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# Leveraging data science and machine learning for urban climate adaptation in Africa: a protocol for the HE2AT Center's second research project

Abstract

Rapid urban growth, significant levels of informality, and increasingly stretched health services, intersecting with observed past and projected future temperature increases, have resulted in a critical intersection between development patterns and climate change in African cities. The HE2AT Center's second research project aims to use data science and machine learning, including natural language processing and geospatial analysis, to combine and explore multiple data sources to understand the spatial and demographic complexity of heat-related health impacts in Abidjan, Côte d'Ivoire and Johannesburg, South Africa. The study will acquire existing health datasets from clinical research, as well as socioeconomic and geospatial climate datasets and satellite imagery, to map heat hazards at an urban scale and quantify heat-health vulnerability and impact on morbidity-specific health outcomes. Statistical, machine learning, and deep-learning techniques will be used to develop heat-health models and optimize an app-based Heat-Health Early Warning System. The results of this project will inform efforts to find innovative solutions for African cities to adapt to their changing climate.

The study, approved by the Wits Human Research Ethics Committee in 2022 (reference no: 220606), adheres to all relevant guidelines and legislation, including the Declaration of Helsinki, ICH Good Clinical Practice, Ethics in Health Research, and the Protection of Personal Information Act (POPIA) 2013. Data will be managed according to ethics committee approved procedures, and results will be disseminated through workshops, policy and research forums, scientific conferences, and journal publications.

**Keywords**: urban, heat, health, early warning systems, intra-urban vulnerability, socio-economics and environment, exposure mapping, hazard mapping, Heat-related health impacts, African cities, Data science and machine learning

# The strengths and limitations of this study

The strengths and limitations of this study can be presented as follows:

Strengths:

* Large sample size and generalizability: The study will collect data from multiple sources, including randomized controlled trials, cohort studies, socioeconomic data, census data, remote sensing data, and both observed and simulated climate data, in two large African cities, allowing for greater generalizability of the findings.
* Use of novel machine learning techniques: The study will apply advanced data analytics techniques. This includes utilizing pattern machine learning algorithms, Quantile Regression Forests, Gated Recurrent Unit models, and natural language processing. In addition, it will also leverage the power of pre-trained large learning models to further enhance the performance and efficiency of our analysis.
* Multi-disciplinary team and approach: The study is supported by experts from various fields, including climate science, data science, public health, epidemiology, and environmental epidemiology, ensuring a comprehensive and well-rounded approach.

Limitations:

* Challenges in managing variation and bias when using multi-source data: The study may face challenges in managing variation and bias when using data from multiple sources. These challenges will be addressed through dimensionality reduction and controlling for confounding bias.
* Difficulty in gathering data from various sources: The process of locating and acquiring data from various sources may be challenging. The study will prioritize the management of data transfer to ensure the smooth collection of data.

## Introduction

## Background/rationale

High ambient temperatures above long-term averages during summer months and discrete heat extremes (e.g. heat waves) are associated with excess mortality and considerable morbidity[1-4]. The World Health Organization predicts that by 2030, there will be almost 92,000 deaths per year from heat waves, with sub-Saharan Africa among the worst affected regions[5].

Anthropogenic climate change has already resulted in a more than 1°C rise in temperature globally since the pre-industrial times (1850-1900) [6]. However, this increase is not evenly distributed across the planet, or even within local areas[7]. Regional differences and the effect of urban development and land use change mean that many parts of Africa are experiencing higher than average temperature increases, and more frequent, intensive, and longer-lasting heat waves[8].

