linear communication, that focus on economic growth as a goal to tackle the immediate symptoms of poverty (Figuerola et al., 2002:3; Gray-Felder et al., 2005:3).

This type of communication was typical of communication models in the modernisation approach. “Assistance” from outside the community, was focused on persuasion and the transmission of information, without taking the real needs of the community into account (Dagron, 2002:3; Figuerola et al., 2002: ii; Servaes & Verschooten, 2002:3; Servaes & Malikhao, 2002:2). It includes information dissemination which is the giving of information to an “ignorant” community (Schramm, 1964:44). It also includes education and awareness-raising which is a process when attention is focused on an issue and certain values is reinforced though

communication (Klapper, 1964:17). Edutainment is a communication strategy that makes use of entertainment media such as soap operas, songs, cartoons, or comics to transmit information to encourage behaviour change (Cooper et al., 2010:5). Community mobilization is the process when people in a community are unified for a certain purpose (Nyden et al., 2008:4). Behaviour change communication encompasses strategic communication approaches to enhance individual behaviour change (Tufte & Mefalopulos, 2009:1). Social marketing has its roots in the diffusion approach and is associated closely with behaviour change communication. It draws on commercial marketing and advertising techniques to promote socially beneficial practices, e.g. the use of family planning methods in health communication interventions (MRAP, 2007:6; Cooper et al., 2010:5). Media advocacy often “speak for” the community instead of empowering them, to speak for themselves (MRAP, 2007:7).

Within these early models of communication there were few participatory elements. The assumption was that the power of communication to enhance development lay in the correct crafting of the content of messages as well as in the adequate targeting of audiences. The participation of audiences was not considered. Traces of this approach can still be seen in community engagement projects at the NWU (Potchefstroom Campus) SRCS² projects. One of the projects is *Angels Preschool* where students are raising funds to be able to build a brick structure, as the current temporary structure (shack) is unsafe (NWU, 2016b).

2.3.2 Communication for social change

In contrast to early models of development communication, communication for social change can be defined as a social ‘bottom-up’, inclusive, two-way communication process by placing ownership, access and control of communication directly in the hands of the community (Msibi & Penzhorn, 2010:235; Carciotto & Dinbabo, 2013:65). This shifts control of media, messages, tools and content of communication from the powerful to the traditionally powerless (Gray-Felder, 2005:4). This implies that a community defines who they are, what they need and how to get what they need in order to improve their own lives. The emphasis of this communication process is on dialogue and participation so that communities become the agents of their own change (Figueroa et al., 2002:32; Servaes, 2002a:1,3,5; Gray-Felder, 2005:3; Servaes, 2008:15; Msibi & Penzhorn, 2010:231).

The participation approach to communication for social change evolved over the years out of the failed promises of past approaches and is currently the norm and used in many community engagement projects (Dervin & Huesca, 1997:46; Tufte & Mefalopulos, 2009:3).

² SRCS: Students’ Rag Community Service

In the next section these past approaches will be discussed in order to fully understand the context in which communication for social change developed over the years.

2.4 APPROACHES WITHIN THE FIELD OF DEVELOPMENT COMMUNICATION

2.4.1 The modernisation approach

In the late 5th century, the term “modern” (Latin form “modernus”) was first used in order to distinguish the present from the past or the transition from the old to the new (Habermas & Ben-Habib, 1981:3). The term is also linked to the description of communication within a development setting, namely the modernisation approach.

During World War II communication studies evolved around the powerful media and the use of propaganda. Theories such as the bullet theory and the hypodermic needle theory describe the concept of the effect of a powerful mass media on a homogenous audience as “magic bullet” effects in changing attitudes and behaviour (De Fleur Ball-Rokeach, 1982:161; Waisbord, 2001:3).

After World War II, it was believed that the aim of development should be to create replicas of the USA in developing countries, with exactly the same political-economic systems (Servaes, 2002a:3). It was thought that the increase in the flow of information from the mass media would plant the seed for development (Schramm, 1964:44). The work of Daniel Lerner “The passing of tradition society” (1958) is very significant in this regard. Lerner analysed the history of modernisation in the Middle East to explain why individuals and institutions modernise together (Lerner, 1958:438). In this particular study he sees the process of modernisation occurring in three linear phases, namely, urbanisation, increase in literacy and media growth (Servaes, 1995:45). There is a causal relationship between these phases as literate communities develop the media and in turn spread literacy. It is against this background that communication scholars came to the conclusion that mass media serves as “the great multiplier” in development, as it can spread knowledge and attitudes quicker and wider than was possible before (Lerner, 1958:77-78; Schramm, 1964:47; Servaes & Malikhao, 2002:232; McPhail, 2009b:199; Szalvai, 2009:177).

2.4.1.1 The main elements of the modernisation approach

Rogers (1983:120) identified four main concepts within the modernisation approach, namely economic growth, capital-intensive technology, centralised planning as well as internal causes that were to blame for underdevelopment.

2.4.1.2 Economic growth

Within the modernisation approach the success of development was measured in terms of statistical data. Economic growth through industrialisation, private enterprise and globalization was central within the modernisation approach. Scholars believed that economic growth would automatically “trickle down” to benefit all sections of the population (Rogers, 1983:120; Keeton, 1984:277; Mowlana & Wilson, 1990:5; Waisbord, 2001:2; Porras & Steeves, 2009:157; McPhail, 2009b:201; Szalvai, 2009:177; Sáez, 2013:551).

2.4.1.2.1 Capital-intensive technology

Industrialisation was seen as the main route to economic growth. Third-World countries were encouraged to invest in big industries and manufacturing units. Research and technological advancement was seen as progress. Development projects were funded by US Federal grants and executed by international organisations like the United Nations, World Bank and International Monetary Fund (Roger, 1960:38; Roger, 1976: 215; Melkote, 1991:60-61; Ayee, 1993:26; Heller, 1999:42,44,138; Waisbord, 2001:2; Porras & Steeves, 2009:149).

2.4.1.2.2 Centralised planning

The modernisation approach was at the macro-level of society. Participation to identify social problems and offer solutions happened at higher levels of government with no input of the local community (Melkote, 1991:57; Tufte & Mefalopulos, 2009:7).

2.4.1.2.3 Mainly internal causes were to blame for under-development

It was believed that culture, such as interpersonal networks, traditional dances and music, was a stumbling block in the way of social change (Rogers, 1960:38). Most scholars during the 1950s and 1960s suggested that ‘under-development’ in Third-World countries could be solved by applying the neo-classical paradigm which had served as an important model for Western economies. Scholars such as David McClelland, Daniel Lerner, and Alex Inkeles described certain value-normative complexes which were responsible for the modernisation of individuals in the West and which the Third World was lacking. The aim of the dynamics of modernity was to destroy the life of tradition through the transfer of media technology and the diffusion of innovations and culture that originated in the West (Schramm, 1979:4; Servaes, 1995:39; White, 2004:9; Sáez, 2013:552). The western model was seen as the ideal model to be followed in the rest of the world. Scholars believed that problems of under-development were basically rooted in the lack of knowledge and the resistance to innovation. This was perceived as being ethnocentric (Gray-Felder, 2005:4; Tufte & Mefalopulos, 2009:7).

2.4.1.3 Communication within the modernisation approach

Communication within the modernisation approach was mainly the provision of information, through the mass media, by using a uniform message. This was in accord with the dominant communication models at the time.

2.4.1.3.1 Dissemination of information

Giving of information was regarded as a noble effort aimed at development and was channelled down in a persuasive and authoritarian tone, to a passive and uninformed audience, through a linear and one-way approach (Servaes, 2002b:288). When feedback was included, it was treated as “knowledge of effects” (Figueroa et al., 2002:3).

2.4.1.3.2 Mass media

The message was controlled by using the mass media (newspapers, radio, cinemas, television) from a centralised venue and keeping power within the initial communicators (Rahim, 1994:131; Burger, 1998:145; Waisbord, 2001:3). The exaggerated belief in the magical powers of the mass media as an agent of change, derived from the fact that communicators envisioned their profession as a form of social engineering to persuade the masses to adopt modernisation (Sáez, 2013:552). The success of a campaign was measured by the size of the audience – how many people were reading the newspapers, or listening to the radio programmes. Thus, the use of media was seen as participation (Melkote, 1991:57; Rahim, 1994:131; Burger, 1998:145; Waisbord, 2001:4; Besette, 2004:15).

2.4.1.3.3 A uniform message

A uniform message was formulated for all the segments of the audience. It was assumed that all communication had to be treated as a persuasive process and that a message would always have an effect (Melkote, 1991:65; McQuail; 1994:44; Servaes, 1995:39; Cooper et al., 2010:5).

2.4.1.3.4 Dominating communication models

Dominating communication models within the modernisation approach to communication include the Lasswell Model (1948) that indicated that interpersonal communication worked on the same principle as mass communication: “who says what, through which channel, to whom and with what effect?” (Melkote, 1991:65; Tufte & Mefalopulos, 2009:1). This viewpoint dated back to American research on campaigns and diffusions in the late 1940s and 1950s (Servaes, 2002a:9).

During this time, Katz and Lazarsfeld's two-step flow model of mass media and personal influence also emerged that indicated that the mass media do not operate in a social vacuum but have an input into a very complex web of social relationships and compete with other sources of ideas, knowledge and power (McQuail & Windahl, 1981:49-50). Research on this model led to the development of the multi-step flow model that indicated that the dissemination of ideas is not a simple two-step process (Littlejohn, 1996:335).

Another model explaining the transmission of information was the linear model of Shannon and Weaver (Servaes, 1995:43; Servaes & Malikhao, 2002:227). This mathematical model became extremely influential in communication studies and states that there are five functions and only one dysfunctional factor, viz. noise (McQuail & Windahl, 1981:13; Rahim, 1994:133). Noise is defined as ambiguity, contradiction and redundancy. Ambiguity refers to vagueness, lack of specificity, mumbling, hinting and things half-said. Contradictions refer to making internally contradictory statements or contradictions between verbal and non-verbal communication. Redundancy refers to repetition and other unnecessary statements. This simplistic model did not offer any explanation on the context of the relevant communication (McQuail, 1994:45; Waisbord, 2001:3; Koprowska, 2010:11).

2.4.1.4 Critique against the modernisation approach

Development in the Third World nations did not fit in with the assumptions of modernisation and proved to be mainly unsuccessful, naive and overly optimistic (Schramm, 1979:1; Melkote, 1991:96; Servaes & Malikhao, 2002:238; Phail, 2009b:207; Sáez, 2013:552). For the most part the modernisation approach was undemocratic and unequal, lacking participation of the local community. It was also ethnocentric and paternalistic as the focus was on Western culture, with no room for the specific language, rituals, customs, beliefs and cultures of local communities (Waisbord, 2001:17).

Communication within the modernisation approach was only one way; top-down persuasion, so the chances for participation of local communities were practically absent (Servaes, 2002b:288). The mass media played a central role in introducing innovations and trivial entertainment, but were not interested in assisting with social issues (Waisbord, 2001:16). People were defined as consumers of products or services and not seen as true participants in their own social change (Porrás & Steeves, 2009:146). Since the early 1940s it was evident from studies that the effect of the mass media was totally overrated as other factors such as the importance of opinion leaders were not taken into account. It was evident that mass communication should be combined with interpersonal communication to give critical information on social issues (Rogers & Kincaid, 1981:82-83; Rogers, 1983:25,120; Servaes & Malikhao, 2002:232). The

incorporation of more interpersonal elements offered useful tools for assessing existing opinions in communities and creating awareness and initiating dialogue (MRAP, 2007:6; Cooper et al., 2010:5; Carciotto & Dinbabo, 2013:66).

The notion that societies had to follow the same Western model as the ultimate goal to reach, contributed to the failure of the modernisation approach (Canclini, 1992:21; Sáez, 2013:549).

Today, nobody would dare to make optimistic claims about this approach. However, traces of this approach still do linger on and continue to influence practices of community engagement at the NWU (Potchefstroom Campus).

2.4.2 The dependency approach

2.4.2.1 Origin of the dependency approach

The dependency approach originated in Latin America and was informed by neo-Marxist and structuralist approaches (Valenzuela & Valenzuela, 1978:549; Hein, 1992:495; Servaes, 1995:41; Sáez, 2013:552). Baran (1957) can be considered as the founding father of the dependency approach as he was the first to argue that development and under-development had to be seen as interrelated processes (Servaes, 1991:57). Long after the end of colonialism, developing countries were still dependent on developed countries to ensure the reproduction of socioeconomic and political structures (Servaes, 1995:41). Problems of the Third World were viewed from a Western perspective and the lack of development was viewed as being to blame for the unequal distribution of resources (Servaes, 1995:45). However, problems of the Third World were often political and not a result of a lack of information (Hein, 1992:513). It was evident that in order for development to occur, a transformation of general distribution of power and resources, such as health care facilities and equal land distribution had to take place (Valenzuela & Valenzuela, 1978:543; Heller, 1999:93; Waisbord, 2001:16).

2.4.2.2 Communication component of the dependency approach

The communication component of the dependency approach focused on the criticism of cultural imperialism. The world's communication media were largely controlled by governments of Western countries and Third-World countries had limited participation (McQuail, 1994:178). Countries like the USA, dominated the international flow of news and culture. They supplied poor countries with material to fill domestic media (Stevenson, 1988:8). This situation has been explained in terms of a 'centre-periphery' model of news flow. According to this model the world is divided into either dominant central or dependent peripheral countries, with a predominant news flow from the former towards the latter. This model portrays the condition of multiple

dependencies in the flow of communication from more developed to less developed countries. There is no or little flow of news between peripheral countries themselves, although there are regional patterns of news flow and dependency, which lead to some intra-peripheral news relationships (McQual, 1994:180).

The dependency approach played an important role in the movement for a New World Information and Communication Order from the late 1960s to the early 1980s (Servaes, 1995:41). Representatives from Third-World countries proposed communication policies that emphasised the need for governments to control media structures and oppose domestic and foreign elites and business interests (Waisbord, 2001:17). The goal was to place communication strategies at the service of development from a nationalist approach to achieve development (Sáez, 2013:553).

2.4.2.3 Critique against the dependency approach to communication

The dependency approach was basically a historical framework that gave correct explanations of the problems of the Third World (Valenzuela & Valenzuela, 1978:550). However, it offered inadequate solutions to problems of development. A new viewpoint on development emerged from the assumption that communities do not function completely on their own. Neither are there communities whose social change is exclusively determined by external factors. In every society there is a degree of dependency in one way or another (Servaes, 2002a:5).

2.4.3 The basic needs approach

There is no distinct theory or set of policies that can be isolated and defined as the basic needs approach. Instead the approach represents a broad outlook on development. The line of thought that emerged from the basic needs approach is, however, important for the current study. The basic needs approach was a first step in the direction of taking communities' needs into account.

2.4.3.1 The main elements of the basic needs approach

2.4.3.1.1 Needs analysis

The basic needs approach focused on needs analysis of communities, e.g. basic needs such as food, clean water, fresh air, sleep, shelter and protection (Keeton, 1984:283; Reber, 1995:485). As indicated earlier the Holding Hands Project started as an intervention programme (§1.7.3). The assumption was that if the basic needs of a community, such as nutrition, housing, clothing, health, sanitation, water, education and transport were met, the intervention was successful

(see Servaes, 1995:42; Bessette, 2004:13). Employment was also often included as a basic need because it can assist in alleviating poverty (Krige, 1989:173).

2.4.3.1.2 Alleviation of poverty

Poverty in itself is a complex social, economic and psychological concept. Poverty and basic needs can be both absolute and relative as communities must determine for themselves what their basic needs are (Keeton, 1984:283).

The basic needs approach recognises that as long as communities remain deprived of the essentials for an economically productive life, they would neither contribute to, nor benefit from, economic growth (Coetzee & Ligthelm, 1992:354). There have been different viewpoints within the basic needs approach. One of them was the importance of “handouts”. The thinking was that poverty would be alleviated by “giving” the community what it needs. Projects that would alleviate poverty would include soup kitchens, feeding schemes, donation of clothing, etc.

2.4.3.2 Critique against the basic needs approach

The basic needs approach was basically a scaled-down version of modernisation. It also turned out to be a failure as it was evident that there were underlying structural issues that handicapped social change in Third World countries, such as mismanagement as well as corruption of funding (McPhail, 2009b:202,203). It was evident that Third-World countries became more and more dependent on foreign aid and generated more debt instead of economic prosperity (Servaes, 1995:42). The basic needs approach does give assistance towards the alleviation of the symptoms of poverty but does not offer a solution towards the causes. This approach also does not take into account some religious and cultural barriers that may obstruct the introduction of new health, nutritional and housing programmes (Keeton, 1984:288).

The use of mass media within the basic needs approach was almost the same as in the modernisation approach, but with smaller-scale media like posters, slide shows, industrial theatre, flipcharts and community radio. The basic needs approach claims the necessity for participation, but does not give answers or offer instruments to overcome social challenges. However, thoughts on the importance of participation in social and communication processes started during the seventies when governments, donors, civil society, and ordinary citizens have raised fundamental questions about Western domination of development processes (Tufte & Mefalopulos, 2009:3).

2.4.4 Development Support Communication

Although the concept of Development Support Communication has been in existence since the late 1960s, it was only in the late 1970s that centres of excellence in teaching and research, such as the University of Iowa and other universities in the Philippines and Canada introduced degree programmes specifically in Development Support Communication (Agunga, 1990:152). Development Support Communication entails lateral knowledge sharing between sponsors and recipients, which is embedded in a participatory approach where control over basic needs is not relinquished to an outside source, but directed at the local community and aims to create a climate of shared understanding between participants (Ascroft & Masilela, 1989:16). Within Development Support Communication, communication became an integral part of development projects (Waisbord, 2001:4). The pioneering work of Erskine Childers is worth mentioning. Although Erskine did not write any books related to development communication, he and his wife (Mallica Vajrathan) dedicated many years of their lives advocating that communication must be part of development projects (Colle, 2002:5,31). They put great emphasis on planning and research, two aspects that have great relevance today. Development Support Communication, however, did not escape controversy. It is criticised for rendering uninspiring empirical results in development projects mainly because the aim of “Third World Development” was too broad, insufficiently operationalised and overwhelmed by historical and cultural biases (FAO, 2002:11). Another objection is that Development Support Communication did not do much to address practices and structures that preserve power inequities in society (Melkote, 2000:40). Notwithstanding the critique against Development Support Communication, the researcher regarded its principles of horizontal knowledge sharing, embeddedness in a participatory approach where control over needs are kept in the hands of community members who participate in development projects at grass roots level and where a climate for mutual understanding can be created to pave the way for collective action and the possibility of sustainable empowerment projects.

2.5 APPROACHES WITHIN THE FIELD OF COMMUNICATION FOR SOCIAL CHANGE

It was evident that scholars in development needed a new concept of development communication that focused more on cultural identity and multidimensionality. Critical revisions of the dependency approach led to the multiplicity approach, which is one of the approaches within the field of communication for social change (§2.3.2).

2.5.1 The multiplicity approach

The main theme of the multiplicity approach was the focus on change that had to be structural and its occurrence at multiple levels, in order to achieve sustainable social change (Servaes & Lie, 2013:8). Other aspects, such as the focus on culture, were also very important.

2.5.1.1 The importance of structural change

It indicated that social change must lead to structural change at all levels, starting with the eradication of poverty. Structural change involves the redistribution of power. Many communication experts agree that structural change should occur first, in order to establish participatory communication policies and a more decentralised media (Servaes, 2002a:21; Servaes & Malikhao, 2002:224). The multiplicity approach indicated that the multiple relationships in the multiple levels, global, national and local, had to be studied separately as well as together to find answers for social change (Houston & Jackson, 2009:100; McPhail, 2009a:3; Sáez, 2013:154)

It was evident that perspectives on development shifted from a comparative approach to a normative, qualitative and structural approach. There was also a shift from highly prescribed processes to more change-oriented processes. An ethnocentric view, which had an economic interest, was replaced with a more interdisciplinary contextual view of social change (Servaes & Malikhao, 2002:224).

2.5.1.2 The importance of culture

This approach focuses on practices and policies with a social or cultural lens and have the ability to enrich curricula as a form of “new” knowledge (see Servaes, 1995:42; Servaes & Malikhao, 2002:223; Huesca, 2002:269). Culture was now seen from a more multiple appreciation of holistic and complex perspectives, which is in harmony with the environment (Servaes & Malikhao, 2002:223,241). This was in stark contrast with the modernization approaches where local culture was seen as a stumbling block.

2.5.1.3 Sustainability

The term “sustainability” became dominant in social change thinking and the so-called Brundtland Report (“Our Common Future”) which gave major attention to environmental policies and prepared the way for the UN conference on Environment and Development in Rio de Janeiro in 1992 (Schubert & Láng, 2005:1,8; Servaes et al., 2012:102; Sáez, 2013:553). The

thinking was that of “sustainable development” as “development that meets the needs of the present, without compromising the ability of future generations (Hadden & Seybert, 2016:252).

Participation in social change is not possible without communication (Msibi & Penzhorn, 2010:225). In the next section, attention will be given to a participatory approach to communication for social change as this is currently the norm within the field of communication for social change, as well as the chosen approach for this particular study.

2.6 PARTICIPATORY APPROACH TO COMMUNICATION FOR SOCIAL CHANGE

The participatory approach to communication for social change developed out of the failure of earlier approaches which supported the ideas of diffusion of modern ideas via the mass media (Mody, 1991:27). The participatory approach originated in the 1970s as grassroots-based, people-centred participation gained popularity in social change strategies. Cooper et al. (2010:5) indicated that a key distinguishing aspect of participatory approaches is that there is a stronger focus on process, rather than on a communication “product”. The central purpose of the participatory approach to communication for social change is the awakening of people’s latent abilities by offering them choices to enable them to fully develop their own potential.

The participatory approach to communication also shows greater sensitivity towards human rights, where equality and freedom are important and ordinary people are given a voice to participate in community engagement (Heller, 1999: 109,140; Servaes, 2002a:11; Gray-Felder et al., 2005:3; Dasgupta, 2009:159; McPhail, 2009b:208; Mubangizi & Gray, 2010: 213; Msibi & Penzhorn, 2010:231). The use of media within the framework of participatory communication is only to support the participatory communication process (Schramm, 1979:9; Servaes, 2002a:1). The media can however create awareness, reinforce opinions and stimulate dialogue between participants (Klapper, 1964:8,15,17,84; Schramm, 1964:140; Schramm, 1979:1; Moemeka, 1994:4; Mercham et al., 1995:72; Servaes, 1995:39; Servaes, 2002a:1; Dasgupta, 2009:166-168; Cooper et al., 2010:6). The emphasis is, however, not on how many messages were sent towards a specific audience.

It is important to remember that the participatory approach to communication for social change implies a continuous process of change, rather than an intervention for progress (Jamieson, 1991:30). This continuous process of change implies the importance of the use of communication as an integral part of any process for social change. These communication processes include important concepts such as participation and dialogue, as well as recognizing the importance of the social context as well as the importance of empowerment that leads to self-reliance.

2.6.1 Participation

For many years the whole concept of participation, which is etymologically in the core of the word “communication”, has been ignored (Dagron, 2002:5). Scholars agree that there is no uniform definition of participation and various definitions and ideas on participation exist (see Arnstein, 1969:216; Deetz & Simpson, 2004:151; Jacobson & Storey, 2004:116; Dasgupta, 2009:159; McPhail, 2009:201). Some indicate that participation is a deeper sense of democracy or an empowering factor for ordinary people. Some include the concept of power into the definition. Communities should be the point of beginning with any community engagement project. The communication with communities, with regards to community engagement projects, should be participatory as the communities are not merely beneficiaries, but part of the discussion and decision-making process of social change in communities (Servaes, 2002a:11; Msibi & Penzhorn, 2010:225, Servaes & Lie, 2013:8).

Participation is typically perceived along a continuum ranging from the passive reception of information or pseudo/superficial participation, where social change may occur, through to authentic participation, where social change may occur (Arnstein, 1969:217; Thompson, et al., 2009:9).

2.6.1.1 Pseudo-participation (means to an end)

The lowest form of participation, namely manipulation, is actually pseudo-participation which only creates the illusion of openness. It distinguishes participation as a means to an end as well as distinguishing between a short-term and long term community project. The short-term project is maybe two, three or four years and focuses on using participatory communication as a means to achieve results (Baum et al., 2000:414). However, some scholars regard this as a reincarnation of a top-down approach and nothing other than manipulation (Arnstein, 1969:4; Huesca, 2002:267). This level of participation does not usually result in dramatic social change as the participation of the community is basically a rubber stamp on a pre-planned project and thus “non-participation” (Tufte & Mefalopulos, 2009:7).

2.6.1.2 Giving of information

Within the modernisation approach the giving of information was regarded as very important in a development context (§2.4.1.3.1). Communities were provided with information via a one-way flow of information with no opportunity for feedback (Arnstein, 1969:5). Meetings to inform people of decisions that needed to be made, normally included a question-and-answer session, which was seen as a form of participation. However, in the context of social change this could

not be regarded as participation, as the questions were often determined before the commencement of the meeting or only focussed on the information the beneficiaries received.

2.6.1.3 Consultation (participating in participation)

The process of consultation indicates that the community will be involved in some way as their opinions will be considered, but the power of decision-making does not lie with them (see Rowe & Frewer, 2000:9). Thus the participation is only window-dressing because their opinions could be considered or not. The community does not have any power or authority to demand that their voices be heard and their views considered (see Arnstein, 1969:6).

2.6.1.4 Tokenism

Tokenism can be defined as participation for the sake of symbolic appearance. Members of the community are, for example, “hand-picked” to form an advisory committee, but they are a minority and thus have less power to make decisions. In a study on women on an advisory board, applying Kanter’s critical mass theory (1977), it was found that heterogeneity was better than homogeneity in terms of organisational innovation (Torchia et al., 2011:312). Thus, at this level the community just have some small measure of influence (see Arnstein, 1969:7).

2.6.1.5 Authentic participation (end in itself)

At the other end of the spectrum there is participation that is seen as a valuable end in itself, regardless of whether social change has occurred or not. Social change is most likely to occur, but a long-term project will rather strive to sustain high levels of participation, regardless of social change (Tufte & Mefalopulos, 2009:46). Many scholars indicated that authentic participation would determine true sustainability of social change but it is more difficult as it requires continued contact between participants to establish a rapport and to develop trust (see Servaes, 1995:45-46; Baum, et al., 2000:414; Figueroa, et al., 2002:ii; Besette, 2004:15; Tufte & Mefalopulos, 2009:46; Msibi & Penzhorn, 2010:226; Servaes et al., 2012:118). In community engagement in higher education it means that both the university and the community must have the right to participate in the planning, implementing and evaluation of community projects independently.

2.6.1.5.1 Initial participatory communication

Communication can be initiated by an external facilitator (the university) in collaboration with the community, but has to evolve into an independent form of participation (Tufte & Mefalopulos, 2009:7). In the initiation of projects, all participants must be patient and honest. Promises must

be kept and follow-up visits and community meetings are important to initiate a project together in order to ensure the sustainable outcome of the project (Coldevin, 2002:350; Msibi & Penzhorn, 2010:233).

2.6.1.5.2 Building partnerships

At this level of participation, power is negotiated between the university and the community. They agree to share all the planning and decision-making responsibilities. The focus is on the building of networks/partnerships and personal relationships where people are sensitive towards the needs, attitudes and views of others. This partnership must be characterised by reciprocity. The focus is on working “with” communities rather than an attitude in telling them what to do (see Arnstein, 1969:9; Gray-Felder et al., 2005:4; Edgar, 2006:118; Msibi & Penzhorn, 2010:231).

2.6.1.5.3 Combining of knowledge and skills

In this process of building partnerships between the university and the community, both parties have knowledge and skills to contribute to the project. Combining their different knowledge and skills will result in a much stronger strategy for social change (see Bessette, 2004:19; Fitzgerald et al., 2012:7; Chapin III et al., 2016:67). Members of a community are the ones who are going to benefit from the engagement and by contributing their skills they will be more enthusiastic and committed to the positive outcome (see Waisbord, 2001:36; Mubangizi & Gray, 2010:217).

2.6.1.5.4 Participation in the planning of projects

Participation in the planning of projects does not imply that there is not a need for specialists and planners anymore. It only means that the viewpoint of the community is considered before the resources for projects are distributed and allocated (see Agunga, 1990:137; Rahim, 1994:130; Servaes, 2001a:11; Msibi & Penzhorn, 2010:226). This process has to adopt tactical activities that reconcile the short-term goals of a project with the long-term goals that sustain the processes of empowerment (Tufté & Mefalopulos, 2009:46).

2.6.1.5.5 Participation in the implementation of projects

Authentic participation directly addresses sharing of both political and economic power and its distribution in a community (see Arnstein, 1969:216; Waisbord, 2001:5; Colle, 2002:73; Dagrón, 2002:7; Servaes, 2002a:21; Servaes, 2002b:298; Msibi & Penzhorn, 2010:226). Therefore, both the institution of higher education and the community must be equally involved in the

implementation of the project, e.g. manufacturing of the products, training of care givers, marketing and selling of products, etc.

2.6.1.5.6 Participation in the evaluation of projects

Participation in the evaluation of projects includes activities of self-reporting, reflection and learning from critique. This process is not only the completion of a feedback survey at the end of the project, but a collaborative effort of both the community and the staff of the university to analyse the strong points and weak points as well as identifying opportunities and threats regarding the community engagement project (Tufte & Mefalopulos, 2009:5).

2.6.1.6 Conclusion

There is no uniform definition of participation and quite a lot of interpretations of the concept exists. Attempts to pursue authentic participation is very difficult, as it requires a substantial amount of time and resources. It is also not practical to engage the whole community in all aspects of projects all the time. Authentic participation requires frequent contact between all the participants and this is sometimes impossible within a higher education setting. One has to deal with realities such as financial capacity and time constraints on a regular basis. Furthermore, social change is not a guaranteed outcome of this whole process and this has implications for proposals for future funding etc. However, within a framework for community engagement at the NWU (Potchefstroom Campus), based on a participatory communication approach, the aim must always be to pursue as much participation and “buy in” as possible. Both the NWU staff and the community must participate in the initiation, planning, implementation and evaluation of projects.

After considering the literature on participation, the following theoretical statement can be made:

Participation is the complex process of forming partnerships between the community and the staff of the university, through continued contact as well as the combination of knowledge and skills as a strategy for sustainable social change. This implies the ideal of participation of the community and the staff of the university in all the phases of the community engagement project, namely the initiation, planning, implementation and evaluation of the project.

Within the participatory approach to communication for social change there is a definite link between participation and dialogue. Participation cannot occur without dialogue and face-to-face interaction, interpersonal and horizontal communication (see Servaes, 1995:46; Figueroa

et al., 2002:iii; White, 2004:17; Gray-Felder, 2005:4; Porras & Steeves, 2009:150; Tufte & Mefalopulos, 2009:7; Cooper et al., 2010:7).

2.6.2 Dialogue

Dialogue is a two-way, process of open engagement whereby participants discuss ideas to create meaning. Staff of the NWU should discuss community engagement projects with their colleagues, as well as with the community. Dialogue is an ethical communication choice within the development context (Huesca, 2002: 259). The implication of this for community engagement is that staff of the NWU must engage in dialogue with the beneficiaries of community engagement projects.

Dialogue, as one of the fundamental principles within this study, cannot be discussed without giving attention to the work of the most influential philosophers of dialogue.

2.6.2.1 Influential philosophers of dialogue

2.6.2.1.1 Martin Buber

Martin Buber is described as one of the most prominent prescriptive 20th-century theorists on the philosophy of dialogue. His contribution of "*I and Thou*" had a huge impact on the earlier philosophy of dialogue and sets the standard for those who treat dialogue prescriptively. "*I-Thou*" was seen as a primary word, which means the "*I*" cannot develop separately from acknowledging the "*other*". However, Buber's philosophy did not advance complete openness as a goal, nor did it overlook the normative limits of dialogue (Huesca, 2002:259; Anderson et al., 2004:5; Stewart et al., 2005:21).

2.6.2.1.2 Mikhail Bakhtin

Mikhail Bakhtin, the Russian interdisciplinary thinker, thought of Buber as the foremost philosopher, but his own approach took a more linguistic and social/critical approach. He viewed dialogue as a cultural form of human knowing. He richly explained concepts such as empathy, process, context and language (Cissna & Anderson, 1994:10). His conceptual contribution to this study lies in the fact that the concepts of empathy, process, context and language are very prominent in both the chosen projects. Empathy is necessary to assist in an understanding of social issues that community members have to deal with on a daily basis. These issues include social problems, e.g. poverty and unemployment, etc. The concept "*process*" has to do with different actions that need to take place in the activity to create meaning. In the case of community engagement it means that staff of the NWU (Potchefstroom

Campus) and communities will have a process of various opportunities to engage to discuss all aspects of the community engagement project. The concept “*context*” contributes to an understanding of the environment within which these dialogues occur. Contextual factors also include aspects such as culture, religion and language and play a huge role in creating meaning. Dialogue between the staff of the NWU (Potchefstroom Campus) and the community must thus include all the contextual factors that may play a role in the community engagement project.

2.6.2.1.3 Paulo Freire

The theory, praxis and methodologies of Paulo Freire caused a direct shift in the understanding of communication for social change where dialogue plays a central role in every communication process and can lead to collective action (Freire, 1992:76; Servaes, 1995:45; Dagron, 2002:115; Servaes, 2002a:14; Huesca, 2002:258; Szalvai, 2009:178; Tufte & Mefalopulos, 2009:3; Mubangizi & Gray, 2010: 213; Barranquero, 2011:165; Carciotto & Dinbabo, 2013:66). Freire’s concept of “*conscientisation*” (meaning to activate consciousness, identity, talents and alternatives) is central to the theme of empowerment (Msibi & Penzhorn, 2010:227). Freire (1992:89) indicated that the dogmatic (authoritarian) leader has no reason to engage in dialogue, because he only tells others what to do. This type of leadership should not have any place in community engagement at the NWU (Potchefstroom Campus), as this will not lead to collective action. Freire stressed that people should be regarded as agents rather than objects, able to teach themselves (Cooper et al., 2010:5). While Freire is referring to the importance of adult learners in literacy classes building democratic citizenship, there seems to be no reason why the argument should not hold for learners within other educational environments (Walters, 1999:583). To apply this to community engagement, one can thus say the notion to treat communities as an ignorant audience has to make space for the notion that communities are capable of teaching themselves, because they must be led to discover their problems. Freire saw social change neither as capitalist economic growth, nor as a Marxist alternative. It is rather a process of emancipatory dialogue with the aim to empower the individual and stimulate critical thinking, decision making and problem solving that can lead to structural change (McKee et al., 2002:386; Porras & Steeves, 2009:150; Tufte & Mefalopulos, 2009:46; Carciotto & Dinbabo, 2013:68). The role of the staff of the NWU (Potchefstroom Campus) is thus to facilitate a process where community members start to think critically about their problems and decide for themselves how problems should be solved. Within the participatory approach, communication is thus no longer focussed on information as a vehicle for persuasion but is understood as a dialogue in which people share information in order to create mutual understanding (Rogers & Kincaid, 1981:63; Du Toit et al., 1998:186; Gray-Felder, 2005:3; Msibi

& Penzhorn, 2010:226; Sáez, 2013:549). To be able to hear the implied messages, a process where participants paraphrase one another's point of view to mutual satisfaction is very important. Freire indicated that this process of reflective listening aims to have a comprehensive understanding, which is an important part of communication for social change (Servaes, 1995:46; Servaes, 2002b:296; Figueroa et al., 2002:5; Edgar, 2006:xvi; Porras & Steeves, 2009:150). Within this process respect and trust are very important (Msibi & Penzhorn, 2010:227). This process of reflective listening is not just applicable to the dialogue between the staff of the NWU (Potchefstroom Campus) and the community, but also applicable to the dialogue between staff members of the NWU (Potchefstroom Campus).

2.6.2.1.4 Jürgen Habermas

Jürgen Habermas is a German philosopher in the tradition of critical theory and pragmatism and he indicated that the process to create mutual understanding implies the use of linguistic symbols in a continuous, cyclical process as participants take turns creating knowledge to share with one another (Habermas, 1981:19). The realm of social life in which personal opinions are discussed can be regarded as a space for communication (or the "public sphere") (Habermas, 1964:220). According to Habermas (1994:5), when conflict arises people shift from interaction to 'discourse', which is unaccountable verbal exchanges between two or more individuals. That means they take a step back from the interaction, reflect upon the interaction, and debate the reasons. The difference between discourse and dialogue is that dialogue aims to ultimately reach understanding. The focus in a discourse is not on agreement, but on the discussion of different opinions. Discourse will ideally end in a new interaction if participants can come to a compromise. For Habermas the importance of discourse lies in the fact that it provides a way of challenging problematic beliefs to reconcile pluralistic viewpoints to reach a possible consensus (Anderson et al., 2004:4; Edgar, 2006:25,43,44). With regards to communication within community engagement it is thus important to create a space for discourse. This does not mean a formal meeting, or more formal meetings where the flow of information is top-down. It implies a horizontal discourse between participants where personal opinions can be discussed and different opinions viewed. Within this space of communication, the participants can thus aim to reconcile different opinions into pluralistic viewpoints. These pluralistic viewpoints can then be taken to reach a possible consensus that is acceptable for all participants.

2.6.2.2 Conclusion

Dialogue is emancipatory, open, intentional, interpersonal communication and includes reflective listening skills, to build trusting and respectful relationships and to create mutual understanding where all are equal partners and have the same opportunity for

communication. Dialogue also includes negotiation and bargaining to handle conflict in a constructive manner.

Both Freire and Habermas argued that participation in dialogue is a learning process that has the potential to create mutual understanding. This implies that all participants, e.g. support staff, academic staff, management of the NWU (Potchefstroom Campus) and community members should be willing to engage with each other. This dialogical engagement must be seen as a learning process for all participants. The underlying assumption of this learning process of dialogue is that all participants are willing to listen to each other (see Figueroa et al., 2002:4). Within a framework for communication within community engagement at the NWU (Potchefstroom Campus), based on a participatory communication approach, it means that all staff members, at all levels, in all schools and faculties are willing to listen to each other. It implies that the management of the NWU will listen to community members with no qualifications. This listening process is thus not listening to reply, but listening to be able to have a better understanding of the other.

Humans are made for relationships where two people continuously engage, face-to-face, verbally or non-verbally. Within a framework for community engagement at the NWU (Potchefstroom Campus), based on a participatory communication approach, big and formal meetings can thus not be seen as true engagement. A framework for community engagement at the NWU (Potchefstroom Campus), based on a participatory communication approach, should thus be continuous dialogue, which means face-to-face verbal and non-verbal communication.

It can thus be concluded that dialogue is not just an uncomplicated form of speech or a conversation between people. It is an open, intentional, two-way process, of building sustained contact over a period of time, which can lead to the development of trusting and respectful relationships and a mutual understanding of a situation (see Anderson et al., 1994:xvi; Cissna & Anderson, 1994:10, 14-15; Figueroa et al., 2002:3; Anderson et al., 2004:5,15; White, 2004:15; McPhail, 2009b:202). Within a framework for community engagement at the NWU (Potchefstroom Campus), based on a participatory communication approach, communication should thus be open, which means all staff members and members of the community should have access to all opportunities of communication, such as meetings on all structural levels of the campus. The communication must be intentional, which implicates that the dialogue between participants must not only be to inform staff members and the community. Within a framework for community engagement at the NWU (Potchefstroom Campus), based on a participatory communication approach, communication should be a two-way process which

implies that there should always be room for feedback on communication between participants. Feedback, a complex process of interpreting and reinterpreting of communication must follow, as knowledge is shaped by political and cultural values, which are personal opinions of participants. Personal opinions cannot be validated as the absolute truth, so participants discuss personal opinions until a sufficient degree of mutual understanding and agreement has been reached. Within the participatory approach to communication for social change special attention was thus given to the resolving of conflict. Conflict gives the opportunity for growth and negotiation/bargaining that allows for strategic interactions (see Habermas, 1994:5; Figueroa et al., 2002:5).

The implication of constant engagement among participants (e.g. weekly/monthly gathering of NWU staff and community members) over time may possibly lead to the building of trusting and respectful relationships among participants. Within these trusting and respectful relationships among participants, mutual understanding of social problems can be identified and possible solutions can become clearer. An action plan can be drafted and roles and responsibilities can be assigned to the participants. This is a fundamental step because it leads to mobilisation and collective action that is important for social change and mutually beneficial to the NWU (Potchefstroom Campus) and the community (see Cissna & Anderson, 1994:10; Rahim, 1994:120, 135; Servaes, 1995:39; Heller, 1999:2,116,153; Waisbord, 2001:5,17; Figueroa et al., 2002:4; Gray-Felder, 2005:4; Edgar, 2006:9,46-47,89,164; MRAP, 2007:1; Dasgupta, 2009:172; McPhail, 2009a:9; McPhail, 2009b:201,207; Tufte & Mefalopoulos, 2009:7; Cooper et al., 2010:5; Carciotto & Dinbabo, 2013:66).

The whole aim of participation in social change is empowerment. Emancipatory dialogue which can stimulate critical thinking, decision-making and problem-solving can lead to self-reliance. The individual could basically transform his own destiny through empowering dialogue (Coldevin, 2002:336; Servaes, 2002a:11; Cooper et al., 2010:23, Barranquero, 2011:165).

2.6.3 Empowerment that leads to self-reliance

2.6.3.1 Definition of empowerment

Empowerment can be defined as an ongoing, fluctuating, lifelong, liberating, personal as well as a social process which addresses the aim of developing self-esteem and self-confidence (Wilkinson, 1998:41). It is the process of transforming powerlessness into control (Engberg, 1995:95; Gutiérrez, 1995:229; Arai, 1997:1-5).

2.6.3.2 Stages of empowerment

Freire focused on education as an important tool to liberate/empower people (§2.6.2.1.3). He emphasised the process of emancipatory dialogue where people identify their own problems and through a process of personal transformation change their circumstances. Arai (1997:3-4) also indicated that empowerment is presented in a four-stage process, namely, awareness, connecting and learning, mobilisation and contribution. This ongoing process begins when the community start to become aware of their situation and develop a desire to change (see Gutiérrez, 1995:229). Through participation they may learn a new skill or obtain knowledge and information and that may lead to feelings of self-confidence and competence, purpose, belonging and acceptance (see Arai, 1997:4; Sotshongaye & Moller, 2000:132). The community may then be prompt to take further action and further capacity enhancement may follow (see Mhlanga et al., 2016:411).

2.6.3.3 Empowerment occurs at many levels

Empowerment can occur at many levels. On a personal level, empowerment involves the experiencing of the capability of the self (Humm, 1990:78). Increasing personal power is to identify and understand the ability to make choices and act upon them. This is similar to self-efficacy and self-esteem in its emphasis on the development of a positive self-concept or personal competence. Empowerment on an interpersonal level derives from the social role of a person, as well as interpersonal skills, credibility or attractiveness. A strong social support system is also important as part of the empowerment process on an interpersonal level. On a political level collective action and collaboration with others are important. This power can be linked and influence empowerment at a personal or social level (Arai, 1997:4).

2.6.3.4 Self-reliance

Participation gives expression to self-determination and provides opportunities to make contributions of personal time, prior knowledge or finances (Traina & Roosevelt, 2016:7). This implies that individuals and communities make the best of their situation and rely primarily on their own strength, competence and confidence, as well as skills and resources to change their lives in the context of their social and political environments. The learning of skills does not necessarily point to self-reliance, but if the learned skills are used to obtain a job or to create employment, that is empowerment that leads to self-reliance (Szalvai, 2009:178; Tufte & Mefalopoulos, 2009:40; Wood & Zuber-Skerrit, 2013:11). This implies the active involvement of communities that may lead to joint decision-making about what should be achieved and how it should be achieved to improve quality of life (Rahim, 1994:119; Servaes, 1995:43,194;

Wetmore & Theron, 1998:30,40; McKee et al., 2002:372; White, 2004:13; McPhail, 2009b:207; Tufte & Mefalopulos, 2009:7; Cooper et al., 2010:5; Msibi & Penzhorn, 2010:231; Govender, 2011:65).

2.6.3.5 Conclusion

Thus within the context of community engagement at the NWU (Potchefstroom Campus), a community engagement project can be regarded as successful when self-empowered communities initiate social change independently. For this study, it was decided that community members should verbally confirm that there had been a growth in their dignity, sense of self-worth and confidence as they develop skills facilitated by the staff of the NWU (Potchefstroom Campus).

After considering the literature on empowerment that leads to self-reliance the following theoretical statement can be made:

Empowerment is a personal as well as a social process that can address the aim of developing self-esteem and confidence, through skills development, to attain a better quality of life. Increasingly better quality of life can lead to self-reliance which implies the contribution of own strength and resources.

Another important concept of the participatory approach to communication for social change is the understanding of the social contexts of participants.

2.6.4 Understanding and recognition of the social context

Habermas (1970:371) indicated that it should be kept in mind that communication always takes place within a certain social context. Elements of the context such as language, cultural ceremonies, religion, rules, norms, beliefs (ideology), gender, nationality, profession and social roles have significant meaning and cannot be ignored or misunderstood within the process of community engagement (Msibi & Penzhorn, 2010:232). Within a participatory approach, all cultures are equal to each other and cultural differences are understood as undifferentiated pluralism where one culture cannot justify itself as absolute. The richness of cultural diversity is to the advantage of all participants. This implies a positive attitude to other cultures, which goes beyond tolerance as no community can function completely autonomously and be completely self-sufficient. Every society is in one way or another dependent on each other (Servaes et al., 2012:104; Servaes & Lie, 2013:8). Cultural interaction or exchange between languages and cultures is healthy when it happens through critical dialogue (Heller, 1999:115,135-138; McKee et al., 2002:360; White, 2004:20-21, Gray-Felder, 2005:4). Therefore, in order to understand

the social context, all participants must have knowledge on the specific social context and this knowledge of the social context must be a central point in the planning of any given engagement project (Mato, 2007:678; Mefalopulos, 2008:10,14; Nyden, et al., 2008:4; Mubangizi & Gray, 2010:213).

Thus, the following theoretical statement on the importance of the social context can be made:

Participatory communication for social change should respectfully recognise and take the elements of the social context into account in order to contribute to more sustainable community engagement. These elements include language, culture, norms, values, gender roles and religion.

The participatory approach to communication for social change is currently the norm in this field, but far from perfect. As in the case of the NWU Potchefstroom campus community engagement projects take a lot of time and cost a substantial amount of money. Furthermore it is sometimes very bureaucratic as everyone has to participate in all the decision-making processes. Funding for these extended frameworks is also a problem and to find skilled practitioners remains a challenge.

2.6.5 Critique against the participatory approach to communication for social change

2.6.5.1 Extended time frames

Many donors want to “see results”, but social change and better quality of life are not immediately visible and take long periods of time to achieve (Gray-Felder et al., 2005:3; Cooper et al., 2010:7). Malatsi (2001:325) and Coldevin (2002:350) indicated that building human capacity, which is important for social change to take place, usually takes more than provided for in a typical five-year project. Most successful projects informed by a participatory communication for social change have a running time of seven to ten years.

2.6.5.2 Bureaucratic style

Accommodation of diversity and participation of all participants needs a lot of contact sessions to establish. This can create a very bureaucratic style for organisations, as everyone needs to participate in all decisions that are made (Besette, 2004:17; Tomaselli, 2011:17).

2.6.5.3 Funding limitations

Time-consuming projects tend to be more expensive and normally funding for projects is limited. Another implication on costs is research regarding the effectiveness of messages as well as long-term monitoring and evaluation (McPhail, 2009b:202; Servaes et al., 2012:118).

2.6.5.4 Necessity for skilled practitioners

The participatory approach to communication for social change also requires skilled communication practitioners who are able to transfer thoughts, information, feelings and attitudes from participants. These skilled practitioners are not always easily available and this can pose problems for the NWU (Potchefstroom Campus) and communities (see Msibi & Penzhorn, 2010:227).

2.6.5.5 Too idealistic

Some scholars describe the participatory approach as too idealistic and doubt whether mutual understanding is really possible. Taking manipulation, exploitation of others and the formation of 'power elites' into consideration, authentic participation is highly unlikely (Waisbord, 2001:22; Edgar, 2006:9,23). Huesca (2002:271) indicated that participation may actually deepen divisions between participants. Problems can also occur when conflict is not handled in a constructive way (Tomaselli, 2011:17). Communities that have a long history of conflict may not be able to engage even in a minimal form of collective action, namely talking to one another (Figueroa et al., 2002:4).

2.6.5.6 Fitness for the political culture

The participatory approach also does not fit all political cultures. Critics, especially from Asia, feel that the participatory approach is too democratic (Waisbord, 2001:22). The acquisition of power often decreases the advantages of certain groups, which may in some societies be regarded as contradictory to certain cultural norms and traditions (Msibi & Penzhorn, 2010:227). Sometimes the biggest obstacle in the way of social change is certain laws, but local communities do not have the power to change those laws (Besette, 2004:17).

2.6.5.7 Difficulty to measure process

Furthermore there is also no clear consensus on indicators measuring this participatory process and evaluation is usually qualitative and less straightforward in nature (Thomas, 1994:57). This is partly due to there being no clear consensus as to what constitutes "participation" or "empowerment" or whether there is a clear and direct relationship between them.

2.6.5.8 The unavailability of grand theories or quick fixes

There are no grand theories or quick fixes available as social change is a very complex process which poses a multitude of challenges to everyone involved (Servaes, 1995:42; McPhail, 2009b:207; Eversole, 2010:29). Communities differ greatly from each other. A successful plan, does not guarantee a successful outcome in another community. However, the lack of a universal plan or solution can also be viewed as positive. If there is no solution available, participants have to use their own initiatives, resources and skills to get solutions. This could lead to a greater commitment from participants to solve their own problems. They don't have to be persuaded to be part of the process, because it is their "own" process.

2.7 SUMMARY AND CONCLUDING ARGUMENTS

Social change is thus a fundamental process with various aspects where interaction through the logical discussion of relevant ideas occurs. Communication in development settings has undergone a constant process of redefinition over the years. Development communication was seen as monologic, 'top-down', linear communication that includes information dissemination, education and awareness raising, edutainment, community mobilization, behaviour change communication, social marketing as well as media advocacy (§2.3.1). Communication scholars then started to add some participatory elements in a type of pseudo-participation (§2.6.1.1). Communication for social change on the other hand is a social 'bottom-up', inclusive, two-way communication process by placing ownership, access and control of communication directly in the hands of the community (§2.3.2). The implication of this is that the collective interaction (or interpersonal communication) takes place hierarchically upward from the community to the staff of the NWU (Potchefstroom Campus).

Within the field of communication for social change the participatory approach is the norm (§2.6). However, the interpretation and application of participation differ greatly. Although there is no uniform definition of participation this process implies a continuous, cyclical process of interpreting and reinterpreting to create mutual understanding (§2.6.1.6). This means that a recurring process of explaining an opinion in a different way will take place until affinity is apparent between the participants.

Mutual understanding paves the way for possible collective action to take place. Participation takes place within a public sphere and can range from the passive reception of information or pseudo-participation as a means to an end, or to an end in itself or authentic participation. Pseudo-participation is basically a top-down approach and does not result in dramatic social change (§2.6.1.1). The giving of information during a meeting with the opportunity to ask

questions at the end cannot be regarded as participatory (§2.6.1.1). Consultation where the community had been consulted on certain topics can also not be regarded as participatory, as it is optional to use the advice of the community (§2.6.1.3). Tokenism can also not be regarded as participatory as a minority do not really have the power to influence decisions (§2.6.1.4). Authentic participation, on the other hand, may determine social change (§2.6.1.5). This type of participation is more difficult as it requires continued contact and the building of networks. Authentic participation also requires reflective listening skills, a process where participants paraphrase one another's point of view, to enhance comprehensive understanding.

Dialogue, as an important concept within the participatory approach, is an intentional process where participants listen intensively to have a better understanding of each other (§2.6.2.2). This process implies respect for the other, based on the thinking of Buber's "*I and Thou*". Previous approaches did not offer adequate solution on handling conflict. However, within a participatory approach, where there is sensitivity towards human rights and the communication is open and free, conflict gives the opportunity for growth. Parties can come to a more acceptable solution through a process of negotiation and bargaining (§2.6.2.1.4).

Another important philosopher, namely Freire linked dialogue with empowerment and stated that social change is in fact "emancipatory dialogue" (§2.6.2.1.3). Empowerment that leads to self-reliance is a social process that implies that individuals and communities rely on their own skills and resources to change their lives (§2.6.3.2). The aim of empowerment is to improve quality of life (§2.6.3.3).

It is important to remember that communication does not take place within a vacuum. Community engagement occurs within a certain social context, which entails a unique, local culture, worldview, cultural beliefs, ceremonies, norms, rules, religion, gender roles, language, economic and political conditions, historical and geographical settings, family, education and work that give meaning to people's lives. Cultural diversity must be embraced and all elements of the context must be known and taken into account in any community engagement project (§2.6.4).

From the literature survey it is evident that the participatory approach is also not flawless and that there are no quick fixes available for social problems in communities (§2.6.5). However, communities now have the opportunity to use their own initiative to get their own solutions.

It can thus be concluded that for a process of social change to occur, a fundamental communication framework is necessary, which would form the basis of all communication processes in the community engagement project. The communication processes in the

framework should include the logical discussion of ideas and opinions. The framework should be based on ethical communication practices, which means all participatory collective processes are included in a 'bottom-up' process, thus a hierarchically upwards and inclusive process. This implies that everyone in the community and the NWU will be part of the process. This communication process also implies a two-way, interpersonal communication process by placing ownership, access and control of communication directly in the hands of the community. This implies a framework where there is a continuous flow of communication. This process of communication will be recurring and messages will be repeated in a process of interpreting and reinterpreting. Participants will focus their communication act on communicating their views or opinions in different ways to be able to create affinity or harmony. The communication processes will thus aim to create mutual understanding. Mutual understanding paves the way for possible collective action to take place, which means the harmony or unity between the participants can assist them to achieve a common goal such as the participation in empowerment that can lead to self-reliance and possible sustainable community engagement projects that will continue over a time and lead to further self-reliance.

In answering the specific research question (§2.1) it can be concluded that:

A conceptual framework for communication within community engagement projects at the North-West University (Potchefstroom Campus) is necessary to include all aspects of communication. Aspects of communication include the uninterrupted, repeated, interpreting and reinterpreting of logical discussion of opinions, based on morally sound communication practices. The framework should include participatory collective processes between participants, where the community controls the communication with the staff of the NWU (Potchefstroom Campus) and the possibility for self-reliance and sustainability exists.

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CHAPTER 3

RESEARCH METHODS

3.1 INTRODUCTION

The previous chapter focused on the most important theories within the field of communication for social change. It was argued how the relevant principles for this study, namely participation dialogue; the importance of the social context as well as empowerment leading to self-reliance could be used to underpin a conceptual framework for communication within community engagement.

It was concluded that participation is the complex process of forming partnerships between the community and the staff of the university, through continued contact as well as the combination of knowledge and skills as a strategy for sustainable social change. This implies the ideal of participation of the community and the staff of the university in all the phases of the community engagement project, namely the initiation, planning, implementation and evaluation of the project (§2.6.1.6).

Dialogue is defined as is emancipatory, open, intentional, interpersonal communication, which includes reflective listening skills, to build trusting and respectful relationships and to create mutual understanding where everyone is an equal partner and has the same opportunity to communication. Dialogue also includes negotiation and bargaining to handle conflict in a constructive manner (§2.6.1.6).

It was concluded that empowerment is a personal as well as a social process which can address the aim of developing self-esteem and confidence, through skills development, to increasingly find a better quality of life. Increased better quality of life can lead to self-reliance which implies the contribution of own strength and resources (§2.6.3.4).

In chapter 2 it was indicated that participatory communication for social change should respectfully recognise and take the elements of the social context into account in order to contribute to more sustainable community engagement. These elements include language, culture, norms, values, gender roles and religion (§2.6.4).

It was concluded that a conceptual framework for community engagement projects at the North-West University (Potchefstroom Campus) is necessary to include all aspects of communication. Aspects of communication include the uninterrupted and repeated interpreting and

reinterpreting of logical discussions of opinions, based on morally sound communication practices. The framework should include participatory collective processes among participants, where the community control the communication with the staff of the NWU (Potchefstroom Campus) and the possibility for self-reliance and sustainability exists (§2.7).

This chapter deals with the research approach and methods used to evaluate to what extent the above-mentioned principles were present and feasible in the NWU community engagement projects included in this study. This chapter focuses on a qualitative research approach and the motivation for using this approach, choosing the projects and the research methods to be able to answer the research questions. The research methods that was used, namely the two phased semi-structured interviews, focus groups and the use of personal observation and field notes will be discussed. The discussion on the analysis of the data will also form part of this chapter as well as the ethical issues and trustworthiness of this study. Lastly, the limitations of this study will get attention.

3.2 QUALITATIVE RESEARCH APPROACH

The qualitative research approach was chosen because the researcher was seeking to have a better understanding of the subjective reality of community engagement in order to be able to propose a framework for community engagement.

3.2.1 Purpose of qualitative research: understanding of the subjective reality

The ultimate purpose of a qualitative approach is to learn from the richness and depth of qualitative data (Holliday, 2007:4; Silverman, 2007: 129; Cox, 2008:20). This qualitative study strove to create a coherent story as it is seen through the eyes of the community members who are part of the story (Silverman, 2007:26,128; Miller et al., 2008:126; Nieuwenhuis & Smit, 2012:133). It was assumed that shared experiences have an essence or a meaning which is always part of a unique social and cultural context (Stake, 2010:15). Thus experiences cannot be discussed without taking the context, in which the participants generate their interactions and meanings, into account (Silverman, 2007:82,125). This approach would be more valuable to an understanding of the subjective reality of community engagement, than the information that quantitative data could offer (see Merriam, 2002:5; Rossman & Rallis, 2012:3,9; Ivankova, et al., 2014:265).

3.2.2 Phenomenology

Qualitative researchers have different perspectives, based on their philosophical tradition. This study was approached from a phenomenological tradition that seeks to explore the essence of “lived experiences” of participants in natural settings (Richards & Morse, 2007:49; Du Plooy, 2009:35; White, 2009:516; Stake, 2010:220; Rossman & Rallis, 2012:133,169; Leedy & Ormrod, 2013:100,139).

This existence of “being in the world” is a phenomenological phrase acknowledging that people are only understandable in their contexts (Richards & Morse, 2007:49; Leedy & Ormrod, 2013:145,150). Outside these contexts the perceptions and perspectives do not make sense. However, the context is only important as background (Stake, 2010:50). These “lived experiences” of “being in the world” include the meaning of the perceptions and perspectives of participants and provide a rich description of the phenomenon (Mayan, 2009:49; Botma et al., 2010:190,222; Stake, 2010:48; Frost, 2011:194).

In a phenomenological study the researcher uses personal narratives of participants, as a window to analyse the lived experiences of participants and try to understand their experiences from the participants’ points of view. Phenomenology requires that the researcher does not filter the participants’ experiences through personal biases, and suspend judgement (Holliday, 2007:173; Silverman, 2007:146; Bernard & Ryan, 2010:248,259; Nieuwenhuis & Smit, 2012:132; Leedy & Ormrod, 2013:146). In this process the researcher brackets or sets aside own experiences in order to understand those of the participants (Botma et al., 2010:190). In the case of the women at Rysmierbult the researcher used her prior knowledge of Tswana women, gained at communities in Ikageng (Potchefstroom), to try to understand the participants’ aspirations and way of life, instead of using personal views to understand experiences. In the cases of Jan Kempdorp and Ganspan, the researcher used prior knowledge gained at Boitshoko High School in Ikageng (Potchefstroom) to be able to relate to youth and how they see their world.

3.2.3 Motivation for selection of projects to study

The motivation for the criteria for inclusion for this study was to understand the phenomenon of community engagement in depth and provide the most optimal amount of information about this phenomenon (see Mayan, 2009:62).

A purposeful sampling method was used in this study. A purposeful sample is the most useful type of non-probability sample that provides a clear criterion for selection of participants that

relates to the research questions (Ezzy, 2002:74; DiCicco-Bloom & Crabtree, 2006:314; Laher & Botha, 2012:93). A purposeful sample is made when the researcher strategically samples relevant information to ensure that there is a good deal of variety in the resulting sample so that sample members differ from each other in terms of key characteristics (Bryman, 2012:418). Thus participants were included on purpose (Bernard & Ryan, 2010:365; Botma, et al., 2010:126; Laher & Botha, 2012:93; Leedy & Ormrod, 2013:215). The researcher determines the most typical characteristics of the participants that should be included (Frost, 2011:195). The Potchefstroom Campus of the NWU was selected, as this is currently the campus with the most community engagement projects (Bouwman, 2015). The criteria for inclusion were to then select projects that would define and manage their community engagement differently. Two projects, Holding Hands and the Early Childhood Development (ECD) Training Project were chosen. The projects differ in size as well as project goals and are from different faculties; Holding Hands is a project within the Faculty of Health Sciences and the ECD Training Project is a project within the Faculty of Education Sciences.

The aim of this study was not to compare projects, but to collect rich data that would assist the researcher to obtain an understanding of community engagement at the NWU (Potchefstroom Campus) (see Merriam, 2002:12).

3.2.4 The researcher and the role of communication within the research process

Textbooks' often address the skills of observing, interviewing and studying material separately, but they are integrated facets of a qualitative study. Conversations necessarily rely on everyday conversational skills that cannot be reduced or separated (Silverman, 2007:4; Rossman & Rallis, 2012:169). The researcher has to listen for cues in the participants' expressions, pauses, questions and side tracks (Leedy & Ormrod, 2013:146). At the Rysmierbult focus group, there were a lot of facial expressions and utterances ("ee") that the researcher had to interpret. The literacy levels of most of the women are very low, and they are not always well versed to express themselves in a second (Afrikaans) or third language (English). In all the focus groups (Rysmierbult, Jan Kempdorp as well as Ganspan) there were times when participants switched to their mother tongue if they wanted to convey something important. Then one of the other members would translate what was said. After the translation the rest of the group would nod their heads in agreement.

In this study the researcher was part of the research process, through which the data were collected, analysed and interpreted (see Merriam, 2002:3,4; Henning et al., 2004:3; DiCicco-Bloom & Crabtree, 2006:314; Rensburg & Cant, 2009:72; Stake, 2010:36; Rossman & Rallis,

2012:92,96,186,285; Wagner et al., 2012:126-127; Schreier, 2012:26; Ivankova et al., 2014:265). At the focus group sessions at Rysmierbult and Ganspan, some of the children of the participants were also present. At two of the semi-structured interviews with the care-givers of the ECD Training project some learners were in and out of the venue. The researcher had to adapt and be flexible to handle that. This also gave the research setting a more “everyday” and normal feel.

3.2.5 Conclusion

It can be concluded that qualitative research aims to present a better understanding of a subjective reality (in this case the subjective reality of community engagement at the NWU, Potchefstroom Campus) by interpreting rich data from the experiences, perspectives and perceptions of community members of the Holding Hands Project, as well as the ECD Training project. These experiences, perspectives and perceptions of participants, only make sense within the specific context of community engagement and must thus be seen as background to this study. The researcher must suspend personal judgement and aim to understand the participant’s experiences, perspectives and perceptions from their point of view.

