CPUT
Ethics Framework
2021

Cape Peninsula
University of Technology

creating futures

Cape Peninsula University of Technology

ETHICS FRAMEWORK

March 2021

"The ultimate measure of a man is not where he stands in moments of comfort and convenience, but where he stands at times of challenge and controversy."
– Martin Luther King, Jr.

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ACRONYMS

CHE   Council on Higher Education
CPUT   Cape Peninsula University of Technology
CTS   Computer Technological Services
DHET   Department of Higher Education and Training
EM   Executive Management
IF   Institutional Forum
IoDSA   Institute of Directors in Southern Africa
King IV™   Refers to governance where ethical and effective leadership are exercised
KPIs   Key Performance Indicators
MANCOM Management Committees
SRC   Student Representative Council
TEI   The Ethics Institute
V2030   Vision 2030 (CPUT's Strategic Plan)

ABBREVIATIONS FOR THE SIX CAPITALS:

FC   Financial Capital
HC   Human Capital
IC   Intellectual Capital
MC   Manufactured Capital
NC   Natural Capital
SC   Social Capital

1. Introduction

We live in a world in which self-enrichment, selfishness, greed, corruption and a culture of not caring for the lives of others and the environment are common. It has led to a culture in South Africa, Africa and the globe in which unethical behaviour has become the norm. For this specific reason, CPUT has decided to make it clear to all its stakeholders that CPUT will be known as an institution with high ethical standards, and one that has NO tolerance for any form of unethical behaviour or corruption.

As an institution of higher learning, we want to be recognised as a trendsetting university when it comes to ethics and sound governance practices. Subsequently, we aspire to be a University evidenced by a "clean administration." We want furthermore to be known as a University that expects all stakeholders, be it staff, students, Council Members, Union Members, Senate, Convocation, the Institutional Forum or Service Providers of CPUT, the boards of our spin off companies, the Supply Chain Management Committee responsible for procurement, to act ethically and in line with the principles of this Framework.

At CPUT, ethics, fairness and institutional/ service delivery excellence go hand in hand. Those values are critical for CPUT and underpins our values to relentlessly develop and enhance an ethical institutional culture. For CPUT's Executive Management Teams, this is not negotiable – we want to act consistently in a manner that is fair, shows integrity in all our actions, and encourages and expects others to do likewise. By implication, we will not tolerate any form of bribery, unethical behaviour, nepotism, self-enrichment – may it be monetary, career wise or in any other form of personal gain. This bold statement implies that all decisions and practices will be based on ethical criteria, facts, and without any form of bias or prejudice. CPUT's decisions and responses will not be isolated to specific situations, but will serve as protocol, meaning that decision making will yield the same outcomes in several similar circumstances, as it will be based on values/ principles, and not on any individual's or specific group's interest.

CPUT is committed to be driven by honesty, transparency, responsibility, integrity, competence, selflessness, and fairness; and will act in good faith, will comply with national, provincial and local laws and regulations, and will adhere to CPUT's policies, rules and codes of conduct. Subsequently, all CPUT stakeholders are accountable to one other, and will remind the other about our agreed ethical values. This implies that we will never become "personal" when we differ, but rather adhere to CPUT values, such as walking in someone else's shoes. We will keep one other accountable where we did not take firm decisions, where we did not act in a timely manner, and where we did not uphold the values of CPUT. Each individual, regardless of level of appointment, including student leaders, will be expected to exercise sound judgement, and to serve in the best interests of CPUT at all times. See Appendix 1 for an example of an oath to be signed by various CPUT stakeholders, upon taking up specific roles and appointments at CPUT.

Apart from CPUT's intrinsic drive for ethics and excellence, we acknowledge the directives received from the Government to be compliant with the Higher Education Act's pronouncements on ethical university governance as shaped by King IV and global ethical governance frameworks. As such, this framework should be read with the applicable provisions of the Higher Education Act, 1997 (Act No. 101 of 1997) and King IV Report on Corporate Governance for South Africa, 2016 ("King IV"). In addition, CPUT recognises that a substantial number of staff, given their professions, are also members of professional bodies (e.g. accountants, engineers, educators, nurses, lawyers, human resource practitioners, etc.). These professional codes of ethics are part and parcel of CPUT's ethical conduct.

The Higher Education Act's pronouncement on ethical institutional governance practices is imperative to this framework. The governance of the University is regulated by the Higher Education Act and CPUT's Institutional Statute. The Act constitutes the principal legal framework for higher education institutions, and provides for the establishment of the governance structures. The university's statute is the institutional governance instrument used to interpret the Higher Education Policy into the governance practices, as it gives effect to the Act. Thus, the values underpinning CPUT's statute (see paragraph 2) will influence our conduct, and we well be held accountable for "living" them.

While leadership starts with individuals, it finds its expression through Council and Executive Management structures as a collective, setting the appropriate example and tone which is referred to as ethical governance. King IV explains the governance of ethics as the role of Council in ensuring that the ethical culture within the organisation is aligned to the tone set by the Council through the implementation of appropriate policies and practices. King IV requires Council and Senior Management to lead by example, by being ethical and effective, and to ensure that the organisation's ethics is managed effectively. Council should furthermore oversee that there is consequence management for non-adherence to or contraventions of ethics standards. CPUT embraces the notion of the outcomes- versus rules-based application of the King IV code that should improve the impact of the increased focus on an ethical culture. According to King IV, ethical leadership is exemplified by integrity, competence, responsibility, accountability, fairness and transparency (IoDSA, 2016).

One of the recommendations in the Council on Higher Education's (CHE) Policy Report, entitled *Promoting Good Governance in South African Higher Education*, is that attention should be given to ways in which the principles of governance, as set out in both South Africa's policies and legislation, are interpreted into the daily practices and operations of higher education institutions. However, as The Ethics Institute (2018:10) correctly maintains, "it is naïve to assume that people are either ethical or they are not and there is not much one can do about it. True, ethics cannot manage itself – but it *can* be managed". It is the expectation of (1997) DHET and the Higher Education Act (Act No. 101 of 1997), that the management of ethical governance will be executed by the Vice-Chancellor and his/ her Executive Management (EM). For this reason CPUT developed a "Code of Practice and Principles for Good Ethical Governance", which will be known as CPUT's Ethics Framework.