The Urban Heat Island (UHI) effect is a phenomenon in which the presence of concrete, non-reflective surfaces and low levels of greenery and wind result in temperatures considerably higher than in surrounding areas, leading to increased morbidity and mortality during heatwaves[7]. This is a particular concern in Africa, as it is the most rapidly urbanizing continent in the world, with an estimated 59% of its population living in cities by 2050[9]. In many African cities, a large proportion of the population lives in informal dwellings in unplanned settlements which are often located in hot, low-lying areas of the city and lack vegetation, shade, and natural ventilation[10]. Housing materials in these informal settlements, such as iron metal sheeting, can also exacerbate heat exposure, with temperatures inside these dwellings commonly 3-4°C warmer than outdoors[10-13].

The UHI effect is particularly concerning in African cities, where high heat exposure and limited insulation is common. The urban poor are particularly vulnerable to heat exposure due to their heightened sensitivity and lowered adaptive capacity[14]. Elderly individuals, those with pre-existing respiratory conditions, and those with HIV, malnutrition, or non-communicable diseases, are more sensitive to heat exposure, and those without access to cool water, air-conditioned spaces, health services, or occupational protections may have lower adaptive capacity and be unable to protect themselves from heat related morbidity and mortality [15-19]. Occupational settings, such as manual labor in factories, construction sites, or other outdoor activities, can also result in dangerous levels of heat exposure[20].

To address these challenges, data science innovations offer an important opportunity to assess the impact of urban heat on health in African cities and improve preparedness to avoid heat-related morbidity and mortality[21]. This study aims to lay the foundation for an African urban heat health early warning system by integrating advances in short (days to 1 week) and seasonal (weeks to months) weather forecasting with identifed demographic and socioeconomic factors that increase susceptibility to heat stress[22]. By collecting and analyzing data from two large African cities, this project will provide valuable insights into the dangers of heat in urban environments in sub-Saharan Africa.

In addition to improving health outcomes, this research project aims to contribute to the broader goal of building more climate resilient cities in Africa. By understanding the complex interplay between climate change, urbanization, and health, we hope to develop strategies that can help African cities better adapt to the challenges of a changing climate. This includes finding innovative solutions for managing heat hazards and protecting vulnerable populations from the impacts of extreme heat. The results of this study will be used to inform the development of an app-based Heat-Health Early Warning System, which can be used by city planners, public health officials, and community leaders to better prepare for and respond to heatwaves in African cities.

## Aims and objectives

1. Map intra-urban heat vulnerability and exposure across urban areas in large African cities: This aim involves using data science and machine learning techniques, including geospatial analysis and natural language processing, to combine and explore multiple data sources to understand the spatial and demographic complexity of heat-related health impacts in African cities. The study will acquire existing health datasets from clinical research, as well as socioeconomic and geospatial climate datasets and satellite imagery to map heat hazards at an urban scale and quantify heat-health vulnerability and impact on morbidity-specific health outcomes.
2. Develop a spatially and demographically stratified heat-health outcome forecast model: The second aim of this project is to use statistical, machine learning, and deep learning techniques to develop a heat-health outcome forecast model that is capable of predicting the probability of adverse health outcomes at different temperature thresholds. This model will be stratified by geography and demographics, allowing for more precise and targeted forecasts that are tailored to the specific needs of different populations and neighborhoods.
3. Develop an Early Warning System reflective of geospatial and individualized risk patterns: The final aim of this project is to develop an app-based Heat-Health Early Warning System that is reflective of the unique risk patterns identified through the mapping and forecasting activities described above. This system will be designed to provide timely and accurate warnings to city planners, public health officials, and community leaders, helping them to better prepare for and respond to heatwaves in African cities. The goal is to use the results of this study to inform the development of an Early Warning System that is tailored to the specific needs of African cities and capable of helping to mitigate the risks of heat-related health impacts in these regions

## Methods and analysis

### Study setting

Abidjan and Johannesburg are two large cities located in Côte d'Ivoire and South Africa, respectively. Both cities are experiencing rapid urban growth, significant levels of informality, and increasingly stretched health services, intersecting with observed past and projected future temperature increases[23]. This has resulted in a critical intersection between development patterns and climate change in these cities.