3.3 RESEARCH DESIGN

3.3.1 General research question

In the previous chapter the first research question was answered (§2.7). It was concluded that a conceptual framework for communication within community engagement projects at the North-West University (Potchefstroom Campus) was necessary to include all aspects of communication. Aspects of communication include the uninterrupted, repeated, interpreting and reinterpreting of logical discussion of opinions, based on morally sound communication practices. The framework should include participatory collective processes between participants, where the community control the communication with the staff of the NWU (Potchefstroom Campus) and the possibility for self-reliance and sustainability exists.

3.3.2 Specific research questions

After answering the general research question, the following specific research questions must be answered:

1. How do the staff of the NWU perceive the challenges in the policy formulation and implementation of community engagement at the NWU (Potchefstroom Campus)?

2. How do the project leaders and active participants of the Holding Hands Project and the Early Childhood Development (ECD) Training Project perceive the process of communication between them?

The theoretical points of departure that will be used to be able to answer the above-mentioned specific questions have already been discussed (§1.6).

Table 1 will indicate which research method will be used to answer the specific research questions.

Table 1 : Research questions and research methods

Research question	Research method
How can the principles of the participatory approach to communication for social change, including participation, dialogue, self-reliance and the importance of the social context, contribute to a conceptual framework for communication within community engagement projects at the NWU (Potchefstroom Campus)?	Literature study that already answered the research question (see Chapter 2)
How do the staff of the NWU perceive the communication challenges in the policy formulation and implementation of community engagement, at the NWU (Potchefstroom Campus)?	Document analysis Semi-structured interviews
How do the project leaders and active participants of the Holding Hands Project and the Early Childhood Development (ECD) Training Project perceive the process of communication between them and the community members, which are part of the projects?	Semi-structured interviews and focus groups

Table 2 will indicate the concepts and constructs that were used in this study. De Vos et al. (2014:29) indicated that a concept was a category of perceptions or experiences. These perceptions or experiences must be linked to phenomena to be able to measure a variable. This variable (construct) must be very specific, otherwise measurement is not possible (Stangor, 2015:67).

Table 2 Concepts and constructs

Concept	Secondary concept	Construct
Participatory communication	Participation	Forming partnerships through continued contact (§2.6.1.5.2)
		Combining of knowledge and skills (§2.6.1.5.3)
		Participation in the initiation of the project (§2.6.1.5.1)
		Participation in the planning of the project (§2.6.1.5.4)
		Participation in the implementation of the project (§2.6.1.5.5)
		Participation in the evaluation of the project (§2.6.1.5.6)
	Dialogue	Intentional interpersonal communication (§2.6.2.2)
		Reflective listening skills (§2.6.2.2)
		Create mutual understanding (§2.6.2.2)
		Building respectful and trusting relationships (§2.6.2.2)
		Negotiation/bargaining (§2.6.2.2)
	Empowerment that leads to self-reliance	Developing self-esteem and self-confidence (§2.6.3.1)
		Skills development (§2.6.3.2)
		Better quality of life (§2.6.3.4)
		Contributing own time (§2.6.3.4)
		Contributing own prior knowledge (§2.6.3.4)
		Contributing own money (§2.6.3.4)
	Importance of the social context	Understanding and recognition of the culture, language and norms (§2.6.4)
		Understanding and recognition of the gender roles (§2.6.4)
		Understanding and recognition of the religion (§2.6.4)

3.4 RESEARCH METHODS

In order to answer the research questions different research methods, which included a literature survey, document analysis, semi-structured interviews, focus groups, personal observation as well as a workshop to communicate findings, were used.

The literature survey was already discussed in chapter 1 and done in chapter 2; therefore it will not be discussed again in this chapter.

3.4.1 Document analysis

As indicated in chapter 1, are documents symbolic representations or evidence of events that took place (§1.7.4). This document analysis was inductive as well as deductive as there was an interpretation of information/themes/patterns and certain assumptions was made. There was also an analytical and logic reasoning to dissect and study the different documents in order to be able to understand community engagement at the NWU (Potchefstroom Campus) as a whole (see Bertram & Christiansen, 2014:117).

The researcher planned to analyse the institutional policy, annual reports, newsletters, memorandums and minutes of meetings in order to determine which principles of the participatory approach were used. Following a request to receive documents to analyse, the Director of Community Engagement at the Institutional Office of the North-West University indicated that the office had only existed since 2007 and there were no minutes of meetings available. The following documents were, however, available and sent to the researcher via e-mail on 7 March 2016:

1. Strategy documents
2. Draft policy 2007
3. Quality Manual
4. Soft Review
5. Jafhta Report
6. Response to the Jaftha Report
7. New Policy Documents
8. Indaba Reports

9. Institutional Research and Innovation Strategy meeting

3.4.1.1 Criteria used for inclusion of documents

The researcher wanted to include

1. **Official communication (annual reports, etc.) between the Institutional office and Potchefstroom Campus from January 2005 to December 2015**, but the Community Engagement office at the Institutional Office was only established in 2007 and the director was only able to give a few documents.
2. **Official communication (annual reports, newsletters, memorandums and minutes of meetings) between the Potchefstroom Campus and the Project Managers of the Holding Hands and ECD Training Project from beginning of each project until December 2015**, but after requesting both from both the project managers, as well as the director at the institutional office, it was discovered that none existed.

In the end the researcher included all the documentation that was available from the Institutional Office.

3.4.1.2 Documents included in the analysis

The following documentation was included in the analysis:

Annexure A: JAFTHA REPORT Investigation into the effective management and implementation of community involvement at the North-West University (Potchefstroom Campus). This report was submitted to the Management Committee of the Potchefstroom Campus after being compiled by Rev Kiepie Jaftha on 20 February 2014.

Annexure B: Response to the JAFTA REPORT 20 February 2014

Annexure C: The Quarterly Report – Institutional Committee for Research and Innovation (ICRI) and Institutional Committee for Teaching and Learning (ICTL) dated 14 September 2016

Annexure D: Soft Review Report - After a request from the Director of Community Engagement at the Institutional Office of the North-West University a soft review was compiled by the Institutional Quality Office of the North-West University on 29 August 2013. The panel consisted of three internal staff members as well as one external expert.

Annexure E: Soft Review Improvement Plan 2013-2014

Annexure F: Report on Community Engagement Indaba Workshop on 13 April 2015

Annexure G: From Passion to Success, August 2015

Annexure H: Policy on Community Engagement 2016

Annexure I: Processes and Quality manual on Community Engagement, 26 September 2012

Annexure J: Annual planning of Director of Community Engagement on the Potchefstroom Campus from January until June 2016

3.4.1.3 Focus of the document analysis

Attention was given to

1. The **author of the document** as this is important to be able to indicate from which department/office the document had been communicated
2. The **date of the document**, to see how thoughts on community engagement had developed;
3. The **context** in which the document was produced as this can give a better understanding of the background on thoughts on community engagement at a particular time, as the definition on community engagement changed over a period of time;
4. As well as the **main points of argument** and how these related to the principles of participatory communication, namely participation, dialogue, the importance of the social context as well as self-reliance that leads to empowerment as well as its importance for this study. The constructs as indicated in Table 3 were also used.

3.4.2 Two-phased semi-structured interviews

A semi-structured interview is a “conversation with a purpose”, which consists of a set of similar questions in a reasonably logical order that the researcher can prepare beforehand (Richards & Morse, 2007:114; Rugg & Petre, 2007:135-136). Semi-structured interviews produce a lot of qualitative data quickly and it is based on an interview guide, consisting of a list of questions or topics that have to be covered (Cohen & Crabtree, 2006:1). The researcher covers each topic, as identified by the research aims, by using probing (e.g. “Tell me more about that”) to clarify and refine the information and interpretation (Bernard & Ryan, 2010:29; Stake 2010:95; Okoror

et al., 2014:32). The researcher allows the participant to talk freely and the researcher listens actively to the meaning the participant has given to the topic (Silverman, 2007:129; Nieuwenhuis & Smit, 2012:133). Since the researcher may stray from the interview guide, it is best to record interviews and later transcribe the interviews for analysis. Also the interviews can be compared to one another as the same basic interview guide is used (Cohen & Crabtree, 2006:1).

In the first phase, two semi-structured interviews were held in 2014 with the project leaders of the Holding Hands and the ECD Training projects, to be able to obtain background information so that the interview schedules could be compiled.

In the second phase, semi-structured interviews were conducted with the Director of Community Engagement at the Institutional Office of the NWU as well as the Director of Community Engagement at the NWU (Potchefstroom Campus). Semi-structured interviews were also conducted with the two project leaders of the two projects.

First, the introduction was made by briefly discussing the purpose of the semi-structured interview as part of this study. Consent was asked to use a voice recorder during the interview. There was a list of themes to discuss and the researcher was allowed to probe and ask additional questions that emerged. If a question was already answered in a previous comment, the researcher did not ask the question. After the researcher was satisfied that all the themes were discussed, a summary was given of what was discussed and the researcher thanked the interviewee for his/her time. Permission was also asked to contact the interviewee afterwards if there were some points to clarify or additional information needed.

3.4.2.1 Interview guide: Semi-structured interview with the Director of Community Engagement at the NWU (Institutional Office)

The semi-structured interview was conducted at 12:00 on 17 February 2016 at Building C1, Room 214. The aim of this interview was to be able to obtain background information and to understand how community engagement is managed at the North-West University and also to get information on their perception of communication regarding community engagement. The Director had in the engagement office since 2007 and was willing to share experiences.

TABLE 3: INTERVIEW GUIDE: SEMI-STRUCTURED INTERVIEW WITH MANAGER OF COMMUNITY ENGAGEMENT AT THE NWU (INSTITUTIONAL OFFICE)

Concept	Secondary	Construct	Questions
Participatory communication	Participation	Forming partnerships through continued contact	Tell me about your contact with the different campuses? Probe: Do they have to report to you? How often do you meet? Do you send out e-mails? Do you have regular meetings?
		Combining of knowledge and skills	
		Participation in the initiation of the project	Tell me about your involvement in community engagement projects on the different campuses? Probe: Are you involved in the initiation of projects? Are you involved in the planning of projects? Are you involved in the evaluation of projects?
		Participation in the planning of the project	
		Participation in the implementation of the	
		Participation in the evaluation of the project	
	Dialogue	Intentional interpersonal communication	In your experience, do you have the opportunity to personally engage with staff (deans/directors etc.) regarding community
		Reflective listening skills	How would you define listening? Probe: Give me some examples
		Create mutual understanding	
		Building respectful and trusting relationships	Describe your relationship with the deans/directors? Probe: Can you give examples where you had to trust them or where they had to trust you?
		Negotiation/bargaining	How did you handle conflict?
	Empowerment that leads to self-reliance	Developing self-esteem and self confidence	Thinking of the importance of projects that focus on the enablement of communities, did you motivate deans/directors to focus on such projects? If so, can you give examples?
		Skills development	
		Better quality of life	
		Contributing own time	Do you motivate deans and directors to engage in projects where the community has to contribute their time, money and prior knowledge? If so, can you give examples? Probe: Tell me more
		Contributing own prior knowledge	
		Contributing own money	
	Importance of the social context	Understanding and recognition of the culture	How do you motivate and ensure that there is an understanding of the social context of communities where projects are done? Probe: give examples of instances where there was a recognition of culture
		Understanding and recognition of the gender	
		Understanding and recognition of the religion	

3.4.2.2 Interview guide: Semi-structured interview with the Director of Community Engagement at the Potchefstroom Campus

The semi-structured interview was conducted at 08:00 on 18 February 2016 at Building F1, Room K120. The aim of this interview was to be able to get background information and to understand how community engagement is managed at the Potchefstroom Campus of the North-West University and also to get information on their perception of communication regarding community engagement on the Potchefstroom Campus. The engagement office was only established in June 2015 but the director was able to accomplish quite a lot in such a short time.

TABLE 4: Interview guide: Semi-structured interview with the director of community engagement at the Potchefstroom Campus

Concept	Secondary concept	Construct	Questions
Participatory communication	Participation	Forming partnerships through continued contact	Tell me about your contact with the project leaders of the difference projects on the Potchefstroom Campus? Probe: How did you initially meet? Did you communicate via e-mails/meetings? Could you make any suggestions in the planning and implementation of the projects? Were you involved in the evaluation of the projects?
		Combining of knowledge and skills	
		Participation in the initiation of the project	
		Participation in the planning of the project	
		Participation in the implementation of the project	
		Participation in the evaluation of the project	
	Dialogue	Intentional interpersonal communication	Tell me about the time last year when you visited all the faculties. Probe: What was the aim of your meetings?
		Reflective listening skills	How would you define listening? Probe: Give me some examples
		Create mutual understanding	
		Building respectful and trusting relationships	Describe your relationship with the project leaders?
		Negotiation/bargaining	Did you experience any conflict with project leaders? If so, how did you handle it?
	Empowerment that leads to self-reliance	Developing self-esteem and self confidence	Did you motivate the project leaders to concentrate on the empowerment/enablement of community members? If so, can you give examples?
		Skills development	
		Better quality of life	
		Contributing own time	
		Contributing own prior knowledge	
		Contributing own money	
	Importance of the social context	Understanding and recognition of the culture	In what way did you motivate the project leaders to have an understanding for the social context of communities? If so, please give me examples.
		Understanding and recognition of the gender roles	
		Understanding and recognition of the religion	

3.4.2.3 Interview guide: Semi-structured interviews with the project managers of the Holding Hands project and ECD Training Project at the NWU (Potchefstroom Campus)

The semi-structured interview with the project leader of the Holding Hands Project was conducted at 08:00 on 10 February 2016 at Building G16, Room 267A. The semi-structured interview with the project leader of the ECD Training Project was conducted at 09:00 on 17 February 2016 at Building B11, Room 33. The aim of the semi-structured interviews with the two project managers was to understand how they perceived their communication with the community members, as well as their involvement in the projects.

TABLE 5 Semi-structured interviews with the project managers of the Holding Hands project and ECD Training Project at the NWU (Potchefstroom Campus)

Concept	Secondary concept	Construct	Questions
Participatory communication	Participation	Forming partnerships through continued contact	Tell me about your contact with the community members?
		Combining of knowledge and skills	What is your perception of the relevant knowledge and skills of community members?
		Participation in the initiation of the project	Tell me more about your involvement in the project?
		Participation in the planning of the project	
		Participation in the implementation of the project	
		Participation in the evaluation of the project	
	Dialogue	Intentional interpersonal communication	How do you perceive the communication between you and the community members?
		Reflective listening skills	
		Create mutual understanding	
		Building respectful and trusting relationships	Give me an example of an incident where the community members had to trust you or where you had to trust the community members?
		Negotiation/bargaining	If there were conflict, how was it resolved?
	Empowerment that leads to self-reliance	Developing self-esteem and self confidence	In your experience, how was the self-esteem and self-confidence of the community members build through this project?
		Skills development	In your own words, what do you think were the benefits of the project for the community?
		Better quality of life	
		Contributing own time	In your experience what can the community members contribute to this project?
		Contributing own prior knowledge	
		Contributing own money	
	Importance of the social context	Understanding and recognition of the culture	In your own words, explain how the social context of the community is recognised? Probe: give examples of instances where there was recognition of culture/gender roles/religion
		Understanding and recognition of the gender roles	
		Understanding and recognition of the religion	

3.4.3 Focus groups

Focus groups as research method did not emerge until the mid-1940s and was initially used in marketing research (DiCicco-Bloom & Crabtree, 2006:315). The aim of a focus group is to promote self-disclosure and can be described as a small group of people interacting with each other while being facilitated by a researcher (Greeff, 2013). Focus groups are a method that represents a more 'normal' situation than that of an individual interview. In this study, during the focus groups, community members were able to freely ask questions and give their opinions within an open environment. Members in the group "can spark each other off" and has an influence on the perceptions of each other (see Krueger, 1994:19; Merriam, 2002:5; Wellington & Szczerbinski, 2007:89; Du Plooy, 2009:199; Rossman & Rallis, 2012:189; Okoror et al., 2014:32, 33). New perspectives were explored and added value to the study (see Nieuwenhuis & Smit, 2012:125; Nieuwenhuis, 2014:92). Two moderators, who are well experienced with small group facilitation processes, were present. There were opportunities to probe for additional information after answers had been given. The moderators also had the opportunity to clarify information as well as reflect and summarised what was discussed (see Cohen, 2013:106).

The challenge of focus groups is to manage the dynamics of the group and to facilitate communication to ensure the generation of useful data (Gen, 2013:99). Focus groups must be conducted until saturation is reached and no sub-category is empty any more (Schreire, 2012:77). Three focus group interviews were conducted after which saturation was reached.

The main aim of the focus groups was to understand the perceptions that the community members had with regards to the process of communication within community engagement of the NWU (Potchefstroom campus). There was not a fixed set of questions, only an opening statement and only a general topic guide with the following topics:

1. Participation in the project
2. Communication in the project
3. Contribution in the project

TABLE 6 Topic guide: Focus groups with the community members

Concept	Secondary concept	Construct	Questions	
Participatory communication		Forming partnerships through continued contact	Tell me about your relationship with the project leader?	
		Combining of knowledge and skills		
	Participation	Participation in the initiation of the project	Tell me more about your role in the project from when it started till today	
		Participation in the planning of the project		
		Participation in the implementation of the project		
		Participation in the evaluation of the project		
	Dialogue	Intentional interpersonal communication	Tell me about the communication between you and the project leader?	
		Reflective listening skills		
		Create mutual understanding		
		Building respectful and trusting relationships	Give me an example of an incident where the project leader had to trust you or whereby you had to trust him/her?	
	Empowerment that leads to self-reliance	Negotiation/bargaining	What did the project mean to you?	
		Developing self-esteem and self confidence		
		Skills development		
		Better quality of life		
		Contributing own time		What did you do for the project?
		Contributing own prior knowledge		
	Importance of the social context	Contributing own money	In your own experience, how is your culture, gender roles and religion respected in this project? Probe: Give me some examples.	
		Understanding and recognition of the culture		
Understanding and recognition of the gender roles				
		Understanding and recognition of the religion		

Three focus group interviews were held at Rysmierbult and Castello on 25 February 2016 at 15:00 and at Jan Kempdorp and Ganspan on the 5th of May 2016. At Rysmierbult there were four women from Rysmierbult and two women from Castello. At Jan Kempdorp there were eight members (one male and the rest female) and at Ganspan three women were part of the focus group.

The care-givers of the ECD Training project had finished their training, so they were never together as a group and therefore a focus group interview was not possible. The researcher had four semi-structured interviews with four care-givers who were part of the training. The researcher did the interviews at their places of work (two on the Potchefstroom Campus of the NWU and two at their day-care centres in Promosa, Potchefstroom).

3.4.4 Personal observation and field notes

The method of personal observation can be done while people carry on with their daily activities (§1.7.7). In this study, personal observation complemented the semi-structured interviews and focus groups and served as method of triangulation and to enhance the trustworthiness of the study (see Du Plooy, 2009:40). Personal observation were done on various occasions. On 10 February 2016 at 08:00, in building G16, room 267A on the NWU (Potchefstroom Campus) personal observation was done before, during and after the semi-structured interview with the project manager of the Holding Hands Project. On 17 February 2016 at 09:00, in building B11, Room 33 on the NWU (Potchefstroom Campus) personal observation was done during the semi-structured interview with the project manager of the ECD Training Project. Personal observation was also done on the same day at 12:00, in building C1, Room 214 NWU, Institutional Office before, during and after the semi-structured interview with the director of community engagement at the NWU. On 18 February 2016 at 08:00, in building F1 Room K120 on the NWU (Potchefstroom Campus) personal observation was done during the semi-structured interview with the director of community engagement on the Potchefstroom Campus of the NWU. During the afternoon of 25 February 2016 personal observation were done at Rysmierbult and Castello before, during and after the focus group with the community members, which form part of the Holding Hands project. Personal observation were done on 5 May 2016 at Ganspan and Jan Kempdorp, before, during and after the focus group interviews with the different community members, which form part of the Holding Hands project.

3.5 ANALYSING THE DATA

After each semi-structured interview or focus group, the researcher immediately transcribed the data and analysed it because data analysis ideally occurs concurrently with data collection so that the researcher can generate an emerging understanding of the phenomena (see DiCicco-Bloom & Crabtree, 2006:318).

3.5.1 Coding/Categorising

Coding/categorising can be regarded as the backbone of the study and refers to the formal representation or concept-mapping of the analytical thinking of categories based on prior research and theoretical perspectives. Labels/dimensions describe the codes/categories. Similar data were grouped under specific labels/dimensions and then the codes/categories were compared in order to establish links between different codes/categories for theme-building (see DiCicco-Bloom & Crabtree, 2006:318, Rossman & Rallis, 2012:3,281; Schreier, 2012:38,39,95; Owen, 2014:7; Ivankova, et al., 2014:265).

In this study the researcher used EXCEL spreadsheets to categorise/code the interviews. After the responses had been transcribed, the operational definitions of the constructs were used to compare them with the responses from the semi-structured interviews and the focus group interviews. The aim was to see whether the project leaders and participants perceived the communication process similarly or differently.

3.5.2 Operational definitions of constructs

The term “operational definition” refers to a precise statement of how a construct is turned into a measured variable. Research can only proceed once an adequate operational definition has been defined (Stangor, 2015:67). The aim of an operational definition is to identify the indicators or phenomena that truthfully represent an abstract concept (De Vos et al., 2014:34).

In Table 7 the operational definitions of the constructs which were used in this study are stated.

Table 7 : Operational definitions

Constructs	Operational definitions
Forming partnerships	Staff of the NWU community engagement project and a representative of the community should engage in regular and have continued contact to establish a rapport and to cooperate to achieve a common goal
Combining knowledge and skills	Staff of the university and the community should combine their prior knowledge and skills to engage in community projects
Participation in the initiation of the project	The community, as well as the staff of the NWU community engagement project should initiate projects together
Participation in the planning of the project	The community and the staff of the NWU community engagement project should participate in the planning of the project as equal partners
Participation in the implementation of the project	The community and the staff of the NWU community engagement project should participate in the implementation of the project as equal partners
Participation in the evaluation of the project	The community and the staff of the NWU community engagement project should participate in the evaluation of the project to be able to identify strengths, weaknesses and opportunities for changes etc.
Intentional interpersonal communication	There should be deliberate face-to-face dialogical communication between the staff of the NWU and between the community and the staff of the NWU
Reflective listening skills	There should be active hearing of messages during a dialogue between the community and the community and the staff of the NWU community engagement project
Creating mutual understanding	There should be a continuous, cyclical process of interpreting and reinterpreting messages of personal opinions to find common ground between the community and the staff of the NWU community engagement project in order to be able to pave the way for possible collective action
Building respectful and trusting relationships	There should be formation of bonds between the community and the staff of the NWU community engagement project which is based on principles like honesty and reliability, so that when a person say he/she is going to do something, you can believe him/her
Negotiation/bargaining	There should be an agreement that is acceptable to both the community and the staff of the NWU community engagement project if/when conflict occurs
Developing self-esteem and self-confidence	There should be verbal confirmation of growth in dignity, self-worth and confidence as experienced by community members
Skills development	There should be the learning of a practical skill
Better quality of life	There should be advancement in the personal circumstances of the community members
Contributing own resources	There should be the giving of own time and money, as well as contributing prior-knowledge
Understanding and recognition of the culture	There should be a recognition and a willingness to understand cultural ceremonies, rituals, beliefs, norms and values
Understanding and recognition of the gender roles	There should be a recognition and a willingness to understand the existence of gender roles and responsibilities in the household with regards to childbearing, caring and support, as well as other family responsibilities like elderly care, weddings and funerals
Understanding and recognition of the religion	There should be a recognition and a willingness to understand religious ceremonies, rituals, beliefs, norms and values

3.6 ETHICAL ISSUES

Before the commencement of this study, the research proposal was approved by the ethical committee of the Faculty of Arts at the NWU (Potchefstroom Campus). The researcher stated truthfully to staff and community members, during the semi-structured interviews, as well as the focus groups, what she wanted and what her intentions were with the questions, the notes and the observations (see Rossman & Rallis, 2012:158). All participation was voluntary and because the research was within vulnerable communities, no sensitive subjects (e.g. HIV, domestic violence, etc.) were discussed.

3.7 TRUSTWORTHINESS OF THIS STUDY

Qualitative research scholars have different opinions on trustworthiness. Some reject trustworthiness and some suggest a modified concept of trustworthiness. In this qualitative study the quantitative validity criteria of objectivity do not apply as this study is about the interpretation of shared experiences of community members and staff of the NWU (Potchefstroom Campus) which cannot be objective (see Cho & Trent, 2006:321; Schreier, 2012:26).

Traditionally, trustworthiness refers to the correspondence between the extent to which the instrument assisted in capturing what the researcher wanted to know on the one hand, and the constructed reality of the community members and staff of the NWU (Potchefstroom Campus) on the other hand (see Cho & Trent, 2006:321; Du Plooy, 2009:28; Schreier, 2012:27). Trustworthiness of this study was enhanced by triangulation when more than one method of data collection, namely document analysis, semi-structured interviews, focus groups, personal observation were used to verify the “correctness” of data and “find out more” about the nature of communication within community engagement (see Merriam, 2002:12; Du Plooy, 2009:40; Frost, 2011:7; Schreier, 2012:185).

Transactional trustworthiness in this study refers to the interactive process between the researcher, the community members and staff of the NWU who are part of this study as well as the collected data of this study. The researcher ensured that the work was done in a systematic way, which makes the procedure and reasoning transparent.

Construct trustworthiness (rigour) is more complex. It is when you take into consideration the relationship between the concept under study and the theory. In this study the researcher worked under the guidance of a senior researcher in this field of study. The interview schedule was designed in accordance with the theoretical arguments of this study and the operational

definitions, which refer to the precise statements which were used to measure the variables used to give meaning to the constructs (see De Vos et al., 2014:34).

3.8 LIMITATIONS OF THE STUDY

Limitations indicate the weaknesses of a study and act as a reminder that no study is perfect as findings are tentative and conditional (Rossman & Rallis, 2012:135).

Although the researcher has vast experience with local communities, the researcher is from a different cultural background, and some responses from community members could have been culturally wrongly interpreted.

This study was conducted on only one campus of the university and with the participants of only two projects. The scope of the study is thus limited and cannot be generalised.

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CHAPTER 4

COMMUNITY ENGAGEMENT AT THE NWU (POTCHEFSTROOM CAMPUS)

"Education is constantly remade in the praxis. In order to be it must become. Its "duration" is found in the interplay of opposites permanence and change." — Paulo Freire, *Pedagogy of the Oppressed*

4.1 INTRODUCTION

The previous chapter focused on the research methods that were used, informed by the most important theories within the field of communication for social change. The relevant principles for this study, namely participation, dialogue, empowerment leading to self-reliance and the importance of the social context, were the guiding force of this research.

In this chapter the following specific research question will be answered:

1. How do the staff of the NWU perceive the challenges in the policy formulation and implementation of communication within community engagement at the NWU (Potchefstroom Campus)?

In aiming to answer the research question, attention will be given to the community engagement policy of the NWU as well as the challenges that the NWU (Potchefstroom Campus) faces regarding communication within community engagement.

4.2 COMMUNITY ENGAGEMENT POLICY OF THE NWU (SEE ANNEXURE H)

From the policy for community engagement it is evident that there were horizontal discourse between staff members, on all campuses of the NWU. It is evident that personal opinions were discussed and different opinions viewed. Within this space of communication this policy document is a reconciliation between pluralistic viewpoints which was acceptable on all campuses of the NWU (§2.6.2.1.4). It is also evident that the policy is in line with a participatory communication approach as there was a strong focus on the process to engage with all the stakeholders (§2.6). This is also evident when the NWU emphasised in the policy that their vision is to engage with all relevant communities through the pursuit of knowledge and

innovation and bringing the process of research/innovation and teaching-learning directly to the community who will benefit. They will strive, through the “*scholarship of engagement*” to combine knowledge and skills across disciplines to integrate and generate new knowledge (§2.6.1.5.3).

The policy document indicated that it is aligned with the national government policy frameworks as indicated in the Higher Education Act (101/1997) as well as the quality assurance guidelines thereof.

It is mentioned in the policy that the NWU (consisting of key stakeholders and university managers) decided in 2014 that community engagement should be integrated into the core business of the university, teaching and learning, research and community engagement. This means that academic staff have to participate in engaged teaching and engaged research.

4.2.1 “Sharing of expertise”

The policy document stated that the expression “sharing of expertise” will be the term used to describe all activities relating to research or innovation, teaching-learning and service learning in the community. This is in line with a participatory approach where there is a combination of knowledge and skills among all participants. Combining knowledge and skills will lead to a stronger strategy for community engagement as the community will be more committed to see a positive outcome (§2.6.1.5.3).

4.2.2 Objectives of the policy

The aim of the policy is to guide all engagement activities of the university, to minimise risks and to maximise outputs and benefits for both the university and the community. This partnership between the university and the community should be characterised by reciprocity, which is in line with a participatory approach to communication for social change (§2.6.1.5.2). The policy also has to ensure that the activities of the university are in line with the functions of the university and government.

4.2.3 Policy statement

The policy indicated that there should be a sustainable structural integration of community engagement into all the activities of the university. The policy lists these activities as research/innovation, teaching and learning, as well as community service and outreach initiatives. The aim of this is to influence policy and to empower all members of society to address the development challenges of South Africa through the sharing of knowledge and

expertise which is one of the central themes within a participatory communication approach (§2.6.1.5.3 and §2.6.3).

4.2.4 Definitions in the policy

One of the challenges of community engagement at the NWU (Potchefstroom Campus) is the misunderstanding of terms (§4.3.3). A big part of the policy gives attention to the clarification of terms and how they should be interpreted.

4.2.4.1 Community engagement

The first term which is unpacked in the policy is “*community engagement*” (§1.1). In this definition the focus is on the fact that community engagement is a core function of the university, which exists to “*nurture and manage partnerships*” with communities, as well as “*facilitate*” cooperation between various communities and the university in their discovery of knowledge, which should be mutually beneficial and in accordance with the participatory approach to social change where there is a focus on working “with” communities, rather than telling them what to do (§2.6.1.5.2).

The policy states clearly that there is a three-point set of criteria to determine whether an activity is true community engagement:

1. The activity should be linked to an identifiable group in a community (inside or outside the university).
2. The interaction should be linked to identifiable needs of both the university and the community.
3. The interaction should be a sustained activity within a mutually beneficial partnership (§2.6.1.5.2).

If an activity is not based on the criteria stated above, there should be changes made, e.g. learning activities where students are required to conduct community-based research should involve activities where there is actual engagement with the community and in line with a participatory approach to communication for social change (§2.6).

4.2.4.2 Communities

From the Report on Community Engagement Indaba Workshop on 13 April 2015 (see Annexure F) it was evident that there was a lot of uncertainty about who exactly is the “community” of the NWU. The policy on community engagement indicated that it signified a social grouping that is involved with any activity of the NWU. It ranges from the NWU’s internal staff, or external

community in the public or private sector, which can be locally, nationally or internationally situated. Thus, it could be geographical communities, or it could be communities of interest and/or communities of practice. In the policy it is indicated that the reason for this broad definition is to include marginalised communities, without excluding other community formations. This broad definition is also in line with a participatory approach to communication for social change as it encourages authentic participation, regardless of whether social change occur or not (§2.6.1.5).

4.2.4.3 Engaged research/innovation

The policy differentiates between profitable and non-profitable research/innovation. Profitable research/innovation includes consultations, contract research/innovation, internal corporate ventures, subsidiary companies and technology licensing. The policy does not indicate whether this research/innovation is indeed “engaged” as it never mentioned participation in these activities. There is also no mentioning of the integration of community engagement in this type of research/innovation. This could indicate “participating in participation” or consultation where the power of decision-making does not lie with the community (§2.6.1.3).

The policy indicates that non-profit research/innovation is conducted in collaboration with external partners and focuses on the broader needs of society. The policy again mentions the importance of reciprocity (§2.6.1.5.2). In line with a participatory approach to communication for social change, the policy focus on social change and the importance of community participation. These activities has the potential to enhance the curriculum with new knowledge, is is mutually beneficial (§2.5.1.2).

Concepts like “participatory action research” and “community-based research” also receive attention in the policy. The policy defines “participatory action research” as *“in this type of research, the inputs of the community are participatory in nature and must be negotiated and valued, a methodology which is supported by an array of techniques aimed at ensuring reciprocity and partnerships”* The policy defines “community-based research” as *“engaged research that could be on phenomena found within communities”* The importance of the ethical responsibility towards the community, to receive feedback, is also stressed. Not just is the feedback limited to the formal scientific channels, but must also be communicated to the wider public. There is also a comment in the document to link the policy on ethics with this policy.

4.2.4.4 Engaged teaching-learning

According to the policy teaching-learning-related community engagement activities are mostly not-for-profit. These activities include professional community services and discipline-based

outreach, developmental activities with a recruitment focus, subsidised developmental community engagement, voluntary skills transfer and volunteerism.

4.2.4.4.1 Professional community services and discipline-based outreach

These activities include advice and the sharing of expertise, voluntarily and free of charge. Examples of these activities are advisory boards, editorial committees, consultation services, testing services, sports outreach programmes and allowing communities to use the facilities of the NWU free of charge.

4.2.4.4.2 Developmental activities with a recruitment focus

These activities include sports development, teacher-development, science and engineering weeks, as well as leadership development programmes that are aimed more directly at learners with a view to attracting them to the NWU, but not restricted to potential students only.

4.2.4.4.3 Subsidised developmental community engagement

Subsidised developmental community engagement aims to prepare students for their participation in a democratic society and expose them to the realities of society and their social role.

4.2.4.4.4 Voluntary skills transfer

The policy defines this activity “*where a skill is shared or transferred without any instruction from the University but where this transfer takes place in the name of the University*”. The policy indicates that if the activity is regulated by academic oversight and students are evaluated, it becomes “service learning” which falls under the Work-integrated Learning and Service Learning Policy. The policy indicated that this type of community engagement is subsidised as some of the costs incurred are recoverable from class fees.

Skills transfer is basically a top-down approach of information dissemination and by itself is not participatory (§2.4.1.3.1). Skills transfer does not necessarily empower and lead to self-reliance. However, the outcome of the skills transfer can lead to job creation or employment (§2.6.3.4).

4.2.4.4.5 Volunteerism

As indicated previously the focus of communication within community engagement on the Potchefstroom campus is still on top-down volunteerism and outreach (§1.2). The policy defines volunteerism as “*additional services by staff and students to, especially, the local communities*”

in which the University's campuses are based are also forms of engagement. This includes voluntary-based enablement/empowerment/non-discipline based outreach' activities such as services that are short-term, repetitive and mostly philanthropic in nature and that are not regulated by the University".

These philanthropic outreach activities cannot be regarded as participatory per se as the focus of these activities is not to build partnerships with communities and working "with" them (§2.6.1.5.2). The focus is short term and leave no room for empowerment that leads to self-reliance (§2.6.3.4).

The policy indicated that any formal linkage with the NWU will require adherence to the rules of engagement; however, the Director of Community Engagement on the Potchefstroom Campus indicated during the semi-structured interview that a less prescriptive approach is followed (§4.3.9). From this it seems that there is a difference in the policy requirements and the implementation of community engagement on the Potchefstroom Campus.

4.2.5 Rules of engagement

The policy indicates that all research/innovation and teaching-learning activities must obtain ethical clearance and all engagement activities must be registered on the Institutional database for community engagement. Formal partnerships, which regulate expectations, manage risks and clarify the roles and responsibilities should be set up between participants. The policy again emphasizes the importance of feedback to the community as an important part of the reciprocity principle. The policy also mentions the inclusion of quality, risk and impact assessments, but does not give much detail on this. As volunteerism plays a big role in community engagement at the Potchefstroom Campus, the issue of fundraising is also prominent in the rules of engagement. Fundraising must be done in accordance with the rules and regulations of the Development and Fundraising Policy and in collaboration with the Advancement Committee of the NWU.

4.2.6 Procedures

The policy states that *"the NWU will ensure the provision of effective, efficient and equitable support for community engagement through the community engagement structures. The overall process for community engagement is captured in the document "Quality Assurance Process for Community Engagement at NWU" (see Annexure I).* From the document analysis it was, however, evident that the community engagement support structures do not follow procedures as indicated by this document (§4.3.6).

From the document analysis and semi-structured interviews it was also quite evident that there are many challenges regarding communication within community engagement and that participatory communication does not always materialise.

4.3 CHALLENGES OF COMMUNITY ENGAGEMENT AT THE NWU (POTCHEFSTROOM CAMPUS)

4.3.1 Formulation and implementation of a policy

One of the first tasks of the community engagement office is to co-ordinate the formulation of a policy which will regulate all aspects of community engagement at the University (see Thompson et al., 2009:ii; Nhamo, 2012:4). From the literature it is evident that universities also included the notion of community service in their mission statements, but a policy for conducting community engagement is lacking. This is also true in the case of the NWU (Potchefstroom Campus) as at the time, the university had no approved policy on community engagement. The policy only became official after it was approved at the council meeting on 17 November 2016 (Jansen Van Vuuren, 2016). This was nine years after the establishment of the community engagement office in 2007 with the appointment of a manager for Community Engagement at the Institutional Office of the North-West University. Before that, there were no formal structures to monitor or evaluate and report on community engagement projects.

The Director of Community Engagement at the Institutional Office of the NWU indicated that the Campus Rector at the time, and the Executive Director Innovation, Research and Community Engagement at the NWU (Potchefstroom Campus) compiled a draft policy for community engagement in 2007. The Director of Community Engagement at the Institutional Office was supposed to take it further. However, this document was never sent for approval or consultation to staff members on campus. The Jaftha Report of 2014 (see Annexure A) indicated that the absence of an institutional policy framework was of great concern. The Response to the Jaftha Report (see Annexure B), however, indicated that *“the re-circulation of the draft policy in November 2013 and request for comments on the policy for finalisation has not elicited any responses at all”*. From the semi-structured interview with the Director of Community Engagement at the Institutional Office, it is evident that management was generally too busy or not interested in responding to requests for comments on the policy. However, since the restructuring process, which is high up on the agenda, there has been improved collaboration between campuses and the Institutional Office. The Quarterly Report – Institutional Committee for Research and Innovation (ICRI) and Institutional Committee for teaching and learning (ICTL) (see Annexure C) dated 14 September 2016 indicated that the policy was referred to campus senate committees and extended management committees for approval and the CE policy was tabled at Vaal and

Potchefstroom Campuses for further inputs. Mafikeng Campus has also provided their inputs. The policy has already served at the Institutional Senate and ICRI, but was referred back to campus senates as part of a prescribed procedural process for sign-off by Council at the meeting in November 2016.

4.3.2 There is no scholarly debate on community engagement

While the aim of communication within community engagement is not to achieve consensus, facilitation may be required to manage differing opinions, positions and perceptions in order to reach the objectives of the process. Dialogue can assist to build trusting and respectful relationships (§2.6.2.2). Literature on community engagement indicated that deeply-entrenched ideas about research and divergent views on community engagement processes between academics can take time to dislodge. This can also create friction unless appropriately handled (see Thompson et al., 2009:ii,18; Wood & Zuber-Skerrit, 2013:10). From the Soft Review Report 2013-2014 (see Annexure D) it is evident that there is “*no scholarly debate on community engagement*”. The Soft Review Improvement Plan 2013-2014 (see Annexure E) indicated that campuses seemingly drive community engagement according to their own discretion and in isolation from the Institutional Office. This results in non-scholarly engagement because no liaison and communication take place. So it was evident that participatory communication at appropriate levels of management can rectify this problem. The Report on Community Engagement Indaba Workshop, 13 April 2015 (see Annexure F) indicated that scholarly debate on community engagement started to get serious attention at management level, at the time. From the report it is evident that by that time, the conceptualisation of community engagement was not finalised and a variety of concepts were still used, e.g. involvement, consultative activities etc. However, from the strategy document, ‘From Passion to Success’ (August 2015) (see Annexure G) it is evident that the university now see community engagement as “*a different form of scholarship, which is engaged with communities and other external partners, to ensure that knowledge or science, which is developed, is relevant to society and has meaning for communities*”. This definition is also included in the policy on community engagement (§4.2.4).

4.3.3 Misunderstanding of terms

Literature indicated that a policy on community engagement must include the definitions of key terms such as ‘community service’, ‘community engagement’, ‘community’ and ‘community service learning’ (see Suarez-Balcazar et al., 2005:93; CCPH, 2006; Bender, 2008:81; Lazarus et al., 2008:61; Matthews, 2010: 1; O’Meara et al., 2010:93). The Director of Community Engagement on the Potchefstroom Campus indicated that since his appointment as the Director

of Community Engagement on the Potchefstroom Campus (June 2015) he became aware of misconceptions and negative attitudes towards community engagement.

Two years before, the Soft Review Report 2013-2014 (see Annexure D) indicated that “*The lack of scholarly debate leads to the misunderstanding of the terms ‘engagement’ and ‘community’ and ‘community engagement activities’.* It is evident in the strategy document ‘From Passion to Success’, August 2015 (see Annexure G) that management is still struggling to conceptually link volunteerism (which is what most of the Potchefstroom Campus staff are doing) with community engagement. This document indicated that “*community engagement lies beyond outreach and extension*” but further in the document it states that “*Volunteerism is an important part of community engagement*”. The Policy on Community Engagement of 2016 (see Annexure H) indicated that volunteerism/additional services by staff and students are also forms of engagement. “*This includes voluntary-based ‘enablement/ empowerment/ development/ non-discipline based outreach’ activities such as services that are short-term, repetitive and mostly philanthropic in nature and that are not regulated by the University*”. Literature, however, indicated that community engagement is not a purely philanthropic exercise/outreach/volunteerism where a free service is provided to the community (see Orr, 2016:36). There must be a link to learning, teaching and research, which is mutually beneficial as indicated by the policy (§4.2.4.1).

4.3.4 Perceptions regarding the Institutional engagement office

According to the Community Engagement Soft Review Report 2013-2014 (see Annexure D) there is a perception that the engagement office is merely “*a charity department*” or “*a dumping ground for projects*”. This perception contributes to staff members being uncertain about their role in the organisation. During the semi-structured interview with the Director of Community Engagement at the Institutional Office it was evident that these perceptions to some extent still exist. Staff members have the perception that the Director has funds at her disposal to distribute for community engagement projects as she sees fit. She can, however, only facilitate through her networks and through her knowledge of the landscape of community engagement to steer staff in directions where they can get funding. The task of the Director of Community Engagement at the Institutional Office, is not to participate in community engagement projects *per se*. From the semi-structured interview it is evident that she sees the role of the Director of Community Engagement at the Institutional Office to be situated at a strategic level; giving guidance and influencing thinking. However, the Soft Review Report 2013-2014 (see Annexure D) indicated that the director has limited input into strategic level planning and only receives the plans from above. The Soft Review Report indicated that the director assumes ownership of community engagement, but has no authority to ensure implementation. Furthermore the detail

of the business model prevents the director from exercising full control over community engagement activities. This is quite evident from the semi-structured interview with the Director of Community Engagement at the Institutional Office:

“When we were used to and I must honestly say I felt quite used by our academics because they only made use of me when they could use me and then got chucked away was that sometime our contribution was played down. So, we never got the recognition of supplying them with information or networks or contacts. Those were the kind of things that made us really despondent in a sense because even if we could contribute strategically or give guidelines or influence thinking really the role that the institutional office be playing were not allowed to perpetuated and take it further.”

It is evident that the uncertainty about roles and responsibilities has led to negative perceptions and attitudes among staff members. Intentional interpersonal communication could assist to build trusting and respectful relationships among staff members (§2.6.2.2).

4.3.5 Communication issues

The Processes and Quality Manual on Community Engagement (see Annexure I) indicates specifically that:

“The general activities of the community engagement institutional office are to consult and involve management on the campuses in an on-going basis that open communication channels are maintained and collaboration between staff members is optimal.”

However, the Community Engagement Soft Review 2013-2014 (see Annexure D) and the semi-structured interviews with the Director of Community Engagement at the institutional office of the North-West University, as well as the project leaders of the Holding Hands Project and ECD Training, indicated the opposite: communication channels are not always open and collaboration between staff members is not always optimal. Participation in face-to-face open interaction between staff members can lead to better collaboration (§2.6.1.6 and §2.6.2.2).

4.3.5.1 Communication between the institutional Community Engagement Office and management of the NWU

The Community Engagement Soft Review Improvement Plan 2013-2014 (see Annexure E) recommended that one-on-one conversations may assist in changing high-level managers' perspectives on community engagement. There is no mention of any ongoing one-on-one

conversations, but since 2007 until 2015, every three months, the Director at the Institutional Office of the NWU had meetings with all the campus rectors. Twice a year the Director at the Institutional Office of the NWU would meet with the Vice-chancellor as well as the rectors at the three campuses. Unfortunately from these meetings there are no agendas and minutes available to include in this study.

Twice a year the director also attended the Institutional Committee for Research and Innovation meetings. From these meetings, reports were sent to the Institutional Senate.

4.3.5.2 Communication between the institutional community engagement office and management of the Potchefstroom campus

During the interview with the Director of Community Engagement at the Institutional Office, she explained that due to the separation between the Institutional Office and the different campuses there were some very difficult reporting lines that they had to mediate in terms of communicating about community engagement. The following comments illustrate this:

“The reporting lines in 2007 up to about the end of 2014 were the following: We would communicate via a dotted line to the vice-rector on each campus responsible for community engagement. In 2007 up to until Prof Herman Van Schalkwyk was appointed as the rector on Potch Campus I think in 2010 we were allowed to, we were invited to attend the campus extended management committee meetings. However after that, Herman terminated any attendance of the meetings. We were then only communicating with the vice-rectors.”

The Director of Community Engagement at the Institutional Office indicated that the communication with the vice-rectors happened at formal meetings every two months, more or less. These meetings would take place in the office of the Deputy Vice-Chancellor and via the DVC they would meet with all the directors of the support offices that were in his directorate, that included Research, Innovation and Community Engagement and later on IT as well as Internationalisation. The meeting would have an open agenda with certain topics on which they would then briefly report back. These meetings were very time-consuming and only the most important matters regarding community engagement were discussed. Another level of communication happened twice a year, when they had an open agenda meeting with the rector and the vice-rector of each campus. During these meetings they had a general discussion on the various topics they never got to discuss in the other meetings. Twice a year, during the IGRI Institutional Meetings (which was the Institutional Committee for Researching Innovation) they would have a formal agenda, with comprehensive reporting on community engagement. However, there was very little interaction, which the Director experienced as very frustrating

“however, that was the way it were”. The Director also indicated that she would forward any relevant information, requests, etc. via the vice-rector to the deans. The frustration regarding the lack of intentional interpersonal communication is evident in the following remark:

“I was never allowed, formally allowed it was an unwritten rule to just approach people on the campus directly or deans directly so I had to work through the vice rector’s office.”

She found this particularly frustrating because she strives to build relationships through her sharing of knowledge:

“What is interesting was my personal mantra to do this: If somebody came to ask me anything I would give them everything I knew. I was as generous as I possibly could be. Even external people and it was interesting they would come and pick my brain and even innovative thinking I would just give to them.”

How people then apply the knowledge that she shared with them, indicated their motives. She explained that some even used the information she gave them to the advantage of themselves, against the university. She felt unhappy about the fact that the academic staff used her input in community engagement projects without giving her the necessary acknowledgement for her participation in the project. It is evident that she experienced problems in building respectful and trusting relationships.

It was evident that the Director at the Institutional Community Engagement office did not perceive the communication as being participatory as she was side-lined by gatekeepers from high-level management positions:

“But if you look into some of the reviews we had a soft review which were done by die Quality Office which had in any case similar findings. There was afterwards some response from the Potchefstroom Campus where they involved Mr Jaftha. Reverend Kiepie Jaftha and he then indicated that the campus was restrained because they get not support from my office.”

It is evident that this is not in line with a participatory approach as there should be a combining of knowledge and skills between the participants (§2.6.1.5.3).

4.3.5.3 Communication between the campus staff and the Institutional Community Engagement Office

On the other hand it is important to note that the project leaders of both the Helping Hands Project and the ECD Training Project were involved with the task team of Rev. Jaftha. During the pilot study they indicated that they did not get any policy guidelines or regular

communication from the community engagement office. The project leader of the ECD Training indicated that she had a few conversations with the Director of Community Engagement at the Institutional Office. The project leader of the Helping Hands Project indicated that she also never received any policy guidelines from the Institutional Community Engagement Office.

In the Response to the Jaftha Report (see Annexure B) the director indicated that she was not allowed to give support to the campuses.

From the above-mentioned it is also evident that there is a big difference between the expectations from the campuses and the institutional office. There is no participatory communication between management of the NWU and the Director of Community Engagement at the Institutional Office, and this is very frustrating for her. There is also no participatory communication between the Director of Community Engagement at the Institutional Office and the project leaders, and that is also very frustrating for them.

4.3.5.4 Communication within faculties regarding community engagement

The project leader of the Helping Hands Project indicated that the most support the project had was from within the Faculty of Health. The project leader of the ECD Training Project said that she was part of the Faculty of Education Sciences and due to the fact that they were “behind” in their community engagement activities, she was selected to be part of a task team that visited the Universities of the Free State and Johannesburg to see how it was being done elsewhere.

4.3.5.5 Communication between the Potchefstroom Campus Community Engagement Office and the Institutional Community Engagement Office

It is also evident that prior to 2015 there were no formal communication channel between the Potchefstroom Campus and the Institutional Community Engagement Office regarding information on community engagement projects. The staff had to depend on the formal communication from the Institutional Engagement Office. This included anything they could pick up on the website which is communicated via *Bemarking en Kommunikasie* at the Potchefstroom campus or published on the Daily Higher Education News etc.

However, it is positive to note opportunities for personal engagement between the institutional office of the NWU Potchefstroom campus have increased over the past three years.

“Since 2014 and very much in 2015, we have had the opportunity to do so via the management committees of each faculty. That happened through, especially on the Potch campus through the process of deans meeting with us allowing us to address their management teams at faculty level and then we were also invited to be members of the

health sciences faculty committee for community engagement. I think I have great relationships with several of the deans.”

The Director of Community Engagement at the Institutional Office is of the opinion that the change is because of the restructuring of the university:

“This has changed in the past three years and I would say probably because of the restructuring process I am not sure, but I suspect that is the main reason. That the alignment between campuses is very high on the agenda item for the management and therefore there is better transparency and better co-operation”

Although it is positive that communication opportunities have increased, it would seem that this is not because of a change of strategy regarding communication within community engagement, but rather external factors, such as the restructuring of the university.

4.3.5.6 Communication between the Campus Community Engagement Office and the staff of the Potchefstroom Campus

The Director of Community Engagement at the Potchefstroom Campus of the NWU, who was appointed in June 2015, indicated that he only started to interact with NWU (Potchefstroom Campus) staff recently. It is evident from the semi-structured interview that he realised that personal relations with staff would take time to establish.

“Met sekeres het ek ‘n persoonlike verhouding. Hulle nooi my na funksies toe en gee my spreekbeurte. Die ander ouens s’n meerdere of mindere mate soos en wanneer nodig. Die res kom mos maar met tyd soos die ouens maar gewoon raak aan jou.”

This approach is in line with a participatory framework for communication, where intentional interpersonal communication over time, can facilitate the building of trusting and respectful relationships (§2.6.2.2).

4.3.5.7 Communication between the campus Community Engagement Office and management

The Director of Community Engagement on the Potchefstroom Campus uses the faculty meetings as platforms to receive information, but also to give information to the faculties. In 2015 he basically just introduced his office and visited all the faculties to be aware of projects. He has, however, not sat down and discuss projects in depth with members of the different faculties. He feels that it is not necessary at the moment, because he only needs to know about a project to be able to give support. It is evident that there are elements of dialogue e.g.

reflective listening, but aspects such as the building of respectful and trusting relationships takes time (§2.6.2.2).

The Director of Community Engagement at the Potchefstroom Campus indicated that he used the database as a starting point in his first meetings with the faculties. He made appointments with the different faculties on the Potchefstroom Campus and gave them feedback on their community-based activities. He then discussed the plan of the University regarding community engagement, the definition of community engagement, the policy and certain elements of the strategic process which were discussed to compile a success model for the university.

During his contact sessions at the faculties, it was evident that while he tried to find common ground with the staff on campus, not all staff were on the same level regarding knowledge of community engagement. Some experts in community engagement on campus were worried about unethical behaviour in community engagement activities, for example the showing of the faces of minors in photos, etc. Aspects such as this are the reason he then decided to embark on an extensive awareness raising process. Awareness raising is top-down persuasion, in line with the modernisation approach, where the communication is one-way and chances for participation is practically absent (§2.4.1.4). In awareness raising there is not much chance for a combination of knowledge and skills between the engagement office and faculties (§2.6.1.5.3).

After the extensive awareness-raising and training on community engagement on the Potchefstroom Campus, the Director of the Institutional Community Engagement Office is of the opinion that staff members now have a much better understanding of community engagement processes. Some senior academics that were previously very sceptical about community engagement due to political connotations that they had, do realise now that community engagement is "*the right thing to do*". As indicated in the previous paragraph is this in line with the modernisation approach to communication where a persuasive, uniform message was sent in a one-way approach and can thus not be seen as participatory (§2.4.1.3.3).

4.3.6 No analysis of engagement processes

The Processes and Quality Manual on Community Engagement indicated that *agendas and minutes of meetings will be used to monitor the processes of this office. Electronic communication is archived on the hard drive of the manager's computer and back-ups are done on a monthly basis on an external hard drive.*

However, the researcher was informed that none of these documents were available for this study. So it is evident that a complete analysis of engagement cannot be done as there are no records available.

4.3.7 Lack of resources

A community engagement process may require a significant amount of resources (e.g. funding, time) in order to succeed. This is, however, sometimes difficult to estimate and secure in advance (see Wood & Zuber-Skerrit, 2013:11).

The Response to the Jaftha Report (see Annexure B) makes mention of the lack of resources for the printing of communication and marketing material as well as software for a programme to have a database of community engagement activities.

However, if community engagement is in fact regarded as one of the core activities of the university, as indicated in the Community Engagement Policy (2016) (see Annexure H) and implemented as such, budgets should reflect its importance.

4.3.8 Database of community engagement projects

Lazarus et al. (2008:64,66,68) indicated that most South African universities have a wide range of community service projects, but no systematic audit of these activities exists. Both the Soft Review Improvement Plan (2013-2014) (see Annexure E) and the Jaftha Report (2014) (see Annexure A) indicated that the lack of a comprehensive, integrated and user-friendly database to record projects has a negative impact on the management of community engagement. The Response to the Jaftha Report (see Annexure B) indicated that restricted resources and time constraints have to be blamed, but from the document analysis this is not clear, as the current database is an EXCEL Spreadsheet that is user-friendly and adequate. The researcher could not get an answer from the Director of Community Engagement at the Institutional Office of the NWU why it took almost eight years to compile a basic spreadsheet.

The Director of Community Engagement on the Potchefstroom Campus indicated during the semi-structured interview that one of his first tasks was to start to compile a database to record information on community engagement activities on the Potchefstroom Campus. After that, he coded and analysed the data. This was a very important milestone for the university:

“En dit was eintlik die heel eerste keer wat ons as universiteit globaal kon sien wat ons doen. Wat is die groter prentjie.”

The Quarterly Report – Institutional Committee for Research and Innovation (ICRI) and Institutional Committee for teaching and learning (ICTL) dated 14 September 2016 (see Annexure C) reported that the database for all Community Engagement (CE) projects would be completed by the end of October 2016. The policy on community engagement (2016) (see Annexure H) indicated that “*all university engagement activities must be registered on the Institutional database for community engagement*”. This process implies communication between the engagement office and the staff to obtain information to capture on the database. However, the one-way channelling of information does not leave room for any participation or dialogue to form partnerships between the community engagement office and staff members on campus (§2.4.1.3.1).

4.3.9 Integration of community engagement into teaching and learning

Integration of community engagement into teaching and learning as well as in research is also one of the most important tasks of the Community Engagement Office.

From the Report on Community Engagement Indaba Workshop (13 April 2015) (see Annexure F) it is however evident that management generally accepted the integration of community engagement into the core business and the Policy on Community Engagement (2016) (see Annexure H) indicated that “*during an Indaba held in 2014 it was decided by key stakeholders and university manager that the principle of integrating community engagement into core business and not a third activity and henceforth academic staff will be expected to principally do engaged teaching and engaged research*”.

However, the Soft Review Report 2013-2014 (see Annexure H) indicated that the integration of teaching, learning and research is not on an acceptable level due *to the lack of buy-in from academics. Sometimes community engagement neither is nor regarded as a high priority and request for feedback from campus rectors are not taken seriously.* Within a participatory framework for communication within community engagement it is important to pursue as much participation as possible to ensure buy-in (§2.6.1.6).

The Director of Community Engagement at the Institutional Office is of the opinion that engagement activities still focus too much on pure philanthropic projects which are not integrated with discipline based research, teaching and learning.

“Not that we say they are not needed I want to emphasise that but that is not the role of the university to do that. If individuals want to get involve, of course! Do that, by all means that is the right thing to do. But don’t do that in the name of the university and then claim that you did something for the university because you haven’t. You have stuck

a plaster on where there is a sore and you have to replace that plaster until the wound is healed. And that does not mean that, that is the right methodology to fix the problem. We have got lots of problems in our society and some of them are very, very complex. We will have to start to deal with the complexity of problems in order to address them.” This is positive that the director see engagement as long term sustainable social change instead of development. However, for long term sustainable social change to occur participatory communication with staff is necessary.

The Director of Community Engagement on the Potchefstroom Campus inferred during the semi-structured interview that some staff members thought that community engagement was now an additional task over and above research, teaching and learning that they have to do. Clearly community engagement is still seen by many as one of the three silos of higher education along with teaching and research.

The Director of Community Engagement at the Institutional Office of the NWU also confirmed this during the semi-structured interview:

“I would say since 2014 when we had our Indaba and our strategic meeting there has been quite a lot of changes in certain of the deans attitudes. Which is very positive and we are very glad that this has happened. I think for the first time some of the deans are seeing this as just another add on but as an opportunity to strengthen their community engagement processes and to actually give it the high standing and quality that it deserves. Because if you do this in an integrated fashion you can renew your curriculum and you can enhance your research outputs and some of them are only are really understanding that.”

It is evident that the Director of Community Engagement at the Potchefstroom Campus is, however, less prescriptive in his attitude towards the integration of community engagement:

“Ons het van die begin af ‘n doelbewuste besluit geneem om gemeenskapsbetrokkenheid nie in mense se kele af te dwing nie. Ons wil graag inkoop kry. Ons wil graag hê mense moet betekenisvolle bydraes lewer tot die ontwikkeling van gemeenskapsbetrokkenheid m.a.w. meer van ‘n organiese proses i.p.v. ‘n struktureel geforseerde ding soos ons wil nou sekere goed doen. Ek dink baie van die goeters soos ons aangegaan het, het spontaan in plek begin inval en dit was nog nooit vir ons regtig nodig om te sê wat julle doen is verkeerd nie.”

The above-mentioned comment shows a measure of participation and more opportunities such as this can be created to stimulate even more participation by the staff (§2.6.1.5).

The Director indicated that they motivated the staff by giving more recognition to the participatory, integrated projects, rather than ordinary philanthropic projects.

“What we did do is we recognise and we played up the very, very good projects. In order to give examples to deans and to community leaders and to academics, students and staff of which are the really good projects the ones that are really making an impact or difference. And we try to recognise those more than ordinary philanthropic projects.”

4.3.10 Reward system

The Community Engagement Office is also responsible for co-ordinating the inclusion of community engagement in staff promotion and a reward system. The Community Engagement Soft Review Report 2013-2014 (see Annexure D) suggested that there should be a reward for excellence in community engagement at the NWU to motivate staff to participate in community engagement. The Jaftha Report (2014) (see Annexure A) found that there is a lack of acknowledgement of the individual initiatives in community engagement activities. The Response on the Jaftha Report (see Annexure B) agrees that *“frustration of personnel in how CE is evaluated by their managers is well-founded, as community engagement has never been integrated into the task agreements in a clearly defined way. The way community engagement informs the career advancement opportunities is not captured clearly.”* The Policy on Community Engagement (2016) (see Annexure H) indicated in its policy statement that *“the structural integration of community engagement into all activities is of utmost importance and underpins all activities undertaken by the University.”*

4.3.11 Engagement with the community

Engagement with all stakeholders (staff, government as well as the community) is also an important function of the Community Engagement Office (see Thompson et al., 2009:ii; Mubangizi & Gray, 2010:217).

The Processes and Quality Manual of Community Engagement at the NWU also indicated that the activities of the community engagement office include networking e.g. Forum for Continuous Community Development or FCCD that organised interaction with community organisations. From the semi-structured interviews with both the Directors of Community Engagement at the Institutional Office and the Potchefstroom Campus, it became evident that they currently do not engage with the community members, which are part of the community projects, directly. However, the Director of Community Engagement on the Potchefstroom Campus indicated during the semi-structured interview that he engages with the community through his research. According to the Annual Plan (see Annexure J) of the Director of Community Engagement on

the Potchefstroom Campus from January until June 2016 has currently been involved in three projects in communities.

4.3.12 Development of a collective vision

From the literature it is evident that the contribution of the community in the development of a vision is very important and can allow the community to build ideas about future conditions in the community. The community and the NWU (Potchefstroom Campus) may have different perspectives, but they must have a collective vision to participate in a community engagement project. The commitment to this collective vision to participate in a community engagement project motivates participants to engage on multiple levels and in multiple sites over different periods of time. It is also important that the vision should be revisited and re-negotiated from time to time (see Waisbord, 2001:23; Bender, 2008:81; McPhail, 2009b:208; Thompson et al., 2009:11; Van Vlaenderen & Neves, 2011:94).

The 2016 Policy on Community Engagement (see Annexure H) of the NWU indicated that community engagement was a core function of the University. This means that community engagement should be an integral component of the role of the NWU where the emphasis is on "*education for good citizenship*" (see Lazarus et al., 2008:76; Driscoll, 2009:10; MacGregor, 2011:1). This also means that the NWU should revive the notion of civic responsibility through their mainstream teaching, research and service programmes (see Netshandama, 2010:344).

Community engagement, as part of the core business of the University, is also a mechanism to infuse and enrich teaching and learning with a deeper sense of context, locality and application (see Lazarus et al., 2008:58; Netshandama, 2010:342; Nhamo, 2012:2,4). Practical questions and public problems can be translated into an expert discourse that can lead to academic thinking and theory development. It furthermore promotes learning on different levels, e.g. lay understanding of issues and knowledge as well as thinking from different perspectives (see Thompson et al., 2009:9).