2. Purpose of CPUT's Ethics Framework

CPUT recognises that all spheres of university life and activities have the potential to raise ethical concerns; be it right from, for example, student recruitment, selection and placements (including residence placements); or how teaching and learning happen; how procurement takes place; how promotions are done; how Council Members and SRCs are nominated and elected – be it in a digital space or in a face-to-face environment; or how research is conducted and how it could lead to enterprise/ commercial activities; from whom and "where" a university receives donations; how degrees and honorary degrees are awarded; how gifts are received; how the university responds to environmental and sustainability issues; and how it values its human resources – these activities all need to be known for ethical decision making and behaviours.

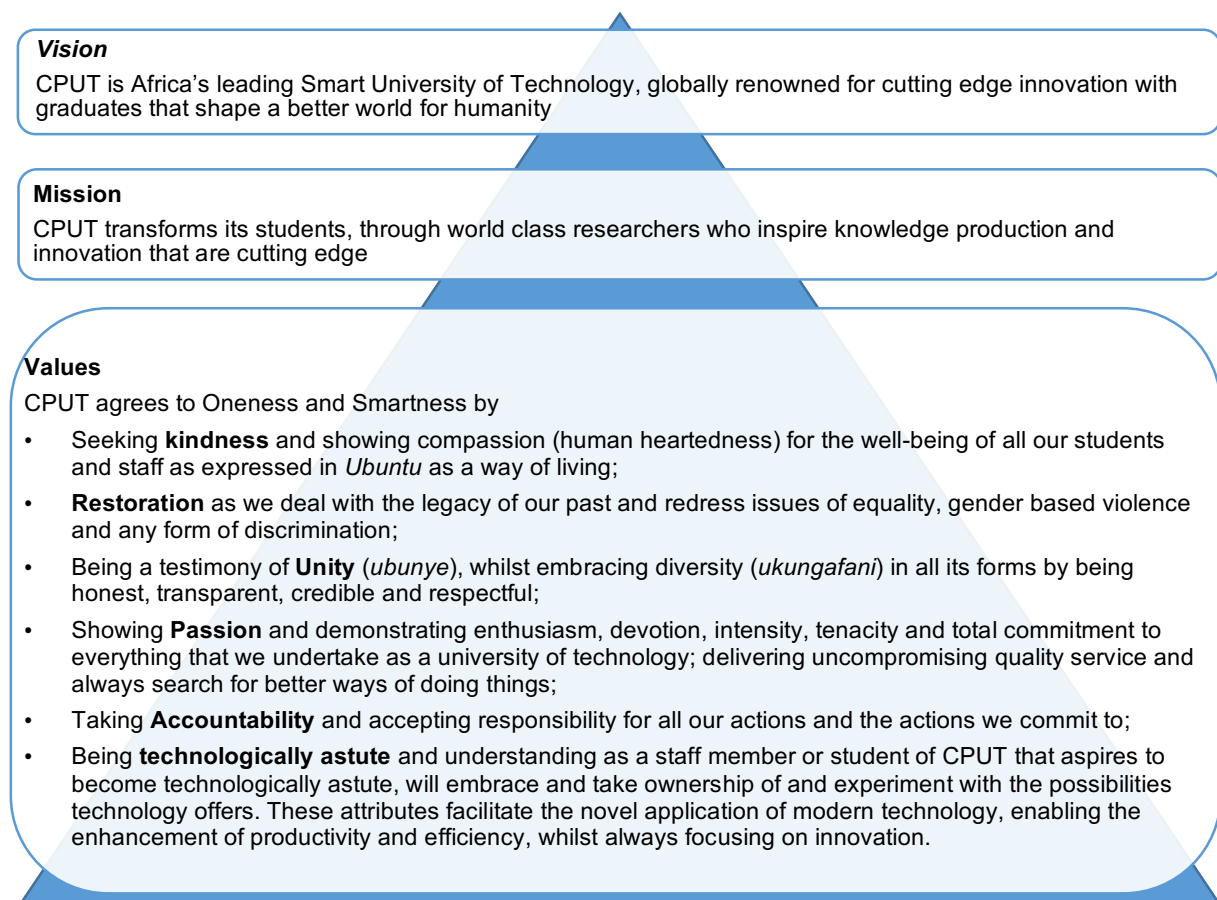This framework is therefore intended to guide members of CPUT's community on how to act ethically with impartiality, integrity, good conscience and sound judgement at all times. It provides information where individuals, groups and committees, facing ethical dilemmas or decision making, can seek further assistance and receive more detailed guidance. (Also see Appendix 2: A Framework for Ethical Decision Making).

This Ethics Framework is an attempt to ensure that ethical behaviour is much more than just what is written on paper. The framework reflects CPUT's aspiration to create a CPUT where all staff, students, Council Members, EM, Senate, IF, SRC, CPUT Convocation, suppliers, spin off companies, etc. all strive towards one common goal, namely the common good of a public university where the interest, sustainability and future of CPUT is the only driver.

"Integrity is doing the right thing, even when no one is watching". – CS Lewis

3. One Smart CPUT – Vision, Mission and Values

In drafting an ethical framework for the Institution, it is equally important to remind the CPUT community of our vision, mission and values, as outlined in Vision 2030. These three will compliment and drive CPUT's Ethics Framework.

Vision
CPUT is Africa's leading Smart University of Technology, globally renowned for cutting edge innovation with graduates that shape a better world for humanity

Mission
CPUT transforms its students, through world class researchers who inspire knowledge production and innovation that are cutting edge

Values
CPUT agrees to Oneness and Smartness by

- Seeking **kindness** and showing compassion (human heartedness) for the well-being of all our students and staff as expressed in *Ubuntu* as a way of living;
- **Restoration** as we deal with the legacy of our past and redress issues of equality, gender based violence and any form of discrimination;
- Being a testimony of **Unity** (*ubunye*), whilst embracing diversity (*ukungafani*) in all its forms by being honest, transparent, credible and respectful;
- Showing **Passion** and demonstrating enthusiasm, devotion, intensity, tenacity and total commitment to everything that we undertake as a university of technology; delivering uncompromising quality service and always search for better ways of doing things;
- Taking **Accountability** and accepting responsibility for all our actions and the actions we commit to;
- Being **technologically astute** and understanding as a staff member or student of CPUT that aspires to become technologically astute, will embrace and take ownership of and experiment with the possibilities technology offers. These attributes facilitate the novel application of modern technology, enabling the enhancement of productivity and efficiency, whilst always focusing on innovation.

