**UNIVERSITY OF ZULULAND**

# ANNUAL REPORT
# 2016

*RESTRUCTURED FOR RELEVANCE*

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# REPORT OF THE
# CHARPERSON
# OF COUNCIL

This report focuses on how the Council, through its Chairperson, discharged part of its statutory duty to account for the actions and achievements of Council in the governance of the University during the year 2016. The report not only focuses on the decisions and actions taken by Council, but the effect of these decisions and actions will have on the University in the future.

## INTRODUCTION

The report will indicate that decisions and actions taken by Council were in line with the University's mission and vision as well as strategic objectives. The report further considers the efficiency and effectiveness of internal financial controls (outside the financial statements) as well as the effectiveness of the University's risk management process and procedures. The report also highlights the functioning of Council sub-committees and considers campus development and major capital works that have taken place. Important focus is also placed on student services, industry opportunities and other significant changes that took place in 2016.

Council, as the custodian of good governance, embraces the King III principles and code and seeks to implement a corporate governance system that is fully compliant to all acts, regulations and commissions applicable to higher education institutions.

## STRATEGIC FOCUS

Council approved the University's Strategic Plan 2016-2021 on 5 December 2015. The Strategic Plan's goals and objectives for implementation in 2016 were agreed upon between the Executive and Council and

an operational performance agreement was entered into. The main strategic focus for the year under review was to improve governance with enhanced operations to support the academic enterprise and ensure sustainability, enhance research and innovation, enhance the quality and profile of UNIZULU graduates, and accelerate infrastructure development. Individual executive assessments were conducted by Council in November 2016 and Council was satisfied that the strategic focus had been achieved.

## ETHICAL LEADERSHIP
## AND CORPORATE CITIZENSHIP

Council's responsibility towards ethical leadership and corporate citizenship is based on ethical foundations as recognised in the Charter of Council and the Code of Conduct. Council has, for an extended period of time, taken its responsibility to all its stakeholders, including society, very seriously and will continue to do so. The Code of Conduct that includes ethical principles and values of the Institution, is monitored by the Audit & Risk Committee of Council. Responsible leadership characterised by the value of accountability, which includes subscribing to integrity and transparency, has been a defining ethos of Council. Other values

of the Institution include innovation, teamwork, efficiency and mutual respect, which all contribute towards ensuring corporate citizenship. Decisions, actions and deliberations were conducted with sensitivity to the legitimate interests and expectations of all shareholders.

The strategic plan 2016-2021, together with operational planning of the Institution, is aimed at ensuring that UNIZULU remains sustainable for future generations. The University exercises leadership within a governance system to ensure that its mission "To produce globally competitive graduates, relevant for the human capital needs of the country, by providing quality education, which upholds high standards of research and academic excellence" is carried out within a framework that promotes transformation, benefits society, protects the environment and ensures sustainability. The University has plans, as part of its renewal trajectory, to design and deliver new programmes, mainly at the undergraduate diploma level, in Engineering, Maritime Studies and Tourism at the Richards Bay campus. These new programmes are in line with the UNIZULU Strategic Plan 2016-2021, which aims to provide high-quality academic and career-focused programmes, relevant and responsive to the needs of students and society.

The University seeks, through its planned new programmes, to address skills shortages in the important disciplines of Engineering and Maritime Studies as well as Tourism. Graduates of these programmes will contribute to the continued growth of the regional and local economy of the uMhlathuze Municipality and uThungulu District Municipality, as well as the larger economy of South Africa and the southern African region, thereby making UNIZULU a leading comprehensive university that provides quality education, aligned to its vision.

## GOVERNANCE OF RISK

The Council and Management of the University of Zululand (UNIZULU) are committed to the implementation and maintenance of a formal enterprise risk management strategy, including the integration of risk management throughout all levels of the University as fundamental to achieving the University's strategic and operational objectives. The commitment for sound risk management practices is aligned to the requirements of the King III Report on Corporate Governance, globally regarded as best practice to which the Council has committed to adhere to as a responsible corporate institution.

The University applies an enterprise-wide approach to risk management, which aims to ensure that each function, department, process and project is included in a structured and systematic process of risk management.

UNIZULU considers health, safety and well-being management, business continuity and incident management, IT disaster recovery, as well as fraud management as crucial components of its Enterprise Risk Management Framework. All staff members are accountable for identifying and managing risk, in so far as is reasonably practicable within their area of

*Responsible leadership characterised by the value of accountability, which includes subscribing to integrity and transparency, has been a defining ethos of Council.*

responsibility. Sound risk management principles and practices must become part of the normal management strategy for all organisational units within the University.

Risk management is one of the most important factors guiding the implementation of strategic goals and general operations of the University. The University has reviewed the internal Risk Management Committee, consolidated identified strategic risks, compiled risk registers for the respected risk owners in line with the strategic risk framework, formulated a fraud risk management presentation that will be rolled out to relevant departments, and mapped out a process to institutionalise risk management. A compliance framework has been developed and various aspects of it are being implemented. Compliance to risk is monitored through the Audit & Risk Committee of Council.

Council can confirm that it maintained a reporting system that enabled it to monitor changes in the Institution's risk profile and gained an assurance that risk management was effective. UNIZULU has and maintains an efficient and effective process of risk management to manage key risks and accordingly, Council is not aware of any key risk current, imminent or forecasted, that may threaten the sustainability of the University.

## GOVERNANCE OF INFORMATION TECHNOLOGY

Governance and oversight of Information Communication Technology (ICT) is the responsibility of the Deputy Vice-Chancellor: Institutional Support. IT risks form part of the University's risk management activities and considerations and are governed by the Audit & Risk Committee of Council as the University does not have a standalone IT governance committee. The University approved the establishment and terms of reference of an IT Steering Committee, which will be responsible for the management of IT risks, and policy development and implementation. Its role is to ensure that the University's planning for and investment in ICT, which is understood to encompass hardware, infrastructure, software, systems and information, supports the strategic goals of the Institution. Accepted standards are applied to protect the privacy of, and ensure control over, all data.

As far as is practicable, systems are designed to promote ease of use for all users. The development, maintenance and operation of all systems are under the control of competently trained staff. In utilising electronic technology to conduct transactions with staff, students and third parties, the relevant controls and procedures are designed and implemented to minimise the risk of fraud or error.

Thirteen ICT related policies have been developed and are in the process of institutional consultation. A tender was awarded for the Wireless Everywhere Project, which is funded by the Department of Higher Education and Training (DHET) ICT infrastructure fund and will improve wireless access on both campuses. The Data Centre Upgrade Project commenced in 2016, which will increase capacity and improve both speed and capacity and allow greater centralised storage, allowing simpler and cheaper machines to be located in offices. The draft Business Continuity Plan (BCP) and draft Disaster Recovery Plan (DRP) was prepared and will be implemented in 2017. The Institution is also in the process of developing a proper ICT governance framework and strategy.

Numerous Information technology systems utilised by the University have been developed and implemented according to defined and documented standards to achieve efficiency, effectiveness, reliability and security. The introduction of the online registration system and graduation and certification software is a new initiative aimed at more efficient and secure systems and processes.

## COMPLIANCE WITH LAWS, CODES, RULES AND STANDARDS

The University is fully compliant with all laws, codes, rules and standards applicable to higher education and its operations in general. No material or immaterial but often repeated regulatory penalties, sanctions or fines for contraventions or non-compliance with statutory obligations, were imposed on the Institution.

## GOVERNANCE OF STAKEHOLDER RELATIONSHIPS

Stakeholder relationships provide a platform for the Council to take into account the concerns and views of students and other stakeholders in its decision-making. Council appreciates that stakeholders' perceptions affect the University's reputation. Council has, therefore, assigned stakeholder relationships to executive management who report through the Vice-Chancellor on how the Institution proactively deals with its stakeholders. Regular media reports are presented to the Management Committee by the Communications and Marketing Department, who has the responsibility to ensure effective communication to the media in line with the policy and procedure on media communications. In this regard, management maintains a record of stakeholder engagement and reports on these engagements are recorded to ensure co-ordination in engagement. As a strategic objective for the year under review, the University had to establish an alumni engagement framework

and student charter to guide relations between the University and its students. Transparent and effective communication with stakeholders is essential for building and maintaining their trust and confidence and the University made significant strides towards achieving this.

Social demands facing public higher education institutions include fee-free education; equal access; promotion of previously disadvantaged individuals; quality and demands from industry, to mention but a few. The University of Zululand did not experience any protests related to the #FeesMustFall campaign, which can be attributed to the proactive approach used by management and Council towards effective student communication and consultation. Section 35 of the Higher Education Act 101 of 1997 (as amended) determines that the institutional statute should determine the establishment and other matters relating to the Student Representative Council (SRC) as a means to facilitate student input into the affairs of the Institution. The University statute provides for the matters on which the students may be represented by the SRC. The SRC formed part of and was recognised in all discussions related to student fees and students are duly represented on all statutory university committees.

The Institution's enrolments and throughput figures highlight the Institution's active participation in the promotion of previously disadvantaged individuals. Council and management recognise the demands from industry and, as part of its renewal trajectory incorporated in its Strategic Plan, it has introduced Engineering and Maritime Studies. These career-focused programmes are relevant and responsive to the needs of students and society and will address identified skills shortages.

Council strives to achieve the appropriate balance between its various stakeholder groupings and make decisions that are made in the best interest of the Institution. Council also ensures the equitable treatment of all its shareholders and that disputes are resolved as effectively, efficiently and expeditiously as possible. An example of such is when the University had to endure a 10-week strike by the recognised labour union, which resulted in a 'lock-out'. Council was requested to intervene due to reputational risk. Decisions taken were based on the best interest of the Institution and the union ended the strike unconditionally, paving the way for implementation of the salary adjustment for the year, backdated to 1 July 2016. Management adopts an informal dispute resolution process for internal and external disputes. This approach is evidenced in the University's Code of Conduct and standard contractual clauses that provide for alternative dispute resolution. Council is only involved in material disputes where reputation risk is identified.

Council approved an Access to Information Manual

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established in terms of the Promotion of Access to Information Act, 2000 and no requests for information were denied in 2016.

## REMUNERATION OF COUNCILLORS

The University has an approved policy on the payment of honoraria and reimbursement of members of Council and its committees. The policy defines the principles and parameters governing the payment of honoraria to Council members for participation in the business of the Council and the University and for the reimbursement of any expenses incurred. Honoraria only apply to external Council members. Claims are submitted to the Registrar's office for processing. Four honorarium categories exist as per Table 1 below, namely:

| Table 1: Honorarium Categories | |
|---|---|
| **HONORARIUM TYPES** | **AMOUNT** |
| Standard Honorarium | R1 500 |
| Council Chair Honorarium | R2 500 |
| Chair of Sub-committee | R2 000 |
| Attendance of Sub-committee | R1 500 |

## SUSTAINABILITY AND VIABILITY

In addressing UNIZULU's going concern assumption, the three main factors that were considered are:

- Liquidity – UNIZULU's ability to meet its financial obligations in the short and long term;
- Solvency – UNIZULU's ability to maintain a net assets position; and
- Operating Sustainability – UNIZULU's ability to continue operating at current levels.

Table 2 on the next page displays the assessment conducted to ascertain whether the University will continue to be going concern.

| Table 2: Going Concern Assessment | |
|---|---|
| **EVENTS OR CONDITIONS** | **ASSESSMENTS** |
| FINANCIAL | |
| Net asset or net current asset position (liquidity – short term) | As at 31 December 2016, UNIZULU has accumulated funds of R1.7b and a net current asset position of R893m<br>Compared to the prior year, the net current asset position has improved by R3m whereas the accumulated funds increased by R268m. The increase in accumulated funds is primarily attributed to the upward valuation of immovable property resulting in a R250m increase in the reserves |
| Fixed-term borrowings approaching maturity without realistic prospects of renewal or repayment; or excessive reliance on short-term borrowings to finance long-term assets (liquidity – long term) | UNIZULU only has one amortising loan with DBSA carrying value of R29m and has sufficient funds to meet the annual repayments |
| Negative operating cash flows indicated by historical or prospective financial statements (solvency) | Positive cash flows after operating and investing activities have been generated. Net operating positive cash flows before investing activities totalled R158m (2015: R275m). After investing activities, the net increase generated was R54m (2015: 234.4m). The reduction was partly due to high capital expenditure incurred in 2016, compared to the prior year |
| Substantial operating losses or significant deterioration in the value of assets used to generate cash flows (solvency) | UNIZULU is currently in a net asset position of R1.7bn. A surplus of R 115.4m was generated for the year ended 31 December 2016. The asset base has been reviewed for impairments and adjusted impairments and adjusted for impairments in terms of Student Debt by R2.5m |
| Adverse key financial ratios | Most key ratios reflect positively |
| Inability to pay creditors on due dates | UNIZULU has adequate funds to pay creditors timeously |
| OPERATING SUSTAINABILITY | |
| Loss of key management without replacement | A concerted effort has been undertaken to recruit the members of the Executive team. The VC was appointed in April 2016 and full executive complement achieved by mid-2016 |
| OTHER | |
| Non-compliance statutory requirements | All requirements in terms of legislation are substantially complied with |
| Pending legal or regulatory proceedings against the Entity that may, if successful, result in claims that are unlikely to be satisfied | Existing claims against UNIZULU are considered immaterial and are adequately provided for |
| Changes in legislation or government policy expected to adversely affect the Entity | The #FeesMustFall campaign has changed the approach to the funding of student education costs. In the past, National Student Financial Aid Scheme (NSFAS) students, due to funding constraints, were not fully funded by NSFAS, thus the portion not covered had to be paid by the student. In 2016, NSFAS students have been allowed to register without any cash contribution based on the promise/understanding that NSFAS will be funding UNIZULU for the full fees of study. There is still uncertainty of how, in the long term, these fees will be funded. UNIZULU, however, in the short term will be receiving adequate funding due to its historical disadvantaged status |

Based on the above, there are no events or conditions beyond the period of assessment that may cast significant doubt on UNIZULU's ability to continue as a going concern.

Council has established formal policies and frameworks for the design and implementation of the system of internal financial controls and a review of such controls took place in 2016. It can be confirmed that the University's financial controls are adequate and effective.

No additional borrowings were incurred in the current year. Total borrowings as at December 2016 equalled R29.636 million compared to R31 million. It is anticipated that in order to partly fund the next three years' planned infrastructure programme, an additional loan of about R44 million may need to be sourced. The loan has been properly approved in accordance with the provisions of the Higher Education Act 101 of 1997 (as amended).

All contracts are managed through the relevant executive offices.

## INFRASTRUCTURE AND DEVELOPMENT

Due to procurement issues dating back to 2015 the substantial government grant to attend to infrastructural backlog remained unspent. However, progress has been made in that the legal issues surrounding the challenged procurement process have all been resolved and a tender document for a turnkey provider for all the DHET funded projects was approved and advertised. The funding covers a number of projects including an improved secure campus wall, additional student residences and additional academic teaching and research facilities. In preparation for these developments, the Infrastructure Delivery Unit has been created within the Property, Plant and Operations Department. This is headed by a resident engineer who was appointed in August 2016. The remaining quantity surveyor and project management positions will be recruited in early 2017. The Director: Physical Planning and Operations was also appointed on 22 January 2016.

While the DHET funded projects were on hold, Council continued with the construction of an additional student residence providing 288 beds on the KwaDlangezwa campus, funded by a R44m loan from the Development Bank of Southern Africa (DBSA). Construction work was completed by the end of 2016 and the building will be equipped internally in the early months of 2017.

The important distinction between maintenance and development has been a challenge for the University of Zululand. In 2016, a maintenance plan was developed within the constraints of the available budget. In addition, DHET infrastructure funding of R35m was targeted at student residence refurbishment. This resulted in replacement windows being fitted along with new heat exchangers to provide a steady supply of hot water to all residences.

The following other major repairs and developments were effected during the year under review:

- **Upgrade of the substations** – The master plan for KwaDlangezwa Campus provides for major expansion and growth, including a New Student Centre, Student Services Building, New Student Residences and Multipurpose Centre. Such developments require improvement in the campus infrastructure. Upgrade of the current 6MVA transformers will be required to two 10MVA transformers. This work was completed successfully during 2016.
- **Air-conditioning in King Bhekuzulu Hall** – King Bekhuzulu Hall is the main auditorium of the University and used, for example, for the opening and graduation ceremonies. The air-conditioning system required upgrading. The overall plan is to fit four new units. Two were fitted successfully during 2016 and the remaining two will be fitted during 2017.
- **A single virtual campus** – Work on a fully integrated network started in 2015. An assessment of the data centre, the core network backbone and the Wireless Everywhere Project was completed. The Wireless Everywhere Project was completed in 2016 and contracts for the remaining work were issued.

The Facilities Management Department plays a leadership role in developing and implementing a financially responsible capital improvement programme and a facilities management service for the University. A proactive approach is taken to build successful partnerships with other local and national government departments, communities, private and non-profit groups to acquire resources and maximise results on behalf of the University. The Facilities Management Department strives to provide the means by which customers' service and facility needs are satisfied in the most cost-effective way, subject to resource constraints, and to meet the national education, commercial and industrial interests.

The Department manages the operation and maintenance of all facilities and plants at UNIZULU. The University owns and maintains 330 buildings, totalling approximately 180 000m$^2$ of floor space, which is located on 156 hectares of land. The Department also undertakes a variety of capital improvement projects that include all aspects from conceptual planning, contract documentation, specifications, design details, project management, and quality control through to final commissioning, operation and decommissioning. The University has acquired 15 000m$^2$ of land within walking distance of the Richard's Bay campus, which will be used to build student residences. In addition, the University sourced a pre-built block of two-bedroomed apartments that would be ideal student residences. The owners accepted a provisional offer in June 2016 and a request was made to the Minister to both approve the purchase and allow DHET funding from the infrastructure project to be used for the purchase. The cost of the residence is R72.5m inclusive of fixtures and fittings (fully equipped kitchen, bathroom, living room and two double bedrooms with beds), exclusive of VAT, transfer duty or commission. A response is still awaited. A further pre-built property was also sourced and a provisional offer has been submitted to the owners (Transnet). While multiple exchanges have taken place, no formal response to the offer has been received.

## SUMMARY OF MEMBERS' ATTENDANCE OF COUNCIL, COUNCIL COMMITTEE MEETINGS AND SIGNIFICANT MATTERS ON AGENDAS

The year 2016 was the third full year of the Council in office. During the period under review, Council executed its fiduciary responsibilities efficiently and effectively as provided for in the Higher Education Act. External Council members with relevant skills and experience chair all Council sub-committees. The composition of Council and its sub-committees, together with a summary of attendance by members at meetings, are presented in Tables 3-9 below. Members by invitation and Internal and External Auditors were not included in the tables.

| Table 3: Composition of Council | | |
|---|---|---|
| **MEMBERS** | **REPRESENTATIVE CAPACITY** | **PROVISION IN UNIZULU STATUTE** |
| EXTERNAL MEMBERS | | |
| Mr C.V. Gamede | Chairperson and Ministerial Appointee | Section 18 (1)(g) |
| Ms P. Maphoshe | Ministerial Appointee | |
| Ms N. Caluza | Ministerial Appointee | |
| Mr S.B. Xulu | Ministerial Appointee | |
| Prof. J.F. Smith | Ministerial Appointee | |
| Mr N. Nkwanyana | Convocation Representative | Section 18 (1)(h) |
| Mr B. Makhathini | Convocation Representative | |
| Prof. B.C. Dumisa | Convocation Representative | |
| Mr D. Kunji-Behari | Donor Representative | Section 18 (1)(j) |
| Vacant | Donor Representative | |
| Cllr M.G. Mhlongo | uMhlathuze Municipality Representative | Section 18 (1)(i) |
| Mr E. Dube | Mkhwanazi Traditional Authority Representative | Section 18 (1)(k) |
| Dr T.T. Khanyile | Council Appointee: Expertise and Experience | Section 18 (1)(m) |
| Mr T.C. Ngcobo | Council Appointee: Expertise and Experience | |
| Dr S.Z. Mbokazi | Council Appointee: Expertise and Experience | |
| INTERNAL MEMBERS | | |
| Prof. X. Mtose | Vice-Chancellor | Section 18 (1)(a) |
| Prof. S. Songca | Deputy Vice-Chancellor: Teaching and Learning | Section 18 (1)(b) |
| Prof. G. de Wet | Deputy Vice-Chancellor: Research and Innovation | |
| Prof. D.R. Nzima | Senate Representative | Section 18 (1)(c) |
| Prof. M.A.N. Duma | Senate Representative | |
| Mr S.J. Mvubu | Admin and Support Staff Representative | Section 18 (1)(e) |
| Ms N.N. Mbatha | Academic Staff Representative | Section 18 (1)(d) |
| Dr N.R. Ngcobo | Institutional Forum Representative | Section 18 (1)(l) |
| Mr W. Mathebula | SRC Representative | Section 18 (1)(f) |
| Mr E. Duze | SRC Representative | |

| Table 4: Attendance of Council and Council Committee Meetings as at 31 December 2016 | | | | | | |
|---|---|---|---|---|---|---|
| **COUNCIL** | **MEETING ATTENDANCE/SCHEDULE** | | | | | **ATTENDANCE PERCENTAGE** |
| COMPOSITION | MAR | JUNE | OCT | NOV | | % |
| Mr C.V. Gamede (Chairperson and Ministerial Appointee) | P | P | P | P | | 100 |
| Ms P. Maphoshe (Ministerial Appointee) | P | P | AWA | P | | 75 |
| Ms N. Caluza (Ministerial Appointee) | * | * | P | A | | 50 |
| Mr S.B. Xulu (Ministerial Appointee) | P | P | P | P | | 100 |
| Prof. J.F. Smith (Ministerial Appointee) | * | * | P | P | | 100 |
| Mr N. Nkwanyana (Convocation Representative) | * | * | P | P | | 100 |
| Mr B. Makhathini (Convocation Representative) | AWA | P | # | # | | 50 |
| Prof. B. C. Dumisa (Convocation Representative) | AWA | AWA | AWA | P | | 25 |
| Mr D. Kunji-Behari (Donor Representative) | P | P | AWA | P | | 75 |
| Cllr M. G. Mhlongo (uMhlathuze Municipality Representative) | P | A | P | A | | 50 |
| Mr E. Dube (Mkhwanazi Traditional Authority Representative) | P | P | P | P | | 100 |
| Dr T.T. Khanyile (Council Appointee: Expertise and Experience) | P | P | P | P | | 100 |
| Mr T.C. Ngcobo (Council Appointee: Expertise and Experience) | P | AWA | P | P | | 75 |
| Dr S.Z. Mbokazi (Council Appointee: Expertise and Experience) | P | P | P | AWA | | 75 |
| Prof. X. Mtose (Vice-Chancellor) | P | P | P | P | | 100 |
| Prof. S. Songca (Deputy Vice-Chancellor: Teaching and Learning) | * | * | P | P | | 100 |
| Prof. G. de Wet (Deputy Vice-Chancellor: Research and Innovation) | * | * | P | P | | 100 |
| Prof. D.R. Nzima (Senate Representative) | AWA | P | P | P | | 75 |
| Prof. M.A.N. Duma (Senate Representative) | P | P | P | P | | 100 |
| Mr S.J. Mvubu (Admin and Support Staff Representative) | P | P | A | AWA | | 50 |
| Ms N.N. Mbatha (Academic Staff Representative) | P | AWA | # | # | | 50 |
| Dr N.R. Ngcobo (Institutional Forum Representative) | P | P | # | # | | 100 |
| Mr W. Mathebula (SRC Representative) | A | P | $ | $ | | 50 |
| Mr E. Duze (SRC Representative) | P | P | $ | $ | | 100 |

| Table 5: Attendance of Executive Committee of Council (COUNEX) Meetings as at 31 December 2016 | | | | | | |
|---|---|---|---|---|---|---|
| **COUNEX** | **MEETING ATTENDANCE/SCHEDULE** | | | | | **ATTENDANCE PERCENTAGE** |
| COMPOSITION | MAR | SEPT | NOV | NOV | | % |
| Mr C.V. Gamede (Chairperson) | P | P | P | P | | 100 |
| Ms P. Maphoshe | P | AWA | P | P | | 75 |
| Prof. X. Mtose | P | P | P | P | | 100 |
| Mr S.B. Xulu | P | P | AWA | P | | 75 |
| Mr D. Kunji-Behari | P | AWA | P | P | | 75 |
| Mr T. C. Ngcobo | P | P | P | P | | 100 |
| Mr B. Makhathini | AWA | AWA | * | * | | 0 |

## Table 6: Attendance of the Audit & Risk Committee of Council (ARCC) Meetings as at 31 December 2016

| ARCC | MEETING ATTENDANCE/SCHEDULE | | | | | ATTENDANCE PERCENTAGE |
|---|---|---|---|---|---|---|
| COMPOSITION | JUN | JUN | OCT | NOV | | % |
| Mr S.B. Xulu (Chairperson) | P | P | P | P | | 100 |
| Dr T.T. Khanyile | AWA | AWA | P | AWA | | 25 |
| Mr B.L. Mkhize | AWA | AWA | P | P | | 50 |
| Mr C. Saunders | P | P | P | P | | 100 |
| Mr B. Makhathini | P | P | AWA | AWA | | 50 |

## Table 7: Attendance of the Finance Committee of Council (FCC) Meetings as at 31 December 2016

| FCC | MEETING ATTENDANCE/SCHEDULE | | | | | ATTENDANCE PERCENTAGE |
|---|---|---|---|---|---|---|
| COMPOSITION | FEB | APR | MAY | SEP | NOV | % |
| Mr D. Kunji-Behari (Chairperson) | P | P | P | P | P | 100 |
| Prof. X. Mtose | P | P | P | AWA | P | 100 |
| Prof. N. Garrod (Acting Vice-Chancellor during the period) | | | | P | | |
| Mr S. J. Mvubu | P | P | P | A | P | 80 |
| Prof. B. C. Dumisa | AWA | AWA | AWA | P | AWA | 20 |
| Mr M. Zakwe (Council Appointee: Independent External Expert [Non-Council Member]) | A | P | AWA | A | A | 20 |

## Table 8: Attendance of the Human Resources Committee of Council (HRCC) Meetings as at 31 December 2016

| HRCC | MEETING ATTENDANCE/SCHEDULE | | | | | ATTENDANCE PERCENTAGE |
|---|---|---|---|---|---|---|
| COMPOSITION | FEB | APR | AUG | | | % |
| Ms P. Maphoshe (Chairperson) | P | P | P | | | 100 |
| Prof. X. Mtose | P | P | P | | | 100 |
| Mr E. Dube | P | P | P | | | 100 |
| Mr D. Kunji-Behari | AWA | AWA | P | | | 33 |
| Prof. B.C. Dumisa | P | P | P | | | 100 |
| Ms N. Mbatha | P | AWA | AWA | | | 33 |
| Dr N.R. Ngcobo | P | | | | | 33 |

## Table 9: Attendance of the Planning and Infrastructure Committee of Council (PICC) Meetings as at 31 December 2016

| ßPICC | MEETING ATTENDANCE/SCHEDULE | | | | | ATTENDANCE PERCENTAGE |
|---|---|---|---|---|---|---|
| COMPOSITION | FEB | MAY | AUG | | | % |
| Mr T.C. Ngcobo (Chairperson) | P | P | P | | | 100 |
| Prof. X. Mtose | P | P | P | | | 100 |
| Mr S.B. Xulu | AWA | P | P | | | 67 |
| Mr E. Dube | P | AWA | P | | | 67 |
| Mr G. Sibiya (Council Appointee: Independent External Expert [Non-Council Member]) | * | * | P | | | 100 |
| Mr H. Clarkson (Council Appointee: Independent External Expert [Non-Council Member]) | AWA | AWA | AWA | | | 0 |

The following changes to Council and Council committee membership occurred during the year under review:

- Mr M. Chiya replaced Messrs W. Mathebula and L. Duze as SRC Administrator at the Council meeting on 26 November 2016.
- Prof. J.F. Smith and Ms N. Caluza were appointed as Ministerial Appointees in September 2016, replacing the vacancies left by Dr M.O. Sutcliffe and Judge C. Mocumie.
- Cllr M.G. Mhlongo was appointed the Mayor of uMhlathuze Municipality Representative in Council, replacing the former Cllr E.F. Mbatha.
- Ms N.N. Mbatha was dismissed as a university employee and her Council membership terminated. The vacancy for academic representative was advertised.
- Mr N. Nkwanyana replaced Mr B. Makhathini as Convocation President at the Convocation AGM on 15 October 2016.
- Mr G. Sibiya resigned from Council as Donor Representative, since he was no longer working for one of the University's donors. Council resolved to appoint Mr G. Sibiya as independent expert to serve on the PICC to ensure continuity in terms of the project plans already initiated. Nominations for his replacement were received and submitted to the Foundation for consideration.
- Prof. S. Songca and Prof. G. de Wet were appointed as internal Council members on 1 August 2016.

# MATTERS OF SIGNIFICANCE CONSIDERED BY COUNCIL

During the year under review, Council attended to and addressed a number of matters of significance for the University, the most important of which were the following:

### Policies, plans, constitutions, reports and manuals

Council approved the following in this category:

- The 2015 Annual Report to the DHET
- 2015 Mid-year Report
- 2016 Mid-year Report
- Charter of Council
- Charter of the Finance Committee of Council
- Charter of the Audit & Risk Committee of Council
- Charter of the Human Resources Committee of Council
- Charter of the Planning & Infrastructure Committee of Council
- Policy and Procedures on the Naming and Renaming of Properties, Events, Streets and Facilities
- Policy and Procedures on the UNIZULU Broad Based Black Economic Empowerment
- Policy and Procedures on Supply Chain Management
- Policy and Procedures on the University Housing
- Policy and Procedures on Fleet Management and Transport
- Risk Management Strategy
- Risk Management Framework
- Policy and Procedures Manual on Access to Information
- Policy and Procedures on Examinations
- Policy and Procedures on Recognition of Modules Passed at other Institutions
- Policy and Procedures on Undergraduate Registration
- Policy and Procedures on Modification and Cancellation
- Policy and Procedures on Walk-in Applicants
- Policy and Procedures on Certification

### Students

Council approved the following within this category:

- Tuitions fees, residence fees, meal increase and levies and allowances to increase by 8% in 2017
- Initial payment to remain unchanged
- Payment Plan to be kept at 50
- The appointment of an Administrator in terms of the provisions of section 34(1) of the SRC Constitution in light of an interdict against the

inauguration of the newly elected SRC. A legal opinion was sourced and Council resolved not to defend the action based on internal procedural flaws. Council resolved that negotiations be initiated with the aggrieved students with the intention to resolve this matter amicably and start preparing for the next SRC elections.

## Academic

Council approved the following within this category:

- BA Programme
- Bachelor of Education: Senior Phase
- Bachelor of Education: Further Education and Teaching
- Bachelor of Social Science in Political and International Studies
- Honours in International Relations
- Honours in Political Science
- Master's Dissertation in International Relations
- Master's Dissertation in Political Science
- Doctoral Dissertation in International Relations
- Doctoral Research Thesis in Political Science
- Teach-out plan: Social Work Programme

Notable developments were put in place in teaching and learning to shape the quality of university offerings in 2016. The Faculties of Education, Arts and CAL initiated curricula changes in their academic structure. Examples included a new PG certificate in Further Education Training in Teaching; in Foundational Phase Teaching; as well as two Bachelor degrees in Foundation Phase Teaching and in Intermediate Phase Teaching (Education). A re-circulation of the Bachelors of Social Work; Psychology; Political Studies and International Studies (Arts); a revision of the BSc in Agriculture (Science & Agriculture); as well as accreditation of the Higher Certificate in Accounting; and a number of new modules that were added into a B Com Accounting degree in CAL. In addition, there was notable growth in academic progress as measured by the pass rates. The pass rate averages between all four faculties ranged between 70-79% as per Table 16. Of utmost significance, however, is the final academic throughput. In this instance, a total of (3 374 UG and 893 PG) graduated during the 2017 graduation ceremonies. Major advances in curriculum transformation, entrenchment of Scholarship of Teaching and Learning and the hosting of the Vice-Chancellor's Excellence Awards in Teaching and Learning contributed to an improved academic outlook. Transformation in Teaching and Learning was characterised by the review of the teaching and learning strategy and charter, humanities and social sciences and language policy. Integration of technology into teaching and learning featured Moodle, the e-learning platform, *intelligent*

*transportation systems* (ITS) iEnabler, ITS mobile and digital audio-visual infrastructure. Examples of initiative in the involvement of stakeholders and community engagement in teaching and learning included international and local partnerships and collaborations such as the partnership with Department of Arts and Culture, Sport and Recreation in the KwaZulu-Natal province for the establishment of the Arts and Culture Academy and the Department of Agriculture and Rural Development in support of the Centre for Sustainable Integrated Rural Development.

The accreditation of the UNIZULU Ethics Committee and review process, advanced endeavours to register the Animal Research Ethics (REC) with the National Health Research Ethics Council (NHREC), as well as workshops for awareness on plagiarism – marked a positive development towards ethical practice and quality in research in this year. An increase in the number of NRF block bursaries for Honours, i.e. increase from 91 in 2015 to 130 grants in 2016, and an increase from 13 (in 2015) to 18 NRF Scholarships for Masters students in 2016, reflect an element of progress. The Research Committee also registered 38 new projects, and funded 27 additional applicants to attend national conferences in 2016. Further, a substantial number of equipment grants were received by UNIZULU researchers from the NRF in 2016, with a total of the NRF research awards, scholarships and bursaries in excess of R33 506 557.37 recorded in the books for the 2016 calendar year.

A number of IP and technology transfer (TT) events, together with workshops, patents registrations, training and collaborative partnership – were established. The Research and Innovation unit was evidently more active in this year, with several international collaborative agreements signed, international workshops held within UNIZULU, and offshore. A number of awards by the UNIZULU research community attest to the growth of research activity among the University academia as evidenced from the Senate report.

## Human Resources
### Staffing
Council approved the following executive appointments:

- Vice-Chancellor: Professor X.A. Mtose
- Deputy Vice-Chancellor Teaching and Learning: Professor S.P. Songca
- Deputy Vice-Chancellor Research and Innovation: Professor G.F.D.J. de Wet
- Executive Director Institutional Planning: Mr N. Cele
- Director Richards Bay Campus: Professor O.M. Ndwandwe

Other appointments/posts include: the approval of Project Manager and Assistant Project Manager positions in the Facilities Management Division; the approval of a fixed term contract: HIV/AIDS Counsellor, and the appointment of the Dean of Students: Mr S.A.T. Mchunu.

The University terminated the contract of employment of the Executive Director Finance. The position was filled on an interim basis while the search for a replacement continues.

**Staff Performance Management**
Council approved the Performance Management Policy and Framework in 2015. Council approved the implementation of performance management in a phased approach, commencing with the executive management (Grades 1-3). Council approved the Organisational Level Performance Agreement and Council conducted individual executive assessments in November 2016.

**Staff Accommodation**
As part of the attraction and retention strategy, houses that were bought and/or built to accommodate executive management were available for occupation in 2016. Council considered the audit report on all houses (internal and external) as commissioned by UNIZULU management. Council resolved that the Staff Housing Policy should be reviewed and expedited to be inclusive of all levels (executive, senior and other) to ensure fairness in terms of allocating houses and address non-compliance issues by staff previously allocated university accommodation. A committee was established to deal with allocation.

**Insourcing of Services**
Council approved the recommendation to insource the following services: garden, facilities and cleaning. Security and catering services required further review by management.

**Finance**
Council approved the following within this category:

- Annual Financial Statements for the year ended 31 December 2015;
- Secondary and part-time appointments budget shortfall;
- Contribution of approximately R2 million towards part payment to the Department of Agriculture and Rural Development (DARD) to contribute towards the establishment of the Centre for Sustainable Integrated Rural Development;
- National Research Foundation (NRF) shortfall of R1.57 million towards the purchase of a Kenosistec Gas Sensor Tester;

- Revised 2016 budget;
- Introducing Laboratory Fees and Application for Addition of Levy: Diploma Hospitality Management at the Richards Bay Campus; and
- The 2017 Budget.

**Strategic**
Council members as well as members of the Executive management attended a meeting with the Portfolio Committee on Higher Education & Training on 7 September 2016 in Cape Town. Council, immediately after the meeting, received a letter from the Minister of Higher Education & Training, informing Council of the Minister's intention to appoint an Independent Assessor for the Institution. Various reasons were stated and Council was afforded an opportunity to respond to the allegations made in the letter from the Minister dated 2 September 2016. Council responded formally on 12 December 2016 to a letter received from the Minister, indicating that the collective responses provided by Council and Management demonstrated that all decisions taken by Council had been responsible and within the accountability frameworks of higher education and society in general. The University had survived a well-planned and well-orchestrated assault by the union to destabilise it. Various disgruntled employees who had been dismissed made media onslaughts, however, Council continued to govern with zero tolerance for non-compliance and corruption. Despite the turmoil in higher education, the University continued to successfully complete its 2016 examinations.

The revision of the Statute continued in 2016, consultations with all relevant institutional stakeholders were concluded and the revised statute was submitted to the Minister of Higher Education & Training for approval in June 2016.

Council approved the Annual Performance Plan (APP) for the year 2016 and the plan, 2015 Annual Report as well as mid-year report were duly submitted to DHET, ensuring compliance in terms of the Regulations for Reporting by Public Higher Education Institutions as published in Government Notice No. R464 in Government Gazette No 37726 of 9 June 2014.

Council approved the financing of a project to establish a university Convocation roll in 2015. The completed roll provided the platform required to hold the Annual General Meeting (AGM) of the Convocation on 15 October 2016. A new Convocation Executive was inaugurated according to the provisions of the Statute and a new President was invited to attend Council meetings. A draft plan on alumni engagement was presented to Council in 2016.

Council resolved to approve a proposal to review its performance and that of the Audit & Risk

Committee in 2017. The performance review of Council will be conducted by the Institute of Director. The performance review of management as well as the performance review of Council is aimed at improving institutional culture and fostering ethical leadership and corporate citizenship.

**Honorary Awards**

No honorary awards were approved by Council in 2016.

## MATTERS OF SIGNIFICANCE CONSIDERED BY COUNCIL SUB-COMMITTEES

The Audit and Risk Committee of Council (ARCC): This committee assists the Council in fulfilling its overview responsibilities. It reviews the annual financial reporting process, the system of internal control and management of financial risks, the audit process, and UNIZULU's process for monitoring compliance with laws and regulations. The Committee, chaired by Cllr S.B. Xulu in 2016, held four meetings during the year. Among others, the Committee attended to the following:

- The recommendation of the audited financial statements and the University's Performance Assessment Report for the year ending 31 December 2016 to Council; the forensic audit on alleged irregularities at student residences;
- Review of the Risk Management Strategy;
- Appointment of SizweNtsalubaGobodo as internal auditors;
- Progress report on the 2016 Internal Audit Plan and approval of audit internal fees for the year ending 31 December 2016;
- The appointment of KPMG as external auditors for the 2016 audit;
- Progress on external audit findings;
- Recommendation of IT Governance and Finance Policies and Procedures, including ICT Strategy & Framework to Council;
- Audit on University farms;
- Audit on the extent of damages to University property;
- Intention of the Minister of Higher Education & Training to appoint an independent assessor and subsequent approval to commission a forensic investigation and appoint a reputable Senior Council to provide legal advice on the matter;
- Obtained legal opinion on SRC litigation as a result of the SRC elections;
- Approval of the 2016 External Audit Plan and audit fees and audit and progress on internal report on student marks. Council had not yet decided on the establishment of the standalone Risk Committee.

The Audit and Risk Committee regulate the ICT governance.

- The Finance Committee of Council (FCC): This Committee ensures the financial health of the University and assesses and recommends the approval of financial policies and protocol;
- The consolidated operating budget, including operational, staff and capital budgets, cash flow predictions, the asset/liability profile and multi-year budgetary predictions;
- The annual consolidated report to the DHET and other ring-fenced funds and loans;
- The performance of the University against approved budgets and targets and takes/advises on appropriate corrective actions;
- The annual increase in student fees; and
- Deals with the University's investments.

The Committee, chaired by Mr J. Kunji-Behari in 2016, held five meetings during the year under review. Specific issues dealt with by the Committee included: The review of the Fleet Management Policy, SCM Policy and B-BBEE Policy; approval of SMC deviations; concept of insourcing versus outsourcing; the roll out of the i-Enabler system; recommendation of the approval of National Research Foundation shortfalls to Council; approval of the budget for secondary and part-time appointments; recommended to Council the approval of the establishment of the fixed-term contract for the HIV/AIDS Counsellor position, revision of the Health Clinic Structure and budget changes; approval of allowances payable to heads of departments; refusal of the purchase of a Transmission Electron Microscope (TEM) – Faculty of Science and Agriculture at R11m; recommended a study on SRC election budget; recommended to Council the revised annual budget for 2016; approval of reinvestment with RBM; reviewed the investment portfolio reports; recommended to Council the Mid-year Financial Performance report of UNIZULU; recommended to Council the draft Asset Management Policy; approved the Treasury report as compliant to the Investment Policy; recommended 2017 budget to Council; approved the management accounts as at 30 September 2016; recommended project reports to Council and approved the closure of dormant funds.

The Planning and Infrastructure Committee of Council (PICC): This Committee develops and updates campus master plans for facilities and infrastructure, with implementation strategies, priorities and financing models for approval by the Council; advises the Council on the development, acquisition and integration of facilities and infrastructure; and develops and updates a comprehensive and sustainable institutional maintenance and replacement plan and strategy. The Committee, chaired by Mr T.C. Ngcobo

in 2016, held three meetings. Specific issues dealt with by the Committee were the monitoring of the Infrastructure Development Project; resuscitation of the Internal Planning Committee; reviewing progress on the new student residence, and input to the tender document for the turnkey contractor.

The Human Resources Committee of Council (HRCC): This Committee recommends to Council appropriate strategic directions and priorities in human resources governance, such as performance management, conditions of service, and employee relations. It also develops and recommends to Council policy and strategy with regard to the remuneration of staff and related matters. The Committee, which has delegated powers to approve new positions on the permanent staff establishment, was chaired by Cllr P.N. Maphoshe in 2016 and held three meetings during the year.

Among others, the Committee attended to the following: recommended the Organisational Level Performance Agreement to Council for approval; recommend Performance Management Framework to Council for approval; approved secondary and part-time appointments; approved contract conversions in the faculty of Arts; approved the creation of a HIV/AIDS Counsellor; approved new positions in the Department of Politics and International studies; recommended review of academic promotions policy and establishment of a workload policy; recommended policy on foreign nationals to Council; approved four positions in the campus health clinic; approved secretary to DVC: IS position; resolved that the Human Resources Division should solicit advice from the remuneration specialist to confirm whether the University would incur any financial implications when migrating employees remunerated on basic-plus to the total remuneration package; recommended that a diversity and inclusion strategy be incorporated in the policy on Foreign Nationals; recommended that University management should establish a strategy to mentor academic staff members across faculties; recommended a training programme to attract incumbents with professional qualifications such as Chartered Accountants; redefined the recognition agreement with the union; approved positions in the Institutional Planning structure; approved

upgrading of managers in the office of the Registrar; recommended the insourcing of gardening and facilities services to Council; approved the review and re-evaluation of all job descriptions; and approved the appointment of an infrastructure development consultant and full-time engineer.

Executive Committee of Council (COUNEX): This Committee deals with urgent matters referred to it by Council and its committees. It assumes the authority of Council when Council is not in session and may perform the functions of Council. The Committee, chaired by the Chairperson of Council, Cllr C.V. Gamede in 2016, held four meetings during the year. Among others, the Committee attended to the following: Concerns raised by Executive Director Finance; establishment of a Faculty of Engineering; filling of Council vacancies; recommended to Council the appointment of the Vice-Chancellor; dealt with correspondence from the DHET on the Appointment of an Independent Assessor; recommended the concept to Council for approval on condition that the internal management structure was properly costed/budgeted; recommended to Council to approve the level of performance rating for each member of the Executive management and that the performance management review process should be cascaded to the next level of management and thereafter throughout the University and that an administrator be appointed for one term, as stipulated in the SRC Constitution.

## UNIVERSITY EVENTS

The Communications and Marketing Division (CMD) of UNIZULU planned and executed events that promoted the University, its initiatives and goals. CMD managed the annual university calendar events and lent support to departmental events hosted by the different faculties. CMD provided assistance for ad hoc events, including conferences, seminars, memorial services and high-profile events. In 2016, the CMD conducted school visits, career fairs, career exhibitions, seminars, top performing schools awards, workshops and open days in order to advise learners on courses available at the University and to position UNIZULU as a brand among key stakeholders.

| TABLE 10: STRATEGIC EVENTS | | |
|---|---|---|
| **EVENT NAME** | **DATE** | **PURPOSE** |
| University Official Opening Event | 15 February 2016 | The event was directed at the whole University community, students and staff. Professor Xoliswa Mtose, the Acting Vice-Chancellor, delivered an address to the staff and students outlining plans for 2016 as well as plans to address outstanding challenges from the previous year |
| Graduation ceremonies | 9-13 May 2016 | Graduations for the University of Zululand graduates. Ceremonies were attended by various influential guest speakers |
| Women's Day | 11 August 2016 | In commemoration of the annual Women's Day. All female staff members from the University were invited and over 250 attended the event |
| UNIZULU Long Service Awards 2016 | 5 December 2016 | Award ceremony for long service |

Career Exhibition is a Department of Education (DoE) initiative aimed at eradicating the gaps created by the lack of career guidance through career development initiatives and tertiary institutions supported the idea. This Career Exhibition provided a platform to tertiary institutions, education-focused financial institutions, SETAs and provincial professionals to engage learners on career guidance and career development. The nature of the exhibition allows for multiple contacts with learners, one-on-one or in groups. The majority of learners use the exhibition as the sole platform with which they engage with UNIZULU, as individual visits to all potential feeder schools is just not possible given the diverse and rural catchment area of the University.

A successful open day was held on the KwaDlangezwa campus in the King Bhekuzulu Hall on 28 April 2016. This is an on-campus recruitment event that involves setting up faculty displays and allowing high school learners and their educators to attend and interact with academics, tutors, administrators and companies regarding the University's academic offerings. Several campus educational tours took place during the year, including career fairs by strategic companies. School visits were arranged to schools in the uThungulu district and Umlazi districts.

The following strategic events in Table 10 took place during the year under review:

Other events that were hosted by UNIZULU in 2016 are:

- First Things First Campaign from 11 to 18 March 2016
- MBALI (Management, Business, Administration and Legal Initiatives) Conference – 6-8 July 2016
- Eskom Science Expo – 10 August 2016
- Secretaries Day – 7 September 2016
- Media Briefing – 28 September 2016
- Department of Law Annual Dinner – 25 November 2016
- Research Awards Gala Dinner – 28 November 2016

The Publications Office wrote stories for the Tertiary Times, which appeared as a supplement to The Mercury once a month between the months of February and November. Stories included human interest stories, stories of achievements by staff, students and by various divisions/departments within the University.

Three editions of the UNIZULU #Tag magazine (the official student magazine at the University) were published in 2016. Each publication contained feature stories mainly about the triumph of UNIZULU students in various facets of life (academics, sport and business). In total, 9 000 copies (3 000 per edition) were distributed at both campuses. The highlight for the magazine was when it received the Merit Award at the MACE Excellence Awards held in Cape Town. One of the pictures used in the magazine also received an award in the news photography category.

## STUDENT SERVICES

The office of the Dean of Students works collaboratively with various divisions and departments within the University to promote student well-being and success. Our students participate in social and community development programmes such as the Enactus project, which assists cooperative business initiatives to succeed. The project has won several international accolades and students have established business ventures together with communities around Zululand.

### Student Residences

As a rural based institution, the University strives to provide as much accommodation as is possible. In 2016, there were 4 960-bed spaces in both university as well as outsourced residences. There were 3 847-bed spaces on campus and 1 113-bed space in off-campus residences.

### Student Governance

The University recognises the critical role that students play in the drive to deepen democracy and broaden transformation among the different communities in South Africa. It worked closely with the student body in order to ensure that the election of a democratic

and representative Student Representative Council (SRC) took place. However, the election results were disputed by one of the presidential candidates. After the exhaustion of internal appeal processes, an interim interdict was applied for against the inauguration of the newly elected SRC, which was granted by the Pietermaritzburg High Court. In order to ensure that there was no leadership vacuum while the courts dealt with the matter, an SRC administrator was appointed by the University Council.

Despite the disruptions that took place in the second semester of 2016, the University management arranged a teach-out plan that allowed students to take their final examinations. This took place after the implementation of the recovery plan and the adjustment of the academic timetable. The University worked closely with the student leaders and other stakeholders to ensure a successful completion of the 2016 examinations. It was a result of this collaboration that the University of Zululand became one of the few institutions that managed to have successful final examinations in 2016.

The Student Governance Section played a pivotal role in renewing the affiliation of student structures within the SRC. It also facilitated presentations of programmes of action and encouraged political formations to hold AGMs in accordance with their constitutions. In order to promote and deepen constitutional democracy, student structures were presented with an opportunity to elect their new leadership. For example, successful elections of Faculty Councils, executive committees of different student structures and house committees took place.

## Student Development
The University of Zululand embraces the national and global drive to recognise students as future citizens of the world. This it achieves through providing skills, information and activities that broaden the students' knowledge base. The residence life programme assists students to gain study skills as well as worthwhile life skills. Towards the end of 2016, student leaders embarked on three educational trips to Luthuli Museum in Groutville, the Nelson Mandela Capture Site in Howick, and the KwaMuhle Museum in Durban, which formed part of the out-of-classroom learning programme and opened the eyes of many students about their history.

## Sports and Recreation
The Institution recognises the need for investment in sports and recreation and to promote sport and recreation among students. Further, it promotes the developmental role of sports, which may enhance academic performance. In 2016, the sport section hosted the Universities National Athletics

Cross Country at Richards Bay and the inter-varsity tournament at KwaDlangezwa (UKZN-DUT and UNIZULU). As a result of sporting activities, the Institution attained national colours in the following student categories:

- Volleyball men – Position 3 out of 17 teams (bronze medalists)
- Best Setter in the Men's section
- Two students selected to form part of provincial teams in an Inter-Provincials tournament
- Squash – The team was awarded a runner's up medal in Section B
- Netball – The team attained fifth position in section B
- Hockey – Two female students made it to the KZN provincial team
- Football – The goalkeeper of the University squad participated in the CUCSA Games in Zimbabwe, representing South Africa
- Boxing – The following UNIZULU boxers were selected to form part of the South African Students' Team that was scheduled to take part in the World University Championships: Males – Sanale Maduna (52kg); Females – Zamafuze Ngcobo (51kg) and Nomcebo Mpungose (57kg)

## Student Health Clinic
The Campus Health Clinic disseminates information on self-care in order to promote a healthy lifestyle. The Healthcare Centre provides primary healthcare services, following Department of Health guidelines. These include rehabilitative services, HIV/AIDS services and reproductive health services, among others. The aim always is to provide holistic care so as to give equal attention to the 'whole' person.

## Disability Unit
The University of Zululand strives to comply with DHET policies and the Bill of Rights, which forms the basis of the Constitution of South Africa. Over the years, our disabled students have been struggling on their own without a particular office that is dedicated to their special needs. A Disability Coordinator was appointed in 2016 and the Unit is playing a crucial role in advocating for accommodations for students with disabilities. The University is working on a number of policies pertaining to students with disabilities and those include the Examination and Assessment Policy, Admission Policy, Student Housing Policy and, Infrastructure and Access Policy. In 2016, the Unit successfully ran a week-long Disability Awareness Campaign. During the campaign, students received a chance to share views and concerns with management. As a closing event of the campaign, the Registrar, the Director: Protective Services, the Dean of

Students, staff members (Academic and Support) and general students joined a parade around the campus. After the campaign, more students came forward to enlist with the Unit and started opening up about their disabilities.

## TRANSFORMATION

The University defines transformation as contextual responsiveness to local and regional development needs of local and regional communities by producing the required intellectual capital (graduates, research, technology transfer and societal intellectual engagement) that advances public good and brings about social redress. Based on UNIZULU's definition, transformation is an integral part of the University's mandate and core business. It is for this reason that UNIZULU cannot hold a separate programme of transformation outside the extant programmes for teaching and learning; research and innovation; community engagement and societal development. Understanding of the context, which shapes the University's conceptualisation of transformation, provides an indepth elaboration on this definition of transformation.

The University acknowledges and embraces the requirement placed upon all public higher education institutions to significantly contribute to the redress of social, gender and racial disparities imposed by the apartheid regime upon South Africans. Linked to this requirement is the expectation to espouse and observe human rights and social justice values enshrined in the Constitution of the Republic of South Africa, which took effect on 4 February 1997. As a consequence, the University has put various programmes in place to respond to this legal requirement. The University has always advanced social redress through production graduates within communities designated for social redress and equity, many years before the enactment of the 1997 Constitution of the Republic of South Africa. Over a number of decades, the University has produced large numbers of black and female graduates who have gone on to occupy key leadership positions in civil society, government institutions and departments, the private sector and the corporate world, and various other professions. The University has also produced research and embarked on social engagement that promoted equity, redress, democratisation, development, quality and public accountability. Post 1994, the University has stood firmly aware of the expected responsiveness to local, national and global contexts that it has to demonstrate by discharging its intellectual capital (production of graduates, research output and technology transfer) functions embedded in its mandate as an institution of higher learning. The University has developed strategic frameworks that constantly position the University in response to such local and global demands and imperatives. These frameworks, among other key documents, include the University of Zululand Teaching and Learning Plan 2017-2021; the University of Zululand Research and Innovation Strategic Framework; the Community Engagement Strategic Plan 2016-2021; and various other frameworks. In this regard, transformation is not an imperative appended to the core business; it remains firmly embedded in the core business of the University and all its operations.

UNIZULU is the only university situated in the north of the uThukela River and the only comprehensive university in the KwaZulu-Natal province. The location of the University in the uMhlathuze Municipality, which is the fastest growing industrial hub and employer in northern KwaZulu-Natal, gives the University an intellectual advantage to bring about new forms of societal engagement, social development and large-scale transformation in a region largely populated by rural communities. UNIZULU's mandate, which is entrenched in its historical human emancipation credentials, location, the rurality and institutional typology of the University positions it for profound impact in the achievement of national economic growth goals; enhancement of social development; and the production of knowledge that has a direct impact on rural and semi-urban communities that it serves. UNIZULU's transformation paradigm is not merely derived from demographic representation among students and staff, but the impact of this university in the region is guided by the national socio-economic strategic frameworks and targets.

The University Strategic Plan sets priorities that find direct convergence with transformation imperatives on graduation, creates a conducive environment for effective teaching and learning, enhances research and innovation, accelerates infrastructure development, and ensures institutional sustainability through good governance. As a comprehensive University, it has embarked on developing various types of programmes to cater for the diverse needs and professional forms of training through its mainstream programmes. UNIZULU has also been offering foundation programmes in Commerce and Science streams to extend access to students who would otherwise have not qualified through mainstream programmes in record time. The University believes in data analysis to guide the tracking of student performance and the understanding of student success. In 2016, the University established the Strategic Analytics and Business Intelligence Office to conduct systemic analytics on student performance to assist faculties to develop responsive programmes to address student learning and teaching needs. Through the Centre for Teaching and Learning, the University has established

a student tracking system that identifies students with low test and assignment marks. These students are referred to faculties for enhanced support. The University is in a process of purchasing an electronic system that identifies these students directly using student performance data.

The University has an Equity Committee that has conducted a review of staff equity plans that have been submitted to the Department of Labour as they get revised. The University annually reviews its Equity Plan and submits this to the Department of Labour. The Equity Plan sets clear targets that assist the University to transform its staff profile, and assist in getting more women and black staff into senior and leadership positions, both in the academic and administration sectors of the University.

The University has put in place management development programmes for middle management staff to advance their careers to achieve excellence and seniority and become more research productive in the case of academics. A typical example of such programmes is the bespoke University Leadership Development Programme offered to UNIZULU staff by the Stellenbosch Business School.

The University has developed a detailed programme of action for transformation, including an action plan embedded in a revised Integrated Transformation Plan 2017-2021. This programme of action has been directly linked to the University Strategic Plan 2017-2021.

## CONCLUSION

It is important for the University to strive to achieve a notion of corporate citizenship through its values that ensures that the University reflects societal norms and accepted governance guidelines. The University also understands the implications of the stakeholder inclusive model put forward in the King III report. Corporate citizenship, sustainability and stakeholder inclusivity is at the forefront of Council decisions and Council has established stringent reporting guidelines

on policies and their creation to guide every level of the University's business in terms of expected behaviours and practices.

Risk is positioned as a cornerstone of corporate governance, as evidenced in the Risk Report. Council is satisfied that risk assessments, responses and interventions are effective. The 2016 Annual Performance Plan contained an approved risk register and Council is constantly monitoring risk management. IT risk requires a considerable amount of attention in 2017. The University's Information Technology system cuts across all aspects and components of the institution. Council is aware of the lack of a proper IT Governance Framework and Strategy, policies and controls to govern IT risks. Council has identified all applicable legislation relevant to higher education institutions, in order to understand and implement compliance policy, embed compliance in the operations and processes of the University, and understand legal and regulatory compliance. Council has specific compliance activities to evidence the actions taken to ensure compliance such as annual declarations, records of compliance and remedial action, if broken.

Council has taken the stakeholder relationships of the University seriously – from workers to the convocation, students and the University community, donors and business partners, not only identifying risks, but also exploring opportunities. The University has an approved community engagement policy and has revised its communications policy to ensure that communication to stakeholders is properly guided.

**Mr C.V. Gamede**
**Chairperson of Council**

# STRATEGIC OBJECTIVES AND VALUES

According to the Reporting Regulations for Higher Education Institutions issued in terms of the Higher Education Act, 1997 (Act no 101 of 1997) as amended, each public higher institution must ensure alignment between the Strategic Plan, Annual Performance Plan, Annual Report, budget documents and Mid-year Performance Report.

## INTRODUCTION

The University's Strategic Plan 2016-2021 (approved on 5 December 2015) contains six critical goals that are assessed at the Executive Retreat each January, and progress made is further examined during monthly Executive Management Committee meetings (EXCO) throughout the course of the year. A final assessment by the Human Resources Committee of Council (HRCC) occurs at the end of each year for recommendation to Council. The said focus articulates the University's mission and vision through strategic goals and objectives that underpin the academic, research, teaching and learning, community engagement and administrative matters and activities of the Institution.

All universities in South Africa operate within the national transformation agenda determined by the State, its own internal strategic response to this, as well as institutional priorities and the requirement to remain responsive and relevant in an ever-changing context. It is also the case that agendas are affected by student politics, which in South Africa remain unpredictable, often taking place against the backdrop of a less than perfect relationship between the University management and students.

The new Council, inaugurated in October 2013, is stable, has committed members and is working well with management. The positive impact of this is reflected in the clear direction and strategic focus of the University. Across the country, the global economic downturn continues to take its toll on our economy which, in turn, affects the University's financial status. The University relies on government and donor funding, both of which are impacted by economic factors outside of the control of the University and its governance structures, but the results of which are keenly felt within its walls. NSFAS remains under pressure as ever more and more needy students demand funding. High levels of unemployment mean that student debt increases and the University's bad debt ratio is affected.

Financial constraints have a huge academic impact as students choose qualifications they can obtain funding for, rather than those for which they have an aptitude or an expressed interest. Not only does this impact on roll-overs to postgraduate study but also, coupled with general poverty, has a marked impact on dropout and retention rates, students' performance and success rates.

A variety of social factors continue to impinge upon the University's communities. Poverty and unemployment, local and regional HIV/AIDS rates, other social illnesses, difficulties adjusting to university life/environment, crime and drug abuse all continue to pose challenges to the holistic management of the teaching and learning experience. The University also needs to address academic under-preparedness while focusing on raising standards and producing excellent graduates.

The provision of technology and the improvement of our infrastructure is a key consideration in UNIZULU's context. On the one hand, many students

still do not have access to the technology that has become a part of standard academic activity, and are consequently ill-prepared for its uses in learning contexts. On the other hand, the University cannot ignore the possibilities offered to its staff and students by developments and advances in IT. In the context of limited IT infrastructure and Wi-Fi connectivity, the University needs to make use of teaching and learning technologies in ways that ensure that our students and staff are able to stay abreast of technological advances in their fields.

Finally, the regulatory and legal framework against which the University operates requires responsiveness and compliance from the University. The Protection of Personal Information Act creates new reporting and communication requirements for students and third parties, and will impact on the current student management system. The DHET reporting regulations, the Auditor-General's reporting guidelines and King III imperatives remain core, and financial and general governance need to align to these requirements. In addition, the management and monitoring of research, research ethics and the protection of the University's intellectual and physical property remain key.

*Poverty and unemployment, local and regional HIV/AIDS rates... difficulties adjusting to university life/environment, crime and drug abuse all continue to pose challenges to the holistic management of the teaching and learning experience.*

## STRATEGIC GOALS AND OBJECTIVES

UNIZULU's Strategic Goals are set out in Table 11:

| Table 11: Strategic Goals | |
| --- | --- |
| Goal 1: | Improve governance with enhanced operations to support the academic enterprise and ensure sustainability |
| Goal 2: | Create a quality teaching and learning environment as a comprehensive university |
| Goal 3: | Enhance research and innovation |
| Goal 4: | Enhance the quality and profile of UNIZULU graduates |
| Goal 5: | National and international reputation management of UNIZULU |
| Goal 6: | Accelerate infrastructure development |

### Strategic Goal 1: Improve governance with enhanced operations to support the academic enterprise and ensure sustainability

The University intends to continue its development of a rural comprehensive university system to cater for excellence in administration, governance and core business through efficient and sustainable systems. The culture of good governance that prevails in the University will be enhanced to ensure effective administration and institutional governance. This will be constantly reviewed through monitoring and evaluation mechanisms and through Council approved performance management systems. Compliance to the King III Code remained essential in 2016. Policy development, implementation and monitoring are key to ensure accountability and compliance. The University focused primarily on policy design, review and implementation in all academic, support and governance areas in 2016. Significant

emphasis was also placed on integrated human resources management and development, student relations as vital stakeholders, and the development of a turnaround strategy for financial management to enhance internal financial controls.

Improved transactional efficiency, improved recruitment and retention, the introduction of a performance management culture and model, increased focus on staff well-being and their development through focused and directed staff development, all contributed to enhance operations.

An overall focus on improved processes and efficiencies in the Finance department contributed towards a financially efficient and sustainable status.

As at the end of the Year 2016, the University still had a vacancy rate of 32.90% as a percentage of total staff establishment. Of these, 17.02% were academic posts, ranging from 13.44% in the Faculty of Science and Agriculture, 16.84% in the Faculty of Education, 22.22% in the Faculty of Commerce, Administration and Law; 27.86% in the Faculty of Arts and 4.76% at the Richards Bay Campus. A strategy is in place for 2017 to reduce the recruitment and selection turnaround times. A total number of 70 new appointments were made in 2016.

## Strategic Goal 2: Create a quality teaching and learning environment as a comprehensive university

In line with the Teaching and Learning: Strategy & Principles, UNIZULU recognises that teaching and learning form the basis for the achievement of all aspects of the academic vision for a comprehensive university. UNIZULU has developed a set of core principles for its academic staff, graduates, programmes and sites of delivery in terms of excellent teaching and learning. Core to all that UNIZULU does is its focus on the achievement of academic excellence in the context of a comprehensive university. Teaching and learning strategies and activities that work are required to intersect effectively with research and community engagement, and address low retention, success and throughput rates. Parity of provision across sites of delivery needs to be assured while permitting each to reflect on its location and leverage local opportunities.

UNIZULU remains committed to the development of its existing teaching and learning expertise and quality, while introducing improvements and enhancements as part of its continued development. Specifically, it will focus attention on the first-year experience and general student support. It will continue to develop its staff pedagogically; it will promote the scholarship of teaching and learning; and it will continue to integrate and investigate the effective use of ICT in teaching and learning.

Consideration of the establishment of a Faculty of Law and the attainment of South African Institute of Chartered Accountants (SAICA) accreditation will be a particular areas of focus.

The teaching and learning environment will continue to implement best practice approaches to quality enhancement and quality assurance as a way of enhancing the quality and profile of our graduates. These will include programmes for student support; staff development, particularly the enhancement of academics as teachers, and the development of a new generation of academics; enhancement of teaching and learning, particularly technology and ICT enhanced teaching and learning; scholarship of teaching and learning; curriculum transformation, including clearing of unaccredited programmes, partnerships and collaborations; and community engagement, teaching and learning innovations. The University continues to revitalise undergraduate programmes by closely monitoring and evaluating the implementation of the Teaching and Learning Strategy (2013-2016). The University has, through the Quality Assurance Unit, successfully aligned all the University offerings to the Higher Education Qualifications Sub-framework (HEQSF). These programmes include career-focused certificate and diploma offerings taught at the Richards Bay campus. The revision of the academic structure enabled full academic compliance and created the foundation on which the online registration plan was built.

