

UNIVERSITY OF ZULULAND

ANNUAL REPORT 2019

RESTRUCTURED FOR RELEVANCE

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REPORT OF THE CHAIRPERSON **OF COUNCIL**

INTRODUCTION

This Report focuses on how the University of Zululand's (UNIZULU) 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 2019. The Report not only focuses on the decisions and actions taken by Council, but the effect these decisions and actions will have on the University in the future. The Report shows that decisions and actions taken by Council were in line with the University's mission and vision as well as strategic objectives as fully outlined in the Performance Assessment Report of this Annual Report. This Report considers the efficiency and effectiveness of UNIZULU's internal financial controls (outside the financial statements) as well as the effectiveness of the University's risk management process and procedures. The Report 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 2019.

As the custodian of good governance, UNZULU Council is guided by the Higher Education Act 101 of 1997 (as amended) (hereinafter the 'HE Act'), the regulations of reporting for Higher Education Institutions (HEIs) (hereinafter referred to as the 'Reporting Regulations'), the revised Institutional Statute of the University as approved by the Minister of Education and published in Government Gazette 41982 of 19 October 2018 (hereinafter referred to as the 'UNIZULU Statute') as well as the Guidelines for Good Governance Practice and Governance Indicators for Councils of South African Public Higher Education Institutions (hereinafter referred to as 'DHET Governance Guidelines'), which lead to ethical culture, good performance, effective control and legitimacy as governance outcomes. Accordingly, Council endorses, and during the period under review has complied with, the reporting regulations. Council also committed to conduct the business of UNIZULU as a public HEI with integrity and in accordance with generally accepted practices and in compliance with the HE Act. This is echoed throughout this integrated Annual Report.

STRATEGIC FOCUS

Council's primary governance role and responsibility lies in setting the strategic direction of the Institution. The University's five-year strategic focus is outlined in the Strategic Plan 2016-2021 (hereinafter the 'Strategic Plan'), which was approved by Council in 2015. The Institution's vision, to be a leading comprehensive university providing quality education, has remained the University's focus during the year under review and great progress has been made toward the achievement of its vision. UNIZULU's mission, to provide globally competitive graduates, relevant for the human capital needs of our country, by providing quality education which upholds high standards of research and academic excellence, drives its academic culture and is enshrined in all strategic goals. The 2019 Performance Assessment Report, as well as the Vice-Chancellor's Report, provide full analyses of the Institution's performance against key performance objectives, which emanates from the Strategic Plan. UNIZULU's performance assessment system has been fully institutionalised and strategic performance is assessed by Council annually. During the year under review, Council had to address



a Ministerial Directive and assess the Institution's performance against the CHE Improvement Plan, which emanated from the Special Audit, initiated by the Minister of Higher Education and Training in 2017 through the Council on Higher Education and Training (CHE). The CHE Special Audit report contains recommendations that would have a major impact on UNIZULU's strategic direction, if left unattended. Assessment of the Institution's performance against the CHE Improvement Plan was as critical as the performance assessment against strategic objectives. Council concluded that UNIZULU has made significant strides in addressing its strategic objectives as well as the CHE Audit recommendations. UNIZULU is not the same institution it was in 2015 and has transformed into a leading comprehensive institution. With the reappointment of the Vice-Chancellor for a second term, Council is confident that UNIZULU will continue to achieve its strategic objectives and meet its performance targets.

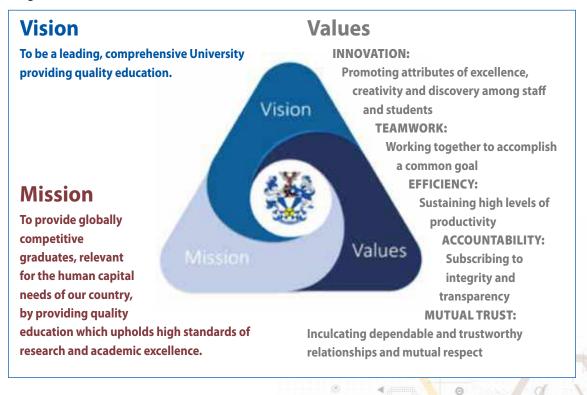


Diagram 1: Vision, Mission and Values



LEADERSHIP, ETHICS AND CORPORATE CITIZENSHIP

Responsible leadership, characterised by the values of accountability, integrity, competence, responsibility, fairness and transparency, has been the 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. Council fully understands the triple context in which the University operates - economy, society and environment. Council's responsibility towards ethical and effective leadership and corporate citizenship is based on ethical foundations, as recognised in the Charter of Council and the different Codes of Conduct. These codes relate to staff, students and Council. Monitoring mechanisms are in place to ensure full compliance with the Codes. Codes are published on the University's website and form the basis for inductions. The Institution subscribes to protected disclosure and whistle-blowing mechanisms that are in place to detect breaches of ethical standards. Disciplinary processes and grievance procedures are well established to deal swiftly with breaches.

The Code of Conduct that includes ethical principles and values of the Institution, had been revised by Council and accountability in respect of the Code is monitored by the Code of Conduct Committee of Council. Council is compliant to the Constitution of South Africa, the law and leading standards, and adheres to its own codes and policies. Council continues to monitor employment equity targets, fair remuneration and skills development of employees and ensure compliance to health and safety standards. Council continues with its zero tolerance toward fraud and corruption.

The Strategic Plan, 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 is carried out within a



framework that promotes transformation, benefits society, protects the environment and ensures sustainability. The sustainability report provides an overview on how UNIZULU has both positively and negatively impacted on the economic life of the community in which it operated during the year under review. Sustainability is interlinked with the University's governance, strategy, risks and opportunities and key performance indicators, and addresses the inclusivity of UNIZULU stakeholders, innovation, fairness, collaboration and social transformation, student numbers and throughput as well as the generation of alternative funding streams. UNIZULU's renewal trajectory aimed at providing programmes in Engineering, Maritime Studies, Tourism and Veterinary Studies contributes to its comprehensive drive. 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 and provide

ample opportunities to its students. 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 that is aligned to its vision. Community engagement is now an integrated part of the academic agenda to the benefit of the society in which it operates.

GOVERNANCE OF RISK

The Council and Management of 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 DHET Governance Guidelines, which are regarded as best practice to which the Council has committed to adhere 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 that 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 responsibility. Sound risk management principles have become part of the normal management strategy for all organisational units within UNIZULU. Risk management is one of the most important factors guiding the implementation of strategic goals and general operations. The University's internal Risk Management Committee is functioning and the Institution consolidated and identified its strategic risks and compiled risk registers for the respected risk owners in line with the strategic risk framework and policy, as outlined in the Risk Report of this Annual Report. A compliance framework has been developed and various aspects of it are being implemented. Compliance to risk is monitored through the Audit and Risk Committee of Council in terms of the approved Risk Management Strategy. 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. Council is not aware of any key risk - current, imminent or forecasted - that may threaten the sustainability of the University.

TECHNOLOGY AND INFORMATION GOVERNANCE

Governance and oversight of information and technology remain the responsibility of the Audit and Risk and Committee of Council. The Committee drives strategic leadership on the alignment of ICT plans with the University's strategic objectives and activities. IT risks form part of the University's risk management activities and considerations. Recognising the need to entrench Governance Risk and Compliance (GRC) best practices, an internal ICT Steering Committee, has been established. 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. Relevant controls and procedures are designed and implemented to minimise the risk of fraud or error in utilising electronic technology to conduct transactions with staff, students and third parties. Initiatives such as the implementation of the i-enabler is part of the Enterprise Resource Planning (ERP) system aimed at paperless transactions that promote more efficient and secure systems and processes.

The ICT strategy, framework and policies are actively implemented and monitored. The Business Continuity Plan (BCP) and Disaster Recovery Plan (DRP) have been implemented since 2017 and form part of the drive of the University towards ICT governance that is in line with internationally adopted standards. Numerous IT 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 are new initiatives aimed at more efficient and secure systems and processes. Caseware Public Entities Software integration uses the University's ERP system ITS Integrator to automate the production of a full set of IFRS financial statements. The financial ERP system ITS Integrator also ensures functionality that simplifies compliance to the Value-Added Tax Act. ICT Service Management software (HEAT) was implemented to manage the IT Service delivery to the University. ICT upgrades for the year under review include the ITS Integrator 4.1 upgrade, a systems renewal upgrade through the HDI Grant and hosting services through the Cloud.

Council exercises ongoing oversight of the management of both information and technology to ensure the leveraging of information to sustain and enhance the University's intellectual capital. An information architecture that supports confidentiality, integrity, the protection of privacy of personal information, the availability of information and a technology architecture that enables the achievement of strategic and operational objectives is in place. Council also ensures the monitoring and appropriate responses to developments in technology, including the capturing of potential opportunities and the management of disruptive effects on the University and its business model.

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. Non-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 consider the concerns and views of students and other stakeholders in its decision-making. There is an interdependent relationship between Council and all its stakeholders. Council advocates a stakeholder-inclusive approach in which it takes cognisance of the needs, interests and expectations of material stakeholders in the execution of its duties. Balancing these remain a dynamic and ongoing process. 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, which 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, a student grievance procedure and student charters 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 HEIs include fee-free education; equal access; promotion of previously disadvantaged individuals; quality and demands from industry; to mention but a few. Section 35 of the HE Act 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. UNIZULU's Statute provides for the matters on which the students may be represented by the SRC. The SRC forms part of and is recognised in all discussions related to student matters and the SRC forms part off all statutory committees of the University.

The Institution's enrolments and throughput figures highlight the Institution's active participation in the promotion of previously disadvantaged individuals. With a newly approved Enrolment Plan, UNIZULU intends to grow in line with society's needs. Newly developed 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 ensures that disputes are resolved as effectively,

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efficiently and expeditiously as possible. 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 has been identified. The Access to Information Manual, established in terms of the Promotion of Access to Information Act, 2000 are being monitored and no requests for information were denied in 2019. UNIZULU is actively working on the development of a Protection of Personal Information (POPI) Policy in line with legislative requirements and the framework for HEIs.

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 was revised and approved by Council on 7 December 2017. 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, namely:

Table 1: Honorarium Categories

HONORARIUM TYPES	AMOUNT
Standard Honorarium	R2 500
Council Chair Honorarium	R3 500
Chair of Sub-committee	R3 000
Attendance of Sub-committee	R2 500

SUSTAINABILITY AND VIABILITY

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

- 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
- Operating Sustainability UNIZULU's ability to continue operating at current levels.

Table 2 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 2019, UNIZULU had accumulated funds of R1.97 billion and a net current asset position of R1.69 billion. Compared to the prior year, the net current asset position improved while the accumulated Council- controlled funds were R658 million					
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 the Development Bank of South Africa with a carrying value of R21.98 million and has sufficient funds to meet the repayments					
Negative operating cash flows indicated by historical or prospective financial statements (Solvency)	Positive cash flows after operating and investing activities were generated. The positive net operating cash flows before investing activities totalled R351 million (2018: R456 million). After investing and financing activities, the net cash flow generated was R272 million (2018: R431 million)					
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 R1.97 billion. A surplus of R172 million was generated for the year ended 31 December 2019. The asset base has been reviewed for impairments and adjusted for impairments where necessary. Student debt that was provided for impairment in previous years to the value of R15.9 million has been written off during the financial year					
Adverse key financial ratios	Most key ratios reflect positively with personnel costs as a percentage of income (excluding investment income) below the 62% benchmark					
Inability to pay creditors on due dates	UNIZULU had adequate funds to pay creditors timeously and cash and short- term financial assets exceeded current liabilities comfortably					
	Operating Sustainability					
Loss of key management without replacement	The Executive team had only one vacancy during 2019, which is a significant improvement compared to the recent past					
	Other					
Non-compliance statutory requirements	No significant issues of non-compliance exists					
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 and disclosed in the annual financial statements					
Changes in legislation or government policy expected to adversely affect the Entity	UNIZULU should benefit from increased funding due to its historical disadvantaged status					
Covid-19 pandemic	The Covid-19 (Coronavirus) pandemic emerged after the financial year end of the University. It has a global impact and significantly affects many entities, including Universities. Although the effect of the risks and uncertainties surrounding the Covid-19 and its impact on the University's financial position is not known at this stage, a variety of mitigating measures have been, and continue to be, taken by the South African government to prevent the transmission of the virus along with economic support and relief measures aimed at addressing the economic consequences of the outbreak on individuals, households and businesses					

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.

FINANCE and CONTROLS

Systems of internal financial controls

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 2019. It can be confirmed that the University's financial controls are adequate and effective.

Report on additional investments in infrastructure

All infrastructure projects were properly approved in accordance with the HE Act. A comprehensive spatial needs assessment was conducted with the assistance of the Department of Higher Education and Training (DHET) and a Spatial Development Framework for the University was approved by Council. The Spatial Development Framework comprises various precincts, including the Main Entrance Precinct; Student Accommodation Precinct; the KwaDlangezwa Academic Precinct; the Facilities Precinct; KwaDlangezwa Academic Administration Precinct; Richards Bay Academic Precinct; and the Richards Bay Student Accommodation Precinct. The University participated in the DHET/Development Bank of Southern Africa (DBSA) Student Accommodation Development Project that seeks to develop new 3 500 beds at KwaDlangezwa campus in the next four years. The unutlised student accommodation funding received by UNIZULU in the past, which was not utilized, will

serve as a one-third seed funding for the project with the other third expected from the Presidential Fund and the balance acquired through a DBSA loan. Approval from the Minister of Higher Education and Training was sought.

Report on borrowings or additional borrowings

No additional borrowings were incurred in the current year. Total borrowings as at December 2019 equalled R22.0 million compared to R24.5 million in 2018. All loan funding is properly approved in accordance with the provisions of the HE Act.

Contracts management and tenders

During the 2019 financial year, the University awarded several tenders that were due for renewal. All procurement contracts are managed through a contracts register that ensures the monitoring of suppliers' performance. Tender adjudication is done through a tender process that is handled by three tender committees. A Tender Documentation Committee that signs off on the specifications before it is advertised; a Tender Evaluation Committee that evaluates the tender responses received and makes a recommendation; and finally the Tender Committee that finalises the decision on the awarding of tenders. The following were the members during the 2019 financial year:

TENDER SPECIFICATION COMMITTEE	TENDER EVALUATION COMMITTEE	TENDER ADJUDICATION COMMITTEE
Mr N. Cele (Chair)	Mr R.T. Ngcobo (Chair)	Mr P.J. du Plessis (Chair)
Ms T. Ramanyimi	Prof. G. de Wet	Prof. S. Seepe
Ms A.P. Nongogo	Ms P. Mjamba	Prof. M.O. Ndwandwe
Mr D. Mothilall	Prof. M.C. Maphalala	Mr D. Janse van Rensburg
Ms G. Nhleko	Dr Y. Rugbeer	Prof. N.W. Kunene
Mr L. Manci	Mr A. Mukheli	Prof. M.G. Mahlomaholo
Prof. M. Kgaphola		Prof. D. Iyer
Ms C. Ngxito		

Table 3: Tender Committee Composition

The following major tenders were adjudicated during the year under review:

- Supply of printing services and requirements to the University
- Appointment of a travelling and accommodation service provider
- Supply and installation of air-conditioning units
- Security services on both campuses of the University
- Supply of laptops and desktops to the University
- Bus services transporting students to various external residences
- Supply of vehicles by leasing, inclusive of a Fleet Management System

Financial health/viability

The University was able to maintain its Accumulated Council controlled funds at a reasonable level and implemented a balanced budget despite the challenges with #FeesMustFall and the low fee base as well as the rural location of the KwaDlangzwa Campus. The challenge into the future would be to grow the third-stream income through industry involvement and active community engagement. The University also needs to address the low fee base when compared to other universities as well as the provision of adequate student accommodation.

Report on financial control inadequacies

A good system of internal controls over financial transactions provides a reasonable assurance on the reliability of information over the period being reported on, unless otherwise reported by external assurance providers, in which case any inadequacies are addressed timeously. Previous control deficiencies in the supply chain management (SCM) control environment have been fully addressed with the implementation of an SCM Turnaround Plan and revised SCM Policy. The Audit and Risk Committee of Council keeps following up on all audit findings related to ICT inadequacies dating back to 2017. The Finance Department ensured that there were suitably gualified personnel dealing with the recording and approval of financial transactions throughout the year. The scope of reconciliations of accounts in finance have expanded and reconciliations of all significant accounts are done regularly. A monthly meeting of financial managers also added value in terms of addressing any issues arising and guarterly financial management reports were submitted to the Finance Committee of Council. A financial risk register, specifically addressing financial risks within the University's risk register, was developed. Existing access to the ITS system for finance personnel is reviewed periodically and strict controls exist over new access granted. A VAT compliance review was conducted during 2019 to ensure that the University is fully VAT compliant.

Report on any material or immaterial but often repeated regulatory penalties, sanctions and fines for contraventions or non-compliance with statutory obligations

No repeated regulatory penalties, sanctions and fines for contraventions or non-compliance to statutory laws were reported.

RISK MANAGEMENT

The Audit and Risk Committee of Council (ARCC) is responsible to assess all areas of risk (financial and non-financial), monitors changes in the University's risk profile and provides assurance that risk management is effective. The Committee establishes materiality levels and determines the University's risk appetite. All risks are considered. This includes consideration of their likelihood and the establishment of risk mitigation procedures. The Committee also ensures that the risk register is maintained. The Integrated Risk Management Framework forms the basis for risk management at UNIZULU. Council approved the implementation of an integrated risk management strategy as a key component of its Corporate Governance Framework needed to become more anticipatory and effective at evaluating, embracing and managing the uncertainties in the process of creating sustainable value for stakeholders. Council and Management are committed to the implementation and maintenance of the risk management strategy, including the integration of risk management throughout all levels of the University. This is fundamental to achieving the its strategic and operational objectives. The commitment for sound risk management practices is aligned to the requirements of the reporting regulations and DHET Governance Guidelines, to which the Council has committed to adhere to as a responsible corporate institution.

The ARCC 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. The Audit and Risk Committee also monitored all risks referred to it by the Risk Management Committee and the Chairperson of the committee, the Vice-Chancellor and other members of executive management report regularly to Council on risk management activities and results.

Several new policies were developed during the year under review. A Whistle Blowers system is in place and is continuously being promoted through awareness campaigns. Occupational Health and Safety has also been incorporated into UNZULU's risk management strategy. Several initiatives have been undertaken to ensure that UNIZULU is compliant in terms of the Occupational Health and Safety Amendment Act, No. 181 of 1993.

Council is of the opinion that effective risk management systems are in place and that independent and objective reviews of the risk management processes within the Institution are being conducted. Council maintained a reporting system that enabled it to monitor changes in UNIZULU's risk profile and gain an assurance that risk management was effective. UNIZULU has maintained an updated Strategic Risk Register and an Institutional Risk register within all faculties and departments.

INFRASTRUCTURE AND DEVELOPMENT

The University owns and maintains 330 buildings, totalling approximately 180 000 square metres of floor space, which is located on 156 hectares of land. The University 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 000m2 of land within walking distance of the Richard's Bay campus, which will be used to build student residences.

UNIZULU has made strides in addressing the infrastructure development challenges with the assistance of high-level support from the DHET Infrastructure Support Team. An Infrastructure Steering Committee, which oversees high level planning and makes decisions on infrastructure plans, costing, budgets and contractual agreements, was established. Mosebo Consulting, an external experienced Infrastructure Project Management Team, was appointed to oversee project management on all infrastructure projects in the Infrastructure rollout plan approved by Council. The University Spatial Development Framework was approved by Council and the SCM Policy was revised to include a dedicated chapter on Infrastructure procurement.

The University decided to use the SCM Policy



guidelines and appoint three companies that will deal with maintenance projects across the University over a period of three years, and five companies to construct new buildings over a period of three years. This was done through a framework agreement tender process, which commenced at the end of 2019.

The DHET Team assigned an expert to spend three days every second week at UNIZULU to ensure that all contracts and specifications produced are in line with norms and standards in the construction industry and that limited chances exist to stall the implementation of the newly approved Infrastructure Programme. Numerous specifications have been developed, including specifications for professional services. This includes the services of built environment specialists using the NEC3, Professional Service Contract (PSC) – Option G: Term Contract for services relating to Architectural, Landscape



Architecture, Civil Engineering, Electrical Engineering, Geotechnical Engineering, Mechanical Engineering, Structural Engineering, Project Management Services, Health and Safety, Environmental Compliance Monitoring and Bulk Services Master Planning.