According to the Community Engagement Soft Review Report 2013-2014 (see Annexure D) campus rectors drive their own agenda, based on their view of community engagement. From the semi-structured interviews with the Directors of Community Engagement at the Institutional Office and the Potchefstroom Campus, a collective vision on community engagement only started recently and according to the Director at the Institutional Office, it has a lot to do with the restructuring process of the University. In terms of participatory communication this is positive because now participation does happen to a certain extent (§2.6.1).

4.4 SUMMARY AND CONCLUDING ARGUMENTS

4.4.1 The policy is in line with a participatory communication approach

It is evident that the policy document of the NWU is written in line with a participatory communication approach for social change, because:

1. The expression “*sharing of expertise*,” which is used in the policy, implies participation through the combination of knowledge and skills between all participants (§2.6.1.5.3 and §2.6.1.5). The policy indicated that this will be the term used to describe all activities relating to research, innovation, teaching-learning and service learning.
2. The aim of the policy is to guide all engagement to the benefit of both the university and the community (§2.6.1.5.2). The policy stated that if an activity is not based on participatory criteria, there should be changes made (§2.6).
3. The aim of the policy is also to empower all members of society to address the development challenges of South Africa through the sharing of knowledge and expertise (§2.6.1.5.3 and §2.6.3).
4. The policy indicates that mutually beneficial activities, conducted in collaboration with external partners, which focus on the broader needs of society, have the potential to enhance the curriculum with new knowledge (§2.6.1.5.2).
5. The importance of the ethical responsibility towards the community, to receive feedback, is also stressed (§4.2.4.3).

4.4.2 Engagement Office on the Potchefstroom Campus realises the importance of participatory communication

From the research it is also evident that the Director of Community Engagement at the Potchefstroom Campus realises the important aspects of a participatory communication framework where

1. the building of trusting and respectful relationships between participants (which includes staff vs staff relationships, staff vs community relationships and staff vs management relationships) is concerned
2. can develop and grow over time,
3. if enough opportunities for participation can be created (such as one-on-one discussions, informal meetings, indabas, workshops etc.)

4. to stimulate even more participation, which is necessary to ensure buy-in/commitment/ownership from all participants (§2.6.1.6, §2.6.2.2 and §2.6.1.5).

4.4.3 Difference between policy requirements and implementation

From the research it is evident that the policy is in line with a participatory approach. However there is a difference in the policy and the implementation of community engagement on the Potchefstroom Campus, which includes top-down communication methods such as skills transfer and awareness training.

4.4.3.1 Skills transfer

Skills transfer is not participatory, and does not necessary show that there was empowerment that leads to self-reliance (§2.6.3.4). Skills transfer is a top-down approach of information dissemination (§2.4.1.3.1). It is recommended that the community must participate in the whole training process as far as possible:

1. They must firstly identify their need for skills training through a participatory communication process (e.g. informal discussion/community meeting with the staff of the NWU on their exact need for training) (§2.6.1.5.1)
2. After identifying their need for the learning of skills, the community must participate in the compilation of the training. This process should include discussions and collective decisions on the training materials, schedules, venues, costs, assessment, etc. (§2.6.1.5.4).
3. After the training project has been planned, the community must participate in the implementation of the project. E.g. if the project entails the learning of certain skills, the training should occur through a participatory facilitation process, where there is a horizontal flow of information, and not a top-down approach. Facilitation methods like role play, demonstrations, group discussions, brainstorming and peer evaluation can be used (§2.6.1.5.5).
4. After the training, the community must participate in the evaluation of the project or training that has been done (§2.6.1.5.6). Again, participatory facilitation methods can be used to facilitate a process where the community reflect on the successes and failures of the project.

Not all projects lend themselves towards participation at all levels. Projects (e.g. ECD Training Project) where there is a fixed programme of skills that have to be mastered, within a certain time frame, make Arnstein's ladder of participation impossible (§2.6.1.5).

1. However, the trainer can use participation to do a needs analysis on training needs and topics to be discussed.
2. During the training, facilitation methods like role play, demonstrations, group discussions, brainstorming and peer evaluation can be used to enhance the level of participation (§2.6.1.5.5).

4.4.3.2 Awareness training

The Director of Community Engagement on the Potchefstroom Campus indicated that they embarked on an awareness training process to “inform” staff members of community engagement.

In line with a modernisation approach is awareness training, one-way communication where a persuasive, uniform message is sent to an audience in a top-down manner with little or no opportunities for participation (§2.4.1.4 and §2.4.1.3.3).

It is recommended that the staff must participate in the whole process, regarding community engagement and how it is done on campus:

1. The community engagement support structures should create opportunities to build partnerships with staff members (§2.6.1.5.2) such as informal meetings during tea or lunch breaks.
2. In building these partnerships, colleagues can get the opportunity to combine their knowledge and skills to negotiate community engagement projects that met the requirements of the policy (§2.6.1.5.3 and §5.3.5).
3. During a participatory process where there is repeated, interpreting and reinterpreting of logical discussion of opinions the necessary **buy-in**/commitment/ownership to community engagement can occur, without forcing staff members to be part of a structure that were forced on them (§2.6.1.6, §2.6.2.2, §2.6.1.5 and §4.3.9).

4.4.3.3 Volunteerism

Although the policy on Community Engagement at the NWU has a clear definition on what community engagement means, it is evident that there are still different interpretations of community engagement activities. The focus is still on outreach and volunteerism as in accordance with the basic needs approach (§2.4.3). Volunteerism plays a big role in community engagement at the Potchefstroom Campus, although it is not regarded as “true” community engagement because it lacks reciprocity, participation and integration with teaching-learning

and research. It is evident that the community engagement policy was written in such a way to accommodate volunteerism as a community engagement activity, although it is not encouraged by the community engagement support structures. It is recommended that:

1. Scholarly debate must continue on ways to phase out this type of activity (§4.3.2).
2. This process should again be a participatory approach, which includes all the participants (staff, management and communities which are involved), (§2.6.1.5.2)
3. handled with great sensitivity and respect for all involved) (§2.6.1.5.2).
4. There is not an easy and quick answer to this complex issue (§1.1),
5. but collectively it may be possible to negotiate an acceptable solution (§2.6.2.1.4).

4.4.3.4 General lack of participatory communication within the NWU

From the research it was evident that the communication channels are not always open and collaboration between staff members is not always optimal. It was evident that the Director at the Institutional Community Engagement Office did not perceive the communication as being participatory as she was side-lined by gatekeepers from high-level management positions. There is also no participatory communication between the Director of Community Engagement at the Institutional Office and the project leaders of Helping Hands and the ECD Training project, and that is also very frustrating for them. It was evident that there is a big difference between the expectations from the campuses and the Institutional Office. It should be recommended that:

1. Although there are elements of reflective listening visible, it does not mean that dialogue is taking place, yet (§2.6.2.2).
2. There should be a combination of knowledge and skills among all the participants (§2.6.1.5.3).

In answering the specific research question (§4.1) it can be concluded that:

Participatory communication within community engagement is not always a reality on the Potchefstroom Campus. However, the policy for community engagement is in line with a participatory approach to communication for social change. It is the responsibility of the community engagement support structures to create opportunities for participants to build respected partnerships over time. Continuous participation in dialogical discussions should stimulate scholarly debates and combine knowledge and skills of participants, in order to collectively negotiate acceptable solutions for the complex issues of social change and how community engagement projects could facilitate this process.

CHAPTER 5

PERCEPTIONS ON THE COMMUNICATION BETWEEN THE NWU (POTCHEFSTROOM CAMPUS) AND THE COMMUNITY

"If the structure does not permit dialogue the structure must be changed" Paulo Freire

5.1 INTRODUCTION

Participatory communication was discussed in Chapter 2 and from the literature it was evident that it is possible to redefine the participatory approach to communication within community engagement. The redefinition of the participatory approach within community engagement, could contribute to achieve sustainable community engagement projects, which could contribute to sustainable social change. Participatory communication includes aspects such as participation, dialogue, empowerment that lead to self-reliance as well as the recognition of the social context - that is, important communication practices that enable and sustain relationships in the community. The explanation of communication practices is based on the experiences and perceptions of the community members and the meaning they attach to them (see Padgett, 2004:10; Craig & Muller, 2007:56; Silverman, 2007:83; Frost, 2011:194).

In this chapter the following research question will be answered:

1. How do the project leaders and the active participants of the Holding Hands Project and the Early Childhood Development (ECD) Training Project perceive the process of communication between the project leaders and the active members of the two different projects?

This chapter focuses on the information that was obtained from both the staff of the NWU and the community members during the two phased semi-structured interviews and the focus group interviews.

At Rysmierbult the focus group interview was at the venue where the women do the work for the project. This is a brick building, with enough chairs and working space. All the machines are set out on tables and there are cupboards with material and products that they display. There were a few children who were running in and out during the interview, but the community members were not disturbed or annoyed by this. It was evident that this was normal practice and happens all the time while the women are busy with their work. The women were also in friendly conversation with each other before the focus group interview started. It is a farm

community so outside the building were chickens and dogs running around the few informal houses on the premises. The extreme poverty of the area is quite visible. There are only a few brick houses. The rest of the houses are shacks with a few pieces of furniture inside.

At Jan Kempdorp the venue is at the house of one of the members. The group were expecting the researcher and the chairs were already arranged in the small room. Besides the chairs, the cramped room was filled with material, machines and unfinished and finished garments and track suits hanging on a rail. One side of the room looks like a bedroom, but a curtain divides the room. Babies and toddlers were part of the group and at times it was quite noisy. It was the first time that new members had attended and it was evident that they felt a bit uncomfortable. One member arrived late but apparently this is not a problem for the group. Time and again during the focus group interview, cell phones would start ringing, but this was not a problem as well. The group were very relaxed and open. There were side conversations in their mother tongue but the facilitator translated the conversations. After the focus group interview, the facilitator had a meeting with the community members and the researcher and her assistant were excused.

At Ganspan Glass Recycling Project there are only a few members left, as the others were able to secure permanent employment elsewhere. The venue is next to the burned-down clinic in Ganspan (due to political unrest in the area). The women are visibly proud of their project and showed the researcher around the operations. There are a lot of their products on display in the building. Everything is organised and very neat. The building has tables and chairs for meetings. There is a part of the building that is furnished with office equipment (fax machine, copier, computer, etc.) There are colourful posters on the walls with empowering slogans. On the day of the focus group interview, the women were very frustrated because there was no electricity due to a problem with cable theft. Apparently this was a recurring problem.

Two of the interviews with the care-givers of the ECD Training were at their different preschools in Promosa, Potchefstroom. At both these schools toddlers were happily playing with each other. Books and pictures were proudly shown. It was evident that there is a lot of discipline at the schools. Although the schools are in a previously disadvantaged community, the facilities (carpets, chairs, tables, toys, blankets and books) were quite sufficient. It is notable that everything is very well organised, for example the educational material that is used for the Grade R learners is kept separately. It is evident that a lot of time is spent to prepare them for Grade 1. Both the schools are on the private property of the care-giver. It is also evident that security is very important at these schools. There are security gates and the children are in the care of more than one staff member. One of the schools also cares for babies and toddlers with HIV/AIDS.

All the above-mentioned projects are part of the community engagement projects of the NWU (Potchefstroom Campus).

5.2 PARTICIPATION

Participation, as an aspect of participatory communication in the context of community engagement in higher education, implies that both the university and the community must participate in the initiation, planning, implementation and the evaluation of community engagement projects (§2.6.1.5).

The project manager of the ECD Training Project indicated that her participation included initiation into the project, the developing of the course, writing of the study material, presenting the training and participation with the evaluation. She was once overseas and could not present one of the trainings. She then paid a Non-Profit Organisation to do the training. She never mentioned the involvement of the community in the ECD training.

The project manager of the Holding Hands Project stated that her involvement in the project was more in terms of research, facilitating research and funding proposals. Up until 2015 she had had more of an overseeing role. In 2016 she was on sabbatical and thus had limited involvement in the projects. Up until the end of 2015 the project manager tried to visit the projects three to four times a year just to maintain that open communication with all of them. This implies that the practical engagement lies with the facilitator. The facilitator has weekly contact with the community. The rest of the time the community members function on their own.

5.2.1 Participation through the forming of partnerships through continued contact

It was argued (§2.6.1.5.2 and §2.6.1.5.3) that forming partnerships between the community and the staff of the university is a means to facilitate participation. The partnerships should be formed by means of, continued contact as well as the combination of knowledge and skills.

During the semi-structured interview with the project manager of the Holding Hands project, she indicated that she has been the project manager for the past seven years. Her initial contact was when she went with the facilitator for the first meeting and had mixed reactions from the community. Certain groups were very open and wanted to communicate with her. Others were very difficult to engage with.

The women from the Holding Hands project at the Rysmierbult and Castello sites indicated that they had been part of this project for so long that they could not even remember in which year they started!

At the Holding Hands project in Jan Kempdorp, there were only two regular members, the rest of the group are new. Thus, they did not have the opportunity yet to form partnerships. The two members who have been part of the project for quite some time, indicated that they saw themselves as equal partners and had the same opportunity to communicate with the staff of the NWU.

The ladies from the Holding Hands Project in Ganspan indicated that they formed a very strong partnership with the NWU staff. One lady's response indicated this:

“Even there was in the news Potchefstroom was Apartheid we did tell Lizzie³ that I don't believe that because Lizzie will be Apartheid for us. She is just coming here we drink water together we eat together. We danced together. We talked about our personal lives together. We shared everything. Even today. She knows how many kids I have. Who is my mother. She knows these things.”

The project manager of the ECD Training project indicated that her partnership with the community started as part of a teaching and learning strategy. She was already sending her students into the community for service learning but then got feedback from them about these sites or crèches in the community and how poorly trained these care-givers were. She then decided to start with the ECD Training project.

Although the care-givers are very fond of the project leader of the ECD Training project it was evident from the semi-structured interviews that they did not really form a partnership with the project leader. There were not many opportunities to form personal relationships through continued contact.

It can be concluded that there is participation through the forming of partnerships through continued contact at the Holding Hands project but the ECD Training project does not really lend itself to participation through the forming of partnerships through continued contact.

5.2.2 Participation: Combining knowledge and skills

It was indicated in Chapter 2 that the staff of the university and the community should combine their prior knowledge and skills to engage in community projects (§2.6.1.5.3).

From the focus group interview with the women at Rysmierbult and Castello it was evident that there was a little integration of knowledge and skills as the women indicated that they sometimes made their own samples and sometimes they needed the help of the facilitator.

At Jan Kempdorp it was evident that there is a definite combination of knowledge and skills from the community and the staff of the NWU. They design their own clothes, but they indicated that they needed the skills of the staff of the university, especially to assist with the cutting equipment.

Women at the Ganspan Glass Recycling Project use their own ideas, knowledge and skills, but involve the staff of the NWU as a sounding board to bounce off ideas, etc.

The care-givers who did ECD Training indicated in their semi-structured interviews that the project leader shared her vast knowledge and skills with them:

“She is amazing! The way she give a class you understand, she is open she makes it so that everyone can understand. She is talking, although she is giving us class she told us what to do with a class the kids and everything and how do we have work with age levels and stuff like that.”

Although the care-givers had a positive experience at the training and although they were impressed by the knowledge and skills of the project leader, one cannot assume that there was participation through the combining of knowledge and skills of both the university and the community.

It can thus be concluded that there was participation through the combining of knowledge and skills from both the community and the staff of the NWU at the Holding Hands Project, but participation through the combining of knowledge and skills did not really happen at the ECD Training project.

5.2.3 Participation in the initiation into the project

Participation in the initiation of the project means that both the community, as well as the staff of the NWU should initiate projects together (§2.6.1.5.1).

From the semi-structured interviews it was evident that the care-givers of the ECD Training Project were in a certain sense involved in the initiation of the project, as they acknowledged their need for training, but it is evident that they did not really participate in the training, except for group discussions and to open with prayer, etc.

From the focus groups at Rysmierbult, Jan Kempdorp and Ganspan it is not evident whether the members were involved in the initiation of the project. The project originated as part of an intervention programme (FLAGH) to alleviate poverty (§2.4.3.1.2). Traces of the basic needs approach are thus visible in the initiation of this project (§2.4.3).

It can thus be concluded that the participation of the communities, in the communication within the community engagement projects was minimal in the initiation of projects. This is contradictory with the NWU policy on community engagement which specifically indicates that there must be engagement of the community in all activities (§4.3.3).

5.2.4 Participation in the planning of the project

To be able to redefine a participatory approach to communication within community engagement projects, the community and the staff of the NWU should participate as equal partners in the planning of projects (§2.6.1.5.4).

The project manager of the Holding hands project indicated that she did not participate in the planning of the project as this was the task of the facilitator.

From the focus group interview with the women at Rysmierbult and Castello it was evident that they did not participate in the planning of the project. However, in contrast to the Rysmierbult and Castello group, The Jan Kempdorp group does participate in the planning of the project:

“Ja, we thought and we researched and the SETA where we meant to register our business, after registering, they put you on their database. So whenever they have trainings for that specific course, they inform you. They take maybe three people from your business and send them to the workshops”

At Ganspan the group also participated in the planning of the project. One lady said:

“Now we have a dream. It is not a dream, but we want to do something like this people from this area, our people. They don't like arts and craft. You know our people just like things what what. So we did discuss something like even though we are recycling why don't we do something for our community that people need daily. We were busy with this thing of a diaper machine, so that we can do something for community daily. Even though we were busy this side.”

One of the care-givers who did the ECD Training indicated that they did not participate in the planning of the training, as everything was already planned:

“Hulle het van Promosa af gekom, partykeer van Ikageng se kant af. As ons daar aankom, was daar altyd iets om te eet. Ons het eers geëet, tee en 'n toebroodjie of wat daar was, daarna het ons klastoe gegaan. Ons het omtrent tot so vier uur aangehou. Daar was verskillende sprekers gewees. Daar was jong dames wat ingeluister het ook van die PUK”

It was evident from the semi-structured interviews that the training was well-planned, but the project leader indicated that she asked the care givers for suggestions on topics. She also discussed the programme with them before the commencement of the course. Although she included them in the decision of the topics, this does not indicate participation through the building of partnerships (§2.6.1.5.2), but rather pseudo-participation, which only creates the illusion of participation (§2.6.1.1).

It can thus be concluded that the community members of Rysmierbult and Castello, as well as the care-givers of the ECD Training, were not participating in the planning of the community engagement projects. In contrast to that, both the groups from Jan Kempdorp and Ganspan participated in the planning of projects.

It is thus evident that participation is possible in the planning of projects, but with projects like the ECD Training project, with a fixed agenda, participatory communication is more difficult to achieve. However, with a needs analysis, participatory communication can be used.

5.2.5 Participation in the implementation of the project

Participation in the implementation of the project indicates that both the NWU staff and the community members should participate in the implementation of the project as equal partners (§2.6.1.5.5).

Almost all of the women at Rysmierbult and Castello are domestic workers, except one who is unemployed and another lady who is part of a governmental community work programme. They indicated that they normally work on the project on Wednesdays and Thursdays but if there are a lot of orders they will work until it is finished; even during the night or on weekends. If the patterns are not too difficult, they will do it themselves; otherwise the facilitator will give them a sample:

“Partykeer Joyce⁴ maak die patrone, party ons maak onself, as dit nie moeilik is nie, ons maak dit self”. Partykeer sy bring net die goed met 'n sample. Dan moet ons daar kyk en

⁴ Name of the facilitator
Chapter 5: Perceptions on Communication

self doen. Partykeer ons kom reg. Partykeer as ons sukkel, dan moet ons bel of as sy kom dan wys sy daardie stukkie wat ons sukkel!"

If clients phone them directly, they refer them to the facilitator at the university. She also helps them with the orders, the invoices and the material. She also tells them when they should start cutting.

From this information it is evident that this group is participating in the implementation of the project, but they are very dependent on the facilitator from the university.

The group at Jan Kempdorp are mainly self-sufficient. Normally they meet on Mondays, Wednesdays and Fridays. If they have a lot of work, they will meet every day. They indicated that they work for nine hours at a time. Each member has a different task. One lady is only cutting, the other lady is cutting and sewing, another is doing everything regarding the making of the clothes. The eldest women are responsible for the finances as well as the training of the new members. Although they are mainly self-sufficient, they indicated that they need the expert knowledge of the university, especially with the cutting instruments and making their own designs.

The women of Ganspan indicated that each of them is participating in the project and has a definite role to play:

"I am the deputy chair person project leader. My name is Matsitso Mathebe. Then this is the deputy secretary of our project and she is a member. So as deputy chairperson, my role is to see how things are. Are things running smoothly, organising meetings, looking for a chance that we can achieve some jobs and she (pointing to the lady next to her) is taking notes, organising and training. About work, we are working as a team. When we work, there is no foreman or whatever. She is specialising with the beads making, this other one is specialising with the glass cutter, the one with decorating different, but we are working as a team all of us."

The care-givers of the ECD Training Project indicated that they were not really involved in the implementation of the project. One lady said that she was requested to open with a prayer at each training session. They also indicated that they had to work in groups sometimes during the training. It is evident that the care-givers were mostly treated as a passive audience in a linear one-way approach (§2.4.1.3.1).

It can thus be concluded that the community members of Rysmierbult and Castello participate in the implementation of the project with the support of the facilitator of the university. Both the groups at Jan Kempdorp and Ganspan are participating in the implementation of the projects

with minimum assistance of the university. In contrast to this participation the ECD Training Project can be seen as the dissemination of information with very little (if any) participation from the care givers.

5.2.6 Participation in the evaluation of the project

The community and the staff of the NWU should participate in the evaluation of the project to be able to identify strengths, weaknesses and opportunities for change (§2.6.1.5.6).

From the focus group it is evident that the group at Rysmierbult and Castello has the opportunity to participate in the evaluation of the project, but the low literacy levels of the group make it difficult for them to understand difficult concepts (e.g. profit percentage) and therefore they do not participate in the evaluation of the project. They need a strong mentorship relationship with the facilitator of the university. The NWU can also make use of Participatory Action Research methods that are more appropriate.

The group at Jan Kempdorp are able to identify their own strengths and weaknesses:

“Yes. We have learned that the leaders should be transparent with the other members of the project. We should discuss everything”

The Ganspan group is also participating in the evaluation of the project and they made changes accordingly. They indicated that the people of the area do not like arts and crafts, but they will appreciate disposable nappies, so the group decided to apply for funding to purchase the necessary equipment.

The project leader of the ECD Training programme indicated that she let the care-givers complete an evaluation form at the end of the training. She also starts each training session with verbal feedback from the group. This process is not truly participative communication, as the completion of a feedback survey does not include a collaborative effort to reflect and evaluate the project through learning from the critique (§2.6.1.5.6).

It can thus be concluded that due to low literacy levels the groups at Rysmierbult and Castello do not participate in the evaluation of the project. The groups at Jan Kempdorp and Ganspan do participate in the evaluation of the project but participation in the evaluation of the project at the ECD Training does not happen.

5.2.7 Conclusion

It is thus evident that the community at the Holding Hands project participated in communication within community engagement. There is the forming of partnerships through continued contact, as well as the combining of knowledge and skills, however they did not participate in the initial initiation of the project. The project started out as an intervention programme for poverty relief (§2.4.3.1.1 and §2.4.3.1.2). However, the groups at Jan Kempdorp and Ganspan do initiate changes and amendments to the project in order to succeed. They also participate in the planning, implementation and evaluation of the project.

Women at Rysmierbult and Castello do not participate in the planning or evaluation of the project. This can be attributed to low literacy levels, but the use of Participation Action Research can be recommended (§4.2.4.3).

The care-givers who were part of the ECD Training project were basically a passive audience within a process of information dissemination (§2.4.1.3.1). They did not form partnerships through continued contact. They did not initiate, plan, implement or evaluate the project. There are traces of pseudo-participation (§2.6.1.1) as the care-givers were asked to complete an evaluation form at the end of the training. They were also asked for verbal feedback on a regular basis. There are also traces of consultation (§2.6.1.3) as the care-givers were consulted on topics for training.

5.3 DIALOGUE

In Chapter two it was concluded that dialogue is open, intentional interpersonal communication, which includes reflective listening skills, the creating of mutual understanding through the building of trusting and respectful relationships (§2.6.2.2). Dialogue also includes negotiation and bargaining to handle conflict in a constructive manner (§2.6.2.1.4).

5.3.1 Dialogue as open, intentional interpersonal communication

It was indicated in Chapter 2, that there should be deliberate interaction between the community and the staff of the NWU (§2.6.2.2.) and the policy also mentions it (§4.2).

The project manager of the Holding Hands Project indicated that in some of the projects the communication between the university and the community members is much more open than in others. At the Rysmierbult and Castello groups there had previously been no open, intentional interpersonal communication between her and the group. The group would totally ignore her. Only after she accompanied them to town and assisted them to open bank accounts did their

intentional interpersonal communication improve. It is interesting to see that the women at Rysmierbult and Castello never indicated during the focus group that there were any problems with the staff of the NWU. In fact they indicated that they felt free to speak to the university staff.

Both the groups in Jan Kempdorp and Ganspan have good and open communication. Especially at Ganspan the project leader indicated that it is fairly easy to engage with them in discussions. It is evident that the group also feels really positive about their communication with the university:

“Our communication with the project leader from the university really we have a good relationship with them. Really. Because now and then they call us want to know where we are and every month they come from Potchefstroom to see how things are.”

The project leader of the ECD Training project indicated that the mutual interest that she and the care-givers have in small children opened up the communication between her and the care-givers:

“You know what, I have a trust relationship with these people, because they are so grateful for what they get and like all of us in this field, your heart is for small children, and that opened up our relationship.”

One of the care-givers of the ECD Training project indicated that the project leader was always open in her communication with everyone.

It can thus be concluded that there is open and intentional interpersonal communication between the NWU staff and the community at the Holding Hands Project and the care-givers of the ECD Training Project.

5.3.2 Reflective listening skills as an important part of dialogue

Reflective listening skills should be an integral part of dialogue as there should be an active hearing of messages during a conversation between the community and the staff of the NWU (§2.6.2.2.).

It is evident that the community members from the Holding Hands project feel that the staff of the North-West University really listens to them. The group at Ganspan said:

“Now and then they call us want to know where we are and every month they come from Potchefstroom to see how are things. Even this Lizzie⁵. We miss her too much. But the people from the university have a good heart. Joyce is also taking good care of us.”

The project leader of the ECD Training project indicated in the semi-structured interview that she makes a point to listen to the care-givers. Three of the care-givers confirmed that they could talk to the project leader because she really listened to them:

“Ons kon lekker met haar praat wanneer ons iets nie verstaan het nie kon sy dit vir ons verduidelik het. Ek weet nie hoekom dit is nie, omdat sy 'n professor is of wat nie, maar sy kon vir ons mooi verduidelik het. Ons het dit geniet om saam met haar te werk.”

It can be concluded that there is an active hearing of messages during conversations between the community and the staff of the NWU.

5.3.3 The aim of dialogue: creating mutual understanding

There should be a continuous, cyclical process of interpreting and reinterpreting messages of personal opinions to find common ground between the community and the staff of the NWU. The aim is to create mutual understanding, which will pave the way for possible collective action (§2.6.2.2).

All the groups of the Holding Hands project indicated that they could create mutual understanding through their communication with the staff of the NWU (Potchefstroom Campus). They were also of the opinion they can collectively work together. The Ganspan group said:

“Like when they come to us. In the business you do have stress like what, but when we meet them, at least we are talking about those things and they relief that this is plan B you have to do this and this they help us. Is like our mentor”

The group at Jan Kempdorpe indicated that they did not have a full understanding of how the project worked. They were under the impression that they would receive funding. This misunderstanding caused conflict within the group:

“When the money came, those who were selected to be in charge of the finances, they did not pay everyone equally. They took a big cut and they give others a small cut.”

From the semi-structured interview with the project leader of the ECD Training project it is evident that she believes that one has to find common ground between the care-givers,

⁵ “Lizzie” (Lizmari Van Der Merwe) was a master’s degree student who assisted with the training. She presented Lifeplan® training and various other workshops at Ganspan.

students and the community. It is evident that there is a degree of mutual understanding but the researcher is not convinced that the project leader and the community members are equal partners in this process. No evidence of equal partnership was found during the semi-structured interviews.

It can thus be concluded that it is evident that there are processes in place to find common ground between the community and the staff the NWU to create mutual understanding, which will pave the way for possible collective action. However, the equality of the process is in question as it is evident that other factors such as inequality in understanding and unequal partnerships can play a role.

5.3.4 Dialogue that leads to the building of respectful and trusting relationships

Dialogue includes the building of trusting and respectful relationships between the community and the staff of the NWU (§2.6.2.2).

From the focus group it was evident that the community of the Holding Hands project felt that they could trust the staff of the NWU with all the aspects of their businesses. They felt comfortable that they would receive their orders and payments from the university:

“This people are mentoring us”

The group at Jan Kempdorp felt that they had a trusting relationship with the facilitator as the facilitator could trust them to complete the work:

“Whenever she place orders for clothes, she give us time, and when she comes she get the results so that is how the trust works.”

The community members of the Holding Hands project are clearly fond of the facilitator⁶. The group in Jan Kempdorp indicated that they had a trusting and respectful relationship with the facilitator. They communicated with her on a regular basis, if not in person, they would phone her:

“Yes. I remember the other day we were struggling with the accommodation, the place where we were working. We had two quarrels with the people who hired the place. The

⁶ Thompson, et al. (2009:11) indicated the importance of the role of a trustworthy facilitator. The purpose of a facilitator is to bring people together, help build links, identify gaps and share ideas. The facilitator can also assist people in communicating and understanding each other's abilities and needs. The facilitator can guide people to sources of research and can help them to reach decisions that are more likely to be implemented or supported.

machines and everything was moved to another place without our knowledge. So she came with another lady and they managed to sort everything out. So she came and helps us put it back and find a place. That is one example where we learned how to trust her. To be fond of her.” (Others agree loudly)

It was evident that the project leader of the Holding Hands Project started to win the trust of the women at Rysmierbult and Castello when she assisted them to open their own bank accounts. That incident was a turning point in their relationship. The women of Rysmierbult and Castello had the following to say:

“Ee, ons trust hulle. Ons vertrou hulle. Ons, as ons saam met die mense werk, ons moet hulle trust en hulle moet ook vir ons trust. Dit is wat die Bybel sê mos. Ons dink nie hulle sal iets snaaks vir ons doen of ons kan hulle nie ook iets snaaks vir hulle kan doen dit is hoekom ons moet almal saamwerk. Belangrike ding is ons moet vertrou. Ons moet mekaar vertrou. Dan kan ons saamwerk. As ek miskien nie vir jou vertrou nie, hoe gaan ek saam met jou werk?”

At the ECD Training project it is evident that the project leader formed respectful and trusting relationships with some of the care-givers. One of the care-givers indicated that, although she did the training in 2013, she still had regular contact with the project manager. Another lady indicated that the project leader trained her whole staff:

“Sy het hulle gaanvaar net so. Sy is ‘n baie goeie, goeie mens.”

Another care-giver, however, said that they only saw the project leader once a month and that was not enough to form a trusting relationship.

During the semi-structured interview with the project leader of the ECD Training project it was clear that the care-givers trusted her enough to share serious problems that they experienced in their work:

“Sho! What those people told me I couldn’t believe even exists. I think we don’t know what is exactly going on in some communities.”

It can thus be concluded that dialogue that leads to the building of respectful and trusting relationships does exist between the community and the staff of the NWU. It is, however, evident that enough opportunities for dialogue must be created to build respectful and trusting relationships.

5.3.5 Negotiation/bargaining

Dialogue also includes negotiation and bargaining to manage conflict in a constructive manner (§2.6.2.1.4). There should be an agreement that is acceptable to both the community and the staff of the North-West University.

Having said that, the group at Jan Kempdorp had conflict amongst themselves regarding their finances. However, this experience was constructive, as they had learned valuable lessons.

The project leader of the Holding Hands project indicated that difficulties to create mutual understanding sometimes has nothing to do with the role that the university plays. External factors like tribalism or political unrest are also to blame for misunderstanding and conflict. The Ganspan Glass Recycling Project is in a politically very unstable area. At one stage members of the community burned down municipal buildings just next to the project. There have been various instances where the project members had to protect the project from people who wanted to vandalise it. The situation was so bad that the project leader had to put off various project visits because of political unrest as there was also only one road into Ganspan. On one occasion she was accompanied by 15 fourth-year Consumer Science students, as well as 17 project members of the community. They had to attend a meeting because the members were not happy with the municipality, as they had promised them that they would help them sell their products but they didn't. The municipal Local Economic Development manager was supposed to attend the meeting, but he was late for the meeting. When he eventually came, he and one of the community members started fighting. The project leader indicated that she had just realised that she had to do something. She started to mediate the conversation between the two fighting men:

“So before I could help myself, I was standing between these two shouting guys! I said to them: ‘Sit! Now you listen to me! You are not hearing what the other person is saying! So, you speak! What did you say? Now you speak? What did he say?”

Apparently the conflict was resolved after the two men calmed down and listened to each other.

The women at the Ganspan Glass Recycling Project indicated that the conflict management skills that they had learned during Lifeplan® training taught them to sort out their problems in a constructive and respectful way:

“Even Lizzy. If she did something that we did not understand. We asked her: “Lizzie, why is it like this?” Then she will tell us that it is something like this.”

It is evident that they had an honest and open relationship with the staff of the North-West University, which made negotiation possible.

The women of Rysmierbult and Castello (who also did Lifeplan® a few times) indicated that they could handle conflict constructively through negotiation:

“As ietsie verkeerd is, ons praat net mooi dat die goed reg is. Ons baklei nooit nie. As jy kwaad is, ek moet hier by jou regmaak. Jy kan kwaad wees, maar jy moet dan praat. Ek is kwaad oor dit en dit.”

The project leader of the ECD Training project indicated that she never experienced any conflict with or between the care-givers who were part of the training.

“It is a 50/50 because it is not the students who come in and give and the community members only receive. It is a partnership 50/50 and the students buy in, but the community buy in as well. Remember, you don’t go in and say this and this must happen, you negotiate with them.”

One of the care-givers confirmed that there was never conflict, only differences of opinion regarding the education of children:

“Wanneer daar konflik was, was dit net oor die kinders, want sekere onderwysers het nog gepraat van die opgroei van die seuns en dan het ons nou nie daarmee saamgestem nie, want die een speel met goed wat hy nie mag speel nie, dan die ander een sê dit is soos seuns opgroei. Dan verduidelik die een aan die ander kant dat hul voel mos en hul wil weet wat is joune en alles en as jy die babatjie borsvoed dan sal hy voel. Die kind se hand gaan outomaties, nou nie dat hy wil stout wees nie hy ontdek sy liggaam.”

It can thus be concluded that conflict is mostly managed constructively through negotiation and bargaining between the community and the staff of the NWU. Socio-political factors, however, can play an important role in affecting dialogue. It is evident that LifePlan® training had a positive effect on teaching the members of the Holding Hands Project to handle conflict in a constructive manner.

5.3.6 Conclusion

It can thus be concluded that dialogue is mostly open and intentional interpersonal communication between the NWU staff and the community at the Holding Hands Project and the ECD Training Project does occur. There is an active hearing of messages during conversations and it is evident that there are processes to find common ground to create mutual understanding, which could pave the way for possible collective action. However, the equality

Chapter 5: Perceptions on Communication

of the processes could be questioned as it is evident that other factors such as inequality in understanding and unequal partnerships can play a role. The building of respectful and trusting relationships does exist but it is evident that enough opportunities (such as indabas, informal meetings, etc.) for dialogue must be created. Conflict is mostly handled constructively through negotiation and bargaining, but socio- political factors sometimes play a role. It is evident that a life skills programme like LifePlan® is very important in learning to handle conflict constructively.

5.4 EMPOWERMENT THAT LEADS TO SELF-RELIANCE

From the literature it is evident that empowerment is a personal as well as a social process. Self-confidence can develop through skills development, which can lead to a better quality of life. Better quality of life can lead to self-reliance which implies the use of one's own strength and resources to further contribute to society (§2.6.3.4).

5.4.1 Developing self-esteem and self-confidence

Previously it was decided that community members should verbally confirm that there had been growth in their dignity, self-worth and confidence as they develop skills, which was facilitated by the staff of the North-West University (§2.6.3.1).

The project leader of the Holding Hands project indicated during the semi-structured interview that this was one of the success factors of the project. Community members who were unemployed before are able to secure permanent employment after becoming involved in the project. The knowledge and skills that these people obtained developed self-esteem and self confidence.

“So for the project it is a loss, because you develop the skills up to a certain stage and then that person is out, and then you have to start all over again.”

The project leader indicated that at the Vyfhoek community project⁷, they regularly lost participants even just after Lifeplan® training because the member was able to secure a job. In the Ganspan Glass Recycling Project currently they have the problem that there were about seven/eight core members still in the group and now five of them have got permanent employment.

“So, for the project it is not good because it is difficult for a new person to get into the group, but for the community development part it is wonderful. So in terms of every aspect of their lives this confidence building had a very positive effect.”

⁷ This project site is not operational anymore.
Chapter 5: Perceptions on Communication

In Jan Kempdorp an increase in self-confidence led to the forming of three small businesses that are spin-offs of the sewing project. Two of the projects were able to secure funding for themselves. The members agreed that the project meant a lot to them. One respondent said: *"It became part of me."* They saw that this project had the potential to create more jobs for the unemployed youth of the region.

The members of the Ganspan Glass Recycling Project indicated that this project was something that had never happened to their community before:

"Joh! This project is something like never happens to us, to the community. Our dream about this project is to create jobs for the youth because here in Ganspan there are too many talents. So we would like to have them and then create jobs for them. No more poverty in Ganspan. To see if Ganspan would be a better place."

One member of the Ganspan Glass Recycling Project indicated that her self-esteem and self-confidence were literally boosted with this project:

"Like to me this project was a new me. We are living in a small place like this is a rural area we cannot do this and this we were having a low self esteem but have that course, we are having a self esteem and now I feel confident about myself, about us. We are so simple, but we are doing great things. This is us. This is our mirror. This is how you see us. Now I can go where ever I want to go. Even if you say tomorrow you want to go to England, I go!"

The project leader of the ECD Training project indicated that the self-esteem and self-confidence were really given a boost with this training. The women, coming from previously disadvantaged communities, felt so honoured to be able to attend training on a university campus:

"Just for them to move around here on a Saturday morning. They were never in a hurry to get off the campus. They would even pick the roses there at the fish pond, just like ordinary women, loving flowers and beautiful things. I think that made them proud."

The care-givers of the ECD Training project indicated that their self-esteem and self-confidence had really been built through this training. They gained knowledge and skills that they did not have before: One care-giver said:

"The training meant a lot to me because in cases like I really know how to handle kids that can't cope with such things or other kids that don't eat at home and others come to crèche and they cry, cry and want to go with mom and what to do in these situations. So now in the training, I learned a lot."

It can thus be concluded that there was a definite development of self-esteem and self-confidence in the communities who are part of the community engagement projects. This can be regarded as one of the greatest achievements of community engagement.

5.4.2 Skills development

Skills development must show a practical skill like sewing, or making something with glass, or teaching skills.

The project leader of the Holding Hands project indicated that the obvious benefit to the community was always income, but the real benefit was the skills transfer from the members of the project to the community.

“So, if you look at Lifeplan® training, all of our members have been through various Lifeplan® trainings. But in most of these communities we found that we had to present Lifeplan® more than once for the same group. For the Jan Kempdorp/Ganspan group I think we did it three or four times. Because firstly they just become aware during the first training then they start thinking about it and then in the end it facilitates behavioural change and that is what we want.”

It is evident that the women of Rysmierbult and Castello have learned a lot of skills that they not only use to get an income, but also apply to make things for themselves:

“Hy beteken baie goete, want ek kan die gordyne maak, as ek ‘n lap koop ek kan vir my die duvet cover ook self maak, Tafeldoeke, klomp goedjies.”

The group at Jan Kempdorp also indicated that the project meant a lot to them. They had learned many things that they did not know before:

“I can cut, I can design, and there are many things that I can. I can show you”.

[The respondent showed a few of her beautiful garments]

The project leader of the Holding Hands project indicated that she thought that the knowledge and skills of the community improved substantially over the past fourteen years, especially their practical skills with the machines. Their creative products were very good. However, she thinks that it is still not enough to have a sustainable business on their own. She is of the opinion that it is an unrealistic expectation that we have of them. Management skills are a big problem. It is very difficult to breach the gap from where they left school to their current situation. It is evident that skills development not always leads to empowerment and self-reliance (§2.6.3.4).

The project leader of the ECD Training project thinks that the benefit of this project is that teachers are better trained and skilled. Apparently the care-givers spend a lot of time to prepare food for the children. The project leader of the ECD training suggested that parents should provide snacks so that the care-givers can focus on the stimulation of the children and preparing them for primary school.

One of the care-givers of the ECD Training project indicated that she did other courses e.g. secretarial and computer courses but this was her first training in early childhood development.

Another care-giver indicated that she was empowered through the learning of certain aspects that she previously had little knowledge of, for example prejudice towards certain groups of people:

“Ek het nie geweet dat daar so ‘n ding soos anti bias is nie. Ek het maar grootgeword toe aanvaar ek almal is dieselfde.”

Another care-giver indicated that the training had made her realised that she needed to gain even more knowledge on this subject. This is the reason she decided to empower herself even further and study for her diploma in Early Childhood Development.

It can thus be concluded that the community was empowered through the learning of skills which enabled them to generate an income and/or developed even more knowledge and skills.

5.4.3 Better quality of life

As indicated before, empowerment can lead to self-reliance, which implies a better quality of life, which means an advancement in the personal circumstances of the community (§2.6.3.2).

The project leader of the Helping Hands project indicated that the group leader, who had been involved there for many years, saved all her money and was able to send her child to school in Potchefstroom. So because of the confidence that she gained, she transferred the skills to her child and that child is now in Grade 11 and doing very well. Chances are that she most probably will go to university and be able to change her own life forever.

Most of the women of Rysmierbult and Castello indicated that this extra income really helped them to buy school clothes for their children. Two of them indicated that they saved the money. They also used the money to buy furniture, something that they otherwise could not afford:

“Miskien jy sien hierdie bed, ek het hom lanklaas gebruik, ek kort ‘n nuwe bed, as jy sien jy het genoeg geld om die bed te koop of ‘n tafel of ietsie in die huis”

The women at Ganspan indicated that even if some of their members were illiterate, they were part of the group and could design and make beautiful products. They also were inspired to motivate their children:

“And we want to do something for future generations so that our children will see that our mother some of them did not go to school but they managed to do this and this and also to encourage our children to go to school so that they can come and do more, you see. Something from this small area, a rural area which is like this. This is only the thing that we want.”

The project leader of the ECD Training project indicated during the semi-structured interview that if the care-givers were better trained, they could earn more money and have better self-esteem and their status in the community would increase.

It is thus evident that the communities experienced better quality of life after their participation in the community engagement projects of the NWU. They had more self-confidence, earned more money, or had the ability to earn more money. They also felt that their children could look up to them and be proud of what they had achieved.

5.4.4 Contributing own resources

It was indicated that empowerment gives expression to self-determination and then provides opportunities to make contributions of personal time, finances, or prior knowledge and skills (§2.6.3.2).

The project leader of the Holding Hands project indicated that the community was the core of the project. If they did not contribute, the project would not go on:

“Even in the Rysmierbult project where they are so isolated on the farm, they do sometimes get their own orders. So they are not just a manufacturing unit they have to do other things as well. So I really think it is a give and take situation.”

The project leader also indicated that in some of the projects that were not active anymore, the members still paid to be part of the group:

“They get together every month, but they do not make or sell anything. It is just a prestige to belong to this social group.”

From the semi-structured interviews with the care-givers of the ECD Training project it was evident that they only had to contribute their own time as well as prior knowledge to be able to participate in group discussions during the training.

One care-giver, however, indicated that she knew that there was a need for trained care-givers in her community and she was now able to offer assistance:

“Onse Bruin gemeenskap het ‘n behoefte, verstaan. Daar is ouers in die Bruin gemeenskap wat kinders oppas en so, maar hulle het nie daai geleerdheid nie. In ons gemeenskap is daar behoefte vir personeel om kinders nou te help in die skool op daardie grondslagfase. Dit is hoekom, hulle het my gevra. Vir my gaan dit oor ek wil terugploeg in my gemeenskap. Daar is ‘n behoefte in ONS gemeenskap. Jy wil help, daar waar jy kan help. Jy wil jou kennis ook daar gebruik.”

From the research it can thus be concluded that both the NWU staff and the community contributed their own resources (finances, time and prior knowledge and skills) to the community engagement projects. There is a notion of “giving back” to the community.

5.4.5 Conclusion

It can thus be concluded that communities experienced a definite development of self-esteem and self-confidence through the learning of skills which enabled them to generate an income and/or developed even more knowledge and skills. There was an enhancement in their quality of life, as they now could earn more money and they felt very proud of their achievements. This can be regarded as one of the greatest achievements of the community engagement projects of the NWU that there is a notion of “giving back” to the community.

From the research it was evident that empowerment through the developing of self-esteem and confidence, through skills development could increase quality of life. Increased quality of life can lead to self-reliance which implies the contribution of own strength and resources.

5.5 IMPORTANCE OF THE SOCIAL CONTEXT

Communication always takes place within a certain social context. Elements of the context such as language, cultural ceremonies, religion, rules, norms, beliefs (ideology), gender, nationality, profession and social roles have significant meaning and cannot be ignored or misunderstood within the process of community engagement (§2.6.4). The Director of Community Engagement at the Potchefstroom Campus indicated that a lot of researchers are aware of the importance of the social context, but would go into a community and do the research and afterwards they would never go back to report on their findings, as indicated by the NWU policy on community engagement (§4.2.4.3).

5.5.1 Understanding and recognition of the culture

From the semi-structured interview with the project leader of the Holding Hands project, it was evident that there was a recognition of cultural practices:

“It was a whole traditional engagement process with the chief, where I had to go and greet the chief every time, and I had to wear a dress”

The project leader indicated that each project, within the Holding Hands Project had a unique culture and it was important to be sensitive towards that.

The project leader also indicated during the semi-structured interview that the difficulty that they experienced in creating a mutual understanding with the women at Rysmierbult and Castello did not necessarily have to do with the role that the university played, but more to do with tribalism. Apparently at Castello the project leader is not part of the tribe and that poses certain problems:

“I think in our experience in the Manthe⁸ village where everybody belongs to the same tribe, it was much easier. My biggest conflict at Rysmierbult and Castello was with the tribal chief because he is not interested in the community’s development. He just wanted advantages for himself and for his closest family members. He does not even worry about the rest of his tribe.”

The project leader had difficulties explaining the whole aim of the community engagement project to the chief:

“Every time he sees me, he wanted money, but we don’t operate like that. So it was very difficult to explain to him that I do bring him a gift, I bring him a gift of economic development and skills development in his community, which is not what he wanted.”

From the research it was also evident that strong feelings of loyalty to the tribe led to conflict between the women. Women who were not part of the tribe were not allowed to be a project leader. The project leader explains:

“Unfortunately because of that conflict and the conflict between the women because a lady that don’t have leadership abilities had to become the project leader most of the development that could have happened there fell flat.”

An outside developing organisation wanted to become involved in the project, but they indicated that they only wanted to work with somebody who was part of the tribe. So staff of the NWU

⁸ Manthe Village is between Taung and Vryburg in the North-West Province and was a satellite project of the Holding Hands Project (Niesing, 2016).

had to identify somebody from the tribe and arranged for ABET training. With the funding from this outside organisation, a bakery was started in that community. Unfortunately, due to the fact that the chosen leader from the tribe did not have the leadership skills and capacity to make the project sustainable the bakery project did not succeed. The staff of the NWU even tried to mentor her, but she was not interested and felt threatened. In the end, only the original hand-embroidery group that had started is still going on.

The project leader of the Holding Hands project stressed the important role that the facilitator plays, especially with the groups at Rysmierbult and Castello. The group don't want to speak English at all. Their preferred languages is Tswana or Afrikaans. So the Tswana-speaking facilitator is in a more favourable position to pick up on most of the meanings of their messages:

"Sometimes you will have to be able to read/hear more than the language"

The women of Rysmierbult and Castello indicated during the focus group interviews that the attending of funerals is very important for them. They will suspend their work in order to attend a funeral. They feel that the staff of the NWU do recognise the importance of this cultural practice.

The care-givers who were part of the ECD Training Project indicated that they felt that everyone's culture was respected. The project leader presented the training in English and the message of anti-bias, which is important in a multi-racial society, was emphasised:

"Vir my was dit goed gewees, want Dr Ona was daar wat wit was en dan was dit Puleng wat swart was en nog 'n ander dametjie wat swart was en dan was daar nou kleurlinge, swartes en dan was daar nog blanke meisiekinders wat daar gewees het."

It can thus be concluded that from the research it is evident that cultural sensitivity is very important in the community engagement projects and there is an understanding and recognition of the social context as in accordance with the theoretical statement (§2.6.4).

5.5.2 Understanding and recognition of the gender roles

From personal observations, it was evident that children and motherhood were embraced in these community projects. Children were running around when focus group and semi-structured interviews were conducted.

At all the projects of the Helping Hands Project there is a definite understanding of gender roles and responsibilities. The women at Rysmierbult and Castello have an unwritten rule that they have specific times that they need to do work for the project. They are responsible to do their

domestic chores before or after that. They also do not take lunch breaks, but they share a sandwich while working.

The project leader of the ECD Training Project indicated during the semi-structured interview that in order to make provision for the gender roles and responsibilities of the care-givers (e.g. when they have an ill child, etc.) they could be absent, but not for more than three sessions.

From the research it was evident that there was a recognition of and flexibility in the understanding of the gender roles and responsibilities of the community members.

5.5.3 Understanding and recognition of religion

The women at Rysmierbult and Castello indicated during the focus group interview that if there was urgent work that needed to be done, they would decide collectively not go to church on a Sunday:

“by die kerk ons praat, as ons sien ons werk is baie ons moet praat. Dan gaan niemand Sondag kerk toe nie, ons moet werk almal.”

At Jan Kempdorp the group indicated that they felt that their religion was being respected by the staff of the NWU. The whole group belonged to the same faith. They would sometimes sacrifice their religious practices in order to finish their work.

It can thus be concluded that there is an understanding and recognition of the religious practices of the community. It is evident that they will miss church activities, in order to complete their work.

5.5.4 Conclusion

It can thus be concluded that from the research it is evident that cultural sensitivity is very important in community engagement projects.

From the research it was evident that there was a recognition and flexibility in the understanding of the gender roles and responsibilities of the community members.

It can thus be concluded that there is an understanding and recognition of the religious practices of the community. It is evident that they will miss church activities in order to complete their work.

5.6 SUMMARY AND CONCLUDING ARGUMENTS

It is thus evident that participation of the community at the Holding Hands project exists to a large extent. There is the forming of partnerships through continued contact, as well as the combining of knowledge and skills, but they did not participate in the initial initiation of the project. The project started out as an intervention programme for poverty relief (§2.4.3.1.1 and §2.4.3.1.2). However, the groups at Jan Kempdorp and Ganspan do initiate changes and amendments to the project in order to succeed. They also participate in the planning, implementation and evaluation of the project.

Women at Rysmierbult and Castello do not participate in the planning or evaluation of the project. This can possibly be attributed to the low literacy levels of the women.

The care-givers who were part of the ECD Training project were basically a passive audience within a process of information dissemination (§2.4.1.3.1). They did not in all instances form partnerships through continued contact. They did not initiate, plan, implement or evaluate the project. There are traces of pseudo-participation (§2.6.1.1) as the care-givers were asked to complete an evaluation form at the end of the training. They were also asked for verbal feedback on a regular basis. There are also traces of consultation (§2.6.1.3) as the care-givers were consulted on topics for training.

It can thus be concluded that dialogue is mostly open and intentional interpersonal communication between the NWU staff and the community at the Holding Hands Project and the ECD Training Project does occur. There is an active hearing of messages during conversations and it is evident that there are processes to find common ground to create mutual understanding, which will pave the way for possible collective action. However, the equality of the processes is in question as it is evident that other factors such as inequality in understanding and unequal partnerships can play a role. The building of respectful and trusting relationships does exist but it is evident that enough opportunities for dialogue must be created. Conflict is mostly handled constructively through negotiation and bargaining, but socio-political factors sometimes play a role. It is evident that a life-skills programme like LifePlan® is very important in learning to handle conflict constructively.

It is evident that communities experienced a definite development of self-esteem and self-confidence through the learning of skills which enabled them to generate an income and/or developed even more knowledge and skills. There was an enhancement in their quality of life, as they now could earn more money and they felt very proud of their achievements and felt that they could make a difference in their community. This can be regarded as one of the greatest

achievements of the community engagement projects of the NWU that there is a notion of “giving back” to the community.

From the research it is evident that cultural sensitivity is very important in the community engagement projects. From the research it was evident that there was a recognition and flexibility in the understanding of the gender roles and responsibilities of the community members. There are also an understanding and recognition of the religious practices of the community. It is evident that they will miss church activities in order to complete their work.

In answering the research question:

1. How do the project leaders and active participants of the Holding Hands Project and the Early Childhood Development (ECD) Training Project perceive the process of communication between the project leaders and the active members of the two different projects?

The project leaders of the Holding Hands Project and the Early Childhood Development (ECD) Training Project perceive the process of communication between them and the community members as mostly open and participatory. Shared interest in social issues is a definite motivation for building of partnerships and opening communication between participants.

The active participants of the Holding Hands Project and the teachers/care-givers who are part of the ECD Training Project perceived the process of communication between them and the NWU (Potchefstroom Campus) as very positive as there is open, intentional, participatory communication between them that leads to the building of trusting relationships, where there is a recognition of the importance of the social context and where an empowerment process can possibly lead to self-reliance.



CHAPTER 6

SYNTHESIS DEVELOPMENT AND RECOMMENDATIONS

“Dialogue cannot exist, however, in the absence of a profound love for the world and its people” Paulo Freire

6.1 INTRODUCTION

In the first chapter it was argued that communication within community engagement is an increasingly important activity in the higher education sector, however, there are vastly different viewpoints on, interpretations and applications of community engagement (§1.1). This is also true in the case of the NWU. In chapter 2 the theoretical points of departure for a framework on communication within community engagement were discussed. In chapters 3 and 4 the empirical applicability of these theoretical principles was evaluated by investigating the challenges in communication within community engagement as well as perceptions on the nature of communication in two selected community engagement projects of the NWU (Potchefstroom Campus).

In this chapter the general research question: *“What would a conceptual framework for communication within community engagement at the NWU (Potchefstroom Campus), based on the principles of the participatory approach to communication for social change, look like?”* will be answered by firstly summarising the answers to the specific research questions. Based on these findings a conceptual framework for communication within community engagement at the NWU (Potchefstroom Campus) would be proposed. This chapter also reflects on some of the challenges and limitations of this study, as well as some suggestions for future research.

6.2 THE PRINCIPLES OF THE PARTICIPATORY APPROACH TO COMMUNICATION FOR SOCIAL CHANGE RELEVANT TO A CONCEPTUAL FRAMEWORK FOR COMMUNICATION WITHIN COMMUNITY ENGAGEMENT PROJECTS AT THE NWU (POTCHEFSTROOM CAMPUS)

The first research question asked how the the principles of the participatory approach to communication for social change, including participation, dialogue, self-reliance and the importance of the social context, could contribute to a conceptual framework for communication within community engagement projects at the NWU (Potchefstroom Campus).

In chapter two it was argued that participation, dialogue, empowerment and the importance of social context are concepts at the core of participatory communication. It was further indicated how these concepts could contribute to a framework for communication within community engagement:

6.2.1 Participation

Participation is the complex process of forming partnerships between the community and the staff of the university, through continued contact as well as the combination of knowledge and skills as a strategy for sustainable social change. This implies the ideal of participation of the community and the staff of the university in all the phases of the community engagement project, namely the initiation, planning, implementation and evaluation of the project (§2.6.1.6).

Participation is relevant for communication within community engagement because in a higher education setting it means that both the university and the community must have the right to participate in the planning, implementing and evaluation of community projects (§2.6.1.5). Communication can be initiated by the university in collaboration with the community, but has to evolve to the point where all participants are patient and honest and follow-up visits can ensure the sustainable outcome of the project (§2.6.1.5.1). Continued contact may lead to the building of networks/partnerships and personal relationships where people are sensitive towards the needs, attitudes and views of others (§2.6.1.5.2). These networks/partnerships must be characterised by reciprocity where the combining of their different knowledge and skills will result in a much stronger strategy for social change (§2.6.1.5.3). Participation in the planning of projects does not imply that there is not a need for experts anymore. It only means that the viewpoint of the community is considered before the resources for projects are distributed (2.6.1.5.4). Authentic participation directly addresses sharing of both political and economic power and its distribution in a community. Therefore, both the university and the community must be equally involved in the implementation of the project (§2.6.1.5.5). Participation in the evaluation of projects includes activities of self-reporting, reflection and learning from critique. It must be a collaborative effort of both the community and the staff of the university to analyse the strong points, weak points and identifying opportunities and threats regarding the community engagement project (§2.6.1.5.6).

6.2.2 Dialogue

Dialogue is emancipatory, open, intentional, interpersonal communication, which includes reflective listening skills, to build trusting and respectful relationships and to create mutual understanding where all are equal partners and have the same opportunity to communication.

Dialogue also includes negotiation and bargaining to handle conflict in a constructive manner (§2.6.2.2).

Dialogue is relevant for communication within community engagement because it is an ethical communication choice within the development context whereby participants can discuss ideas in an open, two-way process, to create meaning (§2.6.2). In the process of creating meaning empathy is necessary to assist in the understanding of social issues that community members has to deal with on a daily basis (§2.6.2.1.2). Communities should not be treated as an ignorant audience, but as capable individuals, who can discover their own problems through a process of emancipatory dialogue. Communication within community engagement should facilitate a process where community members start to think critically about their problems and decide for themselves how problems should be solved. Within the participatory approach, communication is thus no longer focussed on information as a vehicle for persuasion but is understood as a dialogue in which people share information in order to create mutual understanding. To be able to create mutual understanding, a process where participants paraphrase one another's point of view to mutual satisfaction, is very important. This process of reflective listening aims to have a comprehensive understanding, which is an important part of communication for social change (§2.6.2.1.3).

With regards to communication within community engagement it is also important to create a space for discourse. This does not mean a formal meeting, or more formal meetings where the flow of information is top-down. It implies a horizontal discourse among participants where personal opinions can be discussed and different opinions viewed. Within this space of communication, the participants can thus aim to reconcile different opinions and turn them into pluralistic viewpoints. These pluralistic viewpoints can then be taken to reach a possible consensus that is acceptable for all participants (§2.6.2.1.4).

6.2.3 Empowerment that leads to self-reliance

Empowerment is a personal as well as a social process which can address the aim of developing self-esteem and confidence through skills development to increase better quality of life. Increased better quality of life can lead to self-reliance which implies the contribution of own strength and resources (§2.6.3.4).

Empowerment that leads to self-reliance is relevant for communication within community engagement because communities can identify their own problems and through a process of personal transformation change their circumstances. This ongoing process begins when the community starts to become aware of their situation and develop a desire to change. Through

participation they may learn a new skill or obtain knowledge and information and that may lead to feelings of self-confidence and competence, purpose, belonging and acceptance. The community may then be prompted to take further action (§2.6.3.3). This implies that individuals and communities make the best of their situation and rely primarily on its own strengths, competences and confidence, as well as skills and resources to change their lives in the context of their social and political environments.

The learning of skills does not necessarily point to self-reliance, but if the learned skills are used to obtain a job or to create employment, that is empowerment that leads to self-reliance and thus improves quality of life (§2.6.3.4).

6.2.4 Importance of the social context

Participatory communication for social change should respectfully recognise and take the elements of the social context into account in order to contribute to more sustainable community engagement. Elements of context such as language, cultural ceremonies, religion, rules, norms, beliefs (ideology), gender, nationality, profession and social roles have significant meaning and cannot be ignored or misunderstood within the process of community engagement.

The importance of the social context is relevant for communication within community engagement because communication always takes place within a certain social context. Within a participatory approach, all cultures are equal to each other and cultural differences are understood as undifferentiated pluralism where one culture cannot justify itself as absolute. The richness of cultural diversity is to the advantage of all participants. This implies a positive attitude to other cultures, which goes beyond tolerance as no community can function completely autonomously and is completely self-sufficient. Every society is in one way or another dependent on each other. In order to understand the social context, all participants must have knowledge of the specific social context and this knowledge of the social context must be a central point in the planning of any given engagement project (§2.6.4).

6.3 COMMUNICATION CHALLENGES IN THE POLICY FORMULATION AND IMPLEMENTATION OF COMMUNICATION WITHIN COMMUNITY ENGAGEMENT AT THE NWU (POTCHEFSTROOM CAMPUS)

Specifically in research question 1 theoretical guidelines for communication within community engagement were established. In order to determine how feasible these guidelines would be in practice the context of community engagement at the NWU (Potchefstroom Campus) needs to

be outlined. Specific research question 2 therefore asked: How do the staff of the NWU perceive the communication challenges in the policy formulation and implementation of community engagement, at the NWU (Potchefstroom Campus)?

In order to answer this research question semi-structured interviews were conducted with management and policy documents were analysed.

It was found that the the policy document of the NWU is written in line with a participatory communication approach for social change. The expression “*sharing of expertise*”, which is used in the policy, implies participation through the combination of knowledge and skills between all participants (§2.6.1.5.3 and §2.6.1.5). The aim of the policy is to guide all engagement to benefit both the university and empower all members of society to address the developmental challenges of South Africa (§2.6.1.5.2, §2.6.1.5.3 and §2.6.3). In collaboration with external partners, the engagement has the potential to enhance the curriculum with new knowledge (§2.6.1.5.2). The importance of the ethical responsibility towards the community, to receive feedback, is also stressed (§4.2.4.3).

It was evident that there is a lack of scholarly debate on community engagement and that community engagement is done independently from the Institutional Office (§4.3.2). It is the responsibility of the community engagement support structures to create opportunities for participants to build respected partnerships over time. Continuous participation in dialogical discussions should stimulate scholarly debates and combine knowledge and skills of participants, in order to collectively negotiate acceptable solutions for the complex issues of social problems and how community engagement projects could facilitate in this process.

Another communication challenges is the misunderstanding of terms within the field of community engagement (§4.3.3). To improve on this the policy must define the key terms e.g. ‘community service’, ‘community engagement’, ‘community’ and ‘community service learning’ ‘voluntary-based’ ‘enablement’, ‘empowerment,’ ‘development,’ ‘non-discipline based outreach activities’ etc.

Further more was it evident that the communication between the Institutional Community Engagement Office and management of the NWU was not open and participatory (§4.3.5.1). Communication between the institutional community engagement office and management of the Potchefstroom campus was also not open or participatory. It was evident that there is also no participatory communication between the Director of Community Engagement at the Institutional Office and the project leaders. Prior to 2015 there were also no formal communication channel between the Potchefstroom Campus and the Institutional Community Engagement Office.

Since then the communication between the Campus Community Engagement Office and the staff of the Potchefstroom Campus is also more open and participatory which is in line with a participatory framework for communication, where intentional interpersonal communication over time, can facilitate the building of trusting and respectful relationships (§2.6.2.2).