## Strategic Goal 3: Enhance Research and Innovation

UNIZULU plans to position itself within this reality of being a rural comprehensive teaching university to increase its research output, increase postgraduate enrolments and improve the experience of postgraduate students. In 2016, the University revitalised its focus on promoting research by extending its focus to community involvement. An improved Research Plan (2016-2018) was developed with the aim of promoting the research culture and enhancing experiences of academic staff and postgraduate students. The University commits to developing junior academics into fully-fledged research staff, improving the qualification profile of all staff, particularly those without doctoral level qualifications, and setting targets to improve the research output of the University to align with DHET's research norms.

The university remains focused on increasing the number of researchers. The university has 13 rated researchers and 10 research fellows in different fields. Advancement and increased research awareness are contributing positively to the increase in the number of students receiving postgraduate qualifications.

A key focus of the University's research includes increasing internationalisation, as evidenced by the partnerships entered into with some of the Research Fellows.

## Strategic Goal 4: Enhance the quality and profile of UNIZULU graduates

The Centre for Teaching and Learning has started an initiative on curriculum reviews, which seeks to ensure that the knowledge content of programmes is both reviewed, made current and localised into the African context. This initiative will be executed through systematic curriculum reviews, rigorous selection of high-level curriculum content, and alignment of learning programmes to qualification type graduate attributes and the Higher Education Qualifications Framework. This initiative will promote 'graduateness' that develops indepth subject knowledge, to address the needs of civil society and the workplace, as espoused in the University of Zululand Strategic Plan 2016-2021. The University will achieve this goal by aligning curricula to programme type and qualification level, and using innovative pedagogies to facilitate learning. Curricula design and renewal will inspire a sophisticated use of technology and adoption of pedagogies that directly address student needs, industry expectations and our UNIZULU statement of 'graduateness'.

Identifying high risk modules and the tracking of students that are at risk remains a priority and focus as the University aims to develop an effective mechanism to report on retention, progression and throughput of students. Academic development and enhancement of scholarship as well as the recruitment and retention of an appropriately qualified cohort of academic staff, was vital in 2016 and yielded success with more than 70 academic vacancies being filled and academic promotions successfully being completed.

An enhanced electronic convocation roll ensured the smooth selection of convocation leadership and the improved alumni engagement framework will ensure continuous relationships with alumni.

## Strategic Goal 5: National and International Reputation Management of UNIZULU

The University enjoys support from both Empangeni as well as Richards Bay business communities by way of offering opportunities to students to do experiential learning.

The University has links with sister universities in Africa and abroad in the form of student exchanges and study opportunities; curriculum development, materials transfer and strengthening; resource mobilisation and innovation. The University has close links with the US Consulate in Durban and it is frequently updated on available programmes and opportunities elsewhere. Some of the institutions who continue to collaborate with the University include, but are not limited to, the following: Jackson State University, American Councils for International Education, and The Netherlands Organization for International Cooperation in Higher Education (NUFFIC).

The University commenced with the rebuilding of the executive management team in 2015, which continued in 2016. After a protracted and intense process of recruiting and selecting, it can now be reported that the following positions on the Executive of the University have been filled, namely: Vice-Chancellor; Deputy Vice-Chancellor: Teaching & Learning; Deputy Vice-Chancellor Research and Innovation, Executive Director: Institutional Planning and Executive Director: Richards Bay.

## Strategic Goal 6: Accelerate Infrastructure Development

The University continues to focus on restoring and maintaining its existing infrastructure while also developing its new infrastructure so that it is able to address the needs of its students and staff, and create an environment that is conducive to teaching and learning. Infrastructure developments have been hampered by poor policy and practice, which ultimately led to legal challenges in 2014/2015. These have now all been resolved. Emphasis will be placed on the Integrated Masterplan, which includes development at the Richards Bay campus. The construction of student residences, refurbishment of existing computer laboratories; upgrading of sports facilities; and upgrade and refurbishment of the main power station, is evidence of significant strides in 2016.

The installation of security cameras in examination centres and upgrading of existing CCTV equipment assisted greatly with on-campus security. The developed ICT Strategy and Framework will ensure continuous development, growth and governance of IT at the University. Systems development contributed greatly to the design and implementation of the online registration system, which is currently in Phase II of implementation. Graduation systems will be procured and implemented in 2017 as part of the online registration plan. System upgrades have afforded new opportunities to improve data management and analysis. These improvements will be effected across all aspects of the University, but will start in Finance. New protocols will be introduced to ensure the standardisation of hardware and software that will improve value for money, communication and efficiency. Internal structures for the governance of ICT across the University will be established. This will enhance the co-ordination of ICT solutions across the Institution. Business continuity and disaster

recovery remain glaring gaps in University governance, however, will be addressed through policy development and planning. The integrated ICT network system embraces enhanced wireless connectivity, improved storage solutions and a more robust network backbone.

## AREAS OF CONTRIBUTION TO STRATEGIC GOALS AND OBJECTIVES

Table 12 displays variance to set targets as per the 2016-2021 Strategic Plan. The Organisational Performance Agreement with identified objectives for the year under review was approved by Council. Goals 1, 3, 4 and 6 were prioritised for the year under review and although goals 2 and 5 received attention, they were not prioritised for 2016.

| Table 12: Performances against Strategic Targets | | | |
|---|---|---|---|
| **GOAL 1** | **IMPROVE GOVERNANCE THROUGH ENHANCED OPERATIONS TO SUPPORT THE ACADEMIC ENTERPRISE AND ENSURE SUSTAINABILITY** | | |
| Strategic objectives | Develop, amend, implement policies, rules and procedures and maintain policy register<br>Integrate human resource management and development<br>Devise a Charter to guide relations between the University and its students<br>Develop a turnaround strategy for financial management and governance<br>Develop a Financial Budgeting and Reporting System | | |
| **KEY PERFORMANCE ACTIVITY** | **KEY PERFORMANCE INDICATOR** | **EVIDENCE OF ACHIEVEMENT** | **REASON FOR DEVIATION** |
| SG1SO1:<br><br>To have a broad spectrum of programmes characteristic of a comprehensive university | Develop Engineering and Technology Programmes (curricula) in various fields<br><br>Establish a UNIZULU Engineering Advisory Board | Documentation of various Engineering programmes were submitted and approved by internal structures. Documentation of various Engineering Programmes were approved by external professional bodies<br><br>An Engineering Advisory Board was established | Completed – no deviation<br><br><br><br><br>Completed – no deviation |
| SG1SO02:<br><br>Compile a policy register | Finalised to 100% all existing policies to address gaps that were identified in 2015<br><br>Developed 100% of policies for areas identified by Council as non-compliant<br><br>Identified policy gaps and produce a plan to develop these policies | Most policy gaps identified in 2015 were addressed. The following policies were approved/reviewed by Council:<br><br>Charter of Council; Code of Conduct of Council; Charter of Council; Charter of PICC; Charter of HRCC; Charter of ARCC; Charter of FCC; Housing Policy; Policy on Fleet Management and Transport; Policy on Supply Chain Management; B-BBEE Policy, Advisory Committee Policy; Policy on Certification, Policy on Modification and Cancellation; Policy on Examinations Management; Policy on Undergraduate Registration; Policy on Recognition of Modules Passed at Another Institution; Policy on Walk-in applicants; PAJA Manual and University Rules<br><br>The following policies are in draft format and are in the process of consultation/submitted to relevant structures for approval:<br><br>Charter of the IT Governance Committee of Council, UNIZULU Statute, Disciplinary Code of Conduct: Students, Budget Policy, Research Policy, Teaching and Learning Policy<br><br>All non-compliant policies were revised<br><br>All policy owners developed individual plans for the development and approval of identified policies | The following policies could not be completed: Policy on Fraud Prevention, Policy on Accounting Services, Policy on Cash Management, Policy on Revenue and Debt Management. The reason for deviation is the vacancy of the Executive Director: Finance post<br><br><br><br><br><br><br><br><br><br>Completed – no deviation<br><br><br><br><br><br>Completed – no deviation |

| Table 12: Performances against Strategic Targets | | | |
|---|---|---|---|
| **GOAL 1** | **IMPROVE GOVERNANCE THROUGH ENHANCED OPERATIONS TO SUPPORT THE ACADEMIC ENTERPRISE AND ENSURE SUSTAINABILITY** | | |
| SG1SO6:<br><br>Integrate human resource management and development | Approval of an integrated Human Resource Management Framework by end April 2016<br><br>Implementation of 100% of Critical Human Resource Interventions as endorsed by Council | The HRCC approved the HR Operational plan to stabilise operations within the HR division. A consultant was then appointed to address the matter of outdated and non-existing job descriptions as raised by HR audits. Staff capacity was improved to tackle the consistently high vacancy rate. The other critical area was that of staff performance management. The policy was approved and executives were assessed by Council at the end of the year – 2016<br><br>All critical interventions as endorsed by Council were addressed in 2016. The roll-out of performance management to other levels of staff will continue in 2017 | Completed – no deviation<br><br><br><br><br><br><br>Completed – no deviation |
| SG1SO7:<br><br>Devise Charter to guide relations between the University and its students | Developed and approved Student Charter | A Draft Student Charter was developed that will be finalised with the newly elected SRC. Court litigation in 2016 prevented the approval of the draft Student Charter | Due to legal challenge to the SRC elections the Charter could not be completed |
| SG1SO8:<br><br>Develop a turnaround strategy for financial management and governance | Enhanced financial control measures within the University<br><br>Developed and approved financial standard operating procedures<br><br>Developed and approved supply chain management standard operating procedures<br><br>Approved Finance Departmental structure | The University conducted a financial review in terms of the reporting requirements for the Mid-year Performance Report as per the Government Gazette dated 9 June 2014. The Supply Chain Management Policy as well as BBBEE Policy was also drafted and approved by Council for implementation, which will enhance with internal controls<br><br>Financial standard operating procedures were developed<br><br>The Supply Chain Management Policy as well as B-BBEE Policy was also drafted and approved by Council<br><br>A draft financial structure is in place | Ongoing exercise. SCM Policy, Asset Management Policy and Petty Cash Policy finalised<br><br><br><br><br><br>In progress, to be completed with the appointment of a new Executive Director: Finance<br><br>Completed – no deviation<br><br>The finance structure is in draft format and not completed due to the vacancy of the Executive Director: Finance position and will be finalised with the new incumbent |
| SG1SO9:<br><br>Develop a Financial Budgeting and Reporting System | Developed and approved the Budget Policy<br><br>Introduced Monthly Budget Variance Report<br><br>No deviations from approved budget limits without prior authorisation by divisional executive and VC<br><br>Agreed expenditure versus budget savings | A budget policy draft was developed but not approved<br><br><br><br>Guidelines for budgeting with templates were introduced. Monthly reporting was introduced including variation reports<br><br>No deviations from approved budget limits without prior authorisation by divisional executive and VC were recorded<br><br>Only expenditure necessary to meet the strategic objectives of the Institution is budgeted for | The policy around budget and budgetary controls is still being developed. The reason for deviation is the vacancy of the Executive Director: Finance post<br><br>Completed – no deviation<br><br><br><br>Completed – no deviation<br><br><br><br>No deviation – The ITS does not allow for the deviations from the approved budget unless otherwise authorised per delegation |

Table 12: Performances against Strategic Targets

| Table 12: Performances against Strategic Targets | | | |
|---|---|---|---|
| **GOAL 1** | **IMPROVE GOVERNANCE THROUGH ENHANCED OPERATIONS TO SUPPORT THE ACADEMIC ENTERPRISE AND ENSURE SUSTAINABILITY** | | |
| **GOAL 3** | **ENHANCE RESEARCH AND INNOVATION** | | |
| Strategic objectives | Develop Research Operational Plan<br>Increase the University Research Output | | |
| **KEY PERFORMANCE ACTIVITY** | **KEY PERFORMANCE INDICATOR** | **EVIDENCE OF ACHIEVEMENT** | **REASON FOR DEVIATION** |
| SG3S05:<br><br>Develop Research Operational Plan | Developed and approved University Research Operational Framework<br><br>Developed and approved Faculties' Research Operational Plans<br><br><br><br>Developed and approved Research Policy | A research operational Framework is in place<br><br>A draft Research Operation Plan is in process of being developed. A workshop was conducted in November 2016. Workshops on Policy Analysis were conducted to ensure alignment to Strategic Framework. A Committee was established to consider applications for research instrumentation funding<br><br>An approved research policy is in place | Completed – no deviation<br><br>The position of Deputy Vice-Chancellor Research and Innovation was only filled in August 2016, which provided limited time for full achievement of this objectives. Significant progress was, however, made<br><br>Completed – no deviation |
| SG3S02:<br><br>Increase the University Research Output | Increased University research output by 2% in 2016<br><br>Increased number of Researchers by 5 | Research output increased by 4<br><br><br>The number of researchers increased by 5 | Completed – no deviation<br><br><br>Completed – no deviation |
| **GOAL 4** | **ENHANCE THE QUALITY AND PROFILE OF UNIZULU GRADUATES** | | |
| Strategic objectives | Provide supportive teaching and learning environment for UNIZULU students<br>Engage with alumni to maintain lifelong relationships with UNIZULU<br>Development of academics and enhancement of scholarship<br>Recruit and retain a qualified cohort of academic staff | | |
| **KEY PERFORMANCE ACTIVITY** | **KEY PERFORMANCE INDICATOR** | **EVIDENCE OF ACHIEVEMENT** | **REASON FOR DEVIATION** |
| SG4S01:<br><br>Provide supportive teaching and learning environment for UNIZULU students | Developed an instrument to identify students at risk<br><br>Developed and rolled out an effective mechanism to report on retention, progression and throughput of students | Ongoing/annual: Tracking of at risk students as well as early warning signs depends on the availability of the system<br><br>A document was created to outline the proposal completed by the University for identifying high risk modules and tracking of students that are at risk. The TLC Team is engaging with ICT in order to have this facility purchased. Currently, tracking of students is done manually | The tracking function on the ITS system is not yet available<br><br><br>Completed – no deviation |
| SG4S03:<br><br>Engage with alumni to maintain lifelong relationships with UNIZULU | Developed and finalised Convocation Roll<br><br><br><br><br>An approved framework for alumni engagement | The University procured the services of Qualification Verification Services (QVS) to complete an electronic Convocation roll. This led to a successful Convocation AGM on 15 October 2016 where a new Convocation President was elected and Executive team inaugurated<br><br>The draft Alumni Engagement Framework is in place | Completed – no deviation<br><br><br><br><br>Completion of the draft framework was delayed by the absence of a Director of CMD until August 2016. The draft framework is completed and will be submitted to structures for approval in 2017 |

| Table 12: Performances against Strategic Targets | | | |
|---|---|---|---|
| **GOAL 1** | **IMPROVE GOVERNANCE THROUGH ENHANCED OPERATIONS TO SUPPORT THE ACADEMIC ENTERPRISE AND ENSURE SUSTAINABILITY** | | |
| SG4SO5:<br><br>Development of academics and enhancement of scholarship | Developed and approved Teaching, Research and Learning Policy<br><br>Developed and rolled out programme for Academic Portfolio Development for Academics | A draft Teaching and Learning Policy was produced, however, is not yet approved<br><br>11 academic staff members enrolled for the Postgraduate Diploma in Higher Education at UKZN and one staff member enrolled at Rhodes University for the academic year 2016. The second block session took place from 23 to 27 May at KwaDlangezwa Campus. The third session will take place from 23-27 July at UKZN. 37 academics have enlisted their names for Phase 2. The Teaching and Learning Centre runs Portfolio Development Workshops for Academics | The position of Deputy Vice-Chancellor Teaching & Learning was only filled in August 2016, which provided limited time for full achievement, however, significant progress was made<br><br>Completed – no deviation |
| | Developed platform for academics to share research on their teaching and learning experiences | A Teaching and Learning Conference was held to share teaching and learning experiences | Completed – no deviation |
| | Achieved 2% annual increase in the research papers on Teaching and Learning | Research papers on teaching and learning increased by 3 | Completed – no deviation |
| SG4SO6:<br><br>Recruit and retain a qualified cohort of academic staff | Reviewed and approved Recruitment Strategy:<br>Agreed promotion and appointment criteria for all staff grades<br>Vacancies to be filled within 3 months<br><br>Developed vacancy reduction plan by April 2016<br><br>The vacancy rate to be reduced to a maximum of 15% – end of 2016<br><br>Undertaken study on UNIZULU staff turnover rates as compared to the Higher Education Sector Action Plan developed | 70 vacancies were filled. 43 staff members were lost due to resignation, disciplinary action, etc. This area remains a challenge, particularly because of the limited recruitment pool for academic positions and the location of UNIZULU. However, the following was achieved:<br>Academic promotions process for 2016 successfully completed<br>Full Human Resources division staff complement in place – responsible for recruitment<br>Applied for HDI grant to migrate to e-recruitment<br>Review of relevant policies and procedures to streamline recruitment activities<br><br>The plan was not developed<br><br>The vacancy rate by end of 2016 had increased<br><br>The benchmarking exercise was undertaken | The HDI grant was not approved during 2016. Recruitment policies were reviewed but are still in the consultation process with different stakeholder structures<br><br>Understaffing within the recruitment unit. Not all appointments were made by April 2016<br><br>Following the approval to absorb staff from the co-operatives, more positions were created within the Physical Planning and Operations division, which were not yet filled by December 2016<br><br>The turnover rate is, for instance, comparative to that of UKZN at 7.95 |
| **GOAL 6** | **ACCELERATE INFRASTRUCTURE DEVELOPMENT** | | |
| Strategic objectives | Configure campus security systems to ensure appropriate access to assessments<br>Develop an ICT strategy able to adapt and respond to the needs of the University<br>Develop Infrastructure Master Plan for the University<br>Design online registration system and conduct pilot | | |
| **KEY PERFORMANCE ACTIVITY** | **KEY PERFORMANCE INDICATOR** | **EVIDENCE OF ACHIEVEMENT** | **REASON FOR DEVIATION** |
| SG06SO3:<br><br>Configure campus security systems to ensure appropriate access to assessments | Installed security cameras at examination centres | The University successfully installed security cameras in examination venues. CCTV Upgrade Stage 1 was completed in October 2016 | Completed – no deviation |

| Table 12: Performances against Strategic Targets | | | |
|---|---|---|---|
| **GOAL 1** | **IMPROVE GOVERNANCE THROUGH ENHANCED OPERATIONS TO SUPPORT THE ACADEMIC ENTERPRISE AND ENSURE SUSTAINABILITY** | | |
| SG06SO4:<br><br>Develop an ICT strategy able to adapt and respond to the needs of the University | Developed and approved ICT Strategy | An ICT Indaba was held on 20 September 2016 that assisted with the preparation of the draft ICT Governance Framework | Post the Indaba, the Director ICT focused on finalising ICT Governance Framework and 13 policies were developed along with the Governance Framework and Strategy. There was not enough time to ensure proper internal consultation and the strategy and policies will serve before relevant structures in 2017 for approval |
| SG06SO09:<br><br>Develop Infrastructure Master Plan for the University | Integrated and phased Master Plan for the University | A Master Plan exists for the KwaDlangezwa campus and Richards Bay campus. These are separate plans and still require integration | In process – not completed |
| SG06SO10:<br><br>Design online registration system and conduct pilot | Completed implementation of Phase 1 of the pilot for online registration system | Phases I and II of the online registration plan was successfully completed with the revision of the entire academic structure and subsequent web-based registration of 16 identified first-year programmes in 2016 | Completed – no deviation |

## KEY PERORMANCE INDICATORS – ANNUAL PERFORMANCE PLAN 2016

Table 13 displays ministerial approved enrolment targets for 2016 and how the University performed against these approved targets.



Back from left: Mr Mzimela, Mr Cele and Prof. Songca. Front from left: Prof. Ndwandwe, Mr Janse van Rensburg, Prof. Mtose, Mr Ngcobo and Prof. De Wet.

| Table 13: 2016 Student Enrolment performances against Ministerial approved Targets | | | | |
|---|---|---|---|---|
| **GOAL** | **STRATEGIC OBJECTIVE** | **KEY PERFORMANCE INDICATOR** | **TARGET 2016** | **2016 ACTUALS** |
| **A. ACCESS** | | | | |
| SG2SO4 | Design and develop a cohort analysis for effective institutional planning and monitoring | Headcount totals (MIS Data) | | |
| | | First-time entering undergraduates | 3 900 | 3 897 |
| | | Headcount enrolments | 15 925 | 17 692 |
| | | Headcount enrolments (Foundation) | 495 | 474 |
| | | Headcount enrolments total UG | 14 100 | 15 813 |
| | | Headcount enrolments total PG | 1825 | 1 879 |
| | | Enrolments by Major Field of Study (MIS Data) | | |
| | | Science, Engineering, Technology | 3 025 | 3 188 |
| | | Business/Management | 3 982 | 3 965 |
| | | Education | 4 459 | 5 925 |
| | | Other Humanities | 4 459 | 4614 |
| | | Distance education enrolments | 0 | 0 |
| **B. SUCCESS** | | | | |
| SG4SO1 | Provide a supportive teaching and learning environment for UNIZULU students | Graduates UG | 1 948 | 3 374 |
| | | Graduates PG | 441 | 893 |
| | | Success rate | 80 | 84 |
| | | Undergraduate output by scarce skills (Hemis Data) | | |
| | | Engineering | 0 | 0 |
| | | Life and Physical Sciences | 295 | 368 |
| | | Animal and Human Health | 1 051 | 169 |
| | | Teacher Education | 832 | 1 610 |
| | | Success rate | 80 | 84 |
| **C. EFFICIENCY** | | | | |
| SG3SO8 | Staff retention strategies to be developed | Instructional/Research Professional Staff | | |
| | | Headcount and FTE of permanent instructional/research professional staff | 335 | 332.9 |
| | | Staff with doctoral degrees | 34 | 41 |
| | | Number of Gap staff | 5 | 2 |
| | | Ratio of FTE students to FTE instructional/research staff | 29.7 | 16 608.544/ 332.995 (49.8) |
| **D. RESEARCH OUTPUT** | | | | |
| SG3SO2 | Increase the University Research Output | Publication units per FTE staff | 109.09 | 123.06 |
| | | Research Masters' graduates | 100 | 84 |
| | | Doctoral graduates | 30 | 32 |

Table 14 below displays earmarked grants (funding envelopes and infrastructure projects) for the year 2016 and how the University performed against these approved targets.

| Table 14: Funding Envelopes and Infrastructure Projects | | | | |
|---|---|---|---|---|
| **Grant Description** | **Ministerial Approved** | **Received Allocation 2016** | **Actual Spent** | **Reason for Deviation** |
| Teaching Development Grant | 14 074 000 | 5 629 600 | 9 514 451 | There were unspent funds or carried forward funds of R10 445 829 with interest from the 2015/2016 period |
| Research Development Grant | 6 325 000 | 1 726 899 | 4 884 591 | There were unspent funds or carried forward funds of R6 635 043 with interest from the 2015/2016 period |
| Foundation Provision Grant | 2 280 000 | 1 368 000 | 3 957 000 | Overspent amount is being paid by the University |
| Infrastructure and Efficiency Grants | | | | |
| (i) Infrastructure & Development Grant | 438 000 000 | - | 1 873 875 | Funds were received from 2012 until 2015 with an amount of R420 661 028 unspent due to court litigation. A new tender process was initiated by Council in 2016 |
| (ii) Infrastructure & Development Grant | 171 523 893 | - | - | Grant not received |
| (iii) Infrastructure & Development Grant | 35 000 000 | 35 000 000 | - | Funds were received in June 2016. The University is in the process of appointing service providers for the procurement of these services in terms of the SCM policy |
| Veterinary Sciences Grant | - | - | - | - |
| Clinical Training Grant | 5 365 000 | 2 146 000 | 4 016 917 | There were unspent funds or carried forward funds of R5 312 113.00 from the 2015/2016 period |
| New Generation (nGAP) | | 6 998 199 | 1 296 370 | Only 2 of the 5 vacancies could be filled in 2016 |

*The University did not experience any shortcomings in terms of success targets in 2016. The University's success rate increased to 84% in 2016. The percentage of staff with doctoral degrees increased with 7% in 2016 to 41%.*

## COMMENTS

The comments on the shortcomings related to the access, success, efficiency, research output and funding envelopes as per tables 2 and 3 above are addressed below:

- **Access:** The University's headcount increased significantly in 2016. This is due to students returning to the University to finish their studies after some absence as well as the #FeesMustFall campaign and moratorium on the exclusion rule. In terms of the first-time entering student targets, the University under enrolled slightly by students.
- **Success:** The University did not experience any shortcomings in terms of success targets in 2016. The University's success rate increased to 84% in 2016.
- **Efficiency:** The percentage of staff with doctoral degrees increased with 7% in 2016 to 41%. The headcount of permanent instructional/research professional staff, however, decreased slightly in 2015. As at the end of the Year 2016, the University still had a vacancy rate of 32.90% as a percentage of total staff establishment. Of these, 17.02% were academic posts, ranging from 13.44% in the Faculty

of Science and Agriculture, 16.84% in the Faculty of Education, 22.22% in the Faculty of Commerce, Administration and Law; 27.86% in the Faculty of Arts and 4.76% at the Richards Bay Campus. A strategy is in place for 2017 to reduce the recruitment and selection turnaround times. A total number of 70 new appointments were made in 2016.

- **Research Output:** The latest official research output statistics that are available are those for 2015. The trend of journal and book research output shows an increase from 2012 (72.9. units) to 2013 (89.08) to 112.06 in 2014 and to 130.04 in 2015. The preliminary (unofficial) indicator for 2016 is 123.06 units (for journal publications only). This figure is expected to grow when all 2016 publications are considered, which includes journals, books, book chapters and conference proceedings.

## CONCLUSION

Council is satisfied with the degree of progress towards achieving the objectives for the year 2016 in relation to the Strategic Plan (2016-2021) and targets set in the 2016 Annual Performance Plan.
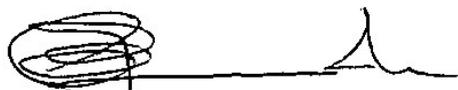

**Mr C.V. Gamede**
**Chairperson of Council**


**Prof. X. Mtose**
**Vice-Chancellor**

## COUNCIL'S
# STATEMENT ON GOVERNANCE

## COUNCIL'S STATEMENT ON GOVERNANCE

The University of Zululand is committed to the principles of discipline, transparency, independence, accountability, responsibility, fairness and social responsibility, as advocated in the King III Report. Accordingly, the Council endorses, and during the period under review has applied, the Code of Practices and Conduct and the Code of Ethical Behaviour and Practice as set out in the King III Report.

In supporting this Code, the Council recognises the need to conduct the business of a public higher education institution with integrity and in accordance with generally accepted practices. This commitment has been reinforced by Council's revision of its own Code of Conduct for members of Council. Monitoring the public higher education institutions' compliance with the Code forms part of the mandate of UNIZULU's Audit and Risk Committee. The detail of UNIZULU's governance structures, responsibilities and procedures are set out below.

## STATUTORY RESPONSIBILITIES – COUNCIL AND COMMITTEES OF COUNCIL

In terms of the Statute of UNIZULU, the Council governs the University subject to the provisions of the Higher Education Act 101 of 1997, as amended. The Council is responsible for policy-making, monitoring the performance of the Institution and its management. The Council also has to provide guidelines with regard to a number of matters such as admission of students, the language policy, and staff matters, disciplinary matters with regards to students and staff, and measures to ensure an adequate academic atmosphere.

The Council of the University of Zululand was incorporated on 8 October 2013. During the year under review, Council functioned in accordance with the prevailing Statute of the University, which was

promulgated on 12 October 2012. In terms of the UNIZULU Statute (Section 18), the Council comprises 26 members, the majority of whom (60 ) are neither employees nor students of the University. The independent non-executive members comprise a cross section of external expertise. As at 31 December 2016, 23 positions were filled and one vacancy existed for a donor representative and two vacancies for independent non-executive members.

The composition is as follows:

| Table 15: External vs Internal Membership | |
|---|---|
| Ministerial representatives | 5 |
| Independent non-executive members | 3 |
| Convocation representatives | 2 |
| Executive management | 3 |
| Employee representatives | 5 |
| Student representatives | 2 |
| Donor representatives | 1 |
| uMhlathuze Municipality representatives | 1 |
| Traditional Authority representatives | 1 |
| TOTAL | 23 |

Table 3 in the report of the Chairperson of Council displays the full list of Councillors and their respective constituencies.

In terms of good governance principles, the role of the Chairperson of Council differs significantly from the role of the Vice-Chancellor. The Chairperson of Council is primarily responsible for the effective functioning of the Council. The Chairperson is responsible for ensuring the integrity and effectiveness of the Council and its Committees and is required to:

- Provide overall leadership to the Council, without limiting the principle of collective responsibility for Council decisions;
- Ensure that all the Council members are fully involved and informed of any issue on which a decision has to be taken;
- Exercise independent judgement, act objectively and ensure that relevant matters are placed on the agenda and prioritised properly;
- Work closely with the Registrar in ensuring that at all times all the Council members fully understand the nature and extent of their responsibilities as the Council in order to ensure the effective governance of the University;
- Arrange for new members appointed to the Council to be properly inducted and oriented, and monitor Council appraisals;
- Avail himself/herself to the Vice-Chancellor between Council meetings to provide counsel and advice pertaining to University matters;
- Ensure that the Council evaluates the performance of the Vice-Chancellor periodically; and
- Act as the main informal link between the Council and management, particularly the Vice-Chancellor.

The role of the Chairperson differs from the Vice-Chancellor in that the Vice-Chancellor's responsibility is to focus on the operations of the University, ensuring that it is run efficiently and effectively and in accordance with the strategic decisions of the Council.

The Chairperson of Council Mr C.V. Gamede was appointed as Chairperson of Council at its meeting on 8 October 2013, which term of office will expire on 7 October 2017.

Matters reserved by Council for decision-making are set out in the UNIZULU Statute and in terms of the Higher Education Act (101 of 1997). Council is responsible for the ongoing strategic direction of the University, approval of major developments and the receipt of regular reports from management on the day-to-day operation of its business. In terms of the Charter of Council, it should meet four times a year and the UNIZULU Council has several committees. Council met four times during the year under review and details of its composition and meeting attendance statistics are contained in this Annual Report.

The Higher Education Act (see Section 29(1)) stipulates as follows:

*"The Council (and the Senate) of a public higher education institution may each establish committees to perform any of their functions and may appoint persons who are not members of the Council (or the Senate) as the case may be, as members of such committees".*

The aforementioned committees, with the governance functions as described below, have been approved by Council to execute the above responsibilities. All the committees are formally constituted with approved terms of reference and comprise a majority of members of the Council who are neither employees nor students of the University. The committees are:

*Council is responsible for the ongoing strategic direction of the University, approval of major developments and the receipt of regular reports from management on the day-to-day operation of its business.*

## Audit and Risk Committee

The Committee assists the Council in fulfilling its overview responsibilities. It reviews the annual financial reporting process, the system of internal control and management of financial risks, the audit process, and UNIZULU's process for monitoring compliance with laws and regulations. The Committee is also responsible for the issues of risk, its management and mitigation. The Committee ensures that the risk management system and risk register is maintained. The Committee also assists Council in carrying out responsibilities related to IT as no separate IT Governance Committee has been established. Council is responsible for the IT governance, specifically related to the alignment of IT with the performance and sustainability objectives of the University. The Committee, chaired by Cllr S.B. Xulu in 2016, held four meetings during the year. All members of the Committee are independent of the University and are not employed by the University. Both internal as well as external auditors have unrestricted access to the Committee, which ensures that their independence is in no way impaired.

## Finance Committee

The Committee ensures the financial health of the University and assesses and recommends the approval of: financial policies and protocol; the consolidated operating budget, including operational, staff and capital budgets, cash flow predictions, the asset/liability profile and multi-year budgetary predictions; the annual consolidated report to the DHET and other ring-fenced funds and loans; the performance of the University against approved budgets and targets and the Committee takes/advises on appropriate corrective actions; the annual increase in student fees; and deals with the University's investments. It assures the financial health of the University as a 'going concern'. The Committee, chaired by Cllr J. Kunji-Behari, held five meetings during the year.

## Planning and Infrastructure Committee

The Committee develops and updates campus master plans for facilities and infrastructure, with implementation strategies, priorities and financing models for approval by the Council; advises the Council on the development, acquisition and integration of facilities and infrastructure; and develops and updates a comprehensive and sustainable institutional maintenance and replacement plan and strategy. The Committee, chaired by Cllr T.C. Ngcobo, held three meetings in 2016.

## Human Resources Committee

The Committee recommends to Council appropriate strategic directions and priorities in human resources governance, such as performance management, conditions of service, and employee relations. It also develops and recommends to Council policy and strategy with regard to the remuneration of staff and related matters. The Committee, which has delegated powers to approve new positions on the permanent staff establishment, was chaired by Cllr P.N. Maphoshe and held three meetings during the year.

## Executive Committee (COUNEX)

The Committee deals with urgent matters referred to it by Council and its committees. It assumes the authority of Council when Council is not in session and may perform the functions of Council. The Committee, chaired by the Chairperson of Council, Cllr C.V. Gamede, held four meetings during the year.

Council elected not to constitute a separate Risk Committee as risks are addressed through its Audit and Risk Committee. A list of Council and sub-committee meetings with composition is contained in Tables 4-9 of the Report of the Chairperson of Council. Council conducted several workshops in 2016 aimed at the appraisal of Council and its committees. Formal performance appraisals will be conducted in 2017.

## STANDING COMMITTEES OF SENATE

The following standing committees of Senate have been approved by Senate in the execution of its authority:

- Executive Committee of Senate (SENEX)
- Teaching and Learning Committee
- Academic Appointments and Promotions Committee
- Research Committee
- Community Engagement Committee
- Faculty Boards

The Higher Education Act (see Section 29(3)) stipulates the following:

*"The Council and the Senate of a public higher education institution may jointly nominate committees, to be known as joint committees, to perform functions that are common to the Council and the Senate".*

The Honorary Degrees Committee is a joint committee of Council and Senate at UNIZULU.

## OTHER COMMITTEES

Other statutory bodies, constituted in accordance with the Act, are defined in the UNIZULU Statute, namely:

- Institutional Forum (IF)
- Students' Representative Council (SRC)
- Manco (UNIZULU Management Committee)

In accordance with its statutory obligation to govern the Institution, including the management structures necessary to implement governance policy, Council recognises the UNIZULU Management Committee (Manco), as established by the Vice-Chancellor. Manco is a consultative and advisory committee assisting the Vice-Chancellor in the planning and execution of the management and administration of the University in accordance with the UNIZULU Statute. Manco met on a monthly basis in 2016 and in addition, held several special meetings arising from urgent issues requiring attention.

## CONFLICT MANAGEMENT

Issues of conflict management in student governance are dealt with in regular meetings held with the student leadership. Issues that may lead to conflict with the student leadership are catered for in the SRC Constitution, as well as constitutions of the various committees in which students are involved. Student leaders are members of the institutional committee structures where they can voice their concerns.

With regard to staff, minor incidents of conflict on campus were resolved by means of intervention by managers and/or the Labour Relations Unit. As always, every attempt was made to resolve conflict at the lowest possible level, including interaction/co-operation with representatives of the sole union, the National Education, Health and Allied Workers' Union (NEHAWU), to assist in grievance resolution. UNIZULU has an approved grievance procedure in place that is used to dealing with most incidents of conflict.

## STAFF AND STUDENT PARTICIPATION – CO-OPERATIVE GOVERNANCE

The University places a great deal of emphasis on fostering and maintaining a high standard of co-operative governance and good governance in general as espoused in King III. Management, employees and organised labour constantly voice and amplify their commitment towards the need for scrupulous systems and processes at UNIZULU through various avenues. Employee representatives are extensively involved in committees, right up to the level of Council.

In addition, they have observer status or are co-opted on some operational committees, depending on the nature of the role and the matters of focus. Student leadership is involved in the major governance and management structures of UNIZULU, such as Senate and Council. There are standing quarterly meetings between Manco and the SRC. Their inputs are taken seriously and constructive student comments are incorporated when effecting changes.

## CODE OF ETHICS

The University is committed to the highest standards of integrity, behaviour and ethics in dealing with all its stakeholders, including its Council members, managers, employees, students, customers, suppliers, competitors, donors and society at large. The University's policies include provisions to deal with conflicts of interest. Council members and all staff who have decision-making authority, either individually or jointly through their service on committees, are expected to observe the University's ethical obligations in order to conduct business through the use of fair commercial practice. In terms of the respective Codes of Conduct for members of Council and Executive management, those bound by the Codes are obliged to disclose any noteworthy interests (as defined) in a register of contracts. Likewise, potential or actual conflicts of interests are required to be declared. Various general provisions underpin Council's commitment to ethical conduct. These are characterised, inter alia, by the requirements to act in good faith, to serve the interests of the University, to maintain the trust of Council and the Executive, to respect Council decisions and to maintain confidentiality. Members of Council and the Executive are required to acknowledge and uphold the respective Codes by making signed declarations to this effect, which are, in turn, lodged with the Registrar's Office. Compliance with the UNIZULU Code of Ethics was constantly monitored and observed, and any perceived deviations were dealt with effectively and efficiently in terms of the relevant UNIZULU rules, policies and procedures.

## COMPLAINCE STATEMENT

Council hereby explicitly confirms that it has applied the Code of Governance principles in 2016 and that approval of this statement was recorded at the full Council meeting, held on 23 June 2017, which was quorated.
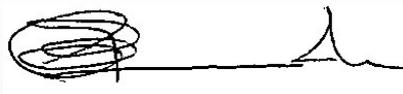
**Mr C.V. Gamede**
**Chairperson of Council**

# STAKEHOLDER ENGAGEMENT

# COUNCIL'S
# STATEMENT ON SUSTAINABILITY

The University of Zululand continues to operate within the national context while recognising its critical importance to Zululand and its primary hinterland bordered by the N3, N4 and Indian Ocean. As a rural University that is expanding in the vibrant economic area surrounding Richards Bay, it has a responsibility to nurture both its historic culture and vibrant future. It takes its position to sustain, document and learn from the former and to mould, contribute and benefit from the latter very seriously.

## INTRODUCTION

Student political activities, always fluid and, often unpredictable, once again challenged the sector and the University of Zululand in 2016. Pressure continued nationally for free higher education and the protests resulted in a number of ugly and violent scenes around the country.

The University of Zululand avoided the worst of these violent protests but did have to suspend teaching at its KwaDlangezwa campus and send students home for a couple of weeks. Despite that and unlike many other institutions, the University of Zululand managed to complete its 2016 academic year within the calendar year. One of the reasons for the decision to close the campus for a short period was because the University was, at the same time, facing an industrial dispute called by NEHAWU. The union leadership had a number of demands, but asserted that the two deal-breakers were the implementation of a pay progression scheme and the insourcing of service delivery currently provided by co-operatives. The industrial action called by the union was totally unnecessary as the co-operatives did not support the strike action; the University had made a proposal on how to insource co-operatives that had been welcomed by them and a proposal from the University on pay progression was on the table for discussion. The University rejected the demands of the union as they were totally unsustainable from a financial point of view. Following the 10-week strike, the union called off their action unreservedly.

During 2016, the University had a duly elected and functioning Student Representative Council (SRC). Unfortunately, internal tensions meant that different factions were operating within the SRC by the end of their tenure. This also had an impact on the SRC elections held in October 2016. The results were contested in the courts and the outcome is awaited. As a consequence, as per the SRC Constitution, Council appointed an administrator to operate as the SRC until legal clarity is achieved regarding the elections.

The decision by Government to fund fee increases directly up to 8% led the University to raise tuition and residence fees by 8% for 2017. With the vast majority (over 90% of entrants in 2016) of the University being eligible for National Students' Financial Aid Scheme (NSFAS), the fee increase will not affect these students directly. Further, the government committed to pay for the 8% fee and residence increase for all students whose family income is less than R600 000. This applies

to virtually all of our students so that the increases will have no impact on any of UNIZULU students. Nonetheless, historical top slicing of NSFAS funds and allowances has artificially suppressed book and food allowances for University of Zululand students. This needs to be resolved in the short term and continued caps on allowance increases is unhelpful in this regard. A flat rate increase in allowances and fees is much more advantageous to the neediest of our students.

Other social factors, in addition to poverty and unemployment impacting on the University, include HIV and AIDS and other illnesses, and difficulties experienced in adjusting to the university environment (which may affect staff as well as students). Crime and drug abuse in the region and a lack of appreciation of and respect for the University's assets can result in damage and neglect of University property. The University is aware of these issues and has put systems in place to counter these negative influences, where possible. In particular, the University undertook several orientation activities in 2016.

Academically, the University also faces the need to address the academic under-preparedness of school-leavers. Many school-leavers are ill-prepared for university-level studies, and their previous experiences of learning may not stand them in good stead in the University context. In this respect, the University has vibrant foundation programmes that are being offered in the Faculties of Science and Agriculture and Commerce, Administration and Law to address these issues. The University benefits from the Foundation Grant, as provided for by DHET, and continuous growth for Foundation programme intake is expected in 2016.

In addition, the University is embracing its categorisation as a comprehensive university to blend the provision of academic with professional qualifications in support of the local and national economies. Students find direct articulation between diplomas and degrees challenging, hence the University is working on a more explicit articulation relationship between the two that is likely to identify required 'bridging' relationships that it is keen to provide. The University, furthermore, developed a comprehensive new Business Plan for the Richards Bay Campus, which was submitted to the Minister of Higher Education and Training for consideration during February 2013. The Business Plan was developed with the support and buy-in of the business community of Richards Bay and Empangeni, the local authorities in the region and the FET College. This plan will be integrated into the KwaDlangezwa Master Plan. Richards Bay campus will spend a considerable amount of time reconfiguring its programme offering to manifest the comprehensive nature of the University.

The importance of technology to the local and national economies continues to be a challenging aspect of provision for UNIZULU.

The majority of the poor (the majority of our students) still do not have ready access to technology and are consequently ill-prepared for its uses in learning contexts.

At the same time, the University wishes to leverage current IT trends to support student success and employability. During 2016, it extended its provision of WiFi accessibility across its two campuses and this will be continued and extended in 2017. The University gained confirmation from NSFAS that students can use part of their loans and bursaries to fund laptop purchases. More needs to be done but this is a very positive start.

The broad regulatory and legal framework is a key platform against which the University operates. This report, itself, is a good example of the new reporting environment. The Annual Reporting Regulations (DHET, 2014) creates a template and a procedure that the University welcomes. As the higher education sector expands and UNIZULU grows (by over 50% in the past five years), the need for more robust and programmed accountability is recognised and welcomed. Reporting to stakeholders becomes ever more important. The University is taking the opportunity afforded by these greater reporting requirements to model its own internal reporting so that regulatory requirements are met at the same time as provide improved managerial information. A very good example of this is how the University has used the changes to qualifications required in response to the HEQSF to modernise its qualification set and the relevance of its curricula. The Protection of Personal Information Act and Consumer Protection Act also create new reporting and communication requirements for students and third parties. The Auditor-General's reporting guidelines and King IV imperatives impact on financial and general governance; the management and monitoring of research, research ethics, the protection of the University's intellectual property; and finally the monitoring of compliance with the University's ethical framework for research. Appointments to the positions of Deputy Vice-Chancellor Research and Innovation, Deputy Vice-Chancellor Teaching and Learning, Executive Director Richards Bay Campus, Executive Director Instituional Planning were made during 2016 to further strengthen the Executive team.

Council implemented the new Strategic Plan 2016-2021 in 2016. The UNIZULU Strategic Plan places community engagement at the centre of its core-responsibilities.

Alumni, as critical stakeholders of the University of Zululand, are identified as of considerable importance for the delivery of the 2016-2021 Strategic Plan. UNIZULU boasts esteemed alumni who hold influential positions in many sectors of our society and they have a strategic role to play in supporting the University's

endeavours through their influence and networks. The University aims to strengthen alumni relations to the benefit of the University and its current students.

Sustainability within the South African context cannot be separated from transformation. What has become clear after more than 20 years of democracy is that transformation means very different things in different contexts. The University of Zululand started the process in 2015 of defining what transformation means for UNIZULU and all of its stakeholders. The Integrated Transformation Plan identified transformation initiatives such as the development of an Employment Equity (EE) Plan, development of an Attraction and Retention Strategy, staff engagement at all levels, student leadership development, performance measurement, student throughput, a Service Delivery Improvement Plan and disability. A draft five-year Employment Equity Plan was submitted to the internally established Transformation Committee for deliberations and monitoring. Using the KwaZulu-Natal Provincial Economically Active Population demographics, numerical goals and targets were determined.

The Council of the University established the University of Zululand Foundation in 2005. The object of the Foundation is to provide financial assistance and support to the University, which is the sole beneficiary of the Foundation. The Foundation, constituted in terms of a Deed of Trust, is governed by a Board of Governors consisting of individuals appointed by the Council and members elected by the donors of the University. The Foundation appointed a full-time Executive Director in order to establish appropriate structures for the Foundation and a comprehensive and practicable fundraising strategy. As indicated above, the 2016-2021 Strategic Plan identifies alumni relations as an important target for the University. The University's alumni team will work closely with the Foundation to ensure that the University and its stakeholders work collaboratively for the benefit of all.
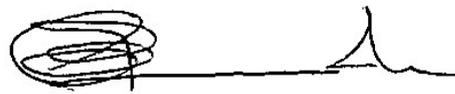
**Mr C.V. Gamede**
**Chairperson of Council**

Back from left: Mr Mvubu, Mr Nkwanyana, Prof. De Wet, Mr E. Dube, Dr Mbokazi, Prof. Songca, Mr Chiya, and Mr Janse van Rensburg.
Front from left: Prof .Smith, Mr Kunji-Behari, Prof. Mtose and Mr Xulu – UNIZULU Council members.

# SENATE REPORT TO
# COUNCIL

During the period under review, the Senate continued to exercise its mandate of preserving the academic integrity of academic programmes in line with the provision of the Statute of UNIZULU. Operations of the Senate focused largely on quality improvement, restructuring of academic programmes, cleaning of the academic structure and the introduction of new career-focused programmes to address the mission of a comprehensive university.

## COMPOSITION OF THE SENATE

The Senate has been reconstituted according to the newly approved Statute of UNIZULU and in accordance with section 28 (2) of the Higher Education Act, Act 101 of 1997, as amended. Therefore, members of the Senate are:

- Vice-Chancellor (Chairperson)
- Chairperson of the Council or any other external member of the Council nominated by the Chairperson of Council
- One external member of the Council appointed by the Council
- The Deputy Vice-Chancellors
- Registrar
- Deans
- Professors, Deputy Deans and Head of Departments
- Dean of Students or a person holding an equivalent position
- Head of the Richards Bay Campus
- One academic employee from each faculty, with at least the status of an Associate Professor, elected by faculties in accordance with paragraph 31(2)

- Directors of centres, institutes or units with an academic function appointed by the Senate
- Directors, or persons holding equivalent positions, of departments and units with an academic support function appointed by the Senate including, but not limited to:
    - Library services
    - Research support
    - Academic support
    - Quality assurance
- Chairperson of the Institutional Forum
- Two students elected in accordance with the process described in paragraph 31 (3).

## CHANGES IN ACADEMIC STRUCTURE

The Bachelor of Education programme is being recurriculated. The changes made to the programme, however, are so minor that there is no need for external approval. As part of the revitalisation of the teacher education programmes, the following programmes have been approved by the DHET and are currently awaiting accreditation by the CHE:

-

- Postgraduate Certificate in Education in Further Education and Training Teaching
- Postgraduate Certificate in Education in Senior Phase and Further Education and Training Teaching
- Bachelor of Education in Foundation Phase Teaching
- Bachelor of Education in Intermediate Phase Teaching

The Faculty of Arts is working towards the re-accreditation of the Bachelor of Social Work and the Bachelor of Psychology. Development of the Bachelor of Arts in Music commenced in 2016. In the same year, programmes in Political and International Studies were approved internally, and the programmes are currently going through the external structures of approval.

The BSc Agriculture in Agribusiness (SBSC51) curriculum was revised and approved at Senate level. In Consumer Science, internal modifications have been made to transform the four-year Extension and Rural Development degree into a three-year undergraduate degree followed by Honours.

In the Department of Accounting and Auditing, two programmes were accredited by DHET last year. These are Higher Certificate in Accounting, and B Com (Accounting Science). Within the B Com degree, a number of additional Classification of Educational Subject Matter (CESMs) were approved by DHET to be part of the existing B Com degree. These additional approved CESMs are: 040201 Accounting; 040202 Auditing; 040203 Accounting and Finance; 040299 Accounting and Related Services, Other; 040401 Economics, General; 040602 Banking and Financial Support Systems; 0414 Insurance; 040801 Human Resource Management/Personnel Administration; 0401 Business Administration, General. The Business Information System (computer module) has been added to Public Administration degrees in year one for both semesters. The LLB programme was reviewed.

## SIGNIFICANT DEVELOPMENTS AND ACHIEVEMENTS IN TEACHING AND LEARNING

### Faculty of Arts

The use of ICT-supported teaching and learning is growing in all departments in the Faculty. The Faculty of Arts hosted two conferences in 2016, namely the 17th Annual Conference of the Department of Information Studies and the Annual Faculty of Arts Conference. The Faculty of Arts successfully made a recommendation for the appointment of Prof. B. Mostert as the new National Institute for the

Humanities and Social Sciences (NHISS) scholarships' mentor. She replaces the late Prof. Patrick Sibaya, who passed away in 2016. The Faculty pays tribute to the late Prof. Sibaya for the commendable job he performed in mentoring PhD students.

### Faculty of Commerce, Administration and Law

The Department of Public Administration had an academic seminar for final-year students with two speakers from the Municipality. Ten Public Administration Honours students were selected to go to National Parliament in Cape Town where they were given an opportunity to be part of the sitting and ask questions on issues affecting the community. Students who progressed to study a Postgraduate Diploma in Accounting (CTA) at UCT passed and are due to write their board examination. The Department of Law held a workshop on assessments and how to prepare for the National Review. Training workshops were also held on Moodle, and ITS I-Enabler system. Numerous quality assurance measures to improve the quality of course outlines and examination question papers were implemented. Two clerks from the Constitutional Court addressed the final-year students on the prospect of becoming judges' researchers in the Constitutional Court. Retired Judge Dhlodhlo presented guest lectures to students in all four levels on the ethics of the profession.

The Faculty hosted The Mbali (Management, Business, and Administration & Legal Initiatives) Conference in partnership with Absa. The Faculty hosted its first International Conference. Already two of the Faculty staff papers have been published and another six are under review.

The remainder 12 of the papers are being revised and will be sent to a specialist editor who will prepare them for publication in accredited journals. The following illustrious guests presented keynote addresses at the conference: Mr Daniel Mminele (Deputy Governor, South African Reserve Bank) presented at the first plenary session: 'International Financial Market Developments – Some Implications for South Africa'; Prof. Alojzy Nowak, (DVC Warsaw University) presented at the second plenary session: 'Global Financial Crises and the Challenges Faced by the European Union'; Judge Hazell Radebe (High Court Judge) presented at the third plenary session: 'Social Skills, the Economics and Law Nexus'; Minister Lindiwe Zulu gave a keynote address on 'Eradicating Poverty, Unemployment and Inequality through Entrepreneurship', presented at the Networking session; Counsellor M.G. Mhlongo spoke on 'Regional Economic Development', presented at the Gala Dinner; and Prof. Thami Mazwai, Advisor to Minister Zulu, spoke on 'Contextualising Entrepreneurship within the National Development Plan' at the gala dinner.

Prof. Mazwai is working with UNIZULU to host an Entrepreneurship Colloquium to be hosted in September 2017 and will involve participants from the Appalachian State University and the University of Melbourne Australia. Prof. Nowak wants to engage in a student exchange programme as well as involve UNIZULU staff serving a sabbatical stint at the Warsaw University.

## Faculty of Education

The Faculty of Education has submitted two Bachelor of Education and two Postgraduate Certificate in Education programmes for approval. The Bachelor of Education Foundation Phase, Bachelor of Education Intermediate Phase, and two Postgraduate Certificates in Education programmes were submitted to Council on Higher Education (CHE). Currently, the Faculty is busy re-aligning the Bachelor of Education Honours programmes with MRTEQ. Prof. Bayaga was awarded a six-month Fulbright Scholarship to further his research in the USA. Two conference presentations were delievered by Prof. Kok at the Teaching and Learning Conference hosted by UNIZULU in Richards Bay.

Several international conferences were attended: Dr S. Govender and Ms N. Maluleke presented at the Canadian Society for the Study of Education (CSSE) University of Calgary, Manyage D.Ed; Dr M.S. Mabusela and Prof. M.C. Maphalala presented papers at the SASE Conference. Dr M.S. Mabusela presented a paper at London University (UK). Dr B.T. Gamede, Mr M.C. Dube and Prof. M. Duma presented papers at the EMASA Conference (Cape Town); Dr B.T. Gamede, Mr M.C. Dube, Prof. M Duma and Mr S. Mokoena presented papers at the SASE Conference (Richards Bay); Prof. M. Duma presented a paper at a London University Conference; and Mr S. Mokena and two departmental PhD students presented papers at the Teaching and Learning Conference hosted by UNIZULU: Richards Bay from 18-20 May 2016.

## Faculty of Science and Agriculture

The Department of Agriculture uses Blended Learning – Moodle (e-learning platform) and Turn-it-in for monitoring plagiarism. Students are taken to the plant and animal industry for exposure. They conduct practicals and mini projects on the farm and in the laboratories to get practical exposure and gain analytic skills to be used in the work arena. Five intern students from the Department of Chemistry were absorbed by Tronox Company and the report from the company is positive. The Department of Chemistry has qualified tutors. The Department of Computer Science continues to encourage the use of Moodle. Multidisciplinary teaching of the Department of Consumer Science with Biokinetics and Sports Science. Currently, the scholarship of teaching and learning is growing.

## LEVELS OF ACADEMIC PROGRESS IN DIFFERENT DISCIPLINES AND LEVELS OF STUDY

In this report, pass rates are used as the indicator of academic progress in different disciplines and levels of study. In the Faculty of Arts, the average pass rate for 538 modules was 78 . In the Faculty of Science and Agriculture, the average pass rate for 704 modules was 74 . In the Faculty of Education, the average pass rate for 396 modules was 70 . In the Faculty of Commerce Administration and Law, the average pass rate for 429 modules was 79 . The data on average pass rates in different faculties is listed in Table 16.

| Table 16: Average Pass Rates | | | |
|---|---|---|---|
| # | FACULTY | NO. OF MODULES | PASS RATE |
| 1 | Arts | 538 | 78 |
| 2 | Science and Agriculture | 704 | 74 |
| 3 | Education | 396 | 70 |
| 4 | Commerce Administration and Law | 429 | 79 |

## AWARDS AND ACHIEVEMENTS

To promote excellence in teaching and learning, the University conducts annual teaching and learning excellence awards. The Vice-Chancellor Excellence in Teaching Awards are a national strategic initiative aimed at recognising excellence in teaching. The awards were established in 2009 as a collaboration between the CHE and the Higher Education Learning and Teaching Association of South Africa. The purpose of the awards is to honour, recognise and reward individuals who have achieved excellence as teachers. In order to compete for these awards, academics were encouraged to compile a teaching portfolio in order to showcase their excellent teaching and learning practices. Subsequently, an advert went out to the academic community inviting participation in the programme. As a result, eight academics in different categories, i.e. emerging, developed and distinguished academics, have submitted their nominations. The Teaching and Learning Centre has had ongoing communication with the potential participants. Since academics will be required to compile a teaching portfolio, the Teaching and Learning Centre has formed a working arrangement with Quality Assurance to work on the other part of the programme, i.e. student and lecturer evaluations. In addition, the Teaching and Learning Centre has also conducted a one-day information sharing session on the awards, followed by a two-day capacity development workshop with all potential candidates for the awards.

| Table 17: Award Nominations | | |
|---|---|---|
| # | DEPARTMENT | FACULTY |
| 1 | Information Systems | Arts |
| 2 | Computer Science | Science and Agriculture |
| 3 | Communication Science | Arts |
| 4 | Communication Science | Arts |
| 5 | English | Arts |
| 6 | Curriculum and Instructional Studies | Education |
| 7 | Political Science | Arts |
| 8 | Anthropology and Development Studies | Arts |

To qualify for the Vice-Chancellor Excellence in Teaching Awards, candidates had to attend research workshops on, and take active part in, scholarship of teaching and learning research. For each category, there are three winners and each will receive prizes. The prizes for the Vice-Chancellor Excellence in Teaching Awards are allocated to a research account of the candidate and used for research purposes only. However, a portion of the prizes are available for encashment for those candidates who wish to take advantage of the encashment option. These prizes are intended to be incentives for scholarship of teaching and learning research and for general improvement of teaching practice.

| Table 18: Award Prizes | | | |
|---|---|---|---|
| CATEGORY | PRIZE | ENCASHMENT | QUALIFYING SCORE |
| Winner | 50 000 | 5 000 | 80 -100 |
| First runner-up | 30 000 | 4 000 | 65 -75 |
| Second runner-up | 15 000 | 2 000 | 50 -64 |
| Third runner-up | 500 | - | * |
| * NB: A runner-up in this case is a nominee that has excelled in one area of the criteria. The Faculty evaluation panel will make this determination. | | | |

The Teaching and Learning Centre, as the custodian of staff academic development, was given the mandate to champion the Vice-Chancellor Excellence in Teaching Awards as part of the academic staff development programme. As a result, the Director, Dr N. Mashiya, and Academic Staff Development Coordinator Mr L. Marhaya undertook to formulate the framework for the awards. To this end, a Teaching Portfolio structure was compiled and submitted to internal academic structures as a consultative measure and also for recommendation to the Senate Teaching and Learning

Committee. The proposal for the Vice-Chancellor Excellence in Teaching Awards was finally approved by Senate on 23 June 2016 after several presentations to different internal structures of the University.

## SIGNIFICANT DEVELOPMENTS AND ACHIEVEMENTS IN RESEARCH
### Organisational Structure

The appointment of a new Deputy Vice-Chancellor, Research and Innovation marks a turnaround for postgraduate studies at UNIZULU. There is now a high potential of realising an increase in postgraduate enrolments, throughputs and completion of degrees within the stipulated periods of study. The incumbent is Prof. Gideon de Wet. Research administrations in all four faculties are bearing significant fruit since the appointment of Deputy Deans in Research and Internationalisation for each Faculty since 2014 and with the appointment of Prof. Mlitwa as Director in the Research Office in 2015.

### Postgraduate Studies

The Postgraduate Studies Unit undertook to:

- Compile a database for all postgraduate students to simplify the monitoring and tracking of applications made to the three Research Office Committees that assist the faculties. A database was completed on 1 June 2016 using Microsoft Excel;
- Compile an ongoing database for Higher Degrees, Research Ethics, and Research Committee meetings to simplify tracking of all research proposals and projects that went through the system from 2005 to 2016. This was compiled and completed in 1 July 2016 using Microsoft Excel;
- Advertise and facilitate the appointment of four research assistants for deployment into faculties. Positions were internally advertised. Appointments have already been made, with successful candidates having resumed duties on 1 March 2016 to 31 August 2017, under the Research Committee Budget.
- Strengthen international collaborations for the advancement of the postgraduate environment. Through the EU Mundus funded collaborative project, we have achieved notable milestones towards this end. Collaborations between 11 universities, five international and six national, have been forged. Insight has been drawn from the collaboration of efforts to enhance the postgraduate environment (EPE), from 2015-2018. To this effect, (i) cross disciplinary literature on research designs, research methods, and research supervision as well as basic ICT research support

tools are being sourced through the EU Mundus funding. (ii) UNIZULU hosted an international workshop at Umfolozi Casino on 26-27 January 2017 to facilitate collaborations on a further development of online support materials for PG students and supervisors, with a follow-up workshop scheduled for (iii) 22 to 24 March 2017.

- Review and update current policies. Focus has been placed on the development of a Research and Innovation Strategy, to be used as a catalyst for most postgraduate and research related policy reviews and updates. We should be ready to report on completed policy updates in the next quarter report.

Twelve new Post-doctoral Fellows were appointed in 2016, as per Table 19.

| Table 19: Details of New Post-doctoral Appointments and Distribution | | | | | |
|---|---|---|---|---|---|
| **FACULTY** | **DEPARTMENT** | **NAME** | **NATIONALITY** | **GENDER** | **MENTOR** |
| Science & Agr | Chemistry | Dr Sixberth Mlowe | Tanzania | Male | Prof. N. Revaprasadu |
| Science & Agr | Chemistry | Dr Mokgaotsa Jonas Mochane | RSA | Male | Prof. T.E. Motaung |
| Science & Agr | Physics | Dr Steven Solethu Nkosi | RSA | Male | Prof. M.O. Ndwandwe |
| Science & Agr | Human Mov. Science | Dr Sunday Olawale Onagbiye | Nigeria | Male | Dr K. Bahdur |
| Science & Agr | Hydrology | Dr Abimbola Motunrayo Enitan | Nigeria | Female | Prof. J. Simonis |
| Science & Agr | Mathematics | Dr Vijay Singh | India | Male | Prof. A. Beesham |
| Science & Agr | Agriculture | Dr Brian Muroyiwa | Zimbabwe | Male | Dr M.M. Sibanda |
| CAL | Economics | Dr Victor Taiwo Ojapinwa | Nigeria | Male | Prof. D. Tewari |
| CAL | Business Management | Dr Alexander Maune | Zimbabwe | Male | Prof. I. Kaseeram |
| CAL | Public Administration | Dr Adeoye O. Akinola | Nigeria | Male | Prof. I. Kaseeram |
| CAL | Public Administration | Dr Andrew E. Okem | Nigeria | Male | Prof. D. Tewari |
| Arts | History | Dr Gillo Momo Lekane | Cameroon | Male | Prof. H. Simelane |

The uptake did not match the demand for Post-doctoral Fellows across faculties due to limited funds. Efforts are being made to address the need in the foreseeable future and part of the Research Development Strategy is to increase this number every year, to at least 10 Post-doctoral Fellows per faculty by 2021.

## Research Ethics

The purpose of the research ethics and integrity function is to facilitate institutional compliance with various national and international statutory provisions of respective ethics regulatory bodies. This is achieved by ensuring, through various administrative and committee support functions, ethical awareness and adherence to ethical codes of practices among the UNIZULU research community.

The unit had set to strengthen faculty research proposal review processes by training all Faculty Research Ethics Committee (REC) chairs and an additional member of the Faculty REC on 'Research Ethics Committee Review processes'. Eight faculty research leaders (two from each faculty) were taken to the University of the Free State to learn best practices

and faculty ethics committee review processes, with the aim of adopting best practices for local improvements.

Registration of the Animal REC is ongoing as the Research Office is working with the Faculty of Science and Agriculture to be aligned with the National Health Research Ethics Council (NHREC) requirements in order to register. On 28 February 2017, the University completed and submitted the Annual Report to the NHREC as part of the accreditation requirements for University's Research Ethics Committee (UZREC). The Research Office, furthermore, continues to review its policies and that of the Ethics Policy and Plagiarism Policy, which is still ongoing. Numerous plagiarism workshops were conducted by Library Services working with the Research Office at the University's Main Campus to promote awareness on plagiarism.

## Training and Development

The Training and Development Unit of the Research Office conducted numerous activities focused towards training and development during the year under review, set out in Table 20.

| Table 20: Training & Development | | |
|---|---|---|
| **DATE** | **EVENT** | **FACILITATOR** |
| 11-15 Jan | Faculty-based writing Retreat (CAL &SCI) | Dr G. Baker and Dr Lickindorf |
| 24 Feb | IP Wise | NIPMO |
| 11-14 April | Intro to Qual/Quantitative Research Design | Prof. Maistry, Grant and Govender |
| 13 April | PG Induction | Research Office |
| 26 April | IP International Day | NIPMO, SARIMA |
| 17 May | Proposal Writing | Dr A. Kappo |
| 19 May | Proposal Writing | Dr A. Kappo |
| 23-25 May | PG Supervision (Phase1) | Chertl |
| 25 May | Proposal Writing | Prof. I. Kaseeram |
| 30 May | Proposal Writing | Prof. I. Kaseeram |
| 8-9 June | NRF Visit | NRF |
| 9-10 June | Faculty-based Writing Retreat (Supervisors) | Dr G. Baker and Dr Lickindorf |
| 13-14 June | Academic Writing for Publication (Arts Faculty) | Prof. Sioux McKenna |
| 23-24 June | Academic Writing for Publication (Science Faculty) | Prof. Govender |
| 27-28 June | NRF Grant Proposal | Prof. Tennyson and Dr Ngwenya |
| 7 July | PG Academic Writing Faculty of Arts (Phase 2) | Prof. Sioux McKenna |
| 18-21 July | SPSS | Mr Sizwe Zondo |
| 25 July | PG Supervision Library Session (Group 1) | Library |
| 25-26 July | ATLASti | Prof. Brigitte Smit |
| 3 August | PG Supervision Library Session (Group 2) | Library |
| 4 August | Seed Funding (IP) | N. Lundall |
| 11 August | PG Academic Writing Faculty of Arts (Phase 3) | |
| 15-17 August | PG Supervision (Phase 3) | Prof. Mckenna and Prof. Clarence |
| 29 Aug – 2 Sept | Writing Retreat | Dr G. Baker and Dr Lickindorf |
| 5-7 Sept | PG Supervision | Prof. Tammy Sheffer and Prof. Herry Wels |
| 29 Aug – 2 Sept | Writing Retreat | Dr G. Baker and Dr Lickindorf |
| 5-7 Sept | PG Supervision | Prof. Tammy Sheffer and Prof. Herry Wels |
| 12-15 September | Introduction to Qualitative and Quantitative Research Design | Prof. Vaughan John, Prof. Lesley le Grange and Dr Desmond Govender |
| 19-23 September | Doctoral Research Training | USB ED |
| 4-5 October | Project Management | Dr Layla Cassim |

## Student Bursaries

Mainly, its objective is to assist postgraduate students with funding opportunities that are available to further their studies. However, NRF is the main source of funding that the University of Zululand's postgraduate students rely on to support and fund their studies. The processing of NRF funding applications involves screening of internal and online applications, submissions of annual progress and submissions of signed conditions of grant.