The University finalised the understanding of its boundaries and made land sales resolutions supported by the Mkhwanazi Traditional Authority. The matter was presented to the Minister of Higher Education, Science and Technology. The University engaged the Department of Public Works and Infrastructure on donated houses and is waiting for the finalisation of the transfer of the Department of Public Works and Infrastructure's houses to the ownership of the University. In addition, the University finalised the transfer of the Transnet building to the ownership of the University.

The University, in conjunction with the DHET Infrastructure Support Team, developed a consultation strategy to engage internal and external stakeholders on the infrastructure development programme. Bokang Consulting Services Pty (Ltd) was appointed to develop a community and stakeholder engagement programme that will underpin and support the pending largescale physical infrastructure development programme. The roll-out of this project is firmly underway and proceeding successfully. The Stakeholder Relations and Social Facilitation process is supported by the long-term view of building capacity within the University and the extended community. As a risk mitigation strategy, the University intends to reverse the traditionally low priority given to public and/or community engagement within its immediate communities. The broad scope of the project is underpinned by strategic planning and framework development, understanding of communitybased assets through conducting the ABCD assessment, key stakeholder and community consultations, strategic handholding and training of identified SMMEs, as well as consistent tracking and reporting of construction development targets. It is also important that this process focuses on cultivating new and existing relationships for the University. Therefore, it will form part of the objectives of the community engagement/social facilitation/ stakeholder relations process.

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

The year 2019 was the sixth 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 4-9 below. Members by invitation and internal and external auditors were not included in the tables.

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COMPOSITION		2019 MEETINGS AND ATTENDANCE SCHEDULE				
Name and Capacity	APRIL	JUN	AUG (sm)	SEPT	DEC	%
Mr C. Caluza (Chairperson and Ministerial Appointee)	\checkmark	\checkmark	\checkmark	\checkmark	\checkmark	100%
Prof. N. Makunga (Ministerial Appointee)	\checkmark	\checkmark	\checkmark	\checkmark	\checkmark	100%
Dr A. Kaniki (Ministerial Appointee)	\checkmark	\checkmark	0	0	0	40%
Mr V. Mokwena (Ministerial Appointee)	0	*	*	*	*	0%
Mr T. Kulati (Ministerial Appointee)	\checkmark	\checkmark	\checkmark	\checkmark	\checkmark	100%
Mr N. Nkwanyana (Convocation Representative)	0	0	\checkmark	\checkmark	\checkmark	60%
Mt S. Zwane (Convocation Representative)	\checkmark	0	\checkmark	0	\checkmark	60%
Mr D. Kunji-Behari (Donor Representative)	0	\checkmark	\checkmark	\checkmark	\checkmark	80%
Ms H. Mvubu (Donor Representative)	\checkmark	\checkmark	\checkmark	0	0	60%
Vacant (uMhlathuze Municipality Representative)	!	!	!	!	!	!
Mr E. Dube (Mkhwanazi Traditional Authority Representative)	\checkmark	\checkmark	\checkmark	\checkmark	\checkmark	100%
Ms J. Masite (Council Appointee: Expertise and Experience)	0	0	0	\checkmark	0	20%
Dr M. Vinger (Council Appointee: Expertise and Experience)	\checkmark	\checkmark	\checkmark	\checkmark	*	100%
Mr T. Madikane (Council Appointee: Expertise and Experience)	0	V	0	0	\checkmark	40%
Mr M. Booi (Council Appointee: Expertise and Experience)	\checkmark	\checkmark	0	\checkmark	\checkmark	80%
Ms C. Mtebele (Council Appointee: Expertise and Experience)	-	-	-	-	\checkmark	100%
Prof. X. Mtose (Vice-Chancellor)	\checkmark	\checkmark	0	\checkmark	\checkmark	80%
Prof. M. Mahlomaholo (Deputy Vice-Chancellor: Teaching and Learning)	\checkmark	\checkmark	\checkmark	\checkmark	\checkmark	100%
Prof. G. de Wet (Deputy Vice-Chancellor: Research and Innovation)	\checkmark	0	\checkmark	\checkmark	0	60%
Dr Y. Rugbeer (Senate Representative)	\checkmark	0	0	*	*	25%
Prof. N. Kunene (Senate Representative)	0	\checkmark	\checkmark	\checkmark	\checkmark	80%
Prof. M. Masoga (Senate Representative)	-	-	-	-	\checkmark	100%
Ms N. Nongogo (Admin and Support Staff Representative)	-	-	-	\checkmark	\checkmark	100%
Dr L. Ramaccio Calvino (Academic Staff Representative)	\checkmark	0	\checkmark	0	\checkmark	60%
Prof. L. Greyling (Institutional Forum Representative)	\checkmark		\checkmark	\checkmark	\checkmark	100%
Ms N. Zulu (SRC Administrator)	\checkmark	\checkmark	\checkmark	\checkmark	*	100%

Table 4: 2019 Composition of Council and Meeting Attendance

COMPOSITION 2019 MEETINGS AND ATTENDANCE SCHEDULE ATTENDAN						
COMPOSITION	2019 M	EETINGS A	ND ATTEN	IDANCE SC	HEDULE	ATTENDANCE PERCENTAGE
Name and Capacity	APRIL	JUN	SEPT	OCT (sm)	DEC	%
Ms N. Caluza (Chairperson)	\checkmark	\checkmark	\checkmark	\checkmark	\checkmark	100%
Mr D. Kunji-Behari (Deputy Chairperson)	0	\checkmark	\checkmark	\checkmark	\checkmark	80%
Prof. X. Mtose	\checkmark	\checkmark	\checkmark	\checkmark	\checkmark	100%
Prof. N. Kunene	0	\checkmark	\checkmark	0	\checkmark	60%
Dr Y. Rugbeer	\checkmark	0	*	*	*	*
Prof. M. Masoga	-	-	-	-	\checkmark	100%
Mr N. Nkwanyana	0	0	\checkmark	\checkmark	\checkmark	60%
Mr E. Dube	\checkmark	\checkmark	\checkmark	\checkmark	\checkmark	100%

Table 5: 2019 Composition of the Executive Committee of Council (COUNEX) and Meeting Attendance

Table 6: 2019 Composition of the Audit and Risk Committee of Council (ARCC) and Meeting Attendance

COMPOSITION	2019 N	2019 MEETINGS AND ATTENDANCE SCHEDULE				
Name and Capacity	FEB	MAR (sm)	JUN (sm)	SEPT	NOV	%
Mr V. Mokwena (Former Chairperson)	\checkmark	\checkmark	*	*	*	*
Ms S. Masite (Chairperson)	0	\checkmark	\checkmark	\checkmark	\checkmark	80%
Mr C. Saunders (Council Appointee: Experience and Expertise)	\checkmark	\checkmark	\checkmark	\checkmark	\checkmark	100%
Mr S. Faku (Council Appointee: Experience and Expertise)	0	0	*	*	*	*
Ms N. Caluza	\checkmark	\checkmark	0	0	0	40%
Ms N. Bobani (Council Appointee: Experience and Expertise)	-	-	-	-	0	0%

Table 7: 2019 Composition of the Finance Committee of Council (FCC) and Meeting Attendance

COMPOSITION	2019 MEETINGS AND ATTENDANCE SCHEDULE				ATTENDANCE PERCENTAGE
Name and Capacity	MAR	JUN (sm)	JULY	NOV	%
Mr D. Kunji-Behari (Chairperson)	\checkmark	\checkmark	\checkmark	0	75%
Prof. X. Mtose	\checkmark	\checkmark	\checkmark	\checkmark	100%
Prof. G. de Wet	\checkmark	\checkmark	0	0	50%
Mr N. L. Nkwanyana	0	\checkmark	0	0	25%
Mr S. Mkhize (Council Appointee: Experience and Expertise)	0	\checkmark	0	\checkmark	50%
Mr K. Vilakazi (Council Appointee: Experience and Expertise)	\checkmark	\checkmark	\checkmark	\checkmark	100%
Ms C. Mtebele (Council Appointee: Experience and Expertise)	-	-	-	\checkmark	100%
			-		

Table 8: 2019 Composition of the Human Resources Committee of Council (HRCC) and Meeting
Attendance

COMPOSITION	2019 MI	2019 MEETINGS AND ATTENDANCE SCHEDULE					
Name and Capacity	FEB (sm)	JUN	AUG	NOV	%		
Mr N. Nkwanyana (Chairperson)	\checkmark	\checkmark	\checkmark	\checkmark	100%		
Prof. X. Mtose	\checkmark	\checkmark	\checkmark	\checkmark	100%		
Mr E. Dube	\checkmark	\checkmark	\checkmark	\checkmark	100%		
Mr D. Kunji-Behari	0	\checkmark	\checkmark	\checkmark	75%		
Mr M. Jarvis (Council Appointee: Experience and Expertise)	0	\checkmark	\checkmark	\checkmark	75%		
Prof. L. Greyling	-	\checkmark	\checkmark	\checkmark	100%		
Prof. M. Mahlomaholo	-	\checkmark	\checkmark	\checkmark	100%		
Mr M. Booi	-	\checkmark	\checkmark	\checkmark	100%		

Table 9: 2019 Composition of the Planning and Infrastructure Committee of Council (PICC) and Meeting Attendance

COMPOSITION	2019 MI	ATTENDANCE PERCENTAGE			
Name and Capacity	APRIL	JUN	SEPT	NOV	%
Mr T. Madikane (Chairperson)	\checkmark	\checkmark	\checkmark	0	75%
Prof. X. Mtose	\checkmark	\checkmark	\checkmark	\checkmark	100%
Dr A. Kaniki	0	\checkmark	\checkmark	\checkmark	75%
Mr E. Dube	\checkmark	\checkmark	\checkmark	\checkmark	100%
Mr G. Sibiya (Council Appointee: Experience and Expertise)	0	0	0	*	0%
Prof. N. Makunga	\checkmark	\checkmark	\checkmark	\checkmark	100%

KEY WORDS

 $\sqrt{}$ = Present at a meeting

0 = Absent with or without apology

- = Not a Council/Council Committee member at a time

* = resignation/termination of membership as Council/Council Committee member during the year under review

sm = special meeting

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

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

- The representative for uMhlathuze Municipality is still awaited despite several requests sent to the Municipality.
- On 5 December 2019, Council appointed Mr B.P. Makhoba as SRC Administrator due to 2019/2020 SRC Elections process being procedurally flawed.
- On 15 October 2019, Council appointed the following members:
 - Ms C. Mtebele (External Council Member and Council Appointee based on expertise and experience). She was further appointed to serve on the Finance Committee of Council.
 - Prof. M.A. Masoga (Internal Council Member and Senate Representative).
 - Ms N. Bobani (Independent External Expert and Council Appointee based on expertise and experience) to serve on the ARCC.
- On 16 April 2019, Mr S. Zwane was appointed additional Convocation Representative on Council.
- On 26 July 2019, Ms A. Nongogo was appointed Admin and Support Staff Representative on Council.
- The following membership was terminated due to no longer being in the staff establishment of the University, failure to attend meetings of Council/ Council Committees and death respectively.
 - Dr Y. Rugbeer (Senate Representative)
 - Mr C.T. Maphosa (Admin and Support Staff Representative)
 - Mr G. Sibiya (Independent External Expert coopted by Council to serve on PICC)
 - Dr M.J. G. Vinger passed away on 3 November 2019
- The following members resigned on Council and Council Committee respectively:
 - Mr V. Mokwena (Ministerial Appointee and Chairperson of ARCC)
 - Mr S. Faku (Independent External Expert coopted by Council to serve on ARCC)

Matters of significance considered by Council

During the year under review, Council attended to and addressed several 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:

Policy and Procedures on Anti-Discrimination

- Policy and Procedures on Supply Chain Management
- Policy and Procedures on Code of Conduct: Staff
- Policy and Procedures on Disciplinary Code
- Policy and Procedures on Grievances
- Policy and Procedures on Harassment
- Policy and Procedures on HIV and Aids
- Policy and Procedures on Incapacity (III-health/Injury and General Poor Work Performance)
- Policy and Procedures on Smoking
- Policy and Procedures on Appointment of Deputy Deans
- Policy and Procedures on Employment of Foreign Nationals
- Policy and Procedures on Recruitment and Selection of Staff: General Review
- Policy and Procedures on Temporary Employment of Staff
- Policy and Procedures on Employment Equity
- Policy and Procedures on Job Evaluation
- Policy and Procedures on Learning and Development
- Policy and Procedures on Probation
- Policy and Procedures on Staff Induction
- Policy and Procedures on Talent Management
- Policy and Procedures on Internships
- Policy and Procedures on Conditions of Service
- Policy and Procedures on Leave
- Policy and Procedures on Long Service Awards
- Policy and Procedures on Relocation
- Policy and Procedures on Working Hours
- Policy and Procedures on the Appointment of the Vice-Chancellor
- Policy and Procedures on Research Funding
- Policy and Procedures on LIS Collection Development and Management
- Policy and Procedures on Management and Prevention of Plagiarism
- Policy and Procedures on Sexual and Gender-based Violence
- Policy and Procedures on Honorary Degrees
- Policy and Procedures on Timetable
- Policy and Procedures on Student Governance
- Policy and Procedures on Disciplinary Code for Students
- Policy on Policies
- Policy and Procedures on Professional Academic Development
- Policy and Procedures on Student Awards for Academic Excellence
- Policy and Procedures Teaching Large Classes
- Policy and Procedures on Language
- Policy and Procedures for Academic Staff Development: Ensuring Quality

- Policy and Procedures on Assessment of Student Learning
- Policy and Procedures on External Moderation
- Policy and Procedures on Internal Moderation
- Policy and Procedures for Feedback on Teaching and Learning by Student Evaluations
- Policy and Procedures for Recognition of Prior Learning (RPL)
- Policy and Procedures for Teaching and Learning
- Policy and Procedures for the Approval of Short Courses
- Policy and Procedures for Programme Management
- Policy and Procedures Vice Chancellor's Awards for Excellence in Teaching
- Policy and Procedures on Academic Exclusion
- Policy and Procedures on Additional, Inter-campus and After-hours Teaching Work
- Policy and procedures on Academic Excellence
- Policy and Procedures on eLearning
- Policy and Procedures on Development of Graduate Attributes
- Policy and Procedures on Shelf Life of Modules
- Policy and Procedures on Work Integrated Learning (WIL) and Service Learning
- > Policy and Procedures on Entrepreneurship
- Framework for the alignment of UNIZULU core business
- e-Learning Strategy
- Academic reviews: Quinquennial
- Academic reviews: Triennial
- Teaching and Learning Strategy
- Teaching and Learning Charter
- Student Charter
- Code of Conduct: Council
- > 2020 2025 UNIZULU Enrolment Plan
- CHE Improvement Plan (2nd, 3rd and 4th Term Progress Reports)
- > 2016-2021 UNIZULU Revised Strategic Plan
- 2019 Revised Annual Performance Plan (APP)
- UNIZULU Five-year Strategic Financial Plan
- Three-year New Build and Renovations Plan
- > 2018 Annual Report and Audited Financial Statements
- 2019 Revised Budget
- > 2018 DHET Performance Scorecard of Council
- Appointment of external auditors
- The Gender and Transformation Report
- > 2020 Budget, including tuition and residence fees
- increase
- 2020 Annual Performance Plan

2019 Mid-year Report

Students

Council approved the following within this category:

- A 2020 fee increase of 5.4% and 7.4% tuition and residence fees respectively. Council further approved the long-term (three-year) leases of external residence. Council further approved the long-term (three-year) leases of external residence
- The appointment of SRC Administrator, Mr B.P. Makhoba

Convocation

The Annual General Meeting (AGM) of the Convocation was held on 27 March 2019. In line with the UNIZULU Statute Convocation, the AGM was expected to facilitate the election of members of the Executive Committee from which an additional member was to be elected to serve on Council, as contemplated in section 18(1)(h) of the Statute. At the inception of this meeting, there were contestations regarding the eligibility of members present in the meeting and the interpretation of the UNIZULU Statute. Due to a number of disruptions and security concerns, the meeting was called off. This decision implied that the current Executive of the Convocation would remain in office until the next AGM. Following receipt of the legal opinion, Council concurred with the decision to have the elected Executive Convocation to remain in office until the AGM.

Academic

Council approved the following new programmes for submission to DHET for approval and CHE for accreditation:

- Postgraduate Diploma in Accounting and BComHons (Accounting)
- BEd Hons in Social Science Education,
- BEdHons in Economic and Management Sciences Education
- Bachelor of Engineering in Electrical Engineering and Computer Engineering
- Bachelor of Engineering in Mechatronic Engineering
- Bachelor of Engineering Chemical Engineering
- Bachelor of Engineering in Civil Engineering
- Bachelor of Engineering in Mechanical Engineering
- Bachelor of Engineering in Electrical Engineering
- PhD in Business Management
- BComHons in Business Management
- MCom in Business Management
- Bachelor of Nursing
- BEdHons Educational Psychology



Special Education Programmes

- Foundation Phase Teaching
 - Curriculum Studies
 - Education Management and Foundations
 - Mathematics, Science, Technology Education
 Education Psychology
 - Research Methodology
 - Inclusive Education

Council further approved

- The academic structures and Faculty Handbooks for the faculties of Arts, Commerce and Law, Education and Science and Agriculture
- The request to withdraw PhD degree certificates and to replace them with DCom degree certificates for the affected students. Council further requested that the University investigate whether there were other affected candidates in the past and take corrective steps
- The teach out plans for: BA Dual Major (ABDEG 1), Business Management, MSc Statistics, PhD Statistics, BCur Nursing Science and PhD Agriculture. The professional body is to be consulted on the Council decision on BCur
- UNIZULU 101 Module (the module was developed as a transdisciplinary first-year core module that provides teaching and learning experience based on humanising and collaborative pedagogy that builds on students' social capital. Apart from facilitating the

transition from school to university, the module aims at developing compassionate, critical and socially engaged citizens. It is intended to be a compulsory 16-credit-bearing offering pegged at NQF Level 5)

- The module templates for Bachelor of Nursing and Midwifery Degree South African Nursing Council (SANC) Regulation 174
- The request to introduce Computer Literacy as a compulsory module in all BSc Programmes: Faculty of Science and Agriculture

Human Resources

Staffing

Council approved the following executive appointments:

- Re-appointed the Vice-Chancellor for another term
- Deputy Vice-Chancellor Institutional Support: Prof. S.P. Seepe
- Executive Director: Infrastructure: Mr S.T. Mncwango
- Interim Executive Director Richards Bay Campus: Prof. M.R. Kgaphola
- Interim Registrar: Prof. D. Iyer

Performance Management

Council approved the Organisational Level Performance Agreement for the year under review and the performance assessment outcome of the Vice-Chancellor and executives in November 2019.



Finance

Council approved the following:

- Annual Financial Statements for the year ended 31 December 2018
- The 2019 revised budget

Strategic

Council approved the revised APP for the year 2019. Council further approved the 2020 APP, 2019 Mid-year Report and 2018 Annual Report. These reports were duly submitted to DHET in accordance to the Reporting Regulations. On 16 November 2019, the performance assessment of the Vice-Chancellor and her executive team was conducted by the Chairpersons of Council and Human Resources Committee of Council (HRCC). After having evaluated and moderated performance ratings, the matter was recommended to HRCC for consideration and approval. HRCC approved the performance ratings for the Vice-Chancellor and executive team. On 2 December 2019, the matter was also presented to Council for noting. The CHE Special Audit on UNIZULU was completed in November 2017. An improvement plan was duly submitted to CHE and approved. The second, third and final progress reports were submitted to CHE during this period under review.

Council still awaits feedback from the Minister of Higher Education and Training on the important Section

42 directive, which was issued in May 2018. Several discussions have taken place with the office of the Minister after the University complied with the directive by submitting all requested information in December 2018.