It was evident that the communication between the campus Community Engagement Office and management have elements of dialogue e.g. reflective listening, but aspects such as the building of respectful and trusting relationships takes time (§2.6.2.2). However the awareness raising is top-down communication where the chances for participation and a combining of knowledge and skills is very little (§2.4.1.4, §2.6.1.5.3).

Thus in answering specific research question 2, it can be concluded that although the NWU policy for community engagement endorse a participatory approach to communication for social change, is this not always reflected in its communication. There is a huge difference in the prescriptions of the policy and the implementation of community engagement on the Potchefstroom Campus. In reality communication within community engagement is characterised by top-down communication methods such as skills transfer and awareness training. There is also a strong focus on volunteerism, which is most of the time repeating projects to alleviate poverty or fulfill the basic needs of a community.

The next step was to explore how project leaders and the active participants perceived the communication between them in terms of the identified theoretical guidelines.

6.4 THE PERCEPTIONS ON THE COMMUNICATION PROCESS BETWEEN THE PROJECT LEADERS AND THE ACTIVE MEMBERS OF THE PROJECTS

The third specific research question asked: How do the project leaders and active participants of the Holding Hands Project and the Early Childhood Development (ECD) Training Project perceive the process of communication between the project leaders and the active members of the two different projects?

Using the guidelines identified in the first specific research question as point of departure, semi-structured interviews were held with the project leaders and focus groups and semi-structured interviews were conducted with active members in the projects to determine their perceptions of the communication process.

6.4.1 Participation

The project leaders of the Holding Hands Project and the Early Childhood Development (ECD) Training Project perceive the process of communication between them and the community members as mostly open and participatory. Continued contact between the participants lead to the forming of partnerships, especially in projects such as the Holding Hands project (§5.2.1). The ECD Training project does not really lend itself to participation in the forming of partnerships through continued contact (§2.6.1.5.2). However it was evident that shared interest in social issues is a definite motivation in opening up communication between participants. Participation in communication within community engagement, through the combining of prior knowledge and skills did occur at the Holding Hands Project, but not at the ECD Training project (§2.6.1.5.3 and §5.2.2).

NWU policy on community engagement specifically indicates that there must be engagement of the community in all activities (§4.3.3). However, it was evident that the participation of the communities, in the communication within the community engagement projects was minimal during the initiation of projects. Participation in communication within community engagement, implies that the community and the staff of the NWU should participate as equal partners in the planning of projects (§2.6.1.5.4). It was evident that this is a possibility, but not with community engagement projects with a fixed agenda, like the ECD Training Project (§5.2.4). Participation in the implementation of the project indicates that both the NWU staff and the community members should participate in the implementation of the project as equal partners (§2.6.1.5.5), which is the case with the Holding Hands project (§5.2.5). However the ECD Training project had little (if any) participation in the implementation of the project.

Participation in the evaluation of projects is not only the completion of a feedback survey at the end of the project, as in the case of the ECD Training Project. Participation in the evaluation of projects is a collaborative effort to analyse the project for future planning as was evident from the two sites of the Holding Hands Project (Jan Kempdorp and Ganspan) (§2.6.1.5.6 and 5.2.6). It was also evident that low literacy levels of the Rysmierbult and Castello communities, were to blame for the inability to participate in the evaluation of the project.

6.4.2 Dialogue

Both the participatory approach to communication for social change, as well as the NWU policy on community engagement indicated that communication within community engagement should be open, deliberate and intentional, interpersonal communication between the NWU staff and the communities (§2.6.2.2, §4.2). It was evident that there was indeed open and intentional

interpersonal communication between the NWU staff and the community at the Holding Hands Project and the care-givers of the ECD Training Project (§5.3.1). There was also an active hearing of messages during conversations between the community and the staff of the NWU (§5.3.2) which is an integral part of dialogue (§2.6.2.2).

The aim of dialogue is to create mutual understanding, therefore there should be a continuous, cyclical process of interpreting and reinterpreting messages of personal opinions to find common ground between the community and the staff of the NWU (§2.6.2.2). It was evident that there are processes in place to create mutual understanding between the NWU staff and the community, but other factors such as inequality in understanding and unequal partnerships can play a role (§5.3.3).

It was evident that dialogue that leads to the building of respectful and trusting relationships does exist between the community and the staff of the NWU (§2.6.2.2). However, enough opportunities for dialogue must be created to build respectful and trusting relationships (§5.3.4).

Dialogue also includes negotiation and bargaining to manage conflict in a constructive manner, which is acceptable to everyone (§2.6.2.1.4). It was evident that conflict is mostly managed constructively through negotiation and bargaining between the community and the staff of the NWU. Socio-political factors, however, can play an important role in affecting dialogue. It was evident that LifePlan® training had a positive effect on teaching the members of the Holding Hands Project to handle conflict constructively (§5.3.5).

6.4.3 Empowerment that leads to self-reliance

From this study it was evident that one of the greatest achievements of community engagement was empowerment that leads to self-reliance (§5.4.5). Empowerment is a personal as well as a social process (§2.6.3.5) and there was a definite development of self-esteem and self-confidence in the communities who are part of the community engagement projects (§5.4.1). Empowerment implies a better quality of life, which means an advancement in the personal circumstances of the community (§2.6.3.2). It was evident that the communities had more self-confidence, the ability to earn more money and act as role models for their children (§5.4.3). There was also a notion of “giving back” to the community, by contributing their own time and/or money to the projects (§5.4.4).

6.4.4 The importance of the social context

Communication within community engagement always takes place within a certain social context (§2.6.4). From the research it was evident that cultural sensitivity, recognition of

religious practices as well as the understanding of the gender roles and responsibilities of community members is a high priority within in the community engagement projects (§5.5.1, §5.5.2, §5.5.3).

6.5 RECOMMENDATIONS

In the last instance, the general research question which asked: What would a conceptual framework for community engagement at the NWU (Potchefstroom Campus), based on the principles of the participatory approach to communication for social change, look like? should be answered.

6.5.1 A conceptual framework for community engagement

Based on the answers of the specific research questions it is recommended that the framework should be informed by the principles of participatory communication and the NWU policy document, while keeping the communication challenges within community engagement in mind.

6.5.1.1 Participation within a framework for communication within community engagement

6.5.1.1.1 Forming partnerships

Participation is the complex process of forming partnerships between the community and the staff of the university, through continued contact. This partnerships must be reciprocal and everyone must be treated as equal (§2.6.1.5.2). The process should even be taken further, as communities need to be empowered to be able to form their own partnerships to ensure sustainability of community engagement projects (§2.6.1.5.1).

6.5.1.1.2 Combining of knowledge and skills

Participation as the combining of skills and knowledge should be a process where both the NWU and community members learn from each other (§2.6.1.5.3). In the context of community engagement, special care should be taken that the project does not just benefit the community or just the NWU (§4.2.4.1). Community participation has the potential to enhance the curriculum with new and relevant contextual knowledge (§2.5.1.2).

6.5.1.1.3 Participation in the initiation of the project

The NWU policy on community engagement emphasises the ideal that the community and the NWU should participate as one team in all the phases of community engagement projects

(§2.6.1.6 and §4.2.2). Even if the NWU initiates the community engagement project, based on prior research findings or a needs analysis, the practical contribution of the community is needed to embark on a community project. Communities know best who they are and what they need to improve their quality of life. Their viewpoints should be considered before final decisions on the allocation and distribution of resources are made. All participants should collaborate to identify aspirations, training needs and prior knowledge and skills of the whole group. A participatory baseline assessment could be done through workshops or brainstorming sessions to determine knowledge and skills levels collectively (§4.4.3.1.1).

6.5.1.1.4 Participation in the planning of the project

Participation in decisions on the choices regarding the programme, learning material and resources, as well as the use of facilitation methodology and group activities e.g. role play, the use of case studies, group debates/discussions and peer education and peer evaluation should also be collectively taken (§4.4.3.1.2).

6.5.1.1.5 Participation in the implementation of the project

Ideally the implementation of community projects should also be a team effort between the NWU and the community where there is an equal contribution towards the implementation of the project. Also in the implementation of projects the important role of a facilitator cannot be underestimated. The facilitator can bring people together, help to build links, identify gaps and share ideas as well as assist in understanding the needs of the community (§5.2).

Training should not merely become the transfer of skills (§4.4.3.1). During the training, facilitation methods like role play, demonstrations, group discussions, brainstorming and peer evaluation can be used to enhance the level of participation (§2.6.1.5.5).

6.5.1.1.6 Participation in the evaluation of the project

Reflection on the achievements or shortcomings of projects should take the form of participatory group discussions or workshops with all participants (§2.6.1.5.6). Open-ended questions such as “How can this be improved?” or “Could we have done it better?” can be used to enhance participation in evaluating of training projects (§4.4.3.1.3). This participatory evaluation process can give rise to a strengthening of the partnership and renewed commitment to the positive outcomes of the project (§2.3.2).

All projects do not lend themselves to participation at all levels. Projects (e.g. ECD Training Project) where there is a fixed programme of skills that has to be mastered, within a certain

time, participation on all the levels of Arnstein's ladder of participation is not possible (§2.6.1.5). However, the aim should always be to enhance the level of participation throughout the project.

6.5.1.2 Dialogue within a framework for community engagement

Due to the nature of the higher education setting, the creation of opportunities for dialogue between all participants could be quite challenging. However, within the planning of community engagement projects, opportunities for dialogue should be high on the priority list in terms of time frames and budget allocations.

6.5.1.2.1 Intentional interpersonal communication

The principle that is important for the conceptual framework in terms of dialogue is that opportunities for communication must be regular, open and intentional. In a higher educational setting where the participants differ in various instances (age, gender, literacy level, geographical location, etc.) the creation of equal opportunities for regular dialogue could be quite challenging in terms of financial and time constraints. However, the aim should always be to have as many opportunities for dialogue as possible. Creative ideas are necessary to bring people together to encourage a more supportive, relaxed and informal atmosphere, where open discussions can naturally occur and partnerships can spontaneously develop. Formal ways of communication, such as letters via electronic mail, or telephone conversations or text messages should be restricted to a minimum and only used for communicating practical arrangements and logistical information.

The lack of participatory communication at appropriate management levels, as well as the lack of scholarly debate regarding the dynamic complexities of community engagement, and the misunderstanding of terms in community engagement (§4.3.3), can easily be rectified. The answer lies in the consistent implementation of the policy. This policy is based on participatory communication and symbolises the promise of the advantages of this approach (§4.3.2). This policy clears up the confusion and uncertainty that existed with regards to the interpretation of community engagement and should be seen as an important regulatory framework to manage community engagement at the NWU.

It is recommended that the approved policy be communicated widely, at all levels, to academic and support staff, as well as key participants in the communities of the university. The sending of the policy in an attachment, with a uniform e-mail message, or the publication of the policy on the webpage, does not constitute an acceptable participatory communication practice. Informal meetings between the community engagement support structures and staff members should be held to introduce the newly-approved policy. The community engagement support structures, in Chapter 6: Synthesis development and recommendations

collaboration with faculty management committees, can initiate workshops to facilitate a process of mutual learning with staff members. Important aspects within the policy framework could be explained and staff would get the opportunity to get familiar with the terminology, objectives, procedures and rules of engagement of the policy (§4.2). After the approved policy was introduced, conversations on the implementation of community engagement in higher education should not stop. It is the responsibility of the community engagement structures to ensure that dialogue regarding community engagement should continue on an ongoing basis.

6.5.1.2.2 Reflective listening skills

When aiming to form close relationships, participants should physically sit opposite or next to each other and have eye contact. To minimise misunderstandings, reflective listening skills should be applied (§2.6.2.2). Participants should cultivate a habit of repeating messages, to make sure the message had heard correctly. In a diverse setting such as community engagement in higher education, misunderstandings can so easily occur as a lot of conversations are in the speaker's second or third language.

6.5.1.2.3 Create mutual understanding

The creation of mutual understanding is not a process that can be rushed to fit a specific time frame. Time frames should be flexible to allow ample opportunities for discussions, which would include interpretation and reinterpretations of opinions.

6.5.1.2.4 Building respectful and trusting relationships

The building of trusting and respectful relationships should be based on principles like honesty and reliability. All the participants must be able to respect and trust each other.

6.5.1.2.5 Negotiation/bargaining

Within a conceptual framework for communication within community engagement, special attention should be given to conflict resolution through negotiation and bargaining. Dialogue is a learning process and conflict offers an opportunity for growth and the reconciliation of pluralistic viewpoints.

6.5.1.3 Empowerment that leads to self-reliance

The principle that is important for the conceptual framework is that all community engagement projects should have a focus on empowerment which could lead to self-reliance (§2.6.3.5). Education and skills development does not always lead to empowerment and a better quality of

life. However, the evidence was overwhelming that the learning and skills development have a positive effect on the development of self-esteem and self-confidence. Trust in one's own abilities can give confidence to embargoes on even more advanced activities or further skills development and training. A whole process of advancement was thus put in motion, which now has the ability to evolve independently from the university. The university may have started the process by providing a skill or knowledge, but the success lies in the expression of self-determination of community members. They may now know how to contribute their own resources to the project or even start another project, which implies a whole new process. In these transformatory circumstances, sustainability could become a reality.

6.5.1.4 The importance of the social context

Within a conceptual framework for community engagement, knowledge of the social context is fundamental. All participants (staff, students and community) should be sensitised towards the recognition and respectful conduct towards people of all cultures, sub cultures, languages, religions, tribes, races, genders, regionals, economical status, social and political orientations (§2.6.4). It is recommended that participants engage with each other regarding contextual issues in community engagement projects.

Most community engagement projects are in previously disadvantaged communities or rural areas, which differ greatly from the surroundings and geographical area where the NWU (Potchefstroom Campus) is situated. Tswana-speaking community members could feel very uncomfortable and out of place if they have to attend meetings on campus and all the directions to the building are in Afrikaans. On the other hand, Afrikaans-speaking staff members feel uncomfortable to attend a meeting in a township where everyone speaks Tswana or another African language. Interpreting cultural practices such as a firm handshake (which is perceived as positive in the Afrikaner culture, but negative in Black cultures) could negatively impact on the engagement. Customs such as breastfeeding a baby during a training session could be seen as normal or taboo. Scheduling a community meeting on a Saturday morning, could be seen as insensitive to Africans who have funerals at that time. Wearing a pair of jeans to meet the tribal chief in the rural area, could be interpreted as either practical or rude, depending from which culture the participant is.

Pertinent provision should be made for contextual issues when planning a community engagement project. A facilitator from the area or with the same cultural background could be of assistance to explain the deeper meanings of the context. The facilitator can also assist in giving information on acceptable and unacceptable behaviour within the context. The facilitator

could act as translator during engagement if the community or staff members do not speak that specific language.

When the participants (community members and NWU staff) start to know each other and begin to form relationships, they can also discuss and decide on their own “code of conduct” within the group. They can collectively decide on rules of engagement, e.g. everyone only speaks English, so that the whole group can understand, or take decisions on acceptable clothing etc.

The importance of the recognition of the social context should be framed by respect and sensitivity for diversity. Diversity and the challenges that come with it, should not be viewed as negative, but as an enriching experience for everyone involved in community engagement.

6.6 CHALLENGES AND LIMITATIONS IN THIS STUDY

Some challenges and limitations can be identified in this study:

1. Although the researcher has long experience with local Tswana-speaking communities, the researcher is from a different cultural background and some responses from community members could have been interpreted wrongly.
2. This study was conducted on only one campus of the University and with the participants of only two projects. The scope of the study is thus limited and cannot be generalisable.
3. There were no agendas and minutes of meetings available to include in the document analysis. The result of this was that the planned analyses of communication within community engagement processes at the NWU Potchefstroom Campus could not take place. The researcher had to rely on the documents that were available, as well as the information gained during the semi-structured interviews with the directors of community engagement at the Institutional Office and on the Potchefstroom Campus.
4. Focus groups with the care-givers of the ECD Training Project could not be conducted as the care-givers had already completed their training. The advantage of focus group interviews, where members can “spark each other off” and influence each others’ perceptions, was forfeited because semi-structured interviews were conducted instead.

6.7 SUGGESTIONS FOR FUTURE RESEARCH

From this study it is evident that there is a huge need for an ongoing scholarly debate on the implementation of community engagement at the NWU (Potchefstroom Campus). It is proposed that the following research topics could make a further contribution towards participatory community engagement at the NWU Potchefstroom Campus:

1. An analysis of internal communication processes between top management and middle management of the NWU (Potchefstroom Campus), regarding community engagement activities by using semi-structured interviews and focus group interviews to gather qualitative data.
2. An analysis of how the policy for community engagement was communicated to all the staff members of the NWU (Potchefstroom Campus), with specific focus on participatory communication methods. Semi-structured interviews with school directors can be conducted, as well as focus group interviews with academic and support staff members. A document analysis of the electronic communication from the community engagement support structures to the staff members could also form part of this study.
3. An analysis of the methods used to implement the policy on community engagement through document analysis as well as semi-structured interviews with the Director of Community Engagement at the Institutional Office, as well as the Director of Community Engagement on the Potchefstroom Campus.

6.8 CONCLUDING ARGUMENTS

The magnitude of social problems that South African communities experience on a daily basis cannot be reduced to only a communication problem. On the other hand the NWU (Potchefstroom Campus) does face huge challenges with regard to the structural integration of community engagement as a core function of the university. This process is very complex and a framework for participatory community engagement cannot possibly aim to give a quick solution.

However, a framework for participatory community engagement can contribute to direct attention to important aspects such as participation, dialogue, empowerment that leads to self-reliance and the recognition of the social context, which should be used to build a firm foundation to facilitate sustainable social change.



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APPENDICES

Annexure A

**INVESTIGATION INTO THE
EFFECTIVE MANAGEMENT AND
IMPLEMENTATION OF COMMUNITY
INVOLVEMENT AT THE NORTH-
WEST UNIVERSITY –
POTCHEFSTROOM CAMPUS**

**REPORT TO THE MANAGEMENT
COMMITTEE**

20 FEBRUARY 2014

Report submitted by

Rev CD (KIEPIE) JAFTHA

**AFFILIATED RESEARCHER AT THE CENTRE OF DEVELOPMENT SUPPORT
AT THE UNIVERSITY OF THE FREE STATE**

ABBREVIATIONS

MC : Management Committee
SL : Service learning
CI : Community Involvement
IO : Institutional Office
NMMU : Nelson Mandela Metropolitan University
NWU : North-West University
NWU-PC : North-West University – Potchefstroom Campus
SAPS : South African Police Service
SAHECEF : South African Higher Education Community Engagement Forum
SRC : Student Representative Council
US : University of Stellenbosch
VS : Volunteer service
WIL : Work Integrated Learning

CONTENTS

1.	Aim of the Report	4
2.	Background and context of the Investigation.....	4
3.	Methodology of the Investigation	
3.1	Interviews and Group discussion sessions	4
3.2	Discussions with the Rectorate and the Deans	4
3.3	Discussions with colleagues in the Institutional Office	4
3.4	Facilitation regarding Workshops	4
3.5	Facets that lie in the power of the Institutional Office	5
3.6	Best practice visits to the University of Stellenbosch and Nelson Mandela Metropolitan University in Port Elizabeth	5
4.	Findings of the Investigation	
4.1	Community Involvement on the NWU's Potchefstroom Campus	5
4.2	The current management of CI on the NWU-PC	6
4.3	The views of the Staff	6
4.4	The emphasis on the equal value regarding Research and Teaching-Learning as a basis for the performance evaluation of academic staff	6
4.5	Frustrations of the Staff regarding the Management and Implementation of CI at the NWU in general and on the NWU-PC in particular	7
4.6	The visit to the University of Stellenbosch	7
5.	Recommendations	
	Section 1: Management Model and Management Structure	
5.1	Establish an integrated Management Model for CI on the Potchefstroom Campus	7
5.2	Establish a Management Structure in the Rector's Office	8
5.3	Establish a Support Structure in the Offices of the Deans	8
5.4	Establish Community Involvement Committees	8
5.5	Core responsibilities of the Director: Community Involvement	8
5.6	Financial implications of the proposed Management Model and Management Structure	9
	Section 2: Important components for the holistic approach to CI at the NWU-PC	10
5.7	Categories of Community Involvement	10
5.8	Strategies for the implementation of integrated Community Involvement	10
5.9	The role of combined participation in projects to create multidisciplinary implementation opportunities	10.
	Section 3: Communication, Introduction and Acknowledging Staff, Students and Partners	11
	Section: Establish a Centre for Community Involvement	11
6.	Conclusion	12
7.	Sources consulted	12

1. AIM OF THE REPORT

The aim of the Report is to inform the MC concerning the background, methodology, findings and potential risks the NWU-PUK are faced with in light of certain shortcomings in terms of the management and implementation of CI. Furthermore, the Report will make recommendations the MC can consider for with a view to improving the status quo and the accompanying strengthening of the establishment, management, financing, monitoring and evaluation, and performance acknowledgement of CI.

2. BACKGROUND AND CONTEXT OF THE INVESTIGATION

The background and context of the investigation is contained in the Project Proposals made to the Rector's Office on 14 November 2013.¹

3. METHOD OF THE INVESTIGATION

The initial investigation plan and methodology was explained in the Budget that accompanied the Project Proposals mentioned in pt.2.² The investigation was done during the period from 21 November 2013 to 19 February 2014.

3.1 Interviews and Group Discussion Sessions

The initial scope of the investigation entailed that interviews would be conducted with approximately 12 key members of staff in the different Faculties, Schools and Support Services. However, it soon became obvious that the proposed number of persons identified for the interviews would by far not provide a representative cut to obtain a significant insight into the activities of the NWU-PC in the field of CI. Hence the number of discussions was gradually increased until it eventually reached 41 at the end of the Interviewing phase of the Investigation. Even the enlarged pool of interviews is but a very small percentage of the NWU-PC's staff and the work done on CI level. In two cases group sessions were held with staff, namely the Law Clinic and a group of colleagues from the Faculty of Health Sciences.

To ensure balance in the discussions the colleagues were provided with a discussion guideline in advance.³

3.2 Discussions with Rectorate and visits to Deans

An important facet of the investigation was the discussions with the Rector and the three Vice-Rectors. Coupled with this, goodwill visits were paid to all the Deans along with the Vice-Rector and designated Vice-Rector: Teaching-Learning.

The discussion with the Dean of Education Sciences was scheduled for Wednesday 19 February 2014

3.3 Discussions with colleagues in the Institutional Office

The nature of the NWU's Management model determines that certain critical aspects concerning Policy and Monitoring be done by the IO. Hence interviews were also conducted with Profs Frikkie van Niekerk, Bibi Bouwman, Nina Brazer and Ms Phumzile Mmpoe of the IO.

The discussion with Prof Martin Oosthuizen was scheduled for Wednesday 19 February 2014

3.4 The Facilitation regarding Workshops

As the project progressed, it became very clear that the proposed facilitation regarding workshops, for instance the development of a Policy for CI, a Database for CI, a Risk Policy and other related Policies and Processes included in the original Project Proposals, would not be able to be done by the NWU-PC alone. This power resides in the IO. (Refer to pt. 3.5 of the exposition of the proposed Budget.)

In light hereof the Report will focus on specific proposals for which the NWU-PC has decision-taking power in terms of the NWU's Management Model:

¹ ADDENDUM 1: Proposals to the North-West University – Potchefstroom Campus: 14 November 2013 for rendering services concerning Community Involvement

² ADDENDUM 2: NWU-Potchefstroom Campus: Facilitation of Processes for the establishment of a sustainable implementation plan for Community Involvement

³ ADDENDUM 3: Gespreksriglyn_NWU_Potch Kampus_Personeel

- 3.4.1 A Management Structure and Funding Model
- 3.4.2 Ideas for the alignment and optimising capacity and expertise
- 3.4.3 Closing Partnerships with cooperating communities, institutions and funders
- 3.4.4 Opportunities for making known Acknowledgements for Programmes and Projects

3.5 Facets that lie in the power of the Institutional Office

The author was requested by Prof Frikkie van Niekerk, Deputy Vice-Chancellor: Research and Implementation of Expertise to submit a Budget for the facilitation of processes for the development of the CI Policy, Database and other CI-relevant Policies. However, the author is of opinion that should the MC be prepared to alter the current contract so that the relevant aspects of the CI investigation budgeted for in the original Project Proposal are diverged from and that such needs could be communicated to the Office of the above-mentioned Deputy Vice-Chancellor. It should add much more value to the entire process for the institutional establishment of CI at NWU. The support of the MC in this respect will also increase the extent, necessity and credibility at the US, paid an information visit to the US on 10 and 11 February 2014. The Vice-Rector and the designated Vice-Rector: Teaching-Learning at the NWU-PC, Ms Bibi Bouwman, Mr Henry Coetzee, Prof Linda Potgieter from the Vaal Triangle Campus as well as Prof Mashudu Maselesele and Dr ThamiSethebe from die Mafikeng Campus formed part of the delegation. The aim of this visit is to become acquainted with the different management systems and policies US has put in place for CI during the past 14 years. The programme for the two-day visit is attached as Addendum 5.⁴. It is the author's considered judgement that the US has developed the best integrated management model for CI and has kept it financially sustainable.

The planned visit to the NMMU in Port Elizabeth has bearing on their offer that the NWU may use their integrated database for CI. Its finer detail still needs to be negotiated, and should it still be seen to be necessary, the visit will probably only take place in March 2014.

4. FINDINGS OF THE INVESTIGATION

The findings are presented as follows:

4.1 Community Involvement of the NWU's Potchefstroom Campus

From all the documentation the author has perused, it is very clear that the NWU-PC has been and is busy discussing the matter of CI and putting it on record for at least the past two years. The NWU-PC is blessed with an abundance of very good initiatives, programmes, projects and interventions. Due to the absence of a good comprehensive and integrated database it is impossible to do justice to the excellent work done by staff and students – even in this report. Many of the initiatives, programmes, projects and interventions have run for many years, have added far-reaching value to the lives of many individuals and communities and have the potential of still doing it for many years to come. A few examples of excellent projects are AuTHER, the WIN project, the Law Clinic, the SRCS, the Ikataleng, Seth, Minimus en Sadiba projects. Some of these projects are multidisciplinary, whilst other smaller focused interventions are for example, the Minimus project.

In the IO's section for CI, 25 projects of the three campuses are made known. The vast majority are projects driven from the NWU-PC. In the NWU Annual report of 2012, attention was paid to certain outstanding projects, but the activities of SAHECEF and the Talloires Network were accentuated.

The Community Involvement Implementation document, which addresses the Implementation framework for community involvement implementation for Community Involvement on the Potchefstroom Campus (Project 31), provides very important information on how CI should be understood, but also provides guidelines for establishing a management structure for the NWU-PC.

During a workshop on CI held in 2011 the listed below were discussed:

- Which activities are viewed to be community involvement?
- Why must I do it?
- With whom in the community should I become?
- How is it done?

⁴ ADDEMDI, 5: Programme for the visit to the University of Stellenbosch, 11 and 12 February 2014

- What institutional support is available to me?
- Where do I get funds for CI actions?
- What about risks, ethical issues and quality management?
- Where does the student fit into the picture?
- How is CI accounted for in performance management?
- Which strategies are followed or will we follow?
- Which management structure is in place and/or must be put in place?
- How do I integrate CI with my many teaching-learning research tasks?

The questions listed above are contained in Addendum B of the document: Project 31 – *Implementation Framework for Community Involvement on the Potchefstroom Campus* (p.9).

Addendum A of the same report contains a SWOT analysis of volunteer community service on the Campus – compiled by Prof Laid Herbs (p.8).

It is thus abundantly clear that the NWU-PC has been struggling with regard to seeking answers/solutions to CI-related issues for many years. And, from this, it can be inferred that purposeful attempts have been taking shape to improve the state of affairs. The current CI investigation therefore is a further attempt to reinforce the earlier work of the colleagues.

4.2 The current management of CI on the NWU-PC

The Vice-Rector: Teaching-Learning fulfils the supervision and management role for the CI which has a more academic touch. Under this the *Service Learning* and WIL resort. Here, community-driven research also receives indirect is not direct, although the Vice-Rector: Research is not directly involved in the “management” of the CI. Volunteer service is mostly dealt with by the SRCS. The SRCS resorts under *ressorteer onder* the Student Representative Council, which in turn reports to the Dean: Student Affairs.

Comment [CvdW1]: Is dit die regte term?

There is practically no synergy between the different projects, and possible overlap in the implementation is a huge risk for the NWU-PC.

4.3 The views of the Staff

It was remarkable that the members of staff with whom interviews were conducted were very passionate about the vision and mission of the NWU-PC. Many are experienced academics who also see their way open to make the MC’s renewed emphasis on CI succeed, for the sake of the more encompassing aim of the NWU. Some of the younger staff also realise the importance of CI as part of their academic roles at the NWU.

From the interviews it became very clear that the MC’s decision to pay intensive attention to effective management of CI on the campus. The total commitment to investigate the status quo and the willingness to actually do something to improve the situation is genuinely appreciated by the staff.

4.4 Emphasis the equal value regarding Research and Teaching-Learning as a basis for the performance evaluation of academic staff.

The fact that the NWU renounced a former performance evaluation of the academic staff, where CI still counted a separate value of 20% of the total, initially caused much uncertainty with regard to the role of CI as an integrated part of the academic outputs of the staff. The fact that research and teaching-learning now each have a performance value of 50%, poses new challenges to the academic staff. But the willingness to also accept this challenge was characteristic of the interviews conducted and they see this CI intervention as very timely and essential to enable them to do their work even better. It emphasises the necessity of having an Institutional CI Policy to clearly define the conceptual distinctions.

4.5 Frustrations of the Staff regarding the Management and Implementation of CI at the NWU in general and the NWU-PC in particular

The staff’s general impression was that the NWU should have given attention to the formal institutionalisation of CI much earlier. That the present Rector probably first wanted to pay attention

to other strategic matters is appreciated, but the general feeling is that the time is now ripe to actually pay attention to the management and implementation of CI on the campus

Although many colleagues have been keeping themselves busy within CI in one way or another for many years and have even initiated and implemented CI project themselves, the absence of an Institutional policy framework, database alignment, integration, structuring, funding and acknowledgement of the individual initiatives are not always in place as it should be. The above-mentioned situation is further aggravated in that the communication between the IO and the Faculties is not always according to wishes. Members of Staff are concerned that the criteria and adjudication of staff for awarding the Institutional Acknowledgement is not transparent.

4.6 The visit to the University of Stellenbosch

The visit took place on Monday 10 and Tuesday 11 February 2014.

Dr Jerome Slamats' office gave the delegation a well-balanced overview of the principle founding of CI, the integration of Service Learning with the academic modules, the management of Volunteer services, an example of a schools project to groom Grade 11 and Grade 12 learners but also to recruit them as students at the US, the integration of Sport with CI, as well as the demonstration of their database. As it seems the compilation of the database is very simple and also able to provide the UD with critical management information. It would be worth the while to compare the two databases, those of the US and the NMMU, as well as others, with each other and to develop a database for NWU to fit CI.

The delegation was also taken to two projects – a primary health clinic presented by Staff and Students of the Faculty of Health Sciences in Kalkfontein as well as the iShack project in Enkanini in Stellenbosch.

The Management structure of the US is as follows:

Dr Slamats is the Senior Director and reports to Prof. Julian Smith: Vice-Rector for Community Interaction and Staff. The following members of staff deal with the listed tasks, indicated below, in the Division Community Interaction:

Mr Howard Gordon: Administrative Officer

Dr Antoinette Smith-Tolken, Deputy Director: Community Interaction with special
Service Learning

Mr Mawethu Nyakatya, Manager: Community-based Research

Mr Gareth Cornelliissen, Head: Matie Community Services

Ms Michelle Pietersen, Senior Programme Manager: One-Stop Student Volunteer Programme.

Mrs Joanne Williams, Management Information Officer

Ms Hilda Kruger, Manager: Research and Community Interaction Systems.

Apart from the brochures aimed at making known the US' Community Interaction interventions, the Division also submitted an independent Annual Report and an annual Symposium Report. Yet another important document is: *A student's guide to Matie Community Interaction 2013*. This brochure is a purposeful attempt to assist each student from his/her first encounter with the US to orientate themselves and to align their student activities with US' Policy for Community Interaction and Implementation.

US is the only South African university that has succeeded in developing and maintaining this integrated management model for 14 years. It has much to do with the institutional support and strategic guidance given by Prof Julian Smith, but also with the very good management ability, good academic founding and networks of Dr Jerome Slamats.

5. RECOMMENDATIONS

The following recommendations are submitted to the Management Committee while trusting that it will be considered and possibly implemented. The following points of departure are taken into consideration:

- The recommendations are formulated and are to a greater or lesser extent aligned with the Mission element 4.2 of the Campus Plan of the Potchefstroom Campus of NWU – 2013 -2015.
- The recommendations are made taking into consideration the fact that the NWU-PC can decide and implement certain matters on their own, whilst others are dependent on the Policy Guidelines of the IO.
- These recommendations, with a few exceptions, further link up with the Project 31 document, p.7. The other aspects of CI, for instance the Policy and the Database, must follow an institutional path, as explained in par 3.5 of this report.
- Finally the recommendations rest on the declared philosophical principle of the NWU-PC, namely *Ons Gee Om (We Care)*:

Section 1: Management Model and Management Structure

5.1 Establish an integrated management model for CI on the Potchefstroom Campus

The principle and advantages of an integrated management model will lead to:

- 5.1.1 the possibility of all activities related to CI being coordinated more efficiently
- 5.1.2 so that the splintering of CI actions in Faculties, Schools and Research Entities can be cleared away and staff can work together with one another.

5.2 Establish a Management structure in the Office of the Rector

This recommendation implies that the current Vice-Rectors are not capable of managing the CI on the campus. However, the current dispensation pulls the management of CI askew because CI does not only have to do with Teaching-Learning, but also with Research, Volunteer Services, Sport, Marketing and Communication, Provincial, National and International liaison and with building networks:

- 5.2.1 Create a new post: Director Community Involvement
- 5.2.2 The holder of the post reports to the Rector
- 5.2.3 Create a new post: Administrative Assistant in the Office of the Director: Community Involvement

5.3 Establish a support structure in the Offices of the Deans

This recommendation creates the scope in the Offices of the Deans to enable them to coordinate control better, but also to manage overarching.

- 5.3.1 Create a new post: Coordinator Community Involvement
- 5.3.2 The holder of the post reports to the Dean of the Faculty.

5.4 Establish Community Involvement Committees

This recommendation aims at

- 5.4.1 establishing a central CI Committee that will, together with the Rectorate, Deans, School Directors, Directors of Support Services, both on the NWU-PC and the IC, see to it that all the afore-mentioned components of the campus work together so that the overarching Vision, Mission and Strategic Objectives will be reached.
- 5.4.2 establishing Community Involvement Committees in all the Faculties. The aim of these committees is to bring together the staff connected to CI projects within each Faculty and to support them with, amongst others, the logistic arrangements related to meetings and implementing projects.

5.5 Core responsibilities of the Director: Community Involvement

The core content of this recommendation largely corresponds with the recommendations contained in Project 31:

- 5.5.1 The Office of the Director: Community Involvement must be the central point for orderly, liaison and creation of relationships with communities and other partners as well as fund-raising and marketing (in collaboration with MAC, and to coordinate CI activities
- 5.5.2 Support given to the strategic objectives of NWU, as stated in the Process and Quality Manual.
- 5.5.3 Collaborate with the IO for CI to develop and implement a Policy for the NWU and the Potchefstroom Campus.

- 5.5.4 Work in collaborate the IO for CI to develop and maintain a database for NWU. This implies that CI projects need to be registered to qualify for the status as a NWU project.
- 5.5.5 Must be in direct liaison with faculty coordinators for community involvement to establish a CI committee to take responsibility for undertaking projects, as well as to assist in establishing structures for dealing with CI projects of the NWU-PC.
- 5.5.6 Support concerning the establishment of partnerships and the management of good relationships.
- 5.5.7 Quality assurance of CI projects to ensure delivery, costs, sustainability, monitoring and evaluation.
- 5.5.8 Support regarding project identification, adjudication, evaluation, planning and implementation.
- 5.5.9 Constant surveying and evaluation of the environment to identify opportunities.
- 5.5.10 To give support, in collaboration with the Vice-Rector: Teaching-Learning, regarding the practical implementation of service learning and WIL projects together with all the partners.
- 5.5.11 Give support with regard to the integration of community service, research, service learning and WIL to comply with NWU and the Council for Higher Education's objectives.
- 5.5.12 Liaison with the Dean: Student Affairs and the SRC and SRCS to align, where possible, the volunteer services of NWU- with the strategic objectives of the NWU-PC.
- 5.5.13 Participation in the Forum for Continuing Community Involvement which is dealt with from the IO.
- 5.5.14 Further circumscription of the tasks of the Director: C can probably be aligned with the core responsibilities of the Director: CI in the IO. Information concerning this is available in the office of Mrs Evalencia Jones of the Human Capital Division.

5.6 Financial implications of the proposed Management Model and Management Structure

From the meetings the author had with members of the Rectorate it is very clear there is enormous pressure on the Central Budget. The proposal to the MC is to phase in the establishment of the Management Structure on the campus over a period of five years. The establishment of the Office of Director: Community Involvement in the Office of the Rector should thus first receive attention. Herewith are included the remuneration costs of the Office's Administrative Assistant, as well as the operating costs.

Concerning the support of the Faculties, the two or three Faculties can be selected annually with **saadgeld** bridging funds to appoint a Faculty coordinator. The following can possibly be considered:

- 5.6.1 Funds regarding the cost to company (ctc) remuneration of the appointment of a Faculty Coordinator are guaranteed for three years from the Central Budget. From year four the Faculty takes full responsibility for the costs connected to the post of the Faculty Coordinator.
- 5.6.2 The Faculty takes responsibility for the operating costs of the Faculty Coordinator.
- 5.6.3 Based on information obtained from the IO's Department of Human Capital a preview is given of the costs for the different posts
- 5.6.4 Author is not familiar with the basis and formulae on which the operating costs regarding connected to offices are calculated. These costs must by the nature of things be calculated with the total costs.

Director: Community Involvement

Post level	Year 1	Year 2	Year 3	Year 4	Year 5
2014 C to C values		+ 5%	+ 5%	+ 5%	+ 5%
5	R 773 161	R 811 808	R 852 398	R 896 018	R 939 768
6	R 624 772	R 655 010	R 687 760	R 722 148	R 758 255

Faculty Coordinator: Community Involvement

Post level	Year 1	Year 2	Year 3	Year 4	Year 5
2014 C to C values		+ 5%	+ 5%	+ 5%	+ 5%
9	R 333 479	R 350 152	R 367 659	R 386 041	R 405 343
10	R 274 204	R 287 914	R 302 309	R 317 424	R 335 395

Administrative Assistant: Office of the Director, Community Involvement

Post level	Year 1	Year 2	Year 3	Year 4	Year 5
2014 C to C values		+ 5%	+ 5%	+ 5%	+ 5%
12	R 140 708	R 147, 743	R 155 130	R 162 886	R 171 030
13	R 116 322	R 122 138	R 128 244	R 134 656	R 141 388

Section 2: Important components for the holistic approach to CI at the NWU-PC

5.7.1 Categories of Community Involvement

- 5.7.2 CI that integrates with academic work, i.e. students' academic programmes and research done by members of staff.
- 5.7.3 Subject expert and other expert service to the community by members of staff.
- 5.7.4 Extra-curricular involvement and interaction, for instance non-academic outreach on a voluntary basis.

5.8 Strategies for implementing integrated Community Involvement

- 5.8.1 The integration of CI as a core component of the vision, mission, objectives and organisational structure of the NWU-PC.
- 5.8.2 The integration of CI with academic programmes and curricula.
- 5.8.3 Support for and acknowledgement of staff that keep themselves busy with Community Involvement
- 5.8.4 The development of collaboration partnerships with communities and the service sectors.
- 5.8.5 The sustainable and strategic awarding of human, financial, infrastructure and information resources for CI.
- 5.8.6 The proactive communication and marketing of and fundraising for integrated CI programmes and projects.
- 5.8.7 The promotion of solution-driven CI-orientated research.
- 5.8.8 The inclusion of CI in the UV's quality management system.
- 5.8.9 International, national and regional relationships with role-players in the field of CI.
- 5.10 Student involvement in CI.

5.9 The role of combined participation in projects to create multidisciplinary implementation opportunities.

The naming for combined participation projects can be of great advantage to the NWU-PC. The naming for this combined participation can vary from *Flagships*, *Megaprojects*, *Clusters* to *Focus Areas*.

The principles related hereto are:

- 5.9.1 Identifying the "anchor Faculty" that acts as the coordinator of the different inputs in the project.
- 5.9.2 Broadening cooperation opportunities and creating different platforms for sharing expertise within a specific overarching theme.
- 5.9.3 Aligning different programmes and projects as well as supporting one another in reaching collective objectives.
- 5.9.4 Optimising available human resources, e.g. staff, students, partners (members or the community, local, provincial and national governments). Other resources are for instance funding and infrastructure, such as transport and buildings.
- 5.9.5 Creating opportunities for smaller projects to join forces in one huge project and preventing overlap and "project exhaustion" of cooperating partners.
- 5.9.6 Easing the NWU-PC's marketing and obtaining project funding.

Existing examples on the campus of the possibility of working together with other Faculties and Schools are for instance AuTHER and the WIN project, Ikateleng, the Seth project, the Law Clinic and the SRCS.

The MC can consider starting with three Megaprojects focussing on:

- a) Health;
- b) Education

c) Rural Development

Within each of the above-mentioned three areas, by means of meticulous discussion, negotiation and alignment of the existing and future resources, the cooperation, the geographic placement as well as the different rules of the game and objectives will be explained. If necessary, a very good viability study will have to be undertaken. It should lead to an overarching Memorandum of Understanding (MoU) between all the role-players, for example the NWU-PX faculties, the different cooperating communities, service sectors and funders. It may perhaps also be necessary for smaller MoUs to be negotiated between the cooperating parties.

Coupled with this, the MC considers positioning other existing CI service delivery platforms separately, which can also be made part of chosen Megaprojects, in different ways. Currently the SRCS and the Law Clinic are very good example of well-functioning CI service delivery platforms.

By the nature of things liaison can also take place with projects running on the Vaal Triangle and Mafikeng Campuses.

Should there be flagship projects in the IK's CI, it would be wise if the NWU-PC strives for optimal cooperation therein. It will most decidedly explain the role of the IO more clearly if the three campuses dealt with the implementation of the projects.

Finally, it will be of great help if the IO and the NWU-PC can carry a percentage of the staff and operating costs of the chosen megaprojects and service delivery platforms. If all three the campuses are involved, the necessary negotiations will have to take place very meticulously so as to ensure that the campus receives the necessary value-adding return in exchange for the resources they had contributed to the project. It will alleviate the pressure on the Faculties' budgets. By the nature of things many internal and external factors play a role in making the wheels of the implementation programme roll. For this to happen, the total support of all the campus role-players and of all the cooperating partners is very necessary.

Section 3: Communication, Introduction and Acknowledgement for Staff and Partners

5.10 Communication is of the utmost importance. Hence the MC must strive to:

- 5.10.1 make provision on the NWU-PC's website to make known information concerning CI activities.
- 5.10.2 Send an electronic news letter to the campus and its cooperating partners on a regular basis.
- 5.10.3 Make available a newsletter in hard copy at least each semester.
- 5.10.4 Distribute a DVD with photos, audio and text report annually.
- 5.10.5 Ensure that the NWU-PC's contribution regarding CI is well-represented in the NWU's Annual Report.

5.11 To annually, preferably in the third quarter,

- 5.11.1 present a gala occasion where the NWU-PC's staff, students and partners are afforded the opportunity to make known their projects.
- 5.11.2 if it is possible, let such an occasion coincide with a Colloquium/Conference/Seminar. It will help a lot in strengthening the profile of the academic roles concerning CI.

5.12 To ensure that CI is sufficiently acknowledged

- 5.12.1 in the appointment contracts of staff, particularly academic staff.
- 5.12.2 in the performance evaluation of staff.
- 5.12.3 Honours are handed over to staff, students and partners annually, perhaps the Rector's award for CI. An example of such an award can be shod on the story of J Jaworsky's book: Synchronicity - the inner path to leadership (1998). The title of the story is "The value of my contribution"⁵

Section 4: Establish a Centre for Community Involvement

⁵ ADDENDUM 6: J. Jaworsky, Synchronicity - the inner path to leadership (1998)

Against the background of all that has been mentioned in the Report, it can, in the long run, be of great advantage to for the NWU-PC if the MC would consider establishing a Centre for Community Involvement. The US uses a school building, the Lückhoff school in which all the components of the Division: Community Involvement is housed. Added to this a large number of partners have their offices in the building.

The former Kings Hotel, situated in Nelson Mandela Drive in the centre of the city of Potchefstroom is for sale. Currently the building is rented to the SAPS. Perhaps the NWU-PC should investigate the possibility of finding interested partners that would be prepared to invest in the building along with the NWU-PC. Potential partners could be the local Chamber of Commerce, the Rotaries, the Nelson Mandela Children's fund, the local municipality, the Provincial government and other non-government organisations. It thus presents an ideal opportunity of presenting service delivery and training opportunities from such a Centre. By the nature of things a thorough viability study, business plan and budget will have to be compiled in advance, and to take it through all the management and decision-making processes of the NWU.

The buying price was R4,5 million in mid-January 2014.

6. CONCLUSION

The investigation once more confirms the thorough work that has already been done on the campus regarding the proposed structuring, management and integration of CI. The Report serves as modest attempt to further refine the previous work, trusting that it will place the MC in a position to consider the Recommendations to refer it to the EMC for further discussion and decision making and hopefully Implementation.

The author hereby expresses sincere thanks for the privilege and trust to do this investigation. It was a very pleasant experience.

Special thanks go to the Office of the Rector, Mr Vincent Eastes and Mrs Van der Merwe, the Rector, Prof Herman van Schalkwyk, the Vice-Rector: Teaching-Learning, Prof Mariëtte Lowes and the designated Vice-Rector: Teaching-Learning, Prof. Rantoa Letsosa. A special word of thanks goes to Ms Mari Labuschagne in the Office of Prof Lowes for all the logistic arrangements.

7. BROOURCES CONSULTED

The author obtained access to the following documentation:

- 7.1 Draft CI Policy – dated 2008⁶
- 7.2 Community Involvement Implementation Document: Project 31 – Implementation Framework for Community Involvement on the Potchefstroom Campus⁷ (Hereafter referred to as Project 31)
- 7.3 Community Engagement: Projects 2010/2011 – Brief summaries of 25 projects that are being implemented by the NWU
- 7.4 WIN Project: Creating sustainable livelihoods and promoting healthy lifestyles – under the banner of AuTHER
- 7.5 Lifeplan Workbooks 1 – 3: Life Inequalities amongst persons addressed by means of Purposeful Living and Nutrition interventions
- 7.6 Community Engagement: Institutional Management – Soft Review – August 2013
- 7.7 Research Proposal: Work Integrated Learning and the Realisation of Social Responsibility of Nursing Students through Community Engagement – Dr Mada Watson (Community Nursing Science)
- 7.8 Potchefstroom Campus Presentation Internationally led Evaluation of the NWU: 21 January 2014 – presented by Prof HD van Schalkwyk – Campus Rector
- 7.9 NWU Research Annual Report 2012
- 7.10 Annual Report 2012 of the NWU Potchefstroom Campus Law Clinic.
- 7.11 Gemeenskapsgebaseerde navorsing: Article written by Prof Herman van Schalkwyk which appeared in the Volksblad on 27 December 2013
- 7.12 Campus Plan 2013- 2015 with special emphasis on Mission element 4.2

⁶ ADDENDUM 7: Community Engagement: A Policy and range document – Draft (2008)?

⁷ NOTA 1: Most of the documents are only provided to the author on hard copies.

Annexure B



NORTH-WEST UNIVERSITY
YUNIBESITI YA BOKONE-BOPHIRIMA
NOORDWES-UNIVERSITEIT
INSTITUTIONAL OFFICE

RESPONSE ON JAFTHA REPORT DATED 20 FEBRUARY 2014

The Jaftha Report (2014), which will be referred to as the Jaftha report in this document, was available only in Afrikaans. While an English translation was available to the Vice–rector of the Mafikeng campus, only the Afrikaans version was received by the Institutional Community Engagement Office on 28 February. We can therefore only respond to the Afrikaans version here.

We have to say that the report, in places, is confusing and we had to refer to the Powerpoint presentation to NWU-PC management committee for clarification in some cases.

PURPOSE OF THE JAFTHA REPORT

The purpose of this report was to inform the management committee (MC) of the campus about the background, methodology, findings and potential risks that the NWU-Potchefstroom Campus (NWU-PC) is facing in terms of the management and implementation of community engagement (CE). The Jaftha Report made recommendations to the MC to consider on how to improve the “*status quo*” and the associated strengthening of management, financing, monitoring, evaluation and recognition of achievements in CE at the NWU-PC.

Initial observations from Institutional Community Engagement (ICE):

- It is regrettable that such a valuable investigation was only commissioned for one of the NWU campuses.
- The Soft Review which was conducted by the NWU Institutional Quality Office (IQC) in September 2013 supports some the findings of the Jaftha Report. The findings of the Soft Review, that also reflected some of the observations and findings subsequently identified by the Jaftha Report, will be addressed via the improvement plan (in progress) which has to be filed with the IQC. The campuses and the consultant will be invited to comment on the draft improvement plan.

The Jaftha Report focused on generating specific recommendations concerning the executive powers of NWU-PC, within the existing NWU management and decision-making model, on CE. These powers, as stated in the Jaftha Report include:

- a) The management structure and funding model.
- b) “Thoughts” (Gedagtes) about the alignment and optimization of capacity and expertise.
- c) The conclusion of partnerships with communities, institutions and funders.
- d) Opportunities for introduction of excellence (in CE we presume) for programmes and projects.

COMMENTS ON THE METHODS USED TO COMPILE THE JAFTHA REPORT

- Logically most interviews were conducted on the NW-PC. However, the NWU-PC Wellington Campus was not aware of this study and was not contacted by Rev. Jaftha. The sample size in relation to the total personnel corps was (admittedly) small (41 out of 1248 academic and support personnel; or only 3.3%). There was also no indication given on how these individuals were selected, other than a vague statement that some were “key” personnel without any further qualification on selection criteria. The Jaftha Report admits that this is only small sample. Although the number of personnel involved in CE is less than 1248, there is no indication of the real number actually involved in any capacity. Therefore, there are concerns as to the validity and representativeness of the findings and recommendations.
- In addition, there is no indication on how the responses of the structured interviews were collated and interpreted.

- A study of “best practice” visit to Stellenbosch University (SU) and Nelson Mandela Metropolitan University (NNMU). It should be noted that NWU-ICE twice requested a formal debrief of this visit.

However, this did not materialise due to time constraints. Our comments on this aspect of the report follows:

-It is an assumption that the US has the “best practice” implemented. As indicated by De Lange (2012) “appropriate engagement for South African higher education cannot be prescribed in a template”.

The consultant motivated this only on his own “informed” opinion. Although this may be so, it should be kept in mind that the NWU was recognised for its contribution to corporate social responsibility (CSR) by PMR leaders and achievers awards on 3 March 2014; an excellent indication that the NWU is already very well regarded by its business (CSR) clients.

-The visit to SU was a highlight and a good learning experience. The equivalent of NWU-CE at SU is called Community Interaction (SU-CI). However, some of the findings of this visit were not included in the Jaftha Report (which would have come to the fore with the requested debrief), and are listed below for sake of completeness.

- ✓ Stellenbosch University, just as the NWU, has a multi-campus footprint, but no additional campus-based coordinators. Senior academic staff forms part of the faculty representatives or committees which meet with the Senior Director Community Interaction (equivalent to Director ICE at NWU) on a regular basis. The centralized SU-CI office provides support and coordination for the whole of SU, as here at NWU.
- ✓ SU invested R3 million in setting up its CI unit and supports the CI activities with considerably more dedicated personnel than the NWU. The current *status quo* at the SU is six full-time personnel. The incentive budget for CI lies at SU-CI. This means that departments participating in registered CI projects get financial contributions for their CI projects for which they can apply for annually from SU-CI.

- ✓ Senior line-managers at SU have bought into, and have taken ownership of, CI as a *core business*. CI at SU forms an integral part of everyday SU activities and is not a separate activity. It must be noted however, that one of the SU campuses finds it challenging to integrate CE into their activities.
- ✓ Scholarly engagement of SU-CI is strongly promoted and scholarly publication on CI activities is encouraged. This is particularly true for the integration of service-learning in the standard curriculum where a dedicated deputy–director for service-learning has been appointed in the coordinating CI office. The unit has also produced several books on CI.
- ✓ There are only four days a year where the SU formally participates in philanthropic projects that are linked to national holidays. Volunteerism projects may provide services with academic oversight and integration where possible. Personnel, especially support personnel, also participate in volunteer projects and their activities and contributions are also recorded.
- ✓ SU-CI activities are reported to senate via a senate sub-committee.
- ✓ SU-CI is not only classified as a “not-for-profit/ outreach” activity of the university as communities are, in some cases, expected to pay towards some of the services on offer.
- ✓ Community interaction (or CI) criteria as quoted from SU annual report 2012 are as follows:
“Classroom and research activities that do not include a community component are nor classified as community interaction. To qualify as community interaction, such activities should adhere to the following criteria: 1) The activity should be linked to an identifiable group in a community outside the university. 2) Interaction should be actively linked to identifiable needs of both the university and the community. There should be a clearly identified benefit

for the community and for the university. 3) The interaction should be a sustained activity within a mutually defined relationship or partnership.”

- ✓ NWU-ICE requested from SU-CI to share their policy and database documents with NWU-ICE. SU has shared their policy and database documents with the NWU on 11 February 2014. This was distributed electronically by NWU-ICE to the visiting delegation on 13 February 2014. The Jaftha Report was released on 20 February 2014, but the availability of these resources was not mentioned in the report.

-The visit to NMMU has yet to take place and should still be considered as NMMU has many parallels with the NWU that can inform the current Jaftha Report.

JAFTHA REPORT: FINDINGS OF THE INVESTIGATION ON THE NWU-PC

We agree with many of the statements and findings of those listed in the Jaftha Report. We will respond however with amplifications, concerns, notes requiring clarifications, and NWU-ICE notes on elements concerning all campuses.

The numbering below follows that of the Jaftha Report, read together with clarifications from the Powerpoint presentation delivered to the MC on 20 February 2014.

4.1. CE on the NWU-PC campus

“...there are pockets of excellence on the NWU-PC.”

Amplification : The pockets of excellence are indeed in the Faculties of Health Science and Education, where *research in communities and on community priorities* are taking place, as well as service-learning under the teaching-learning rubric.

Note: The integration of CE into core-activities is better understood in these faculties and the natural integration of CE is often found amongst similar fields of study elsewhere.

NWU-ICE note: However, empirical research publications on the scholarly 'practice of engagement' to enhance the curriculum are not yet optimal at most faculties and remains challenging as this requires trans- and multi -disciplinary collaboration between several experts.

NWU-ICE note: The lack of contextualization and conceptual understanding of CE and how it is integrated remains a big challenge as the reference to '*pockets of excellence*' in the report illustrates. Ikateleng and SETH academy are excellent *community service projects*, but lacks engagement scholarship. Many of the other CE activities on campus including the student volunteerism (SJGD) and legal clinic remain service or outreach projects and philanthropic activities. In the past two years, efforts have been made by SJGD to engage in scholarship which is highly commendable. The integration of the community voice and needs and the engendering of public intellectual discourse does not occur for all CE activities.

...*"there is a search for conceptual understanding of CE"*..

Amplification: Project 31 of the NWU-PC, has increased awareness of this challenge and is currently addressing this need on the NWU-PC through the activities organised by the Vice-Rector responsible for this strategic project.

NWU-ICE note: A university-wide project is needed to fast-track the conceptualization of CE and the integration into core-business across the NWU.

NWU-ICE note: The question remains if the NWU-PC wants to be seen to do 'community service' or 'community engagement' or both and how we are addressing the expectations of the HEQC and DHET as the NWU?

NWU-ICE concern: This lack of conceptualization seems to be at the core of the CE challenge as the existing Institutional Community Engagement (ICE) strategy explains in detail that the university cannot remain a charity or service organization. This has contributed to the

polarization of the ICE support office and the campuses. The draft policy (and others which should support this policy such as risk management, codes of conduct etc), will not be acceptable and therefor finalised, unless conceptual clarity is obtained across the board.

“...there is a lack of a comprehensive, integrated and user friendly Database to record projects.”

Amplification and note from NWU-ICE:

This lack of a database, in addition to the conceptualization of CE, is the root cause of the uncertainty and frustration at all management, implementation, and execution levels. We manage what we can measure, and structured data will inform management. In 2007/2008 a 68-page table of ‘implementation of expertise projects’ were recorded. This table included reports on staff volunteer projects, research, service projects, advice, and the external sharing of expertise. The various categories of CE were selected from this table during the compilation of the 2010/2011 CE pamphlets when project leaders were contacted and interviewed by Rev Jaftha for additional information. The follow-up of the projects were done telephonically in 2012 and the list was updated. However, this is not an integrated or comprehensive list, given restricted resource and time constraints.

The need for a database programme has been a challenge due to the lack of funding and the long waiting list at NWU-IT for assistance relating to IT matters. Meetings by NWU-ICE with Gernia van Niekerk at the University of Pretoria took place in 2011, as well as with the late Simon Goldrick who was also a potential contractor at that time. The estimated cost for the UP Database was R2 million which NWU-CI could not afford. The last meeting with the Goldrick family was on 24/04/2012 after his untimely passing. The Pretoria connection was followed-up once more with further discussions in 2013. The vice-rector teaching/learning of the NWU-PC and other NWU personnel attended a demonstration at UP. The UP vice-chancellor, Prof la Rey, in-principle approved making this database available to other universities in SA. Internal discussions at UP scuppered the release of this database. In our investigation, Prof George de Lange from NMMU offered to share the specifications of NMMU’s database with NWU-CE. His communication was shared with all the vice

rectors of the NWU in 2013. The evaluation of the NMMU database has not been completed and a demonstration will be requested during the envisaged site visit.

On 12 March 2014, UP announced at the SAHECEF board meeting in Pretoria, that the university has released the consulting company (Psybergate) to share the database programme with other South African universities, without the development cost, which reportedly now is approximately R5 million.

To date, two options have been followed up by NWU-ICE. We are awaiting a time for meeting with Hendriette Crawford of Psybergate. The alternative is to develop an own database programme with the assistance of the NWU-Vaal' Coachlab student programme and we have met with Johann Landsberg to discuss this collaboration.

4.2. Current management of CE on the NWU-PC

"...CE is mostly the responsibility of the Vice-Rector Teaching-learning with an emphasis on WIL and service-learning, while the vice-rector research has an 'unofficial' CE reporting line. The Dean of students has the line of responsibility, but the student volunteer projects (SJDG) are executed under the auspices of the campus student council and in addition to this is a registered NGO and legal entity."

Note from NWU-ICE: The allocation of duties at top management level is insufficient due to the conceptualization challenge which lends itself to the division of duties into three categories, rather than the two main, core-business activities. There is an overlap between the two categories of duties, which could be considered as fragmentation, thereby contributing to tensions. If CE is accepted as a cross-cutting and fully-integrated activity of the university similar to the concept of quality, the causes for tension will reduce.

Factors possibly contributing to fragmentation and lack of communication are that historically all ICE reporting has been via the institutional research support reporting structures. Reporting against the institutional plan targets and general CE progress reports are provided via the biannual meetings with the vice-rectors research and the Institutional Committee on Research and Innovation (ICRI). Further

communication occurs formally via two open agenda meetings with the Rectors of each campus.

Although the need for expansion of the service-learning/WIL components for CE has been flagged as early as 2008, other priorities have prevailed.

Amplification: It is also true that only the NWU-PC has a division of the T/L and research innovation duties at vice-rector level.

NWU-ICE note: In general, vice-rectors are tasked with many other responsibilities and, CE, as a third rubric, seems to be experienced as cumbersome or belabouring. The abolition of reports from ICE at NWU-PC management meetings in 2010 may have contributed to communication issues. Even though all reports are provided via ICRI to senate and institutional management meetings, it does not include teaching/learning CE aspects such as service-learning and as an oversight the Vice –rector currently responsible for CE has not been invited to attend the reserach meetings. This oversight is a classic example of how practices have developed over time as a ‘portrait of practice’ that requires attention, Favish (2010).

“...lack of synergy with marketing and fundraising.

Amplification and note from NWU-ICE: The lack of synergy does not only exist with ICE but is problematic with regards to other NWU activities. The issue is currently receiving attention via the processes that are now being implemented for a shared customer relations management and fundraising system by the advancement projects evaluation committee (APEC) and the office of the Institutional Executive Director Marketing and Communication. ICE is collaborating via the APEC.

4.3. The attitudes of personnel on NWU-PC campus

...”Mixed feelings, frustration with regards to the lack of policy documents, lack of communication and appreciation of the initiative launched by campus management.”

Note from NWU-ICE: The “draft “policy was written by Prof Annette Combrink for the HEQC audit in 2009 and the extracted comment on CE was as follows:

“Recommendation 18: The HEQC recommends that North-West University develop an overall strategy, plan and procedures to fully realise the potential of its view of community engagement.”

Subsequently, the CE strategy was developed and formally accepted in 29 September 2011 by IM. According to the institutional records management office, the draft policy for CE was never formally accepted as a final policy, even though in many people’s minds it had been finalised.

NWU-ICE concern: The recent re-circulation of this draft policy in November 2013 and request for comments on this policy for finalization has not elicited any responses at all.

NWU-ICE concern: The lack of understanding of the both the strategy and the integration of CE into core business activities and misunderstanding with regards to the ‘draft policy’ is clear from the Jaftha Report.

Amplification: The value of the current process implemented by NWU-PC is also appreciated by NWU-ICE and its commitment to improve institutionalization and integration of CE is already experienced.

NWU-ICE note: Although this concern should receive urgent attention it can only be resolved through a shared understanding of the conceptualization of CE at the NWU.

Amplification and note from NWU-ICE: The recommendation made by the Jaftha Report on improving communication via newsletters, more comprehensive reporting and an annual DVD is welcomed, but needs to be budgeted for. Most communication is currently channelled to campuses via the line managers who attend the meetings and electronic notifications are send to the vice -rectors. This could be addressed

through an electronic newsletter but has resource implications unless it is included in the current research newsletter. It is not clear if a similar newsletter exists for teaching-learning. The newsletter from the IQO is not being distributed regularly anymore.

4.4. & 4.5. Evaluation and recognition and frustration

“..The 50/50 distribution of duties within the core functions of the NWU is recognised and accepted but the integration and evaluation of CE is not clear.”

Concern from NWU-ICE: The issue of the integration of CE into core activities is pertinent and such must be emphasized. As stated earlier, CE should not be an add-on, but integrated into research and T/L activities. The incumbents should be able illustrate how their community-based research interaction/ involvement informs the renewal of their curriculum and the quality of their teaching and finally graduate attributes. Hoppers (2012) refers to intellectuals who constantly rethink, recreate and re-imagine and self –interrogate and that the university should forge a different kind of social contract.