From January to July, NRF supported 182 postgraduate students and more funding was received in August 2016. Tables 21-23 outline a breakdown of this number according to respective categories.

| Table 21: Honours NRF Block Grant (Bursaries) Additional | | |
| --- | --- | --- |
| | **NUMBER OF GRANTEES** | |
| **PURPOSE AND CATEGORY OF GRANT** | **2015** | **2016** |
| Other | 91 (200 had applied) | 130 (245 had applied) |
| TOTAL | 91 | 130 |

For a comparative context, 2015 base year is offered as a comparative insight. Though a slight growth is apparent in 2016, by comparison to 2015, a ratio between the total number of applicants relative to the successful grantees remains a concern. While 91 of the 200 candidates applied for honours funding in 2015, the success of 130 out of 245 applicants in 2016 marks a slight improvement. A similar pattern is evident in senior academic levels of Masters and Doctoral funding applications, where out of a combined total of 115 applications, only 54 were successful (tables 22 and 23) in 2016.

| Table 22: Masters NRF Scholarships | | |
| --- | --- | --- |
| | **NUMBER OF GRANTEES** | |
| **PURPOSE AND CATEGORY** | 2015 | 2016 |
| Innovation | 6 | 7 |
| Scarce skills | 7 | 11 |
| TOTAL | 13 | 18 |

| Table 23: Doctoral NRF Scholarships | | |
| --- | --- | --- |
| | **NUMBER OF GRANTEES** | |
| **PURPOSE AND CATEGORY** | 2015 | 2016 |
| Scarce skills | 4 | 7 |
| NRF/DAAD | 1 | 1 |
| Masters extension | 6 | 4 |
| TOTAL | 11 | 12 |

The total number of students who received additional support for funding was 31. In June/July 2016, online applications were open for NRF Masters and Doctoral for 2017 funding; applications were reviewed, validated and submitted to NRF.

The Institution still faces challenges in supporting postgraduate students with funding and other issues; this might lead to deregistration. As many as 50 postgraduate students who could not be funded through the NRF and similar instruments have approached the UNIZULU Foundation for funding consideration, and results will be known after the closing date of 28 March 2017. Workshops on grant proposal writing to assist postgraduates on how to write good proposals for funding should be held. The NRF roadshow supervisor should be encouraged to

support postgraduate grant proposal writing. Senior professors should be involved in the reviewing of applications before they are submitted to NRF.

### Research Committee Funding
The Research Committee registered 38 research projects from different departments. The Committee also funded 27 applicants (including postgraduate students) to attend national conferences to an amount of R280 415 and funded seven applicants (including postgraduate students) to attend international conferences at its meetings held on 25 October with a total amount of R274 600. The Research Committee further funded 32 applicants (including postgraduate students) to attend international conferences to an amount of R1 374 193. The Research Committee

funded 153 projects (including postgraduate students) with a total amount of R3 908 914. The Research Committee funded four applications for equipment purchases as follows:

| Table 24: Equipment Grants | | | | | |
|---|---|---|---|---|---|
| NAME | DEPARTMENT | ALLOCATED | NAME OF EQUIPMENT | DATE (2016) | COMMENTS |
| S.S. Ntshangase | Physics | 73 700 | Radioactive Glove Box | 5 Apr | Top-up on NRF grant |
| J. Simonis | Hydrology | 370 000 | Aerial Monitoring Solution (AMS) Drone | 5 Apr | |
| A.P. Kappo | Biochemistry | 224 008 | NanoDrop 200 UV/VIS Pectrophotometer | 10 Jun | |
| T.E. Motaung | Chemistry | 94 917 | Intercooler | 10 Jun | |

## National Research Foundation Funding

Table 25 contains information on awards, scholarships and bursaries received from the NRF during 2016:

| Table 25: Awards, Scholarships and Bursaries | | | |
|---|---|---|---|
| INVESTMENT AREA | TOTAL AWARD | TOTAL RELEASED | TOTAL PAID |
| Applied research and collaboration | 495 000.00 | 495 000.00 | 495 000.00 |
| Human and infrastructure capacity development | 12 340 000.00 | 12 275 833.30 | 12 275 833.30 |
| International relations and cooperation | 601 500.00 | 601 500.00 | 601 500.00 |
| Research chairs and centres of excellence | 2 278 370.37 | 2 278 370.37 | 2 278 370.37 |
| Strategic knowledge fields | 701 687.00 | 701 687.00 | 701 687.00 |
| Strategic platforms | 17 090 000.00 | 0.00 | 0.00 |
| TOTALS | 33 506 557.37 | 16 352 390.67 | 16 352 390.67 |

## Outputs Produced

The latest official research output statistics that are available are those for 2015. The trend of journal and book research output shows an increase from 2012 (72.9. units) to 2013 (89.08) to 112.06 in 2014 and to 130.04 in 2015. The preliminary (unofficial) indicator for 2016 is 105.30 units (for journal publications only). This figure is expected to grow when all 2016 publications are considered, which includes journals, books, book chapters and conference proceedings. Audited statements will be submitted to the DHET for approval on 13 May 2016 (with the expected outcome/approval towards the end of the year).

## IP Projects and Meetings

The following research projects have disclosed, and are being supported by, the technology transfer office:

### Dr Nontuthuko Ntuli (Botany)
*Research Projects*
a. Diversity in agronomic traits and heritability studies of *Lagenaria siceraria landraces*.
b. The effect of heavy metal toxicity on selected traditional leafy vegetables. Both projects are not funded and they are undertaken by the students, whom Dr Ntuli supervises at MSc level.

### Prof. Betty Kibirige (Physics)
*Research Project*
Solar PV modules, trying to establish best practices in supporting electrical circuitry in low latitude regions (hot climate). The project is not funded at the moment.

### Dr Linda Linganiso (Chemistry)
*Research Projects*
c. Green waste to profit (the process of extracting valuable materials from agri-waste (maize stalk and sugarcane bagasse) to create a wide range of bio-plastics).
d. Renewable energy technologies (forecasting models to predict energy supply).

Both projects are not funded at the moment.

**Dr Thia Shultz (Agriculture)**

*Research Projects: Plant Breeding, Genetics and Biotech*

e.  Mutation breeding and tissue culture in order to induce variation and select potential pre-breeding stock with the characteristics needed/lacking in present material such as drought tolerance and pH tolerance.

f.  Domestication of traditional crops. There are many useful traditional vegetables (landraces) that are adapted to the Zululand environment. Research in the last two years has produced a useful list that we can start targeting for characterisation and domestication. This is a long process, however, and will, in the long term, produce crops that are more productive and familiar to the local communities in Zululand.

Both projects are not funded at the moment.

**Prof. Viswanadha Pullabhotla (Chemistry)**

*Research Project: Catalytic Oxidation of Hydrocarbons using Ozone*

Various hydrocarbons will be used in the ozone initiated oxidation process. This advanced oxidation process involves various metal oxides, metal loaded metal oxides and certain nanoparticles as catalysts. The project was funded by the University's Research Committee during 2016. Project funding needs to be renewed for 2017.

**Godfrey Elijah Zharare (Agriculture)**

*Research Project: Development of Commercial Food Products from Four Fruit Trees Indigenous to South Africa*

(The potential of commercial exploitation of four indigenous fruit trees/plants)

The project is not funded at the moment.

**Dr Rebamang Mosa (Biochemistry)**

*Research Project: Anti-diabetic activity of some Zulu medicinal plants*

The project is not funded at the moment.

**Prof. Unathi Kolanisi (Consumer Studies)**

*Research Project: Amaranths biscuit: Nutritional evaluation and value of food products produced locally at community level in South Africa*

Possible funding to come from KZN Economic Development (Technology Transfer Fund).

**Dr Pragasen Mudali (Computer Science)**

*Research Project: SmartDrive Project (patent)*

It is an Android application that minimises distracted driving. This is achieved by automatically suppressing a phone's ringtone and notification lights during driving. Once a drive has been completed, the phone's ringtone and notification settings are restored to their original states. All text and notification messages accumulated while driving are available for viewing once the drive has ended.

Possible funding to come from KZN Economic Development.

**Dr N.M. Motsa (Agriculture)**

*Research project: Re-positioning Traditional Leafy Vegetables (TLVs) in the Agricultural Food System: Working towards Achieving the Sustainable Developmental Goals (SDGs)*

Traditional leafy vegetables such as *Chcorus olitorus, Bidense pilosa, Ammarantus spp*, nightshade and wild mustard have disappeared in the diets of most communities due to promotion and production of exotic vegetables. This research aims to investigate suitable agronomic practices, provide/commercial quality seeds the aforementioned traditional vegetables. It will further evaluate the quality of the TLVs and assess acceptability and preference.

It is not funded at the moment (Technology Transfer Fund).

*The trend of journal and book research output shows an increase from 2012 (72.9. units) to 2013 (89.08) to 112.06 in 2014 and to 130.04 in 2015.*

The following departmental visit activities were also carried out in the final quarter of 2016:

| DATE | DEPARTMENT | HOST | PARTICIPANTS | FACILITATOR |
|------|-----------|------|--------------|-------------|
| **Table 26: Departmental Visits to Encourage Technology TRF and Disclosures** | | | | |
| 5 May 2016 | Botany | Helen de Wet | Researchers/postgrads | Ms N. Lundall/Dr S. Mlondo |
| 5 May 2016 | Physics | Mr T. Masango | Researchers/postgrads | Ms N. Lundall/Dr S. Mlondo |
| 5 May 2016 | Consumer Studies | Prof. N. Kolanisi | Researchers/postgrads | Ms N. Lundall/Dr S. Mlondo/Prof. N. Mlitwa |
| 2 June 2016 | Chemistry | Prof. T. Motaung | Researchers/postgrads | Ms N. Lundall/Dr S. Mlondo |
| 2 June 2016 | Biochemistry | Dr A. Kappo | Researchers/postgrads | Ms N. Lundall/Dr S. Mlondo |
| 19 July 2016 | Hydrology | Prof. Simonis | Researchers | Postponed |
| 18 Aug 2016 | Sport Science | Ms A. Biljone | Researchers | Cancelled due to strike (Aug/Oct 2016) |
| 8 Sept 2016 | Sport Science | Prof. Zharare | Researchers | Cancelled due to strike (Aug/Oct 2016) |
| 20 Sept 2016 | Sport Science | Ms A. Biljone | Researchers | Postponed indefinitely |

## Research Management Information Systems (RIMS)

RIMS is a product of the Institutional Research Information Systems (IRIS) project initiated by IT Directors of HE institutions in 2005 to develop a research management information system (RIMS) with a business intelligence component. Through the NRF, the DST collaborated with higher education institutions in facilitating the development of sourcing of RIMS as we know it. A customised system was built on a proprietary InfoEd platform at a fee shared by academic institutions – with initial NRF facilitation and partial support.

There were two main concerns among institutions, including UNIZULU:

- Exorbitant license costs. This was in excess of R250K pa for each participating institution while another portion was still being serviced by the NRF. Without the NRF's portion, this would be cripplingly costly.
- After careful analysis by users, the InfoEd platform proved to be technically inadequate for reporting and research management functions. The excessive cost did not justify the value.

- On 30 September 2016, the NRF and the DHET called a joint meeting of stakeholders at the University of Pretoria to announce that it was discontinuing its association with InfoEd (service provider), and its association with the RIMS system and service. Representatives agreed to the discontinuation of RIMS as of 2017.

Therefore, universities, including UNIZULU, are exploring alternatives, including a possible collaboration with UKZN over an ITS based customised alternative.

## Awards
### Research Awards Gala Dinner
On 28 November, the Research and Innovation Office held its annual research awards gala dinner at the Umfolozi Casino. The tradition is to recognise and encourage research performance among different levels and categories of academic staff. A leading academic from the Cape Peninsula University of Technology (CPUT) was invited to deliver a keynote address and the event was considered a major success.

| Table 27: Research and Innovation Awards 2016 | | | | |
|---|---|---|---|---|
| CATEGORY | NAME OF THE AWARD | DESCRIPTION | RECIPIENTS | AWARD |
| A SERVICE AND DEVELOPMENT | Research Bites | All students who participated in producing the research newsletter<br><br>Staff who contributed beyond the call of duty (layout and other) | Story contributions<br>None<br><br>Layout artist<br>None | Book voucher and certificate |
| | Faculty Service Award | Persons other than Deans or Deputy Deans who have contributed to administration or promotion of research and postgraduate studies within the faculty | Arts – Prof. M.J. Hooper<br><br>Education – Prof. S.N. Imenda<br><br>Commerce – Mr S. Heeralal<br><br>Science – Prof. M.O. Adigun | Book voucher |
| | Research enthusiasts | Persons who attended at least three research office training workshops during the year | Lindiwe Mthethwa<br>Sabelo Nxumalo (resigned)<br>Dr Ngidi Thelma<br>Ms Gugu Mkhasibe<br>Dr Puleng Biyela<br>Aghogho Akpome | Book voucher |

| CATEGORY | NAME OF THE AWARD | DESCRIPTION | RECIPIENTS | AWARD |
|---|---|---|---|---|
| B NEXT GENERATION | Research Writers' Retreat graduates | RWR participants who have published or who have had articles accepted for publication in accredited journals | Evans N.<br>Rekha Dunpall<br>Dr Samantha Govender<br>Dr Sumeshni Govender<br>Dr Nicholas Kimani | Book voucher |
| | Research productivity: postgraduate students | Top three postgraduate students who have published or who have had articles accepted for publication in accredited journals, with a minimum of at least 1.0 unit | Enakrire RT (1.00) – Information Studies | Book voucher and certificate |
| | Research productivity: emerging researchers | Researchers under the age of 40 who generated the most units in their faculty, provided that a minimum of 1.0 unit was met | Bayaga A (3.99)<br>Gouws C (1.00)<br>Ngema MN (1.00)<br>Shongwe MM (1.00) | Sand blasted trophy and book voucher |
| | Postdoctoral Research Fellow of the year | Postdoctoral research fellow who generated the most units, provided that the minimum criterion was met | Ogunnubi O (4.00) | Book voucher |

| CATEGORY | NAME OF THE AWARD | DESCRIPTION | RECIPIENTS | AWARD |
|---|---|---|---|---|
| C ESTABLISHED RESEARCHERS | Research productivity: Senior researchers | All researchers (excluding research fellows) who attained 1.50 research output units | Prof. C. Addison (1.50)<br>Prof. M.O. Adigun (2.63)<br>Prof. A. Beesham (1.67)<br>Prof. M.A.N. Duma (6.00)<br>Prof. S.N Imenda (2.50)<br>Prof. S. Lubbe (2.07)<br>Prof. N. Mashiya (2.20)<br>Prof. N. Revaprasadu (4.14)<br>Prof. N.B. Zondi (1.50) | Book voucher |
| | Faculty Researcher of the year | Most productive researcher (excluding research fellows) per faculty, provided that the minimum criterion was met (1.50) | Arts — Addison C, Prof. (1.50)<br>& Zondi NB, Prof. (1.50)<br>Commerce — Lubbe S, Prof. (2.07)<br>Education — Duma MAN, Prof. (6.00)<br>Science — Revaprasadu, Prof. N (4.14) | Book voucher |
| | Supervision output | Supervisors who produced at least two research Masters and/or PhD graduates at the most recent graduation ceremony | M.O. Adigun (M = 2; D = 1)<br>A. Bayaga (M = 2; D = 1)<br>M.A.N. Duma (M = 4; D = 1)<br>S. Govender (M = 4)<br>I. Kaseeram (M = 2)<br>L.Z.M. Khumalo (M = 4)<br>N. Mashiya (M = 1; D = 1)<br>D.W. Mncube (M = 2)<br>C.T. Moyo (M = 2)<br>D.R. Nzima (M = 4; D = 1)<br>D.N. Ocholla (M = 1; D = 2)<br>A.R. Opoku (D = 3)<br>J. Ras (M = 2)<br>N. Revaprasadu (D = 2)<br>J. Simonis (M = 2)<br>J.D. Thwala (M = 5) | Book voucher |
| | Most productive full-time researcher in the University, including research fellows | Full-time researcher or fellow who generated the most units | M.R. Jury (7.49) | Book voucher |
| | Top two most productive researchers in the University who are not full-time researchers | Researcher who generated the most units | M.A.N. Duma (6.00)<br><br>N. Revaprasadu (4.14) | Sand blasted trophy and book voucher |

| CATEGORY | NAME OF THE AWARD | DESCRIPTION | RECIPIENTS | AWARD |
|---|---|---|---|---|
| D DEPARTMENTS | Productive research departments | All departments with per capita research output (including research fellows) of a minimum of 1.50 | Chemistry (3.23)<br>Geography and Environmental Studies (1.50)<br>Politics and International Studies (1.66) | Certificate |
| | Most productive research department per faculty | Most productive department per faculty, per capita provided that the minimum criterion was met (1.50) | Arts<br>Politics and International Studies (1.66)<br>Education<br>None<br>Commerce, Admin and Law<br>None<br>Science & Agriculture<br>Chemistry (3.23) | Certificate |
| | Most productive research department in the University | Most productive department in the university, per capita provided that the minimum criterion was met (1.50) | Chemistry (3.23) | Sand-blasted trophy |
| | Productive postgraduate departments | All departments with per capita postgraduate output (including research fellows) of a minimum of 2.0 unit | None | Certificate |
| | Role model | Department implementing the best and/or most innovative ideas for increasing research and postgraduate outputs | Chemistry<br>(with a score of 28 points) | Sand-blasted trophy |

| CATEGORY | NAME OF THE AWARD | DESCRIPTION | RECIPIENTS | AWARD |
|---|---|---|---|---|
| SPECIAL CATEGORIES | Innovation Award | All researchers who had patents registered | Drug Delivery System<br>Rekha Dunpall and Neerish Revaprasadu<br>Smart Drive<br>Pragasen Mudali | Hand shake/ Book voucher |
| | Recent NRF-rated researchers | NRF rated researchers | Newly rated (2016)<br>Prof. S.D. Edwards<br><br>Prof. D.N. Ocholla | Certificate/ Book voucher |
| | Creative Arts Award | Person with evidenced success in non-traditional research, in the literary and/or creative arts fields, and includes works of fiction | Mr Gift Marongatsanga<br><br>Prof. Dasen Iyer | Book voucher |
| | Book Prize | Award for the best scholarly book/ monograph (must meet the criteria for book accreditation) | None | Book voucher |
| | Professional Recognition | Person who obtained membership on special society and/or associations, etc. | Prof. Mark Jury<br>Image was selected and received a certificate for the best image for the 2nd Class of the Giovanni Image Hall of Fame<br>Paper: Jury, M.R. (2015) Coastal climate and beach dynamics at Ponta do Ouro, Mozambique. *Scientific Research and Essays*, 10(1), 1-13.<br>Prof. Anass Bayaga<br>Fulbright Scholarship (2016) as well as additional funding from the Outreach Lecturing Fund (OLF) to give a lecture on 'The Cultural and Social Aspects of Mathematics Education in Africa' at the Oklahoma University and Oklahoma City University in the US.<br>AND:<br>Certificate received for the best paper delivered at the ICMCS 2016 18th International Conference (Mathematics and Computational Science on Computing Transition Intensity Using Time-Homogeneous Markov Jump Process: Case of South African HIV/AIDS Disposition) | Hand shake |
| | Exhibitions | Top three displays (Trade Fair) | Chemistry<br>Human Movement Science | Certificate |

| CATEGORY | NAME OF THE AWARD | DESCRIPTION | RECIPIENTS | AWARD |
|---|---|---|---|---|
| **PRESTIGE AWARDS** | Research Department of the Year: 3rd (Bronze) | Department that produced the third most units per capita (including research fellows), combining postgraduate and research outputs | Educational Psychology<br>Graduate Output 1.70<br>Research Output 0.17<br>Total 1.87<br>Average – 0.94 | Floating + sand blasted trophy |
| | Research Department of the Year: 2nd (Silver) | Department that produced the second-most units per capita (including research fellows), combining postgraduate and research outputs | Biochemistry and Microbiology<br>Graduate Output 1.43<br>Research Output 1.05<br>Total 2.48<br>Average – 1.24 | Floating + sand blasted trophy |
| | Research Department of the Year: 1st (Gold) | Department that produced the most units per capita (including research fellows), combining postgraduate and research outputs | Chemistry<br>Graduate Output 1.20<br>Research Output 3.23<br>Total 4.43<br>Average – 2.22 | Floating + sand blasted trophy |

## Technology Transfer Awards for 2016/2017
*Technology Transfer Fund – KZN Province Economic Development, Tourism and Environmental Affairs Award = R1 100 000*

Recipients:
- Prof. U. Kolanisi (Consumer Studies)
- Prof. N. Revaprasadu (Chemistry)
- Dr P. Mudali (Computer Science)

### Seed Fund – Technology Innovation Fund (TIA)
*Award = R1 000 000*
Recipients:
- Prof. T. Motaung (Chemistry)
- Dr L. Linganiso (Chemistry)

### Innovation Bridge – Technology Innovation Fund (TIA) Award = R94 000
Recipient:
- Technology Transfer Unit (Research Office)

Condition: To support participants in the 2017 Innovation Bridge (South Africa's Technology Showcase and Matchmaking Event)

## SA JINR 10-year Review Forum
On 28 and 29 November, UNIZULU was invited to send a representation into a review of a decade-long Nuclear Physics collaboration with the Russian leader in the field – the Joint Institute for Nuclear Research (JINR) – who collaborates with the DST and the NRF in advancing nuclear physics research at iThemab Labs in the Western Cape. The Director of Research Prof. Mlitwa represented the University in this event. UNIZULU is an important stakeholder in this initiative as it has all its PhD students in those facilities.

The review yielded positive evaluations that suggest a need, not for a continuation, but an advancement for the current collaborative arrangements.

## KZN-RO-TT Annual Seminar
On 5 October 2016, the UNIZULU representatives to Prof. Mlitwa and Nomnikelo Lundall facilitated the annual seminar on Technology Entrepreneurship at its offices at the University of KwaZulu-Natal, Durban campus. KwaZulu-Natal Regional Office on Technology Transfer (KZN-RO-TT) is a collaborative structure and a mandated regional office to support technology transfer activities among research institutions within the KZN. The main process entailed facilitation of various research projects that had been presented by researchers across local universities – for ED TIA funding. The event resulted in at least four UNIZULU projects receiving seed funding of a combined sum of R1.2m.

## DHET Visit to UNIZULU – on a Research Capacity Development Grant Brief
On 11 October, Research and Innovation, jointly with Teaching and Learning units, hosted the DHET representatives for a briefing on amendments in the format of Research Development as well as on the Teaching Development grants. A new format, renamed as the University Capacity Development Grant (UCDG), combines both grants. It takes effect at the beginning of 2017, phased in over a 12-month period.

## Selection of a UKZN-RO-TT Commercialisation Specialist
On 12 October, the Director and IP+TT Unit of the Research Office hosted the KZN-RO-TT partners to undergo a selection of a technology commercialisation specialists to support all local institutions on technology transfer entrepreneurship advancement matters. The event took place at the Research Office.

### EPE Workshop – Rhodes University

On 17-21 October 2016, the DVC and Director of Research attended a workshop on the project Enhancing the Postgraduate Environment (EPE). This was in compliance with the requirement of this EU Mundus funded collaborative project (UNIZULU and five European and six South African universities). The focus of the workshop was to plan collaborative activities and deliverables under the project – by groups as well as individual institutions – on various measures to improve capacity in the postgraduate space.

### Meeting with Post-doctoral Fellows

The DVC and the Research Office met all Post-doc Fellows on 24 October – to understand their working conditions, concerns and achievements – and ultimately responsibilities. The meeting offered a better insight on how to meet their expectations, and also to improve their productivity.

### TIA Bio-Fuels Meeting

On 27 October, the Director of Research, together with the IP+TT Unit, hosted representatives of KZN Bio-Fuels, under the leadership of the coordinator Mr Sani Gumede. The meeting was attended by the UKZ-RO-TT, with the focus on exploring a possibility for UNIZULU to host a bio-fuels incubator initiative. The meeting culminated in the invitation of the national Bio-fuels Incubator CEO Mr Charles Siphugu to visit the UNIZULU research leadership early in 2017. Common ground was reached to suggest a positive way forward. Both teams are working on background logistics to facilitate a mutually beneficial partnership in due course.

### Visit to the KZN Office of the Premier Advisory Group

On 28 October, the Director of Research was advised to attend a brainstorming session on the challenges related to #FeesMustFall, which tend to befall higher education institutions at delicate times. Universities cannot afford to wait for crisis situations before remedial actions can be sought. A recommendation was that higher education institutions were to nominate representatives to the team that seek pro-active solutions. UNIZULU has since been engaged in these typical consultations.

### Hosting EMISHA Representatives

Subsequent to the workshop on another mandatory EU Mundus project workshop (attended by the DVC) at NMMU on 15 to 18 November, on 21 November UNIZULU hosted the EU representatives of the project on campus. The guests wanted to meet leading researchers, introduce the collaborative project, and understand the needs of the UNIZULU research community with the view to inform relevant interventions. The visit led to an agreement to work towards an entrepreneurship promoting collaborative initiative between UNIZULU and its multi-institutional collaborators on this project. Logistical work to facilitate the initiative is ongoing.

## SIGNIFICANT DEVELOPMENTS AND ACHIEVEMENTS IN COMMUNITY ENGAGEMENT

The UNIZULU Strategic Plan places community engagement at the centre of other core responsibilities of the University. The following community engagement initiatives took place during the year under review:

### Faculty of Commerce Administration and Law

The Accounting and Auditing staff participated in eight motivation and information dissemination seminars attended by at least 24 schools and over 3 000 learners and educators from rural schools in the Northern KwaZulu-Natal region. The seminar initiatives are organised by the South African Institute of Chartered Accountants (SAICA), through local circuits of the Department of Basic Education who arranged these events for school learners interested in pursuing accounting as a career. The Accounting and Auditing Department also do the audit of the Holy Cross Hospice, its Créche and its Bishops Fund. Prof. Livingstone forms part of the SAICA Aptec Committee while Ms Sangweni is on the SAICA National Education Committee. The Zululand District Association of SAICA organised a panel discussion on Auditing on 7 March 2016.

The Legal Aid Clinic continues to offer legal services to the community. The Free Legal Advice Day invites community members to receive free legal advice. The Law Department has a close working relationship with the Black Lawyers Association, and publishers Lexis Nexis and Juta give training to communities to have access to legal resources.

Enactus UNIZULU has been involved in numerous projects involving the immediate community with some degree of success in each of them. The solutions provided for these community projects were a joint effort between these community members and the Enactus team, headed by Mrs Magigaba, the HOD for Business Management. Mrs Magigaba takes the lead in community engagement in the Business Management Department. She has been a coordinator of these projects and has trained community members regarding business planning and other business related activities. The following are the outstanding achievements for 2016:

**Isiqalo Sempumelelo Project**

This project aimed to empower black women to market indigenous food, which would in turn create job opportunities and alleviate poverty. Therefore, Isipho Sethu Multipurpose Cooperative was established to achieve the goal of preserving indigenous food. One of the objectives was to register the cooperative legally, therefore improving access to funding. Workshops and training programmes were conducted with the community, and included aspects of business, the preparation of food and customer service management. A mobile kitchen worth R35 000 was sponsored with the help of the Enactus team. Since the registration of the business, proper records are now being kept in accordance with accounting methodology. Therefore, this project met its objectives and is thriving as the profit of this entity rose from R8 850 in 2015 to R22 800 in 2016 – an increase of more than 100 .

**The Maritime Project**

There is a huge illegal fishing problem in the district where this project is based. This project was launched in order to protect the fish population and to simultaneously improve the lives and the standard of living in the community. The Sofoco Fish Farm was created with this in mind. This farm aimed to focus on the breeding of edible freshwater fish for commercial purposes. The Enactus team worked closely with Mr Ngema, the business owner of the fish farm, to enable it to become a major employer in the area. Moreover, the Enactus team assisted Mr Ngema to introduce new farming methods and to successfully acquire a R6 million grant from the Department of Trade and Industry.

**The Ithubalethu Project**

The high levels of unemployment in communities surrounding the University, coupled with the need to empower and skill black females, inspired the creation of this project. With large tracts of fertile land surrounding these communities, it was identified during the initial stage of a needs analysis that it could be used for farming vegetables, and indigenous ones at that. Furthermore, the aim was not merely to farm and sell these vegetables directly, but also to process these vegetables into secondary food products such as vegetable achar, sweet potato juice and other nutritional products. Also, these community members were assisted in producing and catering indigenous foods. The ambition of this group of community entrepreneurs was to eventually establish an indigenous restaurant and a processing factory for secondary products. With the intervention of Enactus, these entrepreneurs were given training in food processing and business skills. These members were taken to an agro-processing plant. Quality testing was done and SABS standards of quality were

met. Barcoding and packaging was finalised with distribution networks and retailers came on board. From a profit of just R8 000 a month, this community's profit jumped to a whopping R55 400 a month, which was an enormous leap.

## Faculty of Education

In 2016, the Faculty of Education started a community engagement project on the theme: Creating Sustainable Learning Environment in Selected Schools at uThungulu District of the KwaZulu-Natal Province: A Multi-Stakeholder Engagement Approach. The project's aim was to address the educational challenges in the uThungulu District by developing a community-based model that would improve the learning environment, academic performance, and overall health and wellness of learners and staff in the dysfunctional rural community schools. This project was a response to the matric pass rate, which had been declining for the past four years. The DBE (uThungulu District) identified eight schools that formed part of the project, namely Qantayi High School, Hlamvana High School, Ikhandlela High School, Ntongande High School, Isitheku High School, Yanguye High School, Mthonjaneni High School and Mnyakanya High School.

The project assisted learners, the majority of whom came from disadvantaged communities in the uThungulu District, to improve their chances of success in the National Senior Certificate (NSC) examinations. Between April and May 2016, the eight schools were visited by a team of UNIZULU academics for conversations with the School management teams and teachers to understand their contexts (challenges, successes, strengths and areas of development). Lecturers, together with a group of 55 volunteer students from the University, went out to these schools to provide tuition on various subjects during winter holidays (27 June to 8 July 2016). Subjects taught included Accounting, Mathematics and Physical Science, English, Life Sciences and Geography. Third-year, fourth-year, Honours, Masters and Doctoral students at UNIZULU form the core of this team.

The team started by collecting baseline data through accessing the experiences of the teachers regarding the teaching and learning of Accounting, Mathematics and Physical Science, English, Life Sciences and Geography subjects. Prof. Sibaya, Prof. Maphalala and Prof. Kutame led these visits, accompanied by academic staff members.

## Faculty of Science and Agriculture

The Faculty of Science took the following community engagement initiatives in 2016:

- Prof. Zharare in the Department of Agriculture set up a community engagement project with

Mrs Bertina Ponjane in Nseleni to improve her recipes for fruit juices, jam and sweets made from indigenous fruit.

- Dr Mostert in the Department of Botany presented a lecture to Felixton College Grade 12 students on human evolution and a plant identification course to the Zululand Dendrological Society at St Lucia in 2016.
- The Department of Consumer Science arranged a workshop where five community members of KwaDlangezwa were trained on hygiene and safety and meal planning in preparation for the Exhibition at BRICS Indigenous Knowledge Systems' Conference held in Durban hosted by UKZN in 2016. The Department is also part of the KZN Vulnerability Assessment Committee (VAC).
- The Department of Human Movement Science hosted a UNIZULU Student Wellness Day on 9 November 2016 at the KwaDlangezwa campus. The event included informative health presentations and physical assessments (body mass index (BMI), skinfolds, blood pressure) for students.
- The Department of Hydrology improved student participation in a Water Research Council (WRC) Project that gave them skills that are not normally acquired through the departmental teaching process. The success of student involvement and participation in the WRC Project resulted in the Hydrological Research Unit (HRU) taking responsibility for managing another WRC Project (K5/2541: The Development of a Bayesian Model of Ecosystem and Estuary Mouth Dynamics for the Temporary Open/Closed Estuaries (TOCEs). To date, three MSc students are involved together with 13 BSc Honours Hydrology students.
- The Department of Computer Science naturally interacts with the community through the energy-efficient wireless mesh network research endeavour. The Department works with Telkom and Huawei, ARMSCOR and CSIR.

The Faculty of Science collaborates with the US through the Appalachian University on Solar Photovoltaics (PV). The Christopher Meyer Mathematics and Science Centre at Mseleni in Manguzi was identified as a rural community that would benefit from the collaboration. A visit to the science centre was made to assess existing structures, energy requirements, to establish available energy (electrical) services and the problems the community face. The Appalachian team will design the required Solar PV system using acquired information on existing resources. UNIZULU will source equipment after assessing requirements for the designed system and is investigating the policy and regulatory requirements for the installation of a Solar PV system. The UNIZULU team is also sourcing students who will volunteer to teach Maths and Science in the Science Centre.

## LIMITATIONS IN TEACHING AND LEARNING AND RESEARCH

### Limitations on Access to Certain Courses in all Faculties

There were limitations on access to certain courses in all four faculties in three categories: infrastructure, student academic requirements and available programmes. Lack of facilities included venues for lectures and tutorials, as well as student computer and internet wireless access, added to the challenges of meeting the strategic goals. It is noted that the majority of the Honours and Masters students in Economics originate from the foundation programme. The lack of senior academic staff in some departments hindered the development of postgraduate studies. The number of Foundation Programmes is too low.

The Faculty of Education experienced the following specific limitations:

- There was a slight decline in the academic staff vacancy rate, however, the vacancy rate is still high, forcing the Faculty to use secondary appointments in many modules.
- The venue for the B Ed (ECE and FP), which is meant to prepare students for teaching in Grade R and Grades 1-3, is still a challenge, although the equipment has been purchased. Grade R requires a specific classroom layout to ensure play and discovery learning.

The Faculty of Commerce, Administration and Law experienced the following specific limitations:

- In the Writing Centre, all materials and equipment are manually circulated and recorded; an electronic system will make the issuing of material more accurate and time effective; and
- Internet access is still not readily available in all the venues and this appears to be due to the loss of cables, which is vital if lecturers want to have direct access to a site that is relevant to their module.

The Faculty of Science and Agriculture experienced the following specific limitations:

- The minimum requirements for access to Science, Engineering and Technology are higher than can be met by the majority of students of the University.

The Faculty of Arts experienced the following specific limitations:

- Large number of students per lecturer, staff shortages leading to heavy teaching loads, and the use of traditional teaching methods;
- Some of the dedicated computer laboratories in the Library are outdated and a large number of the machines have become unusable, making effective teaching of ICT related modules a challenge;
- Inadequate teaching space and teaching resources such as music instruments, props and other equipment to facilitate the teaching of various modules offered in the Creative Arts Department; and
- The Department of Creative Arts faces staffing challenges because the academic programme requires specialisations and there are few people with appropriate qualifications to fill the vacant positions.

### Limitations on Research

The following challenges have remained persistent, suggesting a need for continuous (and increased) efforts:

- Limited supervision capacity
- Low publication statistics
- Poor proposal writing capacity
- Limited grant proposal writing capacity
- Budget constraints

Strategies and more resources need to be invested in ensuring that these problems are addressed. The Training and Development Unit is continuously trying to develop and improve programmes to address some of these challenges. Limited resources, limited staff with PhDs and human capacity contribute to these complexities. Unless alternative interventions are secured, a reduced budget, which is a fraction of the required budget to effect all the planned training programmes, may force a cancellation of many crucial events planned for the training of postgraduate students and academics over the 2017 academic year. Several research projects that have disclosed, and are being supported by the Technology Transfer Office, have no funding at present.

## COMPOSITION AND SIZE OF THE STUDENT BODY

The University's Enrolment Plan had caused the University not to grow in numbers, but rather to restructure its enrolments and, in particular, to strive towards increasing its intake of students in the Natural and Business Sciences, while limiting its intake of students in the Humanities, and, even more so, in Education.

Student registration trends up to 2016 include the following, among others:

- The overwhelming majority of students are officially classified as South Africans, followed by relatively small numbers of foreigners and the South African minority groups.
- Female students outnumber male students by a ratio of nearly 2:1.

Although statistics in respect of the official category of less abled students are not recorded to the same extent as those of other students, the University has made provision for this category of students to be represented on the SRC and the Institutional Forum, elected by fellow students falling under the same category.

*Unless alternative interventions are secured, a reduced budget, which is a fraction of the required budget to effect all the planned training programmes, may force a cancellation of many crucial events planned for the training of postgraduate students and academics over the 2017 academic year.*

Tables 28-34 illustrate student size and composition of the student body according to the level of study, race, gender and graduation statistics.

| Table 28: Student Size and Composition according to the Level of Study | | | | | | |
|---|---|---|---|---|---|---|
| LEVELS OF STUDY | 1 | 2 | 3 | 4 | 5 | TOTALS |
| UNDERGRADUATES | | | | | | |
| Faculty: Arts | 1 042 | 1 231 | 1 577 | 225 | | 4 075 |
| Faculty: Commerce, Administration and Law | 1 065 | 1 293 | 1 177 | 214 | | 3 749 |
| Faculty: Education | 1 080 | 1 116 | 1 392 | 1 527 | | 5 115 |
| Faculty: Science and Agriculture | 1 036 | 869 | 750 | 219 | | 2 874 |
| Faculty: Other/NDP | | | | | | Nil |
| Totals: | 4 223 | 4 509 | 4 896 | 2 185 | Nil | 15 813 |
| POSTGRADUATES | | | | | | TOTALS |
| Faculty: Arts | 295 | 244 | | | | 539 |
| Faculty: Commerce, Administration and Law | 167 | 49 | | | | 216 |
| Faculty: Education | 604 | 206 | | | | 810 |
| Faculty: Science and Agriculture | 182 | 132 | | | | 314 |
| Faculty: Other/NDP | | | | | | Nil |
| Totals: | 1 250 | 630 | Nil | Nil | Nil | 1 879 |
| TOTAL UG and PG | | | | | | TOTALS |
| Faculty: Arts | 1 338 | 1 475 | 1 577 | 225 | | 4 614 |
| Faculty: Commerce, Administration and Law | 1 233 | 1 342 | 1 177 | 214 | | 3 965 |
| Faculty: Education | 1 684 | 1 322 | 1 392 | 1 528 | | 5 925 |
| Faculty: Science and Agriculture | 1 218 | 1 001 | 750 | 219 | | 3 188 |
| Faculty: Other/NDP | | | | | | Nil |
| Totals | 5 472 | 5 139 | 4 896 | 2 185 | Nil | **17 692** |

| Table 29: Students Size and Composition according to Gender and Race | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| **GENDER AND RACE** | WHTM | WHTF | COLM | COLF | INDM | INDF | BLKM | BLKF | **TOTALS** |
| UNDERGRADUATES | | | | | | | | | |
| Faculty: Arts | | | 1 | 5 | 1 | | 1 471 | 2 597 | **4 075** |
| Faculty: Commerce, Administration and Law | | | 5 | 9 | 4 | 9 | 1 782 | 1 940 | 3 749 |
| Faculty: Education | | | | 2 | 1 | 3 | 2 082 | 3 027 | 5 115 |
| Faculty: Science and Agriculture | 1 | 3 | | 3 | 5 | 15 | 1 203 | 1 644 | 2 874 |
| Faculty: Other/NDP | | | | | | | | | Nil |
| Totals | 1 | 3 | 6 | 19 | 11 | 27 | 6 538 | 9 208 | 15 813 |
| POSTGRADUATES | | | | | | | | | **TOTALS** |
| Faculty: Arts | 2 | 3 | | | 2 | 8 | 254 | 270 | 539 |
| Faculty: Commerce, Administration and Law | 3 | 1 | 1 | | | 3 | 116 | 92 | 216 |
| Faculty: Education | | 1 | | | 3 | 4 | 276 | 526 | 810 |
| Faculty: Science and Agriculture | 7 | 10 | | 1 | 2 | 6 | 141 | 147 | 314 |
| Faculty: Other/NDP | | | | | | | | | Nil |
| Totals: | 12 | 15 | 1 | 1 | 7 | 21 | 787 | 1 035 | 1 879 |
| Total UG and PG | | | | | | | | | **TOTALS** |
| Faculty: Arts | 2 | 3 | 1 | 5 | 3 | 8 | 1 725 | 2 867 | 4 614 |
| Faculty: Commerce, Administration and Law | 3 | 1 | 6 | 9 | 4 | 12 | 1 898 | 2 032 | 3 965 |
| Faculty: Education | | 1 | | 2 | 4 | 7 | 2 358 | 3 553 | 5 925 |
| Faculty: Science and Agriculture | 8 | 13 | | 4 | 7 | 21 | 1 344 | 1 791 | 3 188 |
| Faculty: Other/NDP | | | | | | | | | Nil |
| Totals | 13 | 18 | 7 | 20 | 18 | 48 | 7 325 | 10 243 | **17 692** |

## OUTPUTS PRODUCED

Undergraduate and postgraduate degrees diplomas/certificates awarded in 2017 (2016 cohort) are contained in the tables below:

| Table 30: Graduation Statistics (Overall by Gender – both Undergraduate and Postgraduate) | | | | | |
|---|---|---|---|---|---|
| **FACULTY NAMES** | FEMALES | MALES | TOTAL | FEMALES | MALES |
| Faculty of Arts | 748 | 441 | 1 189 | 63 | 37 |
| Faculty of Comm, Admin and Law | 394 | 421 | 815 | 48 | 52 |
| Faculty of Education | 1 040 | 616 | 1 656 | 63 | 37 |
| Faculty of Science and Agric | 355 | 252 | 607 | 58 | 42 |
| Totals | 2 537 | 1 730 | 4 267 | 59 | 41 |

| Table 31: Graduation Statistics (Percentage and Figures of Male/Female Graduates – overall) | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| FACULTY NAMES | UNDERGRADUATE | | | | POSTGRADUATE | | | | TOTAL |
| | FEM | FEM | MALE | MALE | FEM | FEM | MALE | MALE | |
| Faculty of Arts | 670 | 56 | 377 | 32 | 78 | 7 | 64 | 5 | 1 189 |
| Faculty of Comm, Admin and Law | 342 | 42 | 365 | 45 | 52 | 6 | 56 | 7 | 815 |
| Faculty of Education | 703 | 42 | 450 | 27 | 337 | 20 | 166 | 10 | 1 656 |
| Faculty of Science and Agric | 273 | 45 | 194 | 32 | 82 | 14 | 58 | 10 | 607 |
| Totals | 1 988 | 47 | 1 386 | 32 | 549 | 13 | 344 | 8 | 4 267 |

| Table 32: Graduation Statistics (Percentage of Male/Female Graduates – overall) | | | | | |
|---|---|---|---|---|---|
| FACULTY NAMES | UG FEMALES | UG MALES | PG FEMALES | PG MALES | TOTAL |
| Faculty of Arts | 56 | 32 | 7 | 5 | 1189 |
| Faculty of Comm, Admin and Law | 42 | 45 | 6 | 7 | 815 |
| Faculty of Education | 42 | 27 | 20 | 10 | 1656 |
| Faculty of Science and Agric | 45 | 32 | 14 | 10 | 607 |
| Totals | 47 | 32 | 13 | 8 | 4267 |

| Table 33: Graduation Statistics (Percentage of Males and Females per Faculty – Doctoral Graduates) | | | | | |
|---|---|---|---|---|---|
| FACULTY NAMES | FEMALES | MALES | TOTAL | FEMALES | MALES |
| Faculty of Arts | 10 | 12 | 22 | 45 | 55 |
| Faculty of Comm, Admin and Law | | 3 | 3 | 0 | 100 |
| Faculty of Education | 3 | | 3 | 100 | 0 |
| Faculty of Science and Agric | | 4 | 4 | 0 | 100 |
| Totals | 13 | 19 | 32 | 41 | 59 |

| Table 34: Graduation Statistics (Percentage of Males and Females per Faculty – Masters Graduates) | | | | | |
|---|---|---|---|---|---|
| FACULTY NAMES | FEMALES | MALES | TOTAL | FEMALES | MALES |
| Faculty of Arts | 14 | 13 | 27 | 52 | 48 |
| Faculty of Comm, Admin and Law | 3 | 7 | 10 | 30 | 70 |
| Faculty of Education | 15 | 5 | 20 | 75 | 25 |
| Faculty of Science and Agric | 17 | 10 | 27 | 63 | 37 |
| Totals | 49 | 35 | 84 | 58 | 42 |

# THE LIBRARY

The UNIZULU Library and Information Services (UNIZULU LIS), under the Directorship of Ms Laila Vahed, had 41 full-time permanent staff members during 2016. UNIZULU LIS includes a Main Library at the KwaDlangezwa Campus and a Branch Library on the Richards Bay Campus.

## Materials Budget

The materials budget for 2016 amounted to R19 327 million, split as follows:

| Table 35: Materials Budget (R) | |
|---|---|
| Print Journals | 3 800 million |
| e-Resources | 9 150 million |
| Faculty of Arts | 1 000 million |
| Faculty of Education | 340 000 |
| Faculty of Commerce Admin and Law | 600 000 |
| Faculty of Science and Agriculture | 1 150 million |
| Library General | 3 287 |
| Total | 19 327 |

## Library Workshops 2016

As a part of the User Education Programme, information librarians offered workshops to UNIZULU academics and students on various topics, e.g. plagiarism, Endnote, etc. They also took part in postgraduate induction programmes for the faculties by facilitating library workshops, e.g. Faculty of Human and Social Science postgraduate students (Feb-Aug); Faculty of Science and Agriculture (Mar-Apr); and Faculty of Commerce, Administration and Law (by special arrangements). The Faculty of Education made some progress by arranging with the library to organise training for the postgraduate and undergraduate students. It is important to note that the partnership between the library and the faculty is crucial for successfully reaching the students. Students were very appreciative (based on their evaluation forms) to the library for organising such training workshops. One-hundred-and-eighty-eight undergraduate students, including Richards Bay campus, attended plagiarism, Mendeley and e-Resources training.

## Library Presentations

Information Librarians continuously market UNIZULU library services/resources/facilities to the researchers, academics, postgraduate and undergraduate students.

*It is important to note that the partnership between the library and the faculty is crucial for successfully reaching the students.*

| Table 36: Library Presentations | | | |
|---|---|---|---|
| **EVENT** | **TITLE** | **STAFF** | **DATE** |
| Research Writers Retreat Workshop – Jozini | Advancing research support at UNIZULU Library: with special focus on publishing | L. Ocholla | 1/2016 |
| Addressing first-year students | What you need to know about Library Orientation | L. Ocholla, G. Mutsvunguma, B. Nkuhlu, Z. Sithole, B. Ntuli, Z. Hadebe | 1-2/2016 |
| UNIZULU new staff Induction for academics – Empangeni | Teaching, learning and research support @ UNIZULU Library | L. Ocholla | 2/2016 |
| Induction for new academics: Faculty of Law, Commerce and Administration Board Meeting – UNIZULU | Teaching, learning and research support @ UNIZULU Library | G. Mutsvunguma and Z. Sithole | 4/2016 |
| UNIZULU Induction for PG Students – UNIZULU | Research Support at UNIZULU Library | L. Ocholla and Information Librarians | 4/2016 |
| LIASA Seminar – Pietermaritzburg | Support or Partnerships: UNIZULU librarians and researchers | L. Ocholla | 4/2016 |
| UNIZULU New Staff Induction – UNIZULU | Teaching, learning and research support at UNIZULU Library: an overview of library resources/facilities/services for the new academics and support staff | L. Ocholla | 4/2016 |
| Strengthening Doctoral Supervision Workshop, Empangeni | Advancing research support @ UNIZULU Library | L. Ocholla | 25/5/2016 |
| Crimea 2016 Conference, Russia | The new roles of university libraries in supporting scholarly communication and research: A South African university library perspective | L. Ocholla | 4-12/6/2016 |
| LIASA HELIG, Durban Information Literacy Day | Information literacy @ University of Zululand | L. Ocholla | 15/7/2016 |
| 17th Information Studies (IS) Annual Conference, Richards Bay | Paper presented: Information and Communication Technology for Indigenous Knowledge Management in KwaZulu-Natal Province, South Africa | P. Dlamini | 7/9/2016 |
| Workshop for Postgraduate Students, Richards Bay | Research support at UNIZULU Library | P. Dlamini | 22/9/2016 |
| LIASA Conference, ICC, Durban | Paper presented: Can Library Information/Client Services Make a Difference in Teaching, Learning and Research in a University?: A Case Study of University of Zululand | L. Ocholla, G. Mutsvunguma, Z. Hadebe, B. Ntuli | 5/10/2016 |
| Faculty of Arts Conference | Research support at UNIZULU Library | G. Mutsvunguma Z. Hadebe | 19-21/10/2016 |

## Cataloguing 2016

The total number of the catalogued items was 1 047 compared to the previous year (2015), which was 4 763. The drop is due to the changed procurement policy. Since February 2016, the original cataloguing is done with RDA on the OCLC platform.

## Library Displays

Information librarians organised library displays according to their timetable reflecting institutional, national and international events; promoting library products, services and resources; and creating awareness on special issues among the library users throughout the year. Mrs L. Ocholla coordinated with the IS Department students' displays as a part of WIL, which successfully supplements information librarians' efforts.

## Holdings

The print books and multimedia holdings amounted to 306 708 volumes at the KwaDlangezwa Campus Library and 1 998 at the Richards Bay Campus Library. The increased spend on journals and e-resources was also due mainly to the unfavourable rand value, which put pressure on University budgets as most materials originate in US dollars, Euro or Pound currencies. There were no additional titles for the year under review. UNIZULU continues to benefit financially from its association with the eastern seaboard Association of Libraries (esAL) as well as the South African Library and information Consortium (SANLiC), which works to negotiate pricing deals for the higher education sector for electronic subscriptions. The 'cost-avoidance' impact from UNIZULU'S liaison with SANLiC cannot

be underestimated. During 2016, the subscriptions consisted of 96 print titles and 87 electronic resource packages.

## The Institutional Repository

The institutional repository received 63 theses and dissertations in 2016. The repository continued to flourish with over 602 349 item views during the year under review. Top country views include: United States of America, China, Ukraine, Germany, Russian Federation, Japan, United Kingdom, France, Netherlands and Italy.

## Research Commons

The Research Commons Librarian undertook the training of postgraduates/researchers, which were mostly walk-in on a one-on-one basis. These were mainly centred on Endnote, ORCID, Turnitin and electronic resources. Research profiles were created for 21 researchers.

## Facilities

The library occupies the major part of a seven-storey building, constructed in 1980, two of which are under ground level. The interior of the building is relatively well preserved but needs to be upgraded in order to remain relevant. The replacement of the flooring was completed in 2016. The exterior is in serious need of repair as the cladding is deteriorating at a rapid pace. Delaying attention to this could cause increased expense and/or danger to persons in the vicinity as pieces of the cladding fall. The Info Cellar is located on Level 1 (one floor below the Circulation Section). It is a comfortable and convenient environment for learning and research for all UNIZULU Library users. The Info Cellar offers a variety of library services, including the Journals Section's current and bound back issues of print journals. The Inter Library Loans section is also housed in this area. The area comprises 18 seats with PCs plus 40 personal laptop/device seats with charging points and access to Wi-Fi.

| Table 37: Library Facilities | | |
|---|---|---|
| Seating capacity | 1 600 | 9% of student population |
| Seminar rooms | 12 | Used for group study |
| Cubicles | 80 | Used for individual study |
| Electronic classrooms | 2 | 1 on loan to the Department of Library and Information Studies 1 available for Library meetings events and training. Seats 30 students but 20 operational PCs |
| Conference room | 1 | Capacity: 40 persons available for UNIZULU staff events |
| Committee room | 1 | Available for Library meetings, events and training |
| Student lockers | 312 | 1.7% of student population |
| Info Cellar | 1 | Modern and comfortable area seating 58 users to browse print and electronic materials |
| Research Commons | 1 | 30-seater facility, designated exclusively for masters and doctoral students and researchers |

## Work Integrated Learning (WIL) (including displays)

Under the leadership of the Deputy Director, the Library hosted final-year students of the Department of Library and Information Studies in terms of their WIL programme. A total of 23 students were placed in different sections of the Library on a rotational basis over a period of 15 weeks during the second semester of 2016. During the final semester 2016, second-year students used the Library to erect displays that were for assessment purposes, and were commended for their efforts.

## Accolades

The Director was awarded the prestigious LiASA Librarian of the Year Award for 2016. The Deputy Director obtained her PhD in Knowledge Management.

*The Director was awarded the prestigious LiASA Librarian of the Year Award for 2016 and the Deputy Director obtained her PhD in Knowledge Management.*

## ACADEMIC RISKS

The University's identified risks in respect of Teaching and Learning as well as Research is outlined in Table 79 in the Risk Report.

## CONCLUSION

In conclusion, developments in Teaching and Learning (T&L), as well as activities and related milestones in Research and Innovation (R&I) suggest that 2016 was a year of notable progress and growth in UNIZULU's academic work. As a basis, about 16 894 (15 305 undergraduate and 1 589 postgraduate) students were registered across the faculties of Arts, Commerce, Administration and Law (CAL), Education, and Science and Agriculture at UNIZULU in 2016. The Education Faculty remains the largest, with 5 771 (5 132 undergraduate and 639 postgraduate) students, followed by Arts, with 4 639 (4 083 UG and 556 PG), and then CAL with 3 578 (3 435 undergraduate and 143 postgraduate), and finally, Science and Agriculture, with 2 906 (2 655 undergraduate, and 251 postgraduate) students. Over 80% of the students are black, with female students representing over 60% of the total student population at UNIZULU.

Notable developments were put in place in teaching and learning to shape the quality of University offerings in 2016. The Faculties of Education, Arts and CAL initiated curricula changes in their academic structure. Examples include a new postgraduate certificate in Further Education Training in Teaching; in Foundational Phase Teaching; as well as two Bachelor degrees in Foundation Phase Teaching and in Intermediate Phase Teaching (Education). A re-circulation of the Bachelors of Social Work; Psychology; Political Studies and International Studies (Arts); a revision of the BSc in Agriculture (Science and Agriculture); as well as a Higher Certificate in Accounting; and a number of new modules that were added into a B Com Accounting degree in CAL, constitute the rest of the examples. In addition, there was a notable growth in academic progress as measured by the pass rates. For example, the overall pass rate ranges between 70% and 79% between all four faculties. Of utmost significance however, is the final academic throughput. In this instance, a total of 3 861 (3 143 UG; and 718 postgraduate) graduated in 2016. This a selected snapshot in a series of positive development in teaching and learning – to demonstrate positive progress.

A large part of 2016 was marked by a leadership vacuum in the Research and Innovation Unit, however, notable progress was also evident towards the second semester. In addition to the appointment of the DVC: Research and Innovation in August, a number of functions within the Unit continued to strengthen their operational ethos. The accreditation of the UNIZULU Ethics Committee and review process, advanced endeavours to register the Animal Research Ethics (REC) with the National Health Research Ethics Council (NHREC), as well as workshops for awareness of plagiarism marked a positive development towards ethical practice and quality in research in this year. A myriad of capacity development initiatives were also conducted throughout the 2016 calendar year in the form of training programmes for researchers and postgraduate students, with commendable outcomes. An increase in the number of NRF block bursaries for Honours, i.e. an increase from 91 in 2015 to 130 grants in 2016, and an increase from 13 (in 2015) to 18 NRF scholarships for Masters students in 2016, reflect an element of progress. The Research Committee also registered 38 new projects, and funded 27 additional applicants to attend national conferences in 2016. In addition, a substantial number of equipment grants were received by UNIZULU researchers from the NRF in 2016, with a total of the NRF research awards, scholarships and bursaries in excess of R33 506 557.37 recorded in the books for the 2016 calendar year. A number of IP and TT events, together with workshops, patents registrations, training and collaborative partnership, were established. The Research and Innovation Unit was evidently more active in this year, with several international collaborative agreements signed and international workshops held within UNIZULU, and offshore.

A number of awards earned by the UNIZULU research community attests to the growth of research activity among the University's academia.

As indicated under the Community Engagement section, it is also encouraging to see faculties balancing teaching and learning activities, not only with research, but also with impact generating community engagement activities. Finally, that academic throughput in terms of graduations in Honours, Masters and Doctoral programmes continue to reflect an upward trend suggests that the Research and Innovation Unit, and ultimately, the University as a whole, is on a promising path. For this reason, we can conclude that research and innovation, as well as teaching and learning initiatives, reflect a promising start.

**Prof. X. Mtose**
**Vice-Chancellor**

# REPORT OF THE
# INSTITUTIONAL FORUM

## INTRODUCTION

The composition of the Institutional Forum (IF) is contained in section 31(2) of the Higher Education Act, Act 101 as amended, and section 40 of the UNIZULU Statute, namely:

a. Two representatives of the Management Committee appointed by the Vice-Chancellor;
b. Two representatives of Council, elected by Council;
c. Two representatives of Senate, elected by Senate;
d. Two representatives of academic employees elected by the academic employees;
e. Two representatives of administrative and support staff elected by the administrative and support staff;
f. Two representatives of women employed at the University elected by the female employees of the University;
g. Two representatives of students appointed by the SRC;
h. One person (staff member or student) with a disability, elected by the disabled employees and students of the University;
i. Two representatives of the recognised union(s) appointed by the union; and
j. A maximum of three employee or student members, appointed by the Vice-Chancellor after consultation with the Institutional Forum on the basis of their expertise and experience; or
k. In order to represent a specific interest group or groups on campus not already represented in the IF.

The term of office of members of the IF lapsed in September 2016. The outgoing members, however, continued to serve for the majority of the year under review. The composition of the IF that served until September 2016 is contained in Table 38 above.

| Table 38: Composition of the Outgoing Institutional Forum | |
|---|---|
| **NAME** | **CAPACITY** |
| Dr N.R. Ngcobo | Academic Employee (Chairperson) |
| Ms C.M.N. Guma | Women Representative (Deputy Chairperson) |
| Prof. O.M. Ndwandwe | Employee Member |
| Dr J.N. Mashiya | Manco representative |
| Mr Z. Gumede | Manco representative |
| Mr B. Makhathini | Council representative |
| Vacant | Council representative |
| Ms R.T. Phakathi | (Secretary) |
| Prof. J.D. Thwala | Senate representative |
| Prof. D.C. Sibaya | Senate representative |
| Mr S.A. Olivier | Academic employee |
| Mr S.S.S. Mashaba | Union representative |
| Ms N.N. Mbatha | Union representative |
| Mrs N.J. Ngema | Women representative |
| Ms Y.T. Canham | Support staff representative |
| Mr D.E.J. van Rensburg | Support staff representative |
| Vacant | SRC |
| Vacant | SRC |
| Vacant | Disability representative |

A new IF was formally elected and constituted in accordance with the UNIZULU Statute in November 2016 for a two-year period. The newly elected IF comprised the following members:

| Table 39: Composition of the Institutional Forum | |
| --- | --- |
| **NAME** | **REPRESENTATIVE CAPACITY** |
| Ms G. Nhleko | Management representative |
| Mr A. Parusnath | Management representative |
| Mr N.L. Nkwanyana | Council representative |
| Mr E. Dube | Council representative |
| Prof. G.D.F. de Wet | Senate representative |
| Dr N.R. Ngcobo | Senate representative |
| Mr N.Z. Ngwenya | Academic staff representative |
| Dr P.J. Coetzee | Academic staff representative |
| Mr S.J. Mvubu | Administration and support staff representative |
| Mr T. Maphosa | Administration and support staff representative |
| Ms T. Biyela | Women employee representative |
| Ms B.T Mngadi | Women employee representative |
| Mr M. Chiya | SRC representative |
| Ms I.H. Mabaso | Disabled staff and student representative |
| Vacant | Union representative |
| Mr D.E. Janse van Rensburg | VC appointee: Experience and expertise |

In terms of clause 43(1) of the UNIZULU Statute, the IF had to elect a Chairperson, Deputy-Chairperson and Secretary. The elected members are as at 31 March 2017:

- Dr N.R. Ngcobo          Chairperson
- Ms G. Nhleko            Deputy-Chairperson
- Ms T.N. Biyela          Secretary

The Chairperson of the Institutional Forum, Dr N.R. Ngcobo, is a member of Council by virtue of the provisions of clause 18(1)(l) of the UNIZULU Statute.

Clause 45 of the UNIZULU Statute also establishes the Executive Committee of the Institutional Forum (IFEX). The following members form part of and were elected as members of IFEX:

| Table 40: Composition of the Executive Committee of the Institutional Forum (IFEX) | |
| --- | --- |
| **NAME** | **REPRESENTATIVE CAPACITY** |
| Dr N.R. Ngcobo | Chairperson |
| Ms G. Nhleko | Deputy Chairperson |
| Ms T.N. Biyela | Secretary |
| Prof. G. de Wet | Senate representative |
| Mr M. Chiya | SRC representative |
| Mr S. Mvubu | Additional member |

The functions and duties are set out in the Higher Education Act 101 of 1997 as amended, with specific reference to section 31 and the UNIZULU Statute, with specific reference to clauses 39-46. As stipulated in section 31(1) of the Higher Education Act, the institutional forum of a higher education institution must advise the Council on the following issues:

- The implementation of the Higher Education Act and the national policy on higher education;
- Race and gender equity policies;
- The selection of candidates for senior management positions;
- Codes of conduct, mediation and dispute resolution procedures; and
- The fostering of an institutional culture, which promotes tolerance and respect for fundamental human rights.

The IF is a component of the statutory governance structures of a public university and acts as a space for discussion on matters of transformation.

This report presents activities of the IF relative to the above functions.

## ADVISORY INVOLVEMENT

The IF advised Council mainly on the selection of candidates for senior management positions. The following positions were considered by the IF:

### Vice-Chancellor

Presentations were done to the IF members by the shortlisted candidates. The topic of the presentation was as follows: "Share your vision of leading the University of Zululand within the broader Higher Education Environment". Two candidates applied for the position and the IF found one candidate suitable for appointment.

### Deputy Vice-Chancellor: Teaching and Learning

The IF resolved that all three candidates who applied for the position have fulfilled the requirements and found all three suitable for appointment.

### Executive Director: Richards Bay Campus

The IF resolved that the two candidates complied with all the requirements for the position and found both suitable for appointment.

### Executive Director: Finance

Four candidates applied for the position and the IF resolved that all four candidates were suitable for appointment.

The above recommendations were submitted by the IF to Council.

## GENERAL MEETINGS

The IF held two regular meetings and two special meetings during the period under review. The IF attended to the following in its meetings:

- Non-attendance of meetings by some members;
- Processes and procedures of advising the Council on matters as stipulated in the Higher Education Act;
- Concern over reduction in departmental budgets;

- Senior management appointments; and
- Input in the revised Statute.

### Race and Gender Policies

No such policies were submitted to the IF to solicit its advice during the year under review.

### Selections of Candidates for Senior Management Positions

The IF pronounced on the suitability of several candidates for senior management positions.

### Codes of Conduct, Mediation and Dispute Resolution Procedures

Both the Council and the IF have not engaged on this matter during the period under review owing to the lack of processes and procedures. This, however, does not imply that there were no issues to be dealt with in this area.

### The Fostering of an Institutional Culture that Promotes Tolerance and Respect for Fundamental Human Rights and Creates an Appropriate Environment for Teaching, Research and Learning

During the period under review, there was no formal engagement between the Council and the IF regarding the question of fostering of an institutional culture.

## AREAS OF CONCERN

The major area of concern remains the absence of a harmonious relationship between the Council and the IF, including the absence of clearly spelt out communication channels between the two parties.

The lack of advice in key areas spelled out in section 31 of the Higher Education Act as amended, is attributed to the lack of communication channels between the Council and the IF.

**Dr N.R. Ngcobo**
**Chairperson**

# REPORT FROM THE VICE-CHANCELLOR ON
# MANAGEMENT AND ADMINISTRATION

The year 2016 showed progress towards redefining and refreshing the University of Zululand's academic purpose and identity as a comprehensive university in a rapidly transforming society.