Johannesburg is the largest city in South Africa and is located in the Highveld region of the eastern plateau. It has a diverse and rapidly growing economy and faces significant health challenges, including high rates of HIV and tuberculosis, as well as non-communicable diseases[24]. Abidjan is the largest city in Côte d'Ivoire and is located on the southeastern coast of the country. It is a major economic hub and faces significant health challenges, including high rates of malaria and other infectious diseases, as well as non-communicable diseases[25, 26].

Both cities are characterized as urban heat islands because they exhibit higher temperatures than their surrounding rural areas. Johannesburg, famed for its enormous urban forest of over 10 million trees, suffers from the urban heat island effect, in which temperatures in metropolitan regions are greater than in adjacent rural areas[27]. The density of people and structures, as well as the amount of vegetative cover in the city, can all have an impact on this effect. The intra-urban spatial heterogeneity of vegetation levels across residential areas in Johannesburg contributes to the heat island effect[28]. Residential areas with high levels of vegetation may have weaker heat island effects due to evapo-transpirative cooling, whereas places with low levels of vegetation may be more sensitive to the heat island effect[29].

The district of Cocody in Abidjan is experiencing the urban heat island effect due to rapid urbanization and associated changes in land use and land cover that are occurring in the area[30]. The concentration of buildings and lack of green spaces in Cocody may be contributing to higher temperatures in the district compared to surrounding rural areas[31].

The comparison of Johannesburg to other cities, such as the tropical coastal city of Abidjan and the high-elevation inland subtropical city of Johannesburg, allows for the evaluation of the generalizability of our models and techniques in different contexts.

## Data sources/measurement

### Health variables of interest:

* Clinical data: This includes vital signs (e.g., body temperature, blood pressure, heart rate), symptoms and signs of heat-related illness (e.g., headache, dizziness, fatigue, nausea), and information on pre-existing medical conditions (e.g., hypertension, diabetes, cardiovascular disease) that may increase the risk of heat-related illness.
* Laboratory data: This includes blood tests (e.g., electrolyte levels, liver function tests, kidney function tests), markers of inflammation and oxidative stress, and tests for infectious diseases (e.g., malaria, dengue fever, leptospirosis) that may be exacerbated by heat. It also includes HIV tests, including viral load and CD4 count.
* Demographic data: This includes basic demographic information (e.g., age, sex, race, ethnicity), socioeconomic factors (e.g., education, income, occupation), and information on housing and urban infrastructure (e.g., availability of air conditioning, ventilation, shading) that may affect heat exposure and vulnerability.

The primary health data for this study will be collected from HIV clinical trial and cohort studies. These types of studies typically involve a large number of participants and are conducted over an extended period of time, allowing for the collection of detailed health data that can be used to identify trends and patterns. Possible outcomes of interest include heat stroke, heat exhaustion, and heat-related deaths.

| **Health variable** | **Description** |
| --- | --- |
| Vital signs | Body temperature, blood pressure, and heart rate |
| Symptoms and signs of heat-related illness | Headache, dizziness, fatigue, and nausea |
| Pre-existing medical conditions | Hypertension, diabetes, and cardiovascular disease |
| Laboratory tests | Electrolyte levels, liver function tests, kidney function tests, markers of inflammation and oxidative stress |
| Tests for infectious diseases | Malaria, dengue fever, and leptospirosis |
| HIV tests | HIV viral load test and CD4 count test |
| Demographic data | Age, sex, race, ethnicity, education, income, occupation |
| Housing and urban infrastructure | Availability of air conditioning, ventilation, and shading |
| Other possible outcomes of interest | Heat stroke, heat exhaustion, heat-related deaths |

Table:xx

### Other data types(Climate and Socio-economic)

This study will use a range of data sources to understand the impacts of heat on health in African cities. Climate-related data will be obtained from open data repositories, such as the Copernicus Climate Data Store (CDS) and Earth System Grid Federation (ESGF), which provide observational-based datasets, historical re-analyses, and climate simulations[32]. The IBM-PAIRS platform will also be used as a comprehensive and reliable source of climate data, including data from climate models, weather stations, and satellite observations[33]. This will provide a detailed picture of the historical and future climate conditions over Africa, including the frequency, duration, and intensity of heatwaves.