Figure 1: CPUT's Vision, Mission, and Values and how they relate to CPUT's Ethics Framework

In reflecting on our values, it is clear that CPUT strives to be fair, kind, compassionate towards all staff, students and stakeholders, while demanding accountability from everyone. CPUT expects commitment to share in our dream to be "One Smart highly ethical, transformed, South African University of Technology". That is what we stand for and want to be known for. We are not afraid to confront our future in an ever evolving technological driven society because we will, as we embrace technology and the future world, ensure that the technology divide will be bridged between South African communities, which are often characterised as being "those who have and those who do not have". Driven by our conscience and passion to address the legacy of apartheid and how it affected the majority of the South African population, we will become an inspiration.

4. Principles for an Ethical Driven CPUT

To support CPUT's sincere intention to be an institution adhering to the highest ethical standards, a number of guiding principles are outlined here. These guidelines serve as a reference point for ethical decision making; namely that CPUT, collectively and individually (Council, Senate, IF, staff, students, SRC members, convocation and unions, etc.) will:

- Behave with independence, consistency, honesty and transparency in all activities and decision-making processes;
- Carry out research and scholarship of a quality which will earn the respect of ALL academic peers, will embrace research practices that are open to testing, and if needed, be rejected should it have been conducted unlawfully and unethically;
- Defend and promote the freedom to pursue, advance, and disseminate knowledge and ideas, including academic freedom, that will contribute to shaping a better CPUT, South Africa, Africa and global humanity;
- Test received wisdom, examine evidence critically, consider and evaluate all opinions, beliefs and arguments with respect – also taking into account and be led by the Constitution of the Republic of South Africa, 1996, and the Bill of Rights contained therein;
- Teach in a way that will be culturally friendly, relevant, and future looking; preparing graduates who will be absorbed in workplaces, embracing student success in the broadest sense, and live up to the expectation of "access with success";
- Award degrees and honorary degrees based on merit, and not on political correctness or in an attempt to gain favour;
- Manage CPUT's finances with transparency, ensuring long-term financial sustainability – even if it means taking unpopular decisions;
- Transform CPUT in terms of staff profile, the needs of academic programmes, modes of delivery; global higher education trends and imperatives and being acutely aware what ethics mean in an online/ digital/ virtual higher education world/ environment;
- In all in stances declare any business, commercial or financial activities undertaken for financial or other gain that may raise a conflict of interest or possible conflict of interest and refrain from participating in any decision that may compromise any CPUT structure, an individual or groups of individuals;
- In all instances, separate CPUT from individual, political or financial preferences and interests, and take into account that CPUT, as a public institution, will exist long after current staff have left;
- Lead students and staff and all members of CPUT's committee structures in a non-political way, and encourage constructive dialogue;
- Student leadership will understand that no single university can change the entire South African society and the problems of South Africa, the continent and the world. There will be acknowledgment that there is a role for student leadership across South Africa to bring, yet in a responsible way, the societal matters of South Africa to the fore, but never in such a way that it will prevent CPUT from delivering on its promise to produce future ready graduates and responsible citizens for the world of work.

5. CPUT will Challenge Unethical Behaviour

"One of the truest tests of integrity is its blunt refusal to be compromised". – Chinua Achebe

CPUT wants to state irrevocably that any member of the University's community may challenge the Institution, if in good faith, should they feel that CPUT, individually or in groups or in committees, including Council, has fallen short of the standards set out in CPUT's Ethics Framework. Vengeance against any person (staff, students, Council Members, members of the Convocation, Senate, Executive Members or members of the University Management Committee), will not be tolerated and will attract disciplinary action, where and if applicable.

6. Ethical Behaviour of Council, Management and Students

There is no substitute for a VC's leadership in creating an institutional culture of integrity. A Council that supports the VC in building an institutional culture of integrity, transparency, and collaboration will be supporting a successful university.

In advancing an ethical culture at CPUT, it is critical that ethical behaviour is demonstrated from the top, starting with the Chairperson of Council, Council Members, Executive Management, Senior Management, Student leadership and Union Members. In all matters, CPUT employees and all committee structures are expected to take appropriate steps, including consultation, if ethical issues are unclear, to avoid any conflicts (or potential conflicts) of interest and the appearance of such conflicts. Figure 2 depicts the relationship between CPUT's Council, its Executive and Management Committee and SRC.
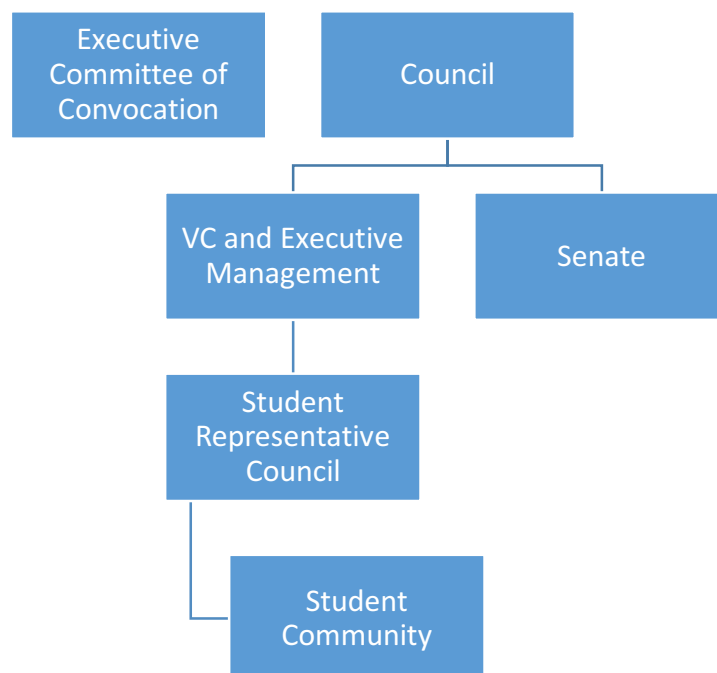
Figure 2: CPUT Leadership Structure

In explaining Figure 2, the following definitions, functions and role clarifications are necessary.

The **Council** is the governing body of CPUT and exercises general oversight over the Institution and its affairs.

The **Senate** is accountable to the Council for regulating all teaching, learning, research and academic functions.

The **Vice-Chancellor** (**VC)** and his/ her **Executive Management** are accountable to Council, and are responsible for the management and administration of CPUT.

The **Student Representative Council** is accountable to the student body/ community, the VC and the Council, and represents students in all aspects of student life.

The **Executive Committee of Convocation** administers the affairs of Convocation, and states its opinion upon any matters relating to the University or the Convocation, including matters referred to it by the Council.