Amplification: Frustration of personnel in how CE is evaluated by their managers is well-founded, as CE has never been integrated into the task agreements in a clearly defined way. The way CE informs the career advancement opportunities is not captured clearly.

Note from NWU-ICE: The quality document on CE does recommend questions that must be asked in order to evaluate contributions and integration of CE into core business activities.

Additionally the policy on recognition of excellence in CE is very clear in that personnel must be nominated for awards by peers and supported with recommendations from the Dean and the campus management. All previous recommendations received via the offices of the vice-rectors were accepted and received awards in the past.

RECOMMENDATIONS IN THE JAFTHA REPORT.

In the light of parity, all the recommendations made by the Jaftha Report should be applicable at all NWU campuses and is discussed below with

amplifications, concerns, notes requiring clarifications and NWU-ICE notes on elements concerning all campuses.

Section 1. (Paragraphs 5.1.-5.6 of the Jaftha Report) Structuring of a Management Model

NWU-ICE note: The recommendations are based on the notion that CE is an additional task that should be managed separately, rather than an integrated requirement forming part of core business activities. This argument is informed by the current gap regarding collated and up-to-date information relating to CE activities on the NWU-PC and the coordination thereof.

The placement of CE within the management structure of the NWU corresponds with a matrix approach which integrates CE as part of core business and therefor makes all managers accountable for CE.

Please see the excerpt from the institutional strategy for research, innovation and community engagement as submitted to ICRI in April 2012.

“Implementation of expertise

1.1.1 Management Structure

In Figure 2 the NWU structure for the management of implementation of expertise is depicted. The alignment of implementation of expertise and core business is indicated. The management structure should be read in conjunction with Figure 3, which further explains the alignment of implementation of expertise with core business.

1.1.1 Aligning Implementation of Expertise with Core Business

The management structure for the management of Implementation of Expertise is depicted in Figure 2. **It is intended to ensure maximal alignment of Implementation of Expertise activities with the core business of the University, in a manner which both strengthens and protects its core business.**

As part of the NWU’s quest to develop into a university where teaching/learning and research are balanced, the University is focusing on strategies and plans to retain (and improve) its standing regarding tuition-learning, while at the same time increasing the impact, efficiency and quality of its research activities. **The implementation of expertise (including community engagement) is considered to form an integral part of the core activities.**

The NWU strategy allows varying approaches and strategies/niches as outlined in the Institutional and Campus Plans on the different campuses and faculties, depending on the phase of growth in which a particular campus (or faculty) may be, in order to ultimately achieve the same goal. With the adoption and gradual expansion of non-traditional activities of the universities, which include an

extended involvement of society, industry and other organisations, the focus on implementation of expertise and community engagement activities has increased. The strategic intent is to create a management environment which allows the implementation of expertise to be aligned with and to support teaching/learning, community engagement and research. The intent is to develop sustainable quadruple-helix trans-disciplinary programmes across the innovation value chain at the NWU and collaborating institutions. As a point of departure, existing research entities will be used. In special cases, separate structures are needed, which are again aligned with the management model and strategic priorities of the NWU.

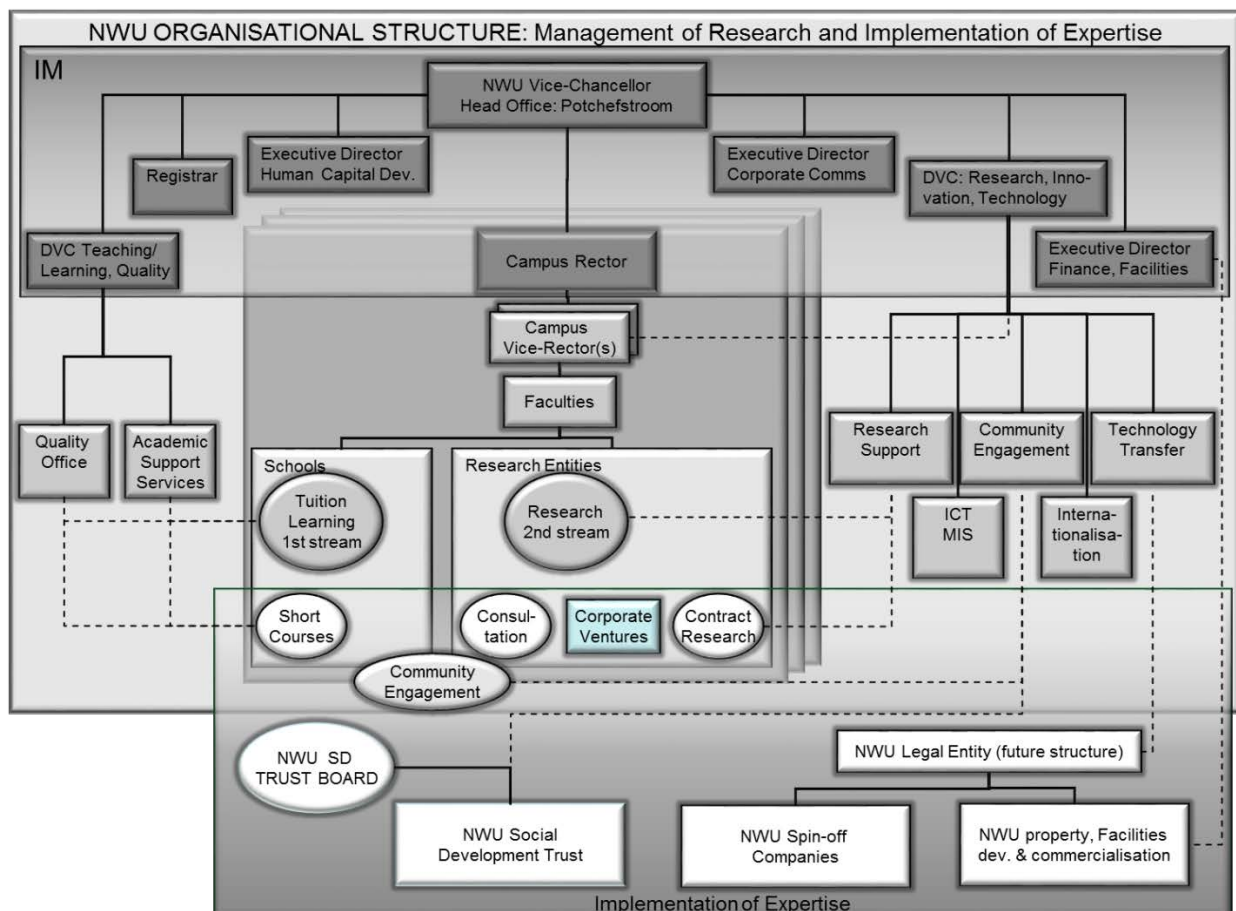


Figure 1 Management structure: Research and implementation of expertise

Due to the changing nature of the knowledge economy and changing stakeholder expectations and financial constraints, the NWU, like other universities, finds it increasingly difficult to attract the best knowledge workers. It has therefore become a key success factor for universities to create an environment where the best knowledge workers can build prosperous careers. It is possible for universities, being traditional institutions and operating at the transition between deep knowledge generation in an academic environment and the cutting edge of innovation, to create fulfilling career paths. The alignment and transparent management of activities related to Implementation of Expertise allow a more flexible environment within which fulfilling academic careers can be built in an environment where staff can apply their expertise in a mutually beneficial manner.

The functions in Figure 3 are described in *Implementation of Expertise and Commercialisation at the NWU, 2008*.

Quality Provisions for Implementation of Expertise

Quality provisions are described only for those activities linked to core business: The research component of activities linked to research entities, such as consultation, projects, contract research, corporate ventures, associated subsidiary companies and technology licensing, i.e. all research/innovation activities reported under the name of the NWU and in which NWU staff members participate, have to adhere to the quality provisions listed in 7.5 For all other activities, such as process-related activities in ICVs, appropriate quality provisions have to be stipulated. The relevant line manager oversees development and/or application of such quality provisions.

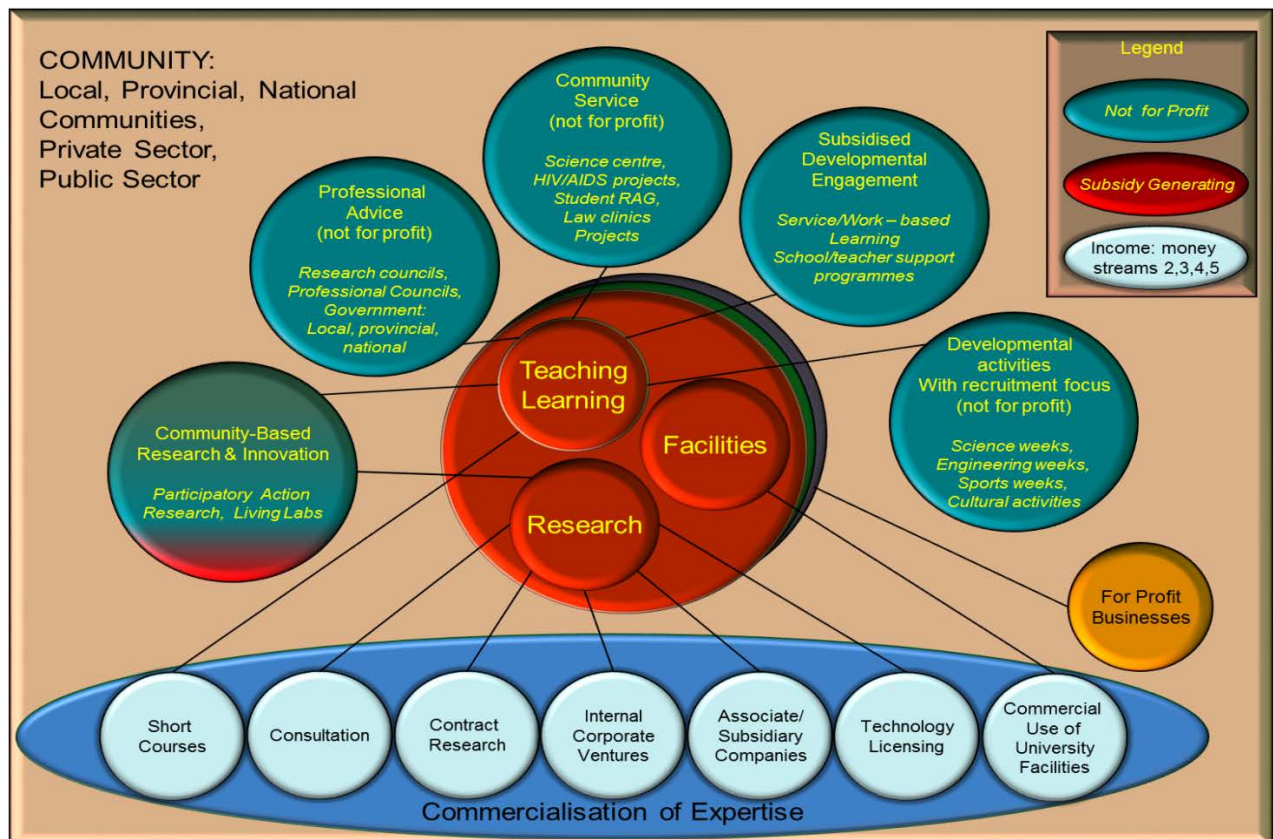


Figure 2 Implementation of expertise categories and alignment with core business

The accepted strategy indicates alignment with core business so that CE is a shared responsibility of the vice-rectors on the NWU-PC and the supporting managers.

Concern: The recommendations from the Jaftha Report is seems to be based on the perceived need to highlight what is viewed as an additional burden rather than an aspect of quality execution of core business activities.

NWU-ICE note: In the light of the extensive constraints on the NWU budget, the implementation of a separate CE office is not a viable option even if rolled-out over a period of five years.

This does not mean that as part of core-business that more structured reporting on CE activities should not be implemented and reported at faculty level and this could and should be supported by an institutional Database. An extensive quality manual exists with the NWU-ICE portfolio which was noted as commendable in the Soft Review of 2013.

**Comments on Section 2. (Paragraphs 5.7-5.9 of the Jaftha Report).
Holistic integration of CE at the NWU-PC**

Generally, the recommendations 5.7 – 5.9 from the Jaftha Report is strongly supported.

Amplification: 2.1 That focussed strategies to ensure CE as part of core business is needed and supported at both T/L and research levels. This should be a required aspect of campus planning processes at all levels.

Concern NWU-ICE: The prominence for CE in formal institutional and campus T/L and research reporting structures is not what it should be.

Amplification: 2.2 The structured reporting and accountability of all academic staff through task agreements, the management thereof and the subsequent recognition and promotion criteria should be collated across the board for all NWU campuses just as any other core business activities.

Concern: That current performance management documents are not standardised to provide evaluation of CE activities for recognition and promotion purposes.

Amplification: 2.3 Provision should be made for coordination of fundraising at campus level and institutional level

Note: This concern may currently be addressed via the institutional APEC but should be communicated as part of a policy which does not exist.

Challenges in finding appropriate sponsors could be simplified by the suggested thematic service delivery platforms and flagship projects as suggested by Jaftha. (A similar suggestion was provided to the NWU-PC Rectorate in discussion in 2010.)

Amplification: 2.4 Pro-active communication through the use of regular electronic newsletters will be facilitated via the database.

Concern: Lack of resources will be challenging, but the integration into core-business can alleviate this as many channels of communication already exist.

Amplification: 2.5 International, national and regional relationships should be handled via a shared customer relations management system.

Note: This is a NWU-wide need which does not only concern CE activities, but CRM in general. The handling of international relations by a separate office at NWU-PC will complicate coordination efforts for the NWU as a whole and may place campuses at cross-purposes.

Amplification 2.6: Strategies for alignment of all volunteer activities are needed including that of students as well as support personnel, which is currently very fragmented.

Concern: Whereas student volunteerism is widely accepted on the NWU-PC, it may not be the case for other NWU campuses.

Note: The inclusion of support personnel should be promoted and included into 'implementation of expertise' activities and task agreements and would require the buy-in from HR. The institutional well-ness office executes and manages several activities which can be included into volunteer activities. A concern is that often external consultants are contracted to fulfil this need whereas internal volunteers could be a useful resource.

Amplification 2.7: The role of combined multi-disciplinary implementation opportunities cannot be over emphasized. All the suggestions with regards to flagships and service delivery platforms with specific themes that are aligned with core-business and the possible themes is logical and necessary and need to be formalised in campus strategic documents.

Concern: The centralized recording of base-line data that can facilitate impact measurement do not exist.

Note: Several workshops on impact measurement were facilitated in 2010 and 2011, but were only attended by interested implementers of CE projects at faculty level. Few managers paid attention to these workshops.

The identified two service delivery platforms (Legal clinic and SJGD) at NWU-PC are well-established, but currently lack scholarly outputs. A possible support solution could be a collaborative study with Hendri Coetzee from ICE.

**Section 3. (Paragraphs 5.10-5.12 of the Jaftha Report).
Communication, introduction, awards and recognition of personnel
and partners.**

“Communication”

Amplification: The need of more structured communication is recognised and there are some comments to this extend in the above document already.

Note: The existing campus and IO communication infrastructure should include “implementation of expertise” as part of regular communication with a separate heading as it does not currently incorporated in all communication.

Note from NWU-ICE: The update of the website has been delayed for a variety of reasons including the lack of a Database and resources. The training Mr. Rudi van der Merwe at IO for the use of the current website infrastructure has taken pace in early March 2014 after appointment of an IO website manager. The compulsory registration of projects on the Database will facilitate existing communication resources to contact and follow-up on CE related news.

The publication of an IO report and CE pamphlets has been delayed since 2011 mainly due to a lack of finance. This should be included in the budget planning in collaboration with the marketing and communication departments. Availing such information on a DVD should be standard practise.

“Introduction or overview”

Amplification: The introduction of CE as part of core business, via the implementation of expertise, should form part of the general introduction of new appointments and clearly indicated in the evaluation of outputs of personnel.

Amplification: A university wide project is needed to fast-track the conceptualization of CE and the integration into core-business across the NWU. This can be followed up with annual symposia which should in the longer term, move beyond “show and tell” presentations to quality, scholarly outputs contributing to annual marketing material and government subsidy.

“Celebrating successes in CE for personnel and CE partners”

Amplification: Recognition should not only be for internal participants, but include partners in the community for co-contributions.

Note: This practise does not currently exist but would be very valuable for the NWU’s profile. The lack of a shared database do complicate the management of formal agreements and subsequent recognition of CE partners. The current ‘recognition of prominent alumni’ awards may consider expanding this award function to recognise community and internal volunteer contributions.

Ideally the T/L and research prestige awards should make provision for the inclusion of CE into its criteria rather than separate CE awards. However, under current circumstances and in order to stimulate the inclusion of CE, the vice-chancellor’s award for recognition of excellence in CE exists. Please refer to paragraph 4.4 for further comments.

Note from NWU-ICE: There is value in the recommendations of re-thinking the nature of this award and creating better incentives. If the campus wishes to create a rectors award for CE, this award aspect should be integrated into awards for T/L and research excellence and volunteerism.

Promotion criteria should clearly indicate a requirement for outputs and excellence in CE related activities in both research and T/L. HR

was requested to assist in this regard in beginning of 2013. However, the parity of post levels project received priority or this request.

Section 4. Establishment of a Community Engagement/ Outreach Centre

Amplification: A separate one stop venue where partners can get access to NWU expertise may provide the opportunity for the NWU-PC to be perceived as providing services to its grassroots communities.

Concern from NWU-ICE: This should not be only an opportunity for this campus. In the light of existing management model of the NWU, by implication would require three such centres. The pros and cons of such centres should be considered at institutional management level.

Note: It should be noted that land was made available for a resource centre in Ikageng in 2010 which could address this need. The Resourcing SA concept should also be investigated as a possible option and funding partner.

CONCLUSIONS

Although a number of shortcomings in the report were detected, there are many valuable messages.

We note that the Jaftha Report, although listing relevant NWU-ICE documents, seems not to address, integrate, or comment on pertinent issues within these documents and resources that would have strengthened it.

We also do not understand how the questionnaire results led to the conclusions derived in 4.2, 4.3, 4.4, and 4.5 as no data were supplied. The questionnaire, we feel, was also not structured properly. Many of the questions had quantitative elements but there seems to have been no effort in reporting data and percentages from questions such as 3, 4, 6, 8, 18, 21, 22, etc. We also feel that some questions may have been biased: terms such as “frustrasie, struikelblokke, ontbrekende skakel”, can be considered as biased, and there were few positive (such as 30) or non-leading questions that would have balanced this. Based on the results of the interviews, the reports makes quite a number of far-

reaching and expensive recommendations, but the proper substantiation from fact remains missing.

Finally, only question 37 specifically referred to NWU-ICE policy, although the report does express itself extensively on the inter-institutional arrangements.

RECOMMENDATIONS

It is proposed that CE is viewed as follows:- ‘Applied research such as action research and community based research should inform the curriculum, which in turn utilises tools such as ‘service learning’ among others to ensure that envisaged student attributes are imbedded and quality learning occurs.’ This view is also strongly supported in CE literature such as that of Carolissen (2013), Lange (2012), Hall (2010) and Favish (2010) and Holland (2005). It is however cautioned by De Lange (2012) that a balance should be maintained between engaged and non-engaged activities such basic and ‘blue sky’ research. This should be seen as a dynamic process that must be interrogated on a regular basis at all levels of an academic institution.

As stated before, the findings of this report supplements many of the findings reported as goals and priorities that require attention from the Soft Review by Jacobz et al (2013).

The following actions are suggested remedies to address the immediate needs as identified in the Jaftha report and can be included the institutional improvement plan for CE. This improvement plan must be supported by all the management committees of the NWU campuses. Actions to be included are:

- That the study is expanded as a priority to the other two NWU campuses and Rev. Jaftha is included to assist with the investigation.
- This becomes a scientific study where actions/ remedies are prioritized against the recommendations of the Soft Review.
- The visit to NMMU is finalised and a final written report is compiled on all the findings by the end of May 2014.

- That a workshop for the contextualization and conceptualisation CE is conducted by end of July of 2014. The proceedings of this workshop should inform the new vision and mission of the NWU as a whole, the institutional plan and campus plans for 2015.
- That the integration of CE into core-activities is fast-tracked as a priority. (The question remains if the NWU-PC wants to be seen to do 'community service' or 'community engagement' or both and how we are addressing the expectations of the HEQC and DHET as the NWU. These aspects should be included in the abovementioned workshop.)
- That CE should be a standing agenda item at both institutional committees and the NWU ICE director becomes a member of the ICTL.
- That a CE policy and other related policies and codes of conduct should be finalised and updated in collaboration with a subcommittee from ICRI and ICTL.
- That the budgeting process in 2014 includes provisions for supporting activities such as communication, annual symposia and recognition of excellence in CE in 2015.
- That empirical research publications on the scholarly 'practice of engagement' to enhance the curriculum is emphasised and optimised through establishment of expert panels.
- That recognition and promotion criteria for CE is clarified and implemented.
- Immediate improvement of community on CE activities through utilization of existing channels in collaboration with all relevant parties.
- Expansion and communication of collaboration with all advancement and fundraising and CRM systems.
- That where possible, more NWU personnel are consulted and that the NWU-PC also includes the Wellington-campus in this follow-up study.

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Annexure C



NORTH-WEST UNIVERSITY[®]
YUNIBESITHI YA BOKONE-BOPHIRIMA
NOORDWES-UNIVERSITEIT

ICRI COMMUNITY ENGAGEMENT REPORT APRIL - SEPTEMBER 2014

Compiled by B. Bouwman.

Community Engagement and Sustainability

1. Strategy and policy

Currently Community engagement (CE) is defined as those activities, performed by the staff and students of the university, primarily aimed at assisting (needy sectors of) society but not exclusively these sectors and / or individuals in need of assistance or engagement. The primary aim is development, support and sustainable development of society.

As reported in previous meetings the vice-rectors from the three campuses tasked with CE, visited Nelson Mandel Metropolitan University (NMMU) on 9 June 2014 several similarities were found with implementation of expertise approach that NWU has and that of NMMU. What was clear from their approach, was the big influence that context has on how they view engagement which includes both community and private sector partnerships. In reflection of this visit and the ensuing discussions it was agreed by the team that we could not follow this model for the NWU. The panel of vice-rectors requested the compilation of a vision and mission and strategy with specific goals to use for the planning of the NWU re-visioning process (Bosberaad). Two documents were prepared to inform the thinking at the Bosberaad:

(1) for CE and

(2) for integrated reporting.

Currently the process for visioning for NWU and also CE is following a different approach. The core operational principles as suggested are attached in Annexures 1 and 3.

A soft review was conducted by the NWU Institutional Quality Assurance Office, with the assistance of Prof George de Lange from NMMU as external panellist. The findings and recommendations in this report highlighted pertinent issues that needed addressing particularly with regards to role clarification and communication between campuses and the CE office, the need for a data base and finalization of the CE and service –learning policy. As part of the improvement plan for this audit, several actions was suggest which are being executed and at various stages in progress. Annexure 2 contains the improvement plan which was shared with the vice-rectors handling CE.

1.1 Links with the Institutional Committee for Teaching-Learning (ICTL)

The inclusion of the director of CE in the activities of Institutional Committee for Teaching and Learning and closer collaboration to fast-track the finalization of the work-integrated-learning policy and service learning is a recommendation from the soft review is slowly being implemented. The draft documents pertaining to the WIL policy has been provided to the CE office. The adoption of the newly proposed teaching/learning strategy is in process and under consideration in senate. The structure of reporting and management will require inputs from both the Institutional Committee for research and innovation (ICRI) as well as ICTL. We have been approached by VUT, CUT and UFS to participate in a central service-learning working group in order to share good practices and do capacity building. Academics who wish to contribute or participate can obtain further information via the CE Office or by registering at www.sahecef.ac.za.

2. Partnerships

Multiple meetings with several external parties took place in this period and several campus partners were invited to participate. These included:

- Khaya engineering, collaboration for 'distressed mining communities' a project with the technology transfer office. MOU signed. Projects are still under development as potential synergies have been identified.
- Elshadai Healing with Horses- referred to campus and external partners.
- Dr JF (from university of Tasmania) on a governance course for universities, this was not a viable option.
- Malusi Youth Environmental Service Project in Tlokwe was referred to collaborate with Karen Puren on the Local Space Global place project, with learnerships in environmental management .
- Bana ba Kae and IDUC to assist rape victims and influence behaviour among men, also partnering with the Touch Africa Initiative.
- We participated in two projects of Anglo Gold Ashanti namely City of Matlosana Enterprise Development Centre of which Mrs Bouwman is a member of the interim steering committee and a member of the Wes Wits Agricultural Projects in Carltonville. This partnership will require agricultural expertise in the long term and stakeholders at our campuses will be invited to next meetings.
- *NWP Corporate Social Investment (CSI) Forum*-we participated in one meeting which organised by the Department of Labour. A new proposal is under development for Youth development- basic life skills and personal development and entrepreneurship. Funding will be sourced from several of the CSI managers within this forum. The next meeting will be hosted by the NWU and we plan to invite all interested internal parties to attend in order to facilitate partnerships with the forum's members. Hendri Coetzee was requested to submit a proposal for a study in collaboration with Anne Trussler for the Rustenburg mining groups and local businesses.
- Potch/Tlokwe Business Chamber- the manager of their community development projects collaborated with the NWU CE office and other NWU partners on 'Oaklane for IDUC' fundraising project. Discussions with regards to the tourism, culture and sports subcommittee have led to the request to get a campus sports representative on their subcommittee. Issues also under discussion are a moral regeneration project, job creation projects and green initiatives for example a cycle to work day in Potchefstroom. Dr Coetzee will also facilitate a study at Hebron outside

Potchefstroom on behalf of the business chamber to establish a way forward and potential structured collaboration.

- Planning meetings for the development of a skills development course for the NGO's of the Forum for Continuous Community Development (FCCD) were held with several NGO stakeholders and academics that will develop the content of the course. All FCCD partners have been organised into committees according to themes and each district have formed their own forum under leadership of Mr Johannes Kwena from the CE office. A funding proposal was submitted to the Motsepe Foundation for training and skills development for NGO's. This training will include honing the skills of NGO's in administration, financial management, proposal writing and strategic planning. The forum representative Mr Jerry Serralo is leading this initiative. The provincial government has also request a submission for a similar funding proposal. No feedback was received on a similar proposal submitted in 2013 to NDA.
- Dr Hendri Coetzee joined two co-workers Prof Stefan Siebert and Dr Rialet Pieters, from environmental sciences on a trip to Kimberley to meet with SANPARKS and SION to discuss a new transdisciplinary project that they plan to launch in Mokala National Park in 2015.
- We and the technology transfer team met with MMC. Ina Stoltz from Tlokwe Municipality to discussed ways to improve the relationship between NWU and the municipality especially with regards to community development and green initiatives. A follow-up meeting will be organised to include the campus management.
- Thembalethu Development NPA has requested assistance from the Vaal campus with Agricultural tunnels and growing of vegetables. Relevant experts at the NWU will be invited to attend and assist with this project from all campuses.
- Food and Trees for Africa has initiated discussions for a possible MOU to collaborate on several agric-projects and they are willing to provide internships for students at some of their existing projects.

3. Training and workshops and conferences

- Dr Coetzee attended the IST Africa Conference in Mauritius 3-5 May, which included a Living Labs (LLs) pre-conference workshop. During the conference he met various new people which led to the development of two new research projects. The first involves the development of an environmental orientation application called Our Environment. This application will be availed to our campuses for use in orientation of new students on campus-a project that he is doing in partnership with Dr Laurie Butgereit from the CSIR and NMMU. IT and campus stakeholders will be consulted. The second project involves the development of tools that can be used to monitor and evaluate the impact of LLs in Tanzania and South Africa. We recently received a contract from the CSIR's Meraka Institute to re-evaluate the LLs in South Africa (as a follow-up of work that he did for them in 2010) and was recently invited back to Tanzania by Mr Simon Flamand, the national coordinator of the Living Labs in Tanzania, to help evaluate the LLs in Tanzania and Zanzibar. This is planned for September/October.

- Dr Coetzee attended a LLiSA (Living Labs in Southern Africa) board meeting in Pretoria and a workshop as part of a project that we (with Prof Nico Smit and his water research group) completed last year in Phongola (KZN) where they looked at people's interactions with fish and well-being
- The RPL/WIL workshop was attended to discuss the elements of service-learning in the teaching /learning strategy.
- A SAHECEF seminar 4: White Paper For Post-School Education, The National Development Plan Vision 2030, and The Future of University Community Engagement held at University of the Western Cape, Cape Town was attended by Dr Thami Sitebe and Dr Hendri Coetzee and Mrs .Bouwman, 3-4 April 2014
- Rhodes University organized a Round Table for Community Engagement, 11th – Friday 13th June. Two international speakers attended namely Nieves Tapia and Barbara Holland.
- Dr Hendri Coetzee presented training lectures to student volunteers at PUK radio on how to enter into a community, conducting a participatory asset based- needs assessments and ensure buying in and ownership of by external community partners. A similar lecture was provided to the second year students of Karen Puren for the 'Local space to global place' town planning project.
- Mrs Bouwman presented a paper at the CE round table on Engaged research of the VUT on 23 June titled: "Community engagement- how third is your third responsibility".
- Mrs Bouwman was part of a double blind peer review of a book that will be published by Sun Media Bloemfontein on 'Knowledge Enablement'. This book is written for academics and students collaborating with NGO's or the so-called third sector and focusses on how to facilitate collaborative knowledge generation and will be released soon.

4. Awards

Each year since 2011, the NWU has recognised outstanding achievements in community engagement through the annual Vice-Chancellor's Awards for Excellence in Community Engagement. In 2013, awards were presented to five recipients the call for 2014, was circulated with the call for research related awards. Calls for proposals were sent to all campuses and posted on the electronic newsletters including the research support newsletter. Due to a lack of submissions the due date for submissions for CE projects was postponed and currently six submissions are being considered by the vice-rectors in collaboration with the CE support office. Suggested criteria for evaluation aligned with the policy for the awards are attached in annexure 4.

All awards are endorsed by the Deans of Faculties and Campus management according to the rules for recognition of excellence in CE and all endorsed recommendations are accepted for awards.

5. South African Higher Education Community Engagement Forum (SAHECEF)

- Director CE is the NWU's representative on the board of SAHECEF and a member of the executive committee, handling marketing and communication.
- The SAHECEF Exco meeting was held in Grahamstown on the 10th June 2013.
- Advocacy visits were paid to the DHET, NRF and HESA to advance the support from these structures to CE and to influence policy relating to the funding of service-learning by DHET.
- SAHECEF has obtained funding from NRF for hosting a symposium 30 November -2 December 2014; in which the NRF funded CE projects will be showcased, in conjunction with the Talloires network's next university leaders conference (TNLC) which is scheduled to take place 2-4 Dec. 2014 in Stellenbosch. Final announcements will follow shortly. TNLC will convene leaders of universities from around the world to chart the next stage of the global movement of higher education civic engagement and social responsibility. All heads of Talloires Network member universities or their delegates are invited to attend the conference.
- Mandela Day activities of the various universities were posted on the website. NWU was involved with a variety of projects from each of the campuses. These included amongst others the Mandela online game from the Vaal campus and the involvement of the Faculty of Education of the Potchefstroom Campus with the "Local space to global space (LSGS)" project of Karen Puren of a park in Ikageng and a Bult clean-up initiative. A variety of charitable donations were given to the less privileged by NWU personnel and students as part of their Mandela day contributions from all campuses.
- The SAHECEF Engaged Teaching and Learning Working Group - Central region which includes VUT, CUT and OFS requested the participation of team members from our institution, you are still welcome to do so. The first task at hand is to generate some ideas regarding an intended survey of Engaged Teaching and Learning 1) best practices and 2) capacity building needs at HE institutions. Do you have knowledge of a survey such as this / in a related area? Please contact us.

6. NWU Community Development Trust

- The last board of Trustees meeting was held 10 September 2013.
- The name of the trust has been registered as the NWU Community Development Trust, it was previously known as the NWU Social Development Trust.
- Ms Lydia Mokgatle has been appointed as the campus representative in the place of Prof Piet Prinsloo for the Vaaltriangle Campus and Prof Lumkile Lalendle with replace Ms Connie Bogatsu Legodi from October 2014.
- An audit was completed on the income of the Trust by Philips Miller Inc, the final reports are available upon request. The total year on year amount of donations and interest received was R444 930.00 in 2013. Expenses in projects amounted to R434 433 which provided a marginal surplus of R10 497. The purpose of the Trust is to invest in sustainable projects and not to make a profit. Surplus funds will be used to grow the fund for similar projects. In 2014 there has been a rise in BBBEE scorecard donations and CE contracts that are supported via NWU CDT and to date R800 628.27 has been received for the projects supported by the trust. Most of this funding has been allocated to projects as part of operational costs.

- In addition, Dr Hendri Coetzee has conducted research projects to supplement the income of the Trust. These included
 - A project that we conducted for Lafarge which involved a documentation and analysis of their CSI programmes in the Bodibe community (near Mafikeng).
 - A large, two month project for Sun City where we looked at needs, assets and the wellbeing of three communities (Ledig, Chaneng and Mabele a Podi Village) in the Rustenburg area. This led to the identification of further projects and research opportunities for Sun City and maybe for Sun International as a whole.
 - Ms Elmari Venter from the NWU (Faculty of Education) was assisted with the collection of data for her PhD study at 40 schools in the NWP.
 - Hendri is available to assist with all CE related research projects that require the expertise from social development and impact assessment angle.

- Currently Mosaic SA has a MOA with the trust as a partner of the NWU and Mr Meyer Conradie, is registered as a trustee. Mosaic is viewed as a social enterprise of the NWU CDT. They have built 22 houses for families that take care of Aids affected orphans. The support programmes provided in collaboration with the NWU and other NGO's, German Volunteers and community members include after school programmes, parent support and training and sporting activities for the children. They also run two BBBEE enterprises and have a scorecard rating of 3. The companies are "Made by Mosaic" and Mosaic Building contractors. They are selling their baked products (also in PicknPay), leather handbags and knitwear to NWU personnel and this is displayed at the Institutional office as potential corporate gifts. Orders can be placed and paid via Oracle. Recent developments include the expansion of the 'Made by Mosaic' kitchen, a partnership with Natures Finest, the roll-out of project to the Western Cape in collaboration with the Rupert Foundation and a partnership for the establishment of a private Christian School (Naledi) in Ikageng. The NWU governance role will be expanded within Mosaic.
- The X2O programme was delivered in Ikageng and has been able to secure approximately R500k for Socio-economic development and Enterprise Development from BBBEE scorecard contributors. The trust administered the funds for a 12% fee. Due to changes within the organization a request for renegotiation of the MOU with the NWU CDT was preceded by a due diligence. This report will be finalised by mid-September 2014.
- The Dr Kenneth Kaunda Resource Centre is a virtual empowerment centre which is also a NWU CDT project. A learnership training programme was negotiated with the Culture, Arts, Tourism, Hospitality Sports Sectoral Education and Training Association (CATHSSETA) and the district municipality to train 16 unemployed youth as sports administrators. The NWU HPI and Dr Kenneth Kaunda District's Department of Basic training assist as host employers and an accredited service provider namely the Education and Training Association (ETA) do the training. Another initiative also funded by CATHSETA was rolled out for training of 13 employed learners in the food and beverage sector, with partnerships in the Tlokwe municipality. The accredited service provider is Tswelopele Hospitality Academy. Both of these learnership projects commenced on 30 September 2013 and end in October 2014. The next tranche of payments will be received after an inspection from

CATHSETA. The total contract amounts to R917K. The NWU CDT has a governance role and support role and will earn 10% of the contract fee for services provided.

- The process of facilitating the building of a house for Mrs Sannah Makhoang in Wolmaransstad was completed and the donation of the house took place on 10 February 2014. There are still some outstanding tasks which are being attended to with the assistance of CE and this will hopefully be concluded with the next month.

7. Environmental Sustainability

The institutional green campus committee (IGCC) consists of members from each campus that act as coordinators for green campus initiatives, the Centre for Environmental management, the institutional infrastructure and planning department, health and safety and staff wellness.

- The “Find-a lift” initiative was initiated by the Potchefstroom campus in order to reduce our carbon footprint. The purpose of this initiative is to provide a platform for staff and students to have safe portal where they can arrange to share travel arrangements in order to save costs. The company will provide data on carbon footprint savings. This cost was covered by the NWU IO.
- R300 000 was invested per campus to execute recycling programs and electricity saving campaigns with the student residences competing for prizes as incentives to stimulate awareness. The information pertaining to savings of the 2014 competition has not been released yet.
- Several voluntary activities were organized by the campuses in collaboration with the students these included an Earth hour event at the Vaal campus with students pledging to save energy at the residences. A cleaning-up activity in Sebokeng and post- elections clean-up at a local school. The Faculty of education at the Potchefstroom campus also participated in the electricity savings competition as a building and we are awaiting the report of the savings in this round.
- The rectifications of the Environmental Legal Compliance Audit (ELCA). Every Campus is responsible for the implementation and rectifications of the ELCA. Discussion of the report on compliance and problem solving is handled in collaboration with the Centre for Environmental Management. Each campus has to drive its own initiative. Checklists of procedures and guideline are to be introduced. The GCI committee has taken note of some of the leading examples at the university and are using good practices as a benchmark. The Health and Safety officers at Potchefstroom campus have started checking up on overlapping compliance issues.
- Stewart Pickett and Rudolph Burger.
- The IO infrastructure development department is in process to install water monitoring meters to enable them to determine the water consumption more accurately.
- Members of the IGCC attended the Green Innovation and Sustainability Week at the CSIR 17-19 June.
- Mrs Bouwman attended the ASSAF meeting on Environmental Sustainability for SADC universities. A copy of their report titled: “Climate change counts- Strengthening university contributions to climate compatible development in Southern Africa- Knowledge co-production framework” can be obtained from her. They have a

list of centres of expertise and excellence in Southern Africa. This information will now be shared with the UNEP for southern Africa's strategy to move forward. They are interested in finding groups that can collaborate on specialist themes e.g. on arid areas. These groups will be required to submit develop strategies to the World Bank for research funding. It is important to be part of such large working groups to advance our standing in the sector.

- There is a need for an environmental strategy for NWU. We need to get buy-in from all stakeholders, the consultation process must still commence in this year through the workshops with Hendri Coetzee.
- A NWU green innovation competition was launched in August 2014. Criteria for the competition are attached in annexure 5.
- The CE office is currently involved in a process to set-up webpages with the information pertaining to NWU green initiatives.

7.1 Integrated reporting.

The NWU has committed to compiling an annual integrated report which will include the integration of social, economic and environmental impacts as an organisation. In order to comply with global guidelines, the university has become a member of the Global Reporting Initiative (GRI) Focal Point in Africa. The Director: CE is now a member of the GRI focal point academic committee in SA. . A follow-up project to evaluate the local impacts as perceived by the residents of the three cities where we have campuses will be launched in September 2014. A copy of the questionnaire is provided in annexure 6. Students will be used to assist with the collection of the data.

Extracts from the annual report of 2013 which includes the first attempt at an integrated report can be found in annexure 7.

8. National Lottery Development Trust Fund (NLDTF) projects

The status quo for the NLDTF reports has not changed since the last ICRI report. A NWU Lotto application under the theme Arts & Culture was submitted in April 2013. Funding for projects relating to crafts business management-training interventions (R2 992 007.32), VTC Library Art Gallery (R502 959.60), NWU Art Collection Publication (R193 276.00) and Campus Go Green (R2 368 966.20) were included and we are still awaiting adjudication.

For project# 27875 of 2009 the requests for deviations from the contract of funds allocated to the contract, are still under negotiation with the NLDTF and we are still awaiting an answer from them. These projects are for arts and culture and include studio equipment, sound equipment and funding towards the radio station at VTC.

For project #32430 (2009) and #49285 (2011) the requests for deviations from the contract of funds allocated to these contracts are under negotiation with NLDTF. Both projects are for sport and recreation, and include sport equipment, floodlights masts and lights, and upgrades on the cricket field irrigation system. New redirection requests for these projects were submitted on 8 September 2014. The NLDTF has indicated that they have a backlog evaluating applications but are starting to make

head-way this means that we should see some funding coming through in the last months of 2014.

9. Data Base

The University of Pretoria announced at a SAHECEF meeting that they are willing to share their well-developed database for CE projects. NMMU and Stellenbosch University also shared their databases with us. A decision was made to collaborate with the Institutional Advancement and Alumni committee who are utilizing a KIDZ Africa product already, to eliminate duplication of data. A subsequent discussion with IT and the web-coordinator as well as the designer of Dev Man indicated that this will provide a cost effective solution to our need. The draft design will be discussed with stakeholders on the campuses and at the ICRI meeting.

ANNEXURES

Annexure 1

COMMUNITY ENGAGEMENT AT THE NORTH-WEST UNIVERSITY (NWU): 2015-2017

Draft vision for Community Engagement at NWU.

To integrate community engagement (CE) with teaching/learning (T/L) and research (R) in such a way that CE will promote the development of graduate attributes through reciprocal partnerships between North-West University and its external community with the intent to create new knowledge that will influence policy, contribute towards social justice, and address South Africa's developmental challenges.

Mission

- To provide the necessary direction and support to staff in order to integrate CE fully with T/L and R.
- To promote reciprocal partnerships.
- To contribute to the development of graduate attributes.
- To promote social justice.
- To influence policy.

Goals and strategies

Goal 1: Developing a policy and gaining support for CE

A policy will be developed, based on the point of departure as set out in the supporting document "The Future Positioning of Community Engagement at the NWU" (see annexure). This policy will be aimed specifically at providing direction for and setting the boundaries within which CE should take place at the NWU. To name but a few of the pertinent issues to be addressed, the new policy will seek to answer the following:

- Given the context of the NWU, what is our understanding of "an engaged university"?
- In our opinion as the NWU, what ought to be regarded as community engagement (and what not)?
- Who are the NWU's 'communities'?
- What kind of knowledge do we generate, and where and how do we disseminate or share this knowledge?

Strategy for CE policy development

A four-step process will be followed, encompassing the following:

- Developing a draft policy;
- Submitting the draft policy to all relevant stakeholders for their inputs, comments and suggestions;

- Using stakeholder inputs, comments and suggestions to further develop, refine and finalise the policy; and
- Submitting the policy to Senate for adoption as an NWU policy.

Strategy to gain support for CE

The strategy to gain support for CE has two components:

- Developing a database on the NWU's community-based projects, and
- Offering support of a more tangible nature to staff and students in their attempts to engage with the community.

In terms of the database, first and foremost, categories to be included in the database will be formulated and presented to the vice-rectors of the three campuses, followed by all other relevant stakeholders prior to finalisation. Thereafter, all three campuses will be visited to collect the data that will be used to populate the database.

Offering support of a more tangible nature to staff and students will encompass:

- Creating awareness amongst staff and students by, amongst others, publishing the CE policy on the NWU's websites and conducting regular talks at all NWU facilities to ensure staff are aware of the policy;
- Develop guidance documents on how CE can be incorporated in T/L and R
- Ensuring that the induction programme for newly appointed staff includes a module on the university's CE policy;
- Hosting training sessions for staff and students on how to engage with communities;
- Publishing and distributing leaflets on CE for easy reference; and
- Rendering logistical and organisational support to staff and students to assist with their community engagement activities.
- Develop a feedback mechanism to inform staff, students, and faculty on progress, opportunities, and successes.

Goal 2: Promoting reciprocity

Reciprocity entails the establishment of mutually beneficial strategic alliances between the university and its internal community (i.e. staff and students) and external communities (i.e. local geographical communities, government and the private sector).

Strategy to promote reciprocity

- Conducting an awareness campaign to alert potential partners to the types of knowledge-generated services the NWU can offer;
- Rendering assistance with the negotiation of mutually beneficial partnerships with external partners; and
- Coordinating such partnerships via CE's institutional office.

Goal 3: Harnessing student attributes

Support will be provided to T/L to develop modules aimed at cultivating teaching/learning opportunities that will expose students to communities within the context of mutual service delivery/learning. In so doing, the intention is to create a research interest in topics where engaging community participation would be imperative.

Goal 4: Ensuring social justice

Seeing that the NWU endeavours to uphold an objective standard of social justice, agreement on such a standard will have to be established and communicated to all partners engaged in community development. To this end, a workshop will be conducted with relevant stakeholders to determine agreed upon standards in respect of responsibility, fiscal-, trading- and exit strategies. Once agreed upon, these standards will form an integral part of all agreements entered into by the respective parties with the understanding that breach thereof will result in an immediate termination of the relationship

Goal 5: Influencing policy

A platform will be created to engage with national, provincial and local authorities and other stakeholders such as NGO's and PBO's to keep these policy makers abreast of the latest research.

Annexure 2

Community Engagement Soft Review Improvement Plan 2013-2014

As set out in Soft Review Report structure	Improvement Plan in response to Soft Review on Community Engagement: Institutional management				
1. Goals / Priorities of ICE	<i>Recommendations from panel and identified gaps</i>	<i>Considerations for steps to follow</i>	<i>Prioritization</i>	<i>Responsible parties</i>	<i>Due dates</i>
	1.1 The institution needs to clearly define what constitutes its “community” i.e. does it only refer to the disadvantaged or marginalised communities?	Conceptualization colloquium to agree on the terminology, integration and who is our community.	Urgent	All	Late 2014
	1.2 There needs to be a shift in engagement being viewed as an add-on, but should rather be viewed as an activity that adds value and invigorates the other two core functions.	Discuss accountability and quality control		Campus Management & Support office	ASAP
	1.3 The emphasis of Community Engagement should be on Engagement and not on Community. Community Engagement should enrich teaching and the learning experience, as well as research and innovation. This shift of emphasis should be considered as part of future planning and of the formulation of the mission goal (See recommendation 2.2).	We must decide if we want to differentiate between for-profit and not-for-profit engagement- Do we keep the term "implementation of expertise" which reflects a top-down attitude, this discussion should feed in to 1.1	New vision and mission	Campus Management & Support office	Late2014

	<p>1.4 A definite paradigm shift needs to be made in terms of the current NWU (perceived) view of Community Engagement. Community Engagement should not be viewed as a separate pillar of the core functions of the University, but should rather be embedded in the primary core functions, namely teaching-learning and research-innovation.</p>	<p>See above 1.1-1.3</p>	<p>New vision and mission</p>	<p>Campus Management & Support office</p>	<p>Late2014</p>
	<p>1.5 The panel is concerned about what appears to be a dumping of projects by managers into the Institutional Community Engagement Office, to be steered as “Community Engagement Projects”, although it is clear that no due diligence was done before allocating these projects to this department. Various projects that are not connected to engagement at all, are currently resorting under the Institutional Office Community Engagement portfolio. These projects should be reviewed, possibly redefined and then managed appropriately.</p>	<p>Role clarification through a service level agreement with all campuses and a discussion on the NWU Community Development Trust and its strategy.</p>	<p>Old SLA to be updated</p>	<p>Campus Management & Support office</p>	<p>Late2014</p>

	<p>1.6 Institutional Advancement focuses amongst others on general fundraising, for example, raising funds for the development of a soccer field. It appears as if this section intends to use Corporate Social investment funds for Advancement Purposes. “Community Engagement” and Institutional Advancement sometimes compete for the same money from donors, and it is not clear whether Institutional Advancement interprets the expectations of donors correctly. This internal competition should be eliminated as it may be damaging for the reputation of the NWU</p>	<p>Institutional Community engagement Office (ICE) to become a member of the Institutional Advancement Project Evaluation Committee, (APEC) suggest a collaborative workshop on the requirements of good CSI/ CSR projects.</p>	<p>Completed already</p>	<p>Advancement from all campuses</p>	<p>Already complete</p>
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	<p>1.7 Institutional Engagement currently reports to the DVC: Research and Innovation. All initiatives and strategies are tabled for input at the Institutional Committee for Research and Innovation (ICRI), which is a sub-committee of Senate, and if necessary it is tabled at Institutional Senate as well. It is recommended that if a closer liaison is to be established with teaching-learning, all initiatives and strategies must also be tabled at the Institutional Committee for Teaching-Learning (ICTL). (If this is not considered an option, it is recommended to establish a separate, dedicated and focussed Senate sub-committee that is able to overtly serve the oversight role associated with this portfolio.)</p>	<p>This suggestion must be discussed with line -management of the NWU. A separate sub- committee may cause additional duplication of meetings as ICRI and ICTL will cover all core business activities it is only the volunteerism of especially personnel/ students that will have to be included in this. An aspect of CE that also needs attention and coordination in order to minimise risk.</p>	<p>Urgent- B Bouwman is now attending ICTL meetings and DVC T/L is attending ICRI. Reports to both meetings.</p>	<p>Campus Management & Support office</p>	<p>Sep-2014</p>
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	<p>1.8 It seems as if ICRI is not a suitable forum for the enhancement of scholarly practice on “engagement”. Consider the creation of an appropriate forum that stimulates scholarly debate on “Community Engagement” in such a way that it overtly links with the “core business” of teaching-learning and research-innovation.</p>	<p>Engagement like quality forms part of all core business, the scholarship of engagement will then link strongly into both engaged research and engaged T/L. It is proposed that an annual CE conference is held to stimulate and elevate engagement. The management of task agreements promotion requirements and recognition of excellence can be linked to this- as ultimately a publication outputs. Trans- and multi-disciplinary support for the stimulation of CE scholarship can be accessed via the ICE office with the support/ assistance provided by Hendri Coetzee.</p>	<p>Annual colloquium to be planned depends on budget which is tight.</p>	<p>Campus Management & Support office</p>	<p>Sep-2014</p>
	<p>1.9 The university needs to reach a consensus and clear understanding across all campuses on the institutional definition of engagement and hence the mandate and role of the Community Engagement Office in the Institutional Office. (If not, this holds a substantive reputational risk for the NWU as institution).</p>	<p>See above- the outcome of the conceptualization process will be adopted within the relevant strategy and policy documents.</p>	<p>TBD after new visioning</p>	<p>Campus Management & Support office</p>	<p>Late2014</p>

<p>2. Strategic planning pertaining to CE</p>	<p>2.1 It is strongly recommended that a model be considered where the word “community” is not used (as in the case of NMMU and other universities). “Community” has a somewhat negative connotation with issues of poverty. A focus on “Engagement”, instead, was much more credible and acceptable among all stakeholders in the university environment. Career paths of academics are then a hybrid between teaching, research-innovation and engagement</p>	<p>This recommendation is similar to the above, strategic planning will flow naturally with the agreement on conceptualization and terminologies used. As structure follows strategy, the structures at campus level must support the strategy. Career advancement paths and recognition for contribution must be linked to core-business but also reported in the evaluation/ task agreement processes.</p>	<p>TBD after new visioning</p>	<p>Campus Management & Support office</p>	<p>Sep-2014</p>
	<p>2.2 It is recommended that clarity be obtained on the NWU’s definition of and approach towards “Engagement”. Following from this, a clear policy on Engagement should be devised. Once a clear policy is in place the relevant support structure should be provided for. Faculties may even be requested to establish engagement portfolios. By including engagement as part of promotion criteria and by awarding engagement excellence awards, it will be ensured that engagement receives the same prominence as teaching and research (See recommendation 1.3).</p>	<p>Policy will be urgently addressed after the conceptualization and strategic planning. Structure to follow after this. Budgetary implications must also be considered and line- managers must take responsibility for managing CE, with or without dedicated personnel as CE should be integrated into core-business.</p>	<p>Colloquium to follow as soon as possible in collaboration with campuses after visioning process, reworked draft policy available for discussion already.</p>	<p>Campus Management & Support office</p>	<p>Sep-2014</p>

	<p>2.3 It is also recommended that engagement should be a standing agenda point at both ICRI and ICTL meetings. The panel acknowledges that it might be challenging to reach consensus between the two subcommittees of senate, but “Engagement” cannot be treated as part of the “research portfolio” only.</p>	<p>This recommendation has been discussed with the responsible DVC's and will be formalised as soon as possible. In the case of responsibility for CE being allocated to be the responsibility with the Vice-rector T/L on Potchefstroom campus all information relating to CE and communication will be shared with both vice-rectors for T/L and Research. Volunteerism will be handled according to agreements reached in the abovementioned processes.</p>	<p>Completed by April 2014 already</p>	<p>Campus Management & Support office</p>	<p>Completed</p>
<p>3. Policies /Procedures in CE</p>	<p>3.1 It is recommended that closer collaboration be established with the teaching-learning portfolio in order to align policy directives especially with regard to service-learning and work integrated learning (See recommendation 8.1).</p>	<p>Suggestion: To collaborate with a senior institutional member in T/L that understands the role of CE in integrated reporting, sustainability and T/L aspects eg graduate attributes, perhaps Mrs Christa North? Regular meetings until the alignment is clarified and required processes are implemented. An audit of the status quo of integration of service-learning in the curriculum and also a training course for personnel or new appointees should be arranged.</p>	<p>Collaboration in place BB attending ICTL and reporting to ICTL too</p>	<p>Campus Management & Support office</p>	<p>Sep-2014</p>

<p>4. Organizational Structure and Management of CE</p>	<p>4.1 It is recommended that the DVC:RI should investigate the possibility to establish a separate forum for Community Engagement, instead of treating it as part of the Institutional Committee for Research and Innovation (ICRI). ICRI has a distinct focus on research and “university researchers” are not concerned about Community Engagement, with consequent low levels of input and buy-in when documents related to Community Engagement are tabled at ICRI. (The panel noticed the NWU’s overt linking of CE with “Implementation of Expertise” but the work done by the Community Engagement department is in fact regarded “community based work”, although some university expertise is involved to some extent.) – (This also emphasizes the dire need to interrogate the topic of community engagement)</p>	<p>Although institutional coordination with the two committees (ICRI & ICTL) can be achieved and may still appear attractive due to the full agendas of university managers, the implication will be that the director ICE must report at both committees. This will be possible. The campus level management buy-in is critical and requires a line-management commitment if we view CE as part of core business. Task agreement management and the appropriate rubrics for evaluating CE in the task agreement must be integrated and actively managed. For coordination purposes campuses could form faculty committees with -where the budget allows for this, coordination of these activities by dedicated personnel in the faculties. Representation and reporting of CE must roll-up to the highest level which is Senate via the ICTL and ICRI. Roadshow to be conducted with Deans and school directors on each campus.</p>	<p>Status quo remains but BB reports to ICRI and ICTL now which takes all reports and recommendations to Senate.</p>	<p>Campus Management & Support office</p>	<p>Sep-2014</p>
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5. Finances of CE	5.1 Community Engagement is directly associated with scientific / scholarly inputs and rewards. The NWU has to make a clear decision on its approach towards and reasons for involvement in Community Engagement. These approaches will directly inform the respective funding models and hence the outcomes and impact of “engagement	Integration of CE into core-business will contribute to the scholarly outputs for CE. Class fees should be adapted / adjusted to provide for WIL or S/L placement costs. A strategic institutional budget should be provided to ensure the full integration of CE at faculty or School level. Examples of such strategies can be found at University of Stellenbosch and University of Free-State. These are in the order of R3-5million per annum and include incentives and training.	No progress to date- will follow above.	Campus Management & Support office	Sep-2014
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6.Staffing of CE	6.1 Campuses seemingly drive “community engagement” in their own discretion and in isolation from the Institutional Office for Community Engagement. This results in non-scholarly engagement because no liaison and communication take place. It is recommended that this disjuncture be rectified at all the appropriate management levels.	See above -an annual CE symposium and appropriate recognition for CE can rectify this. The reporting of ICE activities and vice versa from campuses via their line-management can improve this situation. Improving communication will also go a long way in rectifying this situation via newsletters, the website and management meetings held on campuses.	Communication to be addressed via website improvement and newsletter send out by research office currently, further developments to be announced in collaboration with IO marketing dept.	Campus Management & Support office	Ongoing
	6.2 Staff members seemingly find it difficult to work with the respective campuses as they are reluctant to be held accountable for non-performance in terms of “Community Engagement” outcomes. This situation should be attended to at the highest managerial level. Service level agreements should also be considered to enforce	The line-managers on campuses must drive this process as a rubric similar to quality, but must also enforce accountability. Service -level agreements of the role of ICE must be finalised and signed upfront annually as part of the task agreement of the ICE director and team.	To be handled after colloquium process	Campus Management & Support office	Sep-2014

	accountability.				
	6.3 The Human Capital Department should conduct a detailed job/tasks/roles analysis to verify the identified needs for additional human capacity. (Also see paragraph 8.)	This must be an exercise that is not only conducted at ICE level but especially at campus level. The required budgets must be allocated where feasible and clearly communicated.	Same as above	Campus Management & Support office & HR	Late-2014
7. Client liaison /service delivery of CE	7.1 The institution should move towards a consensus and clear understanding of why it engages and what the potential scholarly and staff benefits of engagement and whether its current engagement activities are aligned to institutional, campus, faculty and departmental strategic and operational plans.	This links into the conceptualization and strategic planning see above.	See above	Campus Management & Support office	Late-2014

	<p>7.2 High-level engagement is required to steer Community Engagement closer to teaching-learning and research-innovation. This will impact on the level of and type of client liaison. (One-on-one conversations may assist in changing high level managers' perspectives of integrating Community Engagement into the core business of the university.)</p>	<p>Time should be allocated to introduce CE strategies into the faculty visits by the vice -rectors and the ICE should also meet with Faculties and Deans at least annually.</p>	<p>Road shows planned in latter part of 2014 following above</p>	<p>Campus Management & Support office</p>	<p>Sep-2014</p>
	<p>7.3 Consider conducting curriculum workshops (in the portfolio of teaching-learning) and research development workshops, or the like (in the research portfolio), to integrate, market and sell "community engagement" as part of a scholarly initiative. Such an integration is very rewarding and these rewards should be emphasised, especially to academics</p>	<p>Training workshops similar to the course for new lecturers must be a standard offering for all personnel and a basic training course or at least a guidance (booklet) for CE in T/L and Research/ Innovation can be compiled and made available as a short course or certified qualification. The policies for CE, risk management and volunteerism should be availed and discussed at the training workshops.</p>	<p>Funding an issue we have spoken to US and UFS for training - long term</p>	<p>Campus Management & Support office</p>	<p>Late-2014</p>
	<p>7.4 Engagement excellence should get the same exposure as teaching and/or research excellence. A monetary award can be linked to it to improve participation.</p>	<p>The event is currently only linked to the research awards event and should include excellence for T/L or the existing event for T/L. A budget should be allocated which can be awarded to the winning projects and this will be proposed for CE in 2015. We are asking at least R500,000.</p>	<p>Request not granted yet budgetary constraints</p>	<p>Campus Management & Support office</p>	<p>Ongoing</p>

	7.5 If community engagement is viewed as part of the core functions of the institution, the NWU has to recognise it by amongst others providing funding and staffing.	Noted and must be discussed by IM and HR.	See above	Campus Management & Support office	Ongoing
	7.6 In support of improved client liaison, an integrated approach should be followed with teaching-learning and research-innovation. Several options can be considered, of which some are recommended elsewhere in this report.	Noted improvement of communication and accountability is crucial.	See above	Campus Management & Support offices	
8. Admin/Infrastructure/IT of CE	8.1 It is strongly recommended that the director be co-opted in the Teaching-Learning forum. The DVC: TL should be approached with such a request (See recommendation 3.1).	This is already in process.	Completed	Campus Management & Support offices	
	8.2 There is a need for creating opportunities to bring researchers in closer contact with relevant "community issues" in need of research.	A needs assessment in the North -West province was conducted in 2011. This is available for deciding on the positioning of CE and the university strategy.	Will follow colloquium.	Campus Management & Support offices	Late-2014
	8.3 No Service Level Agreements (SLAs) are in place. Although some SLAs have been compiled, these have not been signed. Signed SLAs should be in place to ensure process efficiency and overall effectiveness.	This will be informed by the above and integrated into new agreements that must be formalised annually.	Will follow colloquium.	Campus Management & Support office	Ongoing

9. Quality assurance & Improvement of CE	9.1 A distinct need has been observed for the alignment of the NWU “wish list” for Community Engagement and the Institutional Plan.	The wish list will be determined and agreed on once the strategy is in place, see above. The integration into the IP is critical to ensure that specific goals are achieved.	See above	Campus Management & Support office	Ongoing
	9.2 Data capturing of core activities and associated projects are crucial for the sustainability of engagement activities. All projects must be registered on the department’s database to be considered for an excellence award.	The data base is critical and must include all required information that informs reporting requirements on all levels.	Urgent - have acquired budget support and investigative materials supplied to IT , we are also meeting with the KIDZ Africa database designers in August 2014	Campus Management & Support office	Sep-2014
	9.3 The internal audit office of the NWU should be consulted and informed about risks associated with “engagement” practices across the university.	This is already on the agenda of the risk register and will be managed accordingly.	Can perhaps be included in policy	Campus Management & Support offices	Ongoing

	<p>9.4 Consider using research master’s and PhD students to assist with surveys and/or impact assessments. The department can be a site of research for such students. This research can be used to inform improved and efficient processes and practises.</p>	<p>This need has been partially addressed through a contract appointment (3yrs) of Mr Hendri Coetzee. We have received and complied to requests from various internal and external partners.</p>	Completed		
	<p>9.5 “Research in communities” should become “research with communities” in order to maintain integrity and credibility. A measure can be reliable but not valid; but if a measure is not reliable it cannot be valid either. Optimise research “with communities” in support of continuous quality enhancement</p>	<p>The abovementioned short courses and guidance will go a long way in introducing this concept. The creation of feedback loops must be included in MOU's and other types of partnership agreements. Recognition of reciprocity and mutually beneficial relationships and the appropriate recognition of the various contributing parties have to be included in the policy documents and guidelines.</p>	<p>Pamphlet designed for use by all parties will be completed on acceptance of new policy</p>	<p>Campus Management & Support offices</p>	<p>TBD ASAP</p>

Annexure 3

Integrated Reporting

Why report in an integrated manner?

What is integrated reporting?

The aim of an integrated report, according to *Sustainability South Africa* (2014), is to **clearly and concisely tell the story of an institution** (e.g. company/organization), **who it is and what it does, how it creates value, its strategy, opportunities and risks, its business model and governance, and its performance against its strategic objectives.** Most information is reported in a manner that gives stakeholders a **holistic view of the organization's plans in the short, medium and long-term** and therefore has the **potential to influence the perceptions and attitudes of stakeholders about an organization.** Unlike more traditional reports, it also includes **social and environmental issues** that are important to the long-term sustainability of an institution.

- Reporting in an integrated manner contributes towards the transparency, credibility and overall sustainability of an institution.
- It saves resources (e.g. time and money) by helping management to think, plan and eventually report all its activities in one document. This could potentially contribute to the long-term sustainability of an institution like the NWU.
- It could potentially give the NWU a competitive edge over other higher education institutions.
- At the moment it is not mandatory to report in an integrated manner, but this situation may change soon. If the NWU starts early, it will give us that opportunity to become a leader in integrated reporting.
- Integrated reporting has the potential to bring about greater cohesion both internally (amongst staff and students) and externally (in the wider community) since it shows that the NWU is relevant and views social issues that could have an impact on the community holistically.