Honorary Awards

Council approved the awarding of honorary degrees for award:

- Mr S. Phillips (PhD in Communication Science)
- Mr L. Mkhize (Honorary Doctorate in Development Studies)
- Ms M.T. Ntswatswa (Honorary Doctorate in Community Psychology)
- Ms C. Kananda (Honorary Doctorate in Social Work)
- Dr P.J. Lehohla (Honorary Doctorate in Economics)
- Prof. B. Bhengu (Honorary Doctorate in Nursing)

Matters of significance considered by Council sub-committees

The Audit and Risk Committee of Council (ARCC): This committee assists the Council in fulfilling its oversight 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 V. Mokwena up to 28 March 2019 and later by Cllr S. Masite (who was appointed by Council as Chairperson due to resignation of Mr Mokwena), held five meetings (three ordinary and two special) during the year. Among others, the Committee during the period under review:

- Approved the external audit plan for the year ending 31 December 2018
- Approved to extend the service level agreement of the internal auditors until the appointment of the new internal auditors
- Approved the 2019 Internal Audit Plan subject to the inclusion of the responsibilities on whistleblower's reports
- Approved the Strategic Risk Register and that the risk factors be aligned with the Policy and Procedures on Risk Management
- Recommended to Council the approval of the 2018 Annual Report and Audited Annual Financial Statements
- Recommended the Policy and Procedure on Supply Chain Management (SCM) to Council for approval. The new Policy required (a) the procurement plan to be integrated into the budget (b) procurement methods be revised to require three quotation
- Approved the 2017 Audit Action Plan with updated progress
- Recommended to Council the appointment of external auditors for the year ending 31 December 2019 and the 2018 audit fee overruns
- Approved the 2017 and 2018 Audit Action Plan
- Approved the External Audit Plan for the year ended 31 December 2019
- Approved the appointment of internal auditors for the period 2020-2022

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 Cllr Mr D. Kunji-Behari in 2019, held four ordinary meetings and one special meeting during the year under review. The Committee, among others, dealt with the following matters:

• Recommended the five-year strategic financial plan

to Council for approval

- Recommended to Council the approval of the financial model of the new residences project
- Recommended to Council the approval of a loan facility from the Development Bank of Southern Africa (DBSA) for the construction of residences
- Approved the SCM Turnaround Strategy and Plan
- Approved the recommendation to merge investment portfolios. The Committee further resolved that fund managers should update the Executive Director: Finance monthly and present a report to FCC biannually on changes in the investment portfolio
- Approved in principle that the University should proceed to invite tenders for the disposal of vehicles in bad condition and enter into a full maintenance lease agreement to replace vehicles disposed subject to the Policy and Procedures on SCM. It further resolved that a detailed financial analysis was required to determine if it was feasible or not to buy or lease vehicles
- Approved to write off stock and stock accounts
- Approved the UNIZULU Foundation audit costs for the 2017 financial year
- Approved to write off student debts and provision for 2018
- Recommended to Council for approval the 2018 Annual Report and Audited Financial Statements
- Resolved that the University management should develop a proper action plan to address issues of concern in the audit report
- Recommended to Council for approval the revised 2019 Budget
- Approved to write off long-outstanding student debts as they have prescribed and recommended that Council be apprised on this matter
- Recommended to Council for approval the Policy and Procedures on SCM
- Resolved that cession on investment to DBSA be reduced to R25 million
- Approved the SCM Quarter II Report
- Advised that the University should consider the risk profile and investment policies prior deciding to invest or not. Also advised that the appointment of the service provider assisting the University on investment matters be reviewed and aligned with the Policy and Procedures on SCM
- Recommended to Council for approval the 2020 Budget
- Recommended to Council for approval the 2020 fee (tuition and residence) proposal

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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 was chaired by Mr T.C. Madikane during the period under review. The Committee held four ordinary meetings and dealt with the following matters, among others:

- Supported the proposal on the new student residence project due to the increase in student enrolment
- Recommended to Council the financial models of the new residences project and further resolved that the Minister of Higher Education and Training be engaged with a view to request for the approval to use the funds available at DHET including the IEG Grant and Presidential Funds before utilising the DBSA loan facility
- Resolved that a letter of appreciation be sent to DHET on support relating to the infrastructure development project
- Recommended to Council for approval of the threeyear new built and renovations plan
- Recommended to Council for consideration the comprehensive conditions assessment
- Supported the partnership on the provision of short learning programmes and other institutional development services between the University and Dr John Langalibalele Dube Institute
- Resolved that the University should assess the extent of the work that needs to be done on the Transnet building and obtain quotations from an independent contractor to fix the electrical compliance issues. The institutional legal office be consulted on the matter for advice on a way forward to expedite the transfer of the building. However, Transnet indicated that they would appoint their independent contractor. The Committee resolved that this undertaking be in writing
- Recommended to Council for the approval of the Policy and Procedures on SCM
- Resolved to request that the Mkhwanazi Traditional Authority Representative on Council engage with the Tribal Authority regarding the signing of a document
- on the transfer of land ownership to the University
 Approved the Community Consultation Strategy

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 N.L. Nkwanyana. The Committee held four meetings (one and three special and ordinary meetings respectively) during the period under review. The Committee, among others, dealt with the following matters:

- Approved secondary and part-time appointments for all four faculties. The Committee further requested a detailed model of full-time staff component for the Richards Bay Campus
- Approved that an ITS systems specialist be converted to a permanent post to deal with the Academic Structure and Student Records subject to changing the peromnes grade, job title and revising the job description
- Approved the positions of three student accounts officers in the Finance Division
- Approved the residual gap on the 2018 salaries increase for the University management and for it to be backdated to July 2018
- Approved the ICT Proposed Structure and that the two proposed positions of student computing technicians reporting to Student Lab Coordinator/ Supervisor be filled with student interns from the Computer Science Department
- Approved the appointment of Prof. G. de Wet as Administrator for DramAide
- Approved salaries increase (2019 July 2020 June)
- Recommended to Council for the approval of the following Policies and Procedures: Code of Conduct: Staff, Disciplinary Code, Grievances, Harassment, HIV and Aids, Incapacity (III-health/Injury and General Poor Work Performance), Smoking, Appointment of Deputy Deans, Employment of Foreign Nationals, Recruitment and Selection of Staff: General, Temporary Employment of Staff), Employment Equity, Job Evaluation, Learning and Development, Probation, Staff Induction, Talent Management, Internships, Conditions of Service, Leave, Long Service Awards, Relocation, Working Hours and the Appointment of the Vice-Chancellor
- Advised that the Management and Staff Consultative Forum should be utilised in a manner that will

Programme



ensure that engagements between the staff and management are continuous as there were various issues requiring the attention of both parties

- Approved conversion of pay progression to performance bonus and advised that staff be consulted
- Recommended to Council to commence with the process to either re-appoint the Vice-Chancellor or advertise the position
- Approved the restructuring of the Registry structure and advised that the restructuring process of the two portfolios of Deputy Registrars (Policy Management and Secretariat and Admissions) commences while observing all consultation steps with the affected staff in terms of the Labour Relations Act
- Approve the request to convert the Academic Coordinator position to a Lecturer position across all four faculties
- Approved the 2019 annual performance assessments ratings for the executive management subsequent to the recommendation by the review Panel, i.e. Chairpersons HRCC and Council, Ms N. Caluza. HRCC further requested that the performance assessment process be outlined when the matter is presented to Council

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 Cllr N. Caluza, held five ordinary meetings and one special meeting during the year. The Committee, among others, dealt with the following matters:

- Recommended to Council the 2020-2025 UNIZULU Enrolment Plan for approval
- Recommended to Council the following pertaining to the UNIZULU Foundation: Approval and signing of the Annual Financial Statements for the year ended 31 December 2017; approval of the external audit report for the year ended 31 December 2017; signing of the management representation letter for the year ended 31 December 2017; and approval of the quotation of the audit fee for the external audit of the year ended 31 December 2018
- Recommend to Council the 2016-2021 UNIZULU revised Strategic Plan for approval
- Recommended to Council the revised 2019 APP for approval
- Recommended to Council the five-year strategic financial plan for approval
- Recommended to Council for approval the financial models for the construction of new residences and

the request to apply for the DBSA loan facility

- Recommended to Council that Council members should submit CVs to the Office of the Secretary to Council of the Council Appointee with experience and expertise in Finance and Investment for consideration, the Municipality be pursued further to submit its representative and the process of filling the vacancy for the internal representative should commence as soon as the disciplinary action on the incumbent was finalised
- Recommend to Council for approval that Mr M. Booi, Prof. M. Mahlomaholo and Prof. L. Greyling be appointed to serve on HRCC
- Recommended to Council for approval the appointment of Messrs E. Dube and N. L. Nkwanyana to serve on IF as its representatives for a second term
- Recommended to Council for approval the appointment of Prof. N. Kunene and Dr Y. Rugbeer to serve on the Institutional Planning Committee as its representatives
- Recommended to Council for approval to submit to the accreditation authorities the following Programmes: Bachelor of Engineering in Electrical Engineering; Bachelor of Engineering in Mechanical Engineering; Bachelor of Nursing; Postgraduate Diploma in Accounting; BComHons (Accounting); BEdHons in Social Science Education; BEdHons in Economic and Management Sciences Education; Bachelor of Engineering in Electrical Engineering and Computer Engineering; Bachelor of Engineering in Mechatronic Engineering; Bachelor of Engineering Chemical Engineering; Bachelor of Engineering in Civil Engineering; BEdHons (Educational Psychology) and the following Special Education programmes in the Faculty of Education: Foundation Phase Teaching; Curriculum Studies; Educational Management and Foundations; Mathematics; Science; Technology Education; Educational Psychology; Research Methodology and Inclusive Education
- Recommended to Council the 3-Year New Build and Renovations Plan for approval
- Recommended to Council the Policy and Procedures on Anti-Discrimination for approval
- Recommend to Council for approval that a legal opinion be obtained on the provisions of the Statute with regards to Convocation
- Recommended to Council for approval that a proposal requesting that the University uses the existing funds, including the IEG Grant, to build residences, thereafter using the DBSA loan once

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these funds are exhausted be discussed with DHET

- Recommended to Council the 2018 Annual Report and Audited Financial Statements for approval
- Recommended to Council for approval that the irrecoverable student debt be written-off
- Recommended to Council the 2019 Revised Budget for approval
- Recommended to Council for approval the following Policies and Procedures: SCM; Code of Conduct: Staff; Disciplinary Code; Grievances; Harassment; HIV and AIDS; Incapacity (III-health/Injury and General Poor Work Performance); Smoking; Appointment of Deputy Deans; Employment of Foreign Nationals; Recruitment and Selection of Staff: General; Temporary Employment of Staff; Employment Equity; Job Evaluation; Learning and Development; Probation; Staff Induction; Talent Management; Internships; Conditions of Service; Leave; Long Service Awards; Relocation; Working Hours; Appointment of the Vice-Chancellor; Research Funding; LIS Collection Development and Management; Management and Prevention of Plagiarism; Sexual and Gender-based Violence; Honorary Degrees; Timetable Policy; Student Grievance; Disciplinary Code for Students; Student Charter
- Recommended to Council the salary increase (2019 July – 2020 June) for approval
- Recommended to Council for approval the 2020 academic structures and handbooks for the Faculties of Arts, Education, Commerce, Administration and Law and Science and Agriculture
- Recommended to Council for approval that the Vice-Chancellor or Chairperson of Council, in their capacity as the only Board of Governors, should appoint a chartered accountant to dissolve the Foundation, subject to confirmation that no members have been appointed in the past three years
- Recommended that Council appoints the Vice-Chancellor (being the accounting officer of the University) and the Chairperson of Council as exofficio members of the DramAide Board
- Recommended to Council the re-appointment of the Vice-Chancellor for the second term for approval
- Recommended to Council the Revised Code of Conduct for approval
- Recommended to Council for approval the 2018 DHET Performance Scorecard of Council for submission to DHET and further requested that the Whistle-blower reports be submitted to Council as a standing item in the Agenda

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- Recommended to Council for approval the request to withdraw PhD degree certificates and to replace them with DCom degree certificates for the affected students. Further requested the University identify whether there were other affected candidates in the past and take correctional steps
- Recommended to Council for approval of the teach out plans for BA Dual Major (ABDEG1); Business Management; MSc Statistics; PhD Statistics; and BCur Nursing Science. Further recommended that the professional body be consulted in the BCur instance
- Recommended to Council for approval that an external expert opinion be obtained regarding the 2019/2020 SRC Elections to analyse IEC processes and validity of the process
- Recommended to Council the appointment of external auditors for approval
- Recommended to Council the report on gender and transformation matters for consideration
- Recommended to Council for approval the appointment of the following executive staff: Mr S.T. Mncwango – Executive Director: Infrastructure and Prof. M.R. Kgaphola – Interim Executive Director: Richards Bay Campus
- Recommended to Council the appointment of Prof. S.P. Seepe: Interim Deputy Vice-Chancellor:

Institutional Support for ratification

- Recommended to Council the CHE Improvement Plan for the 3rd Term for ratification
- Recommended to Council for ratification the MCom, PhD and BCom in Business Management submitted to the accreditation authorities
- Subject to ratification by Council resolved that: the 2019/2020 SRC Elections process be declared null and void, the 2019/2020 SRC Elections be postponed until further notice, the SRC Constitution be reviewed to address the shortcomings identified and proper consultation be done with students on the proposed electronic voting system. This system is to be presented to Council as well to determine its reliability
- Approved the VC's delegation of authority for entering into contracts of above R10 million and long-term (three-year) leases of external residences accommodation

University Events and Media

The Communications and Marketing Division (CMD) planned and executed events that promoted the University, its initiatives and goals. CMD managed the annual University's calendar of events and lent support to interdepartmental and faculty events. CMD aided





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with ad hoc events, including conferences, seminars, memorial services and high-profile events. The Career Exhibition is overseen by the School Liaison Office and 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. The 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, oneon-one or in groups. Most 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.

Open Day is an annual flagship event and it was held on the KwaDlangezwa campus in King Bhekuzulu Hall on 25 April 2019. Forty-five schools comprising 4 200 learners attended. 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. The following strategic events, outlined in Table 10, took place during the year under review:

Table 10: Strategic Events

EVENT NAME	DATE	PURPOSE
Registration	14 January 2019 – 1 March 2019	Annual enrolment
Graduations	13-17 May	To celebrate the achievement milestones showcasing the positive throughput rate for the University. This event demonstrates student's success
Inaugural Lectures		
	24 May, 6 August, 18 November	Three inaugural lectures were held during the year under review
UNIZULU Women's Day	14 August 2019	To celebrate and reflect on women's wellness issues and provide an engagement platform in a relaxed setting. The t theme was #Balance for better
Life Orientation Teacher's Seminar	16 August, Majuba District: Newcastle	The seminars are a platform designed to support, develop and acknowledge the contribution made by LO educators
Secretaries' Day	8 October	The main purpose is to appreciate and boost morale of front-line office personnel
VC's Excellence Awards in Teaching and Learning	11 October	To celebrate and showcase with the aim to promote and encourage continued excellence in teaching and learning

Other important institutional events that were hosted by UNIZULU in 2019:

- Postgraduate Induction Workshop: 12 March
- IGU CAS Conference: 17-19 June
- GGMPB Conferences and Community Engagement Workshops: 22-24 July, 27-28 July, 31 July
- Cultural Diversity Activation Day: 26 July
- Intellectual Property Management and Student Entrepreneurship Week: 12 August, 20 August
- CE Writing Retreat: 2-5 September
- Research Week: 9-13 September
- 9th Taste of Nuclear Physics: 30 September to 4 October
- Doctoral Support (SATN): 2-6 September
- Africanisation of The Curriculum Dialogue: 2 October
- African Languages and African Literature Indaba: 3-4 October
- Teaching and Learning Awards: 9 -11 October
- Community of Practice for Teaching and Learning of African Languages: 17 October
- 10th Humanities and Social Sciences Conference: 23-25 October
- Indigenous Knowledge Systems (IKS) seminar: 26 October

Media Management and Publications

The University coverage was on a positive growth path for 2019. This can be attributed to aggressive publicity activities being introduced. UNIZULU have negotiated a full page in the Mercury and furthermore the University stories are guaranteed publishing in Isolezwe. Media monitoring is done daily by physically scanning copies of newspapers. UNIZULU has also subscribed to the electronic alert monitoring in order to respond timeously to all enquires and negative coverage that may dent the image of the Institution. Opinion pieces as a 'think tank' project was established, and staff members contributed by publishing opinion pieces in the Star Daily News and the Cape Times. As part of the section intelligence, a monthly report with Focal Points specialises in concise, narrative analysis of key issues within the media. UNIZULU is also embracing technology, especially where the website and social media are concerned. UNIZULU's website is the technological face of the University, and, therefore, has a major role to play in marketing the University. The website provides critical information on policies, faculty programmes, applications and registration, fees, graduation and various other student services. A dedicated section for International Students' information has been added. A total of 256 000 visitors

have visited the website during the year under review. In addition, UNIZULU makes use of a dedicated Facebook page to communicate with its students. UNIZULU received more than 39 438 likes in 2019, a clear indication that Facebook, as an application, contributes to media communication. UNIZULU's flagship publications Ongoye Online (for staff) and #tag (for students) were given a facelift in 2019 and continue to publish news to staff and students.







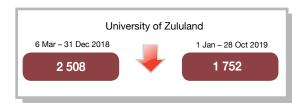


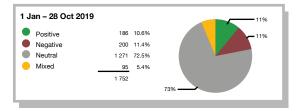
Diagram 2: Print, Broadcast and Online Media



Period Statistical Report 1 January - 28 October 2019 (301 days)

The favourability rating of print, broadcast and online media, including a stacked bar graph



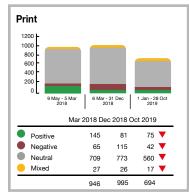


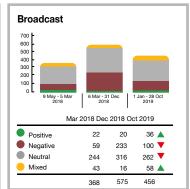
Overview:

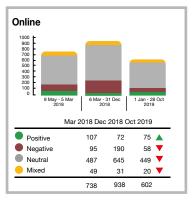
Overall clip count for University of Zululand decreased in 1 Jan – 28 Oct 2019 compared to 6 Mar – 31 Dec 2018 by 756 mentions or as a difference of 30%.

Favourability Movement

1 Jan – 28 Oct 2019's results show that positive has increased by 13 (8%) clippings to 186, negative is down by 328 (62%) to 200, neutral is down by 463 (27%) to 1 271, and mixed increased by 22 (30%) to 95.







Print by Favourability

This custom, positive sentiment decreased to 75 clips and negative, with 42 units, decreased.

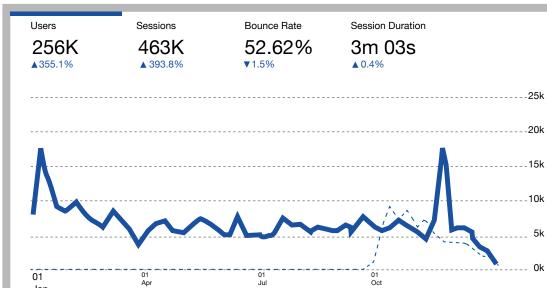
Broadcast by Favourability

This custom, positive sentiment increased to 36 clips and negative, with 100 units, decreased.

Online by Favourability

This custom, positive sentiment increased to 75 clips and negative, with 58 units, decreased.

Diagram 3: Website Statistics



Google Analytics Home

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In addition, a new logo to celebrate UNIZULU's 60 years' existence has been developed, which will be used on all letters, publications, and other branding materials of UNIZULU in 2020.



UNIVERSITY OF ZULULAND 1960-2020

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MY UNIZULU.YOUR UNIZULU.OUR UNIZULU

Diagram 4: UNIZULU 60-year Celebration Logo

01 Apr

STUDENT SERVICES

The purposes of Student Services at UNIZULU may be summarised as follows:

- To ensure that students receive opportunities for academic development so that they may complete their programmes with minimum challenges
- To increase student retention and success by providing a supportive environment
- To seek to effectively and efficiently provide the integrated services that are aimed at creating a student-centred environment underpinned by safety, good health, wellness and good citizenry

Programmes offered at UNIZULU strive to equip students to contribute to the development of society at large. Students are encouraged to engage and participate in activities that will enhance their life perspective and help them acquire skills other than academic ones. When students enrol in academic societies that appeal to them or that are related to their extra-curricular interests, their world experience becomes broader and it triggers in them various ways of viewing life and participation in societal activities. In other words, the University, through Student Governance, seeks to ensure that its graduates are ready to create a better society and make a difference wherever they go. There are about 84 societies affiliated to the SRC, ranging from religious to academic, extracurricular to political. Students participated in several activities during the year under review.

Student Residences

As a rural-based institution, the University strives to provide as much accommodation as is possible. In 2019, there were 5 624 bed spaces in both university as well as outsourced residences. There were 4 144 bed spaces on campus and 1 480 bed spaces in off-campus residences. A self-service module was developed and implemented through the ITS i-enabler to enable students to apply and make residence bookings. Full-scale residence inspections were conducted, and reports submitted to the Planning and Maintenance Department. The University also advertised for an expression of interest from accommodation service providers. A process of negotiations and inspections commenced for proposed new outsourced residence spaces for the 2020 academic year.