The **Institutional Forum (IF)** advises CPUT's Council on issues such as: policies on race, gender equity, issues of discrimination, selection of candidates for Senior Management positions, codes of conduct, dispute resolution procedures, human dignity and fundamental human rights.

All of these key structures are expected to execute and contribute towards good governance (see figure 3).
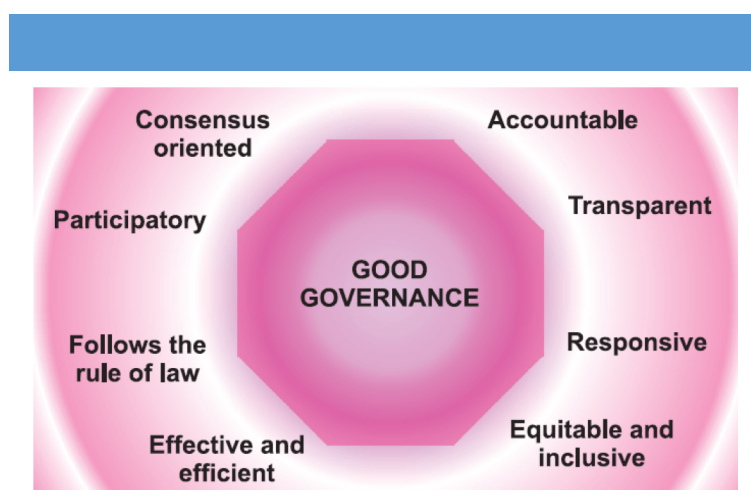
Figure 3: Characteristics of good governance

The following three sub-paragraphs focus predominantly on the role of Council, EM and the SRC.

6.1 Council

Ethical governance involves the anticipation and prevention of the negative consequences of any of CPUT's activities on society, the environment, research advancements and the economy of its immediate and "further away" environments. Having this responsibility, Council is expected to set a "gold" standard for ethical behaviour, and should at all times strive to improve and sustain an ethical culture at CPUT and ensure the regular monitoring thereof. Values and good conduct are to be specified in the terms of reference of all structures, and be reflected in the daily habits and practices of all CPUT employees – how they work, how they are evaluated, who is hired, who is promoted or rewarded, how employees act when managers are not present, when matters of personal judgement arise; and also with whom CPUT is doing business and how we select service providers and partners. CPUT also need to know how ethical their partners, suppliers and stakeholders are, and whether they ascribe to ethical behaviours. This will imply that CPUT will do the appropriate due diligence on their service provides and partners to ensure the University's name is not tarnished.

In this regard, the Governance and Ethics Committee (GEC) of Council is tasked to monitor ethics management at CPUT, and the extent to which executives (individually and collectively) comply with the ethics key performance indicators (KPIs) of CPUT. King IV specifically requires Council (in the corporate referred to as the Board) to disclose the effectiveness of ethics management and the outcomes thereof. As such, clear and measurable objectives will be set and monitored.

Council and its committees will embrace the following principles, namely to:

- observe high standards of ethical and moral behaviour;
- act (always) in the best interests of CPUT;
- ensure CPUT remunerates Executive Managers fairly and responsibly;
- recognise the legitimate interests of all stakeholders and ensure that CPUT acts as a good corporate citizen;
- equip themselves (and regularly update themselves) with best ethical governance practices, taking into account their application within a higher education environment;
- familiarise themselves with higher education trends and policies globally, on the African continent, and specifically within the South African higher education context; and to
- separate themselves from any political agendas, personal advancement or financial gains.

CPUT Council Members will uphold their fiduciary responsibilities and duty of care towards CPUT, and will always establish and collect evidence and facts before judgements are made and decisions are taken. This involves not disclosing confidential information or resolutions taken.

6.2 Executive Management (EM) and Management Committees (MANCOM)

Members of the CPUT Executive Management Committee, which is chaired by the VC, will have regard for the applicable provisions of the Higher Education Act and King IV, CPUT's Code of Conduct for Staff, and show their commitment to the following high level attributes of ethical conduct, namely to:

- act in a manner that is consistent with their positions;
- refrain from using their position or any information entrusted to them, to enrich themselves or improperly benefit any other person;
- refrain from using any information received in confidence in the course of their duties, other than in connection with the discharge of their duties;
- not expose themselves to any situation involving the risk of a conflict between their official responsibilities and their private interests;
- desist from receiving remuneration for any work or service, other than for the performance of their functions as members of CPUT's Senior Management and being an employee of CPUT;
- refrain from making improper use of CPUT''s resources;
- always acknowledge students' and staff's human rights and interests; and
- not allow university campuses to become political battle fields for political gain, but instead encourage, at all cost, constructive debates, meetings, sustainable solutions and restoration.

6.3 Ethics for Student Leadership and the Broader Student Community

Just as Council Members and Members of Senior Management should lead by demonstrating ethical behaviour in all that they do, the same is expected from student leadership and CPUT's broader student community.

It is, first of all, expected from students to show integrity and to work hard to earn their degrees in a fair and honest way by putting in the hours to study and complete their assignments, and to prepare for tests and examinations. Proper conduct and ethics are also expected from students placed for work integrated learning experiences. Students should acknowledge that access to higher education is a privilege and a great opportunity. Furthermore, the focus of studying at a higher education institution should not be the pursuit of political aspirations, and eventually leaving without achieving a qualification.

Student leadership will respect the rule of law and promote the rights and values enshrined in the Constitution of the Republic of South Africa, 1996, and will adhere to the provisions of the SRC Constitution, General Student Regulations, all other applicable CPUT approved policies and Rules, and will be led by the following ethical principles:

- To only take up a student leadership role when their own values are grounded in ethics and integrity;
- To only take up a student leadership role if they aspire to become an ethical inspiring leader, responding to the needs of all South Africans and not only to the needs of ideologies or a segment of the South African population;
- Having not their own political interest at heart, but rather the interest of CPUT and the common good of society (South Africa);
- To not view CPUT as the panacea to fix all South African societal problems;
- To adhere to communication protocols;
- To understand that the destruction and damage of CPUT assets and infrastructure is not acceptable and will not be tolerated, as we find ourselves in a modern society where conflict can be resolved through dialogue and constructive interactions.

The above section has outlined the responsibility of CPUT's leadership structure and their responsibilities to ensuring an ethical institutional culture.