(Adopted from *The Sustainability and integrated reporting handbook*, South Africa, 2014)

How can integrated reporting be implemented at the NWU?

Ms. Reana Rossouw introduced integrated reporting to senior management during a workshop in April 2010. This was followed by a survey in 2013 to determine which general economic, environmental and social issues stakeholders regard as important; and further training by Dr. Joël Houdet. For now it is important to take cognizance of the following aspects that will form part of the NWU's first integrated report.

- NWU's community investments (financial)
- Positive and negative impacts on the local economy of NWU's infrastructure investments and community support services
- Funding from government or government-related agencies
- NWU's indirect economic impact
- Economic contribution of graduates and alumni
- NWU's spending with local suppliers
- Income/revenue and expenditure
- Financial implications and risks of climate change
- Broad-based black economic empowerment (B-BBEE) rating and performance
- Defined benefit plan obligations for employees
- Quality assurance standards of educational services delivered
- Spending on environmental issues
- Integration of environmental principles and skills qualifications, teachings and practices
- Environmental grievance mechanisms
- Energy consumption and energy efficiency initiatives
- Environmental assessments of suppliers
- Impacts on biodiversity
- Water footprint management
- Compliance with environmental laws and regulations
- Air emissions
- Management of transport
- Types and volumes of materials used
- Waste management at the NWU
- Anti-corruption policies, procedures and practices
- Health and safety
- Remuneration
- Local community engagement initiatives and impacts
- Grievance mechanisms

- Diversity and equal opportunity programmes
- Employee training and human resource development programmes
- Employment statistics
- Occupational health and safety
- Freedom of association and collective bargaining practices
- Details of suppliers' labour, health and safety practices

References

The Sustainability and integrated reporting handbook (2014). Edited by Lloyd Macfarlane. Alive2green: Cape Town.

Website of Sustainability South Africa. Available at:

<http://www.sustainabilitysa.org/IntegratedReporting/WhatisanIntegratedReport.aspx>

Accessed on 8 July, 2014.

Annexure 4

These criteria are used in conjunction with the instructions to applicants that are applying for recognition as set out in the policy.

EVALUATION CRITERIA FOR NWU VICE CHANCELLOR'S AWARD

Category 1: Basic/procedural indicators

	Yes = 1; No = 0
Is the applicant eligible for the award? ¹	
Is the applicant supported by his/her campus managers? ²	
Is the project supported by a community partner/ constituency? ³	
Did the applicant include a short CV or description of the team?	
Does the project plan adhere to ethical procedures and standards?	
Total for category:	

Category 2: Feasibility indicators

Is the project based on (a) an actual need in a particular community; (b) a particular development challenges; or (c) social justice? ⁴	
Is/was the community involved in all aspects of the project (e.g. planning, implementation, evaluation, etc.)?	
Are the project's goals clearly defined and measurable?	
Is the project furthering or positively improving the circumstances of the NWU	

¹ NWU staff or member of formal or informal group linked to the NWU, no limitation from recent previous awards.

² Letter of support and/signature from rector/vice rector and dean.

³ Letter of support.

⁴ Any one of the three aspects can qualify for a point.

and its constituents?	
Total for category:	

Category 3: Impact and significance of Project- Sustainability indicators

Is the project mutually beneficial to the NWU, its partners and the beneficiaries?	
Is there appropriate feedback provided to all partners involved in the project and are appropriated methods of communication used to inform internal and external parties of the progress?	
Is the project linked to the NWU's strategic plans and/institutional CE's vision, mission and goals?	
Does the project enhance teaching and learning and research? (Is the project integrated into the core academic functions of the NWU?)	
Do this project/its outputs have the potential to influence national/international policy?	
Did the project result in any outputs for the university (students, articles, conference presentations, etc.)?	
Total for category:	

Grand total

/15

Annexure 5 Announcement of Green Innovation Competition

Green Innovation Competition

2014

The competition is open to all NWU personnel and
NWU students studying at any of the NWU campuses.

A grand prize of up to R20 000 can be won per category!

Three different categories cater for everybody
from beginners to seasoned inventors/developers.

If you only have a GOOD IDEA but do not know where to take it, or what to do with it – read
on...

There are three different categories that you can enter – see below.

How to enter

Step one: Entry Application.

Due date: 30 August 2014

***Every entry is subject to selection by the panel consisting of members of the the
Technology Transfer and Innovation Support office (TT&IS) and the Green Campus
Committee***

In order to be selected, a summary of your basic idea/plan/technology must be submitted in less than 150 words to the organizers before or on **30 August 2014**. No late submissions will be considered.

For this purpose NO fancy headings or any trimmings are allowed, only a few typed paragraphs. Drawings and/or schematics are allowed provided they make a clear contribution in describing your technology/idea.

The contact persons at the various campuses are

POTCH -Jean Stidworthy. Room G10, Building F21 Potchefstroom Campus.

VAAL – Madeline Evert Room SL228 Building 13 MSc/PhD wing **or Prof J. Tempelhoff** Building 11B RoomG30, Vaaltriangle Campus.

MAFIKENG –Koos Degenaar Office nr 230; A1, Admin Building Mafikeng Campus

Entry applications can be:

1. ***E-mailed*** to *bibi.bouwman@nwu.ac.za*. Entry must either be in **Word or PDF format**.
2. ***Delivered by hand*** to the office of B. Bouwman, Room 214 or 205A, Building C1, NWU Institutional Office, Potchefstroom. Tel 018-2994935. Entry Application must be printed on an A4 white paper and put in an envelope clearly marked “Green Innovation Competition Application”.

All applications must be accompanied by the applicants’ personnel/student number and contact (preferably cell phone) number. Any other relevant contact details will be helpful.

You will be notified of your qualifying for a full proposal by 5 September 2014.

Step Two: When selected

Due date: 20 September

Personnel from the Technology Transfer and Innovation Support office (TT&IS) and the Green Campus Committee will HELP YOU by GUIDING you through the process of preparing your final competition entry. This guidance will be in the form of workshops or individual appointment .Please contact Bibi Bouwman if you wish to request assistance from them once you have been informed that you must prepare a full proposal which needs to be submitted by 20 September

The names of the final winners will be announced by 30 September 2014.

Protecting your idea/technology:

- The organizers are bound by the confidentiality clause in their task agreement with the NWU.
- Intellectual Property (IP) which has been developed as part of a student’s research project belongs to the university. However, the university has a policy which allows students to commercialize such IP or to share any income the university generates from the IP.

- IP or ideas which have been generated by the students outside of the students research project belongs to the student, but the university will still consider assisting the students with the commercialization thereof.

Three different categories

Category A:

Green Technological innovation as well as a prototype and business plan.

Requirement: A complete business plan based on a prototype or demonstrator of a technological innovation. The idea must be new or unique (preferably patentable) and must have commercial value.

Participants: Individual or a small group of students of the NWU.

Prize money: R20 000. Provided the organizers are satisfied that the standard of all entries are good enough.

Document: maximum 10 pages in 10 font with 1,5 line spacing.

Category B.

Green Technical solution for day to day challenges

Requirement: A project document in which the solution is detailed as well as a legitimate statement from someone in industry/ civil society that the solution could solve a real problem. Less focus should be placed on the marketing of the solution.

Participants: Individual or a small group of students of the NWU.

Prize money: R20 000. Provided the organizers are satisfied that the standard of all entries are good enough.

Document: A typical project report used for academic purposes will suffice. The statement from someone in industry must be added. A 5 pages in 10 font with 1,5 line spacing.

Category C.

Green Idea Competition.

Purpose: To enable personnel/students, who are not in a position to demonstrate or develop solutions, to participate in innovation. Entries will be judged by the potential and feasibility to develop and commercialize the idea. NWU or other parties could later be approached to assist in the development of the idea while the owner of the idea could share in the income thereof.

Requirement: Any well described idea (no prototype required) which could benefit industry, individuals, society or the environment. Ideas could cover:

- A technological development
- Job creation, poverty alleviation, social development

- Cost saving ideas (for the NWU and in general)
- Environmental protection strategies
- Energy related ideas
- Definition of a previously unknown problem or challenge

Participants: Individual or a small group participants.

Prize money: 2 Prizes of R5,000. Provided the organizers are satisfied that the standard of all entries are good enough.

Document: Less than 1000 words (about 3 pages), 10 font 1,5 line spacing.

For any further information- You are welcome to Mrs. Bibi Bouwman at the above-mentioned contact details.

Annexure 6



NORTH-WEST UNIVERSITY[®]
YUNIBESITHI YA BOKONE-BOPHIRIMA
NOORDWES-UNIVERSITEIT

AN ASSESSMENT OF THE NORTH-WEST UNIVERSITY'S PERCEIVED IMPACT ON LOCAL COMMUNITIES

- I have been informed that the purpose of this research is to determine the perceived impact of the North-West University (NWU) on me and/ my household.
- My participation in this survey will take approximately 30 minutes.
- I understand that there are no foreseeable risks or discomforts if I agree to participate in the research.
- I understand that the results of the research may be published, but that my name or identity will not be revealed.
- I understand that the NWU will maintain confidentiality of all records and materials.
- I have been informed that I will not be compensated for my participation.
- I have been informed that any questions I have concerning this research or my participation in it before or after my consent, will be answered by the investigators of this research (NWU Community Engagement Office – 018-299-4929/4935)
- I understand that I may withdraw my consent and discontinue participation at any time without penalty or loss of benefit to myself.
- In signing this consent form, I am not waiving any legal claims, rights, or remedies.

Single	Married
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H. Respondent's employment status:

1 Student	2 Unemployed	3 Self-employed	4 Part-time job	5 Full-time job Occupation:.....
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I. Respondent's average household income per month:

1 R0-1000	2 R1001-2000	3 R2001-3000	4 R3001-5000	5 R5001-7000
6 R7001-10000	7 R10001-15000	8 R15001-20,000	9 More than R20000	10 More than R50000

J. Respondent's number of dependants in his/her household: _____ (write number)

Section B

Please indicate how much of an impact the following NWU related activities are on YOU and/or YOUR HOUSEHOLD:

	0 I don't know	1 Small negative impact	2 Large negative impact	3 No impact	4 Small positive impact	5 Large positive impact
The behaviour of contractors linked to the NWU (as service providers)	0	1	2	3	4	5
The number and/or quality of post graduate students delivered by the NWU	0	1	2	3	4	5
The number and/or quality of graduates delivered by the NWU	0	1	2	3	4	5
The NWU's indirect economic impact in your community, e.g. as one of the largest employers, supporter of local suppliers, etc.	0	1	2	3	4	5
The professional (discipline based) advice that you may/may not receive from NWU staff e.g. during consultations, their serving on committees, etc.	0	1	2	3	4	5
The professional (discipline based) support that you may/may not receive from NWU staff						
The relevancy of research conducted by NWU staff/ the NWU as an institution (academic and contract)	0	1	2	3	4	5
The NWU's air emissions	0	1	2	3	4	5
The NWU's associated subsidiary, for-profit and not-for-profit companies , e.g. CFAM	0	1	2	3	4	5

The NWU's broad-based black economic empowerment strategy	0	1	2	3	4	5
The NWU's community projects , e.g. HIV/AIDS projects, technology development projects, Oaklane Project, Library Improvement Projects, etc.	0	1	2	3	4	5
The NWU's community services , e.g. RAG, Yebo Angels, Musikane, Ikateleng, ECD training, Fazile Dube, etc.	0	1	2	3	4	5
The NWU's compliance with environmental laws and regulations	0	1	2	3	4	5
The NWU's cultural activities , e.g. choirs, art exhibitions, etc.	0	1	2	3	4	5
The NWU's electricity consumption	0	1	2	3	4	5
The NWU's engineering weeks and/or open days	0	1	2	3	4	5
The NWU's impacts on biodiversity	0	1	2	3	4	5
The NWU's involvement in professional councils and advisory boards , e.g. HSRC, CSIR	0	1	2	3	4	5
The NWU's involvement in support programmes e.g. for science and maths teachers/schools	0	1	2	3	4	5
The NWU's law clinics for the public	0	1	2	3	4	5
The non-discipline based volunteerism by staff, e.g. "pavement pimping", assisting old age homes, general donations, etc.	0	1	2	3	4	5
The NWU's science centre & botanical garden	0	1	2	3	4	5
The NWU's science weeks and/or open days	0	1	2	3	4	5
The NWU's service learning or work integrated learning activities , e.g. students working as teachers, social works, nurses and other professionals as part of their training.	0	1	2	3	4	5
The NWU's sports weeks and/or training clinics	0	1	2	3	4	5
The NWU's water footprint (use of water)	0	1	2	3	4	5
The social behaviour of NWU students (after hours)	0	1	2	3	4	5
The general behaviour of NWU students	0	1	2	3	4	5
The general behaviour of NWU staff	0	1	2	3	4	5
The availability of the NWU's infrastructure/facilities for use by the public.	0	1	2	3	4	5
Types and volumes of materials used by the NWU during its general operations, e.g. paper, cleaning materials, chemicals, etc.	0	1	2	3	4	5
The waste produced by NWU staff and	0	1	2	3	4	5

students as a result of consumption						
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In what other ways are your life impacted by the NWU or and its activities?

What do you think should/could the NWU do to increase its impact on you and/or your community?

Annexure 7

Excerpts from the annual report with an introduction on the integrated report's inclusion and some tables on the information available relating to this report.

Annexure D

Quality Office

26 November 2013

SOFT REVIEW – REPORT

Department	Community Engagement: Institutional Management	Campus	Institutional Office	Date	29 August 2013
Head of department	Ms Beatrix Bouwman	Line Manager	Prof Frik van Niekerk		

Panel: Dr Jannie Jacobsz (Director: Quality; Chair); **Prof George De Lange** (Director: Centre for Academic Engagement, NMMU, Expert panel member); Ms Johanna Müller (Quality manager: Support Services); Dr Esther de Waal (Scribe).

Acronyms used in this report:

CE	Community Engagement	IP	Institutional Plan
ICRI	Institutional Committee for Research and Innovation	IM	Institutional Management
ICTL	Institutional Committee for Teaching Learning	DVC	Deputy Vice-Chancellor

<p>1. Goals/Priorities</p> <p>1.1 Clearly stated vision/mission (In support of NWU core business)</p> <p>1.2 Objectives are documented in Quality Manual</p>	<p>Possible types of Evidence</p> <p>A match exists between the department’s strategic goals (and plans) and the University’s needs and intent with the department.</p> <p>Human, financial and infrastructural resources are available to achieve the goals and priorities and to implement the planning.</p>
<p>Observations/Remarks/Concerns</p> <ul style="list-style-type: none"> No scholarly debate on what Community Engagement entails is taking place at the Institutional Committee for Research and Innovation, as it should. No analysis takes place of “engagement processes” and as a result no academic scholarship is emanating from engagement. If scholarly outputs of Community Engagement can be proven, it would result in an improved “engagement profile”. As a result of minimum scholarly engagement, the term “community” to a large extent contaminates initiatives aimed at broader “engagement”. A distinct need was observed to determine which Community Engagement processes are connected to the core functions of the institution as these connections might contribute to scholarly impact linked to “engagement”. Those connections that are not clearly linked to the core activities of the university can then rather be categorised as “outreach efforts”. There is an unfortunate misperception among several academics (and possibly support staff as well) that Community Engagement (in the Institutional Office) is merely a “charity department”. This perception possibly contributes to staff members of this department being uncertain about exactly where and how they fit into the university, especially on the longer term (also see Staffing, Criterion 6). It is clear that integration between teaching-learning, research and so-called “Community Engagement” is not at an acceptable level due to a lack of buy-in from academics who are the custodians, scholars and major role players in the process of linking teaching-learning, research and engagement. The director indicated that a paradigm shift is needed where Community Engagement is not seen as an add-on, but rather is integrated into the core functions of the institution. The director furthermore indicated that “outreach” often leads to research and that research entities cannot be relevant and innovative without engaging with communities. 	

- The director proposed that, instead of the current formula for staff members' performance agreements where the core activities are divided into 40% research, 40% teaching and 20% community engagement, a new formula should be used of 50% research and 50% teaching; thus involving only two categories. Community Engagement should then rather be integrated in both research and teaching. What is taught, how it is taught, what is researched and how it is researched, should be directly linked to Community Engagement or the National Development Plan (NDP) and Millennium Development Goals (MDG) which informs the Community Engagement strategy and sustainability
- A quality manual is in place but it is very difficult to direct Community Engagement into the appropriate direction as campus rectors tend to drive their own agendas, depending on how they view Community Engagement, sometimes Community Engagement is not regarded a high priority
- The drivers of Community Engagement clearly emanate from the Institutional Plan. Yet, it is difficult to drive coordinated processes as the campuses tend to do as they wish. There is an apparent lack of leadership at the Institutional Office in terms of aligning the campuses towards a similar, or comparable methodology, in respect of (Community) Engagement.
- The DVC for Research and Innovation seemingly does not have the authority to influence decisions and therefore are not always able to convince campus managements to operationalise Community Engagement initiatives in an equitable way across campuses.
- It seems as if decisions made and projects initiated by the DVC can be easily overruled by officials, for example campus rectors or deans. Although high level approval has been granted for certain projects/decisions, a tendency has been observed where campus officials override some of these decisions and projects initiated by the DVC – who is the Institutional Management member responsible for Community Engagement.
- Campuses tend to argue that they do not have a budget for Community Engagement and that the budget resides in the Institutional Office. This apparent lack of a budget may be associated with the negativity experienced on campus level, resulting in campuses “doing their own thing.”
- The NWU is cautioned that if engagement is not viewed as an add-on or separate activity, but as an activity integrated into the two other core activities, the issue of budget should not arise with the exception being in the case of projects that are of an “outreach” nature. **The integration of engagement will influence the manner in which you teach as well as what and how you research**, for example contract research, action research and applied research. In the case of the majority of these teaching and research activities funding is provided **via teaching and research** subsidy or external funds. There therefore needs to be a shift in engagement being viewed as an add-on, but should rather be viewed as an activity or methodology that adds value and invigorates the other two core functions.
- A clear implementation plan for “Community Engagement” only exists for the Potchefstroom Campus. However, this plan excludes industry and research which resides under a different vice-rector. This directly contradicts the NWU intentional and overt link with “*Implementation of Expertise*” as expressed in the Institutional Plan.
- There appears to be no consensus within the institution on what constitutes and defines a community. It is clear that this question has not been unpacked overtly by the NWU, and hence different interpretations of a community are used.
- Because there is no clarity or agreement on the meaning of Community Engagement and its association (if any) with *Implementation of Expertise*, the practices across campuses differ vastly, and are not clearly aligned with the vision and mission of the NWU as an entity.

Commendation

- The department has a comprehensively documented Quality Manual in which all major processes are documented. This is commendable.

Recommendations (Goals/Priorities)

- 1.1 The institution needs to clearly define what constitutes its “community” i.e. does it only refer to the disadvantaged or marginalised communities?
- 1.2 There needs to be a shift in engagement being viewed as an add-on, but should rather be viewed as an activity that adds value and invigorates the other two core functions.
- 1.3 The emphasis of Community Engagement should be on *Engagement* and not on *Community*. Community Engagement should enrich teaching and the learning experience, as well as research and innovation. This shift of emphasis should be considered as part of future planning and of the formulation of the mission goal (See recommendation 2.2).
- 1.4 A definite paradigm shift needs to be made in terms of the current NWU (perceived) view of Community Engagement. Community Engagement should not be viewed as a separate pillar of the core functions of the University, but should rather be embedded in the primary core functions, namely teaching-learning and research-innovation.

1.5 The panel is concerned about what appears to be a dumping of projects by managers into the Institutional Community Engagement Office, to be steered as “Community Engagement Projects”, although it is clear that no due diligence was done before allocating these projects to this department. Various projects that are not connected to engagement at all, are currently resorting under the Institutional Office Community Engagement portfolio. These projects should be reviewed, possibly redefined and then managed appropriately.

1.6 Institutional Advancement focuses amongst others on general fundraising, for example, raising funds for the development of a soccer field. It appears as if this section intends to use Corporate Social investment funds for Advancement Purposes. “Community Engagement” and Institutional Advancement sometimes compete for the same money from donors, and it is not clear whether Institutional Advancement interprets the expectations of donors correctly. This internal competition should be eliminated as it may be damaging for the reputation of the NWU.

1.7 Institutional Engagement currently reports to the DVC: Research and Innovation. All initiatives and strategies are tabled for input at the Institutional Committee for Research and Innovation (ICRI), which is a sub-committee of Senate, and if necessary it is tabled at Institutional Senate as well. It is recommended that if a closer liaison is to be established with teaching-learning, all initiatives and strategies must also be tabled at the Institutional Committee for Teaching-Learning (ICTL). (If this is not considered an option, it is recommended to establish a separate, dedicated and focussed Senate sub-committee that is able to overtly serve the oversight role associated with this portfolio.)

1.8 It seems as if ICRI is not a suitable forum for the enhancement of scholarly practice on “engagement”. Consider the creation of an appropriate forum that stimulates scholarly debate on “Community Engagement” in such a way that it overtly links with the “core business” of teaching-learning and research-innovation.

1.9 The university needs to reach a consensus and clear understanding **across all campuses** on the institutional definition of **engagement** and hence the mandate and role of the Community Engagement Office in the Institutional Office. (If not, this holds a substantive reputational risk for the NWU as institution).

<p>2. Strategic planning 2.1 Linked with Institutional Plan (IP) of the NWU</p>	<p>2.2 Alignment with similar departments on other campuses 2.3 Good communication with Institutional Office</p>	<p>2.4 Effective strategies in place for the realisation of goals/priorities 2.5 Mechanisms for quality management are integrated into the unit's planning</p>	<p>Possible types of Evidence Regular formative reviews are conducted of the nature and extent of (a) the unit's responsiveness and of (b) the strategies and (c) the resources used to give effect to unit goals and priorities.</p>
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Observations/Remarks/Concerns

- The director has the opportunity to make inputs in the Institutional Plan.
- The director has limited input into strategic level planning. The director merely receives the plans (from above) and is then responsible for the implementation of these plans.
- The director appears to be marginalised in terms of campus operations as campuses tend to do “what they think they have to do”. (It seems as if high levels of discomfort are experienced with the way campus managements approach the “Engagement” agenda and that a unified and well-coordinated approach is lacking.)
- The budget process which takes place in February is far removed from the Institutional Plan process, which only takes place towards the end of October and this is an important factor that prevents this department from efficiently meeting the expectations created in the university environment. The budget process does not support the planning process and is experienced as very complex and challenging (see paragraph 5).
- Although the director assumes broad process ownership for Community Engagement, she does not have overt authority to ensure implementation across campuses. The director merely provides guidelines that can be considered by campuses rather than clear directives. If these were directives, the result of the evaluation would be non-compliance in this case.
- Process ownership at the respective campus levels are complex as the director at institutional level has limited control. Final authority regarding “community engagement activities” lies with campus rectors instead. “Even in such cases, the respective campus rectors do not have control or in some cases even knowledge of the extent of Community Engagement in various departments on their campuses” Requests for feedback from campus rectors are not taken seriously as Community Engagement is not viewed as an important component of the core business.”
- The detail of the current business model prevents her from exercising full control over it and she is possibly marginalised by the management/business model of the institution.
- The director is consulted on campus plans, but her input does not have to be accepted. The primary drivers of engagement activities on campuses seem to be associated with cost/affordability and resources (including human resources).
- Campuses often buy into the Institutional Plan by reflecting on the IP goals in their respective campus plans, but without implementing these campus plans in a structured way. The Institutional Plan is not incorporated into the campus plans and therefore not executed.

- Campuses have started to appoint so-called “community engagement officers” in faculties. It was recommended that these officers be current academic staff with and that their performance agreements would clearly reflect the time allocation for their role in this regard.
- Campus coordinators for “Community Engagement” were appointed on the Potchefstroom and Mafikeng campuses. Although such a coordinator has not been appointed at the Vaal Triangle Campus, the Vice-rector is driving the “engagement process” quite well.

Recommendations (Strategic Planning)

2.1 It is strongly recommended that a model be considered where the word “community” is not used (as in the case of NMMU and other universities). “Community” has a somewhat negative connotation with issues of poverty. A focus on “Engagement”, instead, was much more credible and acceptable among all stakeholders in the university environment. Career paths of academics are then a hybrid between teaching, research-innovation and engagement.

2.2 It is recommended that clarity be obtained on the NWU’s definition of and approach towards “Engagement”. Following from this, a clear policy on Engagement should be devised. Once a clear policy is in place the relevant support structure should be provided for. Faculties may even be requested to establish engagement portfolios. By including engagement as part of promotion criteria and by awarding engagement excellence awards, it will be ensured that engagement receives the same prominence as teaching and research (See recommendation 1.3).

2.3 It is also recommended that engagement should be a standing agenda point at both ICRI and ICTL meetings. The panel acknowledges that it might be challenging to reach consensus between the two subcommittees of senate, but “Engagement” cannot be treated as part of the “research portfolio” only.

3. Policies/Procedures	3.2 Approved	3.4 Implemented	Possible types of Evidence
3.1 Reviewed	3.3 Aligned with other relevant NWU policies	3.5 Available	Policies are aligned (and not in contradiction) with any other related/applicable policy (NWU and/or other).

Observations/Remarks/Concerns

- Although a “Community Engagement Strategy” has been developed, tabled and approved a clear policy directive is still absent.
- A draft policy on “Community Engagement” has been developed but has not been approved by Council yet, despite the recommendation made during the HEQC Institutional Quality Audit in March 2009. It is envisaged that the policy will be tabled at Senate during 2014.
- The draft policy has been distributed at a colloquium on 12 July 2013. Opportunity was provided for input by all stakeholders, but no input or feedback was received. Academics apparently find it hard to attend to issues such as “Community Engagement Policies” as they are already overburdened by the demands of the current publish-or-perish culture in higher education.
- It is challenging to concile the draft “Community Engagement policy” with other current policies of the NWU, for example most teaching-learning policies are currently being reviewed, and a new teaching-learning strategy is being developed for the NWU. The outcome of these reviewed policies might impact on the final policy for “Community Engagement”.
- Despite a well-documented quality manual that includes the main processes and its associated sub-processes and procedures, the director apparently has extremely high levels of possible reputational risks to manage. This is probably because “Community Engagement” is conceptualised differently across campuses and at Institutional level. These divergent conceptualisations might leave the director to manage something that totally beyond the ambit of “Community Engagement”. A typical example is the unfortunate death due to drowning of a first year student, which prompted university officials to assist the mother of the deceased student with the building of a home. The time spent on ad hoc activities such as these, the levels of risks associated with it and the problems regarding sustainability are unacceptable.
- Although Community Engagement forms part of the key performance areas of the respective campus rectors, deans and directors, these officials do not use a consistent interpretation of the concept and often appear reluctant to engage in discussions on Community Engagement.
- There are pockets of excellence in some faculties in respect of cooperation with the Community Engagement Office, for example Health Sciences on the Potchefstroom Campus.
- The Institutional Committee for Research and Innovation is not efficient at all in promoting the interests of Community Engagement.

Recommendations (Policies/Procedures)

3.1 It is recommended that closer collaboration be established with the teaching-learning portfolio in order to align policy directives especially with regard to service-learning and work

integrated learning (See recommendation 8.1).

4. Organisational structure and management

- 4.1 Effective contextualising/placing
- 4.2 Clear management structures
- 4.3 Clear role divisions

- 4.4 Good leadership
- 4.5 Good communication
- 4.6 Non-bureaucratic style and environment

Observations/Remarks/Concerns

- The Community Engagement department is well positioned in the Institutional Office. It currently has two permanent staff members (the director and a general administrative assistant) both paid from 1st stream income
- There are three part-time staff members, also called *social entrepreneurs*, who are all remunerated from 3rd stream income. Unfortunately this money is not always available, which puts further pressure on the director to ensure that funds are available to pay these staff members.
- The director reports to the DVC: Research & Innovation (RI); but the respective campus managers only have a dotted line linked to that of the DVC:RI.
- Efficiency and effectiveness are seriously jeopardised as the role clarification is not clear among campus rectors, not overtly controlled and nobody assumes accountability for it.
- A lack of synergy, comparable practices across campuses and a lack of control and accountability at campus level seriously and negatively impact on the driving and oversight role of the Community Engagement Department at Institutional level.
- Campus rectors appear to regard Community Engagement as an optional extra, rather than an integral part of the core business of the university (See Criterion 1). Campuses tend to focus more on “Public Relation spin-offs” than on serious community development and engagement.
- The views of what constitutes a community will determine how “Community Engagement” is perceived, integrated into the core business and implemented. Ideally, the driving force behind “Community Engagement” should be a focus on how engagement will enrich teaching-learning and research-innovation, and not engagement in the sense of “charity work”. Unfortunately it appears as if campus rectors each want to do “their way Community Engagement” in order to get their respective campuses in the limelight, not considering the long term impact and associated risks.
- The business model of the institution apparently prevents institutional management from exercising authority over campuses in terms of what is expected of them regarding the execution of “community engagement” activities.
- The line manager in the person of the DVC: Research and Innovation focuses to a large extent on outputs and not on operational issues, which are dealt with by the director.
- It is clear to the panel that working in such a sensitive environment, where the main focus is on people, is challenging and cumbersome. The panel doubts whether the university community fully grasps what it entails to work with people in the different contexts associated with Community Engagement.
- There is no clear understanding of the responsibilities of staff members in this department because of the ‘hands-off agenda’ driven by the campuses. Some tasks are ad hoc, for example building a house for the mother of a deceased student. It appears as if management makes decisions without considering an impact analysis.
- The main concern of the institution is apparently the department’s failure to generate money for Community Engagement projects, which makes it a liability or a risk. However, as long as it generates some funds, the status quo is maintained.
- The Community Development Trust, which is a direct partner and co-shareholder of the department of Community Engagement, has advisors to steer them in the appropriate direction. This is not the case for Community Engagement, as a department that functions from within the Institutional Office.
- The DVC for RI (the line manager of the Director for CE) has a meeting four times a year and then consults with each campus rector regarding Community Engagement initiatives on their respective campuses. Campuses are then requested to discuss and engage with Community Engagement issues, but unfortunately other topics such as research management and the support thereof receives priority in such meetings.
- Because the university community appears to be unwilling to engage in a philosophical debate and unpacking of what Community Engagement means and how and where the NWU fits in regarding engagement, Community Engagement appears to be left (over) to the Institutional Director for Community Engagement.
- The panel is concerned about the limited engagement of ICRI (a sub-committee of Senate) with the documents that are tabled for discussion and input. No feedback is received and the attitude seems to be that since Community Engagement is housed at Institutional level, they should do whatever they deem necessary to keep government, politicians and

the HEQC happy.

- The DVCs meet quarterly with the vice-rectors on each campus and the directors of his portfolio. There are also campus visits to each campus twice a year. Unfortunately these meetings last only two hours, allowing for only a few highlights to be raised. In other words, there is opportunity for interfacing, but never the opportunity for in-depth philosophical engagement.
- More functional campus structures are needed as well as opportunities for constructive scholarly inputs, especially from academics.

Commendations

- Despite the various challenges and possibly even high levels of frustration, the work done by the staff members in this department is conducted with high levels of willingness, positive energy and much enthusiasm. This is commendable.

Recommendations (Organisational Structure and Management)

4.1 It is recommended that the DVC:RI should investigate the possibility to establish a separate forum for Community Engagement, instead of treating it as part of the Institutional Committee for Research and Innovation (ICRI). ICRI has a distinct focus on research and “university researchers” are not concerned about Community Engagement, with consequent low levels of input and buy-in when documents related to Community Engagement are tabled at ICRI. (The panel noticed the NWU’s overt linking of CE with “Implementation of Expertise” but the work done by the Community Engagement department is in fact regarded “community based work”, although some university expertise is involved to some extent.) – (This also emphasizes the dire need to interrogate the topic of community engagement)

<p>5. Finances</p> <p>5.1 Sufficient resources are available.</p> <p>5.2 Financial planning ensures adequate resource allocation for the development, improvement and monitoring of quality in the core activities of the unit.</p> <p>5.3 The department has a realistic and healthy budget process.</p> <p>5.4 Control mechanisms are in place.</p>	<p>Possible types of Evidence</p> <p>Budget</p> <p>Control mechanisms</p>
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Observations/Remarks/Concerns

- Budget allocation is regarded a major challenge for the department. The department receives a small operational budget for daily costs. Additional funds that are generated are mainly through initiatives of the director.
- Compared to some other institutions, where the budget for Community Engagement is several millions of rand, the operational budget in this case is a mere R100 000 per annum. (NMMU has a system of engagement enhancement funds in place whereby some projects of strategic value to university, such as the Law Clinic, add a 15% levy on short courses, of which 5% is allocated to engagement enhancement.)
- Corporate Social Investment funding is decreasing and corporate organisations are increasingly working on their own (and no longer in collaboration with universities). The director indicated that she constantly endeavours to improve the cooperation between corporate entities, engaged universities and the NWU.
- Funding across campuses is done via the Institutional Advancement Committee, where all campuses are represented (the director is invited if necessary). The director is supposed to serve on that committee, but in fact is only requested to send her reports to the committee and gets invited only to meetings where there may be possible conflict of interest. Although information from this department is provided to the committee, little information or feedback is received from the committee.
- Attempts are made to coordinate applications for funding to outside sources as far as possible, to ensure that one donor does not get applications from more than one campus. It regularly happens that campuses submit requests for funding to potential donors that the Community Engagement office has well established relationships with. After follow-up liaison with the Community Engagement Office some of these donors then perceive the NWU internal processes as dysfunctional and uncoordinated.
- Obtaining external funds for projects involves proper evaluation and selection of projects. In such cases the department maintains a partnership relation and gives support where and as needed.
- There is a need to use the alumni programme for funding, but this cannot be done because a fulltime staff member is needed to capture data. These relationships are currently managed by Institutional Advancement.

Recommendation (Finances)

5.1 Community Engagement is directly associated with scientific / scholarly inputs and rewards. The NWU has to make a clear decision on its approach towards and reasons for involvement in Community Engagement. These approaches will directly inform the respective funding models and hence the outcomes and impact of “engagement”.

<p>6. Staffing 6.1 Capacity and competency: Enough, appropriately qualified and experienced staff to perform the key functions 6.2 Staff transformation 6.3 Competence and performance development 6.4 Clear role clarification between campuses and IO staff</p>	<p>Possible types of Evidence Staff profile Staff qualifications Task agreements Proof of staff development</p>
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Observations/Remarks/Concerns

- Community engagement is apparently only built into the performance agreements of managers on the Potchefstroom Campus. The other campuses apparently do not deal with this issue at all.
- Mss Beatrix Bouwman and Juanita Cordier (Peromnes level 10 as of this year) are the only fulltime staff members. The national benchmark for similar departments is an average of four staff members. There is no official administrative support for filing, administration, etc. These are all done by the director herself. Ms Cordier handles some financial administration and “Lotto related issues” only.
- One person (social entrepreneur) is dedicated to Service Learning on an ad hoc basis.
- Social entrepreneurs are mentored interns acting as part-time staff members over a period of two years. These interns need to be able to work with money, negotiate multidisciplinary solutions, have an understanding of psychology and be multi-skilled. Interns admitted into the programme are generally people with whom the director has built a relationship over years.
- A lot of time is devoted to the development of these staff members, and staff members (even-part time) learn while performing their work.
- The inner workings and or operational activities of the department are sometimes delegated to the social entrepreneurs for the sake of staff development and capacity development in the department.
- Staff support needs serious attention. At this stage the director performs a dual role, as a Community Engagement research report officer as well as a community engagement officer. This heavy workload makes it very difficult to drive all the different processes.
- The department is in need of a data processor, information manager and administrative staff member.
- Furthermore, a research support officer is needed to assist with the core functions that are performed by this department. Many reports are generated in terms of quality aspects in order to close the gaps or loops, and assistance is urgently required with the compilation and writing of these reports.
- Bursaries are not easy to obtain and the director has to obtain 3rd stream money for that, or place students on a CSI programme (If they are selected to become part of the social entrepreneur programme.)
- The recently appointed campus coordinators will add value, but these coordinators will report to the respective vice-rectors at campus level.
- Campus committees for Community Engagement are needed, where the director can provide efficient input in order to ensure the overall effectiveness of the Community Engagement project. At this stage there are no such committees or forums. A forum like this might also allow the director to obtain buy-in from deans and vice-rectors.
- The director is sometimes invited to the deans’ forums of the different campuses. The best level of cooperation in this regard is received from the Vaal Triangle and Mafikeng campuses.
- The director has indicated her intention to identify exceptional individuals/ academics and invite them to participate in Community Engagements projects.
- The director is actively engaged in building positive personal relationships across campuses in support of the effective roll-out of “engagement” projects.
- There is an unfortunate misperception among several academics (and possibly support staff as well) that Community Engagement (in the Institutional Office) is merely concerned with outreach and charity work. This is possibly why staff members of this department are uncertain about exactly where and how they fit into the university, especially in the longer term.

- The director has no input in the appointment of campus coordinators and this impacts negatively on ensuring internal consistency of outcomes within Community Engagement at the NWU.

Recommendations (Staffing)

6.1 Campuses seemingly drive “community engagement” in their own discretion and in isolation from the Institutional Office for Community Engagement. **This results in non-scholarly engagement because no liaison and communication take place.** It is recommended that this disjuncture be rectified at all the appropriate management levels.

6.2 Staff members seemingly find it difficult to work with the respective campuses as they are reluctant to be held accountable for non-performance in terms of “Community Engagement” outcomes. This situation should be attended to at the highest managerial level. Service level agreements should also be considered to enforce accountability.

6.3 The Human Capital Department should conduct a detailed job/tasks/roles analysis to verify the identified needs for additional human capacity. (Also see paragraph 8.)

<p>7. Client liaison/Service delivery 7.1 Client identification and liaison are priorities. 7.2 Processes and procedures are effective and efficient and are clearly documented in the Quality manual. 7.3 Marketing/communication of core functions is in place. 7.4 Service level agreements with other units/role players</p>	<p>Possible types of Evidence - Policies, processes and procedures are clearly documented, accessible and widely known in the institution. - Regular review of process efficiency and service/product effectiveness. - Effective mechanisms which ensure the integrity of contracts/agreements/communication records. - Service level agreements</p>
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Observations/Remarks/Concerns

- The director indicated that her internal clients are any parties that implement Community Engagement: this might include students, staff members or faculties in general.
- External clients are regarded the broader community, with a clear emphasis on strategic matters.
- Community capacity building through the offering of appropriate short courses are regarded a part of the community engagement project.
- A variety of short learning programmes (SLP) are been offered at various levels, even lower than NQF level 5. The NWU is apparently not mandated to offer any programmes lower than NQF 5 and therefore the offering of SLP as part of CE is running the risk of been questioned.
- It appears as if approximately 200 projects associated with Community Engagement are been executed across the NWU. The panel is concerned about an apparent lack of structure and thematic groupings of these projects.
- “Consultation” is not perceived as Community Engagement, as it should be.
- Industry partnerships are not perceived as community engagement and not linked to scholarship at all.
- Community Engagement is seen as advancement, because the institution gains 3rd stream income through it, which is beneficial to the institution.
- Engagement is merely seen as a function to increase the 3rd stream income. The institution therefor engages because of a need to generate 3rd stream income. However, the institution should also look at the outcomes of engagement differently and due consideration should be given to the outcomes and impact of the use of these funds. There is a need to re-conceptualise the “engagement phenomenon”.

Commendations

- The department’s sensitivity in its efforts to gain the trust of communities, is commendable. The director is very aware that perceptions in “communities” can only be changed through in-depth and at times long term personal relationships and partnerships.

Recommendations (Client liaison/Service delivery)

7.1 The institution should move towards a consensus and clear understanding of why it engages and what the potential scholarly and staff benefits of engagement and whether its current engagement activities are aligned to institutional, campus, faculty and departmental strategic and operational plans.

7.2 High-level engagement is required to steer Community Engagement closer to teaching-learning and research-Innovation. This will impact on the level of and type of client liaison. (One-on-one conversations may assist in changing high level managers’ perspectives of integrating Community Engagement into the core business of the university.)

7.3 Consider conducting curriculum workshops (in the portfolio of teaching-learning) and research development workshops, or the like (in the research portfolio), to integrate, market

and sell “community engagement” as part of a scholarly initiative. Such an integration is very rewarding and these rewards should be emphasised, especially to academics.
 7.4 Engagement excellence should get the same exposure as teaching and/or research excellence. A monetary award can be linked to it to improve participation.
 7.5 If community engagement is viewed as part of the core functions of the institution, the NWU has to recognise it by amongst others providing funding and staffing.
 7.6 In support of improved client liaison, an integrated approach should be followed with teaching-learning and research-innovation. Several options can be considered, of which some are recommended elsewhere in this report.

<p>8. Administration/ Infrastructure/IT 8.1 Regularly updated and effective database 8.2 Record management (electronically and physical) in accordance with the NWU's Record Management Plan</p>	<p>8.3 Sufficient service venues, furniture and hardware 8.4 Sufficient and effective computer software</p>
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Observations/Remarks

- The biggest obstacle in terms of the day-to-day efficiency of the department is the fact that the director has to deal with so many diverse aspects that it becomes hard to focus on priorities. She has to book her own transport with the car park and deal with many other issues that an assistant should ideally take care of. Assistance is therefore urgently needed to deal with operational matters. This emphasises the dire staffing limitation.
- At present there is no reliable data base, but only an Excel spreadsheet. There is a need for capturing baseline data. This further emphasis the staffing limitation.
- An interdisciplinary master’s degree in Community Engagement will be presented by the Faculty of Health Sciences from 2014.

Recommendations: (Admin/Infrastructure/IT)

- 8.1 It is strongly recommended that the director be co-opted in the Teaching-Learning forum. The DVC:TL should be approached with such a request (See recommendation 3.1).
 8.2 There is a need for creating opportunities to bring researchers in closer contact with relevant “community issues” in need of research.
 8.3 No Service Level Agreements (SLAs) are in place. Although some SLAs have been compiled, these have not been signed. Signed SLAs should be in place to ensure process efficiency and overall effectiveness.

<p>9. Quality assurance & Improvement 9.1 Benchmarking (comparison with a similar unit on other campuses or at another university) takes place on a regular basis 9.2 Strive towards improvement and establishing unit's reputation and competitive edge. 9.3 The department has a Quality Manual. 9.4 The department conducted a Self-Evaluation, with Improvement Plan. 9.5 The department plans for a comprehensive Self-Evaluation and/or Peer Evaluation. 9.6 QA initiatives contribute to non-bureaucratic working environment. 9.7 Client satisfaction surveys/ Impact studies. 9.8 Research that informs process of planning and setting of priorities for quality development and enhancement of services/products/functions.</p>	<p>Possible types of Evidence -Quality Manual/Self-evaluation document/ Soft Review/ Peer Evaluation Report -Client agreements/ contracts/ impact and spin-offs -Key quality improvement priorities with regard to the core business of the dept with appropriate resources, time-frames and indicators of success. -On-going discussions and initiatives on new approaches and innovations in the core business of the dept -A system which stores and updates relevant information/data in order to inform policy, planning, implementation and review of the core business of the department (quality improvement). -LIBQUAL Survey</p>
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Observations/Remarks/Concerns

- Campus structures and processes appear far removed from the initiatives steered by the Institutional Office. This contributes to much unnecessary frustration and friction. This should be more functional in order to make proper contributions.
- There is a need for alignment between Institutional Planning (IP) and the annual plans of Community Engagement.
- There is no central database where all projects are captured.
- Many strategies and frameworks are not implemented.
- Very little feedback is received on documents sent for critical comments. Usually only a few deans and some vice-rectors respond and responses are not always contributing towards the matter at hand.
- The Audit and Risk Committee should be approached to assist with applicable aspects such as the data base.

- The use of student volunteers in general Community Engagement /volunteer activities (for example the SJGD on Potchefstroom campus) and predominantly viewed as Community Engagement is an oversight on the part of the institution, as someone has to accept responsibility for when anything goes wrong. At present the structures to manage all of these aspects may not be sufficient. The real and reputational risks are vast.
- There are coordinators on campus, but there is no clarity on their functions especially with regards to service learning versus community based research.
- There is a disjunction between the IP and what campuses actually do.
- All of the above aspects impact directly on quality.

Recommendations (Quality Assurance and Improvement)

9.1 A distinct need has been observed for the alignment of the NWU “wish list” for Community Engagement and the Institutional Plan.

9.2 Data capturing of core activities and associated projects are crucial for the sustainability of engagement activities. All projects must be registered on the department’s database to be considered for an excellence award.

9.3 The internal audit office of the NWU should be consulted and informed about risks associated with “engagement” practices across the university.

9.4 Consider using research master’s and PhD students to assist with surveys and/or impact assessments. The department can be a site of research for such students. This research can be used to inform improved and efficient processes and practises.

9.5 “Research *in* communities” should become “research *with* communities” in order to maintain integrity and credibility. A measure can be reliable but not valid; but if a measure is not reliable it cannot be valid either. Optimise research “with communities” in support of continuous quality enhancement.

10. General conclusions

10.1 The panel wishes to thank Prof George de Lange from NMMU for participating in this evaluation.

10.2 The panel wishes to commend the director on the work done in this department and the scope of documents that were made available during this review. The director clearly went out of her way in her preparation for this review and provided sufficient evidence in respect of all observations made in this report.

10.3 The panel also expresses great appreciation for the passion observed amongst staff members associated with this department. Visits were also made to some of the projects with which this office is involved in the Potchefstroom area.

Please note: Three months after receiving the signed report, submit an Improvement Plan and send to IQO, line manager, relevant vice-rector (if needed) and quality co-ordinator.

Six months after submitting Improvement Plan, develop Progress Report and send to IQO, line manager, relevant vice-rector (if needed) and quality co-ordinator.

This will end the Soft Review cycle.

Dr Jannie Jacobsz
Institutional Director: Quality

Mrs Johanna Müller
Quality Manager: Support Departments

Signed on Tuesday 26 November 2013

Annexure E

Community Engagement Soft Review Improvement Plan 2013-2014

As set out in Soft Review Report structure	Improvement Plan in response to Soft Review on Community Engagement: Institutional management				
1. Goals / Priorities of ICE	<i>Recommendations from panel and identified gaps</i>	<i>Considerations for steps to follow</i>	<i>Prioritization</i>	<i>Responsible parties</i>	<i>Due dates</i>
	1.1 The institution needs to clearly define what constitutes its "community" i.e. does it only refer to the disadvantaged or marginalised communities?	Conceptualization colloquium to agree on the terminology, integration and who is our community.	Urgent	All	Late 2014
	1.2 There needs to be a shift in engagement being viewed as an add-on, but should rather be viewed as an activity that adds value and invigorates the other two core functions.	Discuss accountability and quality control		Campus Management & Support office	ASAP
	1.3 The emphasis of Community Engagement should be on Engagement and not on Community. Community Engagement should enrich teaching and the learning experience, as well as research and innovation. This shift of emphasis should be considered as part of future planning and of the formulation of the mission goal (See recommendation 2.2).	We must decide if we want to differentiate between for-profit and not-for-profit engagement- Do we keep the term "implementation of expertise" which reflects a top-down attitude, this discussion should feed in to 1.1	New vision and mission	Campus Management & Support office	Late 2014

13

	1.4 A definite paradigm shift needs to be made in terms of the current NWU (perceived) view of Community Engagement. Community Engagement should not be viewed as a separate pillar of the core functions of the University, but should rather be embedded in the primary core functions, namely teaching-learning and research-innovation.	See above 1.1-1.3	New vision and mission	Campus Management & Support office	Late 2014
	1.5 The panel is concerned about what appears to be a dumping of projects by managers into the Institutional Community Engagement Office, to be steered as "Community Engagement Projects", although it is clear that no due diligence was done before allocating these projects to this department. Various projects that are not connected to engagement at all, are currently resorting under the Institutional Office Community Engagement portfolio. These projects should be reviewed, possibly redefined and then managed appropriately.	Role clarification through a service level agreement with all campuses and a discussion on the NWU Community Development Trust and its strategy.	Old SLA to be updated	Campus Management & Support office	Late 2014

14

	<p>1.6 Institutional Advancement focuses amongst others on general fundraising, for example, raising funds for the development of a soccer field. It appears as if this section intends to use Corporate Social investment funds for Advancement Purposes. "Community Engagement" and Institutional Advancement sometimes compete for the same money from donors, and it is not clear whether Institutional Advancement interprets the expectations of donors correctly. This internal competition should be eliminated as it may be damaging for the reputation of the NWU</p>	<p>Institutional Community engagement Office (ICE) to become a member of the Institutional Advancement Project Evaluation Committee, (APEC) suggest a collaborative workshop on the requirements of good CSI/ CSR projects.</p>	<p>Completed already</p>	<p>Advancement from all campuses</p>	<p>Already complete</p>
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	<p>1.7 Institutional Engagement currently reports to the DVC: Research and Innovation. All initiatives and strategies are tabled for input at the Institutional Committee for Research and Innovation (ICRI), which is a sub-committee of Senate, and if necessary it is tabled at Institutional Senate as well. It is recommended that if a closer liaison is to be established with teaching-learning, all initiatives and strategies must also be tabled at the Institutional Committee for Teaching-Learning (ICTL). (If this is not considered an option, it is recommended to establish a separate, dedicated and focussed Senate sub-committee that is able to overtly serve the oversight role associated with this portfolio.)</p>	<p>This suggestion must be discussed with line -management of the NWU. A separate sub- committee may cause additional duplication of meetings as ICRI and ICTL will cover all core business activities it is only the volunteerism of especially personnel/ students that will have to be included in this. An aspect of CE that also needs attention and coordination in order to minimise risk.</p>	<p>Urgent- B Bouwman is now attending ICTL meetings and DVC T/L is attending ICRI. Reports to both meetings.</p>	<p>Campus Management & Support office</p>	<p>Sep-2014</p>
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	1.8 It seems as if ICRI is not a suitable forum for the enhancement of scholarly practice on "engagement". Consider the creation of an appropriate forum that stimulates scholarly debate on "Community Engagement" in such a way that it overtly links with the "core business" of teaching-learning and research-innovation.	Engagement like quality forms part of all core business, the scholarship of engagement will then link strongly into both engaged research and engaged T/L. It is proposed that an annual CE conference is held to stimulate and elevate engagement. The management of task agreements promotion requirements and recognition of excellence can be linked to this- as ultimately a publication outputs. Trans- and multi-disciplinary support for the stimulation of CE scholarship can be accessed via the ICE office with the support/ assistance provided by Hendri Coetzee.	Annual colloquium to be planned depends on budget which is tight.	Campus Management & Support office	Sep-2014
	1.9 The university needs to reach a consensus and clear understanding across all campuses on the institutional definition of engagement and hence the mandate and role of the Community Engagement Office in the Institutional Office. (If not, this holds a substantive reputational risk for the NWU as institution).	See above- the outcome of the conceptualization process will be adopted within the relevant strategy and policy documents.	TBD after new visioning	Campus Management & Support office	Late2014

17

2. Strategic planning pertaining to CE	2.1 It is strongly recommended that a model be considered where the word "community" is not used (as in the case of NMMU and other universities). "Community" has a somewhat negative connotation with issues of poverty. A focus on "Engagement", instead, was much more credible and acceptable among all stakeholders in the university environment. Career paths of academics are then a hybrid between teaching, research-innovation and engagement	This recommendation is similar to the above, strategic planning will flow naturally with the agreement on conceptualization and terminologies used. As structure follows strategy, the structures at campus level must support the strategy. Career advancement paths and recognition for contribution must be linked to core-business but also reported in the evaluation/ task agreement processes.	TBD after new visioning	Campus Management & Support office	Sep-2014
	2.2 It is recommended that clarity be obtained on the NWU's definition of and approach towards "Engagement". Following from this, a clear policy on Engagement should be devised. Once a clear policy is in place the relevant support structure should be provided for. Faculties may even be requested to establish engagement portfolios. By including engagement as part of promotion criteria and by awarding engagement excellence awards, it will be ensured that engagement receives the same prominence as teaching and research (See recommendation 1.3).	Policy will be urgently addressed after the conceptualization and strategic planning. Structure to follow after this. Budgetary implications must also be considered and line- managers must take responsibility for managing CE, with or without dedicated personnel as CE should be integrated into core-business.	Colloquium to follow as soon as possible in collaboration with campuses after visioning process, reworked draft policy available for discussion already.	Campus Management & Support office	Sep-2014

18

	<p>2.3 It is also recommended that engagement should be a standing agenda point at both ICRI and ICTL meetings. The panel acknowledges that it might be challenging to reach consensus between the two subcommittees of senate, but "Engagement" cannot be treated as part of the "research portfolio" only.</p>	<p>This recommendation has been discussed with the responsible DVC's and will be formalised as soon as possible. In the case of responsibility for CE being allocated to be the responsibility with the Vice-rector T/L on Potchefstroom campus all information relating to CE and communication will be shared with both vice-rectors for T/L and Research. Volunteerism will be handled according to agreements reached in the abovementioned processes.</p>	<p>Completed by April 2014 already</p>	<p>Campus Management & Support office</p>	<p>Completed</p>
<p>3. Policies /Procedures in CE</p>	<p>3.1 It is recommended that closer collaboration be established with the teaching-learning portfolio in order to align policy directives especially with regard to service-learning and work integrated learning (See recommendation 8.1).</p>	<p>Suggestion: To collaborate with a senior institutional member in T/L that understands the role of CE in integrated reporting, sustainability and T/L aspects eg graduate attributes, perhaps Mrs Christa North? Regular meetings until the alignment is clarified and required processes are implemented. An audit of the status quo of integration of service-learning in the curriculum and also a training course for personnel or new appointees should be arranged.</p>	<p>Collaboration in place BB attending ICTL and reporting to ICTL too</p>	<p>Campus Management & Support office</p>	<p>Sep-2014</p>

<p>4. Organizational Structure and Management of CE</p>	<p>4.1 It is recommended that the DVC:RI should investigate the possibility to establish a separate forum for Community Engagement, instead of treating it as part of the Institutional Committee for Research and Innovation (ICRI). ICRI has a distinct focus on research and "university researchers" are not concerned about Community Engagement, with consequent low levels of input and buy-in when documents related to Community Engagement are tabled at ICRI. (The panel noticed the NWU's overt linking of CE with "Implementation of Expertise" but the work done by the Community Engagement department is in fact regarded "community based work", although some university expertise is involved to some extent.) – (This also emphasizes the dire need to interrogate the topic of community engagement)</p>	<p>Although institutional coordination with the two committees (ICRI & ICTL) can be achieved and may still appear attractive due to the full agendas of university managers, the implication will be that the director ICE must report at both committees. This will be possible. The campus level management buy-in is critical and requires a line-management commitment if we view CE as part of core business. Task agreement management and the appropriate rubrics for evaluating CE in the task agreement must be integrated and actively managed. For coordination purposes campuses could form faculty committees with -where the budget allows for this, coordination of these activities by dedicated personnel in the faculties. Representation and reporting of CE must roll-up to the highest level which is Senate via the ICTL and ICRI. Roadshow to be conducted with Deans and school directors on each campus.</p>	<p>Status quo remains but BB reports to ICRI and ICTL now which takes all reports and recommendations to Senate.</p>	<p>Campus Management & Support office</p>	<p>Sep-2014</p>
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5. Finances of CE	5.1 Community Engagement is directly associated with scientific / scholarly inputs and rewards. The NWU has to make a clear decision on its approach towards and reasons for involvement in Community Engagement. These approaches will directly inform the respective funding models and hence the outcomes and impact of "engagement"	Integration of CE into core-business will contribute to the scholarly outputs for CE. Class fees should be adapted / adjusted to provide for WIL or S/L placement costs. A strategic institutional budget should be provided to ensure the full integration of CE at faculty or School level. Examples of such strategies can be found at University of Stellenbosch and University of Free-State. These are in the order of R3-5million per annum and include incentives and training.	No progress to date- will follow above.	Campus Management & Support office	Sep-2014
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21

6. Staffing of CE	6.1 Campuses seemingly drive "community engagement" in their own discretion and in isolation from the Institutional Office for Community Engagement. This results in non-scholarly engagement because no liaison and communication take place. It is recommended that this disjuncture be rectified at all the appropriate management levels.	See above -an annual CE symposium and appropriate recognition for CE can rectify this. The reporting of ICE activities and vice versa from campuses via their line-management can improve this situation. Improving communication will also go a long way in rectifying this situation via newsletters, the website and management meetings held on campuses.	Communication to be addressed via website improvement and newsletter send out by research office currently, further developments to be announced in collaboration with IO marketing dept.	Campus Management & Support office	Ongoing
	6.2 Staff members seemingly find it difficult to work with the respective campuses as they are reluctant to be held accountable for non-performance in terms of "Community Engagement" outcomes. This situation should be attended to at the highest managerial level. Service level agreements should also be considered to enforce	The line-managers on campuses must drive this process as a rubric similar to quality, but must also enforce accountability. Service -level agreements of the role of ICE must be finalised and signed upfront annually as part of the task agreement of the ICE director and team.	To be handled after colloquium process	Campus Management & Support office	Sep-2014

22

	accountability.				
	6.3 The Human Capital Department should conduct a detailed job/tasks/roles analysis to verify the identified needs for additional human capacity. (Also see paragraph 8.)	This must be an exercise that is not only conducted at ICE level but especially at campus level. The required budgets must be allocated where feasible and clearly communicated.	Same as above	Campus Management & Support office & HR	Late-2014
7. Client liaison /service delivery of CE	7.1 The institution should move towards a consensus and clear understanding of why it engages and what the potential scholarly and staff benefits of engagement and whether its current engagement activities are aligned to institutional, campus, faculty and departmental strategic and operational plans.	This links into the conceptualization and strategic planning see above.	See above	Campus Management & Support office	Late-2014

23

	7.2 High-level engagement is required to steer Community Engagement closer to teaching-learning and research-innovation. This will impact on the level of and type of client liaison. (One-on-one conversations may assist in changing high level managers' perspectives of integrating Community Engagement into the core business of the university.)	Time should be allocated to introduce CE strategies into the faculty visits by the vice -rectors and the ICE should also meet with Faculties and Deans at least annually.	Road shows planned in latter part of 2014 following above	Campus Management & Support office	Sep-2014
	7.3 Consider conducting curriculum workshops (in the portfolio of teaching-learning) and research development workshops, or the like (in the research portfolio), to integrate, market and sell "community engagement" as part of a scholarly initiative. Such an integration is very rewarding and these rewards should be emphasised, especially to academics	Training workshops similar to the course for new lecturers must be a standard offering for all personnel and a basic training course or at least a guidance (booklet) for CE in T/L and Research/ Innovation can be compiled and made available as a short course or certified qualification. The policies for CE, risk management and volunteerism should be availed and discussed at the training workshops.	Funding an issue we have spoken to US and UFS for training - long term	Campus Management & Support office	Late-2014
	7.4 Engagement excellence should get the same exposure as teaching and/or research excellence. A monetary award can be linked to it to improve participation.	The event is currently only linked to the research awards event and should include excellence for T/L or the existing event for T/L. A budget should be allocated which can be awarded to the winning projects and this will be proposed for CE in 2015. We are asking at least R500,000.	Request not granted yet budgetary constraints	Campus Management & Support office	Ongoing

24

	7.5 If community engagement is viewed as part of the core functions of the institution, the NWU has to recognise it by amongst others providing funding and staffing.	Noted and must be discussed by IM and HR.	See above	Campus Management & Support office	Ongoing
	7.6 In support of improved client liaison, an integrated approach should be followed with teaching-learning and research-innovation. Several options can be considered, of which some are recommended elsewhere in this report.	Noted improvement of communication and accountability is crucial.	See above	Campus Management & Support offices	
8. Admin/Infrastructure/IT of CE	8.1 It is strongly recommended that the director be co-opted in the Teaching-Learning forum. The DVC: TL should be approached with such a request (See recommendation 3.1).	This is already in process.	Completed	Campus Management & Support offices	
	8.2 There is a need for creating opportunities to bring researchers in closer contact with relevant "community issues" in need of research.	A needs assessment in the North -West province was conducted in 2011. This is available for deciding on the positioning of CE and the university strategy.	Will follow colloquium.	Campus Management & Support offices	Late-2014
	8.3 No Service Level Agreements (SLAs) are in place. Although some SLAs have been compiled, these have not been signed. Signed SLAs should be in place to ensure process efficiency and overall effectiveness.	This will be informed by the above and integrated into new agreements that must be formalised annually.	Will follow colloquium.	Campus Management & Support office	Ongoing

25

9. Quality assurance & Improvement of CE	9.1 A distinct need has been observed for the alignment of the NWU "wish list" for Community Engagement and the Institutional Plan.	The wish list will be determined and agreed on once the strategy is in place, see above. The integration into the IP is critical to ensure that specific goals are achieved.	See above	Campus Management & Support office	Ongoing
	9.2 Data capturing of core activities and associated projects are crucial for the sustainability of engagement activities. All projects must be registered on the department's database to be considered for an excellence award.	The data base is critical and must include all required information that informs reporting requirements on all levels.	Urgent - have acquired budget support and investigative materials supplied to IT, we are also meeting with the KIDZ Africa database designers in August 2014	Campus Management & Support office	Sep-2014
	9.3 The internal audit office of the NWU should be consulted and informed about risks associated with "engagement" practices across the university.	This is already on the agenda of the risk register and will be managed accordingly.	Can perhaps be included in policy	Campus Management & Support offices	Ongoing

26

	<p>9.4 Consider using research master's and PhD students to assist with surveys and/or impact assessments. The department can be a site of research for such students. This research can be used to inform improved and efficient processes and practises.</p>	<p>This need has been partially addressed through a contract appointment (3yrs) of Mr Hendri Coetzee. We have received and complied to requests from various internal and external partners.</p>	Completed		
	<p>9.5 "Research in communities" should become "research with communities" in order to maintain integrity and credibility. A measure can be reliable but not valid; but if a measure is not reliable it cannot be valid either. Optimise research "with communities" in support of continuous quality enhancement</p>	<p>The abovementioned short courses and guidance will go a long way in introducing this concept. The creation of feedback loops must be included in MOU's and other types of partnership agreements. Recognition of reciprocity and mutually beneficial relationships and the appropriate recognition of the various contributing parties have to be included in the policy documents and guidelines.</p>	<p>Pamphlet designed for use by all parties will be completed on acceptance of new policy</p>	<p>Campus Management & Support offices</p>	<p>TBD ASAP</p>



REPORT ON COMMUNITY ENGAGEMENT INDABA WORKSHOP 13 APRIL 2015

General observations

The conceptualization of CE not finalized and a variety of concepts is still floating around.

- The most important question of who is the NWU's community needs to be answered, are we taking all stakeholders perceptions into account?
- What is the difference between engagement vs simple communication?
- Engagement includes concepts such as participation, involvement, feedback interactive and consultative activities.
- Concerns are that the community is now going to tell the university what is should be doing.
- What kinds of knowledge is generated and shared? Is university knowledge the only valid knowledge?
- What about power relations? The use of the term implementation of expertise vs sharing of expertise/ knowledge, other topics of importance is empowerment vs enablement.
- The principle of mutually beneficial activities or reciprocity must be clear.