Student Governance

The University recognises the critical role played by student governance and development in ensuring that

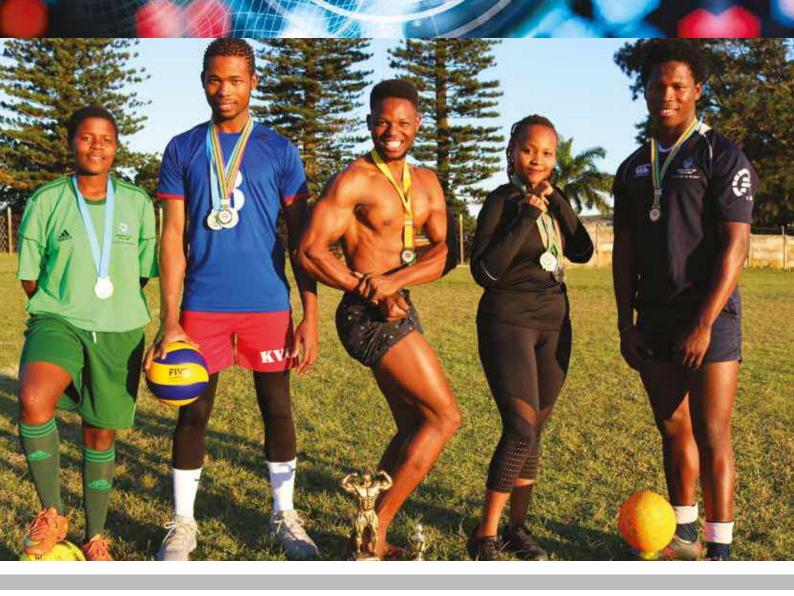
democratic processes are discharged. The University also recognises the critical role that students play in the drive to deepen democracy and broaden transformation among the different communities in South Africa. Student Governance and Development supports these various societies in ensuring that these are in good standing. Workshops for capacity building are conducted for the societies to enable them to deliver according to their specific plans of action. Each society is given an allocation from the societies' levy to implement its plans of action. Leadership forums on matters of interest are usually conducted to get a broad buy-in from the societies and to ensure shared attributions on institutional matters pertaining to transformation..

UNIZULU's SRC Elections were declared null and void as a result of a flawed pre-election procedures. Council obtained an independent assessment on the process and found it to be flawed. The bone of contention centred around perceived ambiguities in certain sections of the SRC Constitution. This led to conflicting interpretations with regard of eligibility of postgraduate students. During the year under review UNIZULU experienced student protests related to security concerns. As a result, the University was temporarily closed.

As per SRC Constitution, Council appointed a SRC Administrator (Mr Bongumusa Makhoba) in the interim. New SRC elections could not be held due to time constraints imposed by examinations schedule. Council resolved that the election be conducted in 2020. Management was tasked to review the SRC Constitution and report on the implementation of an electronic voting system. The amendment of the SRC Constitution was effected and consultation process with students, MANCO and Senate was undertaken. SRC Strategic Planning will rest with the SRC Administrator. The SRC Administrator duly represents students on all statutory structures, including Council, Senate, Institutional Form, other Senate and Management sub-committees as well as MANCO/SRC.

Student Development

Like many other college and university mission statements, the mission of the University contains commitments towards the development of students for professional and community responsibilities in a global context. The thrust of the leadership development at the Institution focuses on students in elected positions such as the Student Representative Council (SRC), leaders of the various student organisations, as well as the general students to acquire leadership competencies as a graduate attribute.



The Guidance and Counselling division supports and enhances the wellness and healthy holistic growth and development of students by involving internal and external stakeholders in many of the activities and programmes that are planned for the students. The division provides guidance, counselling and therapy to students experiencing adjustment, personal, career, developmental and psychological problems. Student leaders' workshops were conducted throughout the year and a successful orientation of first-year students took place in which important internal and external stakeholders participated. A first-year handbook was handed out, which helps students with their time management. The handbook provides information on services that are rendered by the various sections or departments which they will need in their stay on campus. Peer helpers from both campuses are recruited from all four faculties. The peer helpers are trained to identify students who are at risk. Workshops on study skills, stress reduction and job hunting were conducted in 2019. Communication sessions with potential employers of students to ensure recruitment of final-year students were also held.

Newly developed policies on anti-discrimination and sexual harassment and gender-based violence were workshopped to students.

Sports and Recreation

The Sports and Recreation section coordinates sport activities. Sporting activities are meant to enhance academic and leadership excellence of students. This is to ensure that students shy away from unbecoming and unhealthy habits. The Vice-Chancellor's report on student activities highlights student achievements during the year under review.

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, HIV/AIDS and reproductive health services. The aim is to provide holistic care by providing attention to the 'whole' person. The clinic received great support from



both provincial as well as national Departments of Health in 2019. The King Cetshwayo DoH is UNIZULU's strategic partner on health matters, especially HIV/AIDS, TB, STIs and reproductive health and supply UNIZULU's clinic with the necessary medication, training and IT software for the above-mentioned diseases. The Higher Education and Training HIV/AIDS Programme (HEAIDS) is UNIZULU's strategic partner for the UNIZULU Campus Health Clinic. UNIZULU receives funding annually and submits quarterly reports to account for the funding. To date, UNIZULU has received unqualified audit reports from HEAIDS.

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. The dedicated Disability Unit plays a crucial role in ensuring that students with disabilities are accommodated and are able to fully enjoy the student experience at the University. Table 11 shows the number and nature of the disabilities of students on campus.

Table 11: Disabilities

CATEGORY OF DISABILITY	NUMBER OF STUDENTS – 2019
Physically Challenged	40
Visually Impaired	33
Chronic	46
Auditory	4
Speech Challenges	3
Total	126

WORKING WITH INDUSTRY AND SIGNIFICANT CHANGES THAT HAVE TAKEN PLACE

Scoping of the Richards Bay area provides a picture of broad industry needs that are technical in nature. The presence of a huge number of exporting and importing industries means that the welfare of the region is connected to international and national market movements. Several meetings were held between the University and industry stakeholders during the year

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under review. The programme and qualification mix of the University is evolving in response to a number of factors: its national classification as a comprehensive University requires the development of new University of Technology type of programmes (such as Maritime Studies and Engineering) in response to technical and vocational industry needs as well as general requirements of professions and other workplace demands in areas where the University is training and graduating students. A community engagement strategy and policies on continuing education (CE), combined with institutional steering committees and the Intermediary Platform, facilitate the processes of engaging industries for the purpose of influencing teaching and learning in diverse areas, including curriculum, teaching methods, workplace learning models, entrepreneurship and graduate attributes. UNIZULU continues to integrate into wider academic, industrial, governmental, scientific and societal collaborative linkages across the local, regional, national, continental and global networks.

TRANSFORMATION

Transformation is an integral part of UNIZULU's mandate and core business. It is for this reason that UNIZULU cannot hold a separate programme of transformation outside the current programmes for teaching and learning; research and innovation; community engagement and societal development. The University acknowledges and embraces the requirement placed upon all public HEIs 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. As a consequence, the University has put various programmes in place to respond to this legal requirement. UNIZULU 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. 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 requires it to demonstrate by discharging its intellectual capital (production of graduates, research output and technology transfer) functions embedded in its mandate as an HEI.

The University has had a stand-alone transformation plan since 2013. A new plan was approved by Council in 2017. The UNIZULU's transformation plan is aligned to various institutional frameworks, including the University of Zululand Strategic Plan; 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 the Enrolment Plan 2016-2021; the University Equity Plan 2017-2021; the Master Infrastructure Development Plan; the CHE Audit Report of 2010; Improvement Plan on the CHE Audit; Administrator's Report; (Implementation Plan on the Assessor's Recommendations); Institutional Annual Performance Plans; and various other frameworks developed by the University to advance its core business. The University has developed strategic frameworks that constantly position the University in response to such local and global demands and imperatives. The UNIZULU Integrated Transformation Plan is aligned to the Human Rights Commission report, released to universities through the DHET. The Integrated Transformation Plan will be monitored by various means and at all levels of management. This will be constantly reviewed at a strategic level through a monitoring and evaluation mechanism and through the Councilapproved performance management system. A full report on transformation initiatives is contained in the Transformation Report in this Annual Report.

CONCLUSION

Council's primary governance role and responsibility lies in providing the strategic direction of the Institution. Council is satisfied that the University's risk management, assessments, responses and interventions are effective. The governance of information and technology has improved significantly, and the University is fully compliant with all laws, codes, rules and standards applicable to HEIs. Council has taken the stakeholder relationships of the University seriously – from workers to the convocation, students and the University community, donors, industry, DHET, Government, all accreditation bodies and the Council of Higher Education by ensuring an increased level of engagement between stakeholders, explaining decisions and by engaging with shareholders regarding certain matters affecting the University.

The University Council and all its committees are fully functional and transparent and will continue to govern with a zero-tolerance stance towards and form of fraud and corruption. The University is sustainable and financial controls are adequate and effective. Infrastructure development remains a vital strategic objective in the forthcoming years to ensure that the University creates an environment conducive to teaching and learning. Student services have improved, and student governance plays a critical role in the Institution. Transformation is an integral part of UNIZULU's mandate and core business, and the University acknowledges and embraces the requirement placed upon all public HEIs to significantly contribute to the redress of social, gender and racial disparities of the past.

Ms N. Caluza Chairperson of Council

PERFORMANCE ASSESSMENT **REPORT**

INTRODUCTION

The regulatory and legal framework under which the University operates requires responsiveness and compliance from the University in terms of reporting. Subsequently, the Institution's APP is used as a measurement instrument of institutional performance based on clearly defined key performance indicators (KPIs) that are derived from the Institution's Strategic Plan. The year under review has been significant for the University. A report on the APP alone would be insufficient without a comment on the UNIZULU's Special Audit Improvement Plan (2018/2019). The latter was based on CHE's Special Audit Report, 2017. Although the Special Audit recommendations have not been incorporated into the 2019 APP due to alignment with the Institutional Strategic Plan (2016-2021) performance on each recommendation will be addressed in this Report. It is important to note that there are overlapping performance indicators in both plans, a clear indication that the University is well aligned to the requirements of achieving its Strategic Vision for 2021. This Performance Assessment Report is, therefore, divided into two parts, namely Strategic Reporting, which includes performance against key performance objectives and ministerial targets (enrolments and grants), as contained in the APP, as well as reporting on the Special Audit Improvement Plan.

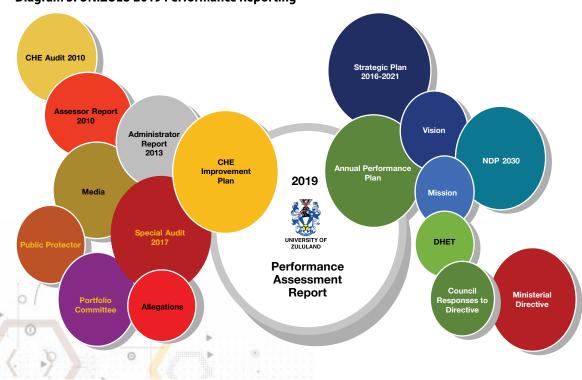


Diagram 5: UNIZULU 2019 Performance Reporting



STRATEGIC REPORTING

The Strategic Plan 2016-2021 of the University contains six critical goals, as outlined in Diagram 2. 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. Council annually approves the Institution's APP, which incorporates not only the strategic objectives as set out in the Strategic Plan of the Institution, but also performances of the Institution against Ministerialapproved targets (access, success, efficiency and research outputs) as well as funding performance, financial performance and risk.

Diagram 6: University of Zululand Strategic Goals





This narrative report provides a brief overview on the achievement of each of the six strategic goals of the University during the year under review. Table 12 provides a full assessment of each identified performance objective.

STRATEGIC GOAL 1: Improve governance with enhanced operations to support the academic enterprise and ensure sustainability

The culture of good governance that prevails in the University continued to be enhanced to ensure effective administration and institutional governance. Training and induction continued throughout the year and Council and its committees were performance assessed. The assessments again highlighted exceptional governance standards, ethical leadership and corporate citizenship of Council. The Vice-Chancellor and the Executive Management team's performance was appraised by Council in November. The assessment highlighted full compliance and a drive towards the operational strategic goals and objectives that are contained in the APP of 2019. Compliance to the Higher Education Act, Reporting Regulations for HEIs and the revised Institutional Statute, policies and institutional rules remained the basis for good governance in 2019. Policy development,

its implementation and monitoring remained key to ensuring accountability and compliance. Numerous policies and plans were developed and reviewed, as evidenced in the Chairperson of Council's report.

The creation of a broad spectrum of programmes with the characteristics of a comprehensive university remained a strategic focus and resulted in the development of curricula for Engineering and Maritime Studies. The University also focused on the development and entrenchment of an appropriate institutional academic philosophy, an approach that integrated teaching and learning, research and community engagement. This resulted in an approved Research Strategy, Teaching and Learning Plan and Community Engagement Strategy, Charters and Policies. Research was conducted on the possibility to include entrepreneurship and innovation courses at undergraduate level. Several new and revised programmes were reviewed, developed and submitted for approval and accreditation. Eight Teacher Education Programmes received accreditation and nine other programmes were accredited by CHE for offering in 2020. The University also received accreditation of its Bachelor of Nursing programme. The Institution developed the UNIZULU101 module, with the aim to enhance the quality and profile of UNIZULU graduates. Parameters were developed to conduct programme



reviews and reviews of academic departments and Council has approved the overarching Quinquennial Departmental and Triennial Units' Reviews Frameworks. The Institution has developed a Framework, Strategy and Policy on Entrepreneurship and associated programmes to be embedded into existing programme offerings. The University developed a concept document on rurality, with a focus on alignment of its academic offerings. In addition, an intermediary platform was established to co-create knowledge.

approved An integrated Human Resources Framework ensured transactional efficiency, improved recruitment and retention, an institutionalised performance management culture and system, increased focus on staff well-being and their development through focused and directed staff development. Numerous policies were reviewed and developed, including a Policy on Talent Management. Having successfully reduced the institutional vacancy rate in the past four years from 32.9% to 22.99% in 2018, it stagnated in 2019 with an increase of 0.35% due mainly to retirements and other types of involuntary termination of employment. Fifteen lecturers were promoted to senior lecturers, four senior lecturers to associate professors and four associate professors to professors through the academic promotions process. A consolidated Workplace Skills Plan

was compiled. The investment in the identified learning and development interventions totalled R14 641 842. In the absence of a labour union, Management established a forum for engagement. Forum members were trained, and an agreement was entered into to survey the staff climate and ensure optimal working relations.

Student relations as vital stakeholders received significant attention. Two student charters (undergraduate and postgraduate) were developed and to guide relations between management and students. A Student Grievance Procedure was developed to monitor complaints as well as policies on sexual harassment and gender-based violence and anti-discrimination in line with the Institution's transformation plan. A desk for student support, specifically aimed at international students was established and numerous initiatives implemented at student governance and administration, including the development of a Student Leadership Guide. The University improved its first-year student experience with the development of a new orientation programme with a monitoring mechanism. Extracurricular activities, student guidance and counselling all improved significantly. Security policies were developed, and several new security cameras and systems installed to ensure safety on campus and examination integrity. Sound financial management remained key to



enhance internal financial controls. Council approved a five-year Financial Turnaround Plan as well as a Supply Chain Management Turnaround Plan with a quarterly reporting mechanism. In addition, the Supply Chain Management Policy was revised and a Budget Policy with a budget model was developed. A concept was developed to establish an Advancement Office to give effect to Council's decision to dissolve the Foundation.

STRATEGIC GOAL 2: Create a quality teaching and learning environment as a comprehensive university

UNIZULU has made significant progress in terms of deepening the achievements of its ever-improving academic project. Workshops for new and current staff are conducted regularly in order to equip them with the most current teaching, research, community engagement and university service skills. These are conducted both at the level of the Institution and the respective faculties, supported by the Human Resources Development Division, the Research and Innovation and the Teaching and Learning Directorates. These interventions are further enhanced through a performance management system that has been institutionalised to ensure that each academic works towards the achievements of the University's goals and objectives. Academics, especially females, are being mentored to ensure quality delivery in their respective roles. Central to this initiative is the University's insistence that all academics must have at least a Masters' degree for them to enhance teaching and learning and research and community engagement activities, among others. To this end, the University supports many academics through institutional and government funding (e.g. staffing South Africa's University Framework – SSAUF, which includes NESP, new Generation of Academics Programme (nGAP), University Capacity Development Programme and Grant (UCDP/G) and University Staff Doctoral Programme (USDP), Higher education Leadership and Management Programme (HELM) aimed at enabling them to obtain their Masters' and PhD qualifications, as well as become academic leaders.

The University is consistently reviewing its Programme and Qualification Mix (PQM) in order to adapt it to its ruralbased location and comprehensive nature. Significant developments at Richards Bay Campus comprised putting in place new programmes in Engineering are being put in place. However, this is not limited to this campus only. Recently, many new programmes were accredited by CHE and registered by SAQA in the various faculties at KwaDlangezwa. During the year under review, the University has operationalised the overarching teaching and learning, research and community engagement philosophy that defines and deepens UNIZULU's strides towards becoming a rural-based comprehensive university of choice, institutionalised entrepreneurship and work integrated (WIL) policies and strategies and developed and implemented the teaching and learning policy and strategy. The University ensures the success of students through a customised First-Year Experience (FYE) programme. This includes first-year students in their living and learning spaces, tracking students to ensure that those who are at risk receive timeous support, tutoring students in small groups to reinforce their learning and enabling reading

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and writing workshops to enhance their academic writing skills. Emphasis remained on the timeous and correct capture of data as evident in the Higher Education Information Management System (HEMIS) report. The Library and Information Services (LIS) continues to provide quality service to support all areas of teaching and learning and research.

Recognition of excellence was awarded by the Vice-Chancellor through the Teaching and Learning and Research and Innovation award ceremonies.

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 and postgraduate enrolments, enhance community engagement and improve the experience of postgraduate students.

UNIZULU has, during the year under review, developed and established numerous enablers and mechanisms in drive and enhance CE. These include a Strategic Plan and Framework for CE, a CE Policy and Charter, a long-term Implementation Plan based on the strategy, an Intermediary Platform and the establishment of a Senate CE Committee and faculty CE committees.

The Research Office continued to provide a wide number of capacity development training workshops and programmes to the academic staff and students. This includes research proposal development, research ethics, academic writing workshops, research design workshops and supervision training. The focus is mainly to strengthen the emerging researchers with a strong emphasis on the empowerment of African women. To this end, a total number of 31 female researchers have been enrolled in the University Staff Doctoral Programme and the South African Technology Network. The aim is not only to enhance the number of academics with doctoral qualifications but also to ensure that capacity is developed to deliver a greater sense of tangible quality, stability and an enabling context that would lead to better succession planning of academic leadership. There is an undisputed link between doctoral qualifications and the improvement of quality and the quantity of research outputs. UNIZULU has currently 49.5% of its full-time equivalent academics with doctoral gualifications. Talent management plays a critical role in continuous enhancement, and a talent management strategy was also developed.

Several research niche area (RNA) proposals were approved in line with the established RNA Policy. The University further conducted three inaugural lectures and three public lectures during the year under review. The University has 20 research fellows and 24 postdoctoral fellows.

The Library and Information Services continued to provide quality service to support teaching and learning and research. The usage of the research commons that were established are actively being monitored and service level agreements were developed with Research, Teaching and Learning and CE portfolios.

Consistency in research publications and related subsidy income, advances in technology transfer (TT) patent disclosures, notable patent registrations on strategic international markets, and growth in

UNIZULU ANNUAL REPORT 2019



postgraduate (master's and PhD) throughputs, show UNIZULU as a university on the rise. The University remains focused on increasing the number of researchers. It has 16 rated researchers and 20 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 University continues to focus on the provision of a supportive teaching and learning environment for its students as well as the continuous development of its academics to enhance the scholarship of teaching and learning. The Centre for Teaching and Learning continued with curriculum reviews and mentoring and training programmes. The University finalised its Higher Education Qualifications Sub-Framework (HEQSF) alignment and student learner guides and course outlines were aligned to the new academic structure. Identifying high risk modules and the tracking of students that are at risk remains a priority and focus. The University has developed an effective mechanism to report on retention, progression and throughput of students. The UNIZULU 101 module was approved by Council for implementation in 2020 and will further contribute to

overall student enhancement. An Institutional Framework of Graduate Attributes were developed, together with a Teaching and Learning Strategy and a Workload Policy. Various studies were conducted to enable the university to profile its students and to obtain feedback on learning experiences, quality and support.

Academic development and enhancement of scholarship as well as the recruitment and retention of an appropriately qualified cohort of academic staff, remained vital in 2019 and yielded success with a reduction of academic vacancies. Technological and collaborative support to staff and students are key drivers to success and open source e-learning platforms were identified and an E-Learning Strategy was developed. An approved framework for alumni engagement and strategic plan was developed and will ensure engagement with alumni to maintain lifelong relationships.