## INTRODUCTION

This integrated report presents the results of our efforts as well as our reflections on what we have achieved as the UNIZULU community. This report further highlights managerial/administrative achievements in terms of the plans, goals and objectives set for the period under review; managerial/administrative aspects of the operations of the Institution, including new senior executive/administrative appointments; the achievements of the administrative structures and resources, regarding both personnel and systems; the adequacy of staffing levels; the extent to which equity targets in the workplace have been realised; the quality of information available to management and the administrative processes involved; student services and extra-curricular activities; relationships with the community, both academic and service; the changing patterns in the provision of academic courses; and a statement of self-assessment of the achievement of the Vice-Chancellor in attaining the objectives set for the period under review, with summary detail of realised achievements. The Executive reports in the Annual Report must be read in conjunction with this report as it provides an even broader picture on the management and administration of the University.

## STRATEGIC IMPERATIVES IN 2016 AND SELF-ASSESSMENT

The University has identified six strategic priorities for the period 2016-2021, and these are in line with the Education White Paper of 1997 (DoE, 1997), which emphasises the need to meet skills requirements within a framework of effectiveness and efficiency. The strategic priorities are:

| Table 41: Strategic Goal and Purpose | |
|---|---|
| 1 | Improve governance through enhanced operations to support the academic enterprise and ensure sustainability |
| 2 | Create a quality teaching and learning environment as a comprehensive university |
| 3 | Enhance research and innovation |
| 4 | Enhance the quality and profile of UNIZULU graduates |
| 5 | Develop ways to manage the national, regional and international reputation of UNIZULU |
| 6 | Accelerate infrastructure development |

The strategic vision for 2016-2021 forms part of ongoing exercises needed to unite the University communities and all its stakeholders to redefine and refresh the University of Zululand's academic purpose and identify it as a comprehensive university in a complex and rapidly transforming society. The University continued striving to restore academic excellence and service delivery through consolidating its strategic choices; reinstating excellence in institutional administration, management and governance; infusing academic renewal; and supporting quality enhancement initiatives.

In line with the DHET's reporting requirements, the University submitted the University of Zululand 2016 Annual Performance Plan after it was approved by Council in December 2016. The Annual Performance Plan contains annual targets against which the University performance is measured. The Institution's performance against the annual targets is contained in the Performance Report of this Annual Report.

## Strategic Goal 1: Improve Governance with Enhanced Operations to Support the Academic Enterprise and Ensure Sustainability

The University of Zululand, as a rural comprehensive university, endeavours to promote excellence in administration, governance and its core business through efficient and sustainable systems. Mechanisms developed to ensure compliance and accountability include policy development, implementation and monitoring. The main focus in 2016 was on policy design, review and implementation in all academic, support and governance areas. Integrated human resources management and development, as well as student relations, are crucial to the stakeholders as well as the development of a turnaround strategy for financial management to ensure effective internal financial controls.

Operations have been strengthened by improved transactional efficiency; improved recruitment and retention; the launch of a performance management culture and model; and increased attention to staff well-being and their development through focused and directed staff development programmes.

## Strategic Goal 2: Create a Quality Teaching and Learning Environment as a Comprehensive University

Teaching and learning practices are at the centre of the academic enterprise at UNIZULU. As captured in the Learning: Strategy and Principles, a set of core principles guide UNIZULU as a comprehensive university in terms of excellence in teaching and learning relating to academic staff, graduates, programmes and sites of delivery.

UNIZULU is keen to promote the development of its existing teaching and learning proficiency and quality, with a strong focus on ICT enhanced teaching; scholarship of teaching and learning; the first-year experience; general student support; the pedagogical development of its staff; clearing of unaccredited programmes; partnerships and collaborations; curriculum transformation, including clearing of unaccredited programmes; partnerships and collaborations; and community engagement. The introduction of the First-year Experience Programme as well as the tracking of high-risk modules are vital in addressing low retention, success and throughput

rates. The establishment of a Faculty of Law as well as the achievement of SAICA accreditation remain key areas. UNIZULU will continue to implement best practice approaches to quality enhancement. All the University offerings are now aligned to the HEQSF. Curriculum renewal has included career-focused certificate and diploma offerings taught at the Richards Bay campus. The academic structure was revised and facilitated full academic compliance and created the foundation for online registration.

## Strategic Goal 3: Enhance Research and Innovation

UNIZULU, as a rural comprehensive teaching university, strives to increase its research output, increase postgraduate enrolments and enhance the experience of postgraduate students with renewed focus on community involvement. The restructured Research Plan (2016-2018) seeks to enhance the experiences of academic staff and postgraduate students. The University plans to provide developmental opportunities for junior academics, improve the qualification profile of all staff, especially those without doctoral level qualifications, and set targets to increase the research output of the University to align with DHET's research norms. Focus areas include an increase in the number of researchers, postgraduate qualifications, internationalisation and partnerships and improving the qualification profiles of staff.

## Strategic Goal 4: Enhance the Quality and Profile of UNIZULU Graduates

Curriculum reviews conducted by the Centre for Teaching and Learning seek to ensure that the knowledge content of programmes is both reviewed, made current and localised into the African context to address student needs, industry expectations and society needs, as espoused in the University of Zululand Strategic Plan 2016-2021. Systematic curriculum reviews will advocate rigorous selection of high-level curriculum content; the use of technology and adoption of pedagogies; alignment of learning programmes to qualification-type graduate attributes; and the Higher Education Qualifications Framework. Priorities for UNIZULU remain the identification of high-risk modules; the tracking of students at risk end; the development of mechanisms to report on retention; and progression and throughput of students. Successful processes for 2016 include more than 70 academic vacancies being filled after successful recruitment and retention led to the successful completion of academic promotions, an improved alumni engagement framework and an electronic convocation roll ensured smooth selection of convocation leadership.

## Strategic Goal 5: National and International Reputation Management of UNIZULU

The Empangeni as well as Richards Bay business communities provide students with opportunities for 'learning by doing' through experiential learning. UNIZULU offers opportunities for student exchanges and study programmes through linkages with institutions in Africa and overseas. the US Consulate in Durban informs the Institution of available openings and programmes. Institutions that collaborate with UNIZULU include, among others, Jackson State University, American Councils for International Education, and The Netherlands Organization for International Cooperation in Higher Education (NUFFIC).

An initiative to restructure the executive management team began in 2015 and continued in 2016. Specifically, the following key positions at the University have been filled: Vice-Chancellor; Deputy Vice-Chancellor: Teaching and Learning; Deputy Vice-Chancellor Research and Innovation, Executive Director: Institutional Planning and Executive Director: Richards Bay.

## Strategic Goal 6: Accelerate Infrastructure Development

Key to creating an environment that is conducive to teaching and learning for the needs of students and staff include improvement in the campus infrastructure. The delayed DHET funded infrastructure projects were reactivated with the implementation of the court agreement on previous challenges. The master plan for the KwaDlangezwa Campus provides for major expansion and growth, including a new student venue, student services building, new student residences and multipurpose centre. Campus security has been tightened with security cameras in examination centres and the upgrading of existing CCTV equipment. The ICT Strategy and Framework will guide continuous development, growth and governance of IT at the University. While business continuity and disaster recovery persist as evident gaps in University governance, these will be addressed through policy development and planning. The University achieved noticeable success with Phase II of the online registration implementation because of systems development. The next step would involve Graduation systems that form part of the 2017 online registration plan. Enhancing data management at UNIZULU includes system upgrades, standardisation of hardware and software that will improve value for money, communication and efficiency and the establishment of ICT structures for governance.

## HUMAN RESOURCES MANAGEMENT
### Performance Management

The main objective of performance management is to drive the Institution's growth in order to live its vision of becoming a leading comprehensive university. The University of Zululand adopted a top-down approach in rolling out its performance management system. The first phase started towards the end of 2015, when Executive management went through training on performance management. In 2016, all executives went through a thorough performance assessment process conducted by the University Council. These assessments were evidence-led and directly linked to operational plans and performance contracts signed between each executive, the Vice-Chancellor and the Chairman of Council. In so doing, the University has sent a clear message that it takes its Strategic Plan seriously and plans to introduce a performance management culture across the Institution to help improve performance patterns and guide the UNIZULU community towards the strategic goals of the University. All executives made presentations to Council on their performance contracts and provided evidence of their achievement through structured performance portfolios.

It is expected that in 2017, performance management will be rolled out to the rest of the Institution with a view to identify areas of excellence, staff development needs and new ways to enhance institutional performance. Performance management outcomes could also influence ways through which reward and recognition for good performance is conducted at the University. Divisional operational plans, aligned to the University Strategic Plan as well as to historic frameworks like the CHE Audit Report and various other emerging national imperatives, will be drawn up at the beginning of 2017. Divisional portfolio operational plans will be consolidated into a single institutional operational plan from which contracts for executives and University staff will be derived. While we realise that there is much to do to improve institutional performance, a very coordinated approach focusing on particular areas will help us to prioritise our activities in line with the University Strategic Plan.

### Staffing

A crucial consideration in the success of UNIZULU would be the calibre of its management and leadership. Key appointments place the Institution at the cutting edge of sound corporate governance and management practice, both locally and internationally. The Human Resources Department worked hard to fill the vacancies. After a protracted and intense process of recruiting and selecting, notable appointments for 2016 included:

| Table 42: Executive Appointments | | |
| --- | --- | --- |
| NAME OF EXECUTIVE | PORTFOLIO | ASSUMPTION OF DUTY |
| Professor Xoliswa Mtose | Vice-Chancellor | 1 April 2016 |
| Mr Nhlanhla Cele | Executive Director of Institutional Planning | 1 June 2016 |
| Professor Sandile Songca | Deputy Vice-Chancellor: Teaching and Learning | 1 August 2016 |
| Professor Gideon de Wet | Deputy Vice-Chancellor: Research and Innovation | 1 August 2016 |
| Professor Musi Ndwandwe | Executive Director: Richards Bay Campus | 1 September 2016 |

Assumption of duty by these executives implies that the University is now positioned to execute its strategic plans and goals under the leadership of various executives in each portfolio and area of work. Such leadership is expected to culminate in the development of area-specific strategic plans led by each executive. The three main strategic plans expected to be finalised in 2016/2017 are the University Teaching and Learning Plan; the Research and Innovation Strategy; the University ITC Plan and the revised Enrolment Plan 2017-2019.

As at the end of the Year 2016, the University still had a vacancy rate of 32.90% as a percentage of total staff establishment. Of these, 17.02% were academic posts, ranging from 13.44% in the Faculty of Science and Agriculture; 16.84% in the Faculty of Education; 22.22% in the Faculty of Commerce, Administration and Law; 27.86% in the Faculty of Arts and 4.76% at the Richards Bay Campus. A strategy is in place for 2017 to reduce the recruitment and selection turnaround times. A total of 132 new appointments were made in 2016, 33 full-time academic appointments and 45 full-time professional appointments, six contract appointments (four academic and two professional) and 45 temporary appointments (24 academic and 21 professional).

Having identified challenges in staff recruitment turn-around time, a number of measures have been put in place to shorten the recruitment completion time and recruitment effectiveness to enable faculties to fill vacancies with suitably qualified staff and to retain a competent staff complement. These measures have started to bear some fruit as new members have been appointed. However, given the backlog, there is still a long way to go in recruitment and retention of staff in the scarce skills areas.

## Employment Equity (EE)

UNIZULU, as a designated employer (employing a minimum of 150 or more employees), has prepared and compiled an Employment Equity Plan (EE Plan) and established an Employment Equity and Skills Development Committee with terms of reference approved by Manco. In addition to the Committee, various stakeholders, including heads of faculties and divisions, were consulted in accordance with Sections 16 and 17 of the Employment Equity Act (55 of 1998) with the purpose of setting EE targets and committing to them. The EE Report, which explains the 'as is' regarding employment equity within UNIZULU, will be submitted to the Department of Labour in January 2017. Consultation is ongoing, in order to ensure that all stakeholders within UNIZULU understand the implications of the Employment Equity Act, and what role they need to play.

Seventy percent of the academic workforce are African, 0% Coloured, 10% Indian, 16% white and 4% are foreign nationals.

## Academic Staff Promotions

The table below depicts successful applications for academic promotions in 2016:

| Table 43: Academic Promotions | | | |
| --- | --- | --- | --- |
| NAME OF APPLICANT | FACULTY | FROM | TO |
| Dr M.A.P. Kappo | Faculty of Science and Agriculture | Associate Professor | Professor |
| Dr T.V. Segapelo | Faculty of Science and Agriculture | Lecturer | Senior Lecturer |
| Dr M.S. Mthembu | Faculty of Science and Agriculture | Lecturer | Senior Lecturer |
| Dr N.D. Evans | Faculty of Arts | Lecturer | Senior Lecturer |
| Dr I.S. Kapueja | Faculty of Education | Lecturer | Senior Lecturer |
| Dr S.C.B. Xulu | Faculty of Education | Lecturer | Senior Lecturer |
| Dr S. Govender | Faculty of Education | Lecturer | Senior Lecturer |
| Professor A. Bayaga | Faculty of Education | Associate Professor | Professor |
| Dr P. Pillay | Faculty of Education | Lecturer | Senior Lecturer |

The promotions of academics have contributed to retention and a positive impact on academic staff morale.

## Union Relations

While a staff strike threatened to derail the teaching and learning project for 2016, it was recovered with minor adjustments on the timetable. The greatest accolades for this recovery go to academic staff and students of the University who dedicated extra time beyond the normal call of duty to ensure that teaching and learning, assessment and examinations were fully recovered.

During the 2015/2016 salary negotiations, a number of demands were submitted to University management by NEHAWU. A decision was taken by both NEHAWU and University management that some of the items submitted as demands would not be dealt with during the salary negotiations and, therefore, separated for a later process. As a result, only a Collective Agreement on the general cost of living salary increases was concluded on 8 August 2015. Some of the items appearing on the offer letter were carried over to the later process. Items 3 and 5 were implemented in December 2015. Negotiations on outstanding demands continued for the rest of 2015 and into 2016, but could not be concluded due to extreme differences of opinion and a wide positional gap between management and NEHAWU.

Since July 2016, no agreement has yet been reached on 11 demands tabled by NEHAWU. The union insisted that two demands be addressed first before all others. These are:

- The absorption of staff who were retrenched and subsequently employed by co-operatives that were set up at the time; and
- The re-introduction of an automatic, service related salary notch system to compensate employees for the lack of a progression model, which was terminated by Council resolution in 2001.

The parties deadlocked and the union embarked on industrial action, which has been ongoing since 15 August 2016. Currently, there is a court order (interdict) effectively allowing the University to lock out all union members. A submission has been made to Council seeking approval on management recommendations. The parties continue to engage under the guidance of a CCMA Senior Commissioner.

## TEACHING AND LEARNING

The Teaching and Learning Plan of UNIZULU focuses on the strategic goals 1-4 of the Strategic Plan of the University: improvement of governance through enhanced operations to support the academic enterprise and ensure sustainability, creation of a quality teaching and learning environment as a comprehensive university, enhancement of research and innovation, and enhancement of the quality and profile of the University graduates.

In line with the Teaching and Learning Strategy and Principles, the University recognises that teaching and learning forms the basis for the achievement of all aspects of the academic vision for a comprehensive university. The University has developed a set of core principles for its academic staff, graduates, programmes and sites of delivery in terms of excellent teaching and learning. Central to this, the University focuses on the achievement of academic excellence in the context of a comprehensive university. Teaching and learning strategies and activities that work are required to intersect effectively with research and community engagement, and address low retention, success and throughput rates. Parity of provision across sites of delivery needs to be assured while permitting each to reflect its location and leverage of local opportunities.

The University remains committed to the development of its existing teaching and learning expertise and quality, while introducing improvements and enhancements as part of its continued development. Specifically, it will focus attention on the first-year experience and general student support. It will continue to develop its staff pedagogically and promote the scholarship of teaching and learning, and it will continue to integrate and investigate the effective use of ICTs in teaching and learning. An important focus area is the identification of bottleneck courses and modules, and students at risk, the design and implementation of corrective measures at the student, course and systemic levels.

The University seeks to develop more learning programmes, enrol more students and enhance its footprint in the northern KwaZulu-Natal region. In keeping with this vision of becoming a reputable, comprehensive higher education institute, the University has developed plans as part of its renewal strategy to design and deliver new programmes at the undergraduate diploma as well as degree level, in Engineering, Maritime Studies and Tourism at the Richards Bay campus.

More land to develop the physical infrastructure to cater for these academic programmes was acquired and the University seeks to integrate this with the larger institutional spatial development plans of both the Richards Bay and the KwaDlangezwa campuses. The Bachelor of Science, Bachelor of Consumer Science in Rural Development and Extension and Bachelor of Consumer Science in Hospitality and Tourism programmes were submitted to DHET in October 2016 for approval. The Bachelor of Commerce programme

received accreditation from CHE on 14 December 2016.

As Senate continued to preserve the academic programmes, aligning them with the HEQSF of the CHE, with each of the four faculties continuing to drive transformation of the curriculum, the main foci of the teaching and learning enterprise included the quality enhancement project; restructuring of academic programmes; cleaning of the academic structure; introduction of new programmes responsive to the emerging markets; and revisiting the teaching and learning strategy. The University of Zululand approved, submitted and started to implement its Quality Enhancement Plan and is ready for review by the CHE in each of the four thematic areas: enhancing academics as teachers; enhancing student support and development; enhancing the learning environment; and enhancing course and programme enrolment management.

All planning for the second phase of the quality enhancement project was approved for the two thematic areas of enhancing the curriculum and enhancing and integrating the co-curriculum. Further to recommendation 15 of the HEQC audit that the University of Zululand critically examine the effectiveness of its Teaching and Learning Committee, the terms of reference of the committee were reviewed. In preparation for the institutional site visit by peer reviewers from the CHE, which was scheduled for the 11 October 2016, a workshop was held at Umfolozi Peermont Resort, Empangeni on 30 September 2016. In order to pursue the goal of enhancement of academics as teachers of the quality enhancement project, 11 academic staff members enrolled for the Postgraduate Diploma in Higher Education at the University of KwaZulu-Natal and one staff member enrolled at Rhodes University for the academic year 2016.

Making good use of the teaching development grant from the Department of Higher Education and Learning, carefully planned staff and student development programmes promoted development and enhancement of teaching and learning in order to achieve a desired rise in pass rates, throughput rates, graduation rates and the reduction of dropout rates. The report to the DHET on the teaching development grant was concluded and submitted to DHET. A delegation from the DHET visited the University to outline and explain the new University Capacity Development Grant, which will replace the teaching development and the research development grants. The Centre for Learning and Teaching immediately commenced the processes of writing the proposal for the University Capacity Development Grant. The Vice-Chancellor Excellence in Teaching Awards proposal was finally approved by Senate on 23 June 2016 after several presentations to different internal structures of the University.

## RESEARCH AND INNOVATION

The University of Zululand is committed to the promotion of research as a core university activity and the building of research capacity. Its research strategy recognises the need for research to address local, regional and national and international needs. It seeks ways to engage in a critical dialogue with partners to build research in areas that complement the University's historical niche as an African university, while ensuring internationally recognised excellence.

The University's vision is to be a leading comprehensive university, providing quality education with a mission to produce globally competitive graduates, relevant for the human capital needs of the country, by providing quality education that upholds high standards of research and academic excellence. Within this context, the University's Strategic Plan 2016-2020 states one of its goals as being to conduct research appropriate to a comprehensive university; it wishes to be recognised as a leading institution in applied research.

The University considers research to be an integral part of its mission and strives to develop and maintain a sound academic environment that is conducive for research and innovation. It expects academic staff to undertake research and to supervise postgraduate students and accordingly needs to ensure that staff have the necessary qualifications, skills and attributes to supervise, conduct ethical research and produce quality research outputs that are relevant and which impact on the South African society generally, and in particular, the region in which the University is situated. The research conducted by the University aligns to the vision, mission and values of the Institution, which facilitates and develops a research culture of excellence at individual, group, faculty and research associated entity levels.

The University's research strategy operates at a number of interlinking levels that promotes the development of a culture of scholarly excellence and sustainability in an integrated way through research strategies that focus on the fundamental aspects of scholarly practices.

## STUDENT ENROLMENT

Council approved the introduction of an online registration system in 2016, to be fully implemented by 2020. In order to achieve this, the Office of the Registrar had to drive a programme of academic structure revision to ensure that the academic structure of the Institution corresponded with it's Programme Qualification Mix (PQM) and that the structure was correctly reflected on ITS to enable online registration. Phase I commenced with the selection of 16 first-year programmes (four per faculty) for web-based registration in 2016 after Senate approved the revised

academic structure on 26 October 2016. After the registration of students at the beginning of 2016, the headcount enrolment targets were as follows:

| Table 44: Student Enrolment in 2016 | | |
|---|---|---|
| ENROLMENT TYPES | TARGET | ACTUAL |
| First-time entering undergraduates (FTE) | 3 900 | 3 898 |
| Total undergraduate enrolments | 14 100 | 15 813 |
| Total postgraduate enrolments | 1 825 | 1 879 |
| Total enrolments (undergraduate and postgraduate) | 15 925 | 17 692 |

While the University exceeded its headcount target for undergraduate and postgraduate enrolments in 2016, there was a slight shortfall in FTE enrolments. In the larger scheme of things, the institutional enrolment for the 2016 academic year was in line with the University of Zululand Enrolment Plan 2014-2019 targets agreed upon with the DHET. Over enrolment can largely be attributed to non-exclusion of students already in the system and pressure from the #FeesMustFall campaign.

The headcount enrolments by race and gender are contained in Table 45:

| Table 45: Student Profile by Race and Gender: 2016 | | | | | | |
|---|---|---|---|---|---|---|
| RACE | 2016 | % | MALE | FEMALE | MALE % | FEMALE % |
| African | 17 571 | 99 | 7 328 | 10 243 | 41.7 | 58.3 |
| White | 31 | 0.18 | 13 | 18 | 41.9 | 58.1 |
| Indian | 66 | 0.37 | 18 | 48 | 27.3 | 72.7 |
| Coloured | 27 | 0.15 | 7 | 20 | 25.9 | 74.1 |
| TOTAL | 17 695 | 100 | 7366 | 10 329 | 41.5 | 58.5 |

The University prepared and submitted its mid-term review of the Student Enrolment Plan to the DHET in November 2016. There is a focus on growing enrolment in scarce skills such as Accounting, Science, Mathematics and allied subjects coupled with growth in postgraduate training, while maintaining robust enrolments in teacher development to strengthen the performance of the further education sector in these scarce skills. Faculties made plans to closely manage student enrolment planning as a way of monitoring, evaluating and enhancing course and programme enrolment management.

## STUDENT THROUGHPUT

The University has managed to strike a good graduation balance between undergraduate and postgraduate qualifying students. This implies that the University is contributing to the generation of intellectual capital at all levels in line with its size and shape, and institutional mandate. The University exceeded all its targets as per Table 46.

| Table 46: Headcount Graduations in 2016 | | |
|---|---|---|
| GRADUATION TYPE | TARGET | ACTUAL |
| Undergraduate qualified | 1 948 | 3 374 |
| Postgraduate qualified | 441 | 893 |
| Total graduates (undergraduate and postgraduate) | 2 389 | 4 267 |
| Success rate | 80 | 84 |

Undergraduate degrees diplomas/certificates for 2016 graduates which were awarded in 2017 are contained in the tables below:

| Table 47: Graduation Statistics (Percentage and Figures of Male/Female Graduates – Overall) | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| **UNDERGRADUATE** | | | | | | **POSTGRADUATE** | | | | | **TOTAL** |
| Faculty | Fem | Fem | Male | Male | Total UG | Fem | Fem | Male | Male | Total PG | |
| Faculty of Arts | 670 | 56 | 377 | 32 | 1 047 | 78 | 7 | 64 | 5 | 142 | 1 189 |
| Faculty of Comm, Admin & Law | 342 | 42 | 365 | 45 | 707 | 52 | 6 | 56 | 7 | 108 | 815 |
| Faculty of Education | 703 | 42 | 450 | 27 | 1 153 | 337 | 20 | 166 | 10 | 503 | 1 656 |
| Faculty of Science & Agric | 273 | 45 | 194 | 32 | 467 | 82 | 14 | 58 | 10 | 140 | 607 |
| Totals | 1 988 | 47 | 1 386 | 32 | 3 374 | 549 | 13 | 344 | 8 | 893 | 4 267 |

Student performance in terms of modules registered for and those passed continues to improve as shown in the following tables. The Faculty of Education pass rate in 2016 was above all faculties.

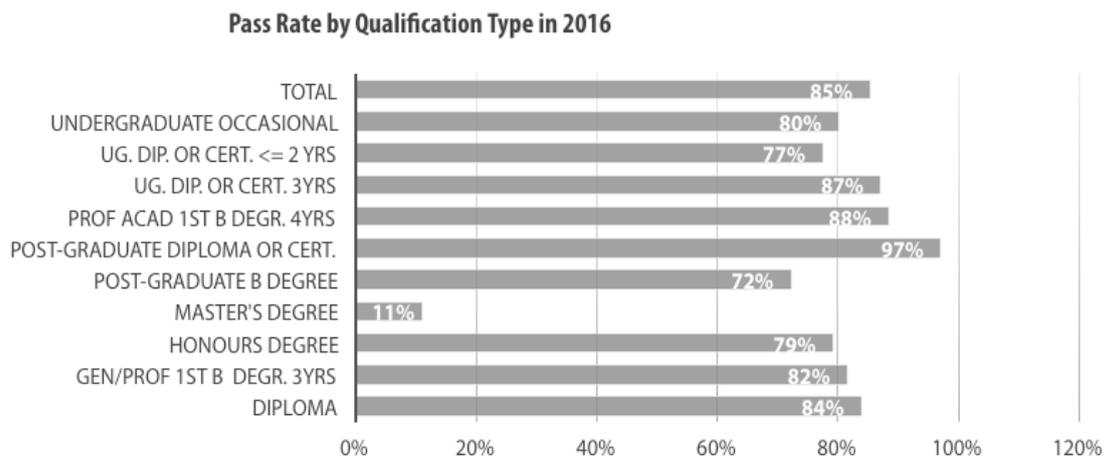**Table 48: Pass Rates across all Faculties**
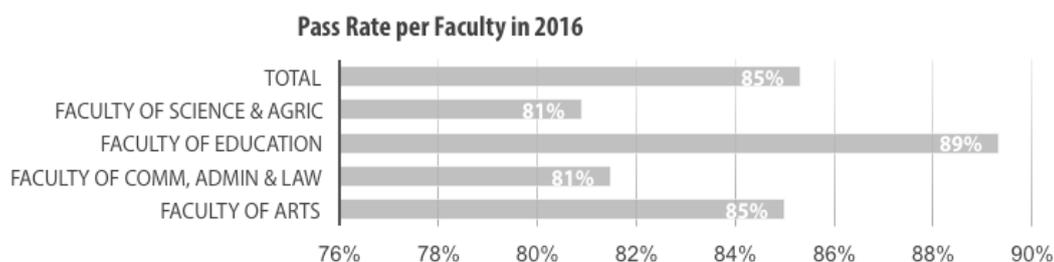


Data presented in Table 49 shows that pass rates at the postgraduate level have ranged between 55% and 93% at the time of data analysis, while pass rates at undergraduate level have remained as above.

**Table 49: Pass Rates by Level of Study inclusive of all Faculties**
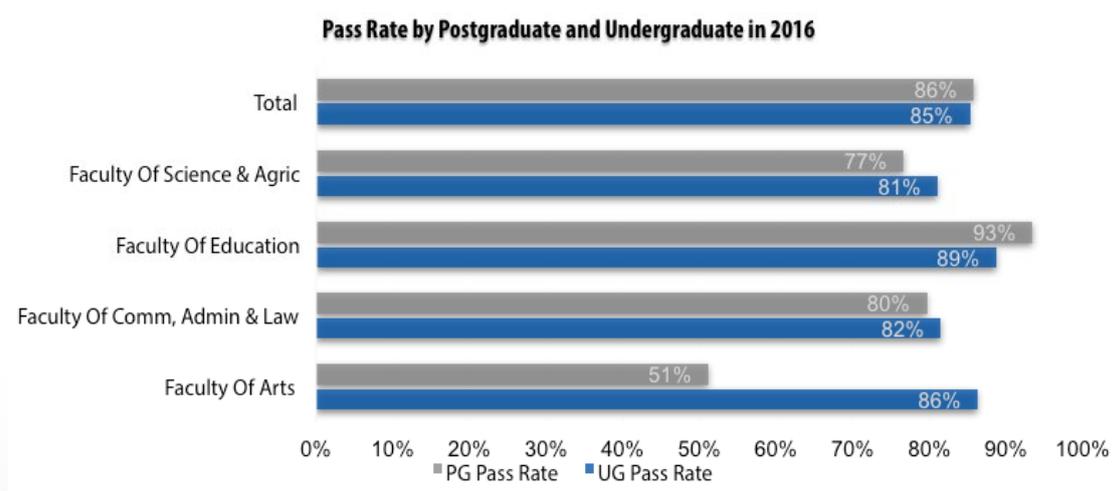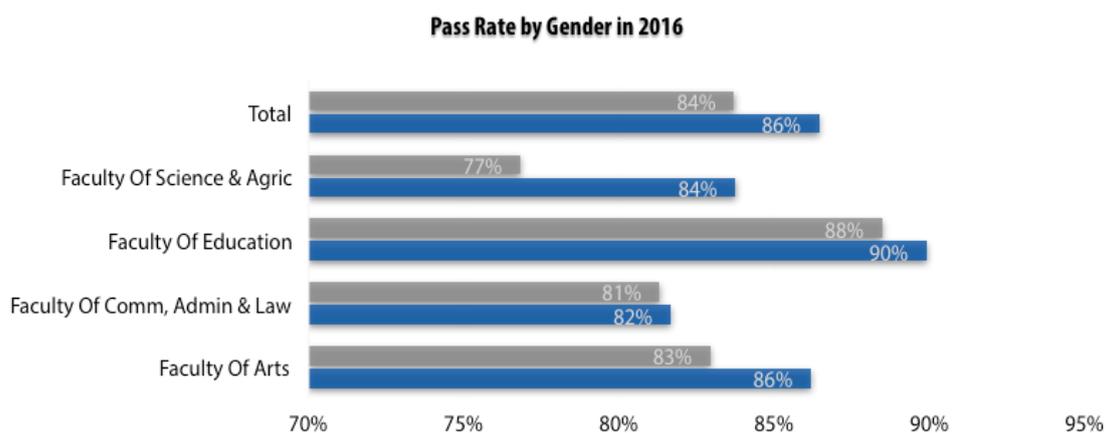


Pass rates across qualification types vary, as shown in Table 50. Across all qualification types, the pass rate is above 70%. This excludes Masters programmes, where it is more difficult to measure the pass rate given the fact that students mainly register for a research project that takes longer than a year to complete as opposed to structured programmes where students register for individual modules.

**Table 50: Pass Rates by Level of Study inclusive of all Faculties**

**Pass Rate by Qualification Type in 2016**



| Qualification Type | Pass Rate |
|---|---|
| TOTAL | 85% |
| UNDERGRADUATE OCCASIONAL | 80% |
| UG. DIP. OR CERT. <= 2 YRS | 77% |
| UG. DIP. OR CERT. 3YRS | 87% |
| PROF ACAD 1ST B DEGR. 4YRS | 88% |
| POST-GRADUATE DIPLOMA OR CERT. | 97% |
| POST-GRADUATE B DEGREE | 72% |
| MASTER'S DEGREE | 11% |
| HONOURS DEGREE | 79% |
| GEN/PROF 1ST B DEGR. 3YRS | 82% |
| DIPLOMA | 84% |

One of the critical factors, which remains a strategic imperative in higher education, is the performance of female students in the system. Table 51 shows that female students outperform male students across all faculties.

**Table 51: Pass rate by gender in all faculties**

**Pass Rate by Gender in 2016**



| Faculty | Male | Female |
|---|---|---|
| Total | 84% | 86% |
| Faculty Of Science & Agric | 77% | 84% |
| Faculty Of Education | 88% | 90% |
| Faculty Of Comm, Admin & Law | 81% | 82% |
| Faculty Of Arts | 83% | 86% |

A slight improvement in student performance indicators was observed with the average University of Zululand success rate of 84%.

## INSTITUTIONAL PLANNING

The Institutional Planning Directorate facilitated an ICT Strategic Indaba to produce a University ICT strategy and a Teaching and Learning Strategic workshop with the view to produce a University Teaching and Learning Plan. A comprehensive Operational Plan template was developed to guide operational planning and reporting for 2017. A detailed proposal and framework to conduct triennial reviews in support services departments has also been been produced. The project is linked to a national Siyaphumelela Project that is funded by the American Kresge Foundation.

The University finalised its HEQSF aligned PQM and submitted corrections to the CHE and the DHET. The PQM clean-up is meant to ensure that no students are enrolled into a discontinued or de-accredited programme. For the two de-accredited programmes in Social Work and Psychology, the University successfully submitted teach-out plans to ensure recognition of the qualifications for the pipeline students, while proceeding with review of the curricula in both areas. New programmes were approved by the DHET, and are in the process of being submitted for accreditation to the Council for Higher Education and the South African Qualifications Authority. In relation to Category C discontinued programmes, the University has the permission to enrol first-time, first-year students until 31 December 2019. The Richards Bay campus is continuing with the development of programmes in Engineering to respond to the demands of the increasing Electric, Mining, Built Environment and Maritime Studies and

related sectors at the Richards Bay Hub and Industrial Development Zone. These diploma programmes have been submitted for approval to the DHET.

Various reporting requirements were observed and the First Valpac Student HEMIS database was submitted to DHET on 31 October 2016. The staff HEMIS Data Submission was made to the DHET after the 2015 final Valpac Staff database was audited. Regarding the Foundation Grant DHET Report, the 2015 Student Data Progress Report was prepared and audited by external auditors (KPMG). The submission of the database to the DHET was done together with the audit certificate required. This report is the basis on which the calculation of funding distribution is to be given to UNIZULU by DHET for the rcoming 2017 budget/roll-out. In relation to the Teacher Education Grant Report, the 2015 Student Data Progress Report is currently being prepared and validated with the Faculty of Education and University's new PQM to ensure similar reporting that speaks to HEMIS data. This report is the basis of calculation of funding distribution to be received by UNIZULU as a Funza Lushaka Bursary, which is part of NSFAS funding.

The University's 2015 Annual Report, Annual Performance Plan for 2017 and Mid-year Report was prepared in 2016 and submitted to DHET after Council approval. The University is thus fully compliant with the Regulations on Reporting of Higher Education Institutions.

As a means of launching a seamless quality assurance regime in the University, a new Academic Developments and Quality Assurance Committee was introduced. The Quality Assurance Office has worked with various faculties to develop new programmes and assist in the review of others by external bodies. Quality assurance of programmes in 2016 included the LLB Review by the CHE, Bachelor of Social Work Teach out Plan, academic structure renewal and introduction of new programmes.

The University has placed the transformation imperative, conceptualisation and planning in the Institutional Planning Directorate. The Office is tasked with the responsibility of coordinating integrated institutional planning and the alignment of all transformation initiatives with the University of Zululand Strategic Plan 2016-2021. While the University currently has an Integrated Transformation Plan that has been in force for three years now, the revisiting of planning for transformation was given impetus by the South African Human Rights Commission Transformation at Public Universities in South Africa Report (2014).

## INSTITUTIONAL RESOURCES MANAGEMENT AND CAMPUS DEVELOPMENT

King Bhekuzulu Hall is the main venue for large events and official functions of the University such as graduation ceremonies, student registration, conducting tests and examinations. During 2016, a plan was approved for the upgrading and improvement of the air-conditioning system in this facility. This consists of four rooftop air-conditioning packages. Two units were installed in 2016. The contract for installing the two remaining rooftop air-conditioning package units is under tender and will be completed in five months once the order has been issued. The contract value for the project is approximately R7m.

The master plan for KwaDlangezwa Campus provides for major expansion and growth, including a New Student Centre, Student Services Building, New Student Residences and Multipurpose Centre. Such developments require improvement in the campus infrastructure. In April 2016, an award for planning, design, supply, deliver, construction and commission for the upgrade and refurbishment of the 88/11 kV Main Substation at KwaDlangezwa campus was concluded.

At the end of October 2016, five tender awards were concluded for the total replacement of all existing 11kV 95mm$^2$ paper cables with new 11kv 185mm$^2$ XLPE cables to cater for load growth on campus, including the equipment that will be used during the replacement process.

The plan to create a single virtual campus is proceeding smoothly, with the first phase of the wireless project completed with 170 wireless access points installed and a wireless controller managing all the access points.

The delayed DHET funded infrastructure projects were reactivated and a resident engineer as Senior Project Manager and Head of the Unit was appointed who will oversee the implementation of the DHET infrastructure projects. The University Council approved a turnkey solution for the entire infrastructure development project.

The construction of the 288-bed space residence on KwaDlangezwa campus has been completed. A further site was identified as being a possible residence site for the Richards Bay Campus. A new off-campus student residence building was leased in Richards Bay to absorb squatting students and a request submitted to Minister of DHET to purchase an apartment block in Richard's Bay with two-bedroomed units for student residences.

The installation of new heat pumps systems to increase the supply of hot water at West Residences was completed. The upgrading of the lights in all the sports fields and courts by installing LED bulbs for better lighting and efficiency was also completed in 2016. Campus catering facilities are under review

and the CCTV upgrade is complete. An integrated biometric security system across the campus has been developed for implementation in 2017.

The Network Backbone Project was introduced, which will improve service reliability and capacity on both campuses. The Wireless Everywhere Project, which is funded by the DHET ICT Infrastructure Fund, was developed and will improve wireless access on both campuses. A tender was awarded for the Data Centre Upgrade. This project will increase capacity, which will improve both speed and capacity and also allow greater centralised storage, allowing simpler and cheaper machines to be located in offices. The draft Business Continuity Plan (BCP) and draft Disaster Recovery Plan (DRP) were prepared. The international bandwidth was increased from 200mb to 500mb. This will improve speed and capacity all round but will be particularly favourable for collaborative researchers needing to make significant data transfers. The

Institution is in the process of developing a proper ICT governance framework and strategy. The internal IT Steering Committee was created together with terms of reference and is awaiting Council's approval. Thirteen ICT policies have been developed and presented at Faculty Boards. Once comments have been incorporated, it will be presented to Manco, Senate, and finally to Council for approval.

A three-year Maintenance Plan, together with budget, has been submitted to Council for approval.

Early in 2016, the University submitted an application for funding of various projects through the DHET HDI Grant. The University leadership was later invited to attend a workshop of the HDI Grant hosted by the DHET on 1 November 2016, which took place in Pretoria. The University was advised to revise its proposal and resubmit before the closing of the 2016 business year. The University submitted a revised proposal, which made a total ask reflected in Table 52:

| Table 52: HDI Grant | | | | | | |
| --- | --- | --- | --- | --- | --- | --- |
| | Y1 | Y2 | Y3 | Y4 | Y5 | TOTAL |
| Academic Enterprise | 14 940 292 | 8 787 461 | 7 323 500 | 7 752 240 | 8 350 022 | 47 153 515 |
| Academic Administration | 9 096 743 | 10 866 667 | 11 103 386 | 7 146 667 | 2 956 667 | 41 170 130 |
| HR Operations | 4 148 058 | 1 763 977 | 1 047 310 | 603 398 | 512 528 | 8 075 271 |
| Maintenance Management | 15 383 667 | 9 59 333 | 8 657 000 | 0 | 0 | 25 000 000 |
| Academic Support | 4 000 000 | 2 100 000 | 2 100 000 | 2 100 00 | 2 100 000 | 12 400 000 |
| IT | 55 000 000 | 15 500 000 | 15 500 000 | 15 500 000 | 15 500 000 | 117 000 000 |
| Research Projects | 35 000 000 | 35 000 000 | 35 000 000 | 35 000 000 | 39 350 000 | 179 350 000 |
| Alumni Communication | 1 250 000 | 250 000 | 80 000 | 30 000 | 30 000 | 1 640 000 |
| Total | 138 818 760 | 75 227 438 | 80 811 196 | 68 132 305 | 68 799 217 | 431 788 916 |

Eight projects proposed by UNIZULU in its final business plan in 2016 were approved, totaling R174 282 067. The IT project, which covers infrastructure related costs amounting to R19 400 000, will be funded from the Infrastructure and Efficiency Grant (IEG).

## STUDENT SERVICES
### Student Governance
The University recognises the critical role that students play in the drive to deepen democracy and broaden transformation among the different communities in South Africa, and, therefore, it worked closely with the student body in order to ensure that the election

of a democratic and representative SRC took place. However, the election results were disputed by one of the presidential candidates. After the exhaustion of internal appeal processes, an application was made for a court interdict against the inauguration of the newly elected SRC, which was successful. In order to ensure that there was no leadership vacuum while the courts dealt with the matter, an SRC Administrator was appointed by the University Council. Administrator Mr Mayenzeka Chiya currently runs the affairs of the SRC and he assumes the powers of the SRC in accordance with the SRC Constitution.

Despite the disruptions that took place in

the second semester of 2016, the University worked closely with the student leaders and other stakeholders to ensure the successful completion of the 2016 examinations. This took place after the implementation of the Recovery Plan and the adjustment of the academic timetable. It was as a result of this collaboration that the University became one of the few institutions that managed to have successful final examinations in 2016.

The Student Governance Section played a pivotal role in renewing the affiliation of student structures within the SRC. It also facilitated presentations of programmes of action and encouraged political formations to hold AGMs in accordance with their constitution. In order to promote and deepen constitutional democracy, student structures were presented with an opportunity to elect their new leadership. For example, successful elections of Faculty Councils, and executive committees of different student structures and house committees took place.

## Student Development

The University embraces the national and global drive to recognise students as future citizens of the world. This, it achieves, through providing skills, information and activities that broaden the students' knowledge base. The Residence Life Programme assists students to gain study skills as well as worthwhile life skills. Towards the end of 2016, student leaders embarked on educational trips to Luthuli Museum in Groutville, the Nelson Mandela Capture Site in Howick and KwaMuhle Museum in Durban. This formed part of the out-of-classroom learning programme, which enlightened many students about their history.

## Student Leadership Guide

The Student Services Department (SSD) has produced a procedure manual that will add value to the administration of activities of student structures. The procedure manual aims at addressing pertinent administrative matters related to the processing of requests from students for certain services and activities. The manual is in its draft stage and the intention is to have it implemented before the end of June 2017, after a proper consultative process.

## Disability Unit

The University strives to comply with DHET policies and the Bill of Rights, which forms the basis of the Constitution of South Africa. Over the years, our disabled students have been struggling on their own without a particular office that is dedicated to their special needs. A Disability Coordinator was appointed in 2016, and the Unit is playing a crucial role in advocating for accommodations for students with disabilities. The University is working on a number

of policies pertaining to students with disabilities and these include the Examination and Assessment Policy, Admission Policy, Student Housing Policy, and Infrastructure and Access Policy.

In 2016, the Disability Unit successfully ran a week-long Disability Awareness Campaign. During the campaign, students received a chance to share views and concerns with management. The Registrar, the Director: Protective Services, the Dean of Students, staff members (Academic and Support) and general students joined a parade around the campus as a closing event of the campaign. After the campaign, more students came forward to enlist with the Unit and began opening up about their disabilities. The current student disability profile is contained in Table 53.

| Table 53: Disabilities | |
| --- | --- |
| CATEGORY OF DISABILITY | NUMBER OF STUDENTS – 2016 |
| Hearing (with a hearing aid) | 7 |
| Disabled but functional | 2 |
| Other | 21 |
| Sight | 29 |
| Physical (move, stand, grasp) | 6 |
| Epilepsy | 1 |
| Blind | 1 |
| Paraplegic | 1 |
| Total | 68 |

## Administration of Student Residences

As a rural-based institution, the University strives to provide as much accommodation as is possible. In 2016, there were 4 960-bed spaces in both university as well as outsourced residences. There were 3 847-bed spaces on campus and 1 113-bed spaces in off-campus residences.

There is a realisation that the administration of residences requires a more streamlined process. Internal auditors have also pointed out the inadequacies of the University's residence inspection processes and the administration of residences. In order to attend to the concerns, forms have been developed that will be utilised from the beginning of 2017 in order to streamline processes. They consist of the following:

- The emergency information form – It will enable residence officials to have relevant information at hand in case of emergencies in hostels, particularly after-hours, when they do not have adequate access to the ITS records. It is even more relevant for external residences if there is an urgent need to communicate with parents or next of kin.

- The inventory form – It has to be filled in by students when they check into residences. It will encourage students to look after the University furniture in their rooms.
- Inspection forms – The forms have to be filled in by both the wardens and the Head of Student Housing respectively. They enable the Student Housing Section to have an inspection record, which was not included in the past. Further, they ensure that the issue of maintenance of residences is kept on the agenda at all times.

## Student Guidance and Counselling

The orientation programme for first-time entering students commenced in January 2016 and ended in February 2016. The purpose of the programme was to integrate first-time entering students into the UNIZULU student life, hence it is a comprehensive programme with different aspects about the University. This is an important contribution to the retention of students. The University is also in the process of developing a First-Year-Experience Handbook, which is going to provide the necessary information to first-time-entering students. It is an effort made by the Student Services Department to reduce the drop-out rate in the first year of study.

## Health Clinic

The University of Zululand (UNIZULU) attracts both young and mature students from different parts of the country as well as international students. Upon entering the University, these students encounter challenges of a physical nature, life-threatening illnesses and violence. The following are the most common medical challenges reported to the Campus Clinic: sexual and reproductive health problems, unwanted pregnancies, violence of various forms, and the scourge of HIV and Aids.

Access to student-friendly healthcare facilities offer a lifeline to these students and UNIZULU is not within a walking distance of secondary and tertiary healthcare facilities. A student-friendly primary healthcare facility on site, therefore, becomes mandatory. The Campus Healthcare Clinic, due to its geographical location, is well-positioned to offer these students a lifeline.

The Clinic aims at disseminating information on self-care in order to promote a healthy lifestyle. The following services illustrate the functioning of the Healthcare Clinic:

- Students and employees: All services that are provided at the clinic are at a primary Healthcare level and they all follow the Department of Health guidelines.
- Primary healthcare: A holistic care approach is rendered continuously to students and employees

of UNIZULU. While the Campus Clinic caters largely for students, there are also staff members who take advantage of the services rendered there. Increasingly, probably because of the background of disadvantage from which students come, there are more students who rely on the Campus Clinic than private healthcare facilities. Primary healthcare has three components:

### Disease Prevention and Health Promotion

Health education plays an important role in preventing diseases and encouraging a healthy lifestyle that is necessary in order to enable students to concentrate on their main purpose at university, namely to study. Health professionals at the Centre are qualified, specialised and experienced to assist and advise the UNIZULU community members with regard to all health related issues and problems. Health awareness campaigns are scheduled from time to time in collaboration with external health professionals from the Department of Health through the Memorandum of Agreement that exists between the University of Zululand and the Provincial Department of Health.

### Curative Service

At this level of care, it is where medical interventions are provided. Conditions that we deal with at this level include: headaches, influenza, chest problems, gastro intestinal tract problems, skin problems an sexually transmitted infections (STIs). Major problems or health issues that fall beyond primary healthcare are referred to medical practitioners at nearby hospitals and private healthcare facilities.

### Rehabilitative Services

Individual students and staff who suffer from the following conditions or problems are assisted and educated to maintain a healthy lifestyle that will reduce the adverse impact of these conditions on their quality of life, productivity and learning ability: HIV & AIDS, hypertension, TB, diabetes, getting infected through living with a person who has an infectious diseases, and alcohol and drug addiction. Nursing practitioners make a special effort to help individual students or staff members to adopt a behavioural change that is required to maintain optimum health.

The HCT (HIV & AIDS Counselling and Testing) programme of the Department of Health ensures that all clients coming to the clinic receive counselling about needs and benefits of testing for HIV as a first step towards voluntary counselling and testing (VCT – own choice).

The Clinic's strategy emphasises a holistic approach that gives equal attention to the 'whole' person, each with unique physical, social physiological, spiritual and emotional needs. Referral to relevant professionals or

specialists is done as necessary. Counselling services play an important role in this regard, especially in addressing stress-related problems that negatively impact on focus in education. Students have the right to decide whether to use the UNIZULU Campus Health Clinic or other health facilities that are available in Empangeni. In the interests of continuity of care, it is essential that they make their choices known.

A new professional emergency service has been implemented. Since the inception of this new professional system, the University has seen an increased demand and appreciation for the service. The emergency service plays an important role in saving the lives of students, especially during after-hours, weekends and holidays when the clinic is closed. Paramedics cover on- and off-campus residences. A 24/7 emergency service is available.

## RELATIONSHIPS WITH THE COMMUNITY

At the University, the teaching and learning enterprise has maintained contact with a number of the various participants in the economy for which the University provides education and training of human capital. In 2016, there was a review of the general modality for such engagements, aimed at focusing each of the subject areas and professional training areas on their specific communities in the economy.

For example, while the legal professional training is in ongoing engagement with the Law Society, there is now an added drive to establish working relations also with local law firms, prosecutors, magistrates and judges, aimed at influencing the curriculum, teaching and learning in ways that make sense to the local practice of laws. In the same way, the criminology, penology and police studies education and training is pushing for enhanced engagement with the local law enforcement industries. Another example is the road to revitalisation and accreditation of the education and training for the accounting industry. The subject and professional specialisation areas that form the education and training for the accounting industry within the University have joined hands with the South African Institute of Chartered Accountants, the pre-eminent accountancy body in South Africa in a partnership aimed at establishing the required quality standards and capacities for accreditation of the education and training for the accounting industry.

As part of this partnership, the University has expanded its collaborations for this purpose to include the recognised and accredited operations at the University of Cape Town and the University of Johannesburg. In this regard, the University is also starting to enhance these partnerships with engagement of the growing accounting industry in the Richards Bay economic hub, as well as the general business sector. Discussions with the Chamber

of Business, led by Prof. Ndwandwe, are aimed at achieving engagement beyond the accreditation of the education and training for the accounting industry.

International partnerships have always played an important role in globalising the teaching and learning enterprise at the University of Zululand, with collaborations in curriculum development, teaching and learning, work integrated learning, student and staff exchange aimed at sharing learning and cultural experiences and enhancing the understanding of the cultures and climates of other universities, and the ways in which they serve their economies and contribute to the global economy.

In 2016, for example, collaboration with the Appalachian State University in Boon was boldly revived by the Vice-Chancellor, Prof. Mtose, who visited Appalachian State University from 3-10 September 2016. During her visit, collaborations were explored in the areas of Theatre and Dance, Music, Biology, Quality Enhancement, Renewable Energy, Nursing, Nutrition in Healthcare Studies, and Mathematics and Science Education. Four of these areas were subsequently confirmed as collaboration projects during the return visit by Prof. Jesse Lutabingwa, who is the Associate Vice-Chancellor for International Education and Administration and Dr Darrel Kruger, who is the Provost and Executive Vice-Chancellor. These approved projects include curriculum development for the BA in Music, renewable energy research, enterprise creation, and adopt-a-school for Mathematics and Science Education.

The significance of local partnerships is in strengthening ties with government, business and civic society with the aim of maintaining the relevance of the programme and qualification offerings, the curriculum and the teaching and learning practices, particularly to ensure alignment in response to national policy and strategic direction and business trends at local and national level. Some of the key partnerships that have been established include partnership with the Department of Arts and Culture, Sport and Recreation for the purpose of the establishment of the Arts and Culture Academy, and partnership with the Department of Agriculture and Rural Development for the purpose of establishment of the Centre for Sustainable Integrated Rural Development.

## MANAGEMENT OF FINANCIAL RESOURCES

UNIZULU must pay particular attention to its cash reserves, which, if not carefully monitored, could reduce significantly within the next three or four years. This risk will be managed through cost control measures, capital expenditure, funding requirements and enhanced student debt management.

The Finance Structure is still under review but with the appointment of the Executive Director Finance, the Division expects finalisation of this critical component

by June 2017. Finance has a 30% vacancy rate (21 posts). Contract accounting staff are assisting in the areas of student debt management, financial accounting, fixed assets, projects, supply chain management (SCM) and creditors. In terms of enhancement of IT systems, The Finance Division now has an additional business analyst from Adapt IT on campus to push through the VAT project and update the ITS system to operate in compliance with VAT legislation. The long outstanding VAT registration matter has successfully been resolved and UNIZULU is now registered for VAT and was able to obtain a tax clearance certificate. An SCM Implementation and Resource Plan has been developed, which will assist with compliance and improving the procurement processes and it details the critical areas and the duration of implementing the 'transformation' actions required to enhance the SCM processes. In order to enhance controls and address critical audit findings, the following policies have been submitted to the relevant structures for approval: Supply Chain Management Policy and Procedures, Black Economic Empowerment Policy, Enterprise Risk Management Policy, Fleet Management, Asset Management and Student Debt and Financial Aid Policy.

The challenge for the coming year would be to deliver on a greater number and size of donor funds coming through as the University remains vulnerable to student protests in the face of overstretched, limited funding.

## UNIZULU FOUNDATION

The University of Zululand Foundation is a charitable, registered non-profit Trust dedicated to advancing the goals of the University, including academic excellence and innovation in research. The University is its sole beneficiary, through creating and sustaining mutually beneficial partnerships and pursuing investment that will enable UNIZULU to achieve its strategic goals. The Foundation is constituted by the UNIZULU Council, and is governed by a Trust Deed. Its Board of Trustees comprises members from Commerce, Industry, Community, University Council and Executive, and convenes four times a year. It offers key strategic and fiduciary oversight of the Foundation and constitutes interim or sub-committees with a clear mandate as and when the need arises.

The year 2016 was a rather traumatic one for the Foundation, as it lost two of its very prominent members. Mr G.J. Thula, former Chair of Council at UNIZULU and Chair of the Board, passed on in February 2016 after illness. Just as the Foundation was recovering from this loss of a wise and venerable leader, its then Chair, Dr D.B.M. Mkhwanazi, elected in March 2015, passed on very suddenly in July 2016. Subsequently, the Foundation Board had to regroup,

and elected Mr A.N.D. Vilakazi as Acting Chairperson of the Board and Dr I.B. Mkhize as Interim Chairperson of its Audit and Risk Committee. It was agreed that they hold office until more trustees are appointed in 2017 on beyond.

The Foundation Board met thrice as a quorate body in 2016; its Audit and Risk Committee met quarterly. The Foundation's operations are led by an Executive Director, Dr C.M. Israel, and a team of five. Its job descriptions and action plans were devised according to the University's HR processes, and reviewed by Deloitte in 2016. The Executive Director's Performance Contract was revised as well by the Board.

Much time in 2016 was devoted to drafting the Strategic Plan 2017-2021, given a full complement of staff by late 2015. In 2016, the role and purpose of the Foundation was clarified, with consensus on its vision, mission and role. The Foundation has always given a gift of around R1m to the Vice-Chancellor's Office for disbursement to needy students. In 2016, the Board chose to review its eligibility criteria, with the Vice-Chancellor's guidance. Unfortunately, through circumstances pertaining to financial administration, the gift to the University was not disbursed in 2016, but deferred to 2017.

A 2016 Project Portfolio of University-approved Projects is available and directed core advancement cycle activities for the year. The Foundation Team updated all proposals and continued soliciting support for projects and bursaries. Various challenges were documented in its core business – locally, nationally and globally. Alumni reach is not as effective for operations such as this. The negative impact of poor databases persists.

In 2016, the Foundation continued to seek to establish partnerships with donors and external stakeholders, for example, with the China University Geosciences, in order to collaborate in terms of staff and student exchange; SARS, Huawei and Telkom (to continue funding iCloud Computing projects); donors to the Science Centre; as well as those offering bursaries.

The Foundation produced an Annual Report 2015 and an external newsletter *Halala!2016* (to recognise donors and showcase projects) in 2016. It also regularly produces a fact file and an internal information booklet *Guidelines for Resource Mobilisation* (revised version to go to Manco for approval in 2017).

The use of UNIZULU's Software Development Manager is an essential tool in advancement and enables the tracking of donor statistics and interactions. In 2016, the University sent emails out to alumni and donors on a regular basis via the system. Donor and Donation Statistics 2016 from DevMan, for the two development officers, with assistance from the Executive Director, are summarised over the page:

- Total number of donations           35
- Total number of donors              21
- Number of donors on database       110
- Number of organisations on database 154

As noted, this is one of the Foundation's biggest challenges, as alumni – many of whom are high profile – are not contactable via the databases at UNIZULU. Chapter events are lacking. Although events were planned by the Foundation in 2016, especially one in Johannesburg to bring together donors, potential donors and friends in a unique networking opportunity, this was postponed, given the national education funding crises. It is scheduled for 2017. The Foundation has 20 621 UNIZULU alumni on Devman. Only 2 314 (11%) of alumni on Devman have email addresses, unfortunately. The Foundation continued with its Come Home Campaign advert, which first appeared in the press with an article, on the website pages in 2014 and in *Halala!2015*. Out of the 2 314 alumni who have emails, only 1 826 (78.9%) were able successfully reached.

In 2016, the Foundation sought funds for bursaries and projects, its core business. Its third stream income generation indicates comprehensive income (including Projects and Bursaries, Gifts, Dividends, Interest and Profit on Sale of Shares) as R6 347 395, with R1 965 376 being Project Income and R251 178 being Donations Income specifically. The KPMG Audit results for the Foundation indicate a clean audit.

- **Investments:** The value of the investments at 31 December 2016 was R70 342 661, which is lower than the previous year. Declining investment conditions resulted in net devaluations that also contributed to the decrease of the investment balance for 2016.
- **Sustainability:** It must be noted that the Foundation funds its own operations, from the interest off its investment, as third stream income generated is usually for designated projects and bursaries. With falling interest rates, its sustainability as an operation must be addressed in the near future.

*Risk management is one of the most important factors guiding the implementation of strategic goals and general operations of the University.*

The Foundation team has attempted to establish a presence at UNIZULU and in the grant-making sector since resuscitating operations 2013. It recognises the need to bring in more donation income in 2017, through the effective implementation of the new Strategic Plan.

## RISK MANAGEMENT

The Council and Management of the University are committed to the implementation and maintenance of a formal enterprise risk management strategy, including the integration of risk management throughout all levels of the University as fundamental to achieving the University's strategic and operational objectives. The commitment for sound risk management practices is aligned to the requirements of the King III Report on Corporate Governance, globally regarded as best practice, to which the Council has committed to adhere to as a responsible corporate institution.

The University applies an enterprise-wide approach to risk management, which aims to ensure that each function, department, process and project is included in a structured and systematic process of risk management. UNIZULU considers health, safety and well-being management, business continuity incident management and IT disaster recovery, as well as fraud management as crucial components of its Enterprise Risk Management Framework. All staff members are accountable for identifying and managing risk, in so far as is reasonably practicable within their area of responsibility. Sound risk management principles and practices must become part of the normal management strategy for all organisational units within the University.

Risk management is one of the most important factors guiding the implementation of strategic goals and general operations of the University. The University has reviewed the internal Risk Management Committee, consolidated identified strategic risks, compiled risk registers for the respected risk owners in line with the strategic risk framework, formulated a fraud risk management presentation that will be rolled out to relevant departments, and mapped out a process to institutionalise risk management. A compliance framework has been developed and various aspects of it are being implemented.

## MATTERS OF SIGNIFICANCE
### Visit to the Parliament Portfolio Committee

On 7 September 2016, the Chairman of Council, including members of Council and the University Executive Committee members, represented the University at a meeting held in Cape Town at Parliament. The visit was a response to the invitation given to the University by the Parliament Portfolio Committee on Higher Education and Training. The University had

prepared a detailed presentation, guided by questions submitted to the University by the Parliament Portfolio Committee on Higher Education and Training. The presentation included topics that highlighted the great progress that UNIZULU had made in 2016, despite the very trying circumstances facing the whole of the higher education sector in South Africa.

## UNIZULU CHE Special Audit

The CHE conducted an Institutional Audit of the University in 2010. UNIZULU conducted its institutional self-evaluation between February and August 2009 and produced an Audit Self-Evaluation Portfolio, which was submitted to the Higher Education Quality Committee (HEQC) in December 2009 for review by the audit panel. The audit visit transpired on 13-19 March 2010. The panel viewed the infrastructure of KwaDlangezwa and Richards Bay campuses, conducted interviews with a wide range of UNIZULU's staff, students and other stakeholders, and examined all documentary evidence provided on site. This Audit led to the submission of the UNIZULU Audit Report by the CHE dated December 2010.

After receiving the CHE Audit Report, the University submitted an Improvement Plan to the CHE and the HEQC Board approved it. In 2013, challenges faced by the Institution led to the assignment of an Administrator to the University by the Minister of the DHET Dr Blade Nzimande. During the period when the University was under administration, a Progress Report to the approved Improvement Plan was submitted to the CHE, although no trace of institutional approval of this particular improvement plan exists. The Progress Report was not approved by the HEQC, as it is reported that it did not speak to the approved Audit Improvement Plan.

In 2015, the CEO of the CHE Professor Narend Baijnath wrote to the University, putting a hold on the Institutional Audits of the University without closing this matter. At the time, the University was not the only institution whose audit was put on hold. The CHE then wrote to the University, indicating that putting the audit on hold without closing it was based on executive leadership challenges the Institution was facing at that particular time since various management positions were vacant. CHE indicated that they would reopen the audit conversation once the substantive management team was in place at the University and that they would engage with the University management on how best to assure quality in the Institution going forward when the audit conversation was reopened. While audits were on hold, the CHE embarked on a new Quality Enhancement Project in which UNIZULU actively participated.

In a letter written to the UNIZULU Vice-Chancellor on 23 November 2016, the CEO of CHE indicated that the CHE would reopen the audit conversation since the Institution had made various executive appointments and leadership had stabilised at the University. CHE indicated their intention to conduct a Special Audit to close on the 2010 Audit, an initiative also requested by the Minister of Higher Education and Training. The CHE invited the University Executive team to a briefing meeting on 31 January 2017, at the CHE in Pretoria.

## CONCLUDING REMARKS

After making executive appointments in mid-2016 to strengthen the Executive team, the University moved to a consolidation phase where strong alignment of core business with resource allocation and fine-tuning of business systems and operations were made a priority.

UNIZULU seeks to develop emerging academics into fully-fledged research staff, improving the qualification profile of all staff, largely those without doctoral level qualifications. A key target is to improve the research output of the University to align with DHET's research norms.

UNIZULU will continue to implement best practice approaches to quality enhancement and quality assurance as a way of improving the quality and profile of its graduates. The University continues to revitalise undergraduate programmes by closely monitoring and evaluating the implementation of the Teaching and Learning Strategy (2013-2016). Identifying high-risk modules and the tracking of students that are at risk remains a priority and focus as the University aims to develop an effective mechanism to report on retention, progression and throughput of students.

Significant improvements were made in 2016 in that the University had purchased specially developed graduation software from DUT. The revised academic structure ensured a solid foundation for online registration and will significantly improve internal systems and controls.

Improved processes and efficiencies in the Finance department have ensured a financially proficient and sustainable status. In 2016, the Foundation continued to seek to establish partnerships with donors and external stakeholders. Its third stream income generation indicates comprehensive income. With falling interest rates, its sustainability as an operation must be addressed in the near future.

UNIZULU expects more strategic gains and success directly linked to the University of Zululand Strategic Plan 2016-2021 moving forward.

**Prof. X. Mtose**
**Vice-Chancellor**

# TOTAL NUMBER OF REGISTERED STUDENTS | 17 692

| Total First-time Entry Enrolments | Total Undergraduate Enrolments | Total Postgraduate Enrolments |
|---|---|---|
| 3 898 | 15 813 | 1 879 |

## UNDERGRADUATE
Graduates: 3 374

## POSTGRADUATE
Graduates: 893

## Total Graduates
### 4267

UNIVERSITY SUCCESS RATE **84%**

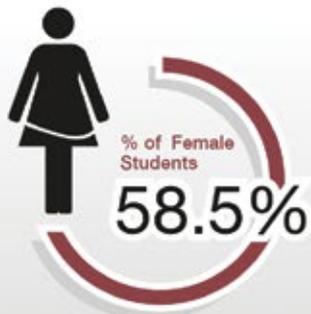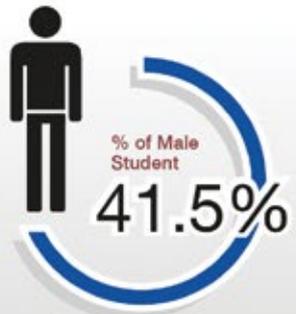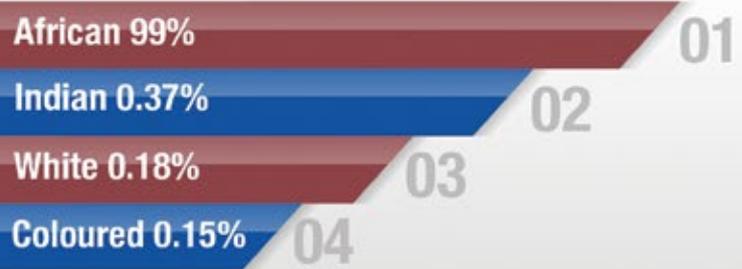| Research Masters Graduates | Doctoral Graduates | Honours NRF Block Grant (Bursaries) | Masters NRF Scholarships | Doctoral NRF Scholarships |
|---|---|---|---|---|
| 84 | 32 | 130 | 18 | 12 |

% of Male Student **41.5%**

% of Female Students **58.5%**

## ENROLMENT BY RACE
- African 99%    01
- Indian 0.37%    02
- White 0.18%    03
- Coloured 0.15%    04

While defining the culture, philosophy and scholarship that must shape and define teaching and learning programmes, practices, research, innovation and the social pacts of the plan of action of the teaching and learning enterprise would have been the preoccupation of the University in 2016, mainly implementing the Strategic Plan 2016-2021, the pull to rescue the academic project from the socio-political forces that could not have been easily predicted was a centre stage experience that will undoubtedly also shape in new ways, the plans of the teaching and learning enterprise for the foreseeable future.