7. Ethics for our Core Activities and for our Everyday Behaviours

"A true leader has the confidence to stand alone, the courage to make tough decisions, and shows the compassion to listen to the needs of others. He/ she does not set out to be a leader, but becomes one by the equality of his/ her actions and the integrity of his/ her intent". – Douglas MacArthur

CPUT has various policies that frame and support its governance structure. This Ethics Framework aims to integrate the Institution's governance structures, policies, procedures, audit function, risk management and reporting, as they are linked to all the core activities of the University. Being guided by King IV principles of integrated reporting, CPUT will make use of the Six Capitals (financial, manufactured, human, intellectual, natural and social) that was developed and accepted by the International Integrated Reporting Council (IIRC). The advantage of making use of the IIRC's Capitals is that it makes an institution's use of and dependence on different resources and relationships or Capitals visible, as well as an institution's access to and impact on them. Reporting this information is critical to:

- a meaningful assessment of the long-term viability of the organisation's business model and strategy;
- meeting the information needs of investors and other stakeholders; and
- ultimately, the effective allocation of scarce resources.

FINANCIAL CAPITAL (FC) 	**ED: Finance**	• University's reserves to make the university financially sustainable • Student debt • Increase of student tuition fees and accommodation fees • Investments • Responsible budget allocations according to strategic goals • Sustainable salary increases • Ability to raise 3rd stream income based on trust in the university and stability • Contract research • Artefacts
MANUFACTURED CAPITAL (MC) Manufacturers Capital, LLC. 	**DVC: OPS**	• Development of physical objects • Advancement of physical infrastructure, security and longevity of buildings • Campus infrastructure • University's assets • Sport facilities • Artefacts from research • Water, electricity systems to sustain the university
INTELLECTUAL/- IP CAPITAL (IC) 	**DVC: RTIP, DVC T&L**	• Patents • Artefacts • IP of knowledge production through research findings • Qualifications and programmes • Research articles, findings of Master's and Doctoral degrees • IP created by spin off companies • Outcome of contract research • University's brand • Development of software and CTI infrastructure • Student recruitment and placement practices • Research ethics
SOCIAL CAPITAL (SC) Social*capital*	**DVC: OPS, DVC RTIP**	• Collegiality created within CPUT amongst colleagues, CPUT community, stakeholders, groups of stakeholders, convocation, networks, sharing of information in the interest of all stakeholders • Relationship with local and national government, DHET, parents, international partners, countries that international students come from
HUMAN CAPITAL (HC) **Human Capital**	**DVC: OPS, Registrar, DVC: T&L**	• Fair practices of student enrolment and placement, including placement in residences • Nurturing of human capital • Talent management • Development of staff's capabilities and experiences • Enhancing motivation to innovations • Acknowledging of human rights • Human resources risk management • Succession planning, including mentoring and coaching • Wellness programmes • Grievance processes and procedures • Whistle-blowing practices to protect staff and students • Fair pay for work done

Figure 4: CPUT's core activities linked with the Six Capitals endorsed for integrated reporting
* Take note that the VC, as CEO, is responsible for overseeing that the responsible EM member for each capital is executing his/ her mandate. Council has the governance oversight role.

In the next section/ paragraphs, the above mentioned Capitals and how these impact on the core activities of CPUT are outlined.

Remember the abbreviations used for the Six Capitals:

- Financial Capital (FC)
- Human Capital (HC)
- Intellectual Capital (IC)
- Social Capital (SC)
- Manufactured Capital (MC)
- Natural Capital (NC)

7.1 Fair and Transparent Student Recruitment and Placements: Academic and Residential) (HC, SC)

CPUT's approach to fair and transparent student recruitment processes speaks to redress, creating opportunities and futures for all our students, especially those coming from disadvantaged backgrounds. It is our ethical commitment to assist students to break through cycles of poverty. CPUT will ensure that issues of redress and merit will apply, and that no student (regardless of race, ethnicity, gender, sexual preference or religious beliefs) will be discriminated against. Therefore, our student recruitment and placement practices will be led by fairness, equity, identifying potential, and creating enabling environments for our incoming students to be successful. Academic selection procedures will be followed considerately and promptly, and in accordance with the CPUT statutes and admission policies.

Similarly, the placement of students in residences will be based on fairness, objectivity and equity, and in compliance with the policy of student placement in residences. In addition, CPUT recognises the need to differentiate between residence provisions made for postgraduate students, given the nature of postgraduate research. Students should, however, show understanding that CPUT does not have the financial resources to provide accommodation for all its students; that there need to be criteria, and a policy that will be fair, transparent and consistently implemented. CPUT will ensure that all conditions in residences are decent, "liveable" and conducive for students to be successful. The same applies to the IT infrastructure in residences.

Personal information concerning applicants will be dealt with in accordance with the provisions of the Protection of Personal Information Act, 2013 (Act No. 4 of 2013), and will remain confidential. CPUT will have the mechanisms in place to ensure that it uses information for the purposes for it was required. CPUT will therefore delete information after the purpose/ reason for which it was gathered is fulfilled.

No student enrolled at CPUT should be set up for failure, and students should receive the necessary academic support they need to make a success of their academic years at CPUT. We believe and expect that all students will work hard, take their studies and all the opportunities and support afforded them, seriously.

Students, on the other hand, will comply with the rules of student residences and will recognise that any behaviour not in the interest of themselves and of their fellow students/ peers will not be tolerated by CPUT leadership.

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Policies and documents to be familiar with:

- CPUT Statute
- Admission/ Access policies
- General Handbook: Academic and Student Rules and Regulations
- Student Debt Management Policy
- Financial Aid policies
- Residence Placement Policy
- RPL Policy
- Progression rules
- SRC's ethical conduct
- SRC Constitution
- Disciplinary code for SRC members
- Induction of SRC members
- Monitoring of SRC members' performance and behaviour
- Privacy policies

*Please note that policy development is a dynamic process, and policies will be updated and developed regularly.

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7.2 CPUT's Academic Project (Under- and Postgraduate) and Ethics (IC, SC, HC)

At CPUT all staff and structures will conduct CPUT's core business, namely being an academic institution that teaches and conducts research, within a framework of academic ethics. Therefore, CPUT academics and researchers will:

- encourage students to study and develop varying/ different viewpoints, and show respect for students who differ from them;
- treat all students with dignity and respect;
- not subject any student to any form of discrimination; may it be through learning content, or the way in which they are addressed or taught;
- respect the confidential nature of staff-student relationships;
- avoid exploitation of students for personal advantage;
- be guilty of any form of harassment;
- ensure the regular upgrading of teaching and learning facilities;
- ensure all staff are trained according to the latest teaching methodologies and trends;
- ensure that all students are taught by the best qualified lecturers;
- give recognition to students' contributions (especially on postgraduate level) to academics' and researchers' work and research; and
- adhere to all Senate approved policies to ensure students are successful.