Strategic Goal 5: National and international reputation management of UNIZULU

UNIZULU made significant strides in its drive to develop ways to manage the national, regional and international reputation of UNIZULU. A Policy on Internationalisation was developed that highlights the University's approach to internationalisation. It also emphasises the stance of the University regarding the phenomenon, thereby identifying principles that will guide the practices and further stipulates the strategies the University uses in the implementation of the process of internationalisation. An agreement with Appalachian University in the United States of America (USA) was entered into, setting out a framework for academics and students to participate in study, teaching and research between the institutions, with the benefit of experiencing cultural diversity between South Africa and the USA. In addition, numerous students also participated in other international exchange programmes.

Various research collaborations are conducted between UNIZULU and the Huazhong Agricultural University of China, the Universidad de Concepción in Chile, the University of Tennessee in the USA and the University of Warsaw in Poland, to mention a few. The Faculty of Science and Agriculture also engaged in a community engagement collaborate project with the University of Warsaw and the University of Tennessee on a P450 database development study.

STRATEGIC GOAL 6: Accelerate infrastructure development

The University has, during the year under review, received significant support from the DHET on its Infrastructure Development Programme. This led to a comprehensive spatial needs assessment and developed and approved the University Spatial Framework. This has various precincts, including the Main Entrance Precinct; Student Accommodation Precinct; the KwaDlangezwa Academic Precinct; the Facilities Precinct; KwaDlangezwa Academic Administration Precinct; Richards Bay Academic Precinct, and the Richards Bay Student Accommodation Precinct. In addition, a community consultation strategy was developed to engage internal and external stakeholders on the infrastructure development programme.

Attention was also given to UNIZULU's infrastructure delivery management capacity. The University appointed an external experienced Infrastructure Project Management Team (based in the University) to provide project management on all infrastructure projects. Three companies were appointed to manage maintenance projects across the University over a period of five years and service providers were appointed to manage professional services.

An Infrastructure Steering Committee was set up to oversee high-level planning and to make decisions on infrastructure plans, costing, budgets and contractual agreements.

The University participated in the DHET/DBSA Student Accommodation Development Project that seeks to develop 3 500 new beds at the KwaDlangezwa campus in the next four years. It is envisaged that this project will go a long way to address the student accommodation shortage and security challenges faced by students and management at the KwaDlangezwa Campus. The unutilised student accommodation funding received by UNIZULU in the past will serve as a onethird seed funding for the project, with the other third expected from the Presidential Fund and the balance acquired through the DBSA loan, which is underway.

In addition, the University finalised the transfer of the Transnet building to the ownership of the University and is still in consultation with the Department of Public Works and Infrastructure on the transfer of donated houses to the University. The University finalised the understanding of its boundaries, made land sale resolutions supported by the Mkhwanazi Traditional Authority and submitted them to the Minister for urgent resolution.

The University has revisited its campus security requirements. A Strategic Security plan was developed after a Threat and Risk Assessment. New policies and procedures were developed, and a proposal was submitted to DHET for HDI Grant Funding on Integrated Security.

The ICT Department received significant attention during the year under review. The DHET assisted UNIZULU with a Macro Infrastructure Framework and ICT assessment and a specification for tender (no UZ01/2019) on ICT Core Infrastructure and Systems Renewal. A tender specification for an appointment of a suitable service provider for the design, supply, development and configuration of the active directory, cloud integrated services, servers, SAN storage, virtualisation, data protection and firewall infrastructure was also developed. An ICT Operational Plan based on the ICT Strategy and Framework was developed and the entire ICT operational structure was reviewed. In terms of ICT infrastructure, numerous initiatives were implemented during the year under review, including an integrated ICT network system with enhanced wireless connectivity, improved storage solutions and a more robust network backbone. In addition, the University is moving toward cloud management storage and ERP (ITS) hosting through Adapt IT. The implementation of the new ITS Integrator 4 system will further enhance ICT operations. The student residence booking system has been integrated into the ITS network and an online platform and application system was developed for students. From a financial perspective, the fixed asset register has been integrated into the ITS system. An electronic records management system was procured from funding received to implement biometrics for examinations. The

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EXECUTIVE MANAGEMENT TEAM

The Vice-Chancellor, Deputy Vice-Chancellors, Registrar and Executive Directors form the executive management of the University. The team below is as at 31 December 2019.



CHANCELLOR Deputy Chief Justice of RSA, Justice R.M.M. Zondo

B.Luris, (UNIZULU), LLB (Natal), LLM (Labor Law), LLM (Commercial Law), LLM (Patent Law) (UNISA)



VICE-CHANCELLOR Prof. X.A.

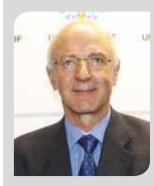
BA (UFH), HDE (Primary) (UCT), BAHons (RU), MPhil (Higher Education) (US), PhD (Psychology) (UKZN)

DEPUTY VICE-CHANCELLOR: TEACHING & LEARNING Prof. M.G. Mahlomaholo



DEd (UWC), MEd (Harvard University), BEd, BA, UED (University of the North)

DEPUTY VICE-CHANCELLOR: RESEARCH & INNOVATION Prof. G.F.D.J. de Wet



BA (Communication), BAHons (Communication), MA (Communication) (UF), D Lit. et Phil

(Communication) (UJ)

DEPUTY VICE CHANCELLOR: INSTITUTIONAL SUPPORT Prof. S.P. Seepe



Diploma Science & ED – NWU, BSc. Ed (Physics & Maths) – NWU, MSE (Physics) – WITS MED Tech – Harvard University, PhD (Physics) NWU; Advanced Management Program – Henley Management College

REGISTRAR Mr D. Janse Van Rensburg



BProc (UFS); LLM (International Corporate Finance Law) (University of Westminster, UK), Dip (Teaching); Dip (Conict Management) (City & Guilds, UK); PGDip (IT) (William Shakespeare College, UK)

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EXECUTIVE DIRECTOR: HUMAN RESOURCES Mr R.T. Ngcobo



BAdmin (UNISA), Cert (Industrial Relations) (WITS), BComHons (HR Management) (UKZN), Strategic Human Resources Management (UCT), PGDip (Company Direction) (GIMT Sunninghill), Cert (Essentials of Management Coaching) (USB)

EXECUTIVE DIRECTOR: FINANCE Mr P.J. Du Plessis



BCompt and BAcc Hons (UFS), Chartered Accountant CA (SA)

EXECUTIVE DIRECTOR: INSTITUTIONAL PLANNING Mr N.O. Cele



SSTD, BPaed (UNIZULU), BEdHons, (UKZN), MSc (University of Eastern Illinois), MEd (Resources Dev. and Management), PGDip (Human Resources Management) (UKZN), MAdmin (Labour Relations) (UDW), Cert (Higher Education) (WITS)

EXECUTIVE DIRECTOR: INFRASTRUCTURE Mr S.T. Mncwango



BA, PGDip, BEdHons (UWC), MSc (Town & Regional Planning), MSc (Project Management), Certs (Construction Safety & Quality Management, Project Management, Construction Law & Contract Management and Construction Planning & Control) (WITS)

ACTING EXECUTIVE DIRECTOR: RICHARDS BAY CAMPUS Prof. M.R. Kgaphola



BSc (Hons), PhD (Bio-Organic Chemistry) (Leeds) (UK), Cert. Financial Management (UNISA) online registration project has been fully implemented and the Student ITS system has been updated and secured. A further application was submitted to DHET for additional funding through the HDI Grant for additional ICT enhancement. In addition, the Print Management Solution for staffing and the student print environment provides for centralised, shared printing, scanning and photocopying services using multi-functional output devices. Occupational Health and Safety certification was obtained, and numerous health and safety policies were developed to ensure continued compliance.

KEY PERFORMANCE INDICATORS – ANNUAL PERFORMANCE PLAN 2019

Table 12 displays ministerial approved enrolment targets for 2019 and how the University performed against these approved targets.

GOAL	STRATEGIC OBJECTIVE	KEY PERFORMANCE INDICATOR	2019 TARGET	2019 ACTUALS
		A. Access		
SG2SO4	Design and develop a cohort analysis	Headcount Totals		
	for effective institutional planning and	First-time entering undergraduates	3 900	3 916
		Headcount enrolments	15 000	17 725
		Headcount enrolments (Foundation)	525	352
		Headcount enrolments total UG	13 200	15 907
		Headcount enrolments total PG	1 915	1 818
		Enrolments by Major Field of Study		
		Science, Engineering, Technology	3 450	3 696
		Business/Management	4 350	4 414
		Education	3 150	4 929
		Other Humanities	4 050	4 686
		Distance education enrolments	0	0
		B. Success		
SG4SO1	Provide a supportive learning and teaching environment for UNIZULU students	Graduates UG	3 562	3809
		Graduates PG	438	512
		Success rate	80%	83%
		Undergraduate output by scarce skills		
		Engineering	0	0
		Life and Physical Sciences	433	486
		Animal and human health	184	180
		Teacher education	784	1 338
		Success rate	80%	83%
		C. Efficiency		
SG3SO8	Staff retention strategies to be	FTE Instructional/Research professional staff	455	360
	developed	Headcount of permanent instructional/ research professional staff	350	288
		% staff with doctoral degrees	37%	49%
		Number of nGAP staff	6	6
		Ratio of FTE students to FTE instructional/ research staff	24.8	55.6
	D	. Research Output		
SG3SO2	Increase the University research output	Publication units per I/R staff	43%	61%
		Research masters graduates (weighted)	95	74
		Doctoral graduates (weighted)	50	93

Table 12: 2019 Student Enrolment Performances against Ministerial approved Targets

COMMENTS

The comments on the shortcomings related to the access, success, efficiency and research output as per table 13 above are addressed below:

- First-time Enrolment Targets (TFEN) were achieved with the registration of 3 916 FTEN students. The overenrolment in terms of overall headcount is largely attributed to students who return to complete their qualifications as a result of free education, as well as the suspension of the University's exclusion rules. Postgraduate enrolment was slightly below par with 1 817 students.
- Success: A total amount of 3 892 students graduated from the University during the year under review, of which 367 were postgraduates and 3 525 undergraduates. The University conferred a total of 16 doctoral degrees and 46 master's degrees. The overall success rate of the University is a staggering 84%. The reason for the low postgraduate graduation rate is attributed to the COVID19 Pandemic, which resulted in low responses from external examiners regarding postgraduate assessments.
- Efficiency: The percentage of staff with doctoral degrees increased to 49.5% during the year under review. The headcount of permanent instructional/

research professional staff, increased in 2018 from 321 to 360, although it was still under the target of 45. The University participated in the DHET-sponsored New Generation of Academic Programme (N-Gap) aimed at developing future lecturers, thus increasing the pool of skills available at universities. UNIZULU had a complement of six N Gap staff members during 2019. The Ratio of FTE students to FTE instructional/ research staff was 55.6.

Research output: The preliminary (unofficial) research output for 2019 is 233.72, consisting of 191.43 journal articles, 11.14 conference proceedings and books and 31.15 book chapters. The awarding of research output units for accredited publications will only be known in December 2019/January 2020.

AREAS OF CONTRIBUTION TO STRATEGIC GOALS AND OBJECTIVES

Table 13 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. All goals were prioritised for the year under review. The progress is displayed in Table 13.

GOAL 1	IMPROVE GOVERNANCE THROUGH ENHANCED OPERATIONS TO SUPPORT THE ACADEMIC ENTERPRISE AND ENSURE SUSTAINABILITY
Strategic objectives	 To have a broad spectrum of programmes characteristic of a comprehensive university Develop, amend, implement policies, rules and procedures and maintain policy register Develop and entrench an appropriate institutional academic philosophy and approach that integrates teaching and learning, research and community engagement Review, develop and implement review findings in existing curricula Recruit and retain a qualified cohort of academic staff Integrate human resource management and development Devise a Charter to guide relations between the University and its students Develop a turnaround strategy for financial management and governance Develop a Financial Budgeting and Reporting System Develop an appropriate rural strategy for the University Ensure effective service delivery to students

Table 13: Performances against Strategic Targets (2019)

GOAL 1			HROUGH ENHANCED O ND ENSURE SUSTAINAE		SUPPORT THE
Strategic Goal 1	Obj. No.	Objectives	Performance Indicators (Targets)	Performance Outcomes	Reasons for Non- achievements
		Developed curricula for marine studies (2020)	Not achieved	Council resolved to dis continue with the targets. Instead a Bachelor of Engineering in Electrical Engineering programme was developed and approved by. The programme is aimed at Marine Studies	
			Developed feasibility study on marine studies (2019)	Not achieved	Discussions to develop marine biology research concluded but not considered feasible
		Conducted feasibility study on agriculture programmes (2019)	Achieved – no deviation	None	
			Implemented recommendations of Law Review Report (2019	Achieved – no deviation	None
			Obtained appropriate approvals (2018) for delivery of the new programmes in 2019	Achieved – no deviation	None
		Re-accredited nursing programme	Achieved – no deviation	None	
	SO02	O02 Develop, amend, C implement policies, rules p and procedures and C maintain policy register b b d P for	Compilation of an updated policy register (2019)	Achieved – no deviation	None
			Divisional campaign for policies (incl. Gender Policy; Sexual Harassment; Gender- based Violence; Anti- discrimination Policy)	Not achieved	The campaign is scheduled for 2020 financial year
			Policy awareness campaigns for new and existing policies	Not achieved	The awareness is scheduled to take place in the next financial year
	SO03	Develop and entrench an appropriate institutional academic	Reviewed and finalised documented philosophy (2019)	Achieved – no deviation	None
		philosophy and approach that integrates teaching and learning,	Developed a feedback platform for undergraduate and postgraduate students (2019)	Achieved – no deviation	None

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GOAL 1		IMPROVE GOVERNANCE THROUGH ENHANCED OPERATIONS TO SUPPORT THEACADEMIC ENTERPRISE AND ENSURE SUSTAINABILITY						
Strategic Goal 1	Obj. No.	Objectives	Performance Indicators (Targets)	Performance Outcomes	Reasons for Non- achievements			
	S004	Review, develop and implement review findings in existing curricula	Developed and piloted UNIZULU 101 module at undergraduate level (2019) (gender rights, human rights, values of integrity)	Not achieved	Council considered and approved the request to offer UNIZULU 101 in line with goal 4 of the University Strategic Plan (2016-2021) that aims to 'Enhance the quality and Profile of UNIZULU graduates'			
			Developed a comprehensive schedule for programme and departmental reviews (2019)	Achieved – no deviation	None			
			Finalised the programme/ departmental reviews guidelines and criteria (2019)	Achieved – no deviation	The module will be piloted in 2020			
			Approved guidelines for the establishment of academic entities (departments, schools, units, institutes, centres etc.)	Achieved – no deviation	None			
			Within 360 credit programmes, redefine to embed research training/ entrepreneurship into existing modules (2019)	Achieved – no deviation	None			
	SO05	Recruit and retain a qualified cohort of academic and support	Developed a comprehensive women leadership programme	Achieved – no deviation	None			
		staff	Appointed one full professor for each academic department identified as research niche areas	Not achieved	Various Research Niche Areas were identified as specified in Goal 3 SO02			
			Revised recruitment policy for academics in place	Achieved – no deviation	None			
	SO06	Integrate Human Resource Management and development	Approved talent management framework in place (2019)	Achieved – no deviation	None			
			Institutionalised performance management system in place (2019)	Achieved – no deviation	None			

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GOAL 1	IMPROVE GOVERNANCE THROUGH ENHANCED OPERATIONS TO SUPPORT THE ACADEMIC ENTERPRISE AND ENSURE SUSTAINABILITY					
Strategic Goal 1	Obj. No.	Objectives	Performance Indicators (Targets)	Performance Outcomes	Reasons for Non- achievements	
	SO07	Devise a Charter to guide relations between the University and its students	Developed and approved student charter (undergraduate and postgraduate)	Achieved – no deviation	None	
			Developed and approved Community Engagement Charter for staff and students (2019)	Achieved – no deviation	None	
			Analysed results of staff climate surveys (report 2019)	Achieved – no deviation	None	
			Developed staff climate action plan	Not achieved	The activity is planned for 2020 and will be addressed as part of the 2020 Performance Plan	
	SO08	Develop a turnaround strategy for Financial	Approved SCM turnaround plan	Achieved – no deviation	None	
		Management and Governance	Approved Strategic Financial Turnaround Plan	Achieved – no deviation.	None	
			Developed concept for Advancement Office	Achieved – no deviation	None	
			Implementation of the Approved Finance Departmental Structure	Achieved – no deviation	None	
	SO09	Develop a Financial Budgeting and	Introduced Monthly Budget Variance Report	Achieved – no deviation	None	
		Reporting System	Developed budget model	Achieved – no deviation	None	
			Approved budget policy	Not achieved.	The budget policy was developed but has not yet been approved by Council	
	SO10	Ensure effective service delivery to students	Counter Established with Student support (2019)	Achieved – no deviation	None	
			Governance and Student Administration	Achieved – no deviation	None	
			International admissions office in place	Achieved – no deviation	None	
			Conducted workshops on Student Administration and Governance	Achieved – no deviation	None	
			Student surveys in place	Achieved – no deviation	None	
			Extra-curricular activities – quarterly reports on student activities	Achieved – no deviation		

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GOAL 1			HROUGH ENHANCED C		SUPPORT THE
Strategic Goal 1	Obj. No.	Objectives	Performance Indicators (Targets)	Performance Outcomes	Reasons for Non- achievements
	SO11	SO11 Develop an appropriate rural strategy for the University	Alignment of programmes to rural development directives (2019)	Not achieved	A concept document on 'rurality' was developed. Alignment of programmes to the strategy will commence once approved by Council
			Focus on knowledge transfer between communities and the University (2019)	Achieved – no deviation	None
			Explore strengthening of links with other national universities that are rural in character (e.g. CUT, Venda) (2019)	Achieved – no deviation	None
			Approved community engagement and co- creation of knowledge (intermediary platform) in place (2019)	Not achieved	An intermediary platform has been established and the approval will be obtained in 2020
			Conceptualised the Centre for Sustainable Rural Development	Achieved – no deviation	None
GOAL 2		TE A QUALITY TEACH PREHENSIVE UNIVER	IING AND LEARNING EN SITY	IVIRONMENT AS	A
Strategic objectives	 Creation Convint Enh Desting Earling System 	ation of career focused proventional university progrance teaching and learnin ign and develop a cohort a y identification and tracki	Social Sciences programme o ogrammes deepening and en rammes and vocational offeri og analysis for effective instituti ing of at-risk students to be in to support teaching and Lear	trenching the syner ngs. onal planning and m nstituted via the stud	nonitoring
Strategic Goal 1	Obj. No.	Objectives	Performance Indicators (Targets)	Performance Outcomes	Reasons for Non- achievements
Create a quality teaching and learning environment as a comprehensive University	5002	Creation of career- focused programmes deepening and entrenching the synergy between conventional university programmes and vocational offerings	Concluded seminars and workshops on WIL (2019) Concept and business plan completed for the establishment of an entrepreneurship Centre	Achieved – no deviation Achieved – no deviation	None

GOAL 2		TE A QUALITY TEACH PREHENSIVE UNIVER	IING AND LEARNING EN SITY	VIRONMENT AS	S A
Strategic Goal 1	Obj. No.	Objectives	Performance Indicators (Targets)	Performance Outcomes	Reasons for Nor achievements
	SO03	Enhance teaching and learning	Finalised annual report on module-based student success (2019)	Achieved – no deviation	None
			Developed a comprehensive tutorial plan for first- year students	Achieved – no deviation	None
			Implemented tutorials in all subjects for all first-year students (2019)	Achieved – no deviation	None
			Improved success rates of first-year students in high- risk modules	Achieved – no deviation	None
			Trained lecturers on student tracking system	Achieved – no deviation	None
			Introduced individualised student support inter- ventions for students at risk	Achieved – no deviation	None
			Approved learner guides in place and Quality Assured	Achieved – no deviation	None
			Develop a robust student retention strategy	Achieved – no deviation	None
			Mainstreamed the use of Moodle as a teaching and learning platform (enhanced technologies, training of academics, instructional design, accessibility)	Achieved – no deviation	None
			Conducted awareness campaigns on the use of Moodle for both students and staff	Achieved – no deviation	None
	SO04	Design and develop a cohort analysis for effective institutional	Report on cohort study produced and submitted to Senate by July 2019	Achieved – no deviation	None
		planning and monitoring	Obtain estimates of costs and necessary approvals and plan (2019)	Achieved – no deviation	None
			Implementation of plan (2019)	Not achieved	Costs and estimate were received and based on this; the programme was p on hold as it was unaffordable
			Complete integration (2019)	Not achieved	Costs and estimate were received and based on this; the programme was p on hold as it was unaffordable
	SO05	Early identification and tracking of at-	Implemented learning analytics tracking System	Achieved – no deviation	None
		risk students to be instituted via the student management system	Piloted the use of a smart card for staff and students	Not achieved	A policy on access was developed that incorporates staff a student access car