Additionally

Where do projects originate from- is the driver research or needs or are we approached by external parties- are they our community? BUT we are also part of the community what are the issues we need to focus on? What is the purpose of engagement? What is our core business?

The principle of integration of CE was generally accepted.

Workshops

Morning workshop

Stream One: How do we integrate Community Engagement into departmental priorities, projects/programmes/curriculum/student activities and research?

How CE can be integrated into NWU activities

- By creating awareness (i.e. on what CE is)
- By involving students (as part of a formal programme)
- By producing an official document stating what CE in context of NWU is
- By using dedicated people to drive CE activities
- By developing faculty-based projects that "speaks to all/majority of staff and students"
- By providing support services to the faculties that are not socially orientated
- By developing/establishing structures to promote CE activities on the various campuses

- By making CE part of the institutional plans, campus plans and KPA of management
- By providing training of CE
- By focusing on specific communities
- By focusing on themes
- By using incentives for staff and students to participate (rewards, credits, indicating it on transcripts of students)
- By including CE in all other activities (linked to core business)
- By building capacity among students and staff
- By making it part of student attributes development
- By making it part of the institutional culture of the NWU
- By undertaking a formal process to determine needs related to the implementation of CE

Stream Two: What should the priorities/focus areas/themes of community engagement be to ensure alignment and integration between internal and external stakeholder's expectations?

- The working group discussed the approach to identifying themes and were of the opinion that they could not prescribe new themes according to focus, the idea would rather to be *not too focussed*. But to be led by different situations- in some cases the need for interventions may be identified as a result of research findings or observations from the NWU, however, we could also be approached by external parties to assist with specific issues where we could play a facilitating, incubating, innovator, implementer advisory, capacitating or contributing role.
 - There may different priorities according to a campus context but differentiation must be justifiable. The environment of the different campuses and the diversity of the communities may play a role in defining which themes may be supported. Prioritising could differ therefor from time to time.
 - There are existing themes in the National Development Plan that could be the backbone to our planning. These priorities can worked on at the NWU is some way or the other. It is currently being considered as part of the strategic planning process and the envisioned success model.
 - We should not forget that we are also members of the community and that issues do not change when we enter the NWU gates. Consultation with the community is important and this could be key informants e.g. the mayor or other key stakeholders that can be contributors on behalf of (grass roots) civil society.
 - Linking to broader research themes as they currently exist is not impossible. We have well -establish research programmes, *but should not have a parallel programmes for CE* and must utilize existing strengths and make the links where possible in order to strengthen research themes and consolidate and maximise resources. Research and community engagement should be brought much more closely. Not only consolidation but also conflation. Research and teaching should embrace the mode of integration of community engagement.
 - The research themes were designed to ensure collaboration, and we should consider the entire spectrum of society in research. The efforts must be converged and not only basic research (which remains important), we recognize that not everybody should do CE. Individuals may not be involved in CE all the time. Transdisciplinary and multi-disciplinary interaction are needed.

- Strategically we will have to consider to have focussed themes (research and CE) which enforce international recognition.
- We should also aim for sustainability and integrate activities even from *voluntary student's activities to ensure that they are complimentary and sustainable*. Students must not necessarily learn not to solve problems or to help people, but should learn from the community. *Engaging is a process where we learn from each other*. The skills they acquire should have a major emphasis on core business outcomes and goals.
- CE is part of teaching -learning via WIL and service -learning, that enhance student experiences and contribute to student attributes. We want to create socially responsible citizens that may *not only linked* to vocational training.
- CE is a conscience response – it is a mission element for being relevant.
- Research would not drive CE exclusively.
- We MUST answer the question who is the community.
- We must define what we are going to do, as it can influence what we do in student volunteerism and other forms of community service.
- The idea of flagship projects may be a better option than exclusive themes. We must identify current projects that can be flagships and grow those.
- Our innovation(s) and knowledge generation must contribute to solve or assist with the social problems. We use knowledge as enablement, not empowerment.
- Development is not our role and we must also be sensitised of the stigmas that can be attached to this term.
- We can provide service and do empowerment through teaching as well as research.

Major question requiring discussion: who is our community?

Afternoon workshop

- *Stream One*: What is the role of the NWU in a sustainable development context?
- *Stream Two*: How can NWU become more sustainable by focussing on community engagement? See slides

We did not break-up into streams because the audience or participants were less and we wanted to ensure inclusive participation. The re-drawn slides are self-explanatory.

Way Forward:

How do we include today's discussions as part of an outcome which influences the bigger strategy of the NWU? Steps explained on the redrawn slides.

Annexure G

2015 – 2025

From Passion to Success

North-West University
Strategy
for
Research, Innovation,
Community Engagement,
Internationalisation and
eResearch

August 2015

Version 2.0



NORTH-WEST UNIVERSITY
YUHIBESITI YA BOKONE-BOPHIRIMA
HOORDWES-UNIVERSITEIT

Contents

Context	1
Future Thinking	2
The University of the Future	3
The NWU as a University of the Future	7
The NWU Success Model	8
Research	11
Innovation	16
Community Engagement	19
Internationalisation	21
eResearch	25
An Integrated View	28
Contribution towards a vision for the future	29
Acknowledgements	30

Context

The North-West University (NWU) has an ongoing strategic planning culture. This document is providing a future view for the period 2015 – 2025 for the strategic areas of Research, Innovation, Community Engagement, Internationalisation and eResearch. It is informed by a variety of past strategic initiatives, including:

- A Self-evaluation Report to the External Evaluation Panel on Research, Innovation and Community Engagement at the NWU, June 2012
- A Report by the External Evaluation Panel for NWU 2012
- The NWU Research Indaba and Strategic planning: 4-5 February 2013: A New Emphasis on the NWU Management of Research and its Responsiveness to Current and Future Challenges in Research
- The Institutional Strategy for Research, Innovation and Community Engagement, 2014 – 2020 (the current reference strategy)
- The development of an emerging NWU success model and strategy

This document is further informed by a strategic alignment workshop held on 16 and 17 July 2015 where the five strategic areas were presented and debated in terms of their alignment with the Success Model and each other. The current strategic planning takes place against the NWU Success Model. This model provides a clear view of what the university regards as a successful destiny for the future.

It should be noted that this strategy document is not the corporate strategy of the NWU, but a strong input into it, focusing on the five strategic elements of Research, Innovation, Community Engagement, Internationalisation and eResearch.

Future Thinking

We all apply strategic thinking to reduce uncertainty and to maximise competitiveness. But what lies beyond strategy? ...The future.

The future is notoriously unpredictable. But there are ways of making the future less uncertain. When we look at the future, we do it in the context of technology trends (not science fiction, but technologies that are recognisable in the research and development phase); the behaviour of people (young and old, in the workplace and in society, at work or at play) and events that change the world (geopolitical events, natural events, predictable and unpredictable events, avoidable and unavoidable events). In this triangle spanned by technology, behaviour and events, we can see the future unfolding in the form of probable possibilities. Future thinking now takes place in a holistic context, a systemic approach to many facets of what is shaping our tomorrows. We highlight a few things you want to know about the future.

New economic waves based on emerging technologies such as biotechnology, nanotechnology, next generation energy technologies and neuroscience lead us into the knowledge economy where value is based on intangible components. A few emerging technologies have caught the attention. Social media will keep us connected in a human world-wide network. The world of mobility and apps and maps govern the way we communicate and manage. Augmented reality brings us real time information by viewing objects through a mobile device. 3D printing is busy revolutionising manufacturing. Not only can we make anything where we want it, we will soon be able to grow organs and body parts for implantation and replacement. The cloud is ubiquitous and accessible, splitting our processing and data. Virtually is a space without a place and shapes the future of work. The Internet of Things connects humans and their appliances or systems and these things with each other. Big data is the next big thing. Geospatiality gives coordinates to everything, including our business intelligence and strategies. Genetic engineering, micro- and nanofluidics allow us to manipulate cells and simulate a body on a chip.

We are experiencing a consumer revolution and are seeing a confluence of generations in the workplace. The emergence of Artificial Intelligence will make changes to how we work, live, play and transact that are unprecedented. Biological (Darwinian) evolution took billions of years. By developing technology, *homo sapiens* can now speed up technological evolution in technology life cycles of less than 10 years, with complexity taken over by machines that can, through machine selection, produce an intelligence surplus in less than a microsecond. We live in an era of technovolution, where the rate of change is post-exponential. Improvements in brain medicine may evolve to establishing human-chemical interfaces for learning, and swallowing a knowledge pill to learn a new language or discipline may not be too farfetched.

People are getting older, with resultant strains on financial and health systems. Despite our quest for peace, geopolitical complexity and risk are driven by economics and emotion; religious tensions and intolerance breed new realms of terrorism; financial systems are not operating normally and need to be redefined; cyber-crime and cyber-warfare, practiced by states and criminals alike, are a reality likely to cause global disruption; democracy is being redefined and the future of the nation-state may be at risk.

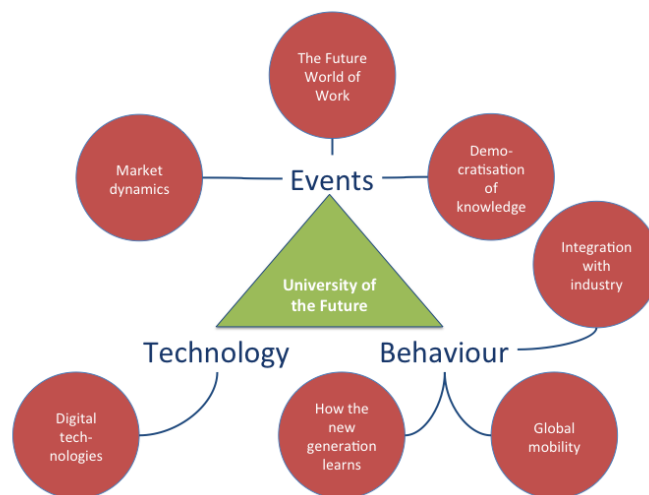
By applying the Events-Technology-Behaviour approach to look at the future, we can see change, which is a function of physical things (technology) plus perception (behaviour of people) plus what happens (events). Future thinking is then the integral of all change over time and strategy is the summation of all future thinking.

Dr Anthon P Botha

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The University of the Future

The university industry, as a thousand year old industry, is on the brink of profound change according to an Ernst & Young report on “The University of the Future” published in 2012. The Economist in 2014 is more pessimistic, stating that some colleges are under immense pressure and that mass bankruptcies may be expected in the next two decades. The dominant university model - a broad-based teaching and research institution, supported by a large asset base and a large, predominantly in-house back office will prove unviable in all but a few cases over the next 10-15 years. These are global drivers that will certainly impact on the NWU.



Certain *events and trends* are critical for the University of the Future:

The future world of work: People, both inside the workspace and in the market place, are behaving drastically different from the long known and set norms for work and consumerism. Instead of talking about a generation gap, we are facing a future where up to four generations will co-exist in the workspace and the marketplace. New values are developing in the workplace. In answering the question “what is work?” the tendency is moving away from interpreting it just in terms of money, towards interesting and creative activities; helping other people; having time to spend with families; sense of achievement and sense of a meaningful life. Since work is becoming virtual, it is so much easier to change work, to migrate rapidly from one workspace to another. Leading from the side, and not from top-down, is becoming the norm. Responsibility is delegated to the lowest possible levels and autonomy is given for decision making, based on trust that stems from a common culture of openness and sharing. The style of management is shifting from command-and-control to coordinate-and-cultivate. There is no space in the future world of work for people that can do only one thing at a time. Reductionism is something of the past.

We do not have the luxury to analyse and understand everything before we do; but we learn as we do. Enterprises, both private and public will dictate what skills they require in an individual working for them.

Market dynamics: Competition for students among universities, locally and abroad, is reaching new levels of intensity, at the same time as governments globally face tight budgetary environments. Universities will need to compete for students and government funds as never before. The income streams and their mix will drastically change in future, forcing universities to act more like businesses.

Democratisation of knowledge: The massive increase in the availability of online knowledge and the mass expansion of access to university education in developed and developing markets mean a fundamental change in the role of universities as originators and keepers of knowledge. No university will be the sole custodian of knowledge in future, or be the exclusive generator of knowledge, but universities should rather focus on the curation of knowledge.

Technology shifts impact on the University of the Future:

Digital technologies: Digital technologies have transformed media, retail, entertainment and many other industries. It is clear that higher education is next. Campuses will remain, but digital technologies will transform the way education is delivered and accessed, and the way higher education providers create value. Campuses will transform to places of debate, platforms of research infrastructure and demonstration of knowledge and products rather than teaching and learning in the traditional sense.

Behavioural change that will revolutionise the University of the Future include:

Integration with industry: Universities will need to build significantly stronger relationships with industry. This will lead to differentiation of teaching and learning, support the guidance, funding and application of research, and reinforce the role of universities as drivers of innovation and meaningful community benefit.

Global mobility: Students, academics, and university brands will be globally mobile. Competition will be intensified, but opportunities will also be created for global partnerships and broader access to talent. Knowledge is mobile and will always be in flux. The challenge is to maintain a positive balance of knowledge in a country and allow people to be mobile.

How the new generation learns: Universities will have to adapt to new learning requirements, with paradigms shifting from educator to learner and from content to methodology. The flood of available knowledge is not confined to textbooks anymore and the workspace and the student, rather than the professor, will dictate the requirements for qualifications. Immersive experiential learning in simulated environments of the future workspace will replace archaic practical laboratory work and internships.

The “University of Everywhere”: Considering these drivers, the “University of Everywhere”¹ is on the horizon. Free courseware (MOOCs or Massive Open Online Courses) will be in abundance. Continually improving digital learning environments will radically change the economic logic of creating new higher education institutions or growing old ones. The university will not control the learning space, but the future world of work will, even to an extreme extent that degrees may become old fashioned. The total cost of learning will be reduced to insignificant numbers, and universities will have to transform from earning tuition fees, to offering modern education tools. Artificial intelligence will analyse what students need to learn and customize and optimise the learning processes. An individual will have a life-long continuously improved learning experience. Communities will become increasingly virtual, be that campus communities, or communities in social media. “Community Everywhere” will support the “University of Everywhere”.

The liberation of research: Select institutions, such as universities and national laboratories, cannot perpetuate exclusivity in research. We live in the era of “Open Everything” – open data, open source, open access, open peer review, open notebook and open science. We need to take research to everyone and the paradigm for that is open science. Increasingly, ordinary citizens will be used to identify challenges, as sensors and as solution providers (citizen science and crowdsourcing). This will bring about co-creation and co-responsibility of research solutions. Universities of the future will create an enabling environment - move to globally shared research platforms and research infrastructure. To survive, it is crucial to identify and reduce barriers to inter-institutional, inter-disciplinary and international collaboration among governments, research institutions, industry and citizen groups – the quadruple helix. Universities will have to develop innovative funding approaches for science such as crowd-funding and entrepreneurial research. Research will have to focus on finding human-centred solutions.

The evolution of the global “University of the Future” model: According to the Ernst & Young report significant transformation of university business models is expected in the coming decade and beyond, despite the historically slow pace of change in the sector.

Streamlined status quo: Some universities will continue to operate as broad-based teaching and research institutions, but will transform the way they deliver their services and administer their organisations, taking the drivers discussed above into account.

Niche Dominators: Some universities will fundamentally reshape and refine the services and markets they operate in, with a concurrent shift in their business model, organisation and operations.

¹ Andrew Kelly, 2015, <http://www.forbes.com/sites/akelly/2015/04/08/the-university-of-everywhere-isnt-for-everyone-the-future-of-learning-will-be-a-big-tent/>

Transformers: Private providers and new entrants will start to occupy new positions in the traditional university sector, creating new markets that merge parts of the higher education sector with other sectors.

The key for public universities is to find partnerships and negotiate deals that build in brand protection and a reasonable share of the value created in the new system. A hybrid of these models is also possible. Regardless of the model and direction universities choose, they face interesting and turbulent times.

The status quo is not on.

The NWU as a University of the Future

Five critical questions to take the NWU forward towards becoming a “University of the Future” are:

- Are we committed to become an international university of choice?
- Are we ready to make radical changes to how we do business?
- Are we open minded about open science?
- Are we ready to train the minds of the future?
- Can we start now?

In an effort to answer these questions for the strategic elements of Research, Innovation, Community Engagement, Internationalisation and eResearch, previous strategic thinking is taken into account, benchmark indicators that are regularly updated are considered, existing success stories are used as a basis, the desire to remain and grow the success of the university in terms of its emerging Success Model is taken as a baseline for future orientation and the global context is taken as a strong reality check.

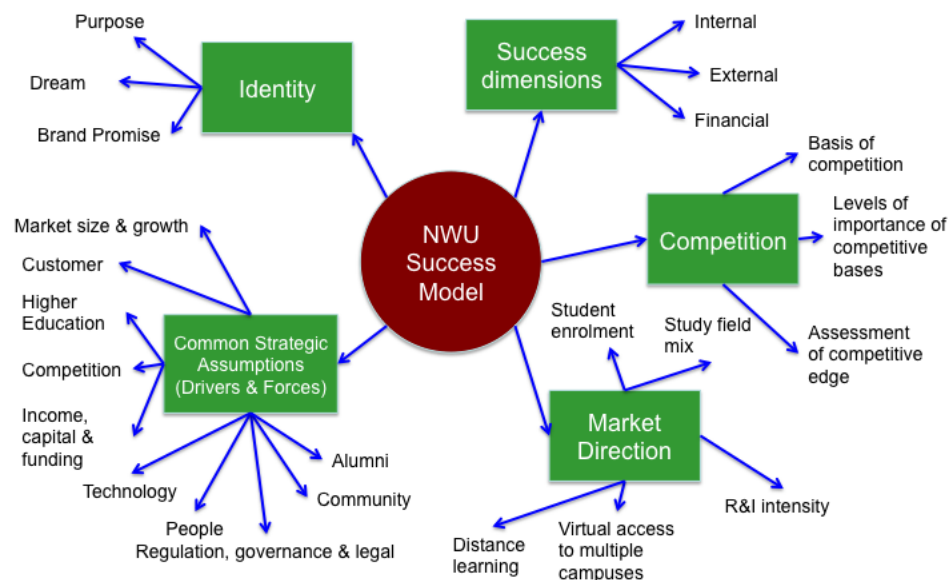
The strategic interventions that emerge in this strategy document are derived from, first of all, considering the NWU Success Model and the targets it sets. Then each of the strategic areas are viewed in terms of the future landscape that is unfolding and:

- A clear understanding of what the strategic element is and where it is going, and how it fits in with the other strategic elements
- A view of the current position of the strategic element with respect to the Success Model
- An envisaged ideal position of the strategic element with respect to the Success Model
- Identification of gaps between the as-is and ideal state of supporting the Success Model

The proposed strategic interventions to close these gaps are then listed arising from existing strategic interventions identified over time in existing strategies and new ones that emerged from the strategic alignment among the strategic elements and their position with respect to the Success Model.

The NWU Success Model

The emerging NWU Success Model contains the elements as outlined in the schematic below.



The NWU identity holds elements of its reason for existence. The intent of identity is that it captures the hearts of people within the organisation, and together with the values, is used as the basis for developing the desired organisational culture as well as for brand positioning. The NWU is about serving society through the creation of knowledge, innovative learning and enabling communities.

The NWU dream leads to a vision that entails the desire **to be an internationally recognised university in Africa, distinguished for engaged scholarship.**

The brand promise includes a pledge for excellence, dynamic outlook, and being a value-driven organization, mindful of “ubuntu” and caring for people.

u·bun·tu

ˌooˈboʊn(t)oo/

noun

noun: **ubuntu**

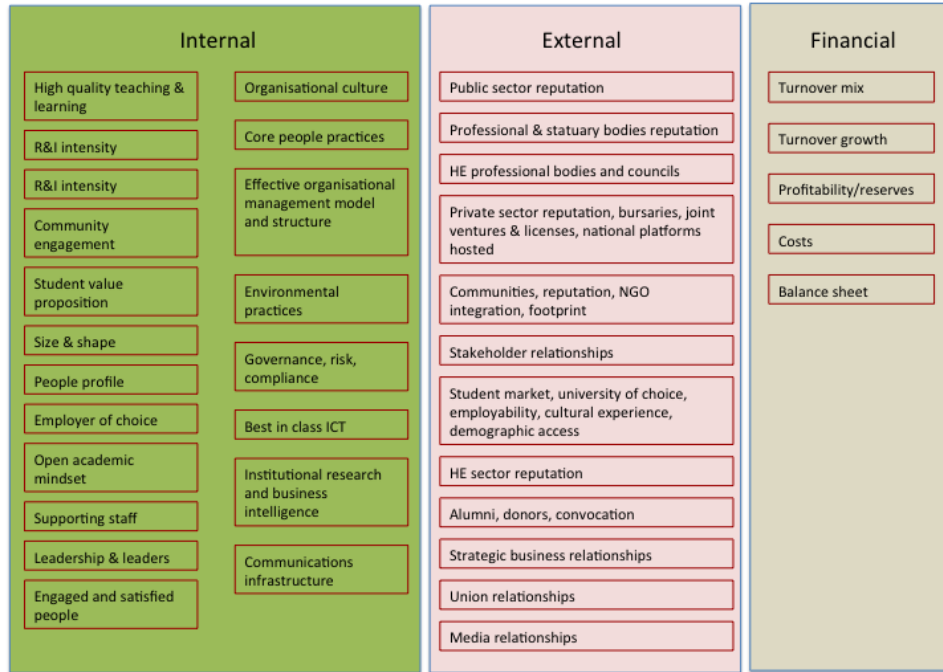
a quality that includes the essential human virtues; compassion and humanity

Comment [BB1]: this implies in my book that we are using WIL and service /learning to train the students the market wants- if this is what is meant herewith it carries my support, if something else is meant with this we have to rephrase.

The NWU has identified strategic assumptions that refer to key drivers and trends, developments, anticipated significant events, important current realities that will continue or may intensify, as well as anticipated risks and opportunities that are likely to impact the University in the short-, medium- and long-term. These strategic assumptions address:

Strategic area	Assumption considerations
Market size and growth	Changes in undergraduate and post graduate student demand, locally and internationally
The customer	For teaching and learning and for research, innovation and community engagement the market segmentation and value expectations
Higher education	Teaching and learning and research, innovation and community engagement
Competition	Competitive intensity, differentiation, resources, reputation, focus and strategic relationships
Income, capital and funding	Funding sources and funding streams, such as Department of Higher Education and Training (DHET) funding, tuition and related fees, entrepreneurial income, donor income, state subsidised research income, investment income, funding for infrastructure, equity position and reserve policy, debt income
Technology	ICT, general computer literacy, ICT in teaching and learning, ICT for research and bridging the digital divide in communities
People	Scarce skills, black academic scarcity, organisational culture and commitment, Sector Education and Training Authority (SETA) rebates, unemployment increase, Employment Equity Act, influence of trade unions
Regulation, governance and legal issues	Levels of stringency and interventionism, changing governance, increasing legislation and compliance challenges
The Community	Increasing expectation from communities, ownership from communities, increasing student assistance demands, increasing student activism and unrest
Alumni	A significant stakeholder and influencer

Success dimensions addressed by the NWU Success Model include:



The NWU Success Model identifies its basis for competition in three clusters



Research

It is the policy of the NWU that research be executed in identified Research Entities, which promote innovative research and innovation for the economic development of the country, the continent and the world according to identified Research Themes. The research entities (Niche Area, Focus Area, Unit, Centre of Excellence) are formed according to a policy that sets forward the criteria and rules for establishment.

These Research Entities are aligned with the National Development Plan (NDP) and linked with a variety of other national imperatives and national strategies. The current Research Entities and the Research Themes that they address are listed in the table on the next two pages.

The Research Support Office manages research in the university.



Research Theme								
	Health	Mining & Minerals Beneficiation	Business Support	Energy	Social Dynamics	Environment	Food Security	
Research Entity	Centres of Excellence	Centre of Excellence for Pharmaceutical Sciences (PharMaCen) Centre of Excellence for Nutrition (CEN)		Centre for Space Research				Centre of Excellence for Nutrition (CEN)
	Units	Africa Unit for Trans-disciplinary Health Research (AUTHeR)		Unit for Business Mathematics and Informatics (BMI) Unit for Economic & Management Sciences (WorkWell)	Unit for Energy Systems Unit for Environmental Sciences and Management	Unit for Language and Literature in the South African Context Unit for Reformed Theology and the Development of the SA Society Unit for Development in the South African Constitutional State Research Unit for Education and Human Rights in diversity (Edu-HRight)	Unit for Environmental Sciences and Management	Unit for Environmental Sciences and Management
	Focus Areas	Physical Activity, Sport and Recreation (PhASRec) Hypertension in Africa Research Team (HART) Quality in Nursing and Midwifery (INSINQ)	Chemical Resource Beneficiation (CRB) Material Science Innovation and Modelling (MaSIM)	Tourism Research in Economic Environs and Society (TREES)		Social Transformation Understanding & Processing Language in Complex Settings (UPSET) Optimal Expression of Individual, Social and Institutional Potential (OPTENTIA) Self-Directed Learning (SDL)		

Research Theme								
Research Entity	Niche Areas	Medicine Usage in South Africa (MUSA) Population and Health		Trade and Development (TRADE)		Musical Arts in South Africa : Resources and Applications (MASARA) Multilingual Speech Technologies (MuST) Visual Narratives and Creative Output		Food Security and Safety in the North West Province
	Hosted Research Entity (Centre, Platform, Institute)	DST NWU Pre-Clinical Drug Development Platform (PCDDP) TIA Centre for Human Metabonomics DST Centre of Excellence in Indigenous Knowledge Systems	the dti Centre for Advanced Manufacturing DST HySA Infrastructure Centre of Competence in Hydrogen		DST HySA Infrastructure Centre of Competence in Hydrogen			DST Centre of Excellence in Indigenous Knowledge Systems the dti Centre for Advanced Manufacturing
	Commercial Entity	Centre for Pharmaceutical & Biomedical Services						
	SARChI	Early Detection and Prevention of Cardiovascular Disease in Africa	Computational Chemistry	Astrophysics and Space Physics	Nuclear Engineering Coal Research Biofuels Research		Coal Research	
	Industry Chair						Emission Control	
	Other Chairs	HART Chair						
Other		BioPharm PhasRec	Jonker Sailplanes	Export Modelling Business in IT Serious Games	Environmental Law Energy Cybernetics M-Tech HVAC	Teaching and Learning Organisations	Environmental Law Water	Crop Science Animal Health Consumer Sciences

For NWU research to assist in the realisation of the Success Model, the following strategic interventions are required:

Interdisciplinary research

- Put in place a discipline strengthening and performance enabling, unitary university-based organisational structure and management model promoting and enabling interdisciplinary collaboration, with integrated functioning inter-and intra-campuses
- Foster research teams
- Balance the introduction of new growth areas dictated by emerging technologies and strengthening of the disciplines
- Optimise collaboration among research entities

Research support

- Simplify research support models and structures and optimise processes
- Provide appropriate research environments
- Entertain both researcher initiated and project development research opportunities
- Radically expand Research Chairs and research assistance
- Apply the Research Infrastructure strategy

International impact

- Establish and maintain a research and innovation intensity to make a notable international impact
- Gain international respect and be recognised as leaders in selected areas of excellence

Academic freedom

- Ensure that academics involved in research have an open critical thinking mind-set and be respectful of the right to freedom of expression, be committed to and respect the full scope of diversity, scholarship, and a good work ethic
- Ensure that research support staff display critical thinking, freedom of expression, commitment to and respect for full scope of diversity, and be high-performance individuals
- Allow different ways of approach in different environments (culture) and accept that no single solution may exist

Reputation and perception

- Work towards obtaining a public sector reputation of a collaborative university, being the preferred partner for public projects, aligned with national imperatives; having a clearly distinguished role in national development projects; being a national debate and policy/regulatory influencer; being a public opinion shaping, responsive and accountable valued national-regional-local asset; being a prime example of true transformation and nation building; and providing value for money
- Become the research destination of choice for researchers from the region and globally

Recognition

- Incentivise multidisciplinary and cross-campus collaboration
- Encourage and reward research and entrepreneurship appropriately

Benchmarking and measurement

- Continue to use benchmarking tools as in the past, focusing on defining what quality research means and how to measure research productivity, efficiency, relevance and impact of research outputs

Marketing research

- Market research through telling success stories
- Develop a radical new way of doing business in research, focusing primarily on international funding
- Strike a balance between steering research (market pull) and “academic dreaming” (push)
- Focus on finding human-centred solutions for identified problems through applying themes and disciplines
- Develop a clear understanding of how research should address the knowledge economy

Research ethics

- Develop policies to address research ethics, including health research, non-health research and umbrella applications

Innovation

The university adopts the following understanding of innovation: “The process of translating an idea or invention into a product or service that creates value or for which customers will pay.” Innovation involves deliberate application of information, imagination and initiative in deriving greater or different values from resources, and includes all processes by which new ideas are generated and converted into useful products and services.

“Innovation has nothing to do with how many R&D dollars you have. When Apple came up with the Mac, IBM was spending at least 100 times more on R&D. It’s not about money. It is about the people you have, how you’re led, and how much you get it” – Steve Jobs

The university has established a Technology Transfer and Innovation Office that is responsible for promoting innovation. Innovation success is measured against the number of disclosures and patents filed and registered. It is further informed by license agreements, income from royalties and invention-based product sales. A critical indicator for innovation is the number of independent, associated or subsidiary spin-off companies.

Of critical importance is finding a seamless interface and continuous feedback loop between research and innovation. In conventional research activities knowledge is applied to form new ideas, which under the right funding turn into competitive projects. Research activities lead to research results. Of these research publications are important, but equally so, research opportunities that lead to innovation and technology or knowledge transfer. Prototypes lead to new products and services and processes, which hold value as intellectual property in patents or find commercial application in the marketplace. Knowledge of this commercial impact leads to new research questions and product improvement and the cycle repeats itself, with an interface that becomes permeable with the distinction between research and innovation as silos disappearing. The economic knock-on effect of such an integrated research and innovation environment leads to well-being and prosperity.

One of the major gaps to be crossed in developing economies is that of inclusive innovation for development. That means that the communities that should benefit from innovation should be made part of the innovation process. This links the research and innovation process with community engagement and requires thinking along the quadruple helix model where it is not just the state, industry and the academic world that intertwine to form the triple helix, but also including the community as a fourth strand in the helix.

The university recognises the National Development Plan as a driver for innovation, supported by several other policy guidelines such as the millennium goals (or lately the sustainability goals), Industrial Participation Action Plans (IPAP), the National Growth Plan (NGP) as well as the National System of Innovation (NSI) that represents an ecosystem of innovation players in South Africa. The university also takes note of

the DST Ten Year Innovation Plan that singles out the bio-economy, space science, energy, climate change and human and social dynamics as innovation drivers to focus on. The entire knowledge infrastructure of the country feeds into the establishment of an innovative climate. To compete and excel on this innovation landscape requires agility in planning and decision-making.



TM The NWU innovation landscape is founded in the research themes and research entities. That is where research takes place and from where the knowledge originates to fuel innovation through this seamless interface model. The university is driving a regional agenda through a cluster

approach. This approach includes partnerships with the public and private sector. The research themes line up with a regional industrial cluster. To realise this clustering and lay the basis for a functional regional innovation forum to support sustainable economic development in the North-West Province, a North-West Innovation Highway is under development. This “highway” links the three campuses of the NWU including a corridor of local business and industry activity and community needs. The distributed campus model offers significant opportunities through regional representation and has the potential of a diversified funding base. This Innovation Highway can further be expanded to form the hub for several nodes, stretching down to Bloemfontein and extending to Rustenburg, Pretoria and Johannesburg. Ultimately it can link with SADC countries.

Several examples have been identified as NWU-led innovation and commercialisation drivers for supporting the Innovation Highway idea. These include: CText in the Humanities for facilitating translation and communication as a national language service; Engineering for Food Processing to address the Agriculture drive in the province; building on the strengths the university has in Pharmaceuticals to develop advanced manufacturing and production for Cosmoceutics; Pharmaceutics leading to faster diagnostic instruments and processes; applying Animal Sciences to close the chain between rural community cattle farming, abattoirs and meat processing and applying modern manufacturing techniques to leather processing and products; utilising Metabolomics to find solutions to infectious diseases and the development of better diagnostics and therapeutics for the most prevalent infectious diseases in South Africa and sub-Saharan Africa; developing safe, organic treatment for honey originating from rural community bee keeping communities and to address the Varoa mite and virus that holds a major threat to the global bee industry. Many existing expertise sets, available through the research themes and entities, could also be combined to focus on innovation in rural farming through tunnel farming; solar energy; food extrusion; pheroids (colloidal emulsion systems used for the delivery of pharmaceutical and other compounds); plant cover and farming apps, etc.

To drive inclusive innovation in the province, community inspired innovation and commercialisation opportunities must be identified. Existing ideas include micro

water turbines and cultural festivals and performances (an example is a seTswana passion play).

For innovation at the NWU to impact on realising the Success Model, the following strategic interventions are required:

View of innovation

- Broaden the view of innovation to be all inclusive and not only technological innovation

Intellectual property

- Continue to protect intellectual property (IP) through patenting, trademarking and copyrighting
- Maximise licensing of IP

Spin-out companies

- Accelerate the spinning out of entrepreneurial companies
- Increase the incubation capacity at the university

Commercialisation

- Cultivate a generation of researchers that think innovation and commercialisation and embrace the culture of innovation
- Support the commercialisation processes
- Drive regional innovation forums such as the North-West Innovation Highway
- Ensure that there is integration in the innovation pipeline
- Offer clients a blended full solution, which includes research, innovation, community engagement and training

Research and innovation go together

- Narrow the boundaries between research and innovation by an integrated model of knowledge flow
- Take flagship research projects and successes to market in the shortest possible time
- Pursue the complete value chain (innovation pipeline) from research and development through innovation and industrial design to demonstration of prototypes and piloting to full commercialisation
- Introduce and scale up synergies in finding the same markets for research and innovation

Inclusive innovation

- Involve communities in inclusive innovation for development

Community Engagement

Future Thinking informs us that a new type of community, a community that values their own agendas and their needs, will dictate community engagement. The democratisation of knowledge means that citizens in a variety of community contexts will contribute to knowledge generation. Openness will lead to integrated intelligence.

Community engagement is important as a different form of scholarship, which is engaged with communities and other external partners, to ensure that the knowledge or science, which is developed, is relevant to society and has meaning for communities. Students' consciousness is raised with regard to their role in society and in their community in bringing about positive change in and with communities through drawing on their skills, knowledge and expertise and gaining new knowledge and awareness from communities. Community engagement ensures that the public accountability of universities as public institutions, and so through human resource and knowledge development, contribute to the public good and nation building.

Community engagement lies beyond outreach and extension. Its essence is collaboration in the exchange of knowledge, expertise and resources for mutual benefit. It is an essential part of the learning organization and reaches everywhere: in the public, private and academic sector. It is important to engage students in community engagement so to ensure they take up their role as thinking citizens who can function effectively and



ethically as part of a democratic society. Community Engaged Scholarship (CES) comprises of research activities, teaching and service undertaken by a university in collaboration with community members. Community Engaged Research (CER) involves collaborative engagement in research for the purpose of solving a pressing community problem or effecting social change using specific methods to ensure a participatory approach. Community engagement through research and innovation involves the development of commercial activities for the benefit of knowledge application, the so-called inclusive innovation for development. Volunteerism is an important part of community engagement. It concerns the availing of skills, knowledge, time and compassion of students and staff as a service without financial gain, but with mutual benefit.

The NWU manages its community engagement through the Community Engagement Office with dedicated staff and support services.

The following are important strategic interventions required at the NWU to ensure Community Engagement has the largest impact on its Success Model:

Uplift communities

- Assess and understand the needs for enablement in communities
- Expand community engagement so as to share the University's passion and know-how with communities, thus generating wider benefits for society and building robust social capital

Participation and communication

- Embed the understanding that community engagement includes concepts such as participation, involvement, feedback, interactive and consultative activities
- The principle of mutually beneficial activities or reciprocity must be clear
- Implement the framework for community engagement projects, through coordinating and communicating the overall purpose of the projects as being part of the core business.
- Monitor the functioning of the NWU Social Development Trust (NWU SDT) and ensure a wider participation of the private sector in NWU community projects
- Regularly publish a brochure containing an overview of all community engagement projects of the NWU as well as preparing media releases
- Benchmark and monitor the impact of the community engagement projects
- Report regularly on community engagement to all reporting structures as required

Awareness and behaviour

- Build widespread awareness among academics and students of the value of community engagement and where required, train students and staff
- Incentivise volunteerism through rewards, and credits
- Ensure that community engagement forms part of the performance agreements of individual staff members
- Implement appropriate recognition for community engagement excellence on a project and individual basis
- Encourage social entrepreneurship
- Align community engagement and environmental awareness

Research and community engagement

- Align research themes, and research entities with specific community needs
- Ensure a proper alignment of community engagement activities with teaching/learning (community-based learning programs), research (research in application, applied research, community-based research) and innovation (establishment of community businesses) to achieve sustainable community development

Internationalisation

Internationalisation in the university context, in broad terms, is the process of integrating an international, intercultural, or global dimension into the purpose, functions, or delivery of post secondary education². Internationalisation is driven by several factors:

- Increasingly diverse student populations
- Increasingly diverse higher education provision (e.g. organisations exporting programmes through transnational education and working with international partner organisations)
- Increasingly high expectations from students and employers for higher education providers to adequately equip students with the skills to succeed in a global community

With appropriate quality of offerings and services, attracting excellent international academics and students, the NWU can expect to enjoy, *inter alia*, the following benefits from internationalisation:

- Marketing and promoting the national and international profile of the NWU both locally and abroad
- A diversified and enriched teaching-learning environment which will benefit both international and South African students alike as well as the nation as a whole
- A harmonious, diversified and multi-cultural student population
- Research and scholarship that is conversant with both national as well as international standards of excellence
- An increased percentage of both staff and students who are internationally knowledgeable, innovative and cross-culturally sensitive
- Additional income with which to improve and enhance existing levels of international activity, foster new relationships and improve its infrastructure and facilities
- The intellectual resources to guarantee, preserve and improve the economic, scientific and technological competitiveness of South Africa

² Knight, J. 2003. Updating the Definition of Internationalization, in *International Higher Education*, Fall: 2-3.



One of the strategic directives of the NWU is to prepare its students for both service as well as leadership in an increasingly interdependent world. This has implications for all aspects of the curriculum as well as for education through research and innovation. Here, the various educational programmes need to incorporate the most relevant international content and experiences required to prepare students for leadership roles in an ever more integrated and culturally diverse world. This involves, *inter alia*, creating additional study and research

prospects, which involve an overseas experience. To establish the NWU as a sought-after, world-class, institution of higher learning and research that attracts preeminent academics and scholars from around the globe, the NWU will need to focus on supporting a wide range of superlative academic programmes and research foci, supported by a suite of efficient support services (including financial aid programmes) and an accommodating, well-equipped environment. To position the NWU as an internationally recognised university of consequence, the NWU, will need to focus on facilitating international research and training projects undertaken by academic champions; supporting and promoting those international initiatives of the faculties, schools, research entities, libraries and other activities such as sport that most significantly advance institutional-level objectives; and working towards increasing the NWU profile on a global level.

Universities that are doing well³ on internationalisation exhibit the following characteristics:

- The international awareness of students is high
- Leadership is the most important internal driver and government policies the most important external driver for internationalisation
- Their academic goals are central to institutional internationalisation efforts
- Students have many opportunities to be mobile
- The level of international collaboration is high
- Appropriate funding for internationalisation is in place

A caveat for internationalisation is that it primarily benefits wealthier students and that the most significant societal risk is growing commercialisation of higher education.

Ideally successful internationalisation will lead to all students mastering a second language and have study experience abroad. Realistically, the NWU should strive to improve intercultural skills of South African students, increase the cultural diversity in classrooms and hold international events on the campuses. Risky approaches should be avoided such as attracting international students in large numbers without

³ International Association of Universities (IUA) Survey (2013)

adequate preparation and facilities, or attracting them from difficult-to-reach regions or forming non-strategic alliances. Doing less better should be the aim.

The following strategic interventions should be considered to position the internationalisation of the NWU:

Academic excellence

- Promote research and scholarship that is conversant with both national as well as international standards of excellence
- Become a preferred home for the intellectual resources to guarantee, preserve and improve the economic, scientific and technological competitiveness of South Africa
- Improve the NRF rating profile of researchers (specifically from C to B and A) through increased international exposure of researchers at a high level

Collaboration

- Develop collaborative research programmes with relevant international research groups

Perception

- Be very sensitive to the power of global perception and ensure that the university is known for its strengths

Marketing strategy

- Find clear means by which the national and international profile of the NWU can be marketed and promoted both locally and abroad
- Develop a marketing strategy that includes a global market footprint for the university

Balance

- Create a diversified and enriched teaching-learning and research and development environment with extended community engagement which will benefit both international and South African students alike as well as the nation as a whole
- Strike the right balance between the liberal arts and professional subjects

The human factor

- Grow the percentage of both staff and students who are internationally knowledgeable, innovative and cross-culturally sensitive
- Establish a harmonious, diversified and multi-cultural student population
- Adjust the human resource strategy to appoint a balanced number of foreigners in the university
- Increase the number of post-doctoral fellows from other countries
- Attract international students at postgraduate level

Financing

- Find additional income with which to improve and enhance existing levels of international activity, foster new relationships and improve its infrastructure and facilities

International marketing

- Coordinate international exposure of research and innovation at the NWU
- Make NWU experts visible in the international arena
- Find benchmark models and position the university accordingly for competitive action
- Exploit the advantages of South Africa being a BRICS member in terms of international partnerships and research business
- Draw up business plans that support the strategy for international funding
- Ensure an international mix of researchers at the NWU
- Provide international exposure through networking that will enhance participation in international research programmes
- Draw up a radical new plan for positioning the NWU internationally as a research (knowledge) and innovation (products and services) supplier

Reporting

- Ensure that the reporting system is geared to provide data required for international ranking and rating

Rating and ranking

- Continue participating in appropriate international rating and/or ranking exercises
 - Continue with the QS Stars rating of the university as part of the global university ratings system and set a realistic target (5 star before 2020)
 - Continue with the international university ranking and set a realistic target (among the top 500 before 2020)

eResearch

Information and Communication Technology (ICT) support and systems are crucial in making the NWU a successful institution of higher learning, research, innovation, community engagement and internationalisation. Four functional domains are supported by ICT:

- Teaching and learning
- Research
- Shared services
- Business systems



The successful support of these by ICT is dependent on the technology maturity and the total budget. Up to present large amounts have been spent by the NWU on getting the shared services and business systems up to a standard that they operate well. Less has been invested in ICT for teaching and learning and research support, with research support being behind in terms of both ICT maturity and investment. This strategy will focus on ICT required for supporting research, or termed eResearch. Several steps have been taken in this direction such as outlined by the Three Year Rolling IT Strategic Plan, the fact that the NWU is a founding member of the inter-university Institute for

Data Intensive Astronomy (Science) and that it has commenced in developing a eResearch strategy.

eResearch has become important because research is changing on all levels requiring faster and bigger systems to support it, utilising new technologies and methodologies and relying increasingly on collaboration and funding. The impact of these changes calls for new infrastructure, capabilities and tools, training and expertise and ways to establish and support collaboration.

eResearch can be defined as computationally intensive, large-scale, networked and collaborative forms of research and scholarship across all disciplines, including all of the natural and physical sciences, related applied and technological disciplines, bio-medicine, social science and the digital humanities. It is an indispensable activity that enables transformation and innovation in a broad range of research disciplines. eResearch requires effective support and facilitation of service providers in partnership with research academics to realise the full functionality and potential of technology, tools and related approaches to research. eResearch applies to the full life cycle of research, including: research planning; the research concept; research management during experimentation; data output, processing storage and curation; and research conclusion leading to outputs such as publications, intellectual

property, prototypes and pilots. Finally it covers monitoring and evaluation and impact measurement.

From a systems point of view eResearch includes networks, managed storage, computing, enterprise applications supporting networked data repositories, high performance computing, collaboration, publishing, citation and dissemination. eResearch services support these layers as well as provide a service desk and consulting. eResearch enables discipline specific tools and virtual laboratories that support data-derived research, computational modelling and visualisation.

Embedding eResearch in the NWU is a multi-level exercise. At DVC level responsibility lies for leadership, governance, strategy and resourcing. The IT department is responsible for data storage, computing, the Cloud and networks. Research support is responsible for advocacy of eResearch and for encouraging collaboration. The Research Entities represent various capabilities. Library services are responsible for research data management, visibility and discovery.

The following are strategic interventions required to establish a supportive eResearch environment at the NWU:

ICT support

- Assist researchers to overcome major research challenges through ICT support, funding and policy to have access to technical support, computational power, bandwidth, software, data analysis, training, collaboration, compatibility and/or interoperability of systems, etc.
- Map the ICT limitations in the university which influence research negatively, such as slow Internet connectivity, bandwidth, proxy, registration of guests, software licensing, mailbox size, home connectivity, user licenses, convergence to fewer statistical packages, etc.
- Determine how ICT support can facilitate research collaboration and dissemination in e.g. digital data collection from human participants, programming, high speed and parallel computing, modelling and simulation, visualisation, statistical analysis, etc.
- Define the most important future applications of ICT in research fields across Research Entities and Themes such as access and collection of data, applications related to data analysis, e.g. data simulation, modelling, data mining, quantitative data analysis, storage, computational power, etc.
- Provide training in use of the post graduate template, statistical analysis, programming, reproducible research, writing, public communication, project management, etc.
- Provide ICT services through delivering results, being open and transparent, trusted, inclusive and participative, where robust engagements between ICT staff and researchers lead to innovative solutions
- Provide an efficient and value contributing support service as critical thinkers and creative partners in enabling research excellence

ICT tools and methods

- Understand the requirements for digital research tools and methods
- Support research collaboration and dissemination such as collaborative writing tools, data sharing tools, e-publications, project management tools, etc.

Interfacing with research

- Ensure that ICT for eResearch is seamless, virtual and open for integrated research delivery
- Gear ICT systems to enable sustainable competitive advantage, supporting globally acknowledged academic research staff to reach high performance levels, displaying interdisciplinary collaboration and effective communication, contributing to productivity and the quality the NWU of core business

An Integrated View

All the strategic interventions listed for each of the five strategic elements are necessary to let them individually contribute to the Success Model, which must remain a dynamic and evolving model over time, optimised to address the fast changing macro-environment of the university. However, there are some generic ones that are crucial for the university as a whole.

- Do research that matters
- Prioritise and focus whatever is being done
- Market areas of excellence aggressively, tell the good stories to the world
- Perception is important in obtaining international rating; ensure that a well-known image of selected strengths is built internationally
- Establish a significant entrepreneurial spirit to make the university financially independent
- Give priority to international marketing of university offerings
- Adopt a holistic, problem focused research approach
- Balance academic and economic principles
- Continuously build capacity
- Break silos at all levels
- Communicate well internally, externally and through sharing information across disciplines and entities
- Encourage team work
- Put people first, and ensure that people are committed to let the NWU succeed
- Make the NWU students world-minded, with practical international experience
- Develop role models for students in knowledge and life
- Embrace technology enablement
- Chase value and business will follow
- Shape the employment landscape for next generation students
- Build strong relationships among core areas of business
- Focus on becoming a world-class best-of-breed university in the context of size and shape and focus of the university
- Market the university as one university; act as one university
- Be prepared to practice continuous change management
- Transfer knowledge to the community through engaging them in identifying and finding solutions (crowdsourcing and citizen science)
- Work hard on creating and maintaining internally and externally an image of being a future oriented university
- Create a winning and driven culture

Contribution towards a vision for the future

Research, Innovation, Community Engagement, Internationalisation and eResearch will enable the NWU as a university of the future in the following way:

The vision is that the NWU will be a highly esteemed world-class university of the future where integration of Research, Innovation, Community Engagement, Internationalisation and eResearch plays a synergetic role to create a flexible, productive and well-funded institution that contributes to the well-being and prosperity for people living and working in the knowledge economy.

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Prof Lucas Venter	Director: Research Support
Prof Deon de Beer	Chief Director: Technology transfer and innovation support
Ms Bibi Bouwman	Director: Community Engagement
Dr Hendri Coetzee	Institutional Community Engagement Office
Prof Nicholas Allen	Director: International Liaison
Mr Boeta Pretorius	Chief Director: Information Technology
Ms Anelda van der Walt	eResearch Expert
Prof Frik van Niekerk	Deputy Vice Chancellor: Research, Innovation, Community Engagement, Internationalisation and ICT
Mr. Rudi van der Merwe	Community Engagement: Projects and the Secretariat that took notes and recorded the proceedings

All delegates that took part in the discussion during the strategic alignment workshop are thanked for their critical opinions, insights, contributions and support.

Annexure H



NORTH-WEST UNIVERSITY
YUNIBESITHI YA BOKONE-BOPHIRIMA
NOORDWES-UNIVERSITEIT
INSTITUTIONAL OFFICE

DRAFT Community Engagement Policy

Reference number	TBD
Accountable executive manager	DVC: Institutional Research, Innovation, Community Engagement
Policy owner	Director: Community Engagement
Responsible division	Institutional Community Engagement
Status	To be approved
Approved by	North-West University Council
Date of approval	
Amendments	
Date of amendments	
Review date	2016
Web address of this policy	http://www.nwu.ac.za/content/policy_rules
Address on the policy database	TBD



Community Engagement Policy

(2014-2017)

1. Preamble

The vision of the North-West University (hereafter the University) is realised through the notion of being a pre-eminent university in Africa, driven by the pursuit of knowledge and innovation. The university is keenly aware of its social responsibility and, therefore, endeavours to engage with all relevant communities within the ambit of its activities but does this primarily through that which emanates from the pursuit of knowledge and innovation, thereby bringing the results stemming from the process of research/innovation and teaching-learning to the engaged communities in a more direct manner.

Through the 'scholarship of engagement', the University strives to attain the status of an 'engaged institution' and, in so doing, to emanate the model as proposed by Boyer in 1990. According to this expanded view, scholarship is articulated as four overlapping functions: discovery of all forms of knowledge; integration (connections across disciplines and with external contingencies); application as dialogue between theory and practice; and teaching and relevance. As part of becoming a learning organisation, the university does not only view its' knowledge as the only legitimate form of knowledge and through the process of engagement this approach to the generation of new knowledge will contribute to transformation of the curriculum and the addressing of epistemic biases and prejudice, thereby contributing to social justice (Newman & Glass 2015, 34: 21-228; Erasmus 2014 100-118.)

This policy is purposed to ensure alignment with national government policy frameworks as articulated in the White Paper on Higher Education (1997), the quality assurance guidelines contained in documents issued by the Higher Education Quality Council (HEQC) and, in particular, those guidelines that have a bearing on community engagement (CE) and service learning (SL).

During an Indaba held in 2014 it was decided by key stakeholders and university managers that the principle of integrating community engagement into core business and not a third activity and henceforth academic staff will be expected to principally do engaged teaching and engaged research. Similarly, the NWU's "success model for 2025" articulates the need to ensure interdependence between and the integration of the three core functions of the University, i.e. teaching and learning, research and community engagement.

2. Premise

The University uses the expression "sharing of expertise" as an overarching term to describe all its activities relating to research/innovation (e.g. consultations, contract research, patents and products, etc.) and teaching-learning (e.g. work-integrated learning (WIL) and service learning (SL) in all of its communities (internal and external). This is broadly referred to as 'engagement'.

Likewise, this element "sharing of expertise" that contributes to outreach, scholarship of engagement and social justice where the university engages with external parties on the basis of reciprocity and collaboration is generally known as community engagement (CE). Please refer to the definition of community engagement below.

3. Objectives of this policy

3.1 To guide engagements with communities during research/innovation and teaching/learning and outreach activities;

3.2 To minimise risks;

3.3 To maximise outputs and benefits for the University and its community partners;

3.4 To ensure statutory Department of Higher Education and Training (DHET) and HEQC requirements as well as governmental strategic development and institutional imperatives are adhered to in external interactions; and

3.5 To ensure strategic alignment with the University's functions.

4. Scope of application

This policy is applicable to activities and actions where the University and its staff engage with the community. It should be read in conjunction with other related policies such as the Policy on Work-integrated Learning and Service ~~Learning~~, the Ethics policy, and the NWU's Teaching-learning Policy. It is recommended that the community engagement strategy is also studied for further clarity.

5. Policy statement

In order to contribute towards the wellbeing and enablement (empowerment) of all members of society, it is the policy of the University that its staff and students must engage with their respective community/communities when conducting activities related to research/innovation, teaching and learning, community service and outreach initiatives in an attempt to influence policy and address South Africa's developmental challenges and sustainability, thereby sharing its expertise. In short, the structural integration of community engagement into all activities is of utmost importance and underpins all activities undertaken by the University with an emphasis on the sharing of discipline based expertise.

6. Definitions

6.1 Community engagement

Definition: Community engagement is defined as activities performed by the staff and students, primarily aimed at uplifting or supporting society and or individuals in need of assistance or engagement.

Community engagement as a core function of the University exists to nurture and manage partnerships with communities, the intention being to facilitate cooperation between various communities and the university, as well as to provide the means whereby both parties can actively discover knowledge, teach and learn from one another in a reciprocal, mutually beneficial manner.

It is envisaged that this will contribute towards creating an environment in which student learning and research relevance will be enriched. In this way, the institution's commitment to reciprocate, redress, develop and transform will be supported.

Clearly, interactions where the University is contracted to do research or provide services where there is no evidence of reciprocity do not satisfy the above definition of community engagement. To aid the distinction between a CE activity and any other activity that purely relates to teaching, learning and research, the following criteria ought to be applied to determine whether an activity meets the prerequisites for true community engagement:

- The activity should be linked interactively to an identifiable group in a community outside/inside the institution.
- Interaction should be actively linked to identifiable needs of both the University and the community; in other words a clear benefit for both the community and the university must have been identified.
- The interaction should be a sustained activity conducted within a mutually defined relationship/partnership.

Based on the above criteria, clearly, exclusive teaching and research activities that do not include a reciprocal community component cannot be regarded as CE. Consequently, to satisfy these criteria, those learning activities where students in a particular module are required to conduct community-based research

should involve activities where the students or academics actually engage with the community by undertaking activities in conjunction with and within the very midst of the community.

6.2 Communities

Communities range from the University's internal community, such as its staff and students, to an array of external communities (e.g. "communities of interest" and/or "communities of practice") in the public and private sectors and can be found either locally, nationally or internationally.

Definition:

The term "community" signifies a social grouping of society involved in an interaction at any given moment. Community therefore refers to groups of people united by a common location, or to groups of people who are linked intellectually, professionally and/or politically. In other words, they could be geographic communities, communities of interest and/or communities of practice. This broad definition allows the University to focus on marginalised groupings in society without having to exclude other community formations and their activities.

The following figure explains depicts the various categories of *sharing of expertise* found within the context of the University. The integration of community engagement into core business shows all forms of engagement, although some activities are 'for profit' and some for 'not-for-profit'. We encourage engagement in all forms, but wish to build our 'not-for-profit' sharing of expertise encompassing the principles of reciprocity in order to ensure that we comply to the development imperatives of government as stated within the National Development Plan and the Sustainable Development Goals.

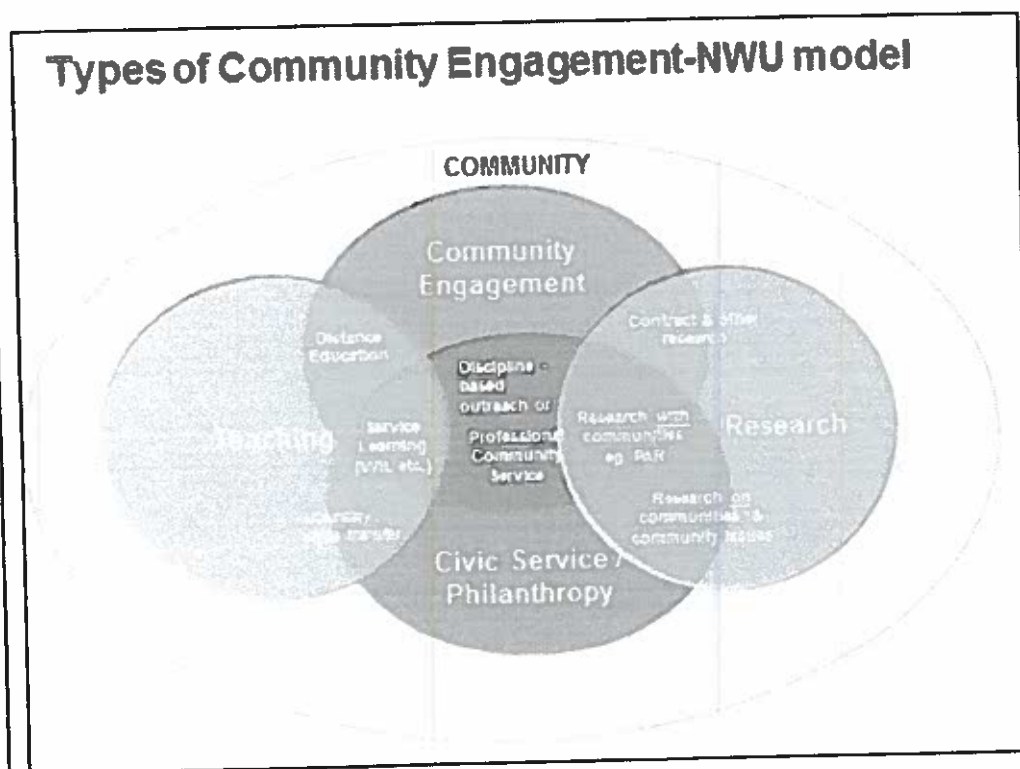


Figure 4-Sharing-of-expertise management-model

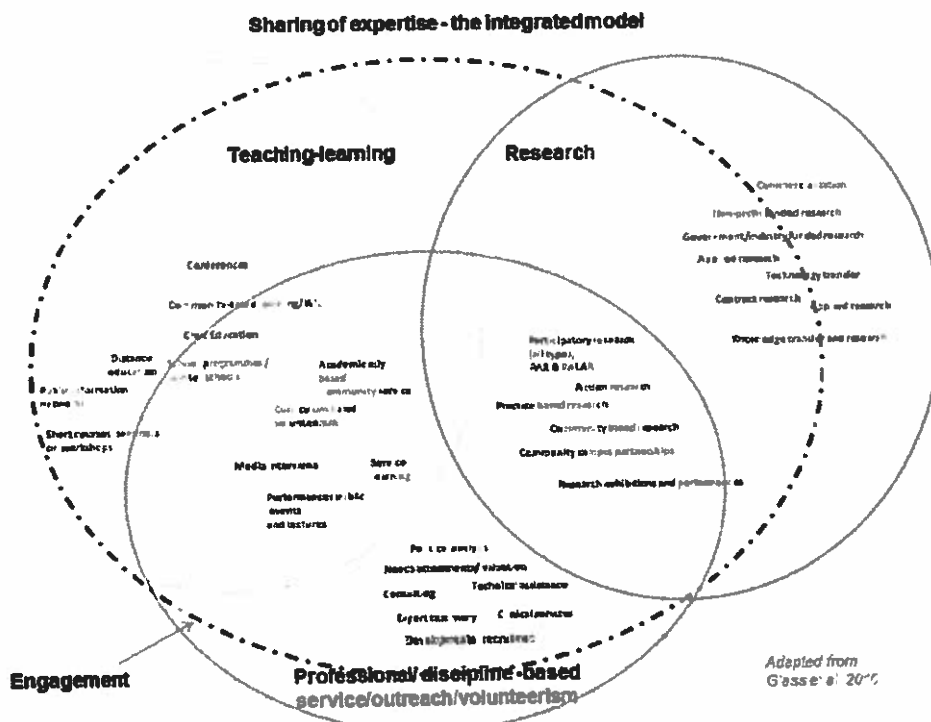


Figure 1. Sharing of expertise –the integrated model.

It is important to note from this figure that there may be 'outreach-type or service' activities done for the advancement of the university exclusively or 'for-profit' which is of bordering on community engagement, if this is unclear apply the principle of reciprocity.

6.3 Engaged research/innovation

Some of the university's engagement activities are 'for-profit', while many services are not-for-profit.

Research/innovation-related forms of engagement (mostly for-profit) encompass consultations, contract research/innovation, internal corporate ventures, associate/subsidiary companies and technology licensing.

Mostly, not-for-profit research activities are conducted in collaboration with external community partners, focus by and large on addressing broader needs in society and barely succeed in recovering costs. (CE cannot always be provided 'free of charge' as the mutually beneficial principle must be applied.) In this type of research, the inputs of the community are participatory in nature and must be negotiated and valued – a methodology which is supported by an array of techniques aimed at ensuring reciprocity and partnerships. New knowledge is generated collaboratively and shared widely in the public domains. This form of 'engaged research', sometimes also referred to as participatory action research, falls well within the ambit of CE and has the potential to feed back into the curriculum as well as to be linked directly to aspects of a student's training.

In some instances, engaged research could be on phenomena found within communities and is then termed community-based research. Here, too, the principle of respectful and ethical access to and inclusion of communities with feedback is essential. Even though the use of participatory methods to conduct this type of research is not a required premise, researchers nevertheless often resort to these techniques.

Before communities can be included in any type of research, though, access to such communities must be negotiated in line with validated ethical principles. These principles will be governed by the policy for Ethics. See rules below.

Comment [BB1]: I will get the new name of this policy from the research support office

Special provision must be made to ensure feedback to broader society of the knowledge generated, not only through formal scientific channels but also through professional community service and popular (public) communication.

6.4 Engaged teaching-learning

Teaching-learning-related community engagement activities, all of which are mostly not-for-profit, include professional community services and outreach as well as developmental activities with a recruitment focus. It can also include subsidised development engagement involving work-integrated learning and service learning.

6.4.1 Professional community services and discipline-based outreach include advice and sharing of expertise as well as similar but voluntary and uncompensated activities provided under the auspices of the University:

It encompasses those activities where the institution places his resources, services and expertise at the disposal of the public outside the context of the institution's teaching and learning and research programmes and that are generally sponsored and controlled by the institution itself. These include activities organised and carried out to provide general community services, excluding instructional activities. Examples are discipline-based general advisory services, members serving on advisory boards and editorial committees, consultation services offered free of charge; testing services offered free of charge (e.g. soil testing, carbon dating, structural testing); sport outreach programmes; putting the institution's facilities/equipment or services at the disposal of external bodies or individuals free of charge; and concerts, recitals, and exhibitions for the public (unless aimed at and held primarily for formal instruction purposes or for students).

Developmental recruitment falls under this rubric and is aimed more directly at learners with a view to attracting them to the University. The impact is wide-ranging, though, and not restricted to potential students. This includes activities in the field of sports development, teacher-development programmes and science and engineering weeks (mostly funded by the university) as well as leadership development programmes for professionals sponsored but free of charge for participants and at low or no cost to the University.