## INTRODUCTION

Regular environmental scans and new analyses of the intrinsic strengths, weaknesses, opportunities and threats may be the order of the day without detracting from principles of existing plans. Through the teaching development grant in 2016, the teaching and learning enterprise focused on staff and student development, the scholarship of teaching and learning, excellence and transformation in teaching and learning, curriculum development, integration of technology, local and international partnerships and collaborations.

## TEACHING AND LEARNING

The year 2016 showed progress towards redefining and refreshing the University of Zululand's academic purpose and identifying it as a comprehensive university in a rapidly transforming society. This integrated report presents the results of efforts as well as reflections on what the University has achieved as the UNIZULU community. Areas of improvement included a rigorous review of the academic structure, which has proceeded successfully, leading to the

cleaning up of the various qualifications, quality enhancement, the integration of technology into teaching and learning, the introduction of new programmes responsive to the emerging markets, and revisiting the teaching and learning strategy.

### Quality Enhancement Project

In addition to institutional initiatives and the institutional audit framework, the University adopted the national quality enhancement project, driven by the CHE, as a way of enhancing quality in the teaching and learning enterprise. The aim of the institutional report on quality enhancement in teaching and learning is to demonstrate efforts made to bring about enhancements in each of the six quality enhancement project focus areas since the beginning of Phase 1 and 2 of the quality enhancement project in February 2014 and in 2016 respectively. It is also to reflect on the journey towards enhancement and assess the extent to which the efforts have resulted in improvements. The University made significant strides in enhancing teaching and learning quality along these six thrusts:

enhancing academics as teachers, student support and development, learning environment, course and programme management, curriculum and co-curriculum.

## Scholarship of Teaching and Learning

Through the Teaching Development Grant, in 2016 the teaching and learning enterprise focused on staff and student development, the scholarship of teaching and learning, excellence and transformation in teaching and learning, curriculum development, integration of technology, local and international partnerships and collaborations. As part of the teaching and learning strategic planning workshop, aimed at reviewing the teaching and learning strategy, the Scholarship of Teaching and Learning was integrated into the new and revised teaching and learning strategy as a way of embedding reflective research and publications in the practice of teaching and learning at the University. Teaching and learning communities of practice have been set up as part of the development of the Scholarship of Teaching and Learning. These workshops were critical stimulants for participation in the scholarship of teaching and learning institutional project. A workshop was conducted to finalise the plan for scholarship teaching and learning.

## Teaching and Learning Policies

Existing policies and procedures relating to curriculum renewal and transformation include the Teaching and Learning Strategy and Teaching and Learning Policy, both aimed at promoting and improving teaching as a core academic activity and the Teaching and Learning Charter. The teaching and learning policy review commenced through policy gap and overlap analysis. Given the multilingual and multicultural nature of South African society, the University is in the process of approving the Language Policy.

## First-year Experience Initiative

Dr Yasmin Rugbeer conducted a workshop for Deans, Deputy Deans, heads of departments, academic coordinators and departmental representatives. Dr Van Zyl and Ms Nyar facilitated discussions. The facilitators then conducted a situational analysis and led discussions on defining the First-year Experience for the University. There was unanimity that the FYE offered cohesiveness because it dealt with all aspects of what students would experience in their first year. The First-year Experience needed to be intentional and holistic.

## Writing Centre

Within the Teaching and Learning Centre is the Centre for Writing, which is one of the flagship programmes. The dining hall was refurbished and is now used

as the Writing Centre, with new computers and facilitators employed. Students are making good use of this facility, which helps to support them to develop academic writing skills. It is centralised to support all faculties.

## Readers are Leaders

The University invested in Readers are Leaders, a leading computer based reading and language programme in South Africa. It is aimed at improving reading speed, comprehension and visual memory in order to improve academic performance, independent learning, language proficiency, including grammar, vocabulary and spelling. The Readers are Leaders Project was piloted with one faculty but will be extended to other faculties as well. Five staff members received training on the Readers are Leaders Programme in January 2016.

## First Teaching and Learning Conference

The University successfully hosted its very First Teaching and Learning Conference, showcasing excellence in higher education teaching and learning. Held at Premier Hotel, The Richards in Richards Bay, the conference presented an opportunity for participants to create a community of practitioners who will contribute to the body of knowledge about teaching and learning, as well as benefit from the experience of others. The conference Chairperson was former University of Zululand Director of Teaching and Learning Dr Nontokozo Mashiya and the Keynote Speaker was Dr Chrissie Boughey, Rhodes University Deputy Vice-Chancellor for Academic and Student Affairs.

## Excellence in Teaching and Learning

To promote excellence in teaching and learning, the University conducts annual teaching and learning excellence awards. The Vice-Chancellor Excellence in Teaching Awards are a national strategic initiative aimed at recognising excellence in teaching. The awards were established in 2009 as a collaboration between the CHE and the Higher Education Learning and Teaching Association of South Africa. The purpose of the awards is to honour, recognise and reward individuals who have achieved excellence as teachers. In order to compete for these awards, academics are encouraged to compile a teaching portfolio in order to showcase their excellent teaching and learning practices.

## Enhancing the Humanities and Social Sciences

Although transformation towards revitalisation of humanities and social sciences had not progressed beyond the Faculty Board in 2016, a vibrant debate ensued in the conferences, notably the Faculty of Arts Conference that took place at the Peermont Hotel Tusk Umfolozi Casino in Empangeni. Professor

Johannes Britz, the Provost and Vice-Chancellor of the University of Wisconsin-Milwaukee, used the development of information ethics as an academic discipline that originated in the Faculty of Humanities in the early nineties at the University of Pretoria as a case study to illustrate how the humanities can thrive at a university by means of creative alliances and inter-disciplinary approaches in support of inter-professional career development. Professor N. Maake of the English Department of the University of South Africa posed the question of what the challenges of the humanities in public discourse are and proposed that the humanities have never been so central in the context of intensifying globalisation, since the Trivium and Quadrivium. Dr Elliot Pewa, from the Department of Creative Arts at the University of Zululand, took a simple stance of alerting and encouraging academic institutions and managers of education at large about the urgency for consciously promoting arts education in South African.

## INTEGRATION OF TECHNOLOGY INTO TEACHING AND LEARNING

### Moodle: The Learning Management System

Lecturers and students have been trained on Moodle, the eLearning platform. Nearly 90% of staff have introduced their classes to eLearning via Moodle in one way or another. However, the percentage of academics who are utilising the eLearning platform in greater depth, and making use of a significant number of features and modules is increasing steadily, indicating a growing appetite for eLearning. The drive to convert eLearning aliens among staff to eLearning natives is, therefore, switching gradually from basic introductory participation, such as mounting teaching notes, to greater depths, where the number of modules of the platform are used in an increasing variety of teaching and learning activities. One of the four ethically approved research projects involves the evaluation of the usage and impact of eLearning at the University, benchmarking with two other universities in South Africa.

### ITS Mobile

A mobile application for students, ITS mobile, was launched for student management and monitoring of their learning, and learning support resources. On ITS mobile, students can access their examination results, examination timetable, financial aid, financial statement, class timetable, academic admission, residence admission, and progress report. This mobile application is in its infancy and it will be continuously enhanced and developed. To use this app, the student must either have WiFi connectivity or have a data bundle on his/her mobile device. For those students who prefer to get information via SMS, a new tool has been made available to them. They can send an SMS to 34763 to either access their results or fee balance. Each SMS costs R2. The student requesting the information will then receive an SMS with the information that she or he requested. The information is sent directly to the cell number used to request it.

### ITS iEnabler

All the features of ITS mobile are also available on ITS iEnabler, the portal used by staff and students to access various functionalities used for implementing administrative, monitoring and evaluation activities of the teaching and learning project of the University, on and off campus. This means that students actually have two options to access information: the mobile device option and the desktop or laptop option, but both options are available on and off campus. The University prides itself for always advancing focus on the student. ITS iEnabler has a host of additional features for staff. The following table provides a brief description of the main processes available. These include the lecturers web, personnel iEnabler, finance iEnabler, asset iEnabler, management reports, request for information, budgeting module, dashboard charts, access control, OPAC and travel requests. ITS iEnabler allows staff to click on the link that they require in the left-hand menu panel to view the available sub-processes or process steps within each of the displayed processes. For the teaching and learning project, the lecturers' web and personnel iEnabler are of importance. The lecturers' web is used to enter and view student marks, while personnel iEnabler is used to view and update personal information and leave records.

## PARTNERSHIPS AND COLLABORATIONS

International partnerships have always played an important role in globalising the teaching and learning enterprise at the University, with collaborations in curriculum development, teaching and learning, work integrated learning, student and staff exchange aimed at sharing learning and cultural experiences, enhancing the understanding of the cultures and climates of other universities, and the ways in which they serve their economies and contribute to the global economy. In 2016, for example, collaboration with the Appalachian State University in Boon was boldly revived by the Vice-Chancellor Prof. Mtose, who visited Appalachian State University from 3-10 September 2016.

The significance of local partnerships is in strengthening ties with government, business and civic society with the aim of maintaining the relevance of the programme and qualification offerings, the curriculum and the teaching and learning practices, particularly to ensure alignment in response to national

policy and strategic direction and business trends at local and national level. Some of the key partnerships that have been established include partnership with the Department of Arts and Culture, Sport and Recreation for the purpose of the establishment of the Arts and Culture Academy, and partnership with the Department of Agriculture and Rural Development for the purpose of establishment of the Centre for Sustainable Integrated Rural Development.

## NEW GENERATION OF ACADEMICS PROGRAMME

The New Generation of Academics Programme involves the recruitment of highly capable scholars as new academics against carefully designed and balanced equity considerations and in light of the disciplinary areas of greatest need. It was envisaged to be the biggest programme within the Staffing South African Universities Framework. The New Generation of Academics Programme was implemented with the advertisement for the first intake of 125 posts placed in the Mail and Guardian newspaper on 29 May 2015 and in the Sunday Times newspaper on 31 May 2015. Universities also advertised individually in the media of their choice and on their websites. Two appointments were made in the Faculty of Arts, one appointment in the Faculty of Education, and in the Faculty of Science and Agriculture two appointments were made.

## ACADEMIC PERFORMANCE: GENDER BIAS TREND REVERSAL

It is heart-warming to note that success rates have been on the rise at the University since 2007. The ultimate performance output is graduation. Like enrolments, total graduations at the University have increased since 2007. All students completing their programmes and qualifying for graduation by meeting all requirements in year n, graduate in year n+1 around May. The graduations of 2016, therefore, reflect students who completed and met all requirements for graduation in 2015. A total of 3 857 students graduated in 2016; 2 402 females and 1 455 males, an impressive gender bias in favour of women aligned with the enrolment gender bias. The gender bias in favour of women is prized at the University where it is seen as the contribution to the national, and indeed the global drive for the emancipation and empowerment of women. The biggest contributor to graduation in 2016 was the Faculty of Education with 1 395 graduates, followed by the Faculty of Arts, Commerce, Administration and Law, and Science and Agriculture, with 1 206, 729 and 527 graduates respectively.

## TEACHING AND LEARNING CLIMATE

The University's teaching and learning climate was decorated with several highlights, including conferences that were hosted by the faculties, and individual highlights by staff and students of the University. It is difficult to report on teaching and learning without touching on the climate that turned dark and cloudy in the past year or two at national level, sparked by the #FeesMustFall movement in South Africa, as this had a profound impact on teaching and learning at the South African public universities. Ironically, it was not the #FeesMustFall movement that threatened to derail the teaching and learning project at the University, but a staff strike that was complicated by a brief student protest. The staff strike raged on for more than eight weeks, and when it finally ended, the teaching and learning project was recovered with major adjustments on the timetable. The greatest accolades for this recovery go to academic staff and students of the University who dedicated extra time beyond the normal call of duty to ensure that teaching and learning, assessment and examinations were fully recovered.

## #FEESMUSTFALL MOVEMENT

On the #FeesMustFall movement, Davids and Waghid published their view in the *Mail & Guardian* that protests at South Africa's universities did not suddenly start in 2015 with the #FeesMustFall movement. Instead, the two very different responses – little media attention given to earlier protests at historically black universities versus widespread coverage and international solidarity for protests at historically white universities – are a stark reminder of embedded inequalities of post-apartheid South Africa. The opinion noted that students at poorer institutions that cater almost exclusively for black students had been protesting routinely against rising fees and the cost of higher education since 1994. But their protest action was largely ignored and did not make headlines beyond regional newspapers. To the contrary, the most recent #FeesMustFall protests, which started at historically advantaged but were soon joined by historically disadvantaged universities, attracted widespread media coverage and sparked solidarity protests as far as London and New York. Although the University's students did not withdraw their loyalty and support to the movement, and declared it openly, they were more preoccupied with pressing issues that threatened the realisation of the graduation and related aspirations for 2016 and 2017. On the other hand, the management of the University noted that the impact of student funding limitations on the University's students was minimal and would narrow even further when the funding of the missing middle kicks in, in 2017. This effectively meant that the dream of all students funded at the University was well within reach and could be

realised if all stakeholders worked together. Over the years, the Vice-Chancellor's Bursary Fund had funded a significant number of students and the University was exploring a variety of ways in which the incomes of the fund could be expanded and diversified so as to support a larger number of students.

## THE IMPACT OF NEGATIVE PUBLICY

The University of Zululand has embarked on image renewal to clear the media reports that have unfairly portrayed the University in a negative light, with grave consequences on the teaching and learning project. Whereas there have been reports of fake certificates, after engagement with a number of internal and external stakeholders such as the South African Qualifications Authority, it was firmly established that although the highest integrity security systems for certification were in place and intact at the University, it was not possible to prevent the world of criminality from producing fake certificates any more than it is possible to prevent criminals from producing fake dollars and rands. As part of the quality enhancement project, the University continually evaluates all systems, including those responsible for certification, to ensure improvement and alignment. In addition, a number of individuals who have been identified as collaborators with the criminal production of fake certificates have been expelled from the University. Similarly, the phenomenon of marks for sex, which has plagued many universities in South Africa and abroad, has been put under the spotlight at the University, with resignations as the disciplinary net closes in. These unfortunately darker sides of an otherwise positive teaching and learning report are stark reminders that academic transformation is an imperative of higher education that is aimed at continuous self-purging through rational introspection.

## ENHANCEMENT OF ACADEMICS AS TEACHERS

Various workshops and training sessions to enhance the quality of academics as teachers were conducted, including basic teaching methods, postgraduate student supervision, the induction programme for new staff, quality assurance of course outlines in preparation for uploading onto Moodle – the University learning management system. Prof. Iyer and Ms K. Naidoo attended a workshop at the Tusk on Curriculum Development and Course Outlines. The Department of Law attended a workshop on portfolio development and teaching and learning strategies.

| Table 54: Approvals, Accreditations and Registrations of New and Recurriculated Programmes that were Issued in 2016 | | | | | |
|---|---|---|---|---|---|
| **NAME OF QUALIFICATION** | | | DHET | CHE | SAQA |
| 1 | Higher Certificate in Accountancy | | X | X | X |
| 2 | Bachelor of Commerce in Accounting Science | | X | | |
| 3 | PGCE in Further Education and Training Teaching | | X | | |
| 4 | PGCE in Senior Phase and Further Education and Training Teaching | | X | | |
| 5 | Bachelor of Education in Foundation Phase Teaching | | X | | |
| 6 | Bachelor of Education in Intermediate Phase Teaching | | X | | |

## GENERAL TRANSFORMATION OF THE PROGRAMME AND QUALIFICATION MIX

In 2016, a series of approvals, accreditations and registrations of new and recurriculated programmes were issued by the DHET, the CHE and the South African Qualifications Authority respectively. For example, registration by the South African Qualifications Authority of the Higher Certificate in Accountancy was issued on 20 December 2016. Table 54 summarises the approvals, accreditations and registrations of new and recurriculated programmes that were issued in 2016 by the DHET, the CHE and the South African Qualifications Authority.

| Table 55: Summary of the 2016 Tutorial System showing the Number of Tutors | | | |
|---|---|---|---|
| **FACULTY** | **SEMESTER 1** | **SEMESTER 2** | **TOTALS** |
| Arts | 90 | 60 | 150 |
| Commerce Administration and Law | 136 | 52 | 188 |
| Education | 2 | 27 | 29 |
| Science and Agriculture | 84 | 48 | 132 |
| Totals | 312 | 187 | 499 |

## ENHANCING STUDENT SUPPORT: THE TUTORIAL SYSTEM

Increased access to higher education comes with the expectation that universities will support students in a number of ways, including and especially learning support. These needs are a consequence of the socio-economic status and the gaps in the schooling system for many students. The need for such support should focus on student support and development initiatives that are directly related to academic performance, including academic and career advising, life and academic skills and literacies, counselling and performance monitoring linked to cohort analysis, tracking and referral systems. The tutorial system offers huge benefits for students by allowing them the opportunity to teach and learn from each other. This is a distinctive experience that is unlike the traditional lecturer-student interaction. Students can seek academic support from their peers in an informal, less threatening environment. Proficient senior students are identified and trained as tutors. This is a central feature in the enhancement of the undergraduate teaching and learning experience at the University. The tutor training programme grew from 500 trained in 2015 for tutorials in 2016, to 600 tutors trained to lead tutorials in 2017. The 2016 tutorial system is summarised in Table 55.

## MENTORSHIP PROGRAMME

On 23 June, Senate approved the Mentorship Plan, and as a result, an advert was issued to the academic community to participate in the programme. To this end, 10 modules were added. The activities for the programme include identifying the issuing of high-risk modules by lecturers in terms of all module codes; lecturers responsible for second semester, etc.; statistical analysis to identify the students at risk and the number of students in order to allocate adequate mentors per module; and recruiting adequate postgraduate students to be trained as mentors for each high-risk module in terms of interviews. Lecturers were invited to advise and participate in interviews; meetings were held with lecturers involved in the programme; memoranda of understanding were signed in terms of the mentorship programme requirements; training for the mentors and lecturers was undertaken; and mentors were introduced to high-risk module students.

## COMMUNITY ENGAGEMENT IN TEACHING AND LEARNING

At the University, the teaching and learning enterprise has maintained contact with a number of the various participants in the economy for which the University provides education and training of human capital. In 2016, there was a review of the general modality for such engagements aimed at focusing each of the subject and professional training areas on their specific communities in the economy. For example, while the legal professional training enjoys ongoing engagement with the Law Society, there is now an added drive to establish working relations with local law firms, prosecutors, magistrates and judges, aimed at influencing the curriculum, teaching and learning in ways that make sense to the local practice of laws. In the same way, the criminology, penology and police studies education and training is pushing for enhanced engagement with the local law enforcement industries.

Another example is the road to revitalisation and accreditation of the education and training for the accounting industry. The subject and professional specialisation areas that form the education and training for the accounting industry within the University have joined hands with the South African Institute of Chartered Accountants, the pre-eminent accountancy body in South Africa in a partnership aimed at establishing the required quality standards and capacities for accreditation of the education and training for the accounting industry. As part of this partnership, the University has expanded its collaborations for this purpose to include the recognised and accredited operations at the University of Cape Town and the University of Johannesburg. In this regard, also the University is starting to enhance these partnerships with engagement of the growing accounting industry in the Richards Bay economic hub, as well as the general business sector. Discussions with the Chamber of Business, led by Prof. Ndwandwe, are aimed at achieving engagement beyond the accreditation of the education and training for the accounting industry.

## CONCLUSION

The complete annual University of Zululand Teaching and Learning Report was presented to and noted by the Executive Committee and the teaching and

learning committee of Senate. The full report shows a wide range of achievements in 2016 in the backdrop of what was arguably the worst climate for the University. Major advances were seen during this period in accreditations of a number of programmes, signalling momentum build-up in curriculum transformation. The policy gap and overlap analysis conducted led to ongoing major overhaul. Major strides led to the first teaching and learning conference and an impressive uptake and entrenchment of Scholarship of Teaching and Learning. Planning of the Vice-Chancellor's Excellence Awards in Teaching and Learning was concluded. Transformation in Teaching and Learning was characterised by the review of the teaching and learning strategy and charter, humanities and social sciences and language policy. Integration of technology into teaching and learning featured Moodle, the e-learning platform, ITS iEnabler, ITS mobile and digital audio-visual infrastructure. Examples of initiative in the involvement of stakeholders and community engagement in teaching and learning included international and local partnerships and collaborations such as the partnership Department of Arts and Culture, Sport and Recreation in the KwaZulu-Natal province for the establishment of the Arts and Culture Academy, and the Department of Agriculture and Rural Development in support of the Centre for Sustainable Integrated Rural Development. There should be accolades given for the various achievements since the climate of 2016 was marred by unfavourable media publicity and institutional stability problems.

**Prof. S. Songca**
**Deputy Vice-Chancellor: Teaching & Learning**

The year 2016 was one of mixed developments, with leadership challenges in the first two quarters of the year, albeit with simultaneous progress in staff and postgraduate research capacity development projects. The employment of the Deputy Vice-Chancellor: Research and Innovation in the third quarter (August) of the year offered leadership stability and strategic direction for the research and innovation sphere of the University.

## INTRODUCTION

Paradoxically, at this supposedly challenging phase, unprecedented developments in postgraduate student National Research Foundation (NRF) grants, NRF staff research projects, industry partnerships, TIA and EdTIA seed funding grants, as well as new EU Mundus and international collaborative projects marked an upward shift in the research and innovation trajectory in this year.

Increases in research publications and related subsidy income, advances in TT patent disclosures, notable patent registrations on strategic international markets, and growth in postgraduate (Masters and PhD) throughputs, were also registered in 2016. Further, notable research policy frameworks, guides and processes were initiated in the final two quarters of 2016 – in particular, a consultative process on a new research and development strategy, a revision of research, innovation and higher degrees administration policies. Year 2016 was clearly a year of positive beginnings. It reflects a positive basis upon which the strategic direction of the University can be channelled to even greater heights in the medium to long term. This report must be read with the Senate report, which together provide a full overview of the Research Office's workings in 2016.

## RESEARCH AND INNOVATION
**Postgraduate Studies**

In relation to postgraduate education, the following achievements were attained:

- The database for all postgraduate students has been finalised, which assist the faculties to track and monitor the status of all applications made to the three Research Office committees.
- A database was created for all meetings held, Higher Degrees/Research Ethics and Research Committee so that there will be easy tracking of all research proposals and projects that went through the system from 2005 to 2016.
- Research assistant positions were advertised internally, shortlisted by deputy deans and interviewed. They assumed their duties across all faculties on 1 March 2016 – 31 August 2016 to assist with all the research administration work at faculty level, reporting to each Deputy Dean Research. The funds were approved through the Research Committee for 12 months. These positions are a six-month contract catering for full-time registered masters or doctoral students that will give them exposure and work experience in Research.
- Research assistant positions are one of the

ways for the Research Office to train and mentor postgraduate students about research management and administration and provide them with skills.

- New Higher Degrees Committee letters are issued in order for students to have proof of their application. This enables the student and the supervisor to be able to submit required documents to the examination section.
- The implementation of the MoU between a supervisor and the student has been successfully rolled out this year. This aims to legally protect the student and the supervisor's relationship, supervision meetings and schedules and to prevent conflicts.
- At faculty level, we have requested deputy deans to run Research Proposal Writing Workshops to assist new and struggling students to initiate their proposals.
- A postdoctoral fellowship audit was done in June for the existing postdocs. New postdocs were advertised, selection has been made to faculties and waiting for the Research and Innovation Office to finalise selection, depending on the availability of funds.
- Municipal Institute of Learning (MILE) project is still ongoing; in May 2016 there was a meeting in Durban when UNIZULU was chairing. Three focus areas were discussed:
  - Quality living environment (water, sanitation, climate change);
  - Economic development, youth empowerment, employment, employability and public transportation); and
  - Good governance (civil engagement, inclusivity and accessibility).

## Training and Development

The report presents a full scale of activities and workshops that took place for the period under review. The Research and Innovation Office started the year with a three-day writing retreat for our faculty-based pilot programme in January. The Faculty of CAL and Science participated in this retreat. The faculty-based writing retreat is a pilot project that was introduced early in 2015. The model introduces online modules for supervisors and their students for the planning stage of article writing. The students are given access to the modules upon request, i.e. when they are ready to start writing.

The model is supervisor driven. The idea is to support supervisors in the article writing process with their students.

In early June, a second call went out to supervisors and they were introduced to the model. The response was positive from those who attended. On 1 July, we will start offering the online modules to the second group taking place in the pilot programme. If this pilot project is a success, this will, in turn, increase postgraduate research output and also ease off the burden on supervisors.

*Year 2016 was clearly a year of positive beginnings. It reflects a positive basis upon which the strategic direction of the University can be channelled to even greater heights in the medium to long term.*

The Research and Innovation Office has also offered the following workshops and activities:

- Postgraduate induction
- Introduction to qualitative and quantitative research design
- Proposal writing
- Postgraduate supervision
- Grant proposal writing for postgraduate students
- Academic writing for publication
- Faculty-based writing retreat pilot programme

## Institutional Visit

In April, the Research Office visited the University of Free State Postgraduate School and had a fruitful meeting with the Director Postgraduate Studies. The purpose of this visit was to learn more about the support model for postgraduate students in a postgraduate school and see what we can possibly introduce in the Institution, considering limited resources. Below are some of the ideas the Research Office would like to prioritise:

- Reach out to part-time postgraduate students;
- Enhance personal and career development;
- Judge the impact of postgraduate association;
- Develop a mentorship programme for honours students;
- Develop funding models for postgraduate students;
- Develop exchange programmes; and
- Develop a mechanism to monitor postgraduate student progress from registration to graduation.

The DVC: Research and Innovation attended a SARIMA workshop on 22-23 June on creating and enabling an environment for postgraduate research. The following topics were covered:

- Developing principles guiding postgraduate student support and development;
- Developing processes and strategies to enhance intellectual competencies of postgraduate students;
- Enhancing personal effectiveness of postgraduate students through learning communities and exchange programmes;
- Developing strategies that promote personal efficacy of students;
- Developing transferable skills throughout the postgraduate career;

- Developing strategies for development of research governance competencies;
- Developing resources to assist postgraduate students in management of their research projects;
- Enabling students to increase their influence and impact in their research fields; and
- Developing processes and strategies to enhance the impact and influence of postgraduate students.

This workshop was very fruitful and enriching for the Research Office portfolio; again the Univeristy learnt that development of a postgraduate student must be comprehensive. Personal and career development are just as important in nurturing postgraduate students. The University continues to require more capacity for staff and students in terms of supervision capacity, publication, proposal writing and grant proposal writing.

## Postgraduate Funding Office

The Postgraduate Funding Office's main objective is to assist postgraduate students with funding opportunities that are available to further their studies. However, NRF is the main source of funding that the University's postgraduate students rely on to support and fund their studies. Processing of NRF funding applications involves screening of internal application and online applications, submissions of annual progress, and submission of signed conditions of grant. Tables 56 to 60 give an indication as to how many postgraduate students were funded in different categories for 2016.

| Table 56: Grant Block – Bursaries (Undergraduate) | |
| --- | --- |
| SANHARP | 1 |
| TOTAL | 1 |

| Table 57: Block Grant Bursaries (Honours) | |
| --- | --- |
| Free-standing | 18 |
| Innovation | 70 |
| Scarce skill | 20 |
| DST-NRF interns | 1 |
| TOTAL | 109 |

| Table 58: Masters Scholarships | |
|---|---:|
| Free-standing masters new | 14 |
| Renewal | 4 |
| Innovation scholarship | 10 |
| Innovation additional | 22 |
| Scarce skills scholarship | 8 |
| Extended support | 2 |
| TOTAL | 60 |

| Table 59: Doctoral Scholarships | |
|---|---:|
| Innovation | 5 |
| Scarce skill | 3 |
| Renewal and sustainable energy scholarship | 1 |
| Extended support | 2 |
| TOTAL | 11 |

| Table 60: Postdoctoral Scholarships | |
|---|---:|
| Postdoc | 1 |
| TOTAL | 1 |

The total number of students who received support for funding in 2016 is 182.

**IP Events/Meetings**
Table 61 provides a synopsis of all IP events that transpired during the year under review.

*Again, we learnt that development of a postgraduate student must be comprehensive. Personal and career development are just as important in nurturing our postgraduate students. The University continues to require more capacity for staff and students in terms of supervision capacity, publication, proposal writing and grant proposal writing.*

| Table 61: IP Developments – Events and Meetings | | | |
|---|---|---|---|
| **DATE** | **ACTIVITY** | **HOST/RECIPIENT** | **PARTICIPANT/COORDINATOR** |
| 14 January 2016 | KZN Region Technology Transfer, Management Committee Meeting | Research and Innovation Office (UNIZULU) | Prof. J. Baxen, Prof. Mlitwa, Ms D. Viljoen, Mr B. Rawlins (Dr S. Mlondo, Ms N. Gabathuse and Mr T. Qumza) |
| 26-27 January 2016 | ISIS Innovation Workshop | UKZN (Research Office) | Prof. J. Baxen, Prof. N. Mlitwa and Ms Lundall |
| 2 February 2016 | Patenting discussion for Prof. Revaprasadu's invention | Research and Innovation Office (UNIZULU) | Prof. N. Mlitwa, Prof. N. Revaprasadu, Ms N. Lundall (Dr S. Mlondo Mr T. Qumza from KZN Regional Office) |
| 5 February 2016 | KZN Regional Technology Transfer Office – Strategic Meeting | UNIZULU Research and Innovation Office – IP Unit | Prof. Mlitwa, Prof. N. Revaprasadu, Mr B. Rawlins, Ms N. Lundall, (Dr S. Mlondo & Mr T. Qumza from Regional Office) |
| 9 February 2016 | THRIP visit | Research and Innovation (UNIZULU) | Prof. N. Mlitwa |
| 7-8 March 2016 | SARIMA – Tech Transfer Forum | Protea Hotel – OR Tambo, Johannesburg | Prof. Mlitwa/Ms N. Lundall |
| 22 April 2016 | KZN RegionalTechnology Transfer Office – Strategic Workshop | UNIZULU Research and Innovation Office – IP Unit | Prof. Mlitwa, Ms N. Lundall (Dr S. Mlondo & Mr T. Qumza from Regional Office) |
| 4 May 2016 | Meeting to discuss or review Innovation Committee Terms of Reference | Prof. Mlitwa's Office | Prof. Mlitwa, Ms N. Lundall |
| 6 May 2016 | Prof. N. Revaprasadu's Patent Lab Space Upgrade Commercialisation | UNIZULU Research and Innovation Office – IP Unit | Prof. Mlitwa, Prof. Ndwandwe, Prof. N. Kunene, Prof. N. Revaprasadu, Mr M. Dlamini (ICT), Mr S. Dlongolo PPMW |
| 16-20 May 2016 | SARIMA Conference | Coastlands Hotel Umhlanga Rocks, Durban | Ms N. Lundall/Daniella Viljoen |
| 19 May 2016 | UNIZULU Full Cost Matrices | NIPMO | Ms T. Msowoya on behalf of Ms N. Lundall |
| 31 May 2016 | Update on IP registered disclosures (bi-annual IP report) | NIPMO | Ms N. Lundall |
| 6 June 2016 | Revaprasadu's Patent – Commercialisation/Market Plan | UNIZULU Research and Innovation Office – IP Unit | Prof. Mlitwa, Ms N. Lundall (Dr S. Mlondo & Mr T. Qumza from Regional Office) |
| 1 July 2016 | Transnet Visit (talks on possible partnership) | UNIZULU Research and Innovation Office – IP Unit | Prof. Mlitwa, (UNIZULU) and Transnet Team |
| 6 July 2016 | EDTEA Technology Transfer Fund final submission | UNIZULU Research and Innovation Office – IP Unit | Ms N. Lundall |
| 29 July 2016 | Consumer's studies curriculum meeting | Richards Bay Campus | Dr Mlondo (KZN ROTT and Prof. U. Kolanisi |
|  | TIA Seed Fund deadline for quarterly reports | UNIZULU Research and Innovation Office – IP Unit | Ms N. Lundall |
| 6 August | Brainstorming on DST DG Visit | UNIZULU Research and Innovation Office | Prof. Mlitwa |

| Table 62: IP Workshops | | | |
|---|---|---|---|
| DATE | ACTIVITY | HOST | FACILITATORS |
| 24 February 2016 | IP wise – IP awareness workshop for researchers and postgraduates | UNIZULU | SARIMA (Mary-Anne Chetty – NMMU), NIPMO (Paballo Phiri), UKZN Ms Anne Gabathuse, KZN-ROTT (Dr S. Mlondo) |
| 26 April 2016 | Wold IP Day – workshop for researchers and postgraduates | UNIZULU | Dave Cochrane (Spoor and Fisher), KZN-ROTT (Dr S. Mlondo, Mr Thabang Qumza) |
| 4 August 2016 | TIA Seed Fund | UNIZULU | Koena (TIA) KZN- ROTT (Mr Thabang Qumza, Ms Zandile Ndaba) |

| Table 63: IP Disclosures | | | |
|---|---|---|---|
| TITLE | INVENTOR | DEPARTMENT | STATUS |
| 1. The Synthesis of Core/Shell Metal – Semiconductor Nano-Materials (drug delivery system) | Prof. N. Revaprasau, Dr R. Dunpall | Chemistry | National Phase Patent/TIA funded 2015/2016 |
| 2. Smart Drive (software) | Mr P. Mudali | Computer Science | PCT filing 2016 |
| 3. Smart Home (software) | Mr P. Tarwireyi | Computer Science | Public domain |
| 4. GUISET – Grid-based Utility Infrastructure for SMME-Enabling Technologies (software) | Prof. M. Adigun | Computer Science | Public domain/TIA funded 2015/2016 |
| 5. The Production of a Low-cost Ceramic Micro-porous Filter for Elimination of Common Disease Microorganisms (water filter) | Prof. Jean Simonis | Hydrology | Public domain |
| 6. Manufacturing Plant (software) | Dr A. Alaba | Computer Science | Public domain |
| 7. Synthesis of Semiconductor | Prof. N. Revaprasu | Chemistry | Pending (2016) |
| 8. Polymers (proper title to be confirmed), Applied for KZN EDTEA Fund 2016/2017 | Prof. T. Motaung | Chemistry | Pending (2016) |
| 9. Food technology (proper title to be confirmed), Applied for KZN – EDTEA Tech Transfer Fund 2016/2017 | Prof. U. Kolanisi | Consumer Science | Pending (2016) |

## CONCLUSION

A large part of 2016 was marked by a leadership vacuum in the Research and Innovation Office, however, notable progress was also evident towards the second semester. In addition to the appointment of the DVC: Research and Innovation in August, a number of functions within the Office had continued to strengthen their operational ethos. The accreditation of the UNIZULU Ethics Committee and review process, advanced endeavours to register the Animal Research Ethics (REC) with the National Health Research Ethics Council (NHREC), as well as workshops on awareness of plagiarism marked a positive development towards ethical practice and quality in research in this year.

A myriad capacity development initiatives were also conducted throughout the 2016 calendar year in the form of training programmes for researchers and postgraduate students, with commendable outcomes. An increase in the number of NRF block bursaries for Honours, i.e. increase from 91 in 2015 to 130 grants in 2016, and an increase from 13 (in 2015) to 18 NRF scholarships for masters students in 2016, reflect an element of progress. The Research Committee also registered 38 new projects and funded 27 additional applicants to attend national conferences in 2016.

Further, a substantial number of equipment grants were received by UNIZULU researchers from the NRF in 2016, with a total of the NRF research awards, scholarships and bursaries in excess of R33 506 557.37 recorded in the books for the 2016 calendar year.

A number of IP and TT events, together with workshops, patents registrations, training and collaborative partnership, were established. The Research and Innovation Office was evidently more active in this year, with several international collaborative agreements signed, international workshops held within UNIZULU, and offshore. A number of awards by the UNIZULU research community attests to the growth of research activity among the university academia.

**Prof. G. de Wet**
**Deputy Vice-Chancellor: Research & Innovation**

The Office is responsible for estates and facilities, information and communication technology, communications and marketing, student services and protective services. The office enables a consolidated strategic management of resources and operations to achieve greater sustainability, efficiency, productivity and economies of scale.

## INTRODUCTION

A new structure for Physical Planning and Operations (PPO) was submitted to all relevant bodies and received Council approval. The new structure will improve the efficiency and effectiveness of the Office and resolve the longstanding issue of the maintenance, cleaning and gardening cooperatives. Thirteen vacant positions have been advertised and appointments were scheduled for finalisation at the end of December 2016.

## CAMPUS DEVELOPMENT

In 2016, Physical Planning and Operations produced a comprehensive three-year maintenance plan that detailed planned maintenance and new capital projects. The backlog maintenance recommendations found on the review report and received in 2014 will be used to develop a long-term catch-up plan. Backlog maintenance amounts to approximately R1.5 billion and the University spent R60 million in 2016 on maintenance.

Several upgrades/installations were completed in 2016, namely:

### Upgrading and Improvement of Air-conditioning Systems – King Bhekuzulu Hall

King Bhekuzulu Hall is the main venue for large events and official functions of the University such as graduation ceremonies, student registration, tests and examinations. During 2016, a plan was agreed upon for the upgrading and improvement of the air-conditioning system in this facility. This consists of four roof top air-conditioning package units. Two units were installed in 2016.

The contract for installing the two remaining rooftop air-conditioning package units has been awarded and will be completed in 2017. The contract value for the project is approximately R7 million.

### Upgrade of the Substations at KwaDlangezwa Campus

The master plan for Kwadlangezwa Campus provides for major expansion and growth, including a new Student Centre, Student Services building, new student residences and a multipurpose centre. Such developments require improvement in the campus infrastructure. In April 2016, an award for planning, design, supply, deliver, construction and commission for the upgrade and refurbishment of the 88/11 kV Main Substation at KwaDlangezwa campus was concluded. The award was made and the approved contract amount is almost R21 million. The contract duration for the project is 12 months and the expected completion date is May 2017.

At the end of October 2016, five tender awards were concluded for the total replacement of all existing 11kV 95mm$^2$ paper cables with new 11kv

185mm² XLPE cables to cater for load growth on campus, including the equipment that will be used during the replacement process.

### Installations of Eight New Heat Pumps at West Residences

Heat pumps at West Residences were installed 18 years ago. On installation, it was indicated that with proper servicing and maintenance, they would last more than 10 years. It has come to the stage where it is costing more to repair these heat pumps. Hot water supply has become inadequate for the number of students that use these facilities, which is most evident during winter months. Spares are expensive and hard to find. A tender was awarded for the supply and installation eight new heat pumps at the beginning of April 2016. The total contract amount for this project is over R6 million and was completed successfully on schedule in August 2016.

### SINGLE VIRTUAL CAMPUS

Work on a fully integrated network started in 2015. An assessment of the Data Centre, the core network backbone and the Wireless Everywhere Project were completed. Tender documents for the necessary improvements were developed and the tender process began in 2016. Intercampus fibre connectivity has been improved, with the international bandwidth being increased from 220mb to 500mb. The tender was awarded for the Core Switching Network and the distribution layer switches. This project has been completed with two core switches for redundancy and 25 distribution switches.

The first phase of the wireless project has been completed with 400 wireless access points installed and a wireless controller managing all the access points. The Data Centre storage was also upgraded with storage of more 29 terabytes during 2016.

Two-hundred student desktops were purchased and delivered and 100 of these desktops have since been deployed to the Richards Bay Campus. These will be used in student labs and some in the library. Ten laptops were supplied to Richards Bay staff and 180 laptops for academics were procured. The distribution is in progress.

The following new projects were identified during 2016 and the tender documents completed: Video Conferencing System, Digital Signage System and the Clinic Management System. Briefings were done in December 2016.

The Business Continuity Plan (BCP) and the Disaster Recovery Plan (DRP) were developed in 2016 and are ready for tabling to the Council. The ICT Governance Framework, terms of reference and membership for the ICT Steering Committee and ICT Governance Committee of Council, ICT Strategy and eight ICT policies have been developed and are ready for presentation to Council for approval. These were all supported by an ICT Indaba held in September 2016 with all stakeholders in attendance. The Indaba was to come up with inputs from all stakeholders. ICT has ensured that student photos are now available in ITS for 2017 Registration. Staff photos will be captured into ITS in February 2017.

*The first phase of the wireless project has been completed with 400 wireless access points installed and a wireless controller managing all the access points.*

## FACILITIES AND MAJOR CAPITAL WORKS

### DHET Infrastructure Projects

The delayed DHET funded infrastructure projects were reactivated with the implementation of the Court agreement on previous challenges. Following this, the establishment of the Infrastructure Development Unit was initiated with the appointment of a resident engineer as Senior Project Manager and Head of the Unit. The tender document for a Turnkey provider of the infrastructure project was finalised and advertised in November 2016. Applications closed in December 2016. In relation to the development of the Infrastructure Master Plan for the University, the closeout on the aborted awards for DHET (DHET) Infrastructure Projects is complete. The internal team to absorb professional expertise has been identified and once approved by Council, will be advertised.

### Construction of the New Residences

The construction of the 288-bed space residence on KwaDlangezwa campus proceeded at full pace. Exceptionally heavy summer rain delayed the project by a few weeks but it is still planned for completion in January 2017. The paperwork for the Development Bank of Southern Africa (DBSA) loan to fund the project was completed and the papers for the first draw down completed.

### New Student Residences for Richards Bay Campus

The University identified a pre-built complex suitable for student accommodation within two kilometres of the Richards Bay campus. Following serious negotiation, the owners provisionally accepted an offer from the University. A letter requesting approval to purchase and the use of DHET infrastructure funding monies for a new student residence was sent for the Minister of DHET's approval in June 2016. No response

was received by year-end. A further site was identified as being a possible residence site. An offer was made on the Transnet Lodge in Richards Bay. This was submitted to the Board of Transnet in early October 2016. By year-end, no response had been received.

## COMMUNICATIONS AND MARKETING

The communication, marketing and brand strategies are derived from the institutional vision, mission, values and Strategic Plan. The brand strategy has a clear role in brand positioning and is a powerful motivator for change within the organisation. It, therefore, captures UNIZULU's purpose as well as attitude and is the necessary action to position UNIZULU more competitively for the future.

In 2016, the Communications and Marketing Division (CMD) conducted school visits, career fairs, career exhibitions, seminars, top performing schools awards, workshops, and open days in order to advise learners on courses available at the University and to position UNIZULU as a brand among key stakeholders.

Career Exhibition is a Department of Education (DoE) initiative aimed at eradicating the gaps created by the lack of career guidance through career development initiatives and tertiary institutions that supported the idea. This Career Exhibition provided a platform to tertiary institutions, education-focused financial institutions, SETAs and provincial professionals to engage learners on career guidance and career development. The nature of the exhibition allows for multiple contacts with learners, one-on-one or in groups. The majority of learners use the exhibition as the sole platform with which they engage with UNIZULU, as individual visits to all potential feeder schools is just not possible, given the diverse and rural catchment area of the University.

The following districts exhibitions were attended:

| Table 64: District Exhibitions | | | |
|---|---|---|---|
| DATE (2016) | DISTRICT | NUMBER OF ATTENDEES | BROCHURES DISTRIBUTED |
| 2-5 February | UGU | 6 725 | 5 700 |
| 9-15 February | Umlazi | 7 550 | 6 450 |
| 15-19 February | UThukela | 11 776 | 3 000 |
| 22-25 February | Pinetown | 4 489 | 2 500 |
| 8-11 March | UMzinyathi | 4 448 | 69 (school) |
| 11-15 April | ILembe | 8 325 | 115 (school) |
| 28 April | All | 4 738 | 72 (school) |
| 3-6 May | UMgungundlovu | 2 697 | 52 (school) |
| 9-13 May | Zululand | 10 853 | 190 (school) |
| 24-27 May | Kokstad | 4 235 | 66 (school) |
| 29 Aug – 2 Sep | UThungulu | 1 200 | 115 (school) |

A successful open day was held on KwaDlangezwa campus in the King Bhekuzulu Hall on 28 April 2016. This is an on campus recruitment event that involves setting up faculty displays and allowing high school learners and their educators to attend and interact with academics, tutors, administrators and companies regarding the University's academic offerings. The Faculty of Science and Agriculture offered practical demonstrations and interactive engagement.

While an annual event, the date was brought forward in the year for the benefit of the learners to make informed decisions before the CAO (KZN provincial university application system) closing date. On the day, a total of 4 738 learners from 72 schools from uThungulu, Zululand, uMkhanyakude, iLembe, uMzinyathi, Pinetown and Umlazi districts attended. Forty-five academic departments and 13 organisations attended the event: CAO, DHET, NSFAS, Tongaat Hulett, SARS, Legal Aid, National Prosecuting authority-KZN, Nedbank, Science Expo, ACCA, Competition Commission, Department of Agriculture and Logos Hope.

Several campus educational tours took place during the year, including career fairs by strategic companies. School visits were arranged to schools in the uThungulu and Umlazi districts.

The following strategic events took place during the year under review:

| Table 65: Strategic Events | | |
|---|---|---|
| **EVENT NAME** | **DATE** | **PURPOSE** |
| University Official Opening Event | 15 February 2016 | The event was directed at the whole university community, students and staff. Professor Xoliswa Mtose, the Acting Vice-Chancellor delivered an address to the staff and students, outlining plans for 2016 as well as plans to address outstanding challenges from the previous year |
| Graduation Ceremonies | 9-13 May 2016 | Graduations for the University graduates. Ceremonies were attended by various influential guest speakers |
| Women's Day | 11 August 2016 | In commemoration of the annual Women's Day. All female staff members from the University were invited and over 250 attended the event |
| UNIZULU Long Service Awards 2016 | 5 December 2016 | Awarding ceremony for long service |

Other events that were hosted by UNIZULU in 2016 were:

- First Things First Campaign from 11-18 March 2016
- Mbali (Management, Business, Administration and Legal Initiatives) Conference – 6-8 July 2016
- Eskom Science Expo – 10 August 2016
- Secretaries Day – 7 September 2016
- Media Briefing – 28 September 2016
- Department of Law Annual Dinner – 25 November 2016
- Research Awards Gala Dinner – 28 November 2016

The Publications Office wrote stories for the *Tertiary Times*, which appeared as a supplement in *The Mercury* once a month between the months of February and November. Stories included human interest, achievements by staff, students and by various divisions/departments within the University.

Three editions of the UNIZULU *#Tag* magazine (the official student magazine at the University) were published in 2016. Each publication contained feature stories mainly about the triumph of UNIZULU students in various facets of life (academics, sport and business). In total, 9 000 copies (3 000 per edition) were distributed at both campuses. The highlight for the magazine was when it received the Merit Award at the MACE Excellence Awards held in Cape Town. One of the pictures used in the magazine also received an award in the news photography category.

## STUDENT SERVICES

The Office of the Dean of Students works collaboratively with various divisions and departments within the University to promote student well-being and success. By the time students leave the University, they must have acquired life and work skills that will help them participate as a fully rounded individual. Our students participate in social and community development programmes like the Enactus project, which assists cooperative business initiatives to succeed. The project has won several international accolades and students have established business ventures together with communities around Zululand.

### Student Residences

Working collaboratively with the Finance and Registrar's offices, we ensure students are allocated to residences just as soon as they have satisfied admission requirements. As a rural-based institution, the

University strives to provide as much accommodation as is possible. In 2016, there were 4 960-bed spaces in both University as well as outsourced residences. There were 3 847-bed spaces on campus and 1 113-bed spaces in off-campus residences.

## Student Governance

The University recognises the critical role that students play in the drive to deepen democracy and broaden transformation among the different communities in South Africa. It worked closely with the student body in order to ensure that the election of a democratic and representative SRC took place. However, the election results were disputed by one of the presidential candidates. After the exhaustion of internal appeal processes and when a candidate could not accept the outcome of that process, he applied for a court interdict against the inauguration of the new SRC, which was successful. In order to ensure that there was no leadership vacuum while the courts dealt with the matter, an SRC administrator was appointed by the University Council.

Despite the disruptions that took place in the second semester of 2016, the University management arranged a teach-out plan that allowed students to take their final examinations. This took place after the implementation of the recovery plan and the adjustment of the academic timetable. The University worked closely with the student leaders and other stakeholders to ensure a successful completion of the 2016 examinations. It was a result of this collaboration that the University became one of the few institutions that managed to have successful final examinations in 2016.

The Student Governance Section played a pivotal role in renewing affiliation of student structures within the SRC. It also facilitated presentations of programmes of action and encouraged political formations to hold AGMs in accordance with their constitutions. In order to promote and deepen constitutional democracy, student structures were presented with an opportunity to elect their new leadership. For example, successful elections of faculty councils, executive committees of different student structures and house committees took place.

## Student Development

The University embraces the national and global drive to recognise students as future citizens of the world. This, it achieves, through providing skills, information and activities that broaden the students' knowledge base. The residence life programme assists students to gain study skills as well as worthwhile life skills. Towards the end of 2016, student leaders embarked on three educational trips to Luthuli Museum in Groutville, Nelson Mandela Capture Site in Howick and KwaMuhle Museum in Durban. This formed part of the out-of-classroom learning programme, which opened the eyes of many students about their history.

## Sports and Recreation

This section exists to promote sport and recreation among students. Further, it promotes the developmental role of sports, which may enhance academic performance. In 2016, the sport section was involved in the following activities and achieved as highlighted below:

- Hosting of Universities National Athletics Cross Country at Richards Bay; and
- Hosting of inter-varsity tournament at KwaDlangezwa (UKZN-DUT and UNIZULU).

As a result of sporting activities, the Institution attained national colours in the following students categories:

- Volleyball men – Position 3 out of 17 teams (Bronze Medalists)
- Best Setter in Men's section
- Two students selected to form part of provincial teams in an Inter Provincials Tournament
- Squash – The team was awarded runner's up medal in Section B.
- Netball – The team attained positon 5 in section B
- Hockey – Two female students made it to the KZN provincial team.
- Football – The goalkeeper of the university squad, participated in the CUCSA games in Zimbabwe. He was representing South Africa.
- Boxing – The following UNIZULU boxers were selected to form part of the South African Students' Team that was scheduled to take part in the World University Championships: Males – Sanale Maduna (52kg), Females – Zamafuze Ngcobo (51kg) and Nomcebo Mpungose (57kg)

## Student Health Clinic

The Campus Health Clinic disseminates information on self-care in order to promote a healthy lifestyle. The Health Care Centre provides Primary Health Care services following Department of Health guidelines. These include rehabilitative services, HIV/AIDS Services and Reproductive Health. The aim always is to provide holistic care so as to give equal attention to the 'whole' person.

## Disability Unit

The University of Zululand strives to comply with DHET policies and the bill of rights, which forms the basis of the Constitution of South Africa. Over the years, our disabled students have been struggling on their own without a particular office that is dedicated to their special needs. A Disability Coordinator was appointed in 2016 and the unit is playing a crucial role in the advocating for accommodations for students with disabilities. The University is working on a number

of policies pertaining to Students with Disabilities and those include Examination and Assessment Policy, Admission Policy, Student Housing Policy and, Infrastructure and Access Policy. In 2016, the Disability Unit successfully ran a week-long Disability Awareness Campaign. During the campaign, students received a chance to share views and concerns with Management. As a closing event of the campaign, the Registrar and the Director joined a parade around the campus: Protective Services, the Dean of Students, Staff members (Academic and Support) and general students. After the campaign, more students came forward to enlist with the Unit and started opening up about their disabilities.

## INFORMATION AND COMMUNICATION TECHNOLOGY (ICT)

An IT Steering Committee terms of reference and proposed membership were developed and presented at Faculty Boards. Once comments have been incorporated, it will be presented to Manco, Senate, and finally to Council. Thirteen policies have been developed and presented at Faculty Boards related to ICT. Once comments have been incorporated, it will be presented to Manco, Senate, and finally to Council. The first planning meeting for the Network Backbone Project, which will improve service reliability and capacity on both campuses, were held in 2016. Equipment is due for delivery at the end of September 2016 and the project will be completed by the end of October 2016. A tender was awarded for the Wireless

Everywhere Project, which is funded by DHET ICT Infrastructure Fund, and equipment was ordered by the service provider. It is due for completion by the end of November 2016 and will improve wireless access on both campuses. The Data Centre Upgrade Project commenced in 2016, which will increase capacity, improve speed and also allow for greater centralised storage for simpler and cheaper machines to be located in offices.

## CONCLUSION

During 2016, new leadership and operational structures were put in place across the Division. This has enhanced collaboration and effectiveness across all departments. Service delivery throughout the Division remains a work-in-progress. The review of all positions and related job descriptions that is being carried out by Human Resources throughout the University will help enormously in realigning institutional support so that it clearly and directly supports the institutional mission.

**Prof. N. Garrod**
**Deputy Vice-Chancellor: Institutional Support**

*A tender was awarded for the Wireless Everywhere Project, which is funded by DHET ICT Infrastructure Fund, and equipment was ordered by the service provider. It is due for completion by the end of November 2016 and will improve wireless access on both campuses. The Data Centre Upgrade Project commenced in 2016, which will increase capacity, improve speed and also allow for greater centralised storage for simpler and cheaper machines to be located in offices.*

# REPORT FROM THE
# REGISTRAR

In terms of the UNIZULU Statute, the Registrar is secretary to Council and Senate and the head of the University's academic administration. The Office of the Registrar provided administrative and secretarial support to Council and its sub-committees, Executive Management, Senate, the Institutional Forum and the Convocation Executive during the year under review.

## INTRODUCTION

Administratively, the Office was responsible for governance to ensure compliance with the various acts and statutes that govern the University and the Institution's various policies, procedures and rules. The Registrar has overall responsibility for legal matters across the University, including student discipline, and supports the executive officers, deans and heads of department across a wide range of internal structures and functions. The student admissions and systems support functions report to the Registrar.

## STRATEGIC IMPERATIVES

A five-year turnaround strategy was developed for the office of the Registrar in order to focus on and address deficiencies identified in the Independent Assessor's Report (2010) and Administrators' Report to Council (2013). The Office of the Registrar focused on several strategic objectives in the year under review in line with the Annual Performance Plan (APP) and turnaround strategy, namely:

- The introduction of an online registration system;
- The revision of the academic structure on ITS;
- Enhanced student administration;
- Improvements on internal systems and controls;

- Enhanced governance and compliance; and
- Improved committee administration.

### Online Registration and Academic Structure Revision

Council approved the introduction of an online registration system in 2016, to be fully implemented by 2020. In order to achieve this, the Office of the Registrar had to drive a programme of academic structure revision to ensure that the academic structure of the Institution corresponded with its PQM and that the structure was correctly reflected on ITS to enable online registration. Phase I commenced with the selection of 16 first-year programmes (four per faculty) for web-based registration in 2016. The University registered a total amount of 515 students in the selected programmes, enabling the continuation of Phase II (all first-year and postgraduate students, together with those progressing into second-year who had registered online in 2016, would form part of Phase II (2017 registration)). In order to ensure readiness, the University procured the services of an external consultant and expert in ITS to assist with the revision of the academic structure. Monthly progress reports were compiled and submitted to management for review and comment. Comprehensive workshops

were held with individual faculties to ensure that there was a common understanding of the need to standardise the systemic management of the student administration system on ITS. With a view to Student Web Online Registration, the need for absolute accuracy of the data was enforced.

Compliance with the departmental PQM requirements played a major role in the cleansing of the system. Detailed comparative audits were undertaken to ensure unanimity among the Faculty Handbook, PQM and the ITS Integrator student database. Anomalies within the system were rectified and all deans signed off on their 2017 academic structure, attesting to their accuracy and completeness. The academic structure of all faculties were finally approved by Senate on 26 October 2016. Three copies of the final handover files were presented to the Registrar's Office, Academic Planning and Quality Assurance Division and ICT Office for reference and record purposes. The Academic Planning and Quality Assurance Division undertook to seek condonation from DHET for all anomalies and to correct glaring errors and omissions.

Numerous improvements were made to further ease the management of the student administration system, one example being the Student Enrolment Form. Other precedents were also introduced to the various academic structure validation reports. The standardised ITS integrator validation reports, namely Curricula and Pre and Co-requisite and Substitute, were presented to the respective academic heads of department for final endorsement. This was the proposed practice introduced for the approval of all academic programmes, by the respective academic departments. Training and mentoring with Faculty Co-ordination Officers were conducted to ensure the accuracy of academic data and correct course management procedures.

The Student Web Online/Back Office Registration was the ultimate test of the effectiveness of the intervention. Communication with students was done via an appointed SRC representative. Mock trials for Student Web Online Registration were held with all the relevant stakeholders prior to 2017 registration to test the readiness of the system and use. Over a four-day period on campus, numerous random students and courses were selected to test the effectiveness and accuracy of using the student iEnabler system of online registration.

A new, integrated Student Card System will be introduced by the ICT Department in 2017, which will greatly enhance general efficiencies in order to avoid long queues. The enhanced functionality of the Student Card System will upload a photograph of a student into the ITS biographical database table, for easy identification purposes.

## Student Administration and Enrolment

The Registrar's Office provides crucial academic support functions such as the management of student records, management of examinations, management of certification, management of admission and registration, graduations, timetabling and all student queries. All departments within the Registrar's Office are responsible for determining, reviewing and implementing policies, principles, rules and regulations to ensure effective student administration throughout the institution. The Student Administration System on ITS is managed by the Office of the Registrar and staff manage access to ensure that student data is correctly uploaded and remains confidential.

### Admissions Department

The University has an MOU with the CAO and all downloads related to student applications is secured by the Admissions Department. Total applicants (headcounts) received from the CAO has increased

significantly in 2016 to 81 636. The University continues to accept walk-in applicants where spaces are available.

The table below indicates the number of applications per faculty and include late applications, change of minds and walk-in applications.

| Table 66: Applications | |
|---|---|
| **FACULTY NAME** | **NUMBER OF APPLICATIONS** |
| Faculty of Arts | 31 838 |
| Faculty of Commerce, Administration and Law | 6 772 |
| Faculty of Education | 42 048 |
| Faculty of Science and Agriculture | 27 049 |

The University issued a total amount of 6 907 offers as per the table below:

| Table 67: Offers Issued | |
|---|---|
| **FACULTY NAME** | **NUMBER OF OFFER ISSUED** |
| Faculty of Arts | 1 325 |
| Faculty of Commerce, Administration and Law | 2 181 |
| Faculty of Education | 891 |
| Faculty of Science and Agriculture | 2 510 |

Conditional offers totalled 2 265, a total of 9 172 letters were posted to prospective students and 5 322 sms notices were sent. The University rejected a total of 74 729 applications.

The most popular programmes per applications received is contained in Table 68:

| Table 68: Popular Programmes per Faculty | |
|---|---|
| **PROGRAMME NAME** | **NUMBER OF APPLICATIONS** |
| **Faculty of Arts** | |
| BA Correctional Services | 11 349 |
| B Psychology | 12 596 |
| B Social Work | 26 492 |
| BA Industrial Sociology and Labour | 5 023 |
| N Dip Public Relations | 4 895 |
| N Dip Media Studies | 5 478 |
| **Faculty of Commerce, Administration and Law** | |
| B Law | 6 482 |
| N Dip Logistics Management | 3 175 |
| N Dip Transport | 2 609 |
| B Com Accounting | 2 313 |
| B Admin | 2 416 |
| **Faculty of Education** | |
| B Ed Early Childhood | 6 669 |
| BEd FET Geography and Language | 6 238 |
| B Ed FET Life Orientation and Language | 11 635 |
| B Ed IP and SP Life Orientation and Language | 7 559 |
| **Faculty of Science and Agriculture** | |
| B Nursing Science | 12 036 |
| N Dip Hospitality Management | 4 566 |
| B Sc Foundation | 1 834 |
| B Sc Agric: Agric Animal Science | 2 398 |
| B Sc Biochemistry | 2 111 |

*An audit was conducted by internal auditors (Sizwa Ntsaluba Gobodo) in September 2016 on the Examinations Department and did not find any irregularities in respect of the so-called 'degrees for sale scam', which trended in the media.*

Strategic improvements in the admissions included the drafting of a new admissions policy, which will be submitted to Council in 2017. The vetting of matric certificates and confirmation of biographical data takes place in the Admissions Department.

**Student Administration Department**
The Department is responsible for the management of all student records and student registration, it assists students with modifications and student queries, flags students for graduation and ensures compliance to academic rules in faculty boards. The Department successfully registered 15 814 undergraduates and 1 881 postgraduate students in 2016.

The Faculty of Arts registered 4 075 undergraduate students; 3 749 in the Faculty of Commerce

Administration and Law; 5 116 in the Faculty of Education and 2 874 in the Faculty of Science and Agriculture. The Faculty of Arts registered 540 postgraduate students; 217 in the Faculty of Commerce Administration and Law; 810 in the Faculty of Education and 314 in the Faculty of Science and Agriculture.

## Certification Department

The Certification Department is responsible for the issuing of all University certificates and the safekeeping of all certificates in line with the Policy on Certification. The Department is responsible for the University's graduation ceremony and effectively planned and executed a successful graduation ceremony (9-12 May 2016). As per the Table 69, 3 992 students graduated:

| Table 69: Graduation Statistics (Overall by Gender – both Undergraduate and Postgraduate) | | | | | |
|---|---|---|---|---|---|
| FACULTY NAMES | FEMALES | MALES | TOTAL | FEMALES % | MALES % |
| Faculty of Arts | 748 | 441 | 1 189 | 63 | 37 |
| Faculty of Comm, Admin and Law | 394 | 421 | 815 | 48 | 52 |
| Faculty of Education | 1 040 | 616 | 1 656 | 63 | 37 |
| Faculty of Science and Agriculture | 355 | 252 | 607 | 58 | 42 |
| Totals | 2 537 | 1 730 | 4 267 | 59 | 41 |

## Examinations Department

The Examinations Department manages all University examinations, historic mark capturing and the issuing of all examination and class timetables. The University managed to successfully finalise its 2016 examinations despite the #FeesMustFall movement. An audit was conducted by internal auditors (Sizwa Ntsaluba Gobodo) in September 2016 on the Examinations Department and did not find any irregularities in respect of the so-called 'degrees for sale scam', which trended in the media. A meeting between South African Qualifications Authority (SAQA), DHET, CHE and the University management was held on 4 November 2016. The meeting confirmed that the University systems remained intact and that fraudulent certificates were generated outside the system. The University confirmed continuous monitoring and the introduction of improved processes and procedures to mitigate against the potential security risks.

## Internal Systems and Controls

The Student Administration System on ITS is managed by the Office of the Registrar and staff manages access to ensure that student data is correctly uploaded and remains confidential. Significant improvements were made in 2016 in that the University had purchased specially developed graduation software from DUT. The new software was installed by Adapt IT and will be tested and implemented in 2017. The new software automates the recognition of graduates, enables an automated graduation programme to be printed, and will thus eliminate risks associated with manual flagging of students by faculties.

Benchmarking was done on primary and secondary mark capturers in the Examinations Department to mitigate against examination mark entry risks. A proposal will be submitted to the HRCC for the approval of new posts in 2017, which will strengthen internal controls in the Examinations Department.

As an strategic objective, the Committee Administration Department prepared plans for the procurement of an electronic records management system for all University committees. The implementation will commence in 2017 and will significantly enhance records management, archiving and record access.

A submission was made to DHET to fund specific projects in the Office of the Registrar through the HDI Grant. This included a project to transfer student data from the redundant Legacy System to the ITS System, which will enable the University to update all student records. The services of QVS was procured in 2016 to assist with the creation of an electronic Convocation roll, which enabled the Office of the Registrar to successfully conduct the Convocation AGM on 15 October 2016.

Security cameras were installed in the King BhekuZulu Hall where students write examinations as part of internal control. The University will introduce a biometric system in 2017 that will identify students who attend examinations. In the meantime, improvements in examinations include the generation of student seat numbers to monitor and control examination entry. A new Policy on Examinations was approved by Council, which regulates examination procedures and processes. Student mark sheets are being verified by the Examinations Department

and a new system was introduced to audit, regulate and approve historic marks capture. Assessment weightings were introduced, captured and computed on the ITS system.

The newly approved Policy on Certification regulates improved certification procedures and certificate security was significantly increased through enhanced bar coding, safe-keeping and management. The ITS system will be fully utilised to capture student numbers and graduation data, which was previously done manually.