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GOAL 2		TE A QUALITY TEACH PREHENSIVE UNIVER	HING AND LEARNING EN SITY	IVIRONMENT AS	5 A
Strategic Goal 1	Obj. No.	Objectives	Performance Indicators (Targets)	Performance Outcomes	Reasons for Non- achievements
	SO06	LIS to provide quality service to support Teaching and Learning	Explore ways in which current information may be used more effectively (2019)	Achieved – no deviation	None
		and Research	Determine recommendations improvements and implement (2019)	Achieved – no deviation	None
			Implemented triennial reviews for support services (2019)	Achieved – no deviation	None
			Completed Service Level Agreement/s in place across different levels of various academic and support divisions, and external service providers	Achieved – no deviation	None
GOAL 3	ENHA	NCE RESEARCH AND	INNOVATION		
	• Eng	age the Postgraduate offi	ce in training around ethics a	nd ethical clearance	to improve the
	stan • LIS t	dard and quality of maste	er's and doctoral dissertations to support Teaching and Lear	5	to improve the
Strategic Goal 1	stan • LIS t • Staf Obj.	idard and quality of maste to provide quality service	er's and doctoral dissertation: to support Teaching and Lear e developed Performance Indicators	s ning and Research Performance	Reasons for Non-
Strategic Goal 3: Enhance research	stan • LIS t • Staf	idard and quality of maste to provide quality service f retention strategies to b	er's and doctoral dissertation: to support Teaching and Lear e developed	s ning and Research	e to improve the Reasons for Non- achievements None
Strategic Goal 1 Strategic Goal 3: Enhance research and innovation	stan • LIS t • Staf Obj. No.	dard and quality of master to provide quality service f retention strategies to b Objectives Conceptualise an enriched Community	er's and doctoral dissertation: to support Teaching and Lear e developed Performance Indicators (Targets) Approved CE Policy (2019). Established strategic CE	s ning and Research Performance Outcomes Achieved – no	Reasons for Non- achievements None With the establishmen
Strategic Goal 3: Enhance research	stan • LIS t • Staf Obj. No.	dard and quality of master to provide quality service f retention strategies to b Objectives Conceptualise an enriched Community	er's and doctoral dissertations to support Teaching and Lear e developed Performance Indicators (Targets) Approved CE Policy (2019). Established strategic CE plan and operationalise Assessed the impact of CE research programmes for both academics and	s ning and Research Performance Outcomes Achieved – no deviation	Reasons for Non- achievements None With the establishmer of the implementation mechanisms in 2019, this will be deferred to 2020 The 2019 research outputs are being captured. DHET gave extension for the audi report (30 May). The outcome to confirm conference attendance
Strategic Goal 3: Enhance research	stan LIS 1 Staf	Active mentoring of young/new researchers Increase the University	er's and doctoral dissertations to support Teaching and Lear e developed Performance Indicators (Targets) Approved CE Policy (2019). Established strategic CE plan and operationalise Assessed the impact of CE research programmes for both academics and postgraduate students Increased conference attendance (2018-2019) with commitments to firm	s ning and Research Performance Outcomes Achieved – no deviation Not achieved	Reasons for Non- achievements None With the establishmer of the implementation mechanisms in 2019, this will be deferred to 2020 The 2019 research outputs are being captured. DHET gaves extension for the audi report (30 May). The outcome to confirm conference attendance output is pending the

GOAL 3	ENHANCE RESEARCH AND INNOVATION						
Strategic Goal 1	Obj. No.	Objectives	Performance Indicators (Targets)	Performance Outcomes	Reasons for Non- achievements		
			Increased number of active researchers by 5%	Achieved – no deviation			
			Increased the accredited master's and PhD research output by 5%	Achieved – no deviation	None		
			Implemented research niche area (RNA)	Achieved – no deviation	None		
			Completed concept on feasibility of marine biology research centre	Not achieved	Discussion commenced but not completed		
			Completed concept on the establishment of a malaria research centre	Not achieved	Several researchers in the Faculty of Science and Agriculture are involved in malaria research, looking at various aspects of malaria, i.e. disease prevention, health care, socio-economic impact and vector control. The co-development of the Malaria Research Group and the Research Niche Area directed by Prof. Kappo: Health and Food security was discussed but not completed		
			Investigated the feasibility of a primary healthcare niche area	Not achieved	The discussions thereof commenced; however, it was halted by the resignation of the DVC: Research and Innovation		
			Conducted 4 inaugural addresses (2019)	Not achieved	Three inaugural Addresses were successfully held		
			Conducted 3 public lectures	Achieved – no deviation	None		
			Monitored the research output produced by postdoctoral fellows	Achieved – no deviation	None		
	SO03 Promote, advocate and raise awareness of the value of innovation	SO03	raise awareness of the	Conduct awareness workshops on tech transfer and IP	Achieved – no deviation	None	
			Included innovation in the intermediary platform system	Achieved – no deviation	None		
			Established partnership with NIPMO funding for a tech transfer office – obtain internal approval for application 2019	Achieved – no deviation	None		

GOAL 3	ENHA	NCE RESEARCH AND	INNOVATION	N		
None	Obj. No.	Objectives	Performance Indicators (Targets)	Performance Outcomes	Reasons for Non- achievements	
	SO04	Engage emerging researchers and support/ reward research activity	Skills development training conducted (ethics proposal development, academic writing, supervision training etc.)	Achieved – no deviation	None	
			ldentified 16 African women (4 per faculty)	Not achieved	The University currently does not have a set of African Women for identification. UNIZULU have embarked on identifying these empowerment targets as they emerge. However, we are aggressively engaged in the promotion process	
	SO05	Develop Research Operational Plan	Implemented Research Strategy and Faculty Research Operational Plans (2019)	Not achieved	The Research Strategy and Faculty Research Operational Plans was developed, however the document was eventually not timeously approved by relevant structures	
	SO06	Engage the Postgraduate office in training around ethics and ethical clearance to improve the standard and quality of	Conducted feasibility analysis for the establishment of a dedicated postgraduate function	Achieved – no deviation	None	
		master's and doctoral dissertations	All positions filled in the Research Office	Not achieved	The process was halted by the resignation of the DVC: R&I	
	SO07	LIS to provide quality service to support Teaching and Learning and Research	Monitored usage of postgraduate research commons and investigated its expansion	Achieved – no deviation	None	
	SO08	Staff retention strategies to be developed (Women with PhDs)	Developed an Institutional Talent Management Strategy	Achieved – no deviation	None	

GOAL 4	ENHA	NCE THE QUALITY A	ND PROFILE OF UNIZUI	U GRADUATES													
Strategic objectives	 Provide supportive teaching and learning environment for UNIZULU students General support continued technological and collaborative specific institutional support for students and staff Engage with alumni to maintain lifelong relationships with UNIZULU Develop a core module Develop academics and enhance scholarship 																
GOAL 4	ENHANCE THE QUALITY AND PROFILE OF UNIZULU GRADUATES																
None	Obj. No.	Objectives	Performance Indicators (Targets)	Performance Outcomes	Reasons for Non- achievements												
Enhance the quality and profile of UNIZULU graduates	SO01	Provide a supportive learning and teaching environment for	Institutionalised the UNIZULU Graduate Attributes Framework	Achieved – no deviation	None												
		UNIZULU students	Developed a framework for course outlines reflecting level descriptors, assessment strategies, and weighting of assessment tasks linked to stated outcomes	Achieved – no deviation	None												
		Conducted workshops on development of course outlines	Achieved – no deviation	None													
			Developed faculty-based student mentoring plan to ensure student success	Achieved – no deviation	None												
	SO02	General support, continued technological	Developed an E-learning Strategy	Achieved – no deviation	None												
														and collaborative specific institutional support for students and staff	Conducted training for academics on the use of e-learning platforms	Achieved – no deviation	None
		and staff	Study conducted on identification of students and barriers to learning and action plan submitted to Senate (2019)	Achieved – no deviation	None												
	SO03	Engage with alumni to maintain lifelong	Established an Alumni Relations Office	Achieved – no deviation	None												
		relationships with UNIZULU	Implemented the Alumni Relations Strategy and Plans	Not achieved	Policies and strategies for Alumni Relations tabled for adoption												
			Developed and maintained alumni database	Achieved – no deviation	None												
			Conducted tracer studies on selected alumni professional areas	Achieved – no deviation	None												
	SO04	Development of a core module	Completed benchmark	Achieved – no deviation	None												
			Workshop conducted per faculty	Achieved – no deviation	None												
			Implement a core module in 2019	Achieved – no deviation	None												

GOAL 4	ENHA	NCE THE QUALITY A	ND PROFILE OF UNIZUL	U GRADUATES	
None	Obj. No.	Objectives	Performance Indicators (Targets)	Performance Outcomes	Reasons for Non- achievements
	SO05 Development of Academics and Enhancement of Scholarship	Academics and Enhancement of	Conducted benchmarking to identify the attributes of a UNIZULU staff member (academic and non- academic)	Achieved – no deviation	None
			Increased number of academic staff with PhDs by 1% annually (of full-time academic staff)	Achieved – no deviation	None
			Developed and rolled out Programme for Academic Portfolio Development for Academics (2019)	Achieved – no deviation	None
			Developed platform for academics to share research on their teaching and learning experiences, including repository (2019)	Achieved – no deviation	None
			Achieved 2% annual increase in the research papers on Teaching and Learning (2019)	Achieved – no deviation	None
	SO06	Recruit and retain a qualified cohort of Academic staff	Recruited and retained a qualified cohort of academic staff	Achieved – no deviation	None
GOAL 5		LOP WAYS TO MANA	GE THE NATIONAL, REG	IONAL AND INT	RNATIONAL
Strategic Objectives			tegies to internationalise the ompetence in learning platfor		urricula
None	Obj.	Objectives	Performance Indicators	Performance	Reasons for Non-
	No.		(Targets)	Outcomes	achievements
Develop ways to manage the national, regional	SO01	Identify and implement strategies to internationalise	Draft strategy on Internationalisation of UNIZULU in place	Achieved – no deviation	None
and international reputation of		the Institution and its curricula	Reviewed curriculum in line with strategy	Achieved – no deviation	None
UNIZULU			Reviewed Memoranda of Understandings (MoUs) and Memoranda of Agreements (MoAs)	Achieved – no deviation	None
			Developed an institutional research and teaching collaborations database Workshopped DHET policy on internationalisation	Achieved – no deviation	None

GOAL 6	ACCELERATE INFRASTRUCTURE DEVELOPMENT					
Strategic objectives	 Revi Con Dev Dev Staf Obt Dev 	iew, assess and replace so figure campus security sys	stems to ensure appropriate a to adapt and respond to the r npus CT staff) nd Safety Certification r Plan for the University	access to assessmen	ts	
None	Obj. No.	Objectives	Performance Indicators (Targets)	Performance Outcomes	Reasons for Non- achievements	
Strategic Goal 6: Accelerate infrastructure development	SO01	Explore alternate avenues of funding to address the uncertainty of the government (DHET) subsidy	Concluded funding agreement with DBSA and Infrastructure Investment Programme for South Africa (IIPSA) for student residences (2019)	Achieved – no deviation	None	
			Commenced development of student housing in partnership with JLD (2019)	Not achieved	The University has conducted a spatial framework and appointed a new project manager. The partnership with JDL was terminated	
			Commenced development of student housing using the Presidential Infrastructure Fund (2019)	Achieved – no deviation	None	
			Explored options from private developers	Achieved – no deviation	None	
	SO02	Review, assess and replace IT hardware and software as needed	Implemented electronic management system for all statutory bodies (2019)	Achieved – no deviation	None	
			Established biometric platform for implementation	Not achieved	UNIZULU has applied for funding for the Biometric Platform project and a funding proposal was submitted to DHET	
			Established online submission system for postgraduate assessment reports	Not achieved	The platform will be explored once Integrator 4.1 has been implemented	
			Establish an online submission system for postgraduate research and ethics proposals	Not achieved	The platform will be explored once Integrator 4.1 has been implemented	
			Commenced process of ITS optimisation towards a paperless environment in the finance department	Achieved – no deviation	None	
			Transferred fixed asset register from SAP to ITS	Achieved – no deviation	None	

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GOAL 6	ACCE	ACCELERATE INFRASTRUCTURE DEVELOPMENT						
None	Obj. No.	Objectives	Performance Indicators (Targets)	Performance Outcomes	Reasons for Non- achievements			
			Commenced with replacement of ICT infrastructure (incl. computing devices)	Not achieved	An assessment of the state of ICT infrastructure was concluded and renewal plans have been developed to ensure replacement			
			Commenced implementation of Infrastructure Management System	Achieved – no deviation	None			
			Committed 50% of ICT efficiency grant maintenance funding	Achieved – no	None			
			Commenced implementing the business continuity and cyber security project	Achieved – no deviation	None			
			Established an online student residence booking and allocation system linked to billing	Achieved – no deviation	None			
	SO03	Campus Security Configure campus security systems to ensure appropriate access to assessments	Developed plan for install- ation of security cameras	Not achieved	The University has revisited its campus security requirements A Strategic Security Plan was developed after a Threat and Risk Assessment. New policies and procedures were developed, and a proposal was submitted to DHET for HDI Grant Funding on Integrated Security			
			Completed report on review of appropriate monitoring of CCTV Monitoring System	Achieved – no deviation	None			
			Commenced with the construction of perimeter fence	Not achieved	The construction of the perimeter fence has been aligned to the new infrastructure project and will commence in 2020			
		Concluded the installation of security-related hardware and software	Not achieved	A tender specification document was developed on ICT Core Infrastructure and systems renewal				
			Concluded implementation of campus lighting project	Not achieved	The project has commenced but is not concluded			
			Completed reconfiguration of the main gate and all other access points	Achieved – no deviation	None			

GOAL 6	ACCE	ACCELERATE INFRASTRUCTURE DEVELOPMENT						
None	Obj. No.	Objectives	Performance Indicators (Targets)	Performance Outcomes	Reasons for Non- achievements			
	SO04	Develop an ICT strategy able to adapt and respond to the needs of UNIZULU	ICT Strategy Developed – Completion 2019	Achieved – no deviation	None			
			Approved ICT structure for the implementation of the ICT Strategy	Achieved – no deviation	None			
			Commenced with the implementation of the ICT Strategy and framework	Achieved – no deviation	None			
			Finalised service level agreements with all ICT service providers	Not achieved	Tenders on ICT implementation has been prepared			
			Installed appropriate security control systems in teaching venues	Not achieved	With the new integrated security plan as well as a full ICT audit, this has been postponed in line with the new pla			
	SO05	Develop the single, virtual campus	Completed installation of Wi-Fi_33 network	Achieved – no deviation	None			
			Installation of modern ICT infrastructure in lecture halls	Not achieved	With the new integrated security plan as well as a full ICT audit, this has been postponed in line with the new pla			
	SO06	Staff capacity development (ICT staff)	Completed staff development/training on the use of ICTs for staff and students	Achieved – no deviation	None			
	SO08	SO08 Obtain Occupational Health and Safety certification	Specialised audit of Occupational Health and Safety systems	Achieved – no deviation	None			
			Introduced indemnity forms for staff and students	Achieved – no deviation	None			
			Finalise policy on storage, access and disposal of hazardous waste and chemicals	Not achieved	A full audit on laboratories were conducted and the policy will be developed in 2020			
	SO09	Develop Infrastructural Master Plan for the University	Approved University Infrastructure Master Plan based on Academic philosophy, enrolment plan and business plan	Achieved – no deviation	None			
			Completed all concept and detailed designs for all funded projects	Achieved – no deviation	None			
			Complete needs assessment	Achieved – no deviation	None			
			Commenced with construction of turnkey project design	Not achieved	The Prioritisation Plan was developed and approved by the Infrastructure Steering Committee			

GOAL 6	ACCELE	RATE INFRASTR						
None	Obj. No.	Objectives	Performance Indicators (Targets)	Performance Outcomes	Reasons for Non- achievements			
			Completed design for infrastructure funding from DHET (engineering building, multi- purpose lecture theatre, law, music and social work building) (May 2019)	Not achieved	Planning commenced however, constructior did not begin due to the entire redesign and reprioritisation of building projects			
			Appointed contractors for construction of DHET projects (engineering building, multi- purpose lecture theatre, law, music and social work building)	Not achieved	A project manager was appointed for the projects			
			Constructed 500 temporary beds student decanting facility	Not achieved.	A project manager was appointed for the projects			
			Commenced construction of old VC's house	Achieved – no deviation	None			
			Completed detailed designs for second phase of student accommodation (R235 million – DHET)	Achieved – no deviation	None			
			Completed concept for central analytical lab for housing of high-end laboratory equipment	Not achieved				
			Approved three-year maintenance plan in place	A project manager was appointed for the projects to start the process	A project manager was appointed for the projects			
			Approved Policy on Infrastructure Planning	Achieved – no deviation	None			
			Completed planned maintenance for 2019 in accordance with approved maintenance plan	Achieved – no deviation	None			
			Complete total refurbishment of either Mtshali, Africa, or New York Residence	Not achieved	The procurement process for the appointment of maintenance and refurbishment contractors has commenced			
			Completed construction of Executive parking area	Not achieved	The designs have been finalised and procurement is being put in place			
			Completed concept designs for upgrade of Transnet building into Postgraduate Building	Achieved – No deviation	None			

GOAL 6	ACCE	ACCELERATE INFRASTRUCTURE DEVELOPMENT						
None	Obj. No.	Objectives	Performance Indicators (Targets)	Performance Outcomes	Reasons for Non- achievements			
	SO10	Design online registration system and conduct pilot	Implemented Phase 4 of online registration project to full completion in 2020	Achieved – no deviation	The University revised its academic structure to effect full online registration in 2020 in line with Phase 4 of the online registration project. The structure was also audited in 2019 to ensure alignment with the university's PQM			

GRANTS AND ADDITIONAL RESOURCES

Between January and December 2019, various grant applications and reports were submitted to DHET. These included narratives, financial reports and audit certificates. The narratives were developed by grant holders and the Department of Finance provided financial statements and audit certificates. The Office of the Executive Director of Institutional Planning coordinated report writing and submission to DHET. Table 14 displays earmarked grants (funding envelopes and infrastructure projects) for the year 2019 and how the University performed against these approved targets.

GRANT DESCRIPTION	MINISTERIAL APPROVED (R)	RECEIVED ALLOCATION 2019 (R)	ACTUAL SPENT 2019 (R)	REASON FOR DEVIATION
University Capacity Development Grant (UCDG)	20 168 000	12 918 312	12 803 442	There was also a commitment of R2 479 352, which brings the total spending to date to R15 282 794 The difference between the received and approved column is the unspent amount carried over from 2018
University Development Grant for the University Staff Doctoral Programme	5 000 000	0	1 865 173	The R5 million grant was allocated and received in 2018 to be spend over a number of years Spending in 2019: R847 581 Spending in 2018: R1 865 173 TOTAL: R 2 712 754
Foundation Provision Grant	3 481 000	3 481 000	3 481 000	No deviation
Historical Disadvantaged Institutions – Development Grant	45 498 870	45 498 870	12 591 145	A total of R213 million was allocated and received for the period from 2016/2017 to 2020/2021. The spending of R12.6 million is the total spending to date
Clinical Skills Training Grant	13 499 575	8 829 000	8 148 028	As at the reporting date for the grant (31 March 2020) the picture looks much better due to increased spending after year end
nGAP	10 000 000	10 000 000	0	No deviation as the R10 million was received to be spent over a number of years

Table 14: Funding Envelopes and Infrastructure Projects (2019)

	Infra	structure and E	fficiency Grants	3
(i) Infrastructure and Development Grant – R438m	438 495 000	0	29 635 194	
(ii) Infrastructure and Development Grant – R120m	120 000 000	0	25 744 330	
(ii) Infrastructure and Development Grant – R50m	50 000 000	0	0	The University established a Spatial Development Framework and updated
(iii) Infrastructure and Development Grant – R51m	51 523 893	0	17 116 345	the policy framework, which would enable spending going forward
(iv) Infrastructure and Development Grant – R35m	35 000 000	0	6 617 219	
(v) Infrastructure and Development Grant – R28m	378 000 000	0	0	

CHE RECOMMENDATIONS AND IMPROVEMENT PLAN

In addition to the KPIs for the year under review, as set out in the 2019 APP, UNIZULU set out to achieve the Key Performance Objectives (KPOs), as stipulated in the Improvement Plan that emanated from CHE's 2017 Special Audit Report. In total, four progress reports were submitted to CHE in line with the Improvement Plan, with the final progress report submitted in December 2019. As stated in the approved UNIZULU Special Audit Improvement Plan 2018, the recommendations made by the DHET Administrator in 2013 and the recommendations of the CHE Audit of 2010 were linked and embedded into the recommendations of the CHE Special Audit Report of 2017.