6.4.2 Subsidised developmental community engagement refers to the priority that is afforded to the transfer of knowledge to and enhancing the learning experiences of students. In this regard, processes that encourage civil responsibility amongst students by exposing them to the realities of society in preparation for their participation in a democratic society are important. Subsidised developmental community engagement aims, therefore, to add value to the development of students' critical thinking skills and other soft skills in synergy with teaching and research, thus contributing to their preparation for active participation as South African citizens in their future careers. The term encompasses the somewhat limited notion of SL, while simultaneously taking other service-oriented academic and non-academic community interactions into account. An example would be the prescribed practical experience as is sometimes required by professional councils such as WIL in the community or at private sector institutions. It also allows the University to give expression to alternative forms of social responsiveness through curricular activities in the form of service to the community which go beyond standard practical courses and which, in some cases, include WIL taking place in communities. The word "subsidised" is used to indicate that some of the costs incurred are recovered from class fees. (See Work-integrated Learning and Service-Learning Policy.)

6.4.3 Voluntary skills transfer is where a skill is shared or transferred without any instruction from the University but where this transfer takes place in the name of the University – for example students or

staff who volunteer to train learners in after-school maths classes at their church. (Another example would be the extra classes that are run by "the University's students or staff".) If there is no academic oversight, it is volunteerism. If it is regulated by academic oversight and students are evaluated for curricular purposes, it is service learning. (See Work-Integrated Learning and Service Learning Policy.)

6.5 Volunteerism

Additional services by staff and students to, especially, the local communities in which the University's campuses are based are also forms of engagement. This includes voluntary-based 'enablement /empowerment /development/non-discipline based outreach' activities such as services that are short-term, repetitive and mostly philanthropic in nature and that are not regulated by the University. Any formal linkage with the NWU will require adherence to the rules of engagement.

7. Rules

General rules of engagement

- 7.1 All research/innovation and teaching-learning activities must obtain ethical clearance from the respective faculties based on prescribed risk-assessment criteria to be determined within faculties according to the requirements and guidelines of the specific environments.
- 7.2 All University engagement activities must be registered on the institutional database for community engagement. All University-branded volunteer activities must be registered as NWU projects with clear outcomes, and an exit strategy must be negotiated before the interventions occur.
- 7.3 Engagement activities must preferably be set up as a formal partnership in order to regulate expectations, manage risks and ensure role clarification. Informed consent forms are used to cover some of these regulatory steps and understanding on an individual level; however, such forms must be signed off via the scientific and ethical committees at faculty level.

Formal partnerships must be cleared by and submitted to the Institutional Legal Office and must be signed in accordance with the Policy on Delegations and Schedule of Authorisation Levels.

Evidence of shared planning and ensuring that the partnership is mutually beneficial is essential. Regular feedback must be provided to all stakeholders involved to ensure that recognition is given to participants and that the principles of reciprocity are adhered to.
- 7.4 Engagement activities must be evaluated by community partners and evidence of feedback is important as part of the reciprocity principle.
- 7.5 Quality assessment, risk management and impact assessment must be conducted by relevant management structures.
- 7.6 Fundraising for community engagement will be done in compliance with the rules regulating the specific aspect of community engagement fundraising in the Development and Fundraising Policy and in collaboration with the Advancement Committee of the University.

8. Procedures

The NWU will ensure the provision of effective, efficient and equitable support for community engagement through the community engagement support structures. The overall process for community engagement is captured in the document "Quality Assurance Process for Community Engagement at NWU".

Comment [882]: Regarding comment 9 from Mafikeng on rules and procedures, this is not normally extensively covered in policies, but must be addressed in the quality assurance documents as referred to in paragraph 8.

Annexure I



NORTH-WEST UNIVERSITY
YUNIBESITI YA BOKONE-BOPHIRIMA
NOORDWES-UNIVERSITEIT
INSTITUTIONAL OFFICE

INSTITUTIONAL COMMUNITY ENGAGEMENT OFFICE

Processes and Quality Manual

2012-06-26

Document approval:

Version	Date	Approver Name	Job Title	Signature
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Original details: Bibi. Bouwman@nwu.ac.za c: /my documents/ community engagement/quality manual/

Institutional Community Engagement Office (ICEO)

Processes and Quality Manual

1 Introduction

North-West University is a public Higher Education Institution and a juristic person established in terms of the Higher Education Act No.101 of 1997, as amended. Stakeholders of universities expect universities, being public institutions; to engage with their environment i.e. as far as community outreach or community engagement projects is concerned.

Community engagement is defined as those activities, performed by the staff and students of the university, primarily aimed at uplifting (needy sectors of) society and or individuals in need of assistance or engagement. The primary aim is development, support and upliftment of society. The university community seeks, by virtue of its expertise and engagement in society, to act as human development agent. Although these activities are sometimes characterised by e.g. fundraising campaigns, or by implementation of expertise and sometimes involves minimal charges for direct project cost, these activities are not performed on a commercial basis.

These activities can be seen as part of the university's Corporate Social Investment (CSI).

- As such, the North-West University has a rich experience in community engagement projects.
- An established and highly recognised internal and external auditing system exists, within which ring fencing of funding for projects are routinely conducted.
- In order to accommodate the requirements for community based project grants, the university is currently establishing a "*not for profit entity for community projects*" which would be constituted as the North-West University Community Development Trust.
- The community engagement activities of staff members are considered by the University as part of the staff members' normal work, and are managed within the integrated performance management system of the University.
- The University has a unique position in that it can act as a catalyst for interactions between communities and industry partners thereby facilitating the processes necessary for community upliftment. As a knowledge resource we offer assistance and a unique partnership to the industry (private sector), government, NGO's, NPO's and communities. This holistic approach is focussed on the ultimate outcome of long term sustainability.
- All community projects are conducted after a proper needs assessment in the relevant community and the involvement of relevant stakeholders across the CSI spectrum.

The following figure depicts the various categories of implementation of expertise of the NWU. (See policy document Implementation of expertise). Please note the variety of “not for profit activities” that are delivered.

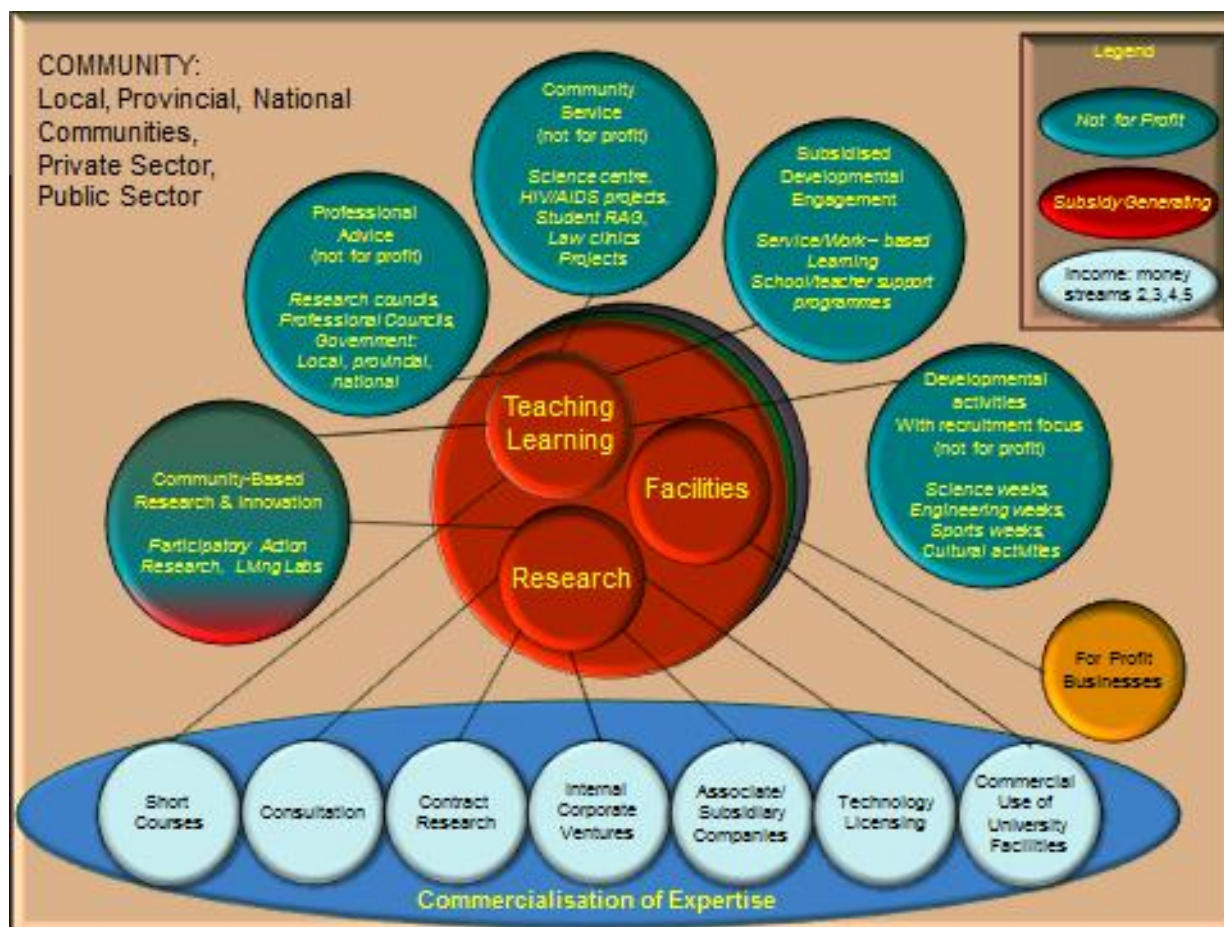


Figure 1: Implementation of expertise of NWU, including not for profit activities.

2 Purpose and role of the Institutional Community Engagement Office (ICEO)

As a pre-eminent University in Africa, driven by the pursuit of knowledge and innovation, with a unique institutional culture based upon the values the University espouses, the Office of the Executive Director: Research and Innovation and the Offices of the Campus Vice Rectors: Academic of the North-West University adopted a Service Level Agreement (SLA) on the provision of services to the three NWU campuses, for Research, Innovation and Community Outreach, and the associated needed responsibility of the Campus Vice Rectors.

This SLA applies to all research, innovation and community engagement activities entered into by the NWU and binds all members of staff of the University, howsoever appointed, as appropriate for the requirements of the University; in particular, this SLA describes the duties of the offices of the relevant executive director and the campus vice rectors.

2.1 General Activities

*The following activities are performed by the office of the relevant Executive Director, either directly or relying on the support of the office of Community Engagement. **The activities are performed in a consultative way, involving management on the campuses on the appropriate level.***

- Strategic management of the Community Engagement activities, includes
 - Development of strategic plans / policies at the institutional level to direct and inform the plans at the campus level;
 - Integration of the societal issues in the core business strategies;
 - Development of structures for implementation;
 - Input / support at Exco level regarding the balancing of resources for these activities;
 - Adjusting / augmenting the strategies in order to remain relevant, be aligned with new frontier social corporate responsibility activities or community engagement;
- Monitoring of research and innovation pertaining to community outreach and community outreach projects on campuses;
- Implementing the framework for these projects, through coordinating and communicating the overall purpose of the projects as being part of the core business of the NWU (i.e. implementation of expertise).
- Developing appropriate benchmarks for these activities;
- Seeking funding opportunities in the RSA science system, including science councils, laboratories, government departments, private sector;
- Further developing and executing research, innovation and community outreach strategies and incentive mechanisms to ensure effectiveness,
- Developing the NWU from a teaching/learning-based university with focused research into a university where teaching/learning and research are balanced and applied as part of community engagement. In order to achieve the goals set by the new strategy, the university has to (i.a.)
 - Invest significantly in complimentary research infrastructure.
 - Optimise the research entity management model for community based research.
 - Invest significantly in capacity building in the field of community engagement.
 - Align community engagement activities with the requirements.
 - Form innovative and impacting research and community engagement networks (such as the *Forum for Continuous Community Development* or FCCD) that organises interactions with NGO's, PBO's and CBO's .
 - Broker new partnerships and relationships with regards to CSI.
 - Fund more full-time community partnership research work through externally sourced funds through positioning the university as a partner of choice in corporate social investment initiatives of industry, NPO's, NGO's and government partners.
 - Continuously scan and evaluate the environment and invest in opportunities in line with the needs and strengths of the NWU examples include.
 - Develop a community project management (flagship) model (niche area, focus area, unit, and centre of excellence) that provides a growth path for new investments in CSI.
 - To plan and implement processes *on par* with international standards that would enhance the position of the NWU as a partner of choice in CSI.

The activities are on-going and it is the duty of the relevant Executive Director and staff to ensure that these activities are translated into plans and strategies, in consultation with the relevant line managers. It is the duty of the Campus Vice-Rectors, in collaboration with the other campus line managers, to ensure that agreed strategies and plans are executed.

*

The offices of the relevant executive director and the campus vice rectors ensure on an on-going basis that open communication channels are maintained and facilitate optimal collaboration between relevant staff members.

2.1.1 Specific objectives

On internal and external functional levels

- To ensure alignment of all community engagement projects with the vision and mission of the NWU.
- To position NWU as a CSI implementation agent of choice by
 - Assisting corporations with the planning of long term strategies for sustainable corporate investment strategies, when required.
 - Enabling communities to enhance their skills, lifestyles and community environment so that it would ultimately stimulate *social entrepreneurs* that can have an economic impact in the society as a whole and the region.
- To promote, facilitate and coordinate relevant community projects that are conducted by members of the NWU on behalf of the NWU.
- To assist in the formation of partnerships with all relevant stakeholders and to facilitate the implementation of expertise from the pool of intellectual property within the NWU.

This involves essentially two processes namely alignment with the vision and mission and development of strategic external partnerships which are based on figure 2.

On external functional levels

- To expand the implementation of expertise, both commercially and community-directed, for the benefit of the province, the country, the SADC region, the continent and ultimately the world.
- To ensure that positive relationships are built between community engagement practitioners externally in the local community and the NWU.
- To ensure recognition of sponsors of CSI projects.
- To facilitate and negotiate for funding of community engagement projects with government and the private sector in collaboration with the Institutional Advancement and Business development office (IADB) of NWU.
- The Community Engagement Office (ICEO) and the Institutional Advancement and Business development office (IADB) of NWU facilitate a “*Forum for Continuous Community Development (FCCD)*”. This is a forum for co-ordination of community advancement. The purpose is to advance understanding and co-operation between all (internal) NWU participants and external allies and stakeholders within the district and region, for maximum impact. The forum also facilitates the processes to provide relevant training to NGO’s, PBO’ s and CBO’s.

This involves essentially two processes namely development and maintenance of external relationships and sourcing of funding.

On internal functional levels

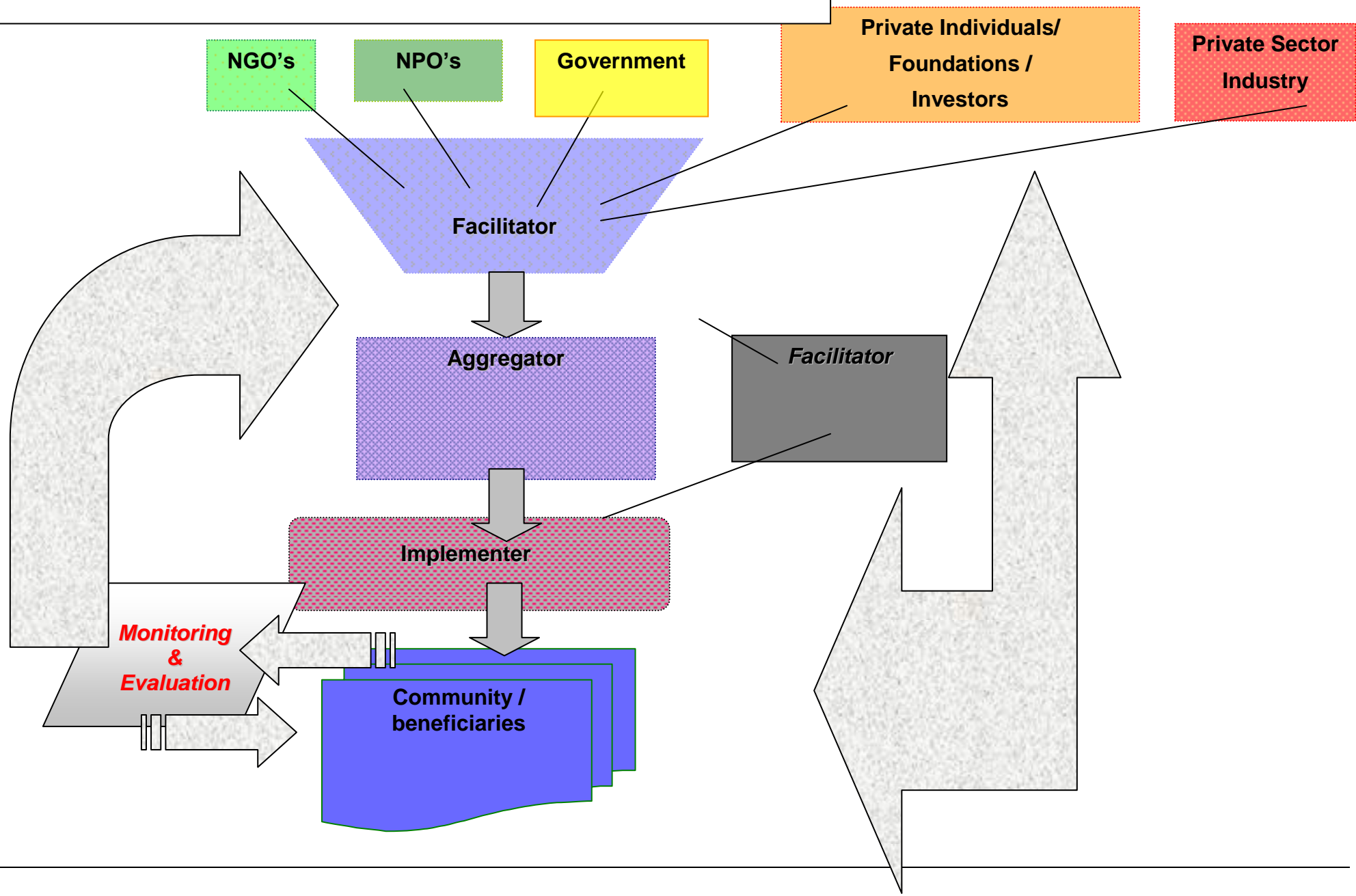
- To identify relevant community engagement projects that NWU can provide assistance in implementation in the broader community.

- To provide an implementation framework for projects, through coordinating and communicating the overall purpose of the projects as being part of the core business of the NWU (i.e. implementation of expertise).
- To annually publish a brochure containing an overview of all community engagement projects of the NWU and its various campuses.
- To assist line managers to manage community service projects as part of individual performance agreements of staff.
- To assist line managers to ensure that effective in-service learning processes are implemented by the NWU in the community.
- To assist line managers to identify possible academics or professional staff that can assist in CSI initiatives undertaken internally.
- To design and implement an incentive system for recognition of staff contributions and participation in CSI.
- To investigate and design specific ways in which the impact of the community engagement projects can be measured.
- To review the quality management system and procedures, in order to ensure that projects are accountably managed in terms of quality, delivery, expenditure, sustainability, monitoring and evaluation.
- To do an investigation to determine student involvement in community engagement as part of their credit bearing activities.
- To manage the funding that is channelled through the NWU Community Development Trust.
- To assist line managers to ensure that projects are executed in due course, according to a funders' specifications and approved quality standards.

As such the university can therefore position itself as either a facilitator, aggregator or implementer of community engagement processes. These three roles or stages of positioning are best described by Figures 2, 3, 4, 5 and 6. Even though the processes are similar in the case of a facilitator and aggregator the inputs, outputs and outcomes would look different. When implementing quality control for these processes, the inputs, outputs and outcomes should be measurable and quantifiable. Recommendations are made to project managers on the ground that are involved in community engagement on what the best practices are for monitoring and evaluation of project quality and as such these may vary according to context and unique situation of each project. General guidelines for evaluation is based on a logical framework planning process which can be related to the Global Reporting Initiative (GRI) which provides sustainability reporting guidelines for community development projects. A copy of these guidelines is available from the Institutional Director Community Engagement at C:\My Documents\Community engagement\Quality manual\CoviveCSR_GRI_ReferenceSheet.pdf\.

Key to the quality management of these processes is an awareness that the community or beneficiaries should be able to evaluate projects / outcomes as well as the absolute importance of third party evaluation by external evaluators in order to ensure long term sustainable economical impacts.

Figure 2: Roles that NWU can assume in the community engagement process.



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Figure 3: The NWU acting as a facilitator.

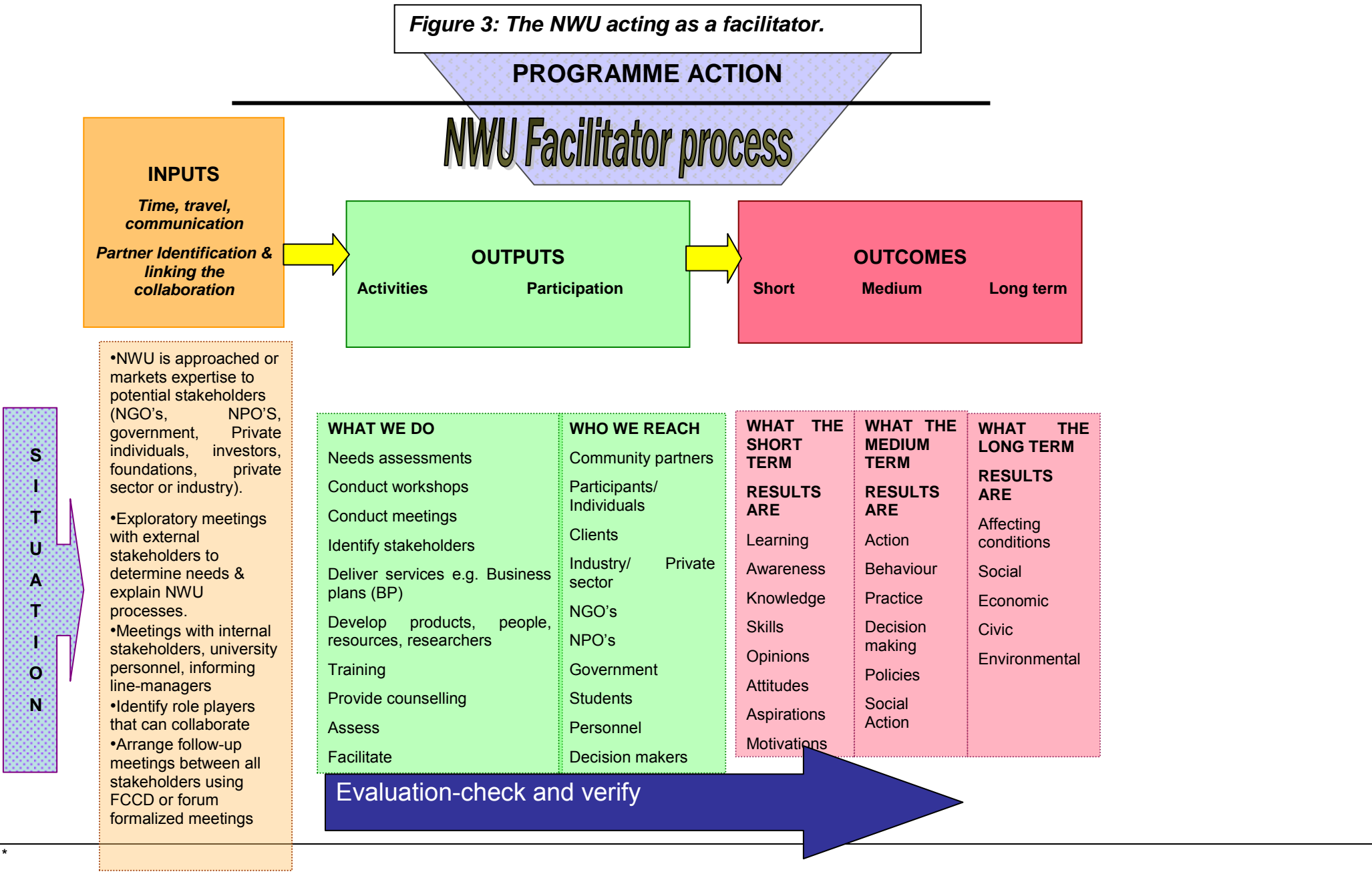


Figure 4: The NWU acting as an aggregator.

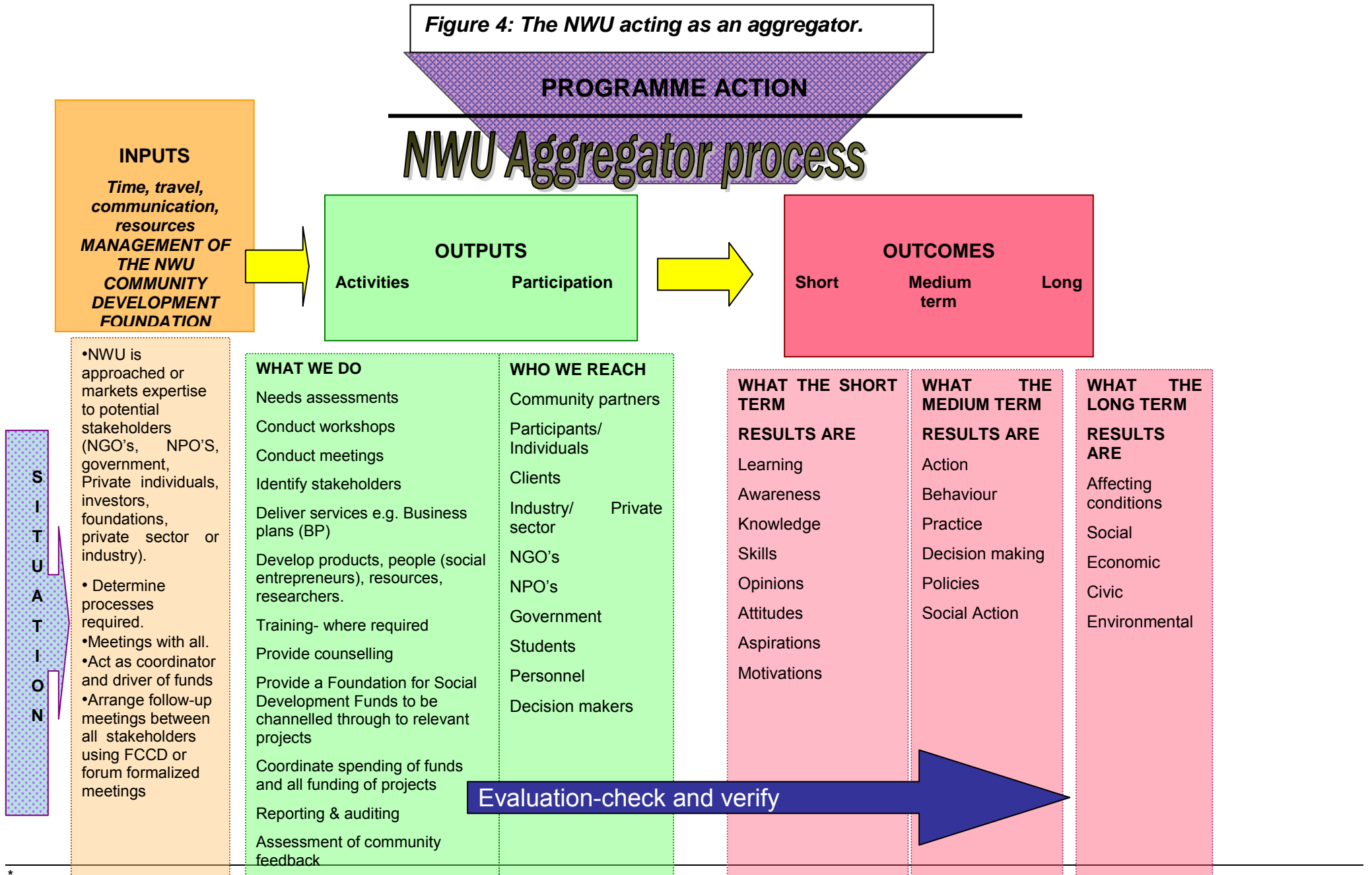
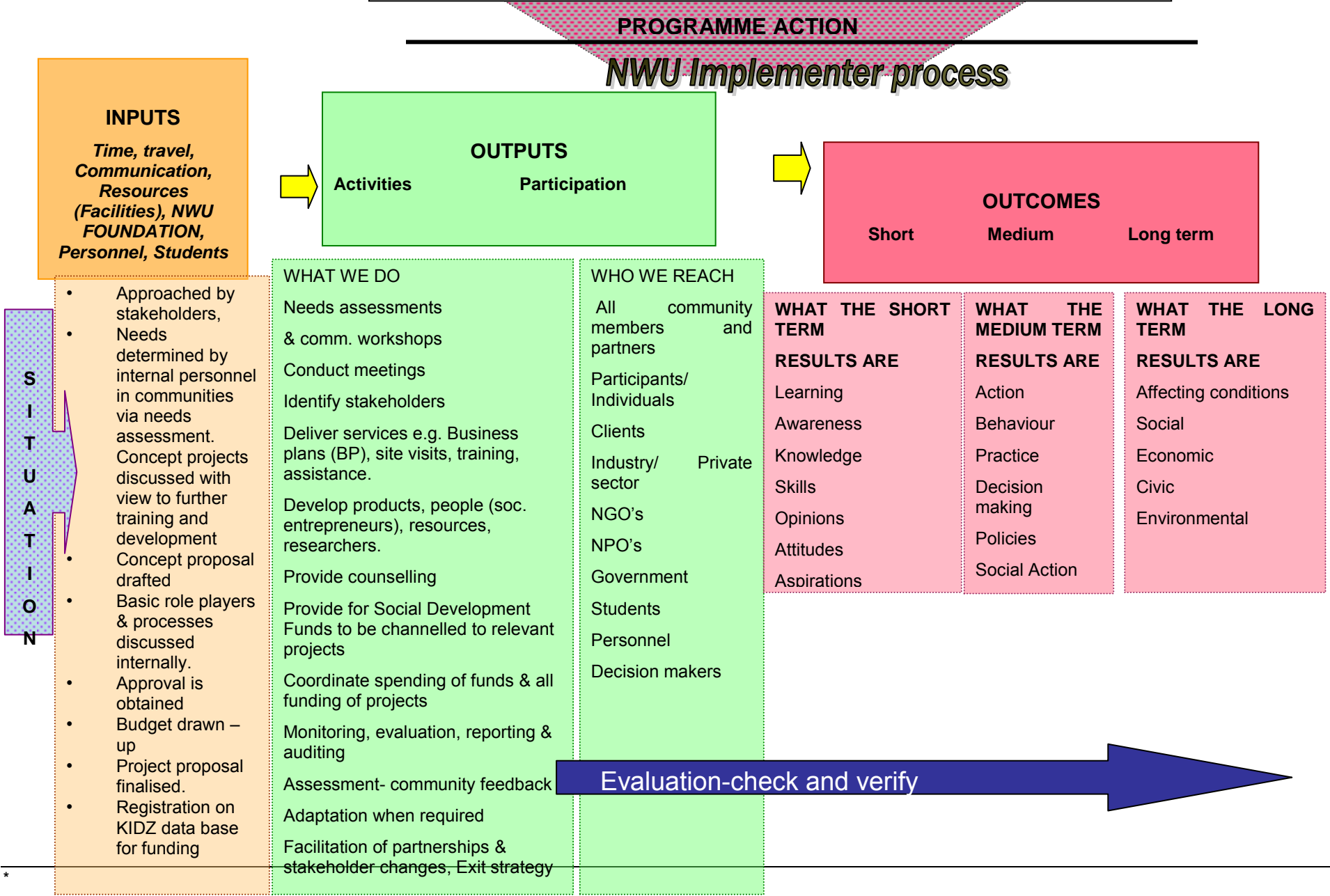
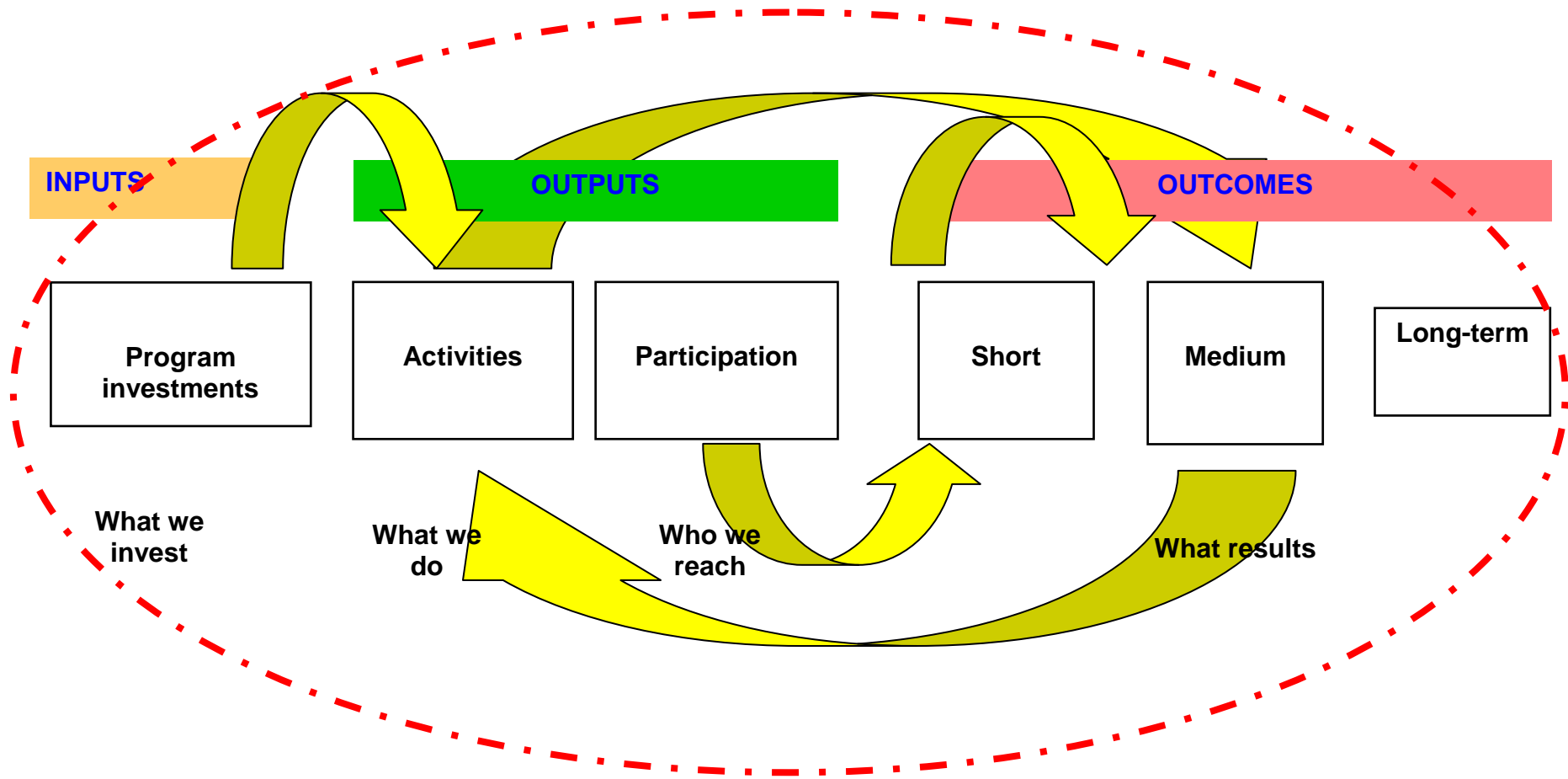


Figure 5: The NWU acting as an implementer.



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Figure 6: The Programmes are not always linear.



When dealing with outside funders the process involves essentially five aspects namely identification, communication measurement of output quality, management assistance and sourcing of funding. The sequence of these aspects essentially follows after the CSI project identification and each of the programme the action of the NWU could be either as a facilitator, aggregator or implementer.

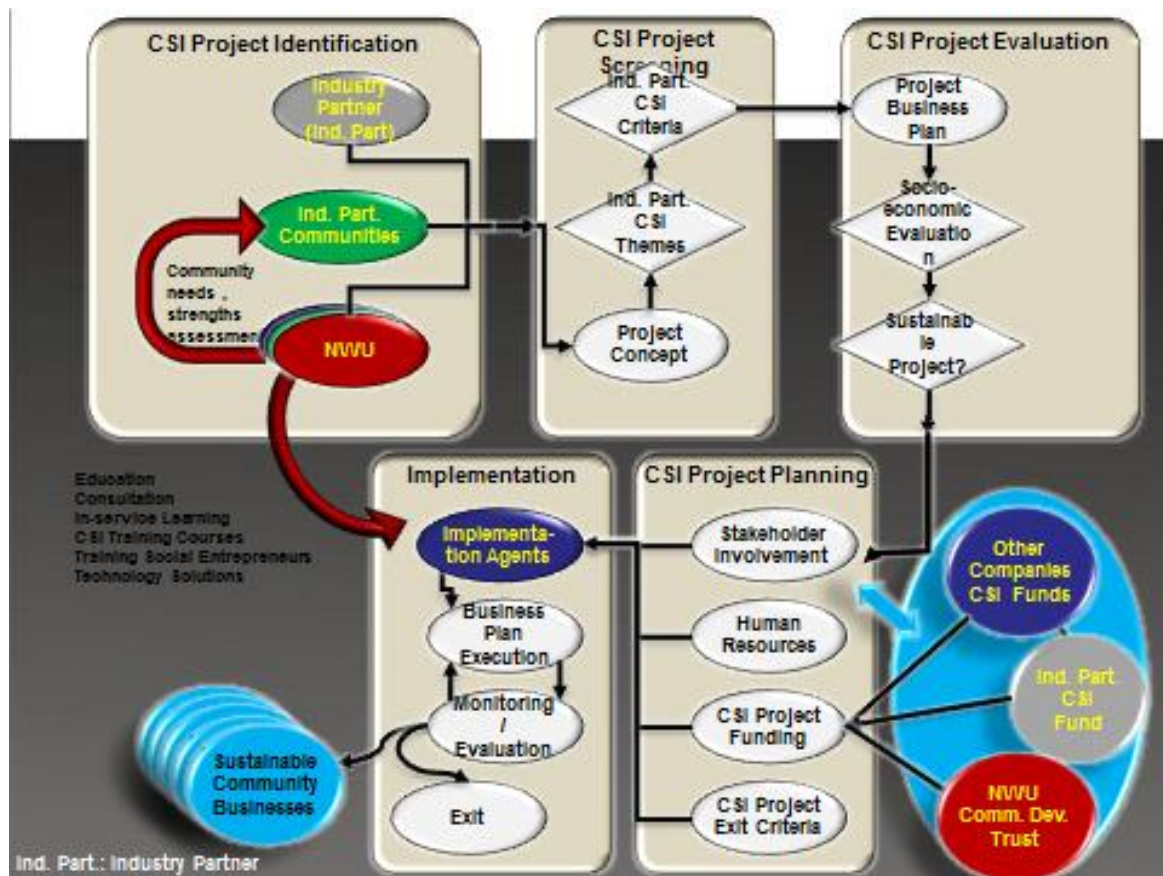


Figure 7: The unique partnership /processes that the NWU offers to industry partner that collaborates with NWU as an Implementation agent/ catalyst.

To clarify the processes depicted in figure 7 :

CSI Project Identification

Projects are identified by the industry partner, the relevant communities as well as by NWU. In future, the identification of projects can be extended to include other role players. NWU has established research entities focusing on communities' needs and strengths assessment.

CSI Project Screening

A brief project is prepared in order to test whether proposed projects fall within the *Industry partners'* CSI themes. As part of the screening process, the proposed projects are subjected to the industry partners' CSI criteria. These prioritised / weighted criteria include:

- Alignment with *Industry partners'* mission and vision

- Alignment with *Industry partners'* stakeholders' expectations
- Positive environmental impact
- Job creation
- Skills development potential
- Social sustainability
- Financial sustainability and independence

CSI Project Evaluation

A business plan is next evaluated for projects passing the screening phase. The business plan is subjected to socio-economic evaluations and attention is given to the best practice drivers of the *Industry partners'* policy framework, specifically to sustainability.

CSI Project Planning

The CSI Project planning phase is characterised by stakeholder involvement, human resource planning, and the establishment of project evaluation, monitoring and exit criteria as well as project funding. It is envisaged that projects will be funded by the *Industry partners'* CSI Fund, as well as by the NWU Community Development Trust. It is planned that in future other CSI donors could invest in these identified and screened projects directly or via the NWU Community Development Trust.

CSI Project Implementation

Depending on the nature of the selected CSI projects, an implementation agent(s) are appointed to execute the business plans. The business plans are closely monitored and evaluated and projects may be halted or could ideally be spun out as sustainable community enterprises. NWU, through its various research entities, may also be involved as implementation agent, or to assist implementation agents with any of the CSI project activities, including monitoring and evaluation.

3 Scope of the document

This document describes the most important clients, processes and quality assurance mechanisms applied in the ICEO. As the ICEO is a newly formed support office certain strategies and management processes are still under development and as support service, best practises are suggested and agreed upon through negotiation with the Vice Rectors of the three campuses. The service level agreements govern the mechanisms and processes to date. Quality assurance of the processes is currently under development and shall be described as the processes are activated.

4 Clients

The clients of the ICEO internally include any division, department or individual within all business units of the NWU who identify a need for management, planning, coordination and funding assistance in community projects.

The clients of the ICEO externally include the community (including individuals) and private sector, government, NGO's and NPO's.

Service level agreements (SLA's) are established per campus and its envisaged to implement similar agreements per project through the project mandate, which is compiled as one of the steps of project setup. Standard service level agreements and measurement criteria have to be developed for each client. This development is envisioned as part of the quality improvement programme of the ICEO – Quality improvement plan to be developed.

5 Quality assurance procedures

The project management process within the ICEO is under development. Service levels agreements been documented and procedures compiled. A quality assurance mechanism for measuring and reviewing the effectiveness of this process needs to be compiled this would be inline with the GRI guidelines (see page 5). Service level agreements will be established per individual project. Standard service level agreements and measurement criteria need to be developed. This development is scheduled for the middle 2009.

The program for project monitoring and oversight is currently under development, with the finalisation target date of May 31, 2013. The process will then be documented and quality assurance mechanisms reviewed. The starting point of the quality management is the projects data base (see document from page 21) that requires to be filled in by all project managers. The questions in this document are formulated to augment information that can assist with the categorization of projects.

Clients groups are only starting to emerge, with no service levels established.

6 Summary

The following tables give a summary of the current status of process development, client identification, service level agreement development and quality assurance mechanism development. It also gives the planned goals for development of the gaps as identified in section 5.

6.1 Client service

	Previous evaluation	Current evaluation	Planned goal for next evaluation
Number of main client groups	N/A	5	Identify main groups
Number of formal service level agreements	N/A	0	Establish at least a format for a service level agreement with the all current clients
Number of client groups with measured service level	N/A	0	30% of projects
Client satisfaction level (average % of measured clients)	N/A	Not measured	Determine measures & indicators

6.2 Process management

	Previous evaluation	Current evaluation	Planned goal for next evaluation
Number of main processes identified	N/A	9	N/A
Number of documented processes	N/A	0	0
Number of existing process improved	N/A	0	0
Number of new processes introduced	N/A	1	0
Number of processes quality assured	N/A	0	1 (Community engagement)

7 Supporting documentation

7.1 Personnel Organigram

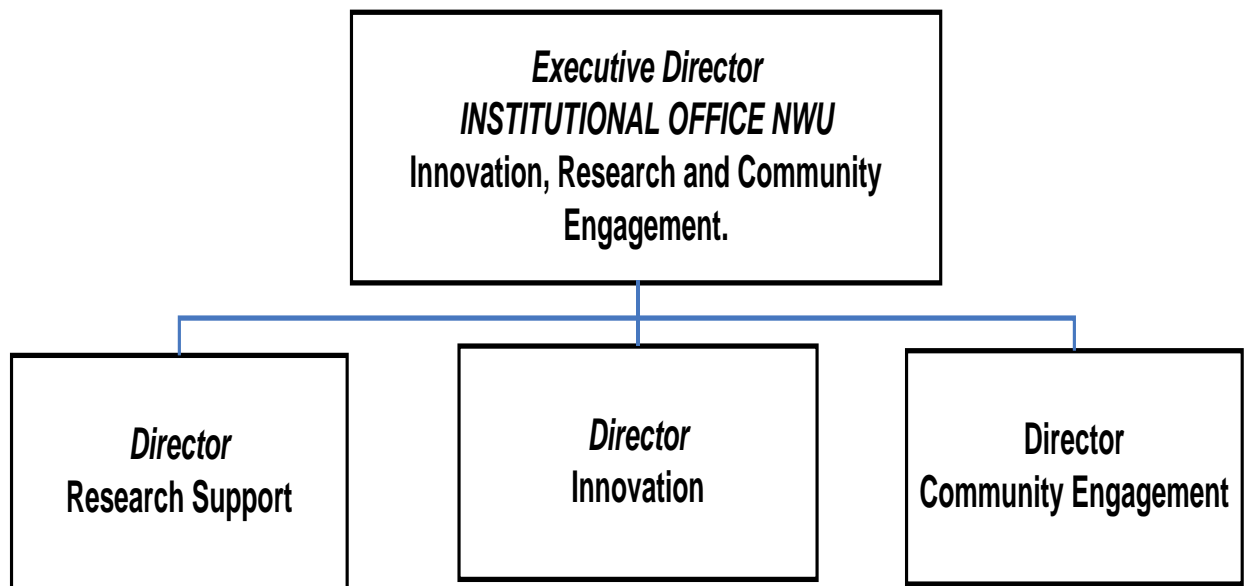
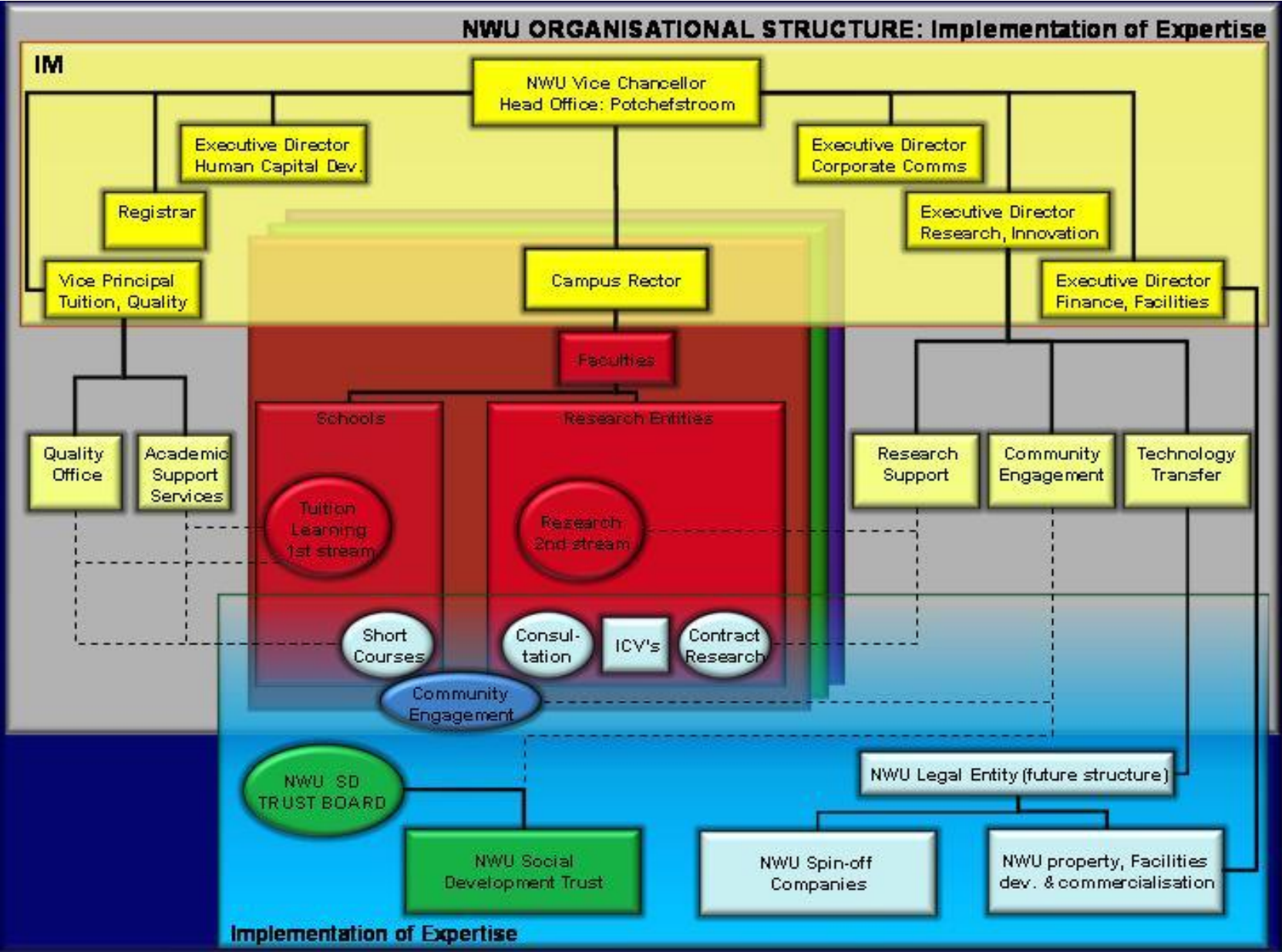
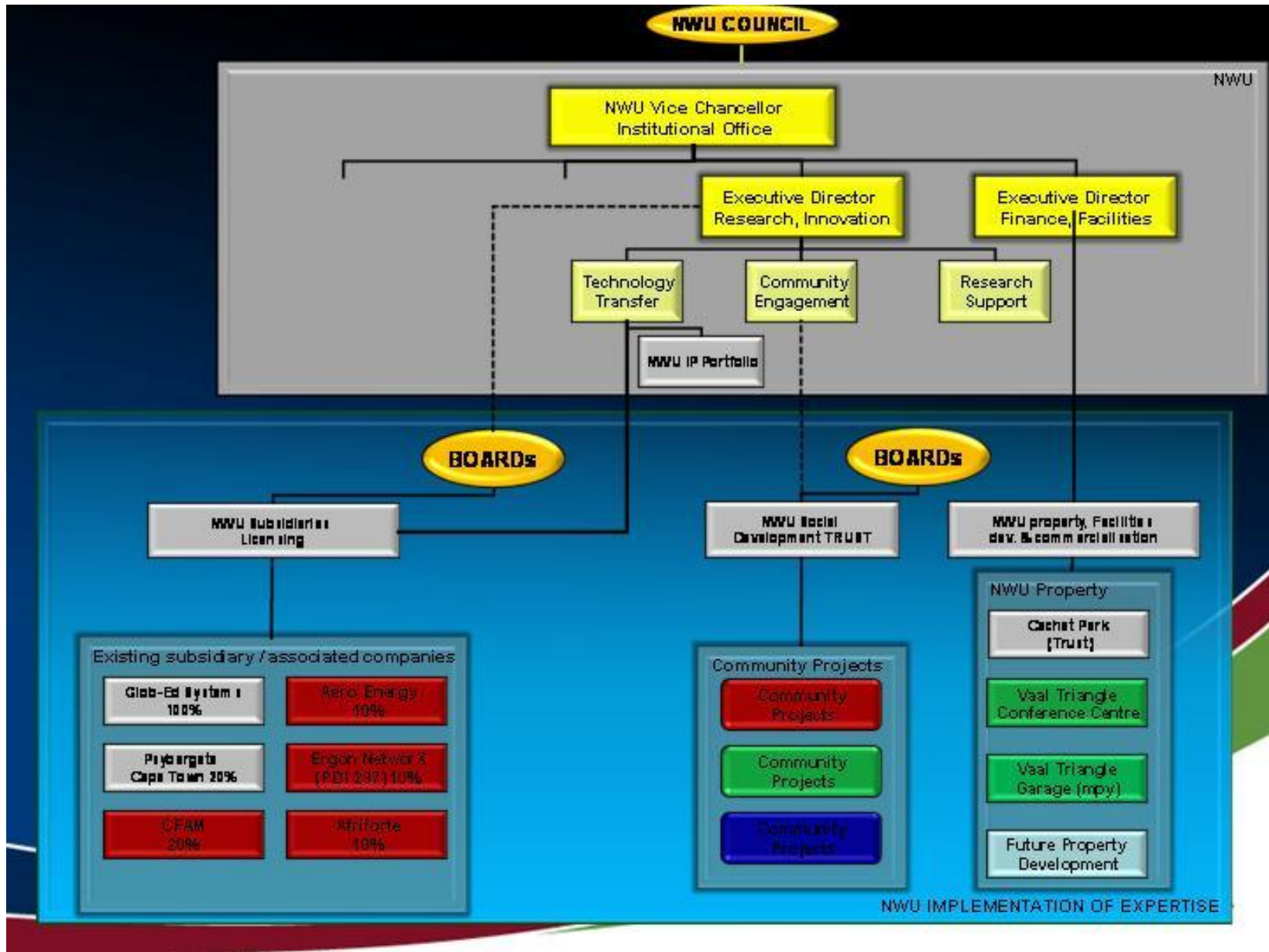


Figure 8: Line Management of Community Engagement Office.

As a support office the links of the ICEO and the NWU Community Development Trust to the campuses are depicted in Figures 9 and Figures 10 below. Please note that the Vice Rectors and their line managers on the campuses are responsible for delivery and management of tuition and learning and research and community based projects and that the ICEO acts as a support service. Currently a monthly meeting is scheduled by the Director of Innovation, Research and Community Engagement with his line managers. This ensures awareness of activities in each section and facilitates collaboration and coordination. An agenda and minutes are used for monitoring the process. Communication with the Vice rectors of the three campuses occurs on a tri-monthly meeting with agenda and minutes. Electronic communication is archived on the hard drive of the manager's computer and back-ups are done on a monthly basis on an external hard drive.







DRAFT1: 2010-06-18

COMMUNITY ENGAGEMENT : PROJECTS DATABASE

1. GENERAL INFORMATION

1.1 Campus

1.2 Department or group responsible for project

1.3 Project Name

1.4 Project Leader(s)

Name:

Telephone number:

Email Address:

1.5 Is the project part of a professional consultation service (sharing of expertise), linked to research, teaching learning or service learning or other provide more details about the project?

1.6 Location of project and best route to location

1.7 Have you signed any legal documents with partners and where are the copies deposited?

1.8 How often do you interact with the community and what are the minimum requirements in terms of number of persons from NWU that are needed to assist the community?

2. **PROJECT INFORMATION**

2.1 Category of project e.g. (Please circle all the relevant categories)

<i>Education and training, ABET, Literacy/ Numeracy,</i>
<i>HIV-Aids, Health, Nutrition</i>
<i>Early childhood development,</i>
<i>Youth,</i>
<i>The aged,</i>
<i>The Disabled,</i>
<i>Poverty alleviation and Sustainable development,</i>
<i>Infra-structure development,</i>
<i>Disaster management,</i>
<i>Governance,</i>
<i>Financial skills,</i>
<i>Legal advocacy and legal assistance,</i>
<i>Housing,</i>
<i>Human rights and empowerment,</i>
<i>Arts and culture .</i>
<i>Gender issues</i>
<i>Environmental sustainability</i>

2.2 The NEED/s addressed by project

Have you done a needs assessment?

What methods were used?

Which stakeholders participated in this process?

Have you verified your findings with your potential beneficiaries?

Have your community participated in the prioritization of the needs that should be addressed?

How is the leadership of your beneficiaries, involved?

2.3 Specific objectives of the project (project outcomes)

2.4 Number of persons involved in project team

- A 1-5
- B 6-10
- C 10-20
- D 20-50
- E 50 and more

2.5 Impact of project (Number of beneficiaries impacted and beyond e.g. other long term impacts)

Do you have base- line data on the project? What is this?

Do you have a scientific measuring tool, what is this?

How often do you measure/monitor? Daily, weekly, once a month, Bi- monthly, Quarterly, Twice a year, other- specify or explain.

2.6 Timeframe for implementation of project

A Once off

B Annually

C Monthly

D Weekly

E Daily

2.7 Do you have an exit strategy? Supply details.

3. PROJECT BUDGET

3.1 Funding Source/Type of Funding

3.2 Annual operating costs

3.3 Amount spend on administration costs (For example: salaries or honorariums, telephone bill, office equipment) Please indicate your major categories of expense e.g. transport etc.

Can you provide us with a break down of expenses and annual financial statements on request? How much of the funding goes directly to the community/ beneficiaries (please indicate even if you are not sure or do not know) The donors will require this information if it is sourced from CSI funds.

3.4 Sustainability of project- does this project have the potential to become sustainable? This means the beneficiaries will become self sufficient.

Yes/ No

3.5 Describe how this can be achieved / or why this is not possible in the case of the answer being no the previous question.

Annexure J

- Soos ooreengekom gaan ek voort om my beskikbare tyd tussen die IK en Potch-kampus te verdeel (50-50)
- My werksaamhede op die Potch-kampus sal hoofsaaklik die bestuur van die GB kantoor en aktiwiteite insluit (sien tabel 2)
- My take by IK sal hoofsaaklik navorsing insluit (waarvan 25% aan interne projekte en 25% eksterne projekte spandeer sal word – sien tabel 3)
- Ek sal egter ook my persoonlike akademiese loopbaan aan die gang wil hou deur middel van studente supervisie en navorsing (tabel 4)

Tabel 1: Oorhoofse beplanning vir gedeelde rol ¹

Januarie 2016	Februarie 2016	Maart 2016
<ul style="list-style-type: none"> • Weeklikse vergaderings met IK (4) • Finaliseer brosjure in samewerking met IK (volg kommunikasie strategie op) • Impak studie (intern) • Studente supervisie 	<ul style="list-style-type: none"> • Weeklikse vergaderings met IK (4) • Gefokusde skakeling met studente (SJGD)² • Docenda studie • Impala studie (fase 2) (ekstern) • Vergadering met rektor en vise-rektor (UBK) • Vergadering met sentrale komitee 	<ul style="list-style-type: none"> • Weeklikse vergaderings met IK (4) • Vergadering met rektor en vise-rektor (UBK) • Bewusmaking en opleiding sessie • GB “Roadshow” om impak resultate met bestuur (UBK) en fakulteite te deel (bekendstelling

Comment [BB1]: talloires pryse?

¹ **Rooi = Potch-kampus aktiwiteite; Blou = IK aktiwiteite; Groen = Gedeelde aktiwiteite; Bruin = persoonlike akademies aktiwiteite**

² Ek is nog nie seker presies wat om te doen nie, maar ek sal graag iets spesiaal wil doen wat waarde gaan toevoer tot wat hulle reeds doen.

	<ul style="list-style-type: none"> • Vergadering met koördineerders komitee • Vergadering met vrywilligers • Studente supervisie 	<p>van beleid, webblad en brosjure)</p> <ul style="list-style-type: none"> • Gefokusde skakeling met navorsingsentiteite om “engaged research” te bevorder (bekenstelling van wegbreek skryf-week)³ • Vergadering met sentrale komitee • Vergadering met koördineerders komitee • Vergadering met vrywilligers • Studente supervisie
<p>April 2016</p> <ul style="list-style-type: none"> • Weeklikse vergaderings met IK (4) • Vergadering met rektor en vise-rektor (UBK) • Mokala studie (kwal. opvolg) (persoonlik/akademies) • Vergadering met sentrale komitee • Vergadering met koördineerders komitee 	<p>Mei 2016</p> <ul style="list-style-type: none"> • Weeklikse vergaderings met IK (4) • Vergadering met rektor en vise-rektor (UBK) • Vergadering met sentrale komitee • Vergadering met koördineerders komitee • Vergadering met vrywilligers • Studente supervisie 	<p>Junie 2016</p> <ul style="list-style-type: none"> • Weeklikse vergaderings met IK (4) • Vergadering met rektor en vise-rektor (UBK) • Vergadering met sentrale komitee • Vergadering met koördineerders komitee • Vergadering met vrywilligers • Studente supervisie

Comment [BB2]: Minri en databasis toetsing

³ Ek sal die waarskynlik aan resultate van impak studie hak en navorsingsgeleenthede aan entiteite uitwys.

<ul style="list-style-type: none"> • Vergadering met vrywilligers • Studente supervisie 		
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Tabel 2: Bestuur van GB kantoor op Potch Kampus

Aksies (Wat)	Stappe (Hoe)	Wanneer
Voortsetting van dienste en ondersteuning van GB aktiwiteite op Potch Kampus	In die nuwe jaar wil ek graag fokus op die studente en navorsingsentiteite deur verhoudings te bou en om vir hulle meer direkte hulp en ondersteuning aan te bied	Jan-Mei 2016
Bestuur van ondersteuning strukture (Sentrale komitee, koördineringskomitee, vrywilligers en fakulteitskomitees)	Aksieplanne sal opgestel word met teikens en doeldatums om sodoende meer struktuur aan die werksaamhede van die verskillende komitees te gee	Aksie planne: Jan/Feb Komitee vergaderings: Ses weekliks
Bestuur van inligting (databasis)	Bewusmaking	Deurlopend
Rapportering en kommunikasie	Vergaderings (kampus bestuur en komitees; en IK) Verslae Brosjure	Maandeliks Wanneer nodig In proses

	Beleid	Gefinaliseer (wag vir finale goedkeuring deur Senaat)
Bewusmaking en opleiding	Tematiese besprekings tydens komitee vergaderings	Deurlopend
Diensleer	Samewerking met prof Lowes en BB	Deurlopend

Tabel 3: Uiteensetting van navorsing (intern, ekstern en persoonlik)

<p>Impak (Januarie 2016) Die doel van hierdie studie is om die NWU se impak in die drie gemeenskappe waar sy kampusse geleë is te meet en om die behoeftes, sterktes en welstand in die gemeenskappe te bepaal.</p>	<p>Docenda Die doel van hierdie studie is om bestaande projekte en gemeenskappe waar Docenda teenwoordig is te besoek en te evalueer.</p>
<p>Impala Die doel van hierdie studie is om die resultate wat tydens die eerste fase van die studie gegenereer is met deelnemers te deel en verder te verken.</p>	

Tabel 4: Studente en persoonlike akademie⁴

<ul style="list-style-type: none">• Madeline Evert (PhD student)• Meyer Conradie (M student)• Irene Monaisa (M student)	<p>Mokala/VSA studie (gemeenskappe se verbintenis met die natuur)</p> <p>Die doel van hierdie studie is om die resultate wat tydens die eerste fase van die studie gegenereer is met deelnemers te deel en verder te verken.</p>
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⁴ Ek hoop om in 2016 weer ten minste drie manuskripte te skryf (en gepubliseer te kry) en om ten minste een plaaslike en een internasionale kongres by te woon die jaar.