In addition to climate data, the study will also use remote sensing data obtained from satellite sensors, including optical imagery and indicators of physical measures such as land surface temperature, soil moisture, vegetation condition, and land use and cover[34]. In cities where this information is available, researchers will combine data from existing sensor networks with information on urban land use and building density to create[35].

The study will also analyze geospatial socio-economic data, including household economic indicators, access to services, and dwelling type[36]. This data will be obtained from sources such as national census data and focused household and demographic surveys, and will include information on individuals' and households' income, education, employment, living conditions, and access to healthcare, education, and transportation[37].

By combining climate, remote sensing, and socio-economic data, the study aims to create vulnerability maps of cities that show areas where individuals and households are most vulnerable to the effects of heat on health. These maps will be useful for public health officials and policymakers in identifying areas of need and developing targeted interventions and policies to address these risks.

### Study Identification

In our study, we will examine the relationship between heat and health in Johannesburg and Abidjan. To identify relevant clinical trials and cohort studies, we will conduct a systematic review of the literature. This will involve searching relevant databases and search engines using a list of predetermined keywords and inclusion/exclusion criteria. Two reviewers will independently screen the titles and abstracts of the identified studies, and full-text articles will be obtained for those that meet the inclusion criteria. The quality of the included studies will be assessed using the Newcastle-Ottawa Scale, and data will be extracted and synthesized according to the study design and focus[38]. Any discrepancies will be resolved through discussion and consensus. This systematic review will provide a comprehensive overview of the current evidence on the topic and inform the direction of our research.

To be considered for this study, a research project must meet the following criteria:

| **Criteria** | **Description** |
| --- | --- |
| Study type | Cohort or trial with at least 200 adult participants |
| Study location | Johannesburg or Abidjan, or both cities |
| Study design | Randomized or non-randomized clinical trial, observational or interventional cohort with prospectively collected data |
| Data collected | At least one primary two of the clinical or lab variables |
| Ethics approval | Local ethics approvals obtained |

**Table: xx**

## Methods

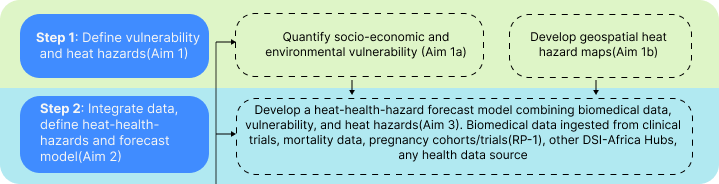
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Figure: xx

### Measure the socioeconomic and environmental vulnerability within cities

The study's first goal is to map and index intra-urban socioeconomic and environmental vulnerability and heat hazard exposure in African cities. Vulnerability refers to the interconnected set of factors that determine whether a hazard (such as high temperatures) causes a health problem[39]. To measure vulnerability, the study will use a range of data sources, including OpenStreetMaps, sentinel satellite imagery, and socioeconomic data from censuses and household surveys[40]. These data sources provide detailed information on the physical and social characteristics of cities, including the location and density of buildings, the availability of green space and other heat-mitigating features, and the socio-economic status of residents.

Model transferability is a key consideration in this study, as the goal is to develop models that can be used in various cities across Africa[41]. To enable model transferability, the study will use dimensionality reduction methods such as Principal Component Analysis (PCA) to identify dominant correlation structures across variables and to combine the components into a single indicator that confers combined socioeconomic and environmental vulnerability[42]. Spatial techniques such as spatial principal component analysis and geodemographic clustering methods will also be used to account for spatial variability in the data[43]. The resulting output map will be used to identify regions that are vulnerable in the same way, and to develop targeted interventions that address these risk factors.