The narrative presents each CHE Special Audit recommendation and explains how the University has addressed that particular recommendation.

 Recommendation 1: The HEQC recommends that the University put in place a programme for the induction of new Council and Management members, performance management for all staff, planning for gender-sensitive succession and ensure continuity in executive leadership and senior management.

Workshops and inductions are continually conducted and held to ensure that new Council members are aware of their governance responsibilities and enable existing members to remain alert and ensure that good governance practices are constantly adhered to, implemented and monitored. Induction and workshops have also been extended to all other governance structures such as Senate, Institutional Forum, Management Committee, SRC and Faculty Boards. This ensures that governance is embedded at all levels and not only at Council level. The Governance Guide of Council contains all the relevant governance documents and is constantly updated when policies are revised or created or when new legislative changes are made to the HE landscapes, which impacts on the role of Council.

The University has institutionalised performance management across all faculties and support divisions. As part of the system, the University has established guidelines that are communicated to all managers in time to formalise performance reviews on an annual basis Performance reviews were conducted in July 2019, with final performance assessments for 2019 in November. Guidelines regarding the process have also been issued to all staff. The system runs through a portal with an access provided to those who conduct performance reviews. All line managers and academic staff have access to the Performance Management E-learning portal, which provides detailed information on the performance management system.

The University has a well monitored Employment Equity Plan that intends to attract women into leadership and management positions. This is reinforced in selection committees that are constantly provided with statistics on equity targets to guide appropriate equity-based selection of staff into leadership and management positions. In addition to this arrangement, the University has put in place various leadership development programmes to help develop leadership and management among women employees. The development programmes targeted at grooming women for leadership roles form part of the University's succession planning. In addition, the University is committed to building capacity of all staff, in particular women. This is done in collaboration with the South African Technology Network (SATN). The programme involves assisting staff members to obtain doctoral qualifications. Fifty staff members are enrolled in the programme. The University is going way beyond the conservative estimation of the increase reflected in its Improvement Plan.

Consultation to develop an explicit leadership (Peromnes Grades 1 to 4) Succession Plan is in process. While this process is underway, the University has, in the past two years, identified and appointed two female deans and exposed them to development programmes as a way of ensuring that there are more women in management structures of the University. While the University recognises that female representation in the higher echelons is a national challenge, it is pleased with the progress and efforts it is making. The University remains committed to ensuring gender equity and equality in leadership positions and will continue striving to achieve and maintain this public ideal.

 Recommendation 2: The HEQC recommends that the University of Zululand Council, following good sector and corporate practice, arrange for annual reviews of the performance of Council, its committees and members.

Council understands the importance of annual performance reviews of its committees and members. Council has committed itself to yearly internal evaluations in line with the DHET Performance Assessment requirement. Council has also committed itself to be externally reviewed every three years. External review by the Institute of Directors of South Africa (IODSA) was conducted in 2017 and internal reviews in 2018 and 2019. This was done to be in line with the DHET Performance Scorecard in 2018 and 2019. To enhance performance assessment, Council resolved that all institutional committees and its members be assessed yearly. An internal assessment tool, based on the principles of the DHET Scorecard, has been developed and this has been used to assess Council committees and will be used onwards.

Recommendation 3: The HEQC recommends that the University give considered attention to physical planning and infrastructure development, aligned with funding, to enable a University campus environment that is conducive to teaching and learning, and research.

Infrastructure Development projects are scheduled from the end of April 2020, since the year under review has laid the groundwork for plans, processes and systems. The year under review was used as an extensive planning year, which covered the development of

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spatial frameworks, development of specifications for tenders, setting up of infrastructure steering and approval systems and structures, the appointment of a project management firm for all infrastructure projects, the rolling out of the community liaison programmes for stakeholder consultation and involvement, the conduction of geotechnical studies and various feasibility studies. The success of all these initiatives is mainly derived from the guidance provided by the DHET Support Team that built the Mpumalanga University, Sol Plaatjie University and Wits. The University continues to work with the DHET team that guided the development of specifications for five-year framework agreements with five possible construction companies, three maintenance companies and professional services firms. The use of framework agreements, as proposed by the Infrastructure Procurement Policy, allows the University the opportunity to issue task order to any of the five construction companies based on performance in previous tasks without having to go out to tender for each and every single construction project. As advised by the DHET Infrastructure Support Team, the University has had to re-advertise the tender for professional services, which includes Architectural services, Landscape Architecture, Civil Engineering, Electrical Engineering, Geotechnical Engineering, Mechanical Engineering, Structural Engineering, Project Management Services, Health and Safety, Environmental Compliance Monitoring and Bulk Services Master Planning. The evaluation of submissions for tenders for professional services firms is underway, the deadline for the appointment is aligned to the broader infrastructure development programmes.

Mosebo Consulting, an external experienced Infrastructure Project Management Team has developed a programme that covers all infrastructure projects depicted in the Infrastructure roll-out plan approved by Council and prioritised by EXCO and the DHET Infrastructure Support Team. This plan maps out the schedule of all construction events and activities. In addition, the University has established an Infrastructure Steering Committee that oversees high-level planning and makes decisions on infrastructure plans, costing, budgets and contractual agreements. The inaugural meeting of this committee was held on 8 August 2019. The committee made various decisions and approved the UNIZULU Spatial Framework, the development of the construction providers' database, the acquisition of the infrastructure procurement system, framework agreement specifications for construction companies in line with the newly approved Infrastructure Procurement



Policy, and the appointment of the community liaison firm to perform these duties across all projects.

The Spatial Framework has various precincts, including the Main Entrance Precinct; Student Accommodation Precinct; the KwaDlangezwa Academic Precinct; the Facilities Precinct; KwaDlangezwa Academic Administration Precinct; Richards Bay Academic Precinct, and the Richards Bay Student Accommodation Precinct. Council approved the SCM Policy with a dedicated chapter on infrastructure procurement. The policy makes provision for the appointment of five construction companies over a period of five years to be given task orders based on performance to continue with more construction projects. With the assistance of DHET, the University has developed specifications for professional services that will be acquired through a tender process. A community consultation and liaison project has commenced during the year under review and various activities have been implemented. The database for construction SMMEs is being developed to create job opportunities for local small businesses and labour. Significant progress has been made in the development of infrastructure plans, governance processes and systems. A solid base in terms of plans and governance imperatives has been laid for a smooth rollout of the infrastructure development programme.

Recommendation 4: The HEQC recommends that the University gives attention to

ensuring, in alignment with the Institutional Statute, that good governance mechanisms are in place, functioning well and are being regularly monitored.

The University reviewed its Institutional Statute, which was approved by the Minister of Higher Education and Training on 19 October 2018. Several mechanisms and monitoring instruments have been implemented to enhance governance. From a committee point of view, these include active monitoring of ethical conduct, functional committees with training and performance evaluations, monitoring of strategic objectives, active reporting and accountability and the development, revision and monitoring of the implementation of policies.

Council approved in 2015, as part of an enhanced student administration system and strengthening of internal control, a five-year plan to establish online registration. The plan entails revising the entire academic structure, ensuring alignment to the approved PQM of the Institution. The ITS system had to be updated and validations set to ensure a fully functioning backbone, before online registration could be considered. The project divided into five phases has been successfully implemented since 2015 and UNIZULU will embrace full online registration in 2020. System reviews were also implemented to enable the 'auto-promotion' of students. The University embarked on a project, funded through the HDI grant to consolidate all student information. A new certification system has been procured and is being implemented. The new certification system has enhanced security features and will significantly transform certification at UNIZULU with a linked system for digital authentication of certificates. A three-layered mark verification process that ensures the integrity of assessment has been implemented and all processes are governed through policies, procedures and guidelines and actively monitored to ensure optimal internal control. With enhanced ICT processes, actively monitored through regulatory monitoring systems, the Institution has significantly progressed in its governance processes.

 Recommendation 5: The HEQC recommends that the University Council commission a review of the appropriateness and effectiveness of the operational model of the Foundation of the University, in consultation with the trustees, Vice-Chancellor and senior management.

Council conducted a financial review on the Foundation and resolved that the Foundation should be dissolved and replaced by an 'advancement office'. Benchmarking on this office has been completed, however, a court application had to be sought to wind up the Foundation, considering the unwillingness of the Board to appoint a liquidator. Once the court has finalised the matter, the Advancement Office will be established, guided by the completed benchmarking exercise.

 Recommendation 6: The HEQC recommends that the University address the Administrator's identified issues related to staff housing and human resources-related strategies and policies.

The Institution, together with DHET, has developed a comprehensive plan on infrastructure. The plan includes converting existing buildings into conferencing venues, building additional venues for large conferences and creating offices for various centres, including the Research and Innovation Office; Postgraduate Office; the Centre for Teaching and Learning; Graduate Entrepreneurship Training Centre; International Office; Community Engagement Office; and the Quality Assurance Office. Key issues such as land use, erven division, access, parking, servicing, orientation, heights and overall building proportions have been addressed during the year under review. A proposal for additional funding has been submitted to DHET for the HDI Grant funding.

In addition, the Institution has completed an inventory of all housing units and revised its policy on staff housing, which documents conditions for the occupation by different occupant classes, including executive houses that were approved by Council. An audit of occupants was conducted, although the DHET Infrastructure Support Team has recommended that the University ceases to provide staff housing on campus and convert available space for academic use. This recommendation is being addressed through infrastructure development initiatives. The University is exploring expression of interest on private staff accommodation provisioning so that staff can enter into lease agreements with private landlords and the remaining houses be converted for core University operations. While backlog maintenance has been addressed for many staff houses, this does not include major renovations based on the new strategy recommended by the DHET Infrastructure Support Team. The Institution's negotiations with the Department of Public Works and Infrastructure Development are at an advanced stage and the University is awaiting a final decision from the national and provincial authorities of the Department on the possibility of the transfer of Public Works Houses to the University.

Recommendation 7: The HEQC recommends that the University of Zululand, to ensure quality provision and transformation priorities, give attention to recruitment and retention of appropriately qualified staff in order that the many outstanding vacancies are filled, as well as giving attention to diversifying the male-dominated leadership.

The number of staff with PhDs has risen to 49.5%, which is a reasonably good achievement in comparison to the national picture of other universities. A master's degree is a requirement for appointment into academic positions. Staff are being encouraged to pursue PhDs to increase the supervision and publishing capacity of the University. The University is committed to building capacity of all staff to obtain the PhDs in collaboration with the South African Technology Network (SATN). The focus of this capacity building is on women. Out of 49 who are participating in the programme, only 16 are male. UNIZULU takes talent management seriously. The University hosts, among others, The Vice-Chancellor's Teaching Excellence and Research Awards on an annual basis as a way of incentivising hard work and recognition of success despite challenges. These have become a common feature that has propelled performance to even higher levels and ensured that the University retains them. The same can be said regarding the annual Vice-Chancellor's Research Excellence Awards. UNIZULU's



retention rate now sits above the national benchmark. As a means to retain academic staff, the salaries were adjusted in 2018, making these comparable and better than at other institutions. Besides the Equity Plan, which guides envisaged improvement in retention rates, the University is rolling out the e-Recruitment system that was funded through the DHET HDI Grant. The University has worked hard to reduce the vacancy rate. Consolidation and integration of the functions and operations of the Richards Bay and the KwaDlangezwa campuses continue to bring about better filling of posts and rationalisation of functions in line with human resources deployment.

 Recommendation 8: The HEQC recommends that the University take steps to ensure harmonious labour relations by facilitating adequate representation, and restoring appropriate platforms for engagement between management and labour representatives for negotiation and consultation on their interests and concerns.

The Management and Staff Forum has been established. Members have attended two capacity building sessions, namely Building Workplace Relations facilitated by the CCMA and Conflict Management by LJM and Associates and TOKISO. The platform is used as a platform to deal with issues affecting staff and may continue existing as a conduit facilitating good relations between staff and management even if a recognised union was to exist. The forum is well representative of all staff constituencies and management. Issues raised in the Staff and Student Climate Survey are being addressed, and these include enhanced security, and an institutional culture of critical engagement. The concerns raised in the CHE Special Audit Report regarding staff moral have been addressed through this empirical study.

 Recommendation 9: The HEQC recommends that the develop and implement a risk management strategy to the University risk register, which would enable reporting and monitoring of steps taken to manage identified institutional risks.

The University's risk management strategy is being duly implemented through an approved risk policy. The Risk Register is aligned to the University Strategic Plan with risks assigned to risk owners. The risk monitoring process is fully implemented as more fully set out in the report on risk assessment as well as the report of the ARCC.

 Recommendation 10: The HEQC recommends that the University, and its Senate in particular, take urgent steps to implement its rules for duly performed systems (DPs) and for readmission on academic grounds for the second semester 2018, after consultation with the SRC.

The University prefers to use Year Mark instead of DP. The use of DP evokes notorious connotations as it is perceived by the student body as an instrument of social and academic exclusion used to prevent students from writing final examinations. The University had a moratorium on its exclusion rules, which had been amended and approved by Senate for implementation in 2020. In the absence of the SRC, the University has consulted with the SRC administrator on the implementation of the

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CHE recommendation on institutional rules. Considering the recent developments at other HEIs in the region, as well as the absence of a duly elected SRC for 2019/2020, the University decided to manage the risk by delaying the explicit implementation of the rule until 2020. The institutional rules were revised and Council approved them for implementation in 2020.

Recommendation 11: The HEQC recommends that the University consider a strategy that will address issues of institutional reputation based on goals and activities that will result in demonstrable progress, and in the process promote a positive outlook for the University.

The University has embarked on a large-scale programme of repositioning UNIZULU as a home of expertise and intellectual engagement. Repositioning and rebranding the University will require, among other things, promoting the its achievements, activities and events of significance, expanding its general visibility and ensuring that accurate information is conveyed to the public regarding incidents and issues of a controversial and/ or sensitive nature. A public platform was established to encourage academics to participate, shape and influence the public discourse using the vantage of their scholarship. Various prominent academic events have been held at

the University. These were publicised through strategic placement of thought pieces in the media space. The idea is to reposition the University academics as experts in a variety of subjects. This is a work in progress but there is no doubt that the University has begun to address its reputation. Programmes and processes are in place and are set to be sustained through repetitive efforts and strategic initiatives. Academic achievements not sufficiently celebrated in the past are now placed in the public domain for reputation building. The above efforts are not only good for the reputation of the University but also serve as confidencebuilding mechanisms for both students and staff.

Recommendation 12: The HEQC recommends that the University give urgent attention to the Panel's identified issues that have been raised with respect to the Richard's Bay Campus, including accreditation of new programmes, maximising the use of facilities and the development of appropriate strategies for teaching and learning.

The University submitted an application for two Engineering programmes (1) BEng Electrical Engineering, and (2) BEng Mechanical Engineering to CHE for accreditation. In addition, the Engineering Council of South Africa (ECSA) endorsed four BEng Degree and five Diploma programmes that have been developed by the Institution. The offering of Engineering programmes is informed by the University's Business Plan. The University has developed the timetable for offering BEng programmes at Richards Bay Campus in 2021 using the existing infrastructure while developing the Engineering facilities. The developed spatial framework of the Institution now incorporates Engineering as part of the future of UNIZUU. As part of efforts to strategically position the Richards Bay Campus and its Engineering programmes, an ECSA symposium and engagements with the Richards Bay Industrial Development Zone were held during the year under review. Both these engagements have paved the way for richer collaboration between UNIZULU and the RBIDZ and ECSA. The Provincial Department of Economic Development has expressed willingness to allocate space for the development of engineering facilities next to the RBIDZ Techno Park with the view to making UNIZULU Engineering programmes an integral part of the research and innovation produced through the Techno-park. These engagements are ongoing with the view to ensuring close collaboration between the RBIDZ and the University.

Recommendation 13: The HEQC recommends that the University, and its Senate in particular, strengthen teaching and learning strategies and processes for student success; review the number of learning programmes offered; and train staff and students in the use of its online learning management system.

Teaching and learning strategies are strengthened first through the design and implementation of quality programmes that are progressive and responsive to the needs of the students and those of the communities that the University purports to serve. To this end, the University has strengthened and broadened its curriculum offerings. For example, new Bachelor of Engineering (Electrical and Mechanical Engineering) programmes have been successfully included in the University's PQM en route to accreditation by CHE and registration by the South African Qualification Authority (SAQA). Other than that, the Bachelor of Engineering (Civil and Chemical) programmes are going through the internal approval processes of the University before they are submitted to the DHET for PQM inclusion approval, CHE for accreditation and SAQA for registration.

The University held a workshop on new learning areas and programmes with the aim of exploring new learning areas that could be introduced at UNIZULU. As a result, the University is currently busy developing programmes in food technology and security; data science; animal health and programming. The University submitted an expression of interest to DHET to offer programmes in Veterinary Science and Animal Nursing. There is a compelling case for the Veterinary Department/School to be situated at UNIZULU at the Richards Bay Campus in the near future. The School would leverage an established and respected Faculty of Science and Agriculture with a credible research record; and it would produce veterinarians that are well suited for both the urban and rural environments. The University of Zululand provides an ideal location for a community service-orientated clinical platform, with mobile clinics complimenting the clinical service. Preliminary reviews indicate a skills shortage in the veterinary services in South Africa such that there is a significant number of state veterinarians that are expats from neighbouring countries.

Teaching and learning strategies are further strengthened through a strong and enabling policy regime. The Council approved, during the year under review, several teaching and learning policies, frameworks and strategies. Among these is the Framework for the Alignment of UNIZULU Core Business, which provides the overarching theoretical and philosophical basis for the practices of teaching and learning at the University. Focus herein is on defining and understanding what the notion of a rural-based comprehensive university means and which teaching strategies and learning approaches will be made prominent and visible at such an institution, among others. Concepts of entrepreneurship, WIL, service learning and community engagement are handled in detail as bases for the teaching and learning project. These are also used as strategies to enhance 'graduateness', and as some of the goals towards which the University aspires. The list of such policies also includes what the University regards as typical UNIZULU graduate attributes and how to infuse them in the curriculum and enhance them as they couch teaching and learning. Within the list of policies approved by Council are those that address the (i) academics as professionals, like the Framework for Professional Academic Development, Framework for teaching large classes: Ensuring Quality, Teaching and learning strategy; Teaching and Learning Charter; Policy and Procedures for Academic Staff Development; Policy and Procedures on Additional; Inter-Campus and After-Hours Teaching Work; Policy and Procedures for Teaching and Learning; Policy and Procedures on Academic Excellence; (ii) Student Development like Student Awards for Academic Excellence; Policy and Procedures on Academic Exclusion, (iii) curriculum like Language Policy; Policy on Assessment of Student Learning; Policy for External Moderation; Policy

for Internal Moderation; Policy and Procedures for Feedback on Teaching and Learning by Student Evaluations; Policy and Procedures for Recognition of Prior Learning (RPL); Policy and Procedures for the Approval of Short Courses; Policy and Procedures for Programme Management; and (iv) Committee Structures that provide the oversight for quality teaching and learning, like Teaching and Learning Committee's terms of reference as well as the Quality Assurance and Academic Development Committee's Terms of reference.

The Office of the DVC for Teaching and Learning as well as the recent appointment of the Director of the Teaching and Learning Centres, enable the University to give practical expression to all the above-mentioned policies, frameworks and strategies in the service of teaching and learning. These also inform the Performance Agreements and Assessments of the DVC for Teaching and Learning, all the four Deans as well as the Director of the Teaching and Learning Centre. The Directorate works with the DVC for Teaching and Learning in the development of the strategy, policy and budget for the Teaching and Learning Division. Communications and relations with all relevant stakeholders and service providers are managed through this 'line of command'. All the above structures and offices have been stablished at UNIZULU in order to strengthen the Teaching and Learning Strategy towards the academic success of its students. Recent media reports are starting to capture the outcomes of these strategies that have resulted in the University being regarded highly for its sustained student throughput rates, ranking among the highest in the country.