The new academic structure contains a set of improved validations such as co- and pre-requisites, which has been turned on to ensure correct registration. System cycles are being closely monitored through an approval cycle and access controls were reviewed in 2016.

The Admissions Department monitors downloads from CAO and verifies all matric data and bio data.

## Governance and Compliance

The Office of the Registrar provides secretariat services to all statutory committees of the University and is responsible for effective committee administration and compliance to legislation, policies, rules and regulations. All Charters of Council and its committees were revised and approved in 2016 in line with the University's Strategic Plan and all committees were duly constituted. The Institutional Forum was reconstituted as per the report on the Institutional Forum. In order to comply with the provisions of the Promotion of Access to Information Act, 2000 (Act 2 of 2000), the office submitted the Access to Information Policy to Council for approval. Other policies prepared by the Office and approved by Council includes the Policy on Certification; the Policy on Examinations Management; the Policy on Registration; online registration rules; and the Policy on Recognition of Modules passed at another institution. The Admissions Policy is currently under review and will be finalised in 2017 along with the records management policy and policy on mark capture. The Convocation was reconstituted after the successful completion of the AGM and members were selected to Council to fill vacancies. Two ministerial appointee vacancies were filled during the year under review.

In 2013, the Office of the Registrar identified some errors/shortcomings in the new Statute of the University, which was only gazetted on 12 October 2012. One of the errors identified was the apparent failure of the Statute to comply with the requirement that external members of Council should constitute 60% while internal members should constitute 40% of Council membership as prescribed by the Higher Education Act (Act no. 101 of 1997), as amended (HEA) and the very Statute of the University. The

revised statute was tabled to all internal structures for comment and submitted to DHET on 25 November 2016 for approval.

PriceWaterhouseCoopers (PWC) conducted a workshop in November 2016 on the new King IV principles, and Council was updated on legislative changes affecting the Institution. Councillors signed new declarations of interest and new members signed the Council's Code of Conduct. A process commenced to peer review Council through the Institute of Directors (IOD).

All institutional policies have been published on the University's website for ease of access and an updated policy register is kept in the Office of the Registrar. The Office ensures compliance with regards to the submission of the University's Strategic Plan, Annual Performance Plan, Mid-year Report as well as Annual Report in terms of the Reporting Regulations for Higher Education Institutions, and facilitated the compilation of the 2015 Annual report to DHET.

## Legal Matters

The University does not have a dedicated legal office or internal legal team and subsequently, all legal matters are referred to the Office of the Registrar. The Registrar, in consultation with and on approval of the Vice-Chancellor, appoints external legal firms to either defend/institute legal action on behalf of the University as per the Policy on Delegations. All legal matters are reported to the Audit and Risk Committee of Council (HRCC) on a quarterly basis to manage litigation costs and ensure continuous risk management. The Human Resources Committee of Council approved the establishment of a position for a Manager: Legal Services in an attempt to insource legal work and establish an internal legal office in order to reduce legal expenditure.

The Manager: Student Judicial Services is responsible for student disciplinary matters and reports to the Registrar. Internal staff from the Law Department in the Faculty of Commerce Administration and Law assist as chairpersons and prosecutors in student disciplinary matters. The student disciplinary code is currently under revision to shift the procedure from an adversarial court procedure to an inquisitorial procedure in order to deformalise and streamline the process. The Code has also been extensively revised to bring it in line with present constitutional prescripts and new regulations such as the Promotion of Administrative Justice Act 3 of 2000 (PAJA), the Promotion of Access to Information Act 2 of 2000 and the Protection of Personal Information Act 4 of 2013. A total of 99 student disciplinary matters were attended to in 2016, with an average conviction rate of 100%.

The University is fully compliant with all laws applicable to higher education and its operations in

general. Likewise, it is in compliance with applicable codes of practice, such as the relevant BBBEE codes and King III Code and principles. The Legal Committee assists the office of the Registrar with the scrutiny of all MOUs and other legal agreements.

## Committee Administration

A standard operating procedure (SOP) and Committee Guide with terms of reference of each committee was prepared to enable effective committee administration that complies with the prescripts of the UNIZULU Statute. The introduction of an electronic records management system will greatly enhance committee administration and was approved by Council in 2016. Workshops were conducted with identified committees and a Deputy Registrar: Secretariat & Governance was appointed on 1 September 2016 to ensure effective committee administration. The electronic document management system (dataStor) has been implemented. The process to establish the Records Management Policy for the entire University and implementation of online meetings is underway.

## RISK MANAGEMENT

The institutional risks associated with the Office of the Registrar are contained in the Table 70:

| Table 70: Institutional Risk (Registrar's Office) | | | | |
|---|---|---|---|---|
| **RISK NAME** | **RISK DESCRIPTION** | **CONTRIBUTING FACTORS (ROOT CAUSES)** | **CONSEQUENCES** | **IMPLEMENT-ATION DATE** |
| Misalignment of academic structure to PQM | Misalignment of academic structure to PQM | Inadequate skills and capacity<br>Inadequate integration of ICT systems<br>Inadequate validations on ITS<br>Non-compliance of authorisation levels | Incorrect registrations of students<br>Litigations<br>Negative reputation | 31 Dec 2016 |
| Governance and compliance | Inadequate governance structures and related processes; Non-compliance with legislation, regulations and best practices | High turnover rate at leadership level<br>Inadequate implementation of policies | Negative reputation<br>Litigations<br>Operational inefficiencies<br>Financial losses | 30 June 2017 |

The approval and implementation of numerous policies in the Office of the Registrar assisted with effective mitigation of identified risks related to compliance and governance. Dormant committees were reviewed with approved terms of reference and existing charters of Council were reviewed and approved. The academic structure risk was properly addressed with revision and approval of the new academic structure by Senate.

## CENTRAL APPLICATIONS SYSTEM (CAS)

The National CAS will be established for the entire PSET Sector and participation will be compulsory. The CAS will operate through a public entity under DHET, established specifically for the purpose by enabling legislation. The CAS will be implemented progressively and targeted establishment of the Entity is by 1 April 2018. The Registrar serves as director on the CAO Board and negotiations between the four KZN institutions, the CAO and DHET commenced in 2016. The implementation of the National CAS will be a complex and high risk project and KZN institutions collectively issued a resolution that the transition into CAS from the CAO must be seamless and that every effort should be made to ensure that the systems and processes are thoroughly tested and proven. UNIZULU formally communicated its willingness to participate in the pilot and implementation of the CAS to DHET.

## CONCLUSION

The office successfully implemented identified strategic objectives during the year under review. Continued emphasis will be placed on strategic imperatives identified in the turnaround plan and APP for 2017. The revised academic structure ensured a solid foundation for online registration and will significantly improve internal systems and controls. Improvements in internal controls significantly reduced institutional risks. Policy implementation will require constant monitoring to ensure compliance and the Office will commit itself to conduct continuous training and development of internal staff as well as training for staff working on the Student Management System. Both registration and graduation projects were successfully completed and improvements made to mitigate against certification risks. The standard operating procedures and committee guide effectively improved committee administration and the revision and introduction of numerous policies improved governance.

**Mr D.E. Janse van Rensburg**
**Registrar**

The Human Resources Department is responsible for attraction, retention, engagement as well as development of staff. Currently, it comprises four units, namely, Organisational Development, Recruitment and Placement, Remuneration, and Benefits and Employee Relations.

## PERFORMANCE MANAGEMENT

In 2016, Council decided to re-introduce staff performance management. The process is regulated by the Performance Management Policy and a phased approach commenced in 2016, starting with Executive management. Their Individual Performance Agreements were completed and individual executive assessments were conducted by Council in November 2016. Training of line managers also took place in 2016 in preparation for a complete roll-out to all staff in 2017.

## STAFF ESTABLISHMENT
### Executive and other Critical Appointments

The Human Resources Committee of Council approved the following executive appointments during the year under review:

* Vice-Chancellor: Professor X.A. Mtose
* Deputy Vice-Chancellor Teaching and Learning: Professor P. Songca
* Deputy Vice-Chancellor Research and Innovation: Professor G. de Wet
* Executive Director Institutional Planning: Mr N.O. Cele
* Director Richards Bay Campus: Professor O.M. Ndwandwe

Other critical appointments included the appointment of the Dean: Faculty of Arts (Professor G. Kamwendo and Dean of Students (Mr S.T. Mchunu).

### Termination of Contracts of Employment

The University terminated the contract of employment of the Executive Director Finance. The position is filled on an interim basis while the search for a replacement continues. A number of other Executive members' contracts were terminated as a result of the disciplinary process:

* Dean of Students
* Executive Director Richards Bay Campus

The Deputy Vice-Chancellor Research and Innovation resigned.

### Vacancy Rate

As at the end of the Year 2016, the University still had a vacancy rate of 32.90% as a percentage of total staff establishment. Of these, 17.02% were academic posts, ranging from 13.44% in Faculty of Science and Agriculture, 16.84% in Faculty of Education, 22.22% in Faculty of Commerce, Administration and Law; 27.86% in Faculty of Arts and 4.76% at the Richards Bay Campus, as shown in Table 71. A strategy, which includes implementation of an E-Recruitment System, is in place for 2017 to reduce the recruitment and selection turnaround times.

| Table 71: Vacancies | | | | | | | |
|---|---|---|---|---|---|---|---|
| FACULTY/PROF. SERVICES | ESTABLISHED | VACANCY ACTIVE | % OF VACANCY | VACANCY NOT ACTIVE | % OF ESTABLISHED | VACANCY TOTAL | % OF VAC AGAINST ESTABLISHED |
| Faculty of Arts | 140 | 18 | 46.15 | 21 | 53.85 | 39 | 27.86 |
| Faculty of Cal | 63 | 13 | 92.86 | 1 | 7.14 | 14 | 22.22 |
| Faculty of Educ | 95 | 14 | 87.50 | 2 | 12.50 | 16 | 16.84 |
| Faculty of Science and Agric | 186 | 18 | 72.00 | 7 | 28.00 | 25 | 13.44 |
| Richards Bay | 21 | 1 | 100.00 | 0 | 0.00 | 1 | 4.76 |
| Professional Services | 869 | 267 | 74.79 | 90 | 25.21 | 357 | 41.08 |
| GRAND TOTAL | 1 374 | 331 | 24.09 | 121 | 8.81 | 452 | 32.90 |

**Please note the following:**
Professional staff includes 230 new vacancies as a result of re-absorbing co-ops. Most of these vacancies are to be filled by the end of April 2017. The annual turnover rate averaged 10.3

## Status of Academic Staff Establishment
Table 72 shows the academic staff ratios as at end Dec 2016, excluding foreign nationals who have work permits.

| Table 72: Status of Academic Staff by Gender | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| FACULTIES | AFRICANW | COLOURED | INDIAN | WHITE | TOTAL | FOREIGN NATIONALS | | TOTAL | DISABLED | GRAND TOTAL | AFRICAN | COLOURED | INDIAN | WHITE | FOREIGN | DISABLED |
| | | | | | | AFRICAN | OTHER | | | | | | | | | |
| Faculty of Arts | 71 | 0 | 9 | 13 | 93 | 7 | 0 | 7 | 0 | 100 | 71 | 0 | 9 | 13 | 7 | 0 |
| Faculty of Commerce, Admin and Law | 30 | 1 | 7 | 14 | 52 | 0 | 0 | 0 | 0 | 52 | 58 | 2 | 13 | 27 | 0 | 0 |
| Faculty of Education | 57 | 0 | 5 | 3 | 65 | 1 | 0 | 1 | 0 | 66 | 86 | 0 | 8 | 5 | 2 | 0 |
| Faculty of Science and Agriculture | 66 | 0 | 10 | 20 | 96 | 4 | 1 | 5 | 0 | 101 | 65 | 0 | 10 | 20 | 5 | 0 |
| TOTALS | 224 | 1 | 31 | 50 | 306 | 12 | 1 | 13 | 0 | 319 | 70 | 0 | 10 | 16 | 4 | 0 |

## New Appointments

A total number of 132 new appointments were made in 2016, falling into the following categories:

| Table 73: New Appointments | | AFRICAN | COLOURED | INDIAN | WHITE | TOTAL |
|---|---|---|---|---|---|---|
| Executive | | 2 | 0 | 0 | 1 | 3 |
| TOTAL | | 2 | 0 | 0 | 1 | 3 |
| Full-time | Academic | 28 | 1 | 2 | 2 | 33 |
| | Professional | 42 | 2 | 1 | 0 | 45 |
| TOTAL | | 70 | 3 | 3 | 2 | 78 |
| Contract | Academic | 4 | 0 | 0 | 0 | 4 |
| | Professional | 2 | 0 | 0 | 0 | 2 |
| TOTAL | | 6 | 0 | 0 | 0 | 6 |
| Temp | Academic | 22 | 0 | 0 | 2 | 24 |
| | Professional | 18 | 0 | 2 | 1 | 21 |
| TOTAL | | 40 | 0 | 2 | 3 | 45 |
| GRAND TOTAL | | 118 | 3 | 5 | 6 | 132 |
| Percentage of Employment | | 89.39 | 2.27 | 3.79 | 4.55 | 100 |

## EMPLOYMENT EQUITY: THE DEVELOPMENT OF AN EMPLOYMENT EQUITY (EE) PLAN

Employment Equity and Skills Development Committee (Committee) was established and its terms of reference developed and approved by management. Members of the Committee are multi-disciplinary and representative of the demographics of UNIZULU. A five-year Employment Equity Plan was endorsed by this Committee and submitted to the Department of Labour for reporting purposes. Numerical goals and targets were determined using the KwaZulu-Natal Provincial Economically Active Population demographics. Various stakeholders, including heads of Faculties and Divisions, were consulted in accordance with Sections 16 and 17 of the Employment Equity Act (55 of 1998) with a purpose of setting EE targets and committing to them. In the main, the plan relies on filling of current vacant positions at different levels of the Institution. Four key objectives are to:

- Increase women representation in senior management levels;
- Increase the number of black professionals;
- Increase representation of people living with disabilities; and
- Increase the number of South African recruits in scarce and critical skill occupations.

The implementation of the Employment Equity Plan shall feature in the managers' performance agreements.

## WORKER PARTICIPATION

The active union at the University is NEHAWU. However, the Recognition Agreement entered into in 2013 expired in October 2016. Also, as a result of industrial action, the union lost membership to such an extent that it is no longer sufficiently representative. The parties continue to engage as guided by the Labour Relations Act.

The University endured a 10-week strike by NEHAWU, from 15 August 2016 to the end of October 2016. This was in support of the demands to absorb all staff employed by co-operatives and the implementation of an automatic pay progression model similar of the one that was abolished during the days of the administrator. Following a number of interventions, including a 'lock-out', the union ended the strike unconditionally, paving the way for implementation of the salary adjustment for the year, backdated to 1 July 2016.

## STAFF RETENTION AND ATTRACTION

As part of the attraction and retention strategy, houses that were bought and/or built to accommodate Executive management were available for occupation in 2016. The Staff Housing Policy was also updated

in order to address non-compliance issues by staff previously allocated University accommodation.

## STAFF BENEFITS
### Pension and Provident Funds – Increase in the Employer Contribution Rate
Increased contributions to the required level for each retirement fund were processed with effect from 1 December 2016. The required level of contributions for the Pension Fund are 24.5% of pensionable salaries and 25.0% for the Provident Fund. The contribution rate needed to be increased as the University had taken a contribution holiday and for a number of years the University was contributing at a rate of 7.8% of pensionable salaries to both funds. Amounts paid to address arrears: R12.4 million for the Pension Fund and R6.1 million for the Provident Fund were paid into the funds.

## EMPLOYEE WELLNESS
Orientation sessions for employees and managers were conducted for the period under review. The aim of these sessions was to equip managers and supervisors on how they need to refer employees with personal or work related issues that affect productivity to the Employee Wellness Programme. Employees were also workshopped on services available to them when they face pyschosocial, legal or financial issues. A total of seven cases were dealt with during the period under review, mostly for psychosocial issues followed by family issues and addiction related charges.

In preparation for the gender-based violence session with HEAids, HICC meetings resulted in a successful visit and launch by the Deputy Minister of Education of the First Things First Programme, which encourages individuals to abstain and protect themselves from the HIV/AIDS pandemic.

A stakeholder meeting with IEMAS to establish relations for financial support of employees and financial wellness sessions took place between IEMAS and the University. This resulted in IEMAS agreeing to conduct financial wellness training for staff.

## POLICY REVIEW
The Human Resources Policy Review Project commenced in 2016 following Council direction that all existing HR policies be reviewed, policy gaps identified and new policies written to address such gaps. Several policy reviews were completed in 2016 and will continue in 2017.

## CAPACITY BUILDING WITHIN THE DIVISION
The Senior HR generalists will undergo employee relations training as part of the service offering and ITS training to expand and enhance usage within HR Units. Benefits will include capturing of Individual Development Plans, Administration Data Management and preparation of monthly reporting.

## LEADERSHIP DEVELOPMENT PROGRAMME
A need to provide leadership development was identified. To that end, a number of leadership development programmes were evaluated. This resulted in the selection of the programme presented by the University of Stellenbosch. The breakdown of the first group of participants is as follows:

- Total number of participants = 29
- Total number of academic staff = 18
- Total number of professional services staff = 11
- Total number of women = 17

## CONCLUSION
The challenges that were faced by the Division as a result of high turnover in leadership positions have been addressed and operations are now stabilised. The Division is well on its way to meeting the performance targets set for 2017.

**Mr R. Ngcobo**
**Executive Director: Human Resources**

The Richards Bay campus of the University, is located in Richards Bay, a part of the City of uMhlathuze that is situated on the north-east coast of the Province. The uMhlathuze area inter alia incorporates Richards Bay, Empangeni, Felixton and a couple of other urban and rural areas. The population of uMhlathuze is estimated at 325 000, of which 50% is rural and 50% urban. The city borders a coastline that spans approximately 45km in length of which nearly 80% of it is in its natural state.

## INTRODUCTION

Richards Bay falls within the fastest growing Provincial economies at an average rate of 4,3% per annum. The Port of Richards Bay is one of the two largest and busiest ports in Africa, creating a drive for the area to be one of the major industrial investment opportunities. The Port plays an important economic role not only for this Province, but for the whole of South Africa. Of particular importance are the links between the port and the large-scale mining activities in the Newcastle and Dundee areas. While the port is presently export oriented, the potential for import prospects is being contemplated. The City also functions as a district node and dominant commercial centre in the uThungulu District, providing greater economic opportunities for the town and hinterland.

The area is the third most important in KZN in terms of economic production, contributing 16.7% to the national GDP while also the third most important primary manufacturing area in KZN in terms of economic production. Manufacturing is highly specialised and export orientated, and largely concentrated on basic iron and steel, paper and printing as well as food and beverages. The sector is characterised by highly sophisticated manufacturing

processes. The large-scale industrial strengths of the uMhlathuze centre comprise a varied industrial base of coal terminals and aluminium smelters coupled with an impressive number of industries, including mining companies and paper mills, forestry, production of materials handling equipment, as well as fertiliser and special chemicals production.

The City of uMhlathuze is rich in mineral resources. The mining of these minerals meets all of South Africa's demand for titanium dioxide, zirconium and almost all of the country's pig iron requirements. Most of the industrial and commercial activities are vested in Richards Bay, Empangeni and Felixton (specifically the industrial development nodes of the City of uMhlathuze).

The advent of the Richards Bay Industrial Development Zone (IDZ) within the vicinity of the Richards Bay harbour served to boost economic activity and has attracted international investors wishing to take advantage of the offers on hand. The IDZ attracts new investment into Richards Bay, provides a competitive advantage to uMhlathuze for industrial expansion, local economic development focus areas as well as tourism. The IDZ involves several key interlinked projects as well as expansions in specific

sectors. The development strategy for the IDZ thus hinges on the ability of world-scale strategic projects to enable the creation of downstream industries. The aim is not only to attract other heavy industrial operations but also to stimulate value-adding industries that build on the rich stock of raw materials available in the uMhlathuze area and then to cluster smaller, downstream manufacturing businesses around the existing major industries already based in the city. These activities will mean that there is growth of a firmer base of secondary manufacturing concerns in the economy. This will, in turn, position the area as a vital major export-manufacturing platform into Africa.

Other natural advantages are the diverse and intensifying agriculture production, including the rich land of sugar cane and forestry. The cane and forestry sectors have been at the forefront of assisting emerging farmers. The agricultural sector is a dual economy, consisting of commercial agriculture on one hand and traditional agriculture on the other.

Scoping of the Richards Bay area provides a picture of broad industry needs that are technical in nature and this is evident from the type of industries located in the area, such as BHP Billiton (Bayside and Hillside aluminium smelters), Foskor, Mondi Pulp and Paper Mill, Central Timber Cooperative, Suncrush, Bell Equipment Company, Syncat, Silva Cell, Iscor Heavy Minerals, Felixton Sugar Mill, Rumdel Construction, and Richards Bay Port. The local economy forms an integral part of the international and national economies. The presence of such a huge number of exporting and importing industries means that the welfare of the region is connected to international and national market movements.

Table 74 shows that manufacturing is by far the most dominant economic activity in the region (45.9%) in 2008, with mining taking second place with 11.6%.

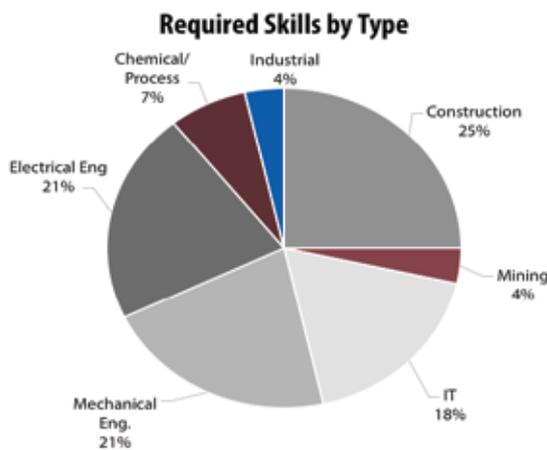| Table 74: Richards Bay Economic Sector | |
|---|---|
| **ECONOMIC SECTOR** | **2008 (%)** |
| Manufacturing | 45.9 |
| Community Services/Social/Personal | 10.4 |
| Trade | 6.3 |
| Financial/Real Estate/Business | 10.7 |
| Agriculture/Forestry/Fishing | 3.2 |
| Construction | 2.2 |
| Transport/Communication | 9.1 |
| Mining/Quarrying | 11.6 |
| Electricity | 0.6 |
| TOTAL | 100 |

In this table, manufacturing as an economic activity refers to the production of goods in factories. This includes a wide range of products such as food, beverages, tobacco, textiles and clothing, wood and paper and their products, petroleum products, metals like steel as well as machinery and metal equipment, electrical goods, transport equipment and furniture. Study or leisure, however, are examples of non-economic activities.

On the demographic side, it is pointed out that the largest percentage of the population of uMhlathuze is between 20 to 24 years old, which implies a huge demand for social and economic opportunities. Youth (15 to 35 years) make up 42% of the population. As regards education, most pupils reach secondary schooling. The percentage of the population older than 20 with higher education was 8.45%. The percentage of the population that has completed Grade 12 is 22.41%. The percentage of people with

a level of education less than Grade 12 was very high at 52.4%. Education is, therefore, one of the most far-reaching requirements for development in the region, alleviating poverty, improving health outcomes and quality of life, reducing gender and social disparities, and enhancing economic productivity. Education, and in particular, higher education, is a contributor to economic growth and societal stability through developing individuals equipped with cognitive and life skills necessary for sustaining a livelihood, and contributing to the productive sector.

## Recent Survey on Skills Needed for the Region

A desktop survey was done to determine the skills need of the region (Umhlathuze Region). Only businesses were surveyed. There is still a need to do a more comprehensive survey. The results are as shown in the pie chart below:

**Required Skills by Type**

- Industrial 4%
- Chemical/Process 7%
- Construction 25%
- Electrical Eng 21%
- Mining 4%
- Mechanical Eng. 21%
- IT 18%

The results showed that Construction, according to businesses, has the greatest need, followed by both Electrical and Mechanical Engineering. The survey also looked at the preferred mode of delivery, i.e. could there be a need for short courses including the introduction of after-hours programmes for adults?

## CAMPUS DEVELOPMENT

The University submitted a Business Plan for the DHET on 27 February 2013 pertaining to the establishment of Maritime programmes and Engineering programmes at the Richards Bay Campus. The plan described the planned strategy to phase in a number of programmes, indicating the concomitant infrastructural and operational needs of the campus. The Business Plan was developed in close co-operation with the local industry, the local authorities and the uMfolozi FET College.

The University has identified and procured 15 000m² of land within walking distance of the Richard's Bay campus that will be used to build new student residences. The University identified a pre-built complex suitable for student accommodation within two kilometres of the Richards Bay campus

and a request was submitted for approval to DHET in June 2016 to purchase the building using DHET infrastructure funding money. No response was received by year end. A further site was identified as being a possible residence site. An offer was made on the Transnet Lodge in Richards Bay. This was submitted to the Board of Transnet in early October 2016. By year end, no response had been received.

The University has land next to the existing Richards Bay campus for the infrastructure required to offer Engineering programmes. Negotiations with the uMhlathuze Municipality for the acquisition of land outside the industrial development zone and negotiations with ALUSAF (Bayside Aluminium) for the acquisition of land inside the industrial development zone is underway. This land is required for Maritime Studies.

**Preferred Delivery Mode**

- Practicals 17%
- Full-Time 23%
- Distance 20%
- Part-Time/Short 40%
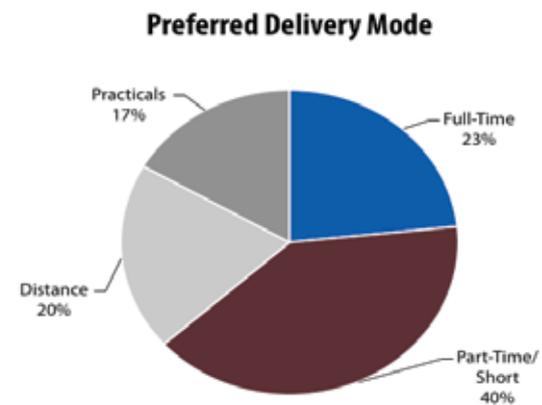
## CURRICULUM DEVELOPMENT

Several certificate and diploma programmes were identified for development, namely:

- Higher Certificate in Engineering Technology – articulates into other Engineering programmes (extended access).
- Higher Certificate in Marine Engineering – this programme is influenced by the Operation Phakisa Project to allow articulation to Marine Engineering programmes
- Diploma in Electrical Engineering in Electronics Communication systems;
- Diploma in Electrical Engineering in Computer Systems;
- Diploma in Mechanical Engineering in Mechatronics; and
- Diploma in Electrical Engineering in Process Instrumentation and Control.

All four diplomas have gone to the Engineering Council of South Africa (ECSA), which made some recommendations.

Several German experts assisted the University

with the development of the Diploma in Marine Engineering, which articulates to the BSC Marine Engineering.

The following degree programmes were identified for development, namely:

- Bachelor of Science in Marine Engineering
- Bachelor of Science in the following specialisations:
  - Electrical Engineering
  - Civil Engineering
  - Mechanical Engineering
  - Chemical Engineering
  - Materials Engineering

The University benchmarked with the Cape Peninsula University of Technology regarding Marine Engineering. The University was visited by Prof. Thielemann – SES (Germany) from 9 August for a period of three weeks, who assisted with the completion of the BSc Mechanical Engineering curriculum and advised on necessary equipment for the laboratories.

## SUSTAINABILITY

Counterbalancing programmes like BSc in Computer Science, B Nursing Science and BSc in Applied Physics and short courses must be offered at Richards Bay to ensure sustainability. New centres and units such as a Business Enterprise Unit, a Centre for Work Integrated Learning, a Business School and a Health Clinic and Disability Unit will form part of strategic planning from 2017 onwards. The following programmes are offered at Richards Bay, with support of academic faculties and support divisions. The programmes are:

- ACPDP1 – Diploma in Public Relations Management
- ACMDP1 – Diploma in Media Studies
- CAHCR1 – Higher Certificate in Accountancy
- CACTA1 – National Higher Certificate in Accounting
- CBCTM1 – National Higher Certificate in Marketing
- CCODP1 – Diploma in Management of Co-Operatives
- CBTM01 – Diploma in Transport Management
- SNDP01 – Diploma in Sport and Exercise Technology
- SDIP02 – Diploma in Hospitality Management

## ENROLMENT PLANNING

Targets for the envisaged Engineering Programmes are as shown in Table 75:

| Table 75: Envisaged Enrolment | | |
|---|---|---|
| PROGRAMME | ENROLMENT | YEAR |
| Higher Certificate in Engineering Technology | 50 | 2018 |
| Higher Certificate in Marine Engineering | 50 | 2019 |
| Diploma in Electrical Engineering in Process Instrumentation and Control | 100 | 2019 |
| Diploma in Electrical Engineering in Computer Systems | 100 | 2019 |
| Diploma in Electrical Engineering in Electronic Communication | 100 | 2019 |
| Diploma in Mechanical Engineering in Mechatronics | 100 | 2019 |
| Diploma in Marine Engineering | 50 | 2019 |
| BSc Electrical Engineering | 70 | 2020 |
| BSc Mechatronics Engineering | 70 | 2020 |
| BSc Mechanical Engineering | 70 | 2020 |
| BSc Civil Engineering | 70 | 2020 |
| BSc Chemical Engineering | 70 | 2020 |
| BSc Chemical Engineering | 70 | 2020 |
| BSc Materials Engineering | 70 | 2020 |
| BSc Marine Engineering | 70 | 2020 |

## STUDENT ADMINISTRATION

The student administration functions are fulfilled through the Office of the Registrar. Registration proceeded without incident, as well as examinations.

## CONCLUSION

Richards Bay continued to be at the centre of Institutional Planning and Development and will remain a strategic focus in 2017.

*M. Ndwandwe*

**Prof. M. Ndwandwe**
**Executive Director: Richards Bay**

## ENROLMENT PLANNING

The University prepared and submitted its mid-term review of the Student Enrolment Plan to the National DHET. There is a focus on growing enrolment in scarce skills such as accounting, science, mathematics and allied subjects. In addition, there is growth in postgraduate training while maintaining robust enrolments in teacher development to strengthen the performance of the further education sector in these scarce skills. Faculties made plans to closely manage student enrolment planning as a way of monitoring, evaluating and enhancing course and programme enrolment management. While no radical growth was projected in the revised plan, it was developed with the following original principles in mind:

- Gradual reduction of headcount enrolments in teacher education programmes;
- Plateauing maintenance of enrolments in Arts and Humanities over a five-year period;
- Growth in Social Sciences, Commerce and Law;
- Growing enrolment in Science and Agriculture programmes;
- Establishment of Engineering programmes and monitored growth in this area;
- Growth in diploma programmes that develop vocational competences; and
- Increased intake of postgraduate students.

While the University exceeded its headcount target for undergraduate enrolments in 2016, this increase can largely be attributed to larger numbers of returning students who may have taken a break from the larger scheme of things, and the institutional enrolment for the 2016 academic year was in line with the University of Zululand Enrolment Plan 2014-2019 targets agreed upon with the DHET.

## INSTITUTIONAL PLANNING

Planning Workshop Facilitation and ICT Strategy: The Institutional Planning Directorate facilitated an ICT Strategic Indaba with the view of producing a University ICT strategy. This event was held on 20 September 2016 to develop strategies and governance structures that meet strategic user needs. The process of developing a first draft strategy from the process is unfolding. The development of the ICT strategy is between the Office of the IT Director Mr M. Dhlamini and the Executive Director of Institutional Planning Mr Nhlanhla Cele.

Planning Workshop Facilitation and the Teaching and Learning Strategy: The Institutional Planning Directorate facilitated a Teaching and Learning Strategic Workshop with the view of producing a University Teaching and Learning Plan. This event was held on 20 September 2016 to develop strategies and governance structures that meet strategic user needs.

Operational Plans Framework: The Institutional Planning Directorate has produced comprehensive Operational Plan templates to guide operational planning and reporting for 2017. These frameworks have to be approved by the Executive team.

Triennial Reviews Proposal: A detailed proposal and framework to conduct Triennial Reviews in support services departments has been produced. This awaits approval by the Executive team and Manco.

Student Success Analytics Project Proposal: A detailed proposal and framework to conduct Triennial Reviews in support services departments has been produced. This awaits approval by the Executive team and Manco. The project is linked to a national Siyaphumelela Project that is funded by the American Kresge Foundation.

ICT Strategy: Following the ICT Strategic Indaba facilitated by the Institutional Planning Office held on

20 September 2016, this office worked with the ICT Department to produce the University ICT strategy. The University of Zululand ICT Strategy has now been handed over to the ICT Department.

Annual Performance Plan 2017: The Institutional Planning Office coordinated and facilitated the development of the University of Zululand Annual Performance Plan 2017 for the approval by Council and submission to DHET.

Mid-term Progress Report on the Annual Performance Plan 2016: The Institutional Planning Office coordinated and facilitated the development of the University of Zululand Mid-term Progress Report on the Annual Performance Plan 2016 for the approval by Council and submission to DHET.

HDI Grant Proposal: After holding a workshop on 5 December 2016, facilitated by Dr Mark Hay, a consultant of the DHET, this workshop followed the workshop of the HDI Grant hosted by the DHET on 1 November 2016, which took place in Pretoria. The Institutional Planning Office coordinated and facilitated the development of the revised University of Zululand HDI Proposal to the DHET.

## PROGRAMME APPROVAL AND ACCREDITATION

This part of the Report provides a summary of programme approval and accreditation status for various learning programmes that have been developed between June 2016 and February 2017. The Status Report covers programmes submitted from all four faculties.

### Table 76: Programme Sent for Approval

| LEARNING PROGRAMMES | DATE OF SUBMISSION TO DHET | COMMENTS |
|---|---|---|
| Bachelor of Science | October 2016 | Major field of study in the generic Bachelor of Science that was omitted in error during the HEQSF alignment in Statistics |
| Bachelor of Consumer Science in Rural Development and Extension and Bachelor of Consumer Science in Hospitality and Tourism | October 2016 | To remove the designator Science and title from the programmes as in the subject |

### Table 77: Programme Approved by DHET

| LEARNING PROGRAMMES | DATE OF APPROVAL BY DHET | COMMENTS |
|---|---|---|
| Bachelor of Commerce | Approval letter dated 14 December 2016 | The following Major Fields of study in the generic BCom that were omitted by error during the HEQSF alignment in 2011: Banking and Financial Support Systems; Insurance; Human Resources Management/ Personnel Administration; Business Administration; and Management, General |

## PROGRESS ON OTHER PROGRAMMES

### Bachelor of Psychology

Bachelor of Psychology was de-accredited in 2013 and the programme was not supposed to enrol students from 2014. The Faculty, the Department and Quality Assurance are monitoring the pipeline students and discussions are ongoing with the Health Professions Council of South Africa, the professional Board for Psychology.

**Progress on the Development of the new Psychology Undergraduate Programme called Bachelor of Arts in Psychology**

The Department opted to develop this programme because it does not require student placement for WIL. The Bachelor of Arts in Psychology provides a wider scope for students since they can branch into Social Sciences, Education, Counselling, Clinical and Industrial Psychology. The programme is not as labour intensive as the Bachelor of Psychology.

The students in BA Psychology can articulate to a non-professional Honours degree that the Department is developing concurrently with the undergraduate programme. The Department has decided to apply for a professional Honours degree later to allow those students who want to articulate to professional Masters Degree in Psychology. The Masters Degree in Psychology was put on hold by the professional board to allow the University to work on the accreditation process of the undergraduate programme.

The Department, through the Faculty, is also intending to resuscitate the Masters programme so that the articulation will proceed from Honours degree to Doctoral degree respectively. The Department is in the process of finalising the population of DHET, SAQA, and CHE online templates and development of the business plan. This is happening in collaboration with the Quality Assurance and Teaching and Learning Centre with the aim of completing all the requirements by June 2017 for it to serve in the internal statutory bodies of the Institution.

### Bachelor of Arts in Music

This programme is still in its infant stage. Benchmarking has already been done to review the feasibility of the programme. The benchmarking was done with University of Fort Hare, University of Venda and University of KwaZulu-Natal. The Department is still awaiting their letters of support. The Faculty, Department, Teaching and Learning Centre and Quality Assurance are working together to produce programmes that will be received positively by external statutory bodies. The timeframe given to produce this programme is the end of June 2017 for it to serve in the statutory bodies of the Institution before the end of the year 2017.

### Bachelor of Social Work programme

The Department is waiting for the template and submission dates for the monitoring of the teach-out plan from the DHET. The internal quality assurance monitoring tool is near completion, pending the completion of registration of students in 2017.

### The New Proposed Bachelor of Social Work Programme

Two curriculum specialists assisted the Department and focused on the completion of the CHE online template. Areas covered were:

- The mission of the new Bachelor of Social Work programme and the Plan for the University of Zululand on the BSW programme
- The purpose of the programme
- The rationale of the programme
- The Exit Level Outcomes and the associated assessment criteria of the proposed programme

The Department of Social Work has also deliberated on the structure of the programme. The Teaching and Learning Centre and Quality Assurance are working with the Department on the development of this programme.

### Bachelor of Arts – Generic Programme

The programme was submitted to DHET in July/August through the office of the Registrar. On 19 September 2016, the University received a letter of approval from DHET. A number of consultations have taken place between the Quality Assurance Office and Faculty of Arts in soliciting information on streamlining the focus areas within the programme. This resulted in the reduction of major streams (combinations of two majors) from 14 to 10 streams. This programme has 138 modules, which are both core and elective modules, depending on the major stream. Despite the complexity of the programme in relation to different streams within it, the Quality Assurance Office is currently populating the programme on the HEQC online template. The full detailed report will be generated and discussed with the Faculty of Arts before sending the qualification to CHE.

### Higher Certificate in Engineering Technology

The Quality Assurance Office is working with the Office of the Executive Director: Richards Bay on filling up all the required templates to DHET, SAQA, ECSA and CHE for this programme.

The Quality Assurance Office is streamlining the development of programmes by holding a series of meeting with various faculties and academic departments. Programme design and approval

plans are being developed per programme and the Quality Assurance Office reinforces deadlines. Various meetings have been held with the Faculty of Arts to consolidate its programme development processes. The next series of meetings will be held in relation to Engineering programmes and the Richards Bay Campus. Faculties are encouraged to approach the Quality Assurance Office to help streamline and fast-track their programme development processes.

## PROGRAMME AND QUALIFICATION MIX ALIGNMENT

The University finalised its HEQSF aligned PQM and submitted corrections to the CHE and the DHET. The PQM clean-up is meant to ensure that no students are enrolled into discontinued or de-accredited programmes. For the two de-accredited programmes in Social Work and Psychology, the University successfully submitted teach-out plans to ensure recognition of the qualifications for the pipeline students, while proceeding with review of the curricula in both areas. New programmes were approved by the DHET, and are in the process of being submitted for accreditation to the Council for Higher Education and the South African Qualifications Authority. In relation to Category C discontinued programmes, the University has the permission to enrol first-time, first-year students until 31 December 2019. The Richards Bay Campus is continuing with the development of programmes in Engineering to respond to the demands of the increasing Electric, Mining, Built Environment and Maritime Studies and related sectors at the Richards Bay Hub and Industrial Development Zone. These diploma programmes have been submitted for approval to the DHET.

The University has a newly approved PQM emanating from the HEQSF Alignment Project.

## HEMIS REPORTING

Various reporting requirements were observed between January and the end of September in the current year. These reports included the following:

- In terms of student HEMIS Data Submission, the 2015 final Valpac Student HEMIS Database has been audited by external auditors (KPMG) and submitted to DHET with the audit certificate;
- 2016 First Valpac Student HEMIS database is currently being prepared/processed for HEMIS submission to DHET due 31 October 2016;
- The staff HEMIS Data Submission was made to the DHET after the 2015 final Valpac Staff database was audited;
- Regarding the Foundation Grant DHET Report, the 2015 Student Data Progress Report was prepared and audited by external auditors (KPMG). The

submission of database to the DHET was done together with the audit certificate required. This report is the basis on which the calculation of funding distribution is to be given to UNIZULU by DHET for the coming 2017 budget/roll out; and

- In relation to the Teacher Education Grant Report, the 2015 Student data progress report is currently being prepared and validated with the Faculty of Education and the University's new PQM to ensure similar reporting, which speaks to HEMIS data. This report is the basis of calculation of funding distribution to be received by UNIZULU as a Funza Lushaka Bursary, which is part of NSFAS funding.

## RISK AND COMPLIANCE

Risk management is one of the most important factors guiding the implementation of strategic goals and general operations of the University. The University facilitated the following in relation to risk:

- The revival of the Risk Management Committee;
- Consolidation of identified strategic risks;
- We have compiled risk registers for the respect risk owners in line with the strategic risk framework;
- The risk registers will be distributed to the relevant risk owners and necessary consultations to map the way forward for necessary;
- We have formulated a fraud risk management presentation that will be rolled out to relevant departments; and
- A process to institutionalise risk management has been mapped out.

A compliance framework has been developed and various aspects of it are being implemented:

- Engaging with the internal auditors in respect of the compliance framework;

*The Richards Bay Campus is continuing with the development of programmes in Engineering to respond to the demands of the increasing Electric, Mining, Built Environment and Maritime Studies and related sectors at the Richards Bay Hub and Industrial Development Zone.*

- Developing a draft compliance framework;
- Based upon the compliance framework, the University has also formulated a draft questionnaire that will be distributed to the relevant departments, which will assist in the risk reviews that will be facilitated by this office;
- The University has formulated a draft Occupational Health and Safety Policy;
- The University is drafting a proposal for the formation of the relevant Occupational Health and Safety committees; and
- The University has identified and is in consultation with the relevant department heads in respect of the appointments and training of the Occupational Health and Safety representatives;

The University has drafted necessary appointment letters for responsible staff in relation to appointments to legislated Occupational Health and Safety positions and identified and engaged with potential service providers in respect of the disposal of hazardous chemicals.

Various reporting requirements were observed in the current year:

- Reviewed UNIZULU's Enrolment Planning targets for period 2017 to 2019 in collaboration with the Quality Advisor;
- Preparations for the first 2016 Student HEMIS database;
- The 2016 STUDENT VALPAC database was validated and cleansed according to reflected fatal errors;
- Submission of database was sent to DHET on 30 October 2016 (according to DHET it was due 31 October 2016). Confirmation from DHET was received on 31 October 2016;
- Preparation of 2016 STAFF VALPAC database submission;
- Finalisation of the Review of Enrolment Plans for 2016 to 2019 according to Faculty Submissions made for new developments, especially in the scarce skills areas;
- A presentation was put together to propose a MIS system, which is not existing at UNIZULU, that will integrate the HEMIS Valpac database, ITS data and any other data source, e.g. excel spreadsheets; and
- Extracted data from ITS about UNIZULU's Clinical Qualifications and prepared information to provide to external auditors who had come to perform an urgent audit required by DHET to qualify the University to receive clinical funding for 2017.

## QUALITY ASSURANCE

As a means of launching a seamless quality assurance regime in the University, a new Academic Developments and Quality Assurance Committee was introduced. The new terms of reference was presented to SENEX and is awaiting the final approval by Senate. The guidelines for the development of new learning programmes was also presented to SENEX and will soon be presented to Senate for approval. The Quality Assurance Office has worked with various faculties to develop new programmes and assist in the review of others by external bodies. Quality assurance of programmes in 2016 included the following:

- LLB Review by the CHE. The University prepared for the CHE LLB Review, which transpired between 30, 31 August and 1 September 2016. The University is currently waiting for accreditation feedback from this process.
- Bachelor of Social Work Teach-out Plan. The Department of Social Work prepared a teach-out plan that clearly illustrated how and when the programme would be phased out. The deadline was met and positive feedback from the CHE was received.
- Academic Structure. The Registrar's Office is championing this project in line with faculties and the Institutional Planning Directorate. The end of this project will ensure that an online registration system is finalised and linked to a well-defined programme structure for all accredited learning programmes. A project to clean up the academic structure is 85% complete. The remaining 15% are complex problems that will be resolved during October. Upon completion, the University will be able to tell students whether they can graduate or not rather than ask them to apply to graduate. The system will be fully automatic and will not require human intervention.
- The Department of Psychology is applying to the DHET to offer the following programmes: BA in Psychology and BA in Psychology (Hons). A process of ensuring that the application meets minimum requirements has already started.
- The University is also developing a new Bachelor of Arts in Music Programme, which will soon be submitted for approval to the DHET, and accreditation by the CHE.
- The official visit to the CHE by the Quality Assurance Office and the Executive Director of Institutional Planning. The University queried a variety of errors in the PQM received and proposed by the CHE. An official submission was made to ensure that the Accreditation Committee of the CHE could approve the corrections on the University PQM. The consultation meetings between UNIZULU and the CHE occurred on Friday 7 October 2016. In both meetings, it was established that the University is allowed to offer all Category C programmes up until 2019. The last date of the first-year student

intake into Category C programmes will be December 2019. This arrangement is articulated in the Government Gazzette NO. 40123 of July 2016. However, the arrangement excludes programmes in Teacher Education and those in Nursing Science. This implies that the University is allowed to take students into its current BA programme, for example, while it works on recurriculating this programme for new accreditation (BA programme).

- An official visit to the SAQA by the Quality Assurance Office and the Executive Director of Institutional Planning. The University was represented by Mr Nhlanhla Cele and Ms Thembi Ndimande and SAQA was represented by its offices on Friday 7 October 2016. The meeting was held with Dr Brown and Mr Dugmore Mphuthing. In this meeting, it was agreed that SAQA will conduct a two-day workshop at the University and open up the qualifications register for the registration of all legacy qualifications awarded by the University before the HEQSF alignment.

- An official visit to the DHET by the quality assurance office and the Executive Director of Institutional Planning. The University, was represented by Mr Nhlanhla Cele and Ms Thembi Ndimande and the DHET teacher education team was led by Dr Rian Cilliers at the DHET offices on 10 October 2016. In this meeting, the DHET discussions on the extension of the date of last first-year students into teacher education programmes was discussed. The requested extension was granted. More discussion on gaps that needed to be addressed in teacher education programmes that were not yet approved was observed. The second meeting on the same day was held with Ms Hanellie van Rensburg and Ms Nontuthuzelo Zulu-Siwela of the DHET. The meeting was also centered on fixing errors in the approved PQM.

## ACTIONS TOWARDS THE 2010 INSTITUTIONAL AUDIT RECOMMENDATIONS

**Recommendation 1:** The HEQC recommends that the University engage with its history, location and current constraints to unpack what it means to be a rurally-based comprehensive institution with an urban footprint in Richards Bay in terms of maintaining a balance between programme offerings and enrolment planning.

**Action:** Quality Assurance is guiding and assisting in the development of engineering programmes for the Richards Bay Campus.

**Recommendation 10:** The HEQC recommends that the University undertake a careful assessment of the efficiency and effectiveness of the administrative support functions with a view to enlist finances, human resources, and information and communication technologies to enable the Institution to achieve its strategic objectives. This will necessitate the establishment of a system for accountability and quality assurance of the support services available at the Institution, with a view to improving the quality of student experience and minimise the administrative difficulties faced by academic staff.

**Actions:** The Quality Assurance Office has:

- Conceptualised a quality assurance system for support services; and
- Developed and approved the framework for quality assurance in support services.

**Recommendation 11:** The HEQC recommends that the University consider the development of a planning framework and the recruitment of the necessary capability and capacity to resource its planning function.

**Actions:** The Institutional Planning Directorate put the following in place:

- The Quality Assurance Office has been restructured to streamline programme development and accreditation. The Registrar's Office is now responsible for the submission of programmes to DHET for approval while all submissions for programme accreditation reside with the Quality Assurance Office;
- The Quality Assurance and Academic Developments Committee (QAAD) has been established and is in full operation to fulfill the quality assurance mandate of the University. The quality assurance function previously performed by the Teaching and Learning Committee has now been allocated to QAAD. The activities of the Teaching and Learning Committee are streamlined to focus on curriculum design, curriculum content, selection of pedagogies, assessment strategies and teaching and learning policies;

*The activities of the Teaching and Learning Committee are streamlined to focus on curriculum design, curriculum content, selection of pedagogies, assessment strategies and teaching and learning policies.*

- The programme approval and accreditation route

map has been developed and approved to create a robust quality assurance regime for learning programmes development and accreditation;

- The Quality Assurance Office is proactively facilitating programme development, approval and accreditation across all faculties and academic departments; and

- The Quality Assurance Office is actively involved in the monitoring of pipeline students in the previously de-accredited programmes.

**Recommendation 12:** The HEQC recommends that the University (i) review the different structures that have quality assurance as part of their brief; rationalise overlapping roles and areas of competence and establish clear lines of responsibility and accountability in relation to the quality assurance of the different core functions; and (ii) review the resources available to the Academic Planning and Quality Division in relation to its brief.

**Actions:** The Institutional Planning Office has facilitated the following:

- The review of programme approval and programme accreditation submission and separating functions between the Registrar's Office and the Quality Assurance Office has been achieved through the development of the approved 'Guidelines on Developing Learning Programmes for Accreditation and the Approval of Qualifications 2016', which provide a route map that channel functions towards relevant offices;

- All DHET programme approval applications are channelled through the Registrar's Office; and

- All programme accreditation submissions, teach-out plans and fulfilment of conditions are channelled through the Quality Assurance Office.

*The Office has been assisting various departments with their internal investigations and enquiries. The Office of Risk and Compliance has since drafted an OH&S Policy, which is currently being reviewed, and facilitated the appointments of relevant OH&S representatives and established the relevant committees within UNIZULU.*

## UNIZULU CHE SPECIAL AUDIT

The CHE conducted an Institutional Audit of the University in 2010. Prior to the audit visit, UNIZULU conducted its institutional self-evaluation between February and August 2009 and produced an Audit Self-Evaluation Portfolio, which was submitted to the HEQC in December 2009 for review by the audit panel. The audit visit transpired on 13-19 March 2010. The panel viewed the infrastructure of KwaDlangezwa and Richards Bay campuses, conducted interviews with a wide range of UNIZULU's staff, students and other stakeholders, and examined all documentary evidence provided on site. This audit led to the submission of the UNIZULU Audit Report by the CHE dated December 2010.

After receiving the CHE Audit Report, the University submitted an Improvement Plan to the CHE, which was approved by the HEQC Board. In 2013, challenges faced by the Institution led to the assignment of an administrator to the University by the Minister of the DHET Dr Blade Nzimande. During that period, when the University was under administration, a Progress Report to the approved Improvement Plan was submitted to the CHE, although there is no trace of institutional approval of this particular improvement plan. The Progress Report was not approved by the HEQC as it is reported that it did not speak to the approved Audit Improvement Plan.

In 2015, the CEO of the CHE Professor Narend Baijnath wrote to the University, putting a hold on the Institutional Audits of the University without closing this matter. At the time, the University was not the only institution whose audit was put on hold. The CHE wrote to the University indicating that putting the audit on hold without closing it was based on Executive leadership challenges the Institution was facing at that particular time since various management positions were vacant. CHE indicated that they would reopen the audit conversation once the substantive management team was in place at the University. They promised to engage with the University management on how best to assure quality in the Institution going forward when the audit conversation was reopened. Following the audits being put on hold, the CHE embarked on a new Quality Enhancement Project in which UNIZULU actively participated.

In a letter written to the UNIZULU Vice-Chancellor on 23 November 2016, the CEO of CHE indicated that the CHE would reopen the audit conversation since the Institution had made various executive appointments and leadership had stabilised at the University. CHE indicated that they wanted to conduct a Special Audit as a new quality assurance process for the University to close on the 2010 Audit, an initiative also requested by the Minister of Higher Education and Training. The following table is the audit schedule and methodology suggested by the CHE.

| Table 78: Institutional Audit Schedule | |
| --- | --- |
| **DATE** | **ACTIVITY** |
| December 2016 | Notification of UNIZULU senior management about the audit, the proposed approach, and dates for the audit |
| January 2017 | Briefing meeting with the UNIZULU Executive team |
| January – March 2017 | Document review by the audit team and formulation of questions to the university in order to identify: Areas of progress Areas of lack of, or insufficient, progress Areas of concern |
| March – May 2017 | Preparation of written submission by the University |
| May 2017 | Site visit to the University |
| June – July 2017 | Writing of audit report |
| August 2017 | Receipt of corrections from the University, finalisation of the report and approval by the HEQC |
| September 2017 | Submission of the Audit report to the Minister |

## RISK AND COMPLIANCE REPORTING

Risk management is one of the most important factors guiding the implementation of strategic goals and general operations of the University. During the year under review, the office of Risk, Compliance & Investigations was directly involved in several projects.

The Office has worked on the draft compliance framework, which is currently been reviewed by the internal auditors Sizwe Ntsaluba Gobodo. The office has also been developing the Fraud Prevention Plan; Fraud Risk Management Strategy; and the Fraud Policy.

The Office conducted a fraud risk assessment workshop on 6 December 2016 with the Finance Department.

In relation to Occupational Health and Safety (OH&S), the following has been accomplished:

- Developed with PP&W new disclaimer signs that were put up around both campuses and parking bays as well as at Bhekuzulu Hall;
- Transferred OH&S office from Protective Service Department (PSD) to Risk, Compliance and Investigation office;
- Facilitated the removal and disposing of hazardous waste at the science labs by the DCML. This has been successfully completed;
- Addressed risks identified by Marsh Insurance during a fire audit;
- Assisted Marsh Insurance to clear risks associated with infrared thermographic equipment;
- Finalised the 16.1 and 16. 2 appointments as well as the formation of the various SHE committees;
- Finalised an Emergency and Contingency Plan;
- Ensured that all fire equipment were serviced, repaired and replaced at the Richards Bay Campus in collaboration with Sonke Fire; and
- Conducted OH&S workshops.

The Office has been assisting various departments with their internal investigations and enquiries. The Office of Risk and Compliance has since drafted an OH&S Policy, which is currently being reviewed, and facilitated the appointments of relevant OH&S representatives and established the relevant committees within UNIZULU.

In respect of risk management, the committee recommended to Council the approval and adoption of the Integrated Risk Management Framework. This was approved by Council on 26 November 2016. The committee has oversight over the University's risk register, fraud risk and information technology risks. The Committee monitored complaints received via the Council's ethics line. In respect of the coordination of assurance activities, the Audit and Risk Committee reviewed the plans and work outputs of the internal and external auditors and concluded that these were adequate to address all significant financial risks facing the business.
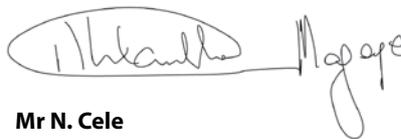
**Mr N. Cele**
**Executive Director: Institutional Planning**

# REPORT ON INTERNAL ADMINISTRATIVE
# OPERATIONAL STRUCTURES

## INTERNAL CONTROL

The Risk Management Framework is approved by Council and monitored through the Office of the Executive Director: Institutional Planning, who ensures maintenance of risk registers, compliance with risk mitigation programmes and provides training on enterprise risk management throughout the Institution. The University maintains systems of internal control over financial reporting and the safeguarding of assets against the unauthorised acquisition, and the use or disposal of such assets. Such systems are designed to provide reasonable assurance to a public higher education institution and the Council regarding an operational environment that promotes the safeguarding of a public higher education institution's assets, and the preparation and communication of reliable financial and other information.

This includes documented organisational structures setting out the division of responsibilities, as well as established policies and procedures, including a Code of Ethics that is communicated throughout the Institution to foster a strong ethical climate and the careful selection, training and development of its people.

Information systems utilising modem information technology are in use throughout the Institution. All have been developed and implemented according to defined and documented standards to achieve efficiency, effectiveness, reliability and security. Accepted standards are applied to protect privacy and ensure control over all data, including disaster recovery and 'back up' procedures.

Password controls are strictly maintained, with users required to change passwords on a monthly basis. There are regular reviews (monthly) to ensure that there are no clashes in user access rights and that the basic internal control concept of division of duties is maintained. Where, for capacity reasons, an occasional clash does occur, sufficient manual controls are in place to ensure that these clashes are mitigated. Systems are designed to promote ease of access for all users and the systems are sufficiently integrated to minimise duplication of effort and ensure minimum manual intervention and reconciliation procedures. The development, maintenance and operation of all systems are under the control of competently trained staff.

In utilising electronic technology to conduct transactions with staff and with third parties, control aspects receive close scrutiny and procedures are designed and implemented to minimise the risk of fraud or error.

Internal auditors monitor the operation of internal control systems and report findings and recommendations to management, the Audit and Risk Committee and the Council. The University outsourced its internal audit function to a firm of auditors. The scope of the internal audit for 2016 was based on the risk profile. The role of the Internal Audit Services is to add value to UNIZULU by providing independent, objective assurance on the adequacy and effectiveness of the internal controls, governance and risk management. UNIZULU maintains systems of internal control to ensure:

- Operating activities are conducted effectively;
- Legislation, regulations, policies and procedures are complied with;
- Financial reporting is reliable; and
- Assets are safeguarded.

Reports on the findings of the internal auditors, together with management's responses, were reviewed by the Audit and Risk Committee. The meetings of the Committee were attended by the internal and external auditors of the University. Although UNIZULU is committed to maintaining systems of internal control

over financial reporting and the safeguarding of assets against the unauthorised acquisition, use or disposal thereof, there is much room for improvement.

There are inherent limitations to the effectiveness of any system of internal control, including the possibility of human error and the circumvention or overriding of controls. Accordingly, even an effective internal control system can provide only reasonable assurance with respect to financial statement preparation and the safeguarding of assets. Furthermore, the effectiveness of an internal control system can change according to circumstances.

## ANTI-FRAUD INITIATIVES

The whistleblowing service, which is provided by an independent service provider, is a reliable conduit for all stakeholders to anonymously report suspicious transactions or irregularities. Reports are evaluated by the Forensic Services Department and thoroughly investigated, where necessary. The appropriate remedial action is taken in relevant instances. The Forensic Services Department also continuously assesses fraud risks.

## ENTERPRISE RISK MANAGEMENT

Enterprise risk has been delegated to the Executive

management and is addressed at the Internal Risk Management Committee. Management is responsible to Council for designing, implementing and monitoring the process of enterprise risk management. Risk management is also a key performance area, both collectively as well as individually for members of the Executive.

The Risk Management Framework, approved by Council and monitored through the Office of the Executive Director: Institutional Planning, ensures maintenance of risk registers, compliance with risk mitigation programmes and provides training on enterprise risk management throughout the Institution. The Audit and Risk Committee ensures that processes and controls are both efficient and effective. The University's policy with regard to insurance and risk cover is set and monitored by the Finance Committee.

## FINANCIAL RISK

Decisions on the level of financial risk undertaken are made by the University's Finance Committee and enforced by the Executive Director: Finance and the Finance Division in terms of established limits by reference to the particular transaction type and are based on an assessment, in each case, of the values and the counter-parties involved. Financial risks faced

*The whistleblowing service, which is provided by an independent service provider, is a reliable conduit for all stakeholders to anonymously report suspicious transactions or irregularities. Reports are evaluated by the Forensic Services Department and thoroughly investigated, where necessary. The appropriate remedial action is taken in relevant instances.*

by the University include credit risk, liquidity risk, foreign currency risk, interest rate risk and investment risk. As far as these can be assessed and quantified, the respective levels of exposure and the measures taken to mitigate such risks are described in the notes to the Consolidated Annual Financial Statements.

## STATEMENT ON INTERNAL AND OPERATIONAL STRUCTURES

The systems and policies are designed to provide reasonable assurance to the University regarding an operational environment that promotes the safeguarding of the University's assets and the preparation and communication of reliable financial and other information. This includes documented organisational structures setting out the division of responsibilities, as well as established policies and procedures, including a Code of Ethics, which is communicated throughout the Institution to foster a strong ethical climate and the careful selection, training and development of its people. The forensic

auditors have performed investigations and noted that many of the transgressions by implicated individuals were caused by inadequate and ineffective internal controls, which created opportunities for fraudulent acts to be committed. It has been recommended that management endeavours to address the issues by implementing controls in order to prevent these unfortunate incidents from recurring. It must be emphasised, though, that even effective internal control systems can provide only reasonable assurance with respect to financial statement preparation, effectiveness of operational activities and the safeguarding of assets.
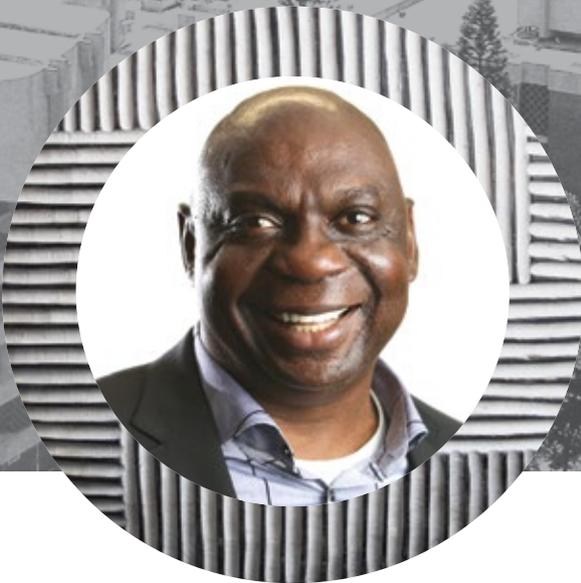
The Audit and Risk Committee reviewed the Report on internal administrative/operational structures and controls in the year under review at its meeting of 20 June 2017, which had quorum.
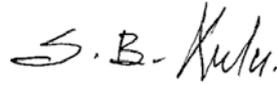
*S. B. Xulu.*

**Mr S.B. Xulu**
**Chairperson: Audit and Risk Committee of Council**



Front from left: Prof. Smith, Prof. Mtose and Mr Xulu. Back from left: Mr Kunji-Behari and Mr Nkwanyana.

Management is responsible for the design, implementation and monitoring of the process of risk management. In this regard, the University management is accountable to the University Council. A challenge exists to instil a culture of risk awareness in the Institution and to integrate the responsibilities in this regard with the management approach and performance appraisal of line managers.

## INTRODUCTION

Based on the need to balance the achievement of specific performance against the need to protect its stakeholders (conformance), the Council of UNIZULU has approved the implementation of an integrated risk strategy as a key component of its Corporate Governance Framework.

UNIZULU's proposition is that risk management provides the Institution processes and tools that need to become more anticipatory and effective at evaluating, embracing and managing the uncertainties that the University faces as it creates sustainable value for stakeholders.

The following factors require consideration when integrating enterprise risk management into the UNIZULU decision-making structures and ensuring the management of risk is inculcated in the culture of the University:

• Aligning risk management with objectives at all levels of the University;
• Introducing risk management components into existing strategic planning and operational practices;
• Including risk management as part of employees' performance appraisals; and

• Continuously improving control and account-ability systems and processes to take into account risk management and its results.

Council has established the Audit and Risk Committee, which is responsible to assess all areas of risk (financial and non-financial), monitors changes in the University's risk profile, and gains assurance that risk management is effective. The Committee establishes materiality levels and determines the University's risk appetite. All risks are considered as well as their likelihood and risk mitigation procedures established, where applicable. The Committee also ensures that the risk register is maintained. The Chairperson of the Audit and Risk Committee, the Vice-Chancellor and other members of Executive management report regularly to Council on risk management activities and results.