### Develop high-resolution urban temperature hazard maps

Developing high-resolution urban temperature hazard maps is an important aspect of this study, as they serve as the foundation for subsequent machine learning training. To create these maps, the study will use a range of techniques, including downscaling and imputation methods to fill in gaps caused by cloud cover[44]. Land surface temperatures will be derived from multi-spectral band data from Landsat 8, with a focus on using the thermal infrared band and bands 5 and 7 to produce 100 m resolution grids[45, 46]. However, to better understand the correlation between temperature and health outcomes, the study will also investigate methods for producing higher spatial resolution temperature grids at 30 m resolution. This will involve the development and testing of statistical downscaling models using machine learning approaches such as random forest regression kriging and quantile random forest regression kriging, as well as the use of physics-based models to derive near-surface air temperature from LST data[47, 48].

The temperature patterns in each city will be influenced by the city's unique climate and physical characteristics, including altitude, land cover, and building density[49]. These models will incorporate digital elevation models and land surface maps to account for these factors and to create detailed, high-resolution maps of temperature hazards in each city[50]. The results of these models will be compared to existing field observations to ensure their accuracy and reliability. These maps will provide valuable information on the dangers of heat in African cities and will be used to inform efforts to find innovative solutions for adaptation to changing climates.

***A map of the world

Description automatically generated with low confidence***

Figure: xx

### Create a model that stratifies heat-health outcomes based on geography and demographics

The study will develop a model to predict the likelihood of adverse health outcomes at different temperatures based on geographic and demographic factors. The model will be trained using data on weather hazards at a high resolution, vulnerability data stratified by socioeconomic status and location, and information about individual biomedical outcomes. Machine-learning models, such as quantile regression forests, will be used to determine the strongest predictor variables from the suite of socioeconomic variables at each geographic location[51]. These models must be geographically coincident and include downscaled near-surface air temperature estimates, estimates of socioeconomic conditions, and an indicator of socioeconomic vulnerability to heat[52]. Initial research will focus on exploring different manual aggregations and exploratory data analysis with guidance from biomedical or epidemiological researchers.

Fine-tuning the machine-learning models will capture the associative relationships between high temperatures and negative health outcomes[53]. The significance of these health predictors in the models will be estimated within different populations within the investigated cities, indicating different susceptibility levels to heat-induced health conditions based on patient demographics and risk factors[54]. Some potential health co-morbidities that could be explored using data from clinical trials and machine-learning models include cardiovascular disease, respiratory disease, renal disease, and HIV.

The database's participants will be divided into subgroups based on factors such as age and socioeconomic status. The applicability of automatic sub-group discovery methods, including the use of open-source tools such as Pysubgroup and IBM-developed auto-stratification tools, will be explored[55, 56]. The outcomes of machine-learning models will be validated using clinical trial data to ensure their accuracy and reliability in predicting adverse health outcomes.

### Comparing Machine Learning and deep learning approaches

The relationship between heat and human health is complex and non-linear, with clear "tipping points" at which the response to heat changes dramatically[7]. To accurately model this relationship, we will use a Transformer architecture as our primary model for analysis. Transformer models have recently demonstrated state-of-the-art performance on a wide range of natural language processing tasks and have the potential to capture complex dependencies within our dataset[57].

To further improve the performance of our model, we will also explore the use of transfer learning, which involves fine-tuning pre-trained models on a new dataset[58]. This approach can be particularly useful when the available data is limited or noisy, as is often the case with health data[59]. We will experiment with various pre-trained models and fine-tuning strategies to identify the most effective approach for our specific dataset and research question.

As a secondary analysis, we will also evaluate the efficacy and accuracy/sensitivity/specificity of other machine-learning techniques, including recurrent neural networks (RNNs), long short-term memories (LSTMs)[60], and gated recurrent units (GRUs), as well as traditional machine-learning techniques, such as the Multi-Layer Perceptron (MLP), Bayesian Neural Network (BNN), Radial Basis Functions (RBF)[61].