In addition, CPUT subscribes to regular student evaluations of lectures, modules, programmes, of the postgraduate supervision they have received and their overall faculty experience – this to ensure students receive the best possible education and training at CPUT.

As One Smart CPUT embraces the advantages of educational technology and moves towards a multimodal learning approach, ethical considerations will drive our e-learning strategy. In designing and reviewing our e-learning strategy, we will be guided by considerations such as socio-cultural issues, e-etiquette and the digital divide.

Our students, their families and communities, up to now, have not necessarily been exposed to the digital world. However, CPUT does not view this as a stumbling block, but an opportunity as we aspire, as a university of technology, to bridge the digital divide in South Africa.

In striving to be compliant with the relevant social media and data privacy legislation, CPUT policies on Protection of Personal Information, Information Security Policy, Electronic Communication Policy, and any other IT policies will be adhered to.

Academic misconduct, such as taking prohibited materials into examination halls, making use of any device or form to enable cheating or to conduct plagiarism, will not be tolerated. Students will be properly inducted and understand all the various forms of academic misconduct, how these will impact them, and how they will be dealt with. Students will understand that academic misconduct may destroy their career prospects.

Academics, researchers and supervisors will give postgraduate students the best guidance, ensure that research protocols are accepted by the various structures in a minimum period of time, give regular feedback, ensure they have ethical clearance for their studies, understand the postgraduate examination process, and the relevant timelines to meet.

CPUT will continue to strengthen its structures and procedures to listen and respond to student complaints and appeals about academic and other matters. These will ensure that students can raise matters of genuine concern without fear of being disadvantaged. The confidential nature of such complaints will be respected.

The following policies, procedures, guidance and supporting documents set out the ethical approach to learning and teaching at CPUT:

- Policy and Procedures for Admissions
- RPL Policy
- Quality Assurance Policy
- Teaching and Learning Plan/ Policy
- Students' academic grievances and appeals' policies and procedures
- Student Engagement Framework
- Policy for academic misconduct, cheating, plagiarism
- Fair Assessment Charter

*Please note that policy development is a dynamic process, and policies will be updated and developed regularly.

7.3 The CPUT Student Experience: Ethical Driven with Students' Interest and Welfare at Heart (HC, SC)

For CPUT, it is important to provide a holistic student experience, one in which enrolled students feel that they are well looked after. The University must ensure to engage students through the various structures so that they [students] support decisions taken by the University and become loyal students and alumni from CPUT. Student success should be the most important focus for all: for support staff and all academic staff, whilst acknowledging that students are young adults and should be treated as such.

Effective partnership between CPUT's Students Representative Council(s), academic departments and support services will be central for a positive student experience. Staff and students, and in particular the SRC, will ensure that students are as far as possible engaged in all decision-making/ governance issues – implying that communication processes and engagement practices will be valued and appreciated.

In addition to obtaining degrees, CPUT wants its graduates to be well-groomed for the world in which they will have to make their mark, be it locally, on the African continent, or in any other country of the world. They must be graduates who will be ethical, regardless of where they are or where they come from. In this regard, it is also important to study the graduate attributes as outlined in Vision 2030. CPUT graduates will pursue national, African and global "decencies" and ethics to create a better humanity, and will understand how global issues of being humane, fair, responsible and ethical come together. Being a student and having a solid, well-rounded CPUT experience is not equal to the pursuit of own individual or political aspirations or interests.

Students are expected to be open, honest and courteous with staff, with one another and with all other members of the University, as well as the local communities or industries where students will have work integrated learning experiences. On the other hand, CPUT will ensure that CPUT employees will reciprocate and conduct themselves in the same way.

Academic freedom and freedom of speech, for both staff and students, are fundamental characteristics of the environment CPUT wishes to create. Where staff and students differ in opinion, especially when it comes to controversial issues, these interactions should not constitute an unjustifiable infringement on the dignity of others and cause harm.

Accepting our duty of care, we will ensure the provision of appropriate support mechanisms for students, including academic supervision, counselling and career guidance, support for differently enabled students, career guidance, and financial support for students in need and those experiencing adversity.

In this regard, the following Codes of Practice/ Policies are applicable:

- Harassment and Bullying;
- Student Disciplinary Code;
- Student and SRC induction policies and procedures;
- Signed agreement from all students, adhering to the ethical behaviour code of CPUT being a student or student leader;
- SRC Conduct/ Code of Behaviour;
- Student Disciplinary Procedures – however, if a criminal case is opened by CPUT, the matter then falls within the jurisdiction of the SAPS and/ or NPA, and thus falls outside CPUT's ambit/ competence;
- Student Grievance Procedure;
- Academic and Student Rules and Regulations;
- Rules for engagement guidelines;
- Social Media Policy;
- Electronic Communication Policy and Guidelines

Please note that policy development is a dynamic process, and policies will be updated and developed regularly.

7.4   Computer and Telecommunications Services (CTS) (HC, IC, NC)

In striving to become One Smart University of Technology, the importance of apt and quality computer and telecommunications services speaks for itself. CPUT will place a high premise on the proper and extensive use of CTS, making sure it is used lawfully, responsibly and in compliance with all social media laws and ethics.

7.5   CPUT and Ethical Driven Research (IC, HC, SC, FC, NC)

CPUT is proud of its research standing and national and global recognition. Therefore, CPUT promotes and disseminates research that will advantage society. Research ethics, from the approval phase to the publication phase, is non-negotiable. Any form of research misconduct – be it plagiarism, misconduct or negligence on the part of the research supervisor/ promoter or student, or the industry/ society/ body CPUT is conducting the research for – will not be tolerated.

Research leaders/ managers/ directors/ supervisors are accountable for ensuring adherence to CPUT's research ethics framework in respect of the nature, conduct, dissemination and foreseeable end-use of research, and the behaviour of CPUT researchers.

CPUT views research misconduct as a serious disciplinary offence. Misconduct includes, but is not limited to, plagiarism, the falsification of data, and the disregard and disrespect towards research "subjects" and "objects", such as humans and animals (there could also be other examples). Misconduct and the disciplinary processes are detailed in the University's Research Misconduct Policy and related policies and procedures. It is also important to note that the "non-reporting" of research misconduct is also an offence, and everyone should be made aware of this, knowing that they will on the one hand be protected, yet on the other hand be brought to accountability.