## MANGEMENT AND CONTROL OF CONSEQUENCES OF RISK

Management conducted a risk assessment workshop in June 2016 to identify risks in consideration of the strategic goals (2016-2021). The bar chart over the page is a presentation of the Strategic Risk Profile as at June 2016.
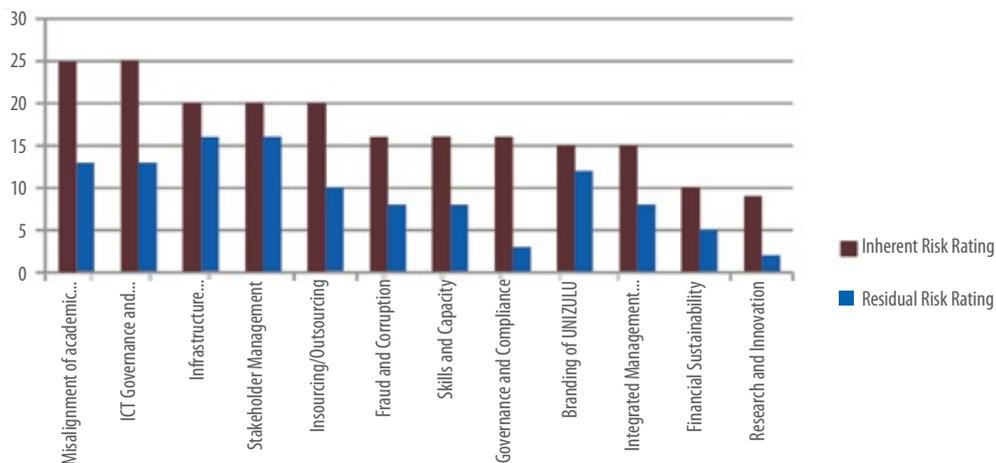
Management has identified, through defined responsibility and accountability for management, each risk event condition and area. The resultant risk register in terms of the strategic plan 2016-2021 is enclosed in Table 79 below:

| Table 79: Institutional Risk Register | | | | | | |
|---|---|---|---|---|---|---|
| RISK NO. | GOALS LINKED TO | BUSINESS PROCESS LINKED TO | RISK NAME | RISK DESCRIPTION | EVALUATION AFTER CONSIDERING CURRENT CONTROL STRATEGIES | RISK OWNER |
| 1 | All | Academic | Misalignment of academic structure to PQM | Misalignment of academic structure to PQM | 13 | DVC (Teaching and Learning) |
| 2 | All | Institutional Support | ICT Governance and Infrastructure | Inadequate ICT Governance Structures, Infrastructure and Related Processes | 13 | Deputy Vice-Chancellor (IS) |
| 3 | 2, 3 & 6 | Institutional Support | Infrastructure Development and Maintenance | Inadequate Infrastructure Development and Maintenance | 16 | Vice-Chancellor |
| 4 | All | Institutional Support | Stakeholder Management | Inadequate engagement with key stakeholders | 16 | Vice-Chancellor |
| 5 | All | Institutional Support | Insourcing/Outsourcing | Inability to competently deal with emerging issues relating to Insourcing/ Outsourcing | 10 | Deputy Vice-Chancellor (IS) |
| 6 | All | All Business Processes | Fraud and Corruption | Fraud and Corruption | 8 | Vice-Chancellor |
| 7 | All | Human Resources | Skills and Capacity | Inadequate Skills and Capacity, i.e. shortage of expertise and required levels of competencies | 8 | Executive Director: Human Resources |
| 8 | All | Registrar | Governance and Compliance | Inadequate Governance Structures and Related Processes<br><br>Non-compliance with legislation, regulations and best practices | 3 | Registrar |
| 9 | 2, 3, 4 & 5 | Institutional Support | Branding of UNIZULU | Inadequate Branding Strategy and related activities | 12 | Deputy Vice-Chancellor (IS) |

| RISK NO. | GOALS LINKED TO | BUSINESS PROCESS LINKED TO | RISK NAME | RISK DESCRIPTION | EVALUATION AFTER CONSIDERING CURRENT CONTROL STRATEGIES | RISK OWNER |
|---|---|---|---|---|---|---|
| 10 | All | Institutional Support | Integrated Management Systems | Inadequate Integrated Management Systems | 8 | Deputy Vice-Chancellor IS |
| 11 | All | Finance | Financial Sustainability | Insufficient funding for the running of the Institution | 5 | Vice-Chancellor |
| 12 | 2, 3, 4 & 5 | Research and Innovation | Research and Innovation | Inadequate Research and Innovation | 2 | Deputy Vice-Chancellor (Research and Innovation) |

## CONCLUSION

Council approved that the staff establishment be expanded to include a risk manager. The Risk Manager will be the officer identified to prepare the University's report on risk and risk management. In the absence of such an officer, the responsibility rested with the Vice-Chancellor in 2016. Council is satisfied with the risk assessment conducted.
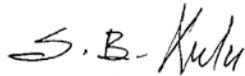
*S. B. Xulu.*

**Mr S.B. Xulu**
**Chairperson: Audit and Risk Committee of Council**

# ANNUAL FINANCIAL
# REVIEW

This report is a presentation of the consolidated Annual Financial Statements of UNIZULU for the year ended 31 December 2016. It provides an executive overview of the main financial activities and results of the University and the UNIZULU Foundation.

## OPERATING RESULTS

| Table 80: Comprehensive Income | | | | | |
|---|---|---|---|---|---|
| TOTAL COMPREHENSIVE INCOME AFTER NON-RECURRENT ITEMS (R'000) | 2014 | % INCREASE | 2015 | % INCREASE | 2016 |
| Surplus/(loss) before non-recurrent income | 97 233 | | 150 105 | | 191,925 |
| Non recurrent items: post-retirement costs | (15 125) | | (68 600) | | (76,033) |
| Net surplus/(loss) | 82 108 | -0.7% | 81 505 | 42.2% | 115,892 |
| Other comprehensive income items | (219 973) | | 121 376 | | (97 207) |
| Total comprehensive income | (137 865) | 247.2% | 202 881 | -90.8% | 18 685 |

The Statement of Consolidated Comprehensive Income for 2016 reflects a surplus before OCI of R115.9 million (2015: R81.5 million). While UNIZULU budgeted for a small surplus for the 2016 year, the positive results are mainly attributable to additional recurrent income earned, and a decline in depreciation charges as a result of changes to useful life of assets.

After taking into account the post-retirement items on the defined benefit pension fund, provident retirement fund and medical aid fund, the total comprehensive income for the year is R18.7 million (2015: profit R202.9 million).

The following two tables illustrate the various reportable segments and the operating results pertaining to each one.

| Table 81: Surplus before Non-recurrent Income per Reportable Segments | | | |
|---|---|---|---|
| **SURPLUS BEFORE NON-RECURRENT ITEMS** | **2014** | **2015** | **2016** |
| | **R'000** | **R'000** | **R'000** |
| Council controlled | 118 752 | 120 026 | 191 906 |
| Designated funds | (17 817) | 11 165 | -516 |
| Auxiliary services/student accommodation | (830) | 13 909 | 4 398 |
| UNIZULU Foundation | (2 872) | 5 005 | -3 864 |
| Total | 97 233 | 150 105 | 191 924 |

| Table 82: Comprehensive Income/(Loss) per Reportable Segments | | | |
|---|---|---|---|
| **TOTAL COMPREHENSIVE INCOME/(LOSS)** | **2014** | **2015** | **2016** |
| | **R'000** | **R'000** | **R'000** |
| Council controlled | 114 137 | 171 329 | 20 885 |
| Designated funds | (252 971) | 11 639 | ( 516) |
| Auxilliary services/student accomodation | ( 830) | 13 909 | 4 398 |
| UNIZULU Foundation | 1 799 | 6 004 | (6 083) |
| Total | (137 865) | 202 881 | 18 684 |

## REVENUE

There is a positive trend in recurrent income growth, and in 2016, recurrent income increased by 13.1%. The table below provides a breakdown of the R1 028.1 million recurrent income by income type.

| Table 83: Recurrent Income | | | | | |
|---|---|---|---|---|---|
| **TOTAL RECURRENT INCOME (R'000)** | **2014** | **% Increase** | **2015** | **% Increase** | **2016** |
| State appropriations | 384 542 | 6.2% | 408 224 | 19.9% | 489,613 |
| Tuition and other fees | 321 153 | 7.5% | 345 197 | 4.7% | 361,446 |
| Sale of goods and services | 42 193 | -6.5% | 39 454 | 27.8% | 50,413 |
| Private gifts and donations | 65 011 | -22.9% | 50 111 | -1.6% | 49,328 |
| Other income | 10 457 | 101.8% | 21 102 | -15.5% | 17,839 |
| Investment income | 32 367 | 40.0% | 45 303 | 31.4% | 59,533 |
| Total | 855 723 | 6.3% | 909 391 | 13.1% | 1,028,172 |

In terms of the proportional contribution by each type of income there has been no significant change in the past year, with State Appropriations at 48% (2015: 45%) of total income, while Tuition fees contributed 35% (2015: 38%).

| Table 84: Proportional Representation of Recurrent Income | | | |
|---|---|---|---|
| TOTAL RECURRENT INCOME PROPORTIONAL % | 2014 | 2015 | 2016 |
| State appropriations | 45% | 45% | 48% |
| Tuition and other fees | 38% | 38% | 35% |
| Sale of goods and services | 5% | 4% | 5% |
| Private gifts and donations | 8% | 6% | 5% |
| Other income | 1% | 2% | 2% |
| Investment Income | 4% | 5% | 6% |
| | 100% | 100% | 100% |

## EXPENDITURE

In 2016, recurrent expenditure increased by 10% when compared to the prior year and the increase is mainly attributable to higher operating costs. Personnel costs increased by 12.9% but remained below the benchmark of 62% of income. An increase in personnel costs is as a result of filling executive positions. The lower finance costs arise from a reduction of interest on the finance lease liabilities.

The table below reflects the recurrent expenditure trend over the last three years.

| Table 85: Recurrent Expenditure | | | | | | |
|---|---|---|---|---|---|---|
| RECURRENT EXPENDITURE | 2014 | % change | 2015 | % change | 2016 | |
| | R'000 | | R'000 | | R'000 | |
| Personnel costs | 354 391 | 4.9% | 371 854 | 12.9% | 419,797 | |
| Operating expenses | 351 238 | -2.5% | 342 425 | 18.1% | 404 440 | |
| Depreciation | 39 762 | -10.7% | 35 496 | -83.9% | 5 719 | |
| Minor Capital items | 9 066 | -22.7% | 7 005 | -44.0% | 3 921 | |
| Finance Costs | 4 033 | -37.9% | 2 506 | -5.4% | 2 370 | |
| Total | 758 490 | 0.1% | 759 286 | 10% | 836 247 | |

| SALARY BENCHMARK | 2014 | 2015 | 2016 |
|---|---|---|---|
| | R'000 | R'000 | R'000 |
| Income | 855 723 | 855 723 | 836 247 |
| Personnel costs | 354 391 | 371 854 | 419 797 |
| As a % of income | 41% | 43% | 50% |
| Other income | 1% | 2% | 2% |

## PROPERTY, PLANT AND EQUIPMENT

The closing book value of property, plant and equipment was R1 194.1 million (2015: R843.7 million) reflecting an increase due to revaluation of land and buildings. In terms of UNIZULU's accounting policies, land and buildings are stated at fair value and revalued every five years. The assets were thus revalued in the current year by an external, independent property valuer and the impact was a net devaluation of R249.6 million.

The total net decrease of R87.4 million was made up of R106.5 million additions offset by the depreciation of R5.7 million and the net revaluation of land and buildings totalling R249.6 million.

The additions consist of:
- R86 000 for transfer costs relating to land in Richards Bay
- R27.5 million for executive houses in Mthunzini
- R53 million work in progress
- R5.8 million for Furniture and Equipment
- R19.6 million for Computer Equipment

The work in progress refers to the DHET Infrastructure Programme. The DHET has committed and paid a total of R376.3 million for the fiscal years 2012/2013 to 2014/2015 for expansion and improvement of the physical infrastructure. These funds were released in tranches of R125.5 million annually. The University has also committed to contribute R62.2 million of its own funds towards the same build programme. The expenditure will accelerate once the construction tenders are awarded in the latter part of 2017.

The funds received from DHET are reflected under Deferred Income and appear under Non-current Liabilities in the Statement of Financial Position; further information is provided under note 12 to the Annual Financial Statements.

## INVESTMENTS AND CASH

At year end, investments and cash amounted to R1 372.7 million (2015: R1 313 million). The increase is attributable to positive operating cash flows, which includes the receipt of R35million tranche from the DHET infrastructure grant.

The amounts pertaining to the DHET expansion build programme and other designated grants are separately invested in identifiable investment portfolios totalling R425 million. These investments form part of the short-term investment portfolio.

The investment of funds is done in terms of the approved Investment Policy.

| Table 86: Investments and cash | | | |
|---|---|---|---|
| **INVESTMENTS AND CASH** | **2014** | **2015** | **2016** |
| | **R'000** | **R'000** | **R'000** |
| Non-current assets | 443 932 | 487 882 | 493 657 |
| Short term investments | 532 735 | 806 694 | 838 715 |
| Cash on hand | 58 377 | 18 830 | 40 323 |
| Total | 1 035 044 | 1 313 406 | 1 372 695 |

*The closing book value of property, plant and equipment was R1 194.1 million (2015: R843.7 million), reflecting an increase due to revaluation of land and buildings.*

## POST-RETIREMENT BENEFITS AND OBLIGATIONS

The University operates defined benefit pension and provident funds. The Pension Fund at year end reflects a net deficit of R0.7 million (2015: surplus of R97.6 million) while the Provident Fund has a deficit of R3.9 million (2015: surplus R9.1 million).

The overall post-retirement deficit totalled R4.5 million (2015 surplus: R106.7 million) and this has been recognised as a liability.

In view of the overall employer deficit position, the University was not eligible to take a partial contribution holiday as allowed in term of the Pension Fund Act. This needs to be reviewed on an annual basis and it is estimated that from the end of 2017, the University may be in the deficit position and has to top up. A Board of Trustees representing the members and the University meets on a quarterly basis to review the fund and investment performance.

Employees are entitled to join the University approved medical aid schemes, which are subsidised by the employer. This benefit continues to be subsidised after retirement, with shared contributions between employee and employer. With effect from 2012, in an effort to limit post-retirement financial exposure, new employees were not granted this retirement benefit. At year end, the post-retirement obligations, as actuarially calculated in respect of this scheme, amounted to R97 million (2015: R80 million). This liability is not separately funded.

## STUDENT DEBT

The total student debt before impairment provision was R348.4 million (2015: R255.4 million), reflecting an increase of R93.3 million compared to the previous year. The main reason for this increase is the reduction in fees paid due to the fact that students were registered while they were still owing. Also the number of students owing increased significantly from 43 972 in 2015 to 44 133 in 2016.

The provision for doubtful debts at the end of 2016 totaled R129.7 million compared to R127.2 million in the prior year. In calculating the impairment loss, UNIZULU took into account the 2017 allocation from NSFAS for the historical debt repayment. This effectively reduced the amount required as a bad debt provision. Refer to note 6 of the Annual Financial Statements for further details.

## INTEREST BEARING BORROWINGS

The interest bearing borrowings at R29 million (2015: R31 million) relate to a loan raised from DBSA for the construction of student residences in 2007. A cession of certain listed investments totalling R48 million was issued to the Development Bank of South Africa in 2007. Refer to note 10 of the Annual Financial Statements.

It is anticipated that in order to partly fund the next three years planned infrastructure programme, an additional loan of about R44 million may need to be sourced.

## DEFERRED GOVERNMENT GRANT

In terms of IAS20: Accounting for Government Grants and Disclosure for Government Assistance, government grants, in respect of capital projects, are recognised as deferred income and released to the income statement over the useful life of the asset.

Grants spent but not yet released to income amounted to R198.5 million (2015: R204.2 million), while grants not yet spent totalled R500.1 million (2015: R437.9 million). Further details can be found under note 12 of the Annual Financial Statements.

## ACCUMULATED FUNDS

The University has a total of R1 774.8 million (2015: R1 507 million) in accumulated funds. Over the last three years, the University has maintained a high level of funding/equity, with a particular increase in non-restricted funds due to the positive operating results achieved.

| Table 87: Equity Funds | | | |
|---|---|---|---|
| **SUMMARY OF EQUITY FUNDS** | **2014** | **2015** | **2016** |
| | **R'000** | **R'000** | **R'000** |
| Non0distributable | 1 146 202 | 999 797 | 1 131 884 |
| Restricted | 64 792 | 101 607 | 105 529 |
| Non0restricted | 238 017 | 405 583 | 537 346 |
| Total | 1 449 011 | 1 506 987 | 1 774 759 |

| Table 88: Proportional Representation of Equity Funds | | | |
|---|---|---|---|
| **PROPORTIONAL REPRESENTATION OF EQUITY FUNDS** | **2014** | **2015** | **2016** |
| | **R'000** | **R'000** | **R'000** |
| Non-distributable | 79% | 66% | 64% |
| Restricted | 4% | 7% | 6% |
| Non-restricted | 16% | 27% | 30% |
| Total | 100% | 100% | 100% |

## VAT

UNIZULU is now a registered VAT vendor in terms of the VAT Act. There's a project where VAT is being computed. An amount of R4 million has been budgeted for VAT provision.

## CONCLUSION

The Institution is in a sound financial position and is committed to continuing to build on past achievements through continued fiscal discipline and financial oversight. Surpluses have been achieved for three successive years and accumulated funds have also steadily increased. The Institution has thus sufficient funding sources to implement its significant infrastructure programme planned for the next three years.

**Mr J. Kunji-Behari**
**Chairperson: Finance Committee of Council**

**Mr Z. Mzimela**
**Executive Director: Finance**

# REPORT OF THE
# AUDIT AND RISK COMMITTEE

## AUDIT AND RISK COMMITTEE TERMS OF REFERENCE

The Audit and Risk Committee of the Council is a committee instituted in terms of paragraph 27 of Chapter 4 of the Statute of the University of Zululand, promulgated in terms of the Higher Education Act, 1997, as approved by the Minister of Education and published in Government Gazette 35784 of 12 October 2012. The Committee has conducted its affairs in compliance with its detailed charter that is based on the regulatory requirements of the Statute of the University of Zululand, the King Code of Governance Principles for South Africa 2009 (King III) and other responsibilities assigned to it by the Council.

The Charter of the Audit and Risk Committee of the Council has the status of Institutional Rules of the University of Zululand, as contemplated in section 29(4) of the Higher Education Act, 1997.

## COMPOSITION AND MEETINGS

The members of the Committee are independen, non-executive and appointed by Council. Information on the membership and composition of the Audit and Risk Committee and meetings held are set out in Table 6 of the Chairperson of Council's report.

## KEY DUTIES AND FUNCTIONS

The Audit and Risk Committee carried out its functions through the Audit and Risk Committee meetings, discussions with executive management, internal audit and external advisers, where appropriate.

In giving effect to its charter during the year under review, the Committee:

- Assisted Council:

- To evaluate the adequacy and efficiency of the internal control systems to safeguard the University's assets;
- In ensuring that proper accounting practices, cash flow management, information systems and auditing processes applied in the day-to-day management of the University; and
- In ensuring that the University risks are adequately managed and monitored.
- Facilitated and promoted communication between management, external auditors and Internal Audit on matters that the Committee are responsible for.
- Made recommendation to the Executive Committee of Council that KPMG Inc. as registered auditors, for the appointment as external auditors since, in the opinion of the Committee, they are independent of UNIZULU.
- Determined the fees and terms of engagement of the external auditors.

## EXTERNAL AUDITORS

The external auditors presented the 2016 Annual Audit Plan to the Committee. The presentation highlighted the following salient aspects, but was not limited to: the determination of materiality was set at R10 351 000 (this figure was to be updated if necessary on receipt of the final trial balance), and errors greater than the audit misstatement posting threshold (R690 000) would be reported to the Committee. After thorough consideration, the Committee approved the the Audit Plan and audit fees for the 2016 financial year. The 2016 audit fees increased by approximately R200 000 when compared with the 2015 fees due to the increase in the Auditor-General's procedures and inflationary increases.

The Committee has satisfied itself that the external auditors were independent by using the

criteria relating to independence or conflicts of interest, as prescribed by the Independent Regulatory Board for Auditors. Requisite assurance was sought and provided by the external auditors that internal governance processes within the audit firm support and demonstrate its claim to independence.

The Committee considered whether any reportable irregularities were identified and reported by the external auditors in terms of auditing profession Act, 2005, and determined that there were none.

## FINANCIAL INFORMATION AND ACCOUNTING PRACTICES

The Committee reviewed the financial statements of UNIZULU as well as all financial information before submission to the Council for approval and considered that they comply in all material respects with International Financial Reporting Standards and the requirements of Regulations for Reporting by Higher Education Institutions.

During the reporting period, the Committee:

- Reviewed and discussed the audited annual financial statements included in this Integrated Report with the external auditors, the Vice-Chancellor and the interim Executive Director: Finance;
- Reviewed the external auditors' report and management's response;
- Reviewed any significant adjustments resulting from external audit queries and accepted unadjusted audit differences; and
- Received and considered reports from the internal auditors.

## EFFECTIVENESS OF SYSTEMS OF INTERNAL CONTROL AND INTERNAL AUDIT

Internal Audit provides the Audit and Risk Committee and management with assurance that the internal controls are appropriate and effective. The Committee is responsible for ensuring that the internal audit function is independent and has the necessary resources, standing and authority to enable it to discharge its duties. Furthermore, the Committee oversees cooperation between internal and external auditors. The Internal Audit Manager has direct access to the Committee, primarily through its Chairperson.

The Committee assessed the relevancy of the following policies: Supply Chain Management, Investment, Fleet and Transport Management. From the various reports of the internal auditors, it was noted that certain areas indicate deficiencies in the systems of internal control, which included deficiencies over supply chain management and ICT, but there are mitigating plans in place to enhance control effectiveness. The Committee is satisfied with the effectiveness of the internal audit function.

### RISK MANAGEMENT

In respect of risk management, the Committee resolved that through the ICT Strategy and Framework, an ICT Governance Committee be established to circumvent the repeat of ICT related risks identified in the audit for the year ended 31 December 2015.

The Committee has oversight over the University's internal audit tracking register and resolved that the register should incorporate indicators to measure performance on identified risks, i.e. resolved and unresolved issues.

The Committee monitored complaints received via the Council's ethics line. In respect of the coordination of assurance activities, the Audit and Risk Committee

reviewed the plans and work outputs of the internal and external auditors and concluded that these were adequate to address all significant financial risks facing the business.

## GOING CONCERN

The going concern assumption is a fundamental principle in the preparation of financial statements. The Committee reviewed a documented assessment by management of the going concern premise of the University before recommending to the Council that the Institution will be a going concern in the foreseeable future.

## OTHER CORPORATE GOVERNANCE REQUIREMENTS

### Expertise and Experience of Finance Function

Pursuant to the King IV Code, the Committee considered the overall appropriateness of the expertise and adequacy of the UNIZULU's finance function and concluded that it needs to be further enhanced with the introduction of additional senior managers.

## CONCLUSION

The Committee is satisfied that it has complied with all its statutory and other responsibilities. Having regarded all material risks and factors that may impact on the Annual Financial Statements the committee recommended to the Council at its meeting that the Annual Financial Statements of the University for the year ended 31 December 2016 be accepted.

The Audit and Risk Committee accepted the audit opinion of the external auditors on the consolidated Annual Financial Statements and recommends that the audited consolidated Annual Financial Statements be accepted and read together with the report of the external auditors.

The report is recommended to Council for approval.
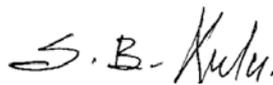
S. B. Xulu.

**Mr S.B. Xulu**
**Chairperson: Audit and Risk Committee of Council**

# COUNCIL'S REPORT ON
# TRANSFORMATION

We present the report of the University on the implementation of the Higher Education Summit resolutions and priorities as a requirement from all public higher education institutions. The report is divided into three main components, addressing short-, medium- and long-term imperatives.

## INTRODUCTION

The University defines transformation as contextual responsiveness to local and regional development needs of local and regional communities by producing the required intellectual capital (graduates, research, technology transfer and societal intellectual engagement) that advances public good and brings about social redress.

Based on this conceptualisation of transformation, the University:

- Seeks to produce high quality graduates in areas of societal need and critical scarce skills;
- Produces high quality postgraduates who will assume leadership roles in their professions and civil society;
- Produces research that contributes to the creation of solutions for societal application and advancement of various forms of disciplinary knowledge;
- Seeks to engage in community partnerships that recognise and advance local indigenous knowledge systems;
- Pursues research that advances various disciplinary knowledge areas working with equity designated groups and building research skills and capacities among these communities; and

- Retains its goal to offer various comprehensive university-type programmes in specialised science, engineering and technology, life sciences and economic and business studies areas without turning a blind eye to socially relevant humanities and social sciences programmes.

Based on the University's definition, transformation is an integral part of its mandate and core business. It is for this reason that UNIZULU cannot hold a separate programme of transformation outside the extant programmes for teaching and learning; research and innovation; community engagement and societal development. UNIZULU's understanding of the context, which shapes its conceptualisation of transformation, provides an indepth elaboration on this definition of transformation.

## TRANSFORMATION CONTEXT AT THE UNIVERSITY OF ZULULAND

The University was established in 1960 as a homeland University. The University acknowledges and embraces the requirement placed upon all public higher education institutions to significantly contribute to the redress of social, gender and racial disparities imposed by the apartheid regime upon

South Africans. Linked to this requirement is the expectation to espouse and observe human rights and social justice values enshrined in the Constitution of the Republic of South Africa that took effect on 4 February 1997. As a consequence, the University has put various programmes in place to respond to this legal requirement.

Secondly, the University has always advanced social redress through production graduates within communities designated for social redress and equity, many years before the enactment of the 1997 Constitution of the Republic of South Africa. Over a number of decades, the University has produced large numbers of black and female graduates who have gone on to occupy key leadership positions in civil society, government institutions and departments, the private sector, the corporate world, and various other professions. The University has also produced research and embarked on social engagement that promoted equity, redress, democratisation, development, quality and public accountability.

Thirdly, post 1994, the University has been firmly aware of the expected responsiveness to local, national and global contexts that it has to demonstrate by discharging its intellectual capital (production of graduates, research output and technology transfer) functions embedded in its mandate as an institution of higher learning. The University has developed strategic frameworks that constantly position it in response to such local and global demands and imperatives. These frameworks, among other key documents, include the University of Zululand Teaching and Learning Plan 2017-2021; the University of Zululand Research and Innovation Strategic Framework; the Community Engagement Strategic Plan 2016-2021; and various other frameworks. In this regard, transformation is not an imperative appended to the core business; it remains firmly embedded in the core business of the University and all its operations.

Fourthly, the achievement of transformation as a national imperative is essential if the University is to achieve its vision of being a leading comprehensive University. The University sees its role as that of systematically addressing transformation imperatives as an embedded part of its core business. There are various ways through which the University strives to achieve its transformation goals. These include proactively creating an enabling institutional culture environment that generates a sense of commitment to social redress and social justice among all stakeholders and constituencies. The University is committed to creating greater gender and race representation among students, staff, management, those serving in governance structures and staff serving in leadership roles.

Fifthly, UNIZULU is the only university situated in the north of the uThukela River and the only comprehensive university in KwaZulu-Natal province.

The location of the University in the uMhlathuze Municipality, which is the fastest growing industrial hub and employer in northern KwaZulu-Natal, gives the University an intellectual advantage to bring about new forms of societal engagement, social development and large-scale transformation in a region largely populated by rural communities.

Its mandate, which is entrenched in its historical human emancipation credentials, its location, the rural environment and institutional typology, position it for profound impact in the achievement of national economic growth goals, enhancement of social development, and the production of knowledge that has a direct impact on rural and semi-urban communities that the University serves. UNIZULU's transformation paradigm is not merely derived from demographic representation among students and staff, but the national socio-economic strategic frameworks and targets guide the University's impact in the region.

And finally, this response is submitted in the context where the University has developed a new Strategic Plan 2016-2021 under the leadership of the new Vice-Chancellor, Professor Xoliswa Mtose, and a strategy that was approved by the University Council in December 2015.

The University Strategic Plan sets priorities that find direct convergence with transformation imperatives on 'graduateness', creates an environment for effective teaching and learning, enhances research and innovation, accelerates infrastructure development, and ensures institutional sustainability through good governance.

As a comprehensive University, we have embarked on developing various types of programmes to cater for diverse needs and professional forms of training through our mainstream programmes. We have also offered foundation programmes in Commerce and Science streams to extend access to students who would otherwise have not qualified through mainstream programmes on record time.

The University believes in data analysis to guide the tracking of student performance and the understanding of student success. In 2016, the University established the Strategic Analytics and Business Intelligence Office to conduct systemic analytics on student performance to assist faculties to develop responsive programmes to address student learning and teaching needs.

Through the Centre for Teaching and Learning, the University has established a student tracking system that identifies students with low test and assignment marks. These students are referred to faculties for enhanced support. The University is in the process of purchasing an electronic system that identifies these students directly using student performance data.

## EQUITY

The University has an Equity Committee that has conducted a review of staff equity plans, which have been submitted to the Department of Labour as they get revised.

## NSFAS FUNDING AND STUDENT FEES

Since 2016, the UNIZULU NSFAS-funded students received full funding for overall cost of study (tuition, accommodation, and other allowances). This has helped the University prevent a top-slicing arrangement that it was forced by circumstance to implement in previous years. In the past, top-slicing helped UNIZULU to provide funding to more students, although funds were limited. The DHET allocated the funds to address the student historical debt emanating from the 2013 to 2015 academics years. This has helped to eradicate student debt in relation to those who received NSFAS funding in the past.

The University ensures that all correct and necessary information for students who receive funding is provided to the NSFAS Offices. It also annually provides the NSFAS with Graduate Drop-out statistics to ensure that proper reporting on students who graduate is done and brought to the attention of NSFAS. The student funding split was 78% NSFAS-funded, 11% funded by private sponsors, and 14% cash-paying students

In addition to NSFAS, the University has a bursary called the Rector's Fund, which assists needy students who don't receive NSFAS funding.

A large proportion of UNIZULU students, approximately 95%, receive NSFAS funding. That eliminates the possibility of having a large number of students failing to pay student fees.

Some students receive scholarships directly from various donors and this helps some of the needy students. The University often receives a list of bursary allocations from organisations like Eskom, Moses Kotani, the KZN DOE, Department of Health and many others donors and bursary schemes. The University continues to encourage various donors to provide scholarship support to various needy and high performing students.

UNIZULU has put various mechanisms in place to deal with transformation imperatives and address the priorities of the HE Summit 2015. These include the establishment of the University Transformation Committee; the development of the Integrated Transformation Plan 2014; and the integration of the transformation priorities into the Strategic Plan of the University.

The University has developed a detailed programme of action for transformation, including an action plan embedded in a revised Integrated Transformation Plan 2017-2021. This programme of action has been directly linked to the University Strategic Plan 2017-2021.

The University annually reviews its Equity Plan and submits this to the Department of Labour. The Equity Plan sets clear targets that assist the University to transform its staff profile, and assist in getting more women and black staff into senior and leadership positions, both in the academic and administration sectors of the University.

The University has put in place management development programmes for middle management staff to advance their careers to achieve excellence and seniority and become more research productive in the case of academics. A typical example of such programmes is the bespoke University Leadership Development Programme offered to UNIZULU staff by the Stellenbosch Business School.

**Mr C.V. Gamede**
**Chairperson of Council**

**Prof. X. Mtose**
**Vice-Chancellor**
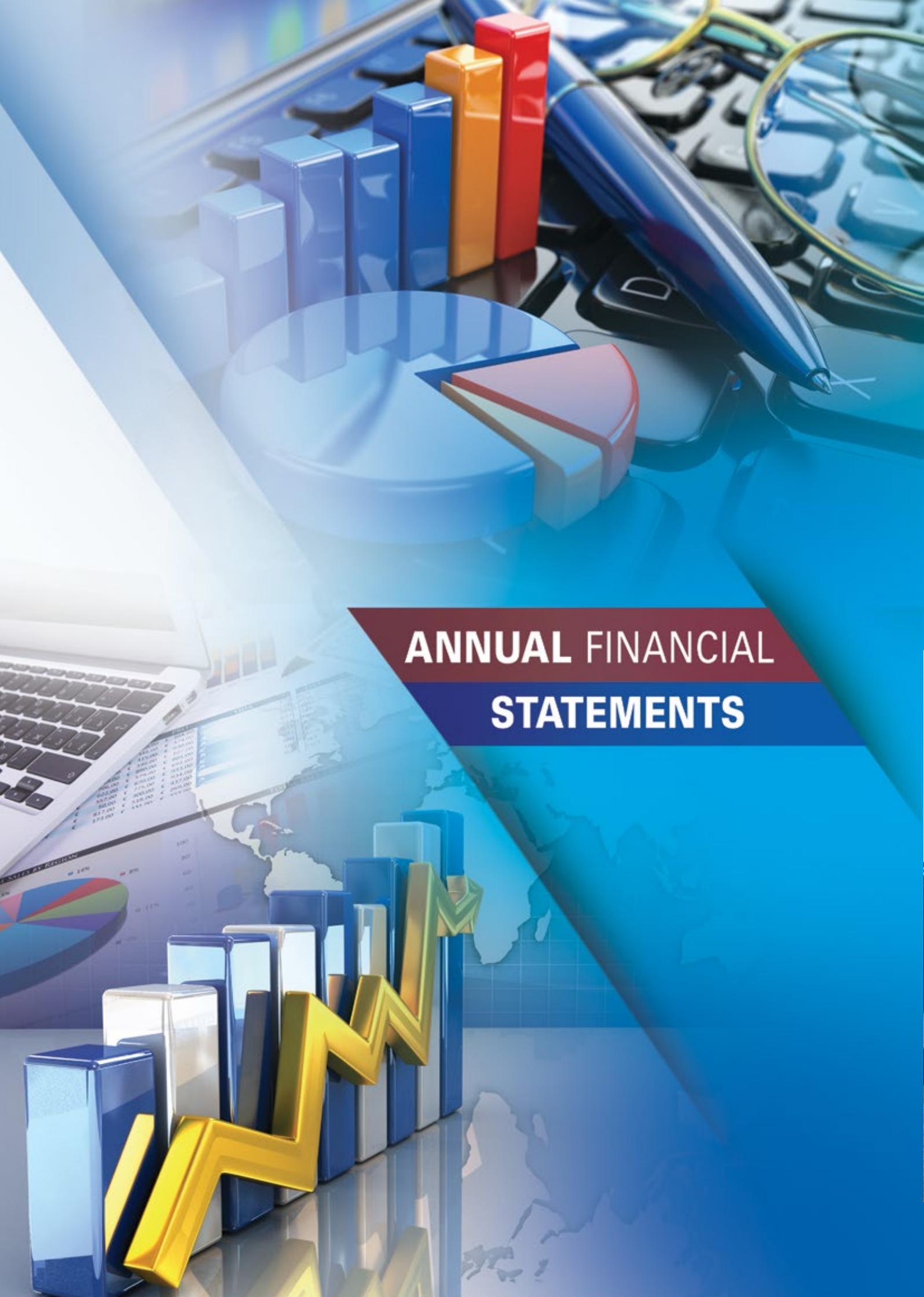
# ANNUAL FINANCIAL
# STATEMENTS

# Annual financial statements

*for the year ended 31 December 2016*

**Contents**

# Council's statement of responsibility for the consolidated annual financial statements

*for the year ended 31 December 2016*

The Council is responsible for the preparation and fair presentation of the consolidated annual financial statements of University of Zululand, comprising the consolidated statement of financial position at 31 December 2016, and the consolidated statements of comprehensive income, changes in funds and cash flows for the year then ended, and the notes to the financial statements which include a summary of significant accounting policies and other explanatory notes, in accordance with International Financial Reporting Standards and the manner required by the Minister of Higher Education and Training in terms of the Higher Education Act (No. 101 of 1997), as amended.

The Council is also responsible for such internal control as the Council determines is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error, and for maintaining adequate accounting records and an effective system of risk management. The Council also prepared other information as required to be included in this report and is responsible for both its accuracy and consistency with the financial statements.

The Council has made an assessment of University of Zululand's ability to continue as a going concern and have no reason to believe that the business will not be a going concern in the year ahead.

The auditor is responsible for reporting on whether the consolidated annual financial statements are fairly presented in accordance with the applicable financial reporting framework.

**Approval of consolidated annual financial statements**

The consolidated annual financial statements of the University of Zululand, as identified in the first paragraph, were approved by the Council on 23 June 2017 and signed by

**Mr C. Gamede**
Chairperson of Council
Date: 23 June 2017

**Professor X. Mtose**
Vice-Chancellor
Date: 23 June 2017

## Independent auditor's report to the Minister of Higher Education and Training and the Council of the University of Zululand

**Report on the consolidated financial statements**

**Opinion**

We have audited the consolidated financial statements of the University of Zululand (the group) as set out on pages 156-199 which comprise the consolidated statement of financial position at 31 December 2016, the consolidated statement of comprehensive income, the consolidated statement of changes in funds, and the consolidated statement of cash flows for the year then ended, and notes to the consolidated financial statements, including a summary of significant accounting policies.

In our opinion, the consolidated financial statements present fairly, in all material respects, the consolidated financial position of the University of Zululand at 31 December 2016, and its consolidated financial performance and consolidated cash flows for the year then ended in accordance with International Financial Reporting Standards and the requirements of the Higher Education Act of South Africa.

**Basis for opinion**

We conducted our audit in accordance with International Standards on Auditing (ISAs). Our responsibilities under those standards are further described in the *Auditor's responsibilities for the audit of the consolidated financial statements* section of our report.

We are independent of the group in accordance with the Independent Regulatory Board for Auditors *Code of Professional Conduct for Registered Auditors (IRBA Code)* and other independence requirements applicable to performing audits of the financial statements in South Africa. We have fulfilled our other ethical responsibilities in accordance with the IRBA code and in accordance with other ethical requirements applicable to performing audits in South Africa. The IRBA Code is consistent with the International Ethics Standards Board for Accountants *Code of Ethics for Professional Accountants* (Parts A and B).

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our opinion.



This report is a true reflection of the original audit report complied and signed by KPMG. The original signed report is available for inspection. Should any information herein differ from the original report, the original report takes preference.

**Other Information**

The council is responsible for the other information. The other information comprises all the information contained in the annual report. The other information does not include the consolidated financial statements and our auditor's report thereon, the selected objectives included in our report on the audit of the performance assessment report and our report on audit of compliance with legislation.

Our opinion on the consolidated financial statements and the selected objectives included in our report on the audit of the performance assessment report and our report on audit of compliance with legislation do not cover the other information and we do not express an audit opinion or any form of assurance conclusion thereon.

In connection with our audit, our responsibility is to read the other information and, in doing so, consider whether the other information is materially inconsistent with the consolidated financial statements and the selected objectives presented in the performance assessment report, or our knowledge obtained in the audit, or otherwise appears to be materially misstated. If, based on the work we have performed, we conclude that there is a material misstatement of this other information, we are required to report that fact.

**Responsibilities of the council**

The council is responsible for the preparation and fair presentation of the consolidated financial statements in accordance with International Financial Reporting Standards and the requirements of the Higher Education Act of South Africa, and for such internal control as the council determines is necessary to enable the preparation of consolidated financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the consolidated financial statements, the council is responsible for assessing the group's ability to continue as a going concern, disclosing, as applicable, matters relating to going concern and using the going concern basis of accounting unless the council either intends to liquidate the group or to cease operations, or has no realistic alternative but to do so.

**Auditor's responsibilities for the audit of the consolidated financial statements**

Our objectives are to obtain reasonable assurance about whether the consolidated financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes our opinion. Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with ISAs will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these consolidated financial statements.

As part of an audit in accordance with ISAs, we exercise professional judgement and maintain professional scepticism throughout the audit of the consolidated financial statements, and the procedures performed on reported performance information for selected objectives and on the group's compliance with respect to the selected subject matters. We also:

- Identify and assess the risks of material misstatement of the consolidated financial statements, whether due to fraud or error, design and perform audit procedures responsive to those risks, and obtain audit evidence that is sufficient and appropriate to provide a basis for our opinion. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control.

- Obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the group's internal control.

- Evaluate the appropriateness of accounting policies used and the reasonableness of accounting estimates and related disclosures made by the council.

- Conclude on the appropriateness of the council's use of the going concern basis of accounting and based on the audit evidence obtained, whether a material uncertainty exists related to events or conditions that may cast significant doubt on the group's ability to continue as a going concern. If we conclude that a material uncertainty exists, we are required to draw attention in our auditor's report to the related disclosures in the consolidated financial statements or, if such disclosures are inadequate, to modify our opinion. Our conclusions are based on the audit evidence obtained up to the date of our auditor's report. However, future events or conditions may cause the group to cease to continue as a going concern.

- Evaluate the overall presentation, structure and content of the financial statements, including the disclosures, and whether the consolidated financial statements represent the underlying transactions and events in a manner that achieves fair presentation.

- Obtain sufficient appropriate audit evidence regarding the financial information of the entities or business activities within the group to express an opinion on the consolidated financial statements. We are responsible for the direction, supervision and performance of the group audit. We remain solely responsible for our audit opinion.

We communicate with the council regarding, among other matters, the planned scope and timing of the audit and significant audit findings, including any significant deficiencies in internal control that we identify during our audit.

We also provide the council with a statement that we have complied with relevant ethical requirements regarding independence, and communicate all relationships and other matters that may reasonably be thought to have a bearing on our independence and here applicable, related safeguards.

**Report on the audit of the performance assessment report**

**Introduction and scope**

In accordance with the Public Audit Act of South Africa, 2004 (Act No. 25 of 2004) (PAA) and the general notice issued in terms thereof we have a responsibility to report material findings on the reported performance information against predetermined objectives for selected objectives presented in the annual performance report. We performed procedures to identify findings but not to gather evidence to express assurance.

Our procedures address the reported performance information, which must be based on the approved performance planning documents of the university. We have not evaluated the completeness and appropriateness of the performance indicators included in the planning documents. Our procedures also did not extend to any disclosures or assertions relating to planned performance strategies and information in respect of future periods that may be included as part of the reported performance information. Accordingly, our findings do not extend to these matters.

We evaluated the reliability of the reported performance information for the following selected objectives presented in the performance assessment report of the university for the year ended 31 December 2016:

| Objectives | Pages in the performance assessment report |
|---|---|
| **Goal 1 -** Improve Governance Through Enhanced Operations To Support The Academic Enterprise And Ensure Sustainability<br><br>**SG1SO9:** Develop a Financial Budgeting and Reporting System | 33<br><br>37 |
| **Goal 2 -** Create a quality teaching and learning environment as a comprehensive university<br>**SG2SO4:** Design and develop a cohort analysis for effective institutional planning and monitoring | 30<br><br><br>43 |
| **Goal 3 -** Enhance Research And Innovation<br>**SG3SO2:** Increase the University Research Output<br>**SG3SO8:** Staff retention strategies to be developed | 37<br>38<br>43 to 44 |
| **Goal 4 -** Enhance The Quality And Profile Of Unizulu Graduates<br>**SG4SO1:** Provide a supportive learning and teaching environment for Unizulu students<br>**SG4SO5:** Development of Academics and Enhancement of Scholarship | 38<br><br>38 to 39<br><br>39 to 40 |
| **Goal 6 -** Accelerate Infrastructure Development<br>**SG06SO3:** Configure campus security systems to ensure appropriate access to assessments<br>**SG06SO09:** Develop Infrastructure Master Plan for the University | 41<br><br>41 to 42<br>42 |

We assessed the reliability of the reported performance information to determine whether it was valid, accurate and complete.

We did not identify any material findings on the reliability of the reported performance information for the above objectives.

**Achievement of planned targets**

Refer to the annual report on pages 43 to 45 for information on the achievement of the planned targets for the year.

**Report on audit of compliance with legislation**

**Introduction and scope**

In accordance with the PAA and the general notice issued in terms thereof we have a responsibility to report material findings on the compliance of the university with specific matters in key legislation. We performed procedures to identify findings but not to gather evidence to express assurance.

We did not identify any instances of material non-compliance with specific matters in key legislation, as set out in the general notice issued in terms of the PAA.

**Internal control deficiencies**

We considered internal control relevant to our audit of the consolidated financial statements, reported performance information and compliance with applicable legislation; however, our objective was not to express any form of assurance thereon. We did not identify any significant deficiencies in internal control.

**Other reports**

We draw attention to the following engagements conducted by various parties that had, or could have, an impact on the matters reported in the consolidated financial statements, reported performance information, compliance with applicable legislation and other related matters. These reports did not form part of our opinion on the consolidated financial statements or our findings on the reported performance information or compliance with legislation.

We were engaged by the Council of the University to perform the following audit-related services:

"Audit template: All other NRF awards and Audit Template: Grant Deposit". The report covered the period 1 January 2016 to 31 December 2016 and was issued on 30 March 2017.

"National research foundation (NRF) THRIP Fund Grant. The report covered the period 1 January 2016 to 31 December 2016 and was issued on 15 May 2017.

"Report on Clinical grant funds. The report covered the period 1 April 2016 to 31 March 2017 and was issued 31 May 2017.

"Research output grant schedule. The report covered the period 1 January 2016 to 31 December 2016 and was issued on 31 May 2017.

"Infrastructure funding: Invoice sheet for individual project schedule. The report covered the period 1 April 2016 to 31 March 2017 and was issued on 31 May 2017.

"Teaching grant allocation. The report covered the period 1 April 2016 to 31 March 2017 and was issued on 31 May 2017.

"Foundation Commerce and science programmes. The report covered the period 1 April 2016 to 31 March 2017 and was issued on 31 May 2017.

"Research grant allocation. The report covered the period 1 April 2016 to 31 March 2017 and was issued on 31 May 2017.

"New generation of Academics programme (nGap). The report covered the period 1 April 2015 to 31 March 2016 and 1 April 2016 to 31 March 2017 as was issued on 31 March 2017.


KPMG Inc.

Per Paul Fay
Chartered Accountant (SA)
Registered Auditor
Director
23 June 2017

## Consolidated Statement of Financial Position
*at 31 December 2016*

| | Notes | **2016**<br>**R'000** | 2015<br>R'000 |
|---|---|---|---|
| **Assets** | | | |
| **Non-current assets** | | **1 687 712** | 1 438 243 |
| | | | |
| Property, plant and equipment | *2* | **1 194 055** | 843 696 |
| Available-for-sale investments | *3* | **493 657** | 487 882 |
| Post-retirement benefit surplus | *4* | **-** | 106 665 |
| | | | |
| **Current assets** | | **1 111 046** | 979 422 |
| | | | |
| Inventories | | **4 958** | 2 644 |
| Student and other receivables | *6* | **227 050** | 151 254 |
| Short-term investments | *7* | **838 715** | 806 694 |
| Cash at bank and on hand | *8* | **40 323** | 18 830 |
| **Total Assets** | | **2 798 758** | 2 417 665 |
| | | | |
| **Funds and liabilities** | | | |
| | | | |
| **Accumulated funds** | | **1 774 759** | 1 506 987 |
| **Non-distributable funds:** | | | |
| Property, plant and equipment (PPE) fund | | **647 194** | 646 350 |
| Revaluation reserve | | **385 791** | 137 277 |
| Available-for-sale financial asset reserve | | **98 899** | 109 758 |
| Post-retirement benefits reserve | | **-** | 106 665 |
| **Restricted funds designated for specific activities:** | | | |
| DHET, Trusts, and Research funds | | **52 876** | 54 705 |
| Auxiliary student/services funds | | **24 972** | 19 220 |
| Designated institutional reserve | | **27 682** | 27 682 |
| **Unrestricted funds:** | | | |
| Accumulated Council-controlled funds | | **472 593** | 334 495 |
| UNIZULU Foundation funds | | **64 752** | 70 835 |
| | | | |
| **Non-current liabilities** | | **806 138** | 734 332 |
| | | | |
| Interest-bearing borrowings | *10* | **24 636** | 28 825 |
| Post-retirement obligations | *4* | **97 417** | 79 901 |
| Deferred government grants | *11* | **684 085** | 625 606 |
| | | | |
| **Current liabilities** | | **217 861** | 176 346 |
| | | | |
| Trade payable and accrued liabilities | *12* | **83 225** | 55 663 |
| Current portion of interest-bearing borrowings | *10* | **4 371** | 2 185 |
| Current portion of deferred government grants | *11* | **14 505** | 16 555 |
| Employee benefits | *13* | **62 996** | 56 719 |
| Student deposits | | **52 764** | 45 224 |
| | | | |
| **Total funds and liabilities** | | **2 798 758** | 2 417 665 |

## Consolidated Statement of Comprehensive Income
*for the year ended 31 December 2016*

| 2016 | Notes | Council Controlled (Unrestricted) R'000 | Designated Funds (Restricted) R'000 | Sub Total R'000 | Auxiliary Services (Restricted) R'000 | UNIZULU December 2016 Total R'000 | UNIZULU Foundation December 2016 (Restricted) R'000 | Consolidated Total December 2016 R'000 | Consolidated Total December 2015 R'000 |
|---|---|---|---|---|---|---|---|---|---|
| **Income** | | | | | | | | | |
| **Recurrent items** | | | | | | | | | |
| State appropriations - Subsidies / grants | | 465 449 | 24 164 | 489 613 | - | 489 613 | - | 489 613 | 408 224 |
| Tuition and other fee income | | 317 610 | - | 317 610 | 43 836 | 361 446 | - | 361 446 | 345 197 |
| Sale of goods and services | | 1 760 | 244 | 2 004 | 48 409 | 50 413 | - | 50 413 | 39 454 |
| Private gifts and donations | | 115 | 46 996 | 47 111 | - | 47 111 | 2 217 | 49 328 | 50 111 |
| Other income | | 5 717 | 344 | 6 061 | 11 778 | 17 839 | - | 17 839 | 21 102 |
| **Sub-total** | | 790 651 | 71 748 | 862 399 | 104 023 | 966 422 | 2 217 | 968 639 | 864 088 |
| Investment income | 14 | 52 507 | 2 894 | 55 401 | - | 55 401 | 4 131 | 59 532 | 45 303 |
| **Total Recurrent income** | | 843 158 | 74 642 | 917 800 | 104 023 | 1 021 823 | 6 348 | 1 028 171 | 909 391 |
| **Recurrent expenditure** | | | | | | | | | |
| Personnel costs | 15 | (376 519) | (19 349) | (395 868) | (19 927) | (415 795) | (4 002) | (419 797) | (371 854) |
| Operating expenses | 16 | (271 591) | (55 744) | (327 335) | (71 896) | (399 231) | (5 689) | (404 920) | (342 425) |
| Capital/minor items expensed | | (3 479) | (65) | (3 544) | (91) | (3 635) | (286) | (3 921) | (7 005) |
| Depreciation | | 2 227 | - | 2 227 | (7 711) | (5 484) | (235) | (5 719) | (35 496) |
| **Sub-total** | | (649 362) | (75 158) | (724 520) | (99 625) | (824 145) | (10 212) | (834 357) | (756 780) |
| **Surplus/ (loss) before finance costs** | | 193 796 | (516) | 193 280 | 4 398 | 197 678 | (3 864) | 193 814 | 152 611 |
| Finance costs | 17 | (2 370) | - | (2 370) | - | (2 370) | - | (2 370) | (2 506) |
| **Surplus/ (loss) before non-recurrent items** | | 191 426 | (516) | 190 910 | 4 398 | 195 308 | (3 864) | 191 444 | 150 105 |
| **Non-recurrent items** | | | | | | | | | |
| Post-retirement benefit deficit | 5 | (76 033) | - | (76 033) | - | (76 033) | - | (76 033) | (68 600) |
| **Total non-recurrent items** | | | | | | | | | |
| **Net surplus/ (loss) for the year carried forward** | | 115 393 | (516) | 114 877 | 4 398 | 119 275 | (3 864) | 115 411 | 81 505 |

## Consolidated Statement of Comprehensive Income
*for the year ended 31 December 2016*

| | Notes | Council Controlled R'000 | Designated Funds R'000 | Sub Total R'000 | Auxiliary Services R'000 | UNIZULU December 2016 Total R'000 | UNIZULU Foundation December 2016 R'000 | Consolidated Total December 2016 R'000 | Consolidated Total December 2015 R'000 |
|---|---|---|---|---|---|---|---|---|---|
| Net surplus/ (loss) for the year brought forward | | 115 393 | (516) | 114 877 | 4 398 | 119 275 | (3 864) | 115 411 | 81 505 |
| Other comprehensive income | | | | | | | | | |
| Items that are or may be reclassified to profit and loss | | | | | | | | | |
| Net change in fair value of investments | | (10 859) | - | (10 859) | - | (10 859) | (2 219) | (13 078) | 29 051 |
| Items that will never be reclassified to profit or loss | | | | | | | | | |
| Post-retirement benefit surplus/(deficit) | 5 | (84 129) | - | (84 129) | - | (84 129) | - | (84 129) | 92 325 |
| Total other comprehensive (loss) / income | | (94 988) | - | (94 988) | - | (94 988) | (2 219) | (97 207) | 121 376 |
| Total comprehensive (loss) / income | | 20 405 | (516) | 19 889 | 4 398 | 24 287 | (6 083) | 18 204 | 202 881 |

**Consolidated Statement of Changes in Funds**
*for the year ended 31 December 2016*

| | Non Distributable Funds | | | | Designated for Specific Activities | | | Unrestricted Funds | | Total Funds |
|---|---|---|---|---|---|---|---|---|---|---|
| | Property, plant and equipment Funds (PPE) Restricted | Revaluation Reserve Restricted | Available for Sale Reserve Restricted | Post-Retirement Benefits - Reserve Restricted | DHET / Research & Trust Funds Restricted | Designated Institutional Reserve Restricted | Auxiliary / Student Services Funds Restricted | Council Controlled Accumulated Funds Unrestricted | UNIZULU Foundation Unrestricted Funds | |
| | R'000 | R'000 | R'000 | R'000 | R'000 | R'000 | R'000 | R'000 | R'000 | R'000 |
| **Fund Balances at 1 January 2016** | 646 350 | 137 277 | 109 758 | 106 665 | 54 705 | 27 682 | 19 221 | 334 495 | 70 835 | 1 506 987 |
| Net surplus/ (loss) for the year | | | | | (516) | | 4 398 | 115 393 | (3 864) | 115 411 |
| Other comprehensive income | | | (10 859) | (84 129) | | | | | (2 219) | (97 207) |
| Revaluation | | 249 567 | | | | | | | | 249 567 |
| Transfers between Funds | | | | | | | | | | |
| (Asset additions) | 3 664 | | | | (3 208) | | (456) | | | |
| Fund movement | | | | (22 536) | 1 895 | | (5 902) | 26 543 | | |
| Funds movements | | | | | | | 7 711 | | | |
| (Asset depreciation) | (5 876) | | | | | | | (1 835) | | |
| Loan repayments | 2 003 | | | | | | | (2 003) | | |
| Release to Accumulated Funds | 1 053 | (1 053) | | | | | | | | |
| **Fund Balances at 31 December 2016** | 647 194 | 385 791 | 98 899 | - | 52 876 | 27 682 | 24 971 | 472 593 | 64 752 | 1 774 759 |

# Consolidated Statement of Changes in Funds
*for the year ended 31 December 2016*

| | Non Distributable Funds | | | | Designated for Specific Activities | | | Unrestricted Funds | | Total Funds |
|---|---|---|---|---|---|---|---|---|---|---|
| | Property, plant and equipment Funds (PPE) | Revaluation Reserve | Available for Sale Reserve | Post-Retirement Benefits - Reserve | DHET / Research & Trust Funds | Designated Institutional Reserve | Auxiliary / Student Services Funds | Council Controlled Accumulated Funds | UNIZULU Foundation | Total Funds |
| | *Restricted* | *Restricted* | *Restricted* | *Restricted* | *Restricted* | *Restricted* | *Restricted* | *Unrestricted Funds* | *Unrestricted Funds* | |
| | R'000 | R'000 | R'000 | R'000 | R'000 | R'000 | R'000 | R'000 | R'000 | R'000 |
| **Fund Balances at 1 January 2015** | 674 345 | 283 960 | 81 706 | 106 191 | 29 845 | 27 682 | 7 265 | 173 186 | 64 831 | 1 449 011 |
| Net surplus/ (loss) for the year | | | | | 12 847 | | 18 570 | 45 083 | 5 005 | 81 505 |
| Other comprehensive income | | | 28 052 | 474 | | | | 91 851 | 999 | 121 376 |
| Devaluation | - | (144 905) | | - | | | | | - | (144 905) |
| Transfers between Funds (Asset additions) | 3 858 | - | - | - | (529) | | (50) | (3 279) | | - |
| Fund movement | - | - | - | - | 12 542 | | (6 565) | (5 977) | | - |
| Funds movements (Asset depreciation) | (35 496) | | | | | | | 35 496 | | - |
| Loan repayments | 1 865 | | | | | | | (1 865) | | |
| Release to Accumulated Funds | 1 778 | (1 778) | | | | | | | | - |
| **Fund Balances at 31 December 2015** | 646 350 | 137 277 | 109 758 | 106 665 | 54 705 | 27 682 | 19 220 | 334 495 | 70 835 | 1 506 987 |

## Consolidated Statement of Cash Flows

*for the year ended 31 December 2016*

| | Note | 2016 R'000 | 2015 R'000 |
|---|---|---|---|
| **Cash generated by operations** | 20 | **100 812** | 232 718 |
| Investment income | | **59 532** | 45 303 |
| Finance costs | | **(2 370)** | (2 506) |
| **Net cash inflow operating activities** | | **157 974** | 275 515 |
| | | | |
| **Cash flows from investing activities** | | | |
| | | | |
| Purchase of property, plant and equipment | | **(106 511)** | (32 917) |
| Purchase of investments | 3 | **(42 866)** | (42 214) |
| Proceeds from disposal of investments | | **46 920** | 35 893 |
| **Net cash outflow from investing activities** | | **(102 457)** | (39 238) |
| | | | |
| **Cash flows outflow from financing activities** | | | |
| | | | |
| Increase/ (Decrease) in interest bearing borrowing | | **(2 003)** | (1 865) |
| **Net cash outflow from financing activities** | | **(2 003)** | (1 865) |
| | | | |
| **Net (decrease) / increase in cash and cash equivalents** | | **53 514** | 234 412 |
| Cash and cash equivalents at the beginning of the year | | **825 524** | 591 112 |
| **Cash and cash equivalents at the end of the year*** | | **879 038** | 825 524 |

*Cash and cash equivalents consist of cash at bank and on hand and short term investments.

# Notes to the consolidated financial statements

*for the year ended 31 December 2016*

### 1.1    Reporting entity

The University of Zululand (the "University") is an educational institution domiciled in the Republic of South Africa. The address of the University's registered office is Mvuzemvuze Road, KwaDlangezwa, 3886, South Africa. The consolidated financial statements of the University as at and for the year ended 31 December 2016 comprise the University and its subsidiary, the University of Zululand Foundation.

Where reference is made to the financial statements in the accounting policies, it should be interpreted as referring to the consolidated financial statements where the context requires, unless otherwise noted.

### 1.2    Basis of preparation

### a)    Statement of compliance

The consolidated financial statements have been prepared in accordance with International Financial Reporting Standards (IFRS), Regulations for annual reporting by Higher Education Institutions and in the manner required by the Higher Education Act (Act 101 of 1997).

The consolidated financial statements were approved by the Council on 23 June 2017.

### b)    Basis of measurement

The consolidated financial statements have been prepared on the historical cost basis except for the following material items in the statement of financial position:
- Available-for-sale financial assets are measured at fair value.
- The defined benefit asset is recognised as the net total of the plan assets, plus unrecognised past service cost and unrecognised actuarial losses, less unrecognised actuarial gains and the present value of the defined benefit obligation.
- Land and buildings are measured at fair value.

### c)    Functional and presentation currency

These consolidated financial statements are presented in South African Rands, which is the University's functional currency. All financial information presented in South African Rands has been rounded to the nearest thousand.

### d)    Use of estimates and judgements

The preparation of the consolidated financial statements in conformity with IFRS requires management to make judgements, estimates and assumptions that may affect the application of accounting policies and the reported amounts of assets, liabilities, income and expenses. The estimates and associated assumptions are based on historical experience and various other factors that are believed to be reasonable under the circumstances, the results of which form the basis of making the judgements about carrying values of assets and liabilities that are not readily apparent from other sources. Actual results may differ from these estimates.

Estimates and underlying assumptions are reviewed on an ongoing basis. Revisions to accounting estimates are recognised in the period in which the estimate is revised if the revision only affects that period, or in the period of the revision and future periods if the revision affects both current and future periods.

# Notes to the consolidated financial statements

*for the year ended 31 December 2016*

**1.2     Basis of preparation (continued)**

**d)      Use of estimates and judgements (continued)**

Information about assumptions and estimation uncertainties that have the most significant effect on the amounts recognised in the consolidated financial statements are included in the following notes:
Note 4 – Measurement of defined benefit surplus: key actuarial assumptions
Note 11 – Measurement of defined benefit obligation: key actuarial assumptions

**1.3     Significant accounting policies**

The accounting policies set out below have been applied consistently to all periods presented in these financial statements.

**a)      Basis of consolidation**

*i)       Subsidiaries*
Subsidiaries are those entities controlled by the University. An investor controls an investee when it is exposed, or has rights, to variable returns from its involvement with the investee and has the ability to affect those returns through its power over the investee. The financial statements of subsidiaries are included in the consolidated financial statements from the date that control commenced until the date that control ceases.

*ii)      Transactions eliminated on consolidation*
Intra-group balances and transactions, and any unrealised income and expenses arising from intra-group transactions, are eliminated in preparing the consolidated financial statements.

**b)      Financial instruments**

*i)       Non-derivative financial assets*
The University initially recognises loans and receivables and deposits on the date that they are originated. All other financial assets (including assets designated at fair value through profit or loss) are recognised initially on the trade date at which the University becomes a party to the contractual provisions of the instrument.

The University derecognises a financial asset when the contractual rights to the cash flows from the asset expire, or it transfers the rights to receive the contractual cash flows on the financial asset in a transaction in which substantially all the risks and rewards of ownership of the financial asset are transferred. Any interest in transferred financial assets that is created or retained by the University is recognised as a separate asset or liability.

Financial assets and liabilities are offset and the net amount presented in the statement of financial position when, and only when, the University has a legal right to offset the amounts and intends either to settle on a net basis or to realise the asset and settle the liability simultaneously.

The University has the following non-derivative financial assets: financial assets at fair value through profit or loss, held-to-maturity financial assets, loans and receivables and available-for-sale financial assets.

# Notes to the consolidated financial statements
*for the year ended 31 December 2016*

**1.3     Significant accounting policies (continued)**

**b)        Financial instruments (continued)**

*Financial assets at fair value through profit or loss*
A financial asset is classified at fair value through profit or loss if it is classified as held for trading or is designated as such upon initial recognition. Financial assets are designated at fair value through profit or loss if the University manages such investments and makes purchase and sale decisions based on their fair value in accordance with the University's documented risk management or investment strategy. Upon initial recognition attributable transaction costs are recognised in profit or loss as incurred. Financial assets at fair value through profit or loss are measured at fair value, and changes therein are recognised in profit or loss.

*Held-to-maturity financial assets*
If the University has the positive intent and ability to hold debt securities to maturity then such financial assets are classified as held-to-maturity. Held-to-maturity financial assets are recognised initially at fair value plus any directly attributable transaction costs. Subsequent to initial recognition held-to-maturity financial assets are measured at amortised cost using the effective interest method, less any impairment losses. Any sale or reclassification of a more than insignificant amount of held-to-maturity investments not close to their maturity would result in the reclassification of all held-to-maturity investments as available for sale, and prevent the University from classifying investment securities as held-to-maturity for the current and the following two financial years.

*Loans and receivables*
Loans and receivables are financial assets with fixed or determinable payments that are not quoted in an active market. Such assets are recognised initially at fair value plus any directly attributable transaction costs. Subsequent to initial recognition loans and receivables are measured at amortised cost using the effective interest method, less any impairment losses.

Loans and receivables comprise student loans, fees and other receivables (see note 6).

*Cash and cash equivalents*
In the statement of cash flows, cash and cash equivalents includes cash balances and call deposits (short term investments) with original maturities of three months or less. Bank overdrafts that are repayable on demand and form an integral part of the University's cash management are included as a component of cash and cash equivalents for the purpose of the statement of cash flows.

*Available-for-sale financial assets*
Available-for-sale financial assets are non-derivative financial assets that are designated as available-for-sale and that are not classified in any of the previous categories. The University's investments in equity securities and certain debt securities are classified as available-for-sale financial assets. Subsequent to initial recognition, they are measured at fair value and changes therein, other than impairment losses, are recognised in other comprehensive income and presented within equity in the available-for-sale financial asset reserve. When an investment is derecognised, the cumulative gain or loss in other comprehensive income is transferred to profit and loss.

# Notes to the consolidated financial statements

*for the year ended 31 December 2016*

**1.3    Significant accounting policies (continued)**

**b)    Financial instruments (continued)**

*Non-derivative financial liabilities*
The University initially recognises debt securities issued and subordinated liabilities on the date that they are originated. All other financial liabilities are recognised initially on the trade date at which the University becomes a party to the contractual provisions of the instrument.

The University derecognises a financial liability when its contractual obligations are discharged or cancelled or expire.

The University has the following non-derivative financial liabilities: loans and borrowings, bank overdrafts, and trade and other payables.

Such financial liabilities are recognised initially at fair value plus any directly attributable transaction costs. Subsequent to initial recognition these financial liabilities are measured at amortised cost using the effective interest method.

**c)    Property, plant and equipment**

*(i) Recognition and measurement*
Land and buildings are stated at fair value. These items are revalued by external, independent property valuers having appropriate recognised professional qualifications and experience in the category of property being valued. The independent valuers provide the fair value of the University's property at least once every five years using the open market value basis in continuation of existing use for land and buildings and furniture and equipment. The last valuation took place in 2016.

Any surplus on revaluation, in excess of net carrying value, is recognised as a gain in other comprehensive income and transferred to a revaluation reserve. Surpluses on revaluation are recognised as income to the extent that they reverse revaluation decreases of the same assets recognised as expenses in previous periods. Deficits on revaluation are charged directly against the revaluation reserves only to the extent that the decrease does not exceed the amount held in the revaluation reserve in respect of that same asset. Other deficits are recognised as expenses.

Items of property, plant and equipment are measured at cost less accumulated depreciation and impairment losses. Capital work in progress mainly relates to buildings under construction. These are transferred to buildings on completion.