By using a Transformer architecture as our primary model and exploring the use of transfer learning, we aim to build the best possible model for predicting the health effects of extreme heat[62]. Our hypothesis is that this approach will produce the most reliable forecasts due to the ability of Transformer models to capture complex dependencies within our data, potentially enhanced through the use of transfer learning. However, we will rigorously test this hypothesis through our analysis and compare the performance of the Transformer model to other machine-learning techniques.

| **Analysis** | **Description** |
| --- | --- |
| Primary model | Use of Transformer architecture to predict health effects of extreme heat |
| Transfer learning | Fine-tuning of pre-trained models on new dataset to improve model performance |
| Secondary analysis | Evaluation of efficacy and accuracy/sensitivity/specificity of RNNs, LSTMs, GRUs, MLP, BNN, RBF, KNN, and GRU for predicting health effects of extreme heat |
| Statistical analysis | Comparison of model performance using statistical measures such as mean absolute error, mean squared error, and Pearson's correlation coefficient |
| Sensitivity analysis | Evaluation of model performance under different assumptions and scenarios |
| Interpretability | Use of techniques such as feature importance and partial dependence plots to understand the factors driving model predictions |

Table xx

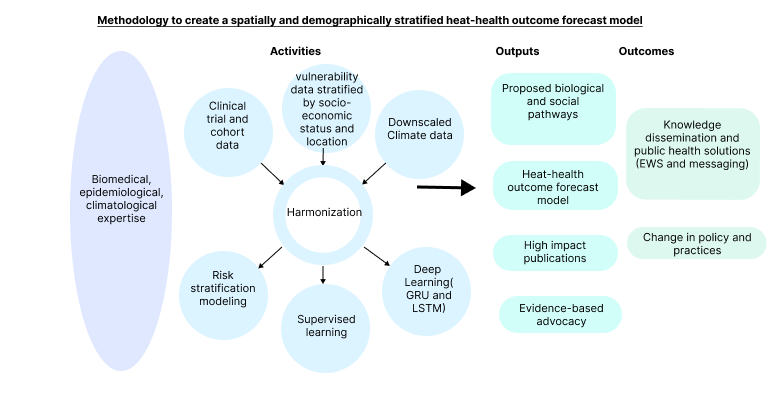


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### Develop an Early Warning System reflective of geospatial and individualized risk patterns

The goal of our study is to develop an early warning system, including a digital app-based system developed using Flutter, that reflects the geospatial and individualized risk patterns of heat-related health impacts in Abidjan and Johannesburg[63]. This app, available on both Android and iOS, will allow users to set their own thresholds for triggering warnings based on the forecasted health effects of extreme heat. An interactive system that invites users to submit data could facilitate continuous recalibration and learning through crowd interaction and knowledge sharing. This information is critical for verifying the accuracy of the thresholds and gauging the App's overall performance in preventing adverse health outcomes during heat waves.

The early warning system developed in this study will be tested for its effectiveness in preventing adverse health outcomes during heat waves[64]. It will be integrated into the department of health's existing processes and protocols for managing heat waves and other weather-related hazards at the district level. Health workers at the district level will use the system to monitor weather conditions and the predicted likelihood of adverse health outcomes in real-time, and use this information to plan and implement interventions to prevent or mitigate the effects of heat waves on vulnerable populations in the district. The interactive nature of the app will also enable health workers at the district level to collect and share information with the broader community, facilitating continuous learning and improving the accuracy and effectiveness of the early warning system.