In terms of the examining and assessment of CPUT's research outputs, CPUT will ensure that responsible examiners/ project supervisors are appointed to examine/ assess the final research project and the end-use of findings. Needless to say, CPUT will not ascribe to a "buddy system" of reviewing postgraduate students' work.

Please consult all related CPUT policies, procedures and guidelines.

- Research Ethics Policy
- Research Data Management Policy
- Postgraduate examination policies and procedures

*Please note, if some of these are not developed at the time of this document's approval, CPUT will add to the current list.

7.6   Technology Transfer and Commercialisation (IP, NC, HC, FC, MC, SC)

Technology transfer and commercialisation is the term involving CPUT's academic engagement with business, public and private organisations, for non-profit organisations and industries to create social, cultural and economic impact through knowledge exchange/ transfer. Technology transfer and commercialisation initiatives should ideally include the nurturing of graduate start-up and University spin-out companies, and research with industry and societal impact. CPUT will ensure the effective oversight of subsidiary companies, and will report quarterly on the performance and ethics of such companies.

7.7 CPUT's Physical Resources/ Properties (MC, NC)

CPUT expects all staff, students, stakeholders, and service providers to treat its physical infrastructure, property and land with respect, in the knowledge that it is our physical infrastructure that makes it possible for us to be a successful university and to deliver on our mandate. Therefore, we will continue to create awareness of environmental issues, and how we as a university community can take care of our manufactured and national capital. This will imply proper management of carbon emissions, energy usage, waste minimisation, and water consumption – ensuring the sustainability of our campuses.

Critical policies to be in place:

- Environmental Policy
- Waste Policy
- Carbon Management Plan

7.8 Human Capital and Talent Management (HC, SC, IC)

CPUT values its people and recognises that its reputation is dependent on Human Capital's engagement and commitment to excellence at CPUT. CPUT also recognises that if it wishes to prosper, it needs to grow its human capital, staff's talent as well as their potential while addressing issues of employment equity. Therefore, CPUT wishes to establish a strong culture of mentorship to transfer critical skills and expertise. We believe in transforming higher education, and in not setting anyone up for failure. Moreover, we would like to instill a culture of oneness and a sense of belonging.

In line with Vision 2030, CPUT wants to be an agile institution and an inspiring place to work and study. CPUT has, and will continue to develop, a fair and supportive environment, which is concerned about employee wellbeing and the relevant prescripts of the labour laws of South Africa. CPUT aspires to treating people fairly based on individual needs, and encourages staff to develop relevant skills and to progress their careers, through the training and development opportunities readily available at CPUT.

CPUT wants to reiterate that when staff are representing CPUT, either internally or externally, they should always act courteously and respectfully. The same behaviour is expected of Council and of all Executive Members.

Staff on the other hand, should familiarise and adhere to the code of conduct as provided by HC when employed. Cognisance should be taken of the use/ misuse of University resources and property, social media and electronic media communication policies, confidentiality, leaking of information, disciplinary matters and collegiality.

> **The following Codes of Practice may be useful:**
>
> - Anti-Bribery and Corruption Policy
> - Employment Equity Policy
> - Transformation Strategic Plan
> - Disability Policy and Guidelines
> - Harassment and Bullying Policy
> - CPUT Recruitment Policy and Guidelines
> - Policy and procedures for whistleblowing
> - Performance Management/ Appraisal Policy
> - Conflicts of Interest Policy
> - Private Work Policy
> - Code of Conduct for Staff
> - Plagiarism Policy
>
> **Please take note also that these are not specific to HC, but reach across functions. These policies are a work in progress, and need to be regularly updated and developed.*

7.9 Private Work/ Conflicts of Interest

Employed members of CPUT are expected to devote their primary professional commitment to CPUT. Any approved private or outside employment must not interfere with such staff member's duties at CPUT, knowing that many academics do take up outside duties for which they are remunerated. Outside professional activities for which staff members receive remuneration is viewed as having a conflict of interest with CPUT. Therefore, Council, all employees, Senate Members, IF Members, Executive of Convocation, Management, and student leadership, are expected to disclose such interests in compliance with applicable conflict of interest/ conflict of commitment policies.

7.10 CPUT Staff and Students' Participation in Sport (HC, SC, NC)

CPUT is aware that on global and national stages, sport has recently experienced some profound ethical challenges, e.g. doping and bullying. CPUT will act, across all sport activities with honesty and according to the ethical standards of all sports codes. Subsequently, CPUT will ensure that all students and staff, participating in competitive sport activities, will adhere to international ethical practices.

7.11 Acceptance of Gifts and Donations (FC, SC, HC)

"Whoever is careless with the truth in small matters cannot be trusted in important affairs". – Albert Einstein

Staff members, students and Council members should not receive any goods/ gifts or money that could pollute their decision making or enrich themselves or any related parties, e.g. their families, companies or prospects of getting contracts/ tenders. CPUT has a policy on the receipt of gifts which guides recipients regarding the acceptance of gifts, as well as the nature and value of such gifts that may be accepted. While it is preferred that all such gifts be declined or donated to a charitable organisation, small gifts of nominal value may be accepted as per the policy. The policy also states the consultation and declaration process to be followed should a gift be offered to a Student, Staff Member, Council Member, Senate Member, IF Member, SRC member, member of the procurement or tender process/ committees in relation to their interactions with CPUT.

CPUT acknowledges that the Marketing and Communication (MCD) and Advancement Departments are charged with building relationships with alumni and friends, charitable trusts, foundations and companies to obtain donations that will support the University's strategy. These departments will operate in accordance with best practice guidelines and King IV principles.

When considering the ethical nature of a donation, the following points should be of particular focus:

- The origin of the donation – where is the money or item coming from?
- The nature of the donor – are they an individual or organisation of integrity and good reputation?
- The legal and financial context of the donation – is the donation legal?
- The purpose of the donation – has the benefitting campaign, project or cause obtained ethical approval; is it ethically sound; are there any conditions attached to the donation?

7.12   Marketing and Communication (SC, HC)

CPUT's Marketing and Communication Department undertakes activities that will raise CPUT's profile with its external and internal stakeholders, inspire potential students, connect with alumni, and competitively position CPUT nationally and internationally. CPUT endeavours to ensure that all marketing materials are accurate at the time of publication, accessible and not misleading, and provide all CPUT stakeholders with instructive information that helps them to make informed decisions and/ or engage with CPUT. CPUT furthermore endeavours to communicate policies, achievements and prospects honestly within and outside the CPUT community.