Cost includes expenditures that are directly attributable to the acquisition of the asset. The cost of self-constructed assets includes the cost of materials and direct labour, any other costs directly attributable to bringing the asset to a working condition for its intended use, and the costs of dismantling and removing the items and restoring the site on which they are located. Purchased software that is integral to the functionality of the related equipment is capitalised as part of that equipment.

When parts of an item of property, plant and equipment have different useful lives, they are accounted for as separate items (major components) of property, plant and equipment.

Assets costing R15 000 or less are not capitalised. Library books, journals and collections are written off in the year of acquisition.

# Notes to the consolidated financial statements
*for the year ended 31 December 2016*

**1.3    Significant accounting policies (continued)**

**c)    Property, plant and equipment (continued)**

*(i) Recognition and measurement (continued)*
Gains and losses on disposal of property, plant and equipment are determined by comparing the carrying value of the respective assets at disposal to the proceeds on their disposal and are accounted for in the consolidated statement of comprehensive income.

*(ii) Subsequent costs*
The cost of replacing part of an item of property, plant and equipment is recognised in the carrying amount of the item if it is probable that the future economic benefits embodied within the part will flow to the University and its cost can be measured reliably. The costs of the day-to-day servicing of property, plant and equipment are recognised in the consolidated statement of comprehensive income as incurred.

*(iii) Depreciation*
Depreciation is recognised in the consolidated statement of comprehensive income on a straight-line basis over the estimated useful lives of each part of an item of property, plant and equipment. Leased assets are depreciated over the shorter of the lease term and their useful lives. Land is not depreciated.

The estimated useful lives for the current and comparative periods are as follows:
- Buildings                          10-50 years
- Furniture and equipment            5-10 years
- Computer equipment                 3-10 years
- Motor vehicles                     5 years

Depreciation methods, useful lives and residual values are reviewed at each reporting date and adjusted if appropriate.

**d)    Leased assets**

Leases in terms of which the University assumes substantially all the risks and rewards of ownership are classified as finance leases. Upon initial recognition the leased asset is measured at an amount equal to the lower of its fair value and the present value of the minimum lease payments. Subsequent to initial recognition, the asset is accounted for in accordance with the accounting policy applicable to that asset.

Other leases are operating leases and the leased assets are not recognised in the University's statement of financial position.

Refer to accounting policy 1.3 (*k*) for lease payments.

**e)    Inventories**

Inventories are measured at the lower of cost and net realisable value. The cost of inventories is based on the weighted average cost principle, and includes expenditure incurred in acquiring the inventories, production or conversion costs and other costs incurred in bringing them to their existing location and condition.

Net realisable value is the estimated selling price in the ordinary course of business, less the estimated costs of completion and selling expenses. Redundant and slow moving inventories are identified and written down to their estimated economic or realisable values.

# Notes to the consolidated financial statements

*for the year ended 31 December 2016*

## 1.3 Significant accounting policies (continued)

### f) Impairment

*(i) Non – derivative financial assets (including receivables)*
A financial asset not measured at fair value through profit or loss is assessed at each reporting date to determine whether there is objective evidence that it is impaired. A financial asset is impaired if objective evidence indicates that a loss event has occurred after the initial recognition of the asset, and that the loss event had a negative effect on the estimated future cash flows of that asset that can be measured reliably.

Objective evidence that financial assets (including equity securities) are impaired can include default or delinquency by a debtor, restructuring of an amount due to the University on terms that the University would not consider otherwise, indications that a debtor or issuer will enter bankruptcy, or the disappearance of an active market for a security. In addition, for an investment in an equity security, a significant or prolonged decline in its fair value below its cost is objective evidence of impairment.

The University considers evidence of impairment for receivables and held-to-maturity investment securities at both a specific asset and collective level. All individually significant receivables and held-to-maturity investment securities are assessed for specific impairment. All individually significant receivables and held-to-maturity investment securities found not to be specifically impaired are then collectively assessed for any impairment that has been incurred but not yet identified. Receivables and held-to-maturity investment securities that are not individually significant are collectively assessed for impairment by grouping together receivables and held-to-maturity investment securities with similar risk characteristics.

In assessing collective impairment the University uses historical trends of the probability of default, timing of recoveries and the amount of loss incurred, adjusted for management's judgement as to whether current economic and credit conditions are such that the actual losses are likely to be greater or less than suggested by historical trends.

# Notes to the consolidated financial statements

*for the year ended 31 December 2016*

**1.3    Significant accounting policies (continued)**

**f)    Impairment (continued)**

*(ii) Non-financial assets*
The carrying amount of the University's non-financial assets, other than inventories, are reviewed at each reporting date to determine whether there is any indication of impairment. If any such indication exists, then the asset's recoverable amount is estimated.

The recoverable amount of an asset is the greater of its value in use and its fair value less costs to sell. In assessing value in use, the estimated future cash flows are discounted to their present value using a pre-tax discount rate that reflects current market assessments of the time value of money and the risks specific to the asset.

An impairment loss is recognised if the carrying amount of an asset exceeds its estimated recoverable amount. Impairment losses are recognised in profit or loss.

**g)    Employee benefits**

*(i)    Defined contribution plans*
Obligations for contributions to defined contribution plans are expensed as the related service is provided. Prepaid contributions are recognised as an asset to the extent that a cash refund or a reduction in future payments is available.

*(ii)    Defined benefit plans*
A defined benefit plan is a post-employment benefit plan other than a defined contribution plan. The University's net obligation in respect of defined benefit pension plans is calculated separately for each plan by estimating the amount of future benefit that employees have earned in return for their service in the current and prior periods; that benefit is discounted to determine its present value. Any unrecognised past service costs and the fair value of any plan assets are deducted. The discount rate is the yield at the reporting date on risk-free Government bonds that have maturity dates approximating the terms of the University's obligations and that are denominated in the same currency in which the benefits are expected to be paid. The calculation is performed annually by a qualified actuary using the projected unit credit method. In order to calculate the present value of economic benefits, consideration is given to any minimum funding requirements that apply to any plan in the University. An economic benefit is available to the University if it is realisable during the life of the plan, or on settlement of the plan liabilities.

# Notes to the consolidated financial statements

*for the year ended 31 December 2016*

**1.3     Significant accounting policies (continued)**

**h)      Employee benefits (continued)**

*(ii)    Defined benefit plans (continued)*
Remeasurements of the net defined benefit liability, which comprise acturial gains and losses, the return on plan assets (excluding interest) and the effect of the asset ceiling (if any, exluding interest), are recognised immediatley in other comprehensive income. The University determines the net interest expense (income) on the net defined benefit liability (asset) for the period by applying the discount rate used to measure the defined benefit obligation at the beginning of the annual period to the then net defined benefit liability (asset), taking into account any changes in the net defined benefit liability (asset) during the period as a result of contributions and benefit payments. Net interest expense and other expenses related to defined benift plans are recognised in profit or loss.

When the benefits of the plan are changed or when a plan is curtailed, the resulting change in benefit that relates to past service or the gain or loss on curtailment is recognised immediately in profit or loss. The University recognises gains or losses on the settlement of the defined benefit plan when the settlement occurs.

*(iii)   Post retirement obligation*
The University provides post retirement medical benefits to qualifying members of staff who retire either through age or medical grounds, by means of a defined benefit medical aid scheme. The entitlement to these benefits is based on, either the staff members' super-annuation or remaining in service to retirement age.

The anticipated cost of these benefits is assessed by qualified actuaries and contributions are made to the relevant funds over the expected service live of the staff members entitled to those funds.

*(iv)    Termination benefits*
Termination benefits are recognised as an expense when the University is committed (without realistic possibility of withdrawal) to a formal detailed plan to either terminate employment before the normal retirement date, or to provide termination benefits as a result of an offer made to encourage voluntary redundancy. Termination benefits for voluntary redundancies are recognised as an expense if the University has made an offer of voluntary redundancy, it is probable that the offer will be accepted, and the number of acceptances can be estimated reliably. If benefits are payable more than 12 months after the reporting period, then they are discounted to their present value.

*(v)     Short-term benefits*
Short-term employee benefit obligations are measured on an undiscounted basis and are expensed as the related service is provided.

A liability is recognised for the amount expected to be paid under short-term cash bonus if the University has a present legal or constructive obligation to pay this amount as a result of past service provided by the employee and the obligation can be estimated reliably.

Employee entitlements to annual leave are recognised when they accrue. An accrual is made for the estimated liability for accumulated leave as a result of services rendered up to the reporting date.

# Notes to the consolidated financial statements
*for the year ended 31 December 2016*

## 1.3 Significant accounting policies (continued)

### i) Income recognition

*i) State subsidy*

State appropriations for general purposes are recognised as income in the financial year to which the subsidy relates.

If the funding is provided in advance of the specified requirement, (i.e. the University does not have immediate legal entitlement to it) the relevant amount is deferred and recognised in the applicable period.

*ii) Special designated income*

Income received for designated specific purposes arises from contracts and grants. In all cases, any such income is recognised in the consolidated statement of comprehensive income in the financial period in which the institution becomes entitled to the use of these funds.
Funds received, which the University cannot use until some specified future period or occurrence, are held in an appropriate fund until the financial period in which the funds can be used, at which time the amount is recognised as income. If the funds are returnable to their source in the absence of the event or occurrence, these funds are designated as deferred income and disclosed on the statement of financial position under current liabilities. Where funds received are not controlled by the University, or where the University is required to report to third parties regarding the usage of such funds or where the University acts as a custodian of those funds, this is not recognised as revenue and is disclosed on the consolidated statement of financial position under current liabilities.

*iii) Tuition fees*

Tuition fees are brought into income in the period to which they relate and at the time these are formally billed.

*iv) Sale of goods*

Revenue is recognised when the significant risks and rewards of ownership have been transferred to the customer, recovery of the consideration is probable, the associated costs and possible return of goods can be estimated reliably, there is no continuing management involvement with the goods, and the amount of revenue can be measured reliably. Revenue is measured net of returns, trade discounts and volume rebates.

The timing of the transfer of risks and rewards varies depending on the individual terms of the sales agreement.

### j) Government grants

An unconditional government grant or subsidy is recognised in profit or loss for the year when the grant becomes receivable.

Other government grants are recognised initially as deferred income at fair value when there is reasonable assurance that they will be received and the University will comply with the conditions associated with the grant. Grants that compensate the University for expenses incurred are recognised in profit or loss as other income on a systematic basis in the same periods in which the expenses are recognised. Grants that compensate the University for the cost of an asset are recognised in profit or loss on a systematic basis over the useful life of the asset.

# Notes to the consolidated financial statements

*for the year ended 31 December 2016*

**1.3    Significant accounting policies (continued)**

**k)    Lease payments**

Payments made under operating leases are recognised in profit or loss on a straight-line basis over the term of the lease. Lease incentives received are recognised as an integral part of the total lease expense, over the term of the lease.

Minimum lease payments made under finance leases are apportioned between the finance expense and the reduction of the outstanding liability. The finance expense is allocated to each period during the lease term so as to produce a constant periodic rate of interest on the remaining balance of the liability.

Contingent lease payments are accounted for by revising the minimum lease payments over the remaining term of the lease when the lease adjustment is confirmed.

*Determining whether an arrangement contains a lease*
At inception of an arrangement, the University determines whether such an arrangement is or contains a lease. A specific asset is the subject of a lease if fulfilment of the arrangement is dependent on the use of that specified asset. An arrangement conveys the right to use the asset if the arrangement conveys to the University the right to control the use of the underlying asset.

At inception or upon reassessment of the arrangement, the University separates payments and other consideration required by such an arrangement into those for the lease and those for other elements on the basis of their relative fair values. If the University concludes for a finance lease that it is impracticable to separate the payments reliably, an asset and a liability are recognised at an amount equal to the fair value of the underlying asset. Subsequently the liability is reduced as payments are made and an imputed finance charge on the liability is recognised using the University's incremental borrowing rate.

Refer to 1.3 (*d*) for leased assets.

**l)    Finance income and finance costs**

Finance income comprises interest income on funds invested (including available-for-sale financial assets), gains on the disposal of available-for-sale financial assets, and changes in the fair value of financial assets through profit or loss. Interest income is recognised as it accrues in profit or loss, using the effective interest method.

Finance costs comprise interest expense on borrowings, changes in the fair value of financial assets at fair value through profit or loss, and impairment losses recognised on financial assets.

**m)    Income tax**

The University of Zululand is exempt from South African normal taxation in terms of Section 101(1)(cA)(i) of the Income Tax Act and therefore no provision has been made for taxation.

# Notes to the consolidated financial statements

*for the year ended 31 December 2016*

### 1.3    Significant accounting policies (continued)

**n)    Fund categories**

The consolidated statement of comprehensive income is prepared on a segmented reporting basis in the manner required by the Minister of Higher Education and Training in terms of section 41 of the Higher Education Act, 1997 (Act No. 101 of 1997), as amended. Income shown as Council Controlled relates to funds over which the Council has legal control and discretionary control. Income shown as Specifically Funded Restricted relates to funds generated in terms of legally enforceable requirements by the donor or grantor. Income shown as Student Residence Restricted relates to revenue generated from student accommodation fees. Management continuously reviews the classification of the various funds and periodically reclassifies them, where deemed appropriate, for changes in the circumstances and conditions relating to them.

The consolidated statement of changes in funds is grouped according to the same criteria as the consolidated statement of comprehensive income and also includes a property, plant and equipment fund, revaluation reserve, post-retirement benefits reserve and an available for sale financial asset reserve. Funds for the acquisition of property, plant and equipment are transferred to the property, plant and equipment fund, which thereafter includes the funds representing the carrying value of the items of property, plant and equipment. The post-retirement benefits reserve includes the gains and losses on the pension fund. The available for sale financial asset reserve includes those gains and losses on investments that are not recognised in the statement of comprehensive income. These gains and losses arise as a result of movements in the difference between the cost and the fair value of the investments. The restricted funds designated for specific activities represent the unspent portion of funds received which the University has an obligation to spend in terms of a mandate. The revaluation reserve fund relates to a revaluation of property, plant and equipment. The revaluation reserve is released to accumulated funds on a systematic basis over the assets useful lives.

**o)    Determination of fair values**

A number of the accounting policies and disclosures require the determination of fair value, for both financial and non-financial assets and liabilities. Fair values have been determined for measurement and/or disclosure purposes based on the following methods. When applicable, further information about the assumptions made in determining fair values is disclosed in the notes specific to that asset or liability.

*(i)    Property, plant and equipment*
The market value of property is the estimated amount for which a property could be exchanged on the date of valuation between a willing buyer and a willing seller in an arm's length transaction after proper marketing wherein the parties had each acted knowledgeably and willingly. The fair value of items of plant, equipment, fixtures and fittings is based on the market approach and cost approaches using quoted market prices for similar items when available and replacement cost when appropriate.

*(ii)    Investments in equity and debt securities*
The fair value of financial assets at fair value through profit or loss, held-to-maturity investments and available-for-sale financial assets is determined by reference to their quoted closing bid price at the reporting date. The fair value of held-to-maturity investments is determined for disclosure purposes only.

# Notes to the consolidated financial statements
*for the year ended 31 December 2016*

**1.3 Significant accounting policies (continued)**

**o) Determination of fair values (continued)**

*(iii) Student and other receivables*

The fair value of student and other receivables is estimated as the present value of future cash flows, discounted at the market rate of interest at the reporting date. This fair value is determined for disclosure purposes.

*(iv) Non - derivative financial liabilities*

Fair value, which is determined for disclosure purposes, is calculated based on the present value of future principal and interest cash flows, discounted at the market rate of interest at the reporting date. For finance leases the market rate of interest is determined by reference to similar lease agreements.

Refer to 1.2 (*d*) for accounting policy relating to significant estimates and judgements.

*(v) Fair value hierarchy*

When measuring the fair value of an asset or a liability, the University uses market observable data as far as possible. Fair values are categorised into different levels in a fair value hierarchy based on the inputs used in the valuation techniques as follows.
• Level 1: quoted prices (unadjusted) in active markets for identical assets or liabilities.
• Level 2: inputs other than quoted prices included in Level 1 that are observable for the asset or liability, either directly (i.e. as prices) or indirectly (i.e. derived from prices).
• Level 3: inputs for the asset or liability that are not based on observable market data (unobservable inputs).

If the inputs used to measure the fair value of an asset or a liability might be categorised in different levels of the fair value hierarchy, then the fair value measurement is categorised in its entirety in the same level of the fair value hierarchy as the lowest level input that is significant to the entire measurement.

**p) Related parties**

A party is related to the University if any of the following are met:

· Directly, or indirectly through one or more intermediaries, the party controls, is controlled by or under common control with the University;
· The party is a member of key management personnel of the entity or it parent;
· The party is a close family member of the family or individual referred to the above.

Close family member of the family of an individual includes:

· The individual's domestic partner and children;
· Children of the individual's domestic partner; and
· Dependents of the individual or the individual's domestic partner.

# Notes to the consolidated financial statements

*for the year ended 31 December 2016*

### 1.4    Standards and interpretations not yet effective

At the date of authorisation of the consolidated financial statements of The University of Zululand for the year ended 31 December 2016, the following standards and interpretations applicable to the University were in issue but not yet effective:

| Standard/Interpretation | | Effective date Periods Beginning on or after |
|---|---|---|
| IAS 7 | Disclosure amendments | 1 January 2017 |
| IFRS 6 | Financial Instruments | 1 January 2018 |
| IFRS 16 | Leases | 1 January 2017 |

All standards and interpretations will be adopted at their effective date.

The Administrator is of the opinion that the above amendments will not have a material impact on the University's financial statements.

## Notes to the consolidated financial statements
*for the year ended 31 December 2016*

### 2 Property, plant and equipment

| | Land R'000 | Buildings R'000 | Work in progress R'000 | Furniture & Equipment R'000 | Data & Computer Equipment R'000 | Motor Vehicles R'000 | Total R'000 |
|---|---|---|---|---|---|---|---|
| **As at 31 December 2016:** | | | | | | | |
| Cost or Valuation | 70 336 | 1 009 000 | 65 479 | 62 305 | 56 435 | 4 871 | 1 268 426 |
| Accumulated depreciation | - | (19 084) | - | (30 523) | (20 333) | (4 431) | (74 371) |
| **Carrying Value** | 70 336 | 989 916 | 65 479 | 31 782 | 36 102 | 440 | 1 194 055 |
| | | | | | | | |
| **Movements for the year 2016:** | | | | | | | |
| Opening carrying value | 52 380 | 749 755 | 11 996 | 19 716 | 9 679 | 170 | 843 696 |
| Additions | 86 | 27 548 | 53 483 | 5 790 | 19 604 | - | 106 511 |
| Reclassification | 8 370 | (8 370) | - | - | - | - | - |
| Revaluation | 9 500 | 240 067 | - | - | - | - | 249 567 |
| Depreciation charge | - | (19 084) | - | 6 276 | 6 819 | 270 | (5 719) |
| **Closing Carrying Value** | 70 336 | 989 916 | 65 479 | 31 782 | 36 102 | 440 | 1 194 055 |
| | | | | | | | |
| **As at 31 December 2015:** | | | | | | | |
| Cost or Valuation | 52 380 | 869 264 | 11 996 | 56 515 | 36 831 | 4 871 | 1 031 857 |
| Accumulated depreciation | - | (119 509) | - | (36 799) | (27 152) | (4 701) | (188 161) |
| **Carrying Value** | 52 380 | 749 755 | 11 996 | 19 716 | 9 679 | 170 | 843 696 |
| | | | | | | | |
| **Movements for the year 2015:** | | | | | | | |
| Opening carrying value | 11 075 | 938 658 | - | 22 614 | 18 228 | 605 | 991 180 |
| Additions | 13 680 | 3 271 | 11 996 | 3 591 | 379 | - | 32 917 |
| Revaluation/(devaluation) | 27 625 | (172 530) | - | - | - | - | (144 905) |
| Depreciation charge | - | (19 644) | - | (6 489) | (8 928) | (435) | (35 496) |
| **Closing Carrying Value** | 52 380 | 749 755 | 11 996 | 19 716 | 9 679 | 170 | 843 696 |

**2    Property, plant and equipment (continued)**

The carrying amount that would have been recognised had the buildings that were revalued to R 989 916 000 had the assets been carried under the cost model would be R 586 997 000.

A register of land and buildings is available for inspection at the University's business address.

The land on which the buildings on KwaDlangezwa, Empangeni and Mtunzini are situated does not belong to the University. The University has the right of use of this land from the Department of Public Works.

A new campus was erected by the University during the 2009 financial year in Richards Bay. The land on which the campus is situated belongs to the University. Land comprises erf 16855, Portion 42 (of 25) of erf 11161, Richards Bay. The University is not permitted to dispose of, or otherwise alienate, its land and buildings without the prior approval of the Minister of Higher Education and Training.

Buildings erected at KwaDlangezwa comprise the following: lecture theatres, library, administration offices, student residences, staff housing and utilities.

Property, plant and equipment includes capitalised finance lease assets.

## Notes to the consolidated financial statements

*for the year ended 31 December 2016*

| | | **2016**<br>**R'000** | 2015<br>R'000 |
|---|---|---|---|
| **3** | **Available-for-sale investments** | | |
| | Listed equities | **323 668** | 345 655 |
| | Money market | **46 938** | 15 933 |
| | International investments | **82 074** | 82 074 |
| | | **452 680** | 443 662 |
| | **Held to maturity investments** | | |
| | Fixed income investments | **40 977** | 44 220 |
| | | **493 657** | 487 882 |
| | **Investments reconciliation** | | |
| | Opening balance | **487 882** | 443 932 |
| | Additions | **42 866** | 42 214 |
| | Disposals | **(35 887)** | (35 893) |
| | Revaluations | **(1 204)** | 37 629 |
| | **Closing balance** | **493 657** | 487 882 |

Investments held by the University of Zululand Foundation are invested on a long-term basis in order to obtain reasonable growth and revenue returns.

Investments including listed equities, international investments, fixed income instruments and money market investments are stated at fair value.

Portfolio UNI 005 in listed equities has been ceded to the Development Bank of Southern Africa (DBSA) to the value of R8 040 340 (refer note 10).

**4    Post-retirement obligations**

These post-retirement benefit obligation exposes the University to actuarial risks, such as longevity risk, currency risk, interest rate risk and market (investment) risk.

| | **2016**<br>**R'000** | 2015<br>R'000 |
|---|---|---|
| Pension fund (Note 4.1) | **(664)** | 97 555 |
| Provident fund (Note 4.2) | **(3 876)** | 9 110 |
| Medical aid (Note 4.3) | **(92 877)** | |
| | **(97 417)** | 106 665 |

# Notes to the consolidated financial statements
*for the year ended 31 December 2016*

### 4.1 Pension Fund

The University's obligation towards the post-retirement pension fund benefit was actuarially calculated as at 31 December 2016 by ABSA Consultants and Actuaries and is disclosed in accordance with *International Accounting Standard 19: Employee Benefits,* as follows:-

|  | 2016 R'000 | 2015 R'000 |
|---|---|---|
| **Consolidated statement of financial position** | | |
| Present value of funded obligations | **(868 846)** | (754 578) |
| Fair value of plan assets (refer note 4.3) | **868 182** | 852 133 |
| Present value of net surplus | **(664)** | 97 555 |
| **Consolidated statement of comprehensive income** | | |
| Service cost | **(66 286)** | (52 991) |
| Interest cost | **(80 044)** | (64 066) |
| Expected return on plan assets | **88 526** | 71 059 |
| **Amount recognised in the net surplus** | **(57 804)** | (45 998) |
| Actuarial gains/(losses) | **(5 806)** | 44 692 |
| Return on plan assets | **(61 826)** | 32 141 |
| **Amount recognised in other comprehensive income** | **(67 632)** | 76 833 |
| **Total amount recognised in consolidated statement of comprehensive income** | **(125 436)** | 30 835 |
| **Reconciliation of movement in the net asset recognised in the consolidated statement of financial position** | | |
| Balance at the beginning of the year | **97 555** | 106 191 |
| Employer contributions during the year | **20 733** | 14 766 |
| Transfer to Provident Fund | **6 484** | (54 237) |
| Total amount recognised in Consolidated Statement of Comprehensive Income | **(125 436)** | 30 835 |
| Balance at the end of the year | **(664)** | 97 555 |
| **Key Valuation Assumptions** | | |
| Discount rate | **9.75%** | 10.49% |
| Expected return on assets | **9.75%** | 10.49% |
| Salary Increase rate | **9.43%** | 10.31% |
| Pension Increase rate | **4.7%** | 4.83% |
| General inflation rate | **7.43%** | 8.31% |

### Sensitivity analysis

Reasonably possible changes at the reporting date to one of the relevant actuarial assumptions, holding other assumptions constant, would have affected the defined benefit plan by the amounts shown below.

## Notes to the consolidated financial statements

*for the year ended 31 December 2016*

| 31 December 2016 | Increase R'000 | Decrease R'000 |
|---|---|---|
| Discount rate (1% movement) | **(118 570)** | 151 323 |
| Salary inflation (1% movement) | **49 634** | (43 485) |

The defined benefit plans are administered by the board of trustees. The board of trustees of the pension and provident funds are required by law to act in the best interests of the plan participants and is responsible for setting certain policies (e.g. investment, contribution and indexation policies) of the fund.

These defined benefit plans expose the University to actuarial risks, such as longevity risk, currency risk, interest rate risk and market (investment) risk.

### 4.2 Provident fund

The University's obligation towards the post-retirement provident fund benefits was actuarially calculated as at 31 December 2016 by ABSA Consultants and Actuaries and is disclosed in accordance with IAS 19: Employee Benefits, as follows:-

| | 2016 R'000 | 2015 R'000 |
|---|---|---|
| **Consolidated statement of financial position** | | |
| Present value of funded obligations | **(140 155)** | (130 393) |
| Fair value of plan assets (Note 4.3) | **136 279** | 139 503 |
| Present value of net (deficit) / surplus | **(3 876)** | 9 110 |
| | | |
| **Consolidated Statement of Comprehensive Income** | | |
| Service cost | **(9 756)** | (10 398) |
| Interest cost | **(13 116)** | (10 545) |
| Expected return on plan assets | **14 071** | 6 932 |
| Contribution by members | | - |
| **Amount recognised in the net surplus** | **(8 801)** | (14 011) |
| | | |
| Actuarial (losses) / gains | **1 712** | 6 677 |
| Return on plan assets | **(9 288)** | 871 |
| **Amount recognised in other comprehensive income** | **(7 576)** | 7 548 |
| | | |
| **Total amount recognised in the consolidated statement of comprehensive income** | **(16 377)** | (6 463) |
| | | |
| **Reconciliation of movement in the net asset recognised in the consolidated statement of financial position** | | |
| Balance at the beginning of the year | **9 110** | (41 531) |
| Transfer from Pension Fund | **-** | 54 237 |
| Employer contributions during the year | **3 391** | 2 867 |
| Amount recognised in consolidated statement of comprehensive income | **(16 377)** | (6 463) |
| Balance at the end of the year | **(3 876)** | 9 110 |

## Notes to the consolidated financial statements
*for the year ended 31 December 2016*

**Key Valuation Assumptions**

| | | |
|---|---|---|
| Discount Rate | **9.75%** | 10.49% |
| Expected return on assets | **9.75%** | 10.49% |
| Salary Increase rate | **9.43%** | 10.31% |
| Pension Increase rate | **4.70%** | 4.83% |
| General inflation rate | **7.43%** | 8.31% |

**Sensitivity analysis**

| **31 December 2016** | **Increase**<br>**R'000** | **Decrease**<br>**R'000** |
|---|---|---|
| Discount rate (1% movement) | **(17 036)** | 21 329 |
| Salary inflation (1% movement) | **8 409** | (7 439) |

### 4.3 Plan assets comprise:

| | **Pension fund**<br>**2016**<br>**R'000** | **Provident fund**<br>**2016**<br>**R'000** | Pension fund<br>2015<br>R'000 | Provident fund<br>2015<br>R'000 |
|---|---|---|---|---|
| Listed equities | **300 390** | **41 429** | 518 012 | 46 176 |
| Capital market | **182 319** | **34 070** | 20 536 | 40 316 |
| International investments | **178 845** | **17 171** | 190 026 | 22 041 |
| Money market | **157 142** | **37 068** | 76 692 | 22 460 |
| Property market | **49 486** | **6 541** | 46 867 | 8 510 |
| **Total plan assets as at 31 December 2016** | **868 182** | **136 279** | 852 133 | 139 503 |

### 4.4 Medical Aid

| | **2016**<br>**R'000** | 2015<br>R'000 |
|---|---|---|
| Medical aid benefits | **92 877** | 79 901 |
| | **92 877** | 79 901 |

These post-retirement benefit obligation exposes the University to actuarial risks, such as longevity risk, currency risk, interest rate risk and market (investment) risk.

The University's obligation towards the post-retirement medical aid obligation was actuarially calculated as at 31 December 2016 by C.A. Scott and is disclosed in accordance with IAS 19: Employee Benefits, as follows:-

## Notes to the consolidated financial statements
*for the year ended 31 December 2016*

|  | 2016<br>R'000 | 2015<br>R'000 |
|---|---|---|
| **Consolidated Statement of Financial Position** |  |  |
| Present value of funded obligations | **92 877** | 79 901 |
| Fair value of plan assets | **-** | - |
| Present value net obligations | **92 877** | 79 901 |
| **Consolidated Statement of Comprehensive Income** |  |  |
| Service cost | **(1 282)** | (1 537) |
| Interest cost | **(8 146)** | (7 054) |
| **Total amount recognised in the net surplus** | **(9 428)** | (8 591) |
| Actuarial gains/(losses) | **(8 921)** | 7 944 |
| **Amount recognised in other comprehensive income** | **(8 921)** | 7 944 |
| **Total amount recognised in the consolidated statement of comprehensive income** | **(18 349)** | (647) |
| **Movement in the net liability recognised in the consolidated statement of financial position** |  |  |
| Opening value | **79 901** | 83 928 |
| Benefits paid | **(5 373)** | (4 674) |
| Total amount recognised in consolidated statement of comprehensive income | **18 349** | 647 |
| Closing value | **92 877** | 79 901 |
| **Key Valuation Assumptions** |  |  |
| Discount Rate | **9.6%** | 10.5% |
| Medical inflation rate | **6.9%** | 7.0% |

### Health care cost inflation
The valuation basis assumes that the health care cost inflation rate will remain constant in the long term. The effect of a one percent increase and decrease in the health care cost inflation rate is as follows:

|  | 1% increase<br>R'000 | Valuation basis<br>R'000 | 1% decrease<br>R'000 |
|---|---|---|---|
| **Employer's accrued liability** | 10 124 | 92 877 | (8 638) |
| **Employer's service and interest cost** | 1 056 | 9 428 | (905) |

Therefore, a 1% increase in the health care cost inflation assumption will result in a 10.9% increase in the accrued liability. Similarly, a 1% decrease in the health care cost inflation assumption will result In a 9.3% decrease in the accrued liability.

# Notes to the consolidated financial statements

*for the year ended 31 December 2016*

| | | **2016** | 2015 |
|---|---|---|---|
| **5** | **Total amount recognised in profit or loss as at 31 December 2016** | **R'000** | R'000 |
| | Pension fund (note 4.1) | **(57 804)** | (45 998) |
| | Provident fund (note 4.2) | **(8 801)** | (14 011) |
| | Medical aid (note 4.4) | **(9 428)** | (8 591) |
| | **Total amount recognised in other comprehensive income as at 31 December 2016** | **(76 033)** | (68 600) |
| | Pension fund (note 4.1) | **(67 632)** | 76 833 |
| | Provident fund (note 4.2) | **(7 576)** | 7 548 |
| | Medical aid (note 4.4) | **(8 921)** | 7 944 |
| | | **(84 129)** | 92 325 |

| | | | |
|---|---|---|---|
| **6** | **Student and other receivables** | | |
| | Student debtors | **348 391** | 255 394 |
| | Less: allowance for impairment losses | **(129 698)** | (127 165) |
| | Net student receivables | **218 693** | 128 229 |
| | NSFAS and other bursaries receivable | **152** | 1 484 |
| | Loan to employees | **-** | - |
| | Other receivables | **8 205** | 21 541 |
| | | **227 050** | 151 254 |

Student fee debt is non-interest bearing, and minimum payments are required on registration and on subsequent prescribed dates as published in the University's fee handbook. The portion of student debt, which is considered irrecoverable after taking into account the historical debt repayment due from NSFAS, is included in the allowance for impairment losses. The impairment takes into account the present value of future expected cash flows. The carrying amounts approximate the fair value. Movement in the allowance for impairment of student debtors were as follows:

| | **2016** | 2015 |
|---|---|---|
| **Allowance for impairment losses** | **R'000** | R'000 |
| At 1 January | **127 165** | 112 719 |
| Charge for the year | **2 533** | 14 446 |
| At 31 December | **129 698** | 127 165 |

## Notes to the consolidated financial statements
*for the year ended 31 December 2016*

### 6   Student and other receivables (continued)

| Student debtor balances | 2016 R'000 Balance | 2016 R'000 Impairment | Net | 2015 R'000 Balance | 2015 R'000 Impairment | Net |
|---|---|---|---|---|---|---|
| Past due date -1 year | **218 693** | **-** | **218 693** | 128 229 | - | 128 229 |
| Past due date -2 years | **2 533** | **(2 533)** | **-** | 14 446 | (14 446) | - |
| Past due date -3 years and earlier | **127 165** | **(127 165)** | **-** | 112 719 | (112 719) | - |
| | **348 391** | **(129 698)** | **218 693** | 255 394 | (127 165) | 128 229 |

|  | 2016 R'000 | 2015 R'000 |
|---|---|---|
| **7   Short term investments** | | |
| Classified as available for sale | **838 715** | 806 694 |

Interest bearing available-for-sale financial assets, earn interest at rates between 4 to 8 percent (2015: 4 to 8 percent). Short term investments consist of investments in money market, cash deposits and fixed maturity notices.

|  | 2016 R'000 | 2015 R'000 |
|---|---|---|
| **8   Cash at bank and on hand** | **40 323** | 18 830 |

### 9   Change in estimate

During the year management undertook a detailed assessment of useful lives of all assets which were still in use as at 31 December 2016, this resulted in a decrease in depreciation of R8 179 000. The effect of the change was accounted for prospectively by adjusting the current year depreciation with the cumulative effect. The following analysis summarises the impact

| | 2016 |
|---|---|
| **Reconciliation** | |
| Depreciation | - |
| Depreciation (based on the new useful lives) | **(29 198)** |
| Cumulative adjustment due to change in useful lives | **23 479** |
| **Depreciation for the year** | **(5 719)** |

# Notes to the consolidated financial statements
*for the year ended 31 December 2016*

| | **2016**<br>**R'000** | 2015<br>R'000 |
|---|---:|---:|
| **10**    **Interest bearing borrowings** | | |
| *Non-current liabilities* | | |
| Development Bank of South Africa (DBSA) loan | **24 636** | 28 825 |
| | **24 636** | 28 825 |
| *Current liabilities* | | |
| Current portion of DBSA loan | **4 371** | 2 185 |
| | **4 371** | 2 185 |

The interest bearing borrowings reflect the balance owing on loans raised to finance capital development projects. The annual cost of interest and repayments are included in the consolidated statement of comprehensive income.

All non-current loans, are repayable bi-annually and the redemption date is 30 June 2027. Fixed effective interest rates vary between 5%-11.42% (2015:5%-11.42%).

The variable effective interest rate fluctuates with changes in the prime interest rate and averaged 7.61% (2015: 7.61%) for the financial year.

The DBSA loan is secured in terms of a cession issued to the value of R8 040 340. Refer to note 3.

**11**    **Deferred government grants**

Government Grants of R35 million (2015: R125 426 million) were received in respect of improvements to the infrastructure of the University and other grant funding. This has been reflected as deferred income and will be recognised as income on a systematic and rational basis over the useful life of the asset.

| | **2016**<br>**R'000** | 2015<br>R'000 |
|---|---:|---:|
| **Grant funding for items included in property, plant and equipment** | | |
| Infrastructure grant spent* | **198 518** | 204 231 |
| Infrastructure grant | **485 567** | 421 375 |
|   -  Phase 2 Main infrastructure project | **474 231** | 410 039 |
|   -  Phase 1 Pre-2014 infrastructure | **11 336** | 11 336 |
| **Other grants** | **14 505** | 16 555 |
| Trust Funds | **3 027** | 3 115 |
|   -  National Research Fund | **11 478** | 13 440 |
|   -  UZF CIME (Centre for Innovation) | | |
| Total deferred government grants | **698 590** | 642 161 |

* To be amortised over the useful life of the asset

| | **2016** | 2015 |
|---|---:|---:|
| Analysed as: | | |
| Non-current | **684 085** | 625 606 |
| Current | **14 505** | 16 555 |
| | **698 590** | 642 161 |

# Notes to the consolidated financial statements

*for the year ended 31 December 2016*

## 12   Trade payable and accrued liabilities

|  | 2016 R'000 | 2015 R'000 |
|---|---|---|
| Creditors and accruals | 62 423 | 43 456 |
| Other payables | 20 802 | 12 207 |
| Bursary awards |  | - |
|  | 83 225 | 55 663 |

## 13   Employee benefits

|  | 2016 R'000 | 2015 R'000 |
|---|---|---|
| Leave pay accrual | 54 453 | 50 084 |
| Bonus accrual | 8 543 | 6 635 |
|  | 62 996 | 56 719 |

An accrual is made for the estimated liability for annual leave and annual bonus as a result of services rendered by professional, administrative and support staff up until the reporting date.
As the University does not have the unconditional right to defer settlement of these liabilities for at least twelve months after the reporting date the liabilities are classified as being current.

## 14   Investment income

|  | 2016 R'000 | 2015 R'000 |
|---|---|---|
| Income from investments | 42 140 | 31 194 |
| Dividends | 5 520 | 5 531 |
| Realised gains on sale of investments | 11 872 | 8 578 |
|  | 59 532 | 45 303 |

## 15   Personnel costs

|  | Academic Professional R'000 | Other R'000 | Total 2016 R'000 | Total 2015 R'000 |
|---|---|---|---|---|
| Salaries and wages | 222 971 | 135 333 | 358 304 | 315 250 |
| Education subsidy | 3 114 | 1 692 | 4 806 | 4 584 |
| Leave pay expense | 3 405 | 7 151 | 10 556 | 15 908 |
| Bonus expense | 20 483 | 13 989 | 34 472 | 18 445 |
| Contributions to defined contribution plan | 11 253 | 406 | 11 659 | 17 667 |
|  | 261 226 | 158 571 | 419 797 | 371 854 |

# Notes to the consolidated financial statements
*for the year ended 31 December 2016*

## 15 Personnel costs (continued)

|  | **2016** | 2015 |
|---|---|---|
| Average number of persons employed during the year: |  |  |
| Full-time | **829** | 797 |
| Part-time | **237** | 343 |
|  | **1 066** | 1 140 |

## 16 Operating expenses

|  | **2016**<br>**R'000** | 2015<br>R'000 |
|---|---|---|
| Other operating expenses include: |  |  |
| *Auditor's remuneration:* | **7 874** | 9 101 |
| Internal audit fee | **1 066** | 4 784 |
| Internal audit forensic investigation | **6 808** | 4 317 |
| *External audit:* | **3 758** | 2 175 |
| Current period services | **3 570** | 2 175 |
| Other audit services | **188** | - |
| Repair and maintenance expenditure | **40 390** | 29 990 |
| Research and development expenditure | **14 953** | 13 370 |
| Books and periodicals | **18 002** | 18 073 |
| Allowance for impairment losses-student debtors | **2 533** | 14 446 |
| *Other lease rentals:* | **5 681** | 3 120 |
| Motor vehicles | **4 723** | 3 039 |
| Other | **958** | 81 |

## 17 Finance costs

|  | **2016** | 2015 |
|---|---|---|
| Interest: other | **2 370** | 2 506 |
|  | **2 370** | 2 506 |

## 18 Taxation

The University of Zululand is exempt from South African normal taxation in terms of Section 10(1)(cA)(i) of the Income Tax Act and therefore no liability has been recognised for taxation.

# Notes to the consolidated financial statements

*for the year ended 31 December 2016*

| | 2016<br>R'000 | 2015<br>R'000 |
|---|---|---|
| **19** **Commitments and contingencies** | | |
| | | |
| **Commitment** | | |

At the reporting date, the budget for the following expenditure was approved but not recognised in the consolidated financial statements as it was not yet contracted for:

### 19.1 Property, plant and equipment

| | 2016<br>R'000 | 2015<br>R'000 |
|---|---|---|
| Per approved Capex | 51 534 | 51 534 |
| Rolled forward from 2016 | 19 500 | 19 500 |
| Council funds general reserves | 71 034 | 71 034 |
| Infrastructure approved new Residence "DBSA" new loan tender UZ03/2016 | 43 990 | 43 990 |
| Total commitments Council funded | 115 024 | 115 024 |

### 19.2 Grants

Department of Higher Education and Training (DHET) - Infrastructure and Efficiency Funding (I&EF) and Development and Clinical Training Grant projects.

| | 2016<br>R'000 | 2015<br>R'000 |
|---|---|---|
| Infrastructure Phase 2 | 473 909 | 410 039 |
| Infrastructure Phase 1 | 11 336 | 11 336 |
| Other grants | 14 505 | 16 555 |
| | 499 750 | 437 930 |
| | | |
| **Total commitments** | 614 774 | 552 954 |

Long-term loan facilities from the Development Bank of Southern Africa (DBSA) is in the process of being secured, subject to Ministerial approval, and these, together with DHET infrastructure grants approved, unexpended government grants brought forward from the previous funding cycle and internal resources, will be available to fund these commitments.

# Notes to the consolidated financial statements

*for the year ended 31 December 2016*

**19    Commitments and contingencies (continued)**

**19.3 Funding Source**

|  | **2016**<br>**R'000** | 2015<br>R'000 |
|---|---|---|
| Development Bank of Southern Africa (DBSA) : long-term loans |  | - |
| Development Bank of Southern Africa (DBSA): new proposed borrowings | **43 990** | 43 990 |
| Department of Higher Education and Training (DHET) |  |  |
| -    Infrastructure and efficiency funding (I&EF) grants | **499 750** | 437 930 |
| *University resources* |  |  |
| -    Revenue account | **71 034** | 71 034 |
| -    General reserve funds |  | - |
| Total capital commitments | **614 774** | 552 954 |

In accordance with the requirements of the Higher Education Act, the requisite Ministerial approval, where applicable, has been and will in future continue to be obtained for all additional borrowings, as well as for the acquisition of property and the construction of major infrastructural projects that exceed the statutory thresholds within which the University Council is authorised to operate.

|  | **2016**<br>**R'000** | 2015<br>R'000 |
|---|---|---|
| **Contingent liabilities** |  |  |
| The University has provided guarantees in respect of housing loans for employees amounting to : | **973** | 973 |
| The University has a bank guarantee outstanding in respect of electricity supply amounting to: | **930** | 930 |
|  | **1 903** | 1 903 |

## Notes to the consolidated financial statements

*for the year ended 31 December 2016*

|  |  | 2016<br>R'000 | 2015<br>R'000 |
|---|---|---|---|
| **20** | **Cash generated by operations** | | |
|  | Net surplus for the year | **115 411** | 81 505 |
|  | Adjustments for: | | |
|  | Post-retirement benefit surplus/(deficit) | | - |
|  | Depreciation | **5 719** | 35 496 |
|  | Profit on sale of available for sale investments | **(11 874)** | (8 578) |
|  | Non cash post retirement cost | **76 033** | 68 600 |
|  | Post retirement contributions | **(29 497)** | (22 307) |
|  | (Decrease)/increase in leave pay accrual | **4 369** | 9 046 |
|  | (Decrease)/increase in bonus accrual | **1 908** | (217) |
|  | Decrease/(increase) in post-retirement medical aid benefits and pension | **(17 516)** | - |
|  | Investment income | **(59 532)** | (45 303) |
|  | Finance costs | **2 370** | 2 506 |
|  | Operating profit before working capital changes | **87 391** | 120 748 |
|  | - (Increase)/decrease in receivables | **(75 796)** | (49 853) |
|  | - Decrease/(increase) in inventories | **(2 314)** | 285 |
|  | - Increase in deferred government grants | **56 429** | 142 791 |
|  | - Increase in student deposits | **7 540** | 1 015 |
|  | - Increase in trade payables and accrued liabilities | **27 562** | 17 732 |
|  |  | **100 812** | 232 718 |

**21    Financial risk management**

The University's principal financial instruments comprise available-for-sale investments, current receivables in the form of student fee debtors, other receivables; cash and short-term bank deposits; interest-bearing borrowings and trade payable. Financial instruments are measured at fair value or amounts that approximate fair value (or as disclosed in the relevant notes).

The University Council has overall responsibility for the establishment and oversight of the University's risk profile. Council has established the Audit and Risk; Finance and other committees to develop, monitor and manage the University's risk management policies on its behalf and Executive management is responsible for implementing, managing and complying with selected risk management strategies. All potential risks are identified, evaluated and managed as appropriate. Risk management policies, systems and procedures are reviewed regularly to reflect changes in market conditions, the higher education sector and in the University's operating environment. The Chairpersons of the respective committees, the Vice-Chancellor and other members of Executive management report regularly to the Council on risk management activities and results. The University, through its training and management standards and procedures, aims to develop a disciplined and constructive control environment in which all employees, students and other stakeholders understand their roles and obligations.

# Notes to the consolidated financial statements

*for the year ended 31 December 2016*

**21    Financial risk management (continued)**

The University's policies regarding insurance and risk cover are set and monitored by the Finance Committee. Likewise, decisions on the level of financial risk are taken by the Finance Committee and enforced by the University's Finance Division in terms of established limits by reference, in each case, to the particular transaction type, the monetary amounts and the counter-parties involved. Financial risks arising from the University's use of financial instruments include the following:

- Liquidity risk
- Credit risk
- Market risk

**Liquidity risk**

The University manages its liquidity risk by monitoring its daily cash flow to ensure that surpluses are optimally invested and that adequate cash is available to meet its day-to-day operations in the short- and medium-terms, based on rolling cash flow projections. The University adopts a diversified investment strategy with specified major financial institutions, each of which is required to be accredited by the Finance Committee, and has no significant concentration of credit risk with any single counter-party.

The timing and cyclical nature of the University's cash inflows and outflows are such that liquidity problems are unlikely to arise. Furthermore, the University has access to funds through its short-term deposits and overdraft facilities in the event that any unforeseen event occurs.

**Credit risk**

The University has no significant concentrations of credit risk. As a matter of policy, the University trades only with recognised, creditworthy third parties, who are subject to credit verification procedures including terms and conditions of trade specified by the University.

The University's credit risk exposure is represented primarily by the net aggregate balance of amounts receivable in respect of unpaid student fees and general receivables. Collateral measures include the withholding of examination results, denied re-admission after the first semester and the refusal to allow students in default of their financial obligations to register in the ensuing academic year unless a debt payment plan has been committed to. Debt collection procedures are applied as diligently as circumstances permit in such a way as to minimise risk.

The University provides for impairment losses in respect of student-related receivables (student fee debtors) and other receivables to the extent that these can be reliably and conservatively determined, having regard to the credit risk experience and payment history of the particular categories of debtors.

**Market risk**

The University is exposed to market risk on its investment portfolios. This risk is managed by selecting reputable portfolio managers who operate under defined mandates, which are designed to both limit the risk and also optimise the University's returns on these investments, having regard to the nature and purpose of the underlying funds. The performance of the respective fund managers are monitored closely by the Finance Committee and, in the case of the University Foundation, by the respective Boards of Trustees.

## Notes to the consolidated financial statements

*for the year ended 31 December 2016*

**21      Financial risk management (continued)**

Financial assets and liabilities affected by interest rate fluctuations include bank deposits and short-term investments, as well as borrowings. Deposits comprise fixed notice and call account deposits. At the reporting date, these deposits were either accessible immediately or had maturity dates not exceeding twelve months. Interest rates earned on these deposits and other investments closely approximate prevailing market rates.

The University's borrowings used to finance its operations are at both fixed and variable rates of interest depending, in each case, on the nature and duration of the respective borrowings and the specific purpose for which such borrowings are required. The level of borrowings and, consequently, the debt servicing costs are closely monitored and controlled by the Finance Committee on behalf of Council, having regard to the prevailing, and projected, interest rates and the University's capacity to service such debt from future earnings.

| **Financial assets** | **Category** |
|---|---|
| Available-for-sale investments (*Note 3*) | |
|     Notice deposits | Fair value through profit and loss |
|     Listed equities | Available for sale |
|     Fixed income investments | Available for sale |
|     International investments | Available for sale |
| | |
| Students and other receivables (*Note 6*) | |
|     Student fee debtors | Loans and Receivables |
|     Other receivables | Loans and Receivables |
| Cash at bank and on hand *(Note 8)* | Loans and Receivables |
| Short term investments *(Note 7)* | |
|     Short term deposits | Loans and Receivables |

| **Financial liabilities** | **Category** |
|---|---|
| Interest bearing borrowings (*Note 10*) | |
|     Government-subsidised loans | Other financial liabilities |
|     Finance lease liabilities | Other financial liabilities |
| | |
| Trade payables and accrued liabilities *(Note 13)* | |
|     Other payables | Other financial liabilities |
|     Student deposits | Other financial liabilities |

**Financial assets comprise the following:**

| | **2016** | 2015 |
|---|---|---|
| | **R'000** | R'000 |
| Available-for-sale investments | **493 657** | 487 882 |
| Student fee debtors | **218 845** | 128 229 |
| Other receivables | **8 205** | 23 025 |
| Cash at bank and on hand | **40 323** | 18 830 |
| Short term investments | **838 715** | 806 694 |
| | **1 599 745** | 1 464 660 |

# Notes to the consolidated financial statements

*for the year ended 31 December 2016*

**21    Financial risk management (continued)**

| | **2016**<br>**R'000** | 2015<br>R'000 |
|---|---|---|
| **Financial liabilities comprise the following:** | | |
| Trade payable and accrued liabilities | **83 225** | 55 663 |
| Student deposits | **52 764** | 45 224 |
| Current portion of interest bearing borrowings | **4 371** | 2 185 |
| Non-current interest bearing borrowings | **24 636** | 28 825 |
| | **164 996** | 131 897 |

Interest bearing available-for-sale financial assets, with a carrying amount of
**R 142 226 000** (2015: R 61 457 000), mature as follows:

| | |
|---|---|
| RSA R203 8.25% | within the next 4 years |
| RSA R208 6.75% | within the next 5 years |
| SHP 6.5% ZAR | within the next 5 years |
| RSA R186 10.5% | within the next 6 years |

**Categories of financial incomes and expenses**

| **Financial assets** | **2016**<br>**R'000** | 2015<br>R'000 |
|---|---|---|
| *Recognised in profit and loss* | | |
| Interest on financial assets | **42 140** | 31 194 |
| Dividends on available for sale financial assets | **5 520** | 5 531 |
| Other income on available for sale financial assets | **11 872** | 8 578 |
| *Recognised in funds* | | |
| Net change in the fair value of available for sale financial assets | **(13 078)** | 29 051 |

**Financial liabilities**

| | **2016** | 2015 |
|---|---|---|
| *Recognised in profit and loss* | | |
| Finance costs | **(2 370)** | (2 506) |

**Fair values versus carrying amounts**

The carrying value of all financial instruments approximate their fair value.

**Basis for determining fair values**

The following summarises the significant methods and assumptions used in estimating the fair values of the financial instruments reflected in the table above.

## Notes to the consolidated financial statements

*for the year ended 31 December 2016*

**21     Financial risk management (continued)**

*Available for sale financial assets*

Available for sale financial assets are measured at fair value, which is calculated by reference to share exchange quoted selling prices at the close of business on the reporting date.

*Held to maturity financial assets*

The fair value of Held to maturity financial assets is estimated as the present value of future cash flows, discounted at the market rate of interest at the reporting date.

*Cash and cash equivalents*

The fair value of cash and cash equivalents is deemed to be the face value of such cash and equivalent financial assets.

*Student fee receivables and other receivables*

The fair value of receivables is estimated as the present value of future cash flows, discounted at the market rate of interest at the reporting date when the effect of discounting is considered significant. Receivables that are likely to be irrecoverable are estimated and impairment losses are raised, based on a review of outstanding amounts at year-end. Actual bad debts are written off through the statement of comprehensive income during the year in which they are identified.

**Credit risk**

At the reporting date there were no significant concentrations of credit risk. The maximum exposure to credit risk is represented by the carrying amount of each financial asset in the Statement of Financial Position.

The following financial assets in the Statement of Financial Position were exposed to credit risk:

|  | **2016**<br>**R'000** | 2015<br>R'000 |
|---|---|---|
| Student fee debtors | **218 845** | 128 229 |
| Other receivables | **8 205** | 23 025 |
| Cash and cash equivalents | **879 038** | 825 524 |
|  | **1 106 088** | 976 778 |

# Notes to the consolidated financial statements

*for the year ended 31 December 2016*

**21    Financial risk management (continued)**

**Market risk**

*(i)      Interest rate risk*

The University's investments in fixed-rate debt securities and its fixed-rate borrowings are exposed to a risk of change in their fair value due to changes in interest rates. The University's investments in variable-rate debt securities and its variable-rate borrowings are exposed to a risk of change in cash flows due to changes in interest rates. Investments in equity securities and short-term receivables and payables are not exposed to interest rate risk.

| | **2016**<br>**R'000** | 2015<br>R'000 |
|---|---|---|
| *Fixed rate instruments* | | |
| Financial assets | **40 977** | 44 220 |
| Financial liabilities | | - |
| | **40 977** | 44 220 |
| | | |
| *Floating rate instruments* | | |
| Financial assets | **452 680** | 443 662 |
| Financial liabilities | **29 007** | 31 010 |
| | **481 687** | 474 672 |
| | | |
| An increase/(decrease) of 100 basis points in the prime interest rate would decrease/(increase) the value of the University's fixed rate instruments by: | **410** | 442 |
| | | |
| An increase/(decrease) of 100 basis points in the prime interest rate would decrease/(increase) the value of the University's floating rate instruments by: | **4 817** | 4 747 |

*(ii)     Equity price risk*

Equity price risk is managed through diversification of equity and international investments across various economic sectors, thereby reducing the University's exposure to systematic market risk. Investment styles used by University's portfolio managers vary between growth, value and core orientated strategies. These are combined with investments in stable blue chip companies in order to reduce unsystematic risk.

| | **2016**<br>**R'000** | 2015<br>R'000 |
|---|---|---|
| A 1% increase or decrease in the value of the JSE All Share Index would increase or decrease the value of the listed investments by: | **3 475** | 3 457 |

# Notes to the consolidated financial statements

*for the year ended 31 December 2016*

**21    Financial risk management (continued)**

**Liquidity risk**

The following are the contractual, undiscounted maturities of financial liabilities, including interest payments :

| | Carrying value | Contractual cash flows | Within 12 months | 1 - 2 years | 2 - 5 years | More than 5 years |
|---|---|---|---|---|---|---|
| | R'000 | R'000 | R'000 | R'000 | R'000 | R'000 |
| **31 December 2016** | | | | | | |
| Interest bearing borrowings | **29 007** | **50 000** | **4 371** | **4 371** | **13 113** | **28 145** |
| Other payables and accrued liabilities | **83 225** | **83 225** | **83 225** | | | |
| Student deposits | **52 764** | **52 764** | **52 764** | | | |
| | **164 996** | **185 989** | **140 360** | **4 371** | **13 113** | **28 145** |
| 31 December 2015 | | | | | | |
| Interest bearing borrowings | 31 010 | 54 371 | 4 371 | 4 371 | 13 113 | 32 516 |
| Other payables and accrued liabilities | 55 663 | 55 663 | 55 663 | - | - | - |
| Student deposits | 45 224 | 45 224 | 45 224 | - | - | - |
| | 131 897 | 155 258 | 105 258 | 4 371 | 13 113 | 32 516 |

**Accounting classifications and fair values**

*Fair value hierarchy*

The table below analysis financial instruments measured at fair value, or items for which the disclosure of fair value is required, by valuation method. Refer to the respective notes for reconciliation of the level 3 fair values.

| | Level 1 R'000 | Level 2 R'000 | Level 3 R'000 | Total R'000 |
|---|---|---|---|---|
| **2016** | | | | |
| **Financial assets** | | | | |
| Available for sale investments | **493 657** | | | **493 657** |
| Student and other receivables | | | **227 050** | **227 050** |
| Cash and cash equivalents | **40 323** | | | **40 323** |
| Short-term investments | **838 715** | | | **838 715** |
| **Non-financial assets measured at fair value** | | | | |
| Land and buildings | | | **1 060 252** | **1 060 252** |
| | **1 372 695** | | **1 287 302** | **2 659 997** |

# Notes to the consolidated financial statements

*for the year ended 31 December 2016*

### 21 Financial risk management (continued)

| | Level 1 R'000 | Level 2 R'000 | Level 3 R'000 | Total R'000 |
|---|---|---|---|---|
| **Financial liabilities** | | | | |
| | | | | |
| Trade payable and accrued liabilities | | | **83 225** | **83 225** |
| Student deposits | | | **52 764** | **52 764** |
| Current portion of interest-bearing borrowing | | | **4 371** | **4 371** |
| Interest-bearing borrowings | | | **24 636** | **24 636** |
| | | | **164 996** | **164 996** |
| 2015 | | | | |
| **Financial assets** | | | | |
| Available for sale investments | 487 882 | | | 487 882 |
| Student and other receivables | | | 151 254 | 151 254 |
| Cash and cash equivalents | 18 830 | | | 18 830 |
| Short-term investments | 806 694 | | | 806 694 |
| | | | | |
| **Non-financial assets measured at fair value** | | | | |
| Land and buildings | | | 749 755 | 749 755 |
| | 1 313 406 | | 901 009 | 2 214 415 |
| **Financial liabilities** | | | | |
| Trade payable and accrued liabilities | - | - | 55 663 | 55 663 |
| Student deposits | - | - | 45 224 | 45 224 |
| Current portion of interest-bearing borrowing | - | - | 2 185 | 2 185 |
| Interest-bearing borrowings | - | - | 28 825 | 28 825 |
| | - | - | 131 897 | 131 897 |

# Notes to the consolidated financial statements
*for the year ended 31 December 2016*

### 22    Annualised gross remuneration to Executive staff

The following disclosure relates to the compensation paid to members of the Executive management of the University for the year ended 31 December 2016 as defined in the Statute of the University.  Gross remuneration, for the purpose of the Higher Education Act, is based on the cost for employment to the University and flexible remuneration packages, suitably annualised, where applicable and is inclusive of the employer's contributions to health and post-retirement benefits.  Exceptional payments, if any to Executive management have been included in the annualised gross and are disclosed separately below where applicable.

| Name | Designation | 2016 | 2015 |
|---|---|---|---|
| | | R'000 | R'000 |
| Prof J.R Midgley (Resigned August 2015) | Deputy Vice Chancellor : Research & Innovation | - | *2 891 |
| Prof GFD De Wet (Appointed August 2016) | Deputy Vice Chancellor : Research & Innovation | *2 240 | - |
| Mrs N Ngqubekile-Ali (Resigned June 2015) | Executive Director : Human Resources | - | *1 680 |
| Prof XA Mtose | Vice-Chancellor | 3 147 | 2 942 |
| Prof SP Songca | Deputy Vice Chancellor : Teaching & Learning | *2 223 | |
| Mr AJ de Wet (Resigned March 2015) | Executive Director : Finance | - | *2 940 |
| Mr T Zulu (Resigned November 2015) | Executive Director : Finance | - | *1 490 |
| Mrs J Naicker | Executive Director : Finance | *1 997 | *1 831 |
| Mrs N Gevers (Acting) | Executive Director : Finance | *1 706 | *2 105 |
| Prof J. Baxen (Resigned July 2016) | Deputy Vice Chancellor : Research & Innovation | - | *1 835 |
| Dr GM Vinger (Resigned August 2015) | Registrar | - | *1 928 |
| Mr DE Janse Van Rensburg (Appointed December 2015) | Registrar | 1 953 | *1 499 |
| Prof NW Garrod (Appointed November 2015) | Deputy Vice Chancellor : Institutional Support | *3 216 | *2 841 |
| Mr NO Cele (Appointed 2016) | Executive Director : Institutional Planning | *1 971 | - |
| Mr RT Ngcobo | Executive Director : Human Resources | 1 887 | - |
| Dr ZI Machi | Executive Director : Richards Bay Campus | - | 1 654 |
| Prof MO Ndwandwe | Executive Director : Richards Bay Campus | 1 770 | - |
| Mr O Lombaard | Executive Director : Facilities | - | 1 399 |

**Exceptional payments**
During the year ended 31 December 2016, no exceptional payments in excess of R249 999 were made to the members of the executive and senior management.  Exceptional payments as defined for this purpose in terms of the Higher Education Act, include special bonuses and exceptional amounts arising on the termination of employment with the University.

# Notes to the consolidated financial statements

*for the year ended 31 December 2016*

**22      Annualised gross remuneration to Executive staff (continued)**

**Attendance at meetings of the Council is presented below:**

A total of four Council meetings were held during 2016.

**Table 4: Summary of Councillors' attendance of Council meetings**

| COUNCIL | Meeting dates | | | |
|---|---|---|---|---|
| **2016 Meetings Schedule** | **29-Mar** | **24-Jun** | **22-Oct** | **26-Nov** |
| **COMPOSITION** | | | | |
| Mr C. V. Gamede (Chairperson and Ministerial Appointee) | P | P | P | P |
| Ms P. Maphoshe (Ministerial Appointee) | P | P | AWA | P |
| Ms N. Caluza (Ministerial Appointee) | * | * | P | A |
| Mr S. B. Xulu (Ministerial Appointee) | P | P | P | P |
| Prof S. J. Smith (Ministerial Appointee) | * | * | P | P |
| Mr N. Nkwanyana (Convocation Representative) | * | * | P | P |
| Mr B. Makhathini (Convocation Representative) | AWA | P | # | # |
| Prof B. C. Dumisa (Convocation Representative) | AWA | AWA | AWA | P |
| Mr D. Kunji-Behari (Donor Representative) | P | P | AWA | P |
| Vacant (Donor Representative) | | | | |
| Cllr M. G. Mhlongo (uMhlathuze Municipality Representative) | P | A | P | A |
| Mr E. Dube (Mkhwanazi Traditional Authority Representative) | P | P | P | P |
| Dr T. T. Khanyile (Council Appointee:  Expertise and Experience) | P | P | P | P |
| Mr T. C. Ngcobo (Council Appointee:  Expertise and Experience) | P | AWA | P | P |
| Dr S. Z. Mbokazi (Council Appointee:  Expertise and Experience) | P | P | P | AWA |
| Prof X. Mtose (Vice-Chancellor) | P | P | P | P |
| Prof S. Songca (Deputy Vice-Chancellor:  Teaching and Learning) | * | * | P | P |
| Prof G. de Wet (Deputy Vice-Chancellor:  Research and Innovation) | * | * | P | P |
| Prof D. R. Nzima (Senate Representative) | AWA | P | P | P |
| Prof M.A.N. Duma (Senate Representative) | P | P | P | P |
| Mr S. J. Mvubu (Admin and Support Staff Representative) | P | P | A | AWA |
| Ms N. N. Mbatha (Academic Staff Representative) | P | AWA | # | # |
| Dr N. R. Ngcobo (Institutional Forum Representative) | P | P | # | # |
| Mr W. Mathebula (SRC Representative) | A | P | $ | $ |
| Mr E. Duze (SRC Representative) | P | P | $ | $ |

# Notes to the consolidated financial statements

*for the year ended 31 December 2016*

### 22    Annualised gross remuneration to Executive staff (continued)

KEY WORDS
AWA = Absent with Apology
A = Absent without Apology
P = Present
* = not a Council member during the period
# = no longer Council member
$ = SRC term expired
COUNEX = Executive Committee of Council
ARCC = Audit and Risk Committee of Council
FCC = Finance Committee of Council
HRCC = Human Resources Committee of Council
PICC = Planning and Infrastructure Committee of Council

### Table 5: Summary of payment to Councillors
During the year ended 31 December 2016 the following payments were made to the below mentioned Council members.

| Name | Council No | Total R'000 |
|---|---|---|
| BC Dumisa | 16376 | 8 |
| EJB Dube | 16377 | 18 |
| PN Maphoshe | 16379 | 40 |
| DS Kunji Behari | 16415 | 28 |
| SZ Mbokazi | 16566 | 34 |
| GI Sibiya | 16416 | 2 |
| CV Gamede | 16417 | 3 |
| MDD Gevers | 16453 | 5 |

### 23    Related parties

| Identity of related party | Related party relationship |
|---|---|
| University of Zululand Foundation | Subsidiary |
| | |
| Key management personnel | Executive staff |

Refer to note 23 for related party transactions with key management personnel.

**Material related party transactions**

| | 2016 R'000 | 2015 R'000 |
|---|---|---|
| Grant received from the University of Zululand Foundation | 2 000 | 1 000 |
| **Material related party balances** | | |
| Amount owing from the University of Zululand Foundation | 20 899 | 13 448 |

All transactions between the University and the University of Zululand Foundation have been conducted at arm's length.

# Notes

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