### Managing Bias

To manage bias in the data, we will adopt a multi-pronged approach that involves careful selection of data sources, statistical adjustment of potential biases, and using a diverse range of data sources[65]. Specifically, we will carefully select clinical trials and cohort studies to ensure that they represent the modeled population. We will also adjust for potential biases in the data using statistical techniques such as weighting and stratification[66]. In addition, we will use a variety of high-quality data sources, including clinical trials and cohort studies, to provide a more comprehensive and balanced view of the data. By using these strategies, we aim to reduce the impact of bias and improve the accuracy and reliability of the modeling and early warning system.

## Ethical Considerations

### Ethical Considerations

The University of Witwatersrand's Health Research Ethics Committee has approved the study protocol for the use of secondary data in research, with the approval dated June 24, 2022 (reference no. 220606). The HE2AT Center's second research project involves the use of multiple data sources to understand the impact of heat on health in two African cities, Abidjan and Johannesburg. In conducting this research, we are committed to upholding the highest ethical standards and following all relevant guidelines and regulations.

One of the key ethical considerations in this study is the need to ensure that informed consent was obtained from participants for the primary studies from which we will be using data. We will carefully evaluate whether participants provided broad consent for data sharing, narrow consent for specific purposes, or whether it may be necessary to obtain re-consent or a waiver for informed consent**[67]**. We recognize that the rights and dignity of participants must be respected at all times, and we will take all necessary measures to protect these rights throughout the research process.

To protect the confidentiality of participant data, we will require data providers to provide assurances in the data sharing agreement that informed consent was obtained and that they have individual participant consent to share the data for this study. In addition, we will take steps to prevent privacy breaches, such as storing the data on a password-protected server and employing minimization principles to keep only essential study data. We will also ensure that all data is handled and stored in accordance with relevant data protection legislation.

To further protect personally identifiable information, including location data, we will follow US Department of Health and Human Services guidelines and may aggregate street addresses into regions and add random values to latitude/longitude coordinates. Only a limited number of named individuals will have access to the encryption keys for the 256-bit AES-encrypted data. We will also adhere to the US government's requirement for the use of NIST FIPS 140-2 verified cryptography modules for all sensitive unclassified data**[68]**.

We will also adhere to the principles of the Declaration of Helsinki and the ICH Good Clinical Practice guidelines in conducting this research**[69, 70]**. Any potential conflicts of interest will be disclosed to the appropriate parties.

Overall, our goal is to conduct this research in an ethical and responsible manner, while also protecting the privacy and confidentiality of the participants. We believe that this research has the potential to inform efforts to find innovative solutions for African cities to adapt to their changing climate, and we are committed to conducting it in a way that upholds the highest ethical standards.

### End of study

The project is funded to run until 2026.

### Study oversight

Prof. Chersich, Prof. Luchters, and the Hub Administrator direct the study. Steering Committee members represent six institutes from South, East, and West Africa. This study is led by Prof. Cisse of Ivory Coast's Peleforo Gon Coulibaly University.

## Dissemination

To maximize the effectiveness of the HE2AT Center, it is essential that we promptly disseminate our research findings. We have developed a publication strategy that outlines the types of publications, authors, and release dates for our research. We will share our findings with our research partners and other relevant stakeholders to inform local, state, federal, and international activities and revise recommendations as needed. Effective and timely dissemination is critical to the success of the HE2AT Center and its mission.

## Study Status

Ongoing.

**Contributors:** GC, MC, CJ, and SL were involved in the conception and design of the research. CP, MC, and DL obtained ethics approval. CP, MC and SL prepared the figures. CP, CJ drafted the manuscript. All authors edited and revised the manuscript. All authors approved the final version of the manuscript.

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## Competing interests:

The authors declare the following financial interests and personal relationships as potential competing interests: Through their pension funds, MF, DL, GM, and CP have investments in the fossil fuel industry. The University of the Witwatersrand has endowments and other financial reserves that are invested in the fossil fuel industry.

**Data sharing statement:** Data from the HEAT002 study can be made available upon request. Interested researchers should contact Chris Jack on cjack@csag.uct.ac.za

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