In support of the University's teaching and learning strategic objectives, the Directorate for Teaching and Learning is responsible for planning, coordinating and directing the implementation of the University's Teaching and Learning initiatives. Continual workshops have been conducted for staff in the design and compilation of the teaching and learning portfolio, which records the academics' teaching philosophy; modules and content thereof; lessons and their plans from formulation of lesson outcomes; facilitation to assessments; teaching styles and strategies; critical self-reflection; student mark sheets with feedback from peers and heads of department (HoDs); as well as evidence of achievements made. The Directorate is also working in conjunction with SATN in an ambitious project of accelerating the acquisition of PhDs by a group of 55 UNIZULU academics. Through a collaboration with DHET, Science and Technology, academics can improve their academic gualifications through the Staffing South Africa Universities Framework (SSAUF). Academics with a good honours degree are provided scholarships through the Nurturing of Early Scholars Programme (NESP) to obtain their master's. UNIZULU is preparing applications for five of its outstanding students with an honours degree to be ready to take advantage of this opportunity. Nine academics with a master's are in nGAP to enable them to obtain a PhD and generally become academic citizens. Nine of UNIZULU's academics are recipients of this support. UNIZULU also has five academics enrolled for the Future Professoriate Programme (FPP) at Stellenbosch University. Even in the HELM Programme, UNIZULU has more than eight of its HoDs and deans participating. The University incentivises excellence in teaching and learning among its outstanding academics through the Vice-Chancellor's Awards Ceremony where prizes to support further teaching and learning excellence are given to deserving academics. Otherwise, all academics are trained through customised workshops on all the policies and strategies referred to earlier, geared towards strengthening teaching and learning. These include workshops in the new and effective teaching strategies, lesson planning, facilitation, assessment, curriculum design and alignment.

Teaching and learning strategies are also enhanced through empowerment and training of students and staff in the practical use of both ordinary and advanced technologies in teaching and learning as well as the online learning management system. The Teaching and Learning Centre, in conjunction with the four faculties of the University, arrange induction workshops as well as continual support workshops for staff and students in the use of Moodle, among others, towards this end. All these are conducted in the context of the eLearning Policy and Strategies referred to earlier. The University has also started conversations in transforming itself into a smart university compatible with the Fourth Industrial Revolution (4IR). The use of technologies is enhanced further through workshops in the use of blended learning strategies as well as other modern methods of teaching and learning, placing students and their learning at the centre of the educative Enterprise. The University is at very advanced stages of developing student module evaluation for all modules, which includes content and teaching and learning experiences. A questionnaire was developed, and it was independently reviewed by the Institutional Research Office, providing detailed feedback to the Centre for Teaching and Learning. The purpose of the review was to provide feedback on the approved UNIZULU Module Evaluation Questions.

The students are the centrepiece of all the University's efforts to strengthen the teaching and learning strategies. Language policy, which aims at the use of isiZulu as a medium of teaching and learning in order to open epistemic access further, has been approved by

Council and strategies to implement are already being put in place. The First-Year Experience programme aimed at supporting first-year students, is in place, tutoring for all students in the first-year modules and some of the difficult second-year ones are in place. There is mentoring of younger students by more senior ones and there is support for students at risk at the level of the faculty. The Teaching and Learning Centre works closely with the Student Support Division in the total service of students. Student counselling is instituted in instances where it is needed to ensure the success of the students.

The University reviews its curriculum offerings regularly and the Council of UNIZULU has approved the overarching Quinquennial Departmental and Triennial Units' Review Frameworks, aimed at the quality of UNIZULU's curriculum offerings, the value and the usefulness thereof. Finally, a seminar, as well as a symposium on the Africanisation of the Curriculum, took place during the year under review. It is evident that UNIZULU is firmly on track towards enhancing quality in as far as teaching and learning strategies are concerned.

Recommendation 14: The HEQC recommends that the University undertake a student and staff climate survey to establish areas of institutional culture improvement for both students and staff, and put in place measures to address the challenges that are identified systematically.

A student and staff climate survey were undertaken as recommended. The University has rolled out initiatives emanating from the main findings to address staff and student concerns. These include: the capacity and quality of lecture venues; the need for module evaluations; communication and sufficient stakeholder consultation; the means to report discrimination and harassment; student readiness for University education; the perceived need to enhance graduateness; and campus security. The massive development of infrastructure project is taking care of the need for more learning and teaching space and the quality of facilities and venues. A five-year plan has been put in place to modernise the existing infrastructure and construct new facilities to meet the teaching and learning and research needs of the University. The module evaluation system has been conceptualised and is poised for roll out in 2020. A multipronged stakeholder consultation strategy has been put in place and this includes initiatives like, (1) a community liaison programme for infrastructure development, (2) the establishment of the Management Employee Consultative Forum, (3) constant electronic communication of plans and

decisions through email, and (4) media articles constantly being published through newspapers as part of the turnaround strategy. A sexual harassment system has been established to enable dignified handling of sexual harassment and assault and discrimination cases.

The feeder schools' projects have been conceptualised and aligned to the biographic questionnaire systems and the early warning system for student success as a means of mitigating against student under-preparedness and student success challenges has been put in place.

The University has submitted to DHET a comprehensive proposal for funding of its security upgrade project through the HDI Grant. Proper plans have been developed and are scheduled for implementation in 2020. While a few areas of the key findings of the climate survey await full implementation in 2020, the majority of issues raised as areas of concern by both staff and students have been either properly planned for or implemented through various programmes.

Recommendation 15: The HEQC recommends that the University develop rigorous standards (which include adequate security) for the private accommodation facilities that are utilised by students in the village and surrounding areas, and find ways to assist the providers to meet these standards, given the dependency of the University and its students on these facilities.

The University holds open meetings per semester in which it advises service providers about the DHET Norms and Standards for Student Accommodation. Those that have complied with these requirements have been showcased. In addition, the University undertakes inspections of facilities provided to students. Students are provided with a list of service providers that meet the stipulated requirements. The University also distributes a common letter to potential private student accommodation that enables them to raise capital and apply for funding to address the student accommodation needs of the University.

 Recommendation 16: The HEQC recommends that the University management take steps to create a conducive environment to work with the SRC within the roles and responsibilities specific to each, underpinned by transparency and mutual respect.

The University recognises the critical role played by student governance and development in ensuring that democratic processes are discharged. The University acknowledges that SRCs are an important avenue for ensuring stability on campus. SRCs are also an important and legitimate mouthpiece for students. The University appreciates the critical role that students play in the drive to deepen democracy and broaden transformation among the different communities in South Africa. Students fully participated in the constitutional amendment processes that culminated in the approval of the SRC constitution on 23 June 2018. The roles, functions, SRC elections and how the SRC interfaces with the broader University community are stipulated in Chapter 2 of the SRC Constitution. The UNIZULU SRC forms part of all institutional structures such as Council, Senate and IF. Meetings between the SRC and MANCO are formally scheduled in the University calendar. To ensure effective leadership, student leader workshops are conducted annually, and student structures present their plans of action (POAs) for the year. During these workshops, SRCs are taken through the governance, development and leadership guide manual aimed at empowering them to optimally perform their functions. SRCs are assisted through the Student Governance and Societies Office to develop their annual strategic plan for the term of their office. All student societies are sub-structures of the SRC with their own constituencies. Workshops for capacity building are conducted for the societies to enable them to deliver according to their specific plans of action.

Leadership forums on matters of interest are usually conducted to get a broad buy-in from the societies and to ensure shared attributions on institutional matters pertaining to transformation. Several initiatives were developed and approved in 2019, such as: a student charter to guide the relationship between the University and students, a student grievance procedure; a revised disciplinary code: students, and a revised Student Services Committee.

The University has, over the years, suffered from severe political interference in the SRC elections. Management realised that the SRC Constitution required revision to try and reduce the interferences. The 2019 SRC election was again plagued by political interference and student strikes. Council has resolved to review the SRC Constitution with the aim to streamline the election process and rid it of contestable clauses. Council appointed a SRC administrator until such time that the SRC Constitution has been revised and a new SRC election conducted.

 Recommendation 17: The HEQC recommends that the University address the serious security concerns in relation to students and staff, and engage with the Mkhwanazi Traditional Authority, the

uMhlathuze local authorities, the MEC for Safety and Security in the Province, and the National Commissioner of the SAPS to seek a solution to student and staff security.

In addition to the ongoing engagement between the University and the Mkhwanazi Traditional Council, uMhlathuze local authorities, the MEC for Safety and Security in KZN and SAPs through an established forum, the University has developed a comprehensive security plan and submitted this proposal to DHET. This platform is an effective way to curb and address emerging security and safety challenges on a regular basis. In early 2019, the University embarked on a journey to intricately understand the extent of the problem by undertaking a Physical Threat Security Threat and Risk Assessment. The result of the assessment proved that UNIZULU has major security vulnerabilities. The Minister of Higher Education, Science and Innovation and Minister of Safety and Security have engaged the University, the local structures, the provincial government on measures that need to be taken to ensure a safe environment in and around the University. The Provincial Portfolio Committee on Safety and Community Liaison has held its oversight visit in which it engaged the University and the local stakeholders on matters of security. The plan and funding proposal will be fully implemented in 2020 with the view to enhancing security on campus.

CONCLUDING REMARKS

The University has made unprecedented progress towards the achievement of its objectives for the year 2019 in relation to the Strategic Plan (2016-2021) and targets set in the 2019 APP. The Institution has, however, not only focused on future strategy, but also on critically addressing and eradicating the wrong practices of the past. UNIZULU had to steer two ships in 2019 (Strategic Performance as well as Special Audit Performance) and it has done so with great success. UNIZULU is a different institution from what it may have been when the CHE Audit was instituted and the resultant Improvement Plan formulated. Not only have all the challenges been addressed, but the University is focused on a trajectory of growth and development that will define its rediscovered identity of guality and excellence in teaching and learning, community engagement, research and innovation, as well as service to its stakeholders.

Ms N. Caluza Chairperson of Council

Prof. X. Mtose

Vice-Chancellor



COUNCIL'S STATEMENT ON **GOVERNANCE**

REGULATORY FRAMEWORK

The Council of the University is the highest decisionmaking body and has the fiduciary responsibility for the Institution. During the year under review, the Council remained committed to its primary role and responsibilities of steering and setting the strategic direction of the Institution, approving policies and planning, overseeing and monitoring and ensuring accountability and sustainability. In order to achieve this, Council prescribes to good governance principles as per the HE Act, the Reporting Regulations, the UNIZULU as well as the DHET Governance Guidelines, which lead to ethical culture, good performance, effective control and legitimacy as governance outcomes. Accordingly, Council has complied with the Reporting Regulations. Council also recognises the need to conduct the business of a public HEI 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.

GOVERNANCE AT UNIZULU

As the focal point and custodian of corporate governance in the University, Council sets an operational governance framework whereby it and its committees, as well as those committees established in terms of the statute, are being regulated. Council comprises a balance of skills, experience, diversity, independence and knowledge needed to discharge its role and responsibilities. Council's established committees assist Council with the effective discharge of responsibilities. Each committee has its own Charter that sets out its terms of reference, minimum membership and expected experience and skills required by members to serve on the committee. Council has merged the audit committee and risk committee into the Audit and Risk Committee of Council (ARCC). The Committee ensures that adequate and effective controls are in place to facilitate better decision-making. Members are accountable for ethical and effective leadership, as contained in the Code of Conduct of Council, the implementation of which is monitored by the ARCC. Council members completed the Governance Indicators Scorecard for Councils of South African Public HEIs, which was submitted to DHET. This has been the practice since 2018. Council has also been externally reviewed by the Institute of Directors (IODSA) in 2017. The 2019 performance evaluations of Council, its sub-committees, its chairs and members, the Vice-Chancellor and Registrar as Secretary has resulted in continuous improved performance and effectiveness. Council has led ethically, effectively and governed the University in a manner that supported the establishment of an ethical culture.

DELEGATIONS AND OVERSIGHT

The appointment of, and delegation to, competent executive management contributes to an effective arrangement by which authority and responsibilities are exercised. Council approved a delegation framework that sets out parameters and powers for itself, the Vice-Chancellor and Management. The Vice-Chancellor, as administrative head of the Institution, was re-appointed by Council for a second term on 13 August 2019 after consultation with the Institutional Forum and Senate. Ethical codes, delegated via the delegation's framework of Council to the Vice-Chancellor and to management for implementation includes the Code of Conduct: Staff and Disciplinary Code: Students as well as other ethical policies, all of which are published on the University's intranet and workshopped to staff and students. New

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policies were also approved to enhance institutional culture. These include the policy on sexual and genderbased violence, anti-discrimination policy and student and staff grievance procedures. Council exercises ongoing oversight of ethics and make use of protected disclosures or whistleblowing mechanisms to detect breaches of ethical standards.

CORPORATE CITIZENSHIP

Council assumed responsibility for corporate citizenship by ensuring compliance with the Constitution of South Africa (including the Bill of Rights), the law, leading standards and adherence to its own codes of conduct and policies. Oversight and monitoring of the University's activities and outputs that affected the status of the University as a corporate citizen were performed by Council in all areas of workplace, economy, society and the environment as contained in the performance assessment report. Council, through its Human Resources Committee, ensures that the University remunerates fairly, responsibly and transparently to promote the creation of value in a sustainable manner.

RISK GOVERNANCE

Council governs risk and opportunity in a way that supports the University in defining its core purpose and to set and achieve the University's strategic objectives. The University has reviewed the internal Risk Management Committee, consolidated identified strategic risks, compiled risk registers for respective 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 ARCC in terms of the approved Risk Management Strategy. 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.

STAKEHOLDER INCLUSIVITY

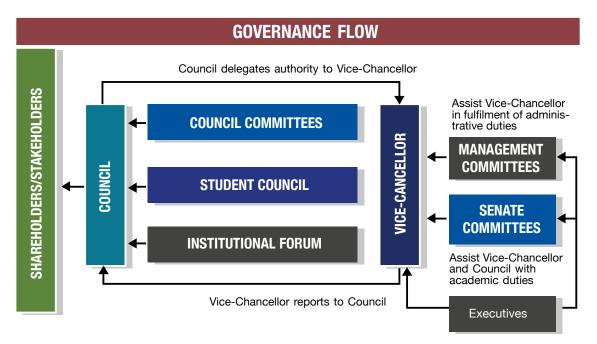
Council has led the value creation process by appreciating that strategy, risk and opportunity, performance and sustainable development are inseparable elements. The University's Strategic Plan (2016-2021) was approved by Council in 2015. Council approves the APP and midyear reports, as presented by management. All approved plans and policies are delegated to management for implementation, while Council retains ongoing oversight. Council specifically assesses the viability of the University with respect to its ability to operate as a going concern on a continuous basis. In the course of making decisions in the best interest of the University, Council has adopted a stakeholder-inclusive approach, which takes into account and balances the legitimate and reasonable needs, interests and expectations of stakeholders. This integrated Annual Report and Annual Financial Statements, as issued by the University, will enable stakeholders to make an informed assessment of the performance of the University and its ability to create value in a sustainable manner. The report will be published on the University's website.

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TECHNOLOGY AND INFORMATION GOVERNANCE

Council continues to govern technology and information in a way that supports the University in defining its purpose and to set and achieve strategic objectives. Council approved numerous policies that gives effect to the employment of technology and information. A technology architecture is in place to support the achievement of the University's strategic and operational objectives. Diagram 7 provides an overview of the governance flow at UNIZILU, while Diagram 8 provides an overview of the entire governance structure.

Diagram 7: UNIZULU Governance Flow



STATUTORY RESPONSIBILITIES – COUNCIL AND COMMITTEES OF COUNCIL

In terms of the UNIZULU Statute, Council governs the University subject to the provisions of the HE Act. Council is responsible for policymaking and monitoring and evaluation of the performance of the Institution and its management. Council also provides guidelines with regard to matters such as admission of students, the language policy and staff matters, disciplinary matters with regard to students and staff, and measures to ensure a conducive academic environment.

The Council of the University was incorporated on 8 October 2013 after a period of administration. During the year under review, Council functioned in accordance with the prevailing UNIZULU Statute. In terms of the UNIZULU Statute (Section 18), 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 experts. As at 31 December 2019, 23 positions were filled. There were the following two vacancies in external representation, namely: one ministerial appointee and one representative from the uMhlathuze Municipality. The SRC is represented by an SRC administrator due to the 2019/20 SRC elections being declared null and void, resulting in one vacancy in student representation. The composition is as follows:

REPRESENTATIVES	EXTERNAL	VACANT	INTERNAL	VACANT
Ministerial representatives	4	1		
Independent non-executive members	5			
Umhlathuze Municipality representatives	0	1		
Traditional Authority representatives	1			
Convocation representative	2			
Donor representatives	2			
TOTAL	14	2		
Institutional Forum Representatives			1	
Executive management representatives			3	
Employee representatives			2	
Senate representatives			2	
Student representatives			1	1
TOTAL			9	1

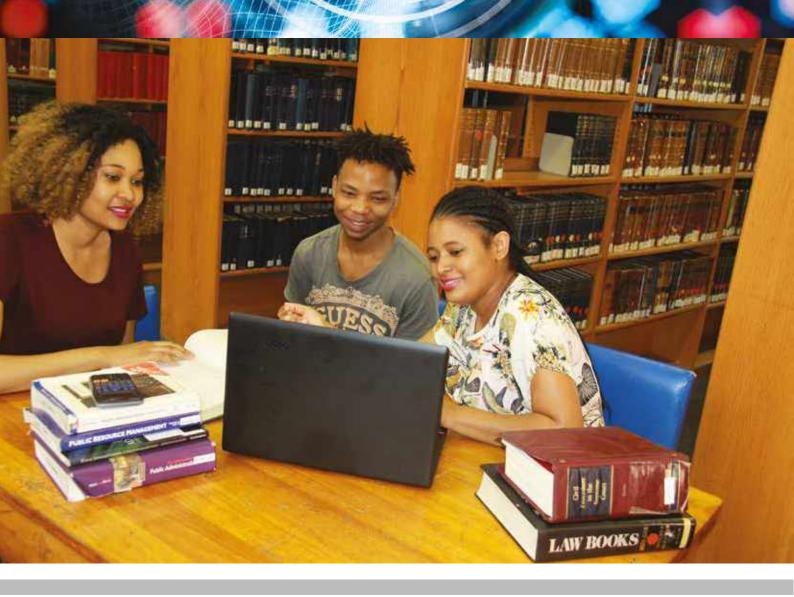
Table 15: External vs Internal Membership

Table 4 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 Council, while 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 Ms N. Caluza and Deputy Chairperson of Council Mr J. Kunji Behari were appointed by Council at its meeting on 18 April 2018. Their term of office will expire on 19 June 2020. Matters reserved by Council for decision-making are set out in the UNIZULU Statute and the HE Act. Council is responsible for setting the 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. Council met five times during the year under review. 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. All the committees are formally constituted with approved terms of reference and comprise a majority of members of Council who are neither employees nor students of the University. The Committees are:

Audit and Risk Committee: The committee assists the Council in fulfilling its oversight 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 also ensures that the implementation of the assurance model results in co-ordinating and aligning assurance activities across the various lines of assurance. The Committee also ensures that the risk management system and risk register is maintained. The Committee also assists Council in carrying out responsibilities related to information and technology (IT) governance as no separate IT governance committee has been established. The Committee held five ordinary meetings during the year under review. On 28 June 2019, Council appointed Ms S.J. Masite as Chairperson of the Committee the resignation of Mr V. Mokwena. All members of the Committee 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. The composition and meeting attendance statistics of the committee are contained in Table 6 of the report of the Chairperson of Council.

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 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 held four meetings during the year under review. The

composition and meeting attendance statistics of the committee are contained in Table 7 of the report of the Chairperson of Council.

Planning and Infrastructure Committee: The • Committee develops and updates campus master plans for facilities and infrastructure, 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 was re-constituted on 12 September 2018 due to a lack of external experience and expertise. The committee, chaired by Mr T. Madikane and has held four meetings during the year under review. The composition and meeting attendance statistics of the committee are contained in Table 9 of the report of the Chairperson of Council.

- 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 Mr N. Nkwanyana and held four meetings during the year. The composition and meeting attendance statistics of the committee are contained in Table 8 of the report of the Chairperson of Council.
- 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, Ms N. Caluza, held five meetings during the year. The composition and meeting attendance statistics of the committee are contained in Table 5 of the report of the Chairperson of Council.

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
- Ethics Committee
- Higher Degrees Committee
- Library Committee
- HIV and AIDS Committee
- Timetable Committee
- Rules Committee

- Examinations Committee
- Community Engagement Committee
- Quality Assurance and Academic Development 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 and Promotions Committee are joint committees of Council and Senate at UNIZULU.