The following detailed guidance should be available:

- Email etiquette, website design and administration – who is responsible for what?
- How to use social media platforms safely and according to social media ethics and legal frameworks
- The use of institutional surveys on the web, following of ethical protocols
- Social Media Policy and best practices
- The use of CPUT social media platforms for personal advertising and advancement

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8. Monitoring and Evaluation

No university's Ethics Framework can be successful if not monitored carefully, regularly and according to well explained set criteria and training. Critical here are trends and how they are documented, arrived at, described and monitored. Therefore, regular evaluations will be conducted to ensure staff and students are retaining and acting on what they have learned. This may include independent audits of measurable aspects of the programme, or self-evaluations such as surveys, colloquiums, seminars, etc.

As CPUT matures in its ethics culture, so will the various items of reporting. Therefore, a list of annual areas to monitor and to report on, are listed here. These should be reported annually and at the last Council Meeting of a particular year.

1. Number of conflicts of interest declared at all CPUT committee meetings
2. Number of gifts and donations received without following the policies and procedures
3. Number of staff being bribed to give students academic access, and placement in residences not meeting the policy requirements
4. Number of incidents of theft committed by staff and students on campus
5. Number of tenders assigned to companies/ suppliers, being family, friends or colleagues of CPUT employees sitting on influential committees
6. Number of incidences of whistleblowing where unethical behaviour is the root problem
7. Number of training opportunities for staff and students and Council in ethical behaviour and conduct
8. Number of disciplinary hearings and charges related to the transgression of ethical norms and standards
9. Number of policies being transgressed in a particular year
10. Number of research protocols, postgraduate qualifications, peer reviewed articles which received feedback where questions were raised regarding ethics, including plagiarism
11. Number of tenders allocated where it was afterwards discovered that the work executed did not comply with the specifications, increased the price, or where the completion time had to be extended without sufficient reasons
12. Number of partnerships with companies that are in the media for non-compliance and with qualified audits
13. Number of staff appointed with false qualifications and misrepresented CVs
14. Number of Council Members with alliances with companies/ institutions with compliance issues and receiving qualified audits
15. Number of students permitted to enrol at CPUT not meeting admission requirements
16. Number of students permitted into CPUT owned and leased residences who do not meet the minimum requirements as set out in the Residence Placement Policy
17. Number of students graduating without meeting degree requirements
18. Number of cases where confidential information was leaked from committees
19. Number of cases where evidence/ footage was destroyed to protect culprits
20. Number of cases where information was twisted/ deceived for own interest or to benefit others

9. Timelines

Activity	Responsible person	Timeline
EM approval	Registrar	Done
Mincom approval	Registrar	Done
Senate approval	Registrar	Quarter 4 2020
Council approval	Registrar	Quarter 4 2020
Alignment with current policies in place	Registrar	Quarter 1 2021
Development of CPUT ethics website	Registrar and Director MCD	Quarter 2 2021
Training and workshops	Registrar HC Transformation Office	Quarter 2 2021
CPUT ethics symposium	Registrar's Office with other internal stakeholders	Quarter 3 2021
1st report on CPUT's ethics culture	Registrar's Office	Quarter 4 2021

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Appendix 1: Example of an oath to be signed by various CPUT stakeholders, upon taking up specific roles and appointments at CPUT

STAFF

I, (full names): ………………………………………………………………………

ID number: ………………………………………………………………………

Staff number: ………………………………………………………………………

Also sitting on the following committees – please list them:

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I will always have the best interest of CPUT at heart. I will declare my conflict of interest, be as objective as possible, and will not pursue my own interests; neither that of friends, politicians, family members or any other party. I furthermore ascribe to the Ethics Framework of CPUT.

Signature: …………………………… Date: ………………………………

STUDENTS

Student name: ………………………………………………………………………

Student number: ………………………………………………………………………

I will always have the best interest of CPUT at heart. I will declare my conflict of interest, be as objective as possible, and will not pursue my own interests; neither that of friends, politicians, family members or any other party. I furthermore ascribe to the Ethics Framework of CPUT.

Signature: …………………………… Date: ………………………………

COUNCIL MEMBERS

Member of Council: ………………………………………………………………………………………

I will always have the best interest of CPUT at heart. I will declare my conflict of interest, be as objective as possible, and will not pursue my own interests; neither that of friends, politicians, family members or any other party. I furthermore ascribe to the Ethics Framework of CPUT.

Signature: ……………………………   Date: ………………………………

SRC MEMBERS

SRC Member name: ………………………………………………………………………………………

Student number: ……………………………………………………………………………………

I will always have the best interest of CPUT at heart. I will declare my conflict of interest, be as objective as possible, and will not pursue my own interests; neither that of friends, politicians, family members or any other party. I furthermore ascribe to the Ethics Framework of CPUT.

Signature: ……………………………   Date: ………………………………

Appendix 2: A Framework for Ethical Decision Making

The purpose of this Appendix is to assist members of the CPUT community when having to take ethical decisions – especially when confronted with complex ethical issues.

Steps	Key questions
1. Recognise the ethical issue/ dilemma	• Could this decision or situation be damaging to someone or to a group? • Does this decision involve a choice between a good and bad alternative, or perhaps between two "goods" or between two "bads"?
2. Establish/ Gather the facts	• What are the relevant facts of the case? What facts are not known? Do I know enough to make a decision? • Which individuals and groups have an important stake in the outcome? Are some concerns more important? Why? • What are the options for acting? Have all the relevant persons and groups been consulted?
3. Evaluate alternative actions	Evaluate the options by asking the following questions: • Which option will produce the best result and do the least harm? (The Utilitarian Approach) • Which option best respects the rights of all who have a stake? (The Rights Approach) • Which option treats people equally or proportionately? (The Justice Approach) • Which option best serves the community as a whole, not just some members? (The Common Good Approach) • Which option leads me to act as the sort of person I want to be? (The Virtue Approach)
4. Take a decision and test it	• Considering all these approaches, which option best addresses the situation? • If I told someone whom I respect or a television audience which option I have chosen, what would they say?
5. Act and reflect	• How can my decision be implemented with the greatest care and attention to the concerns of all stakeholders? • How did my decision turn out, and what have I learned from this specific situation? • Is the decision fair and equitable? • Whose interests are being served here and who will benefit or be disadvantaged by the decision? • Will this decision be acceptable for me as a member of the CPUT community and for press/ medial release?

(With acknowledgement to the Markkula Center for Applied Ethics at Santa Clara University, 2009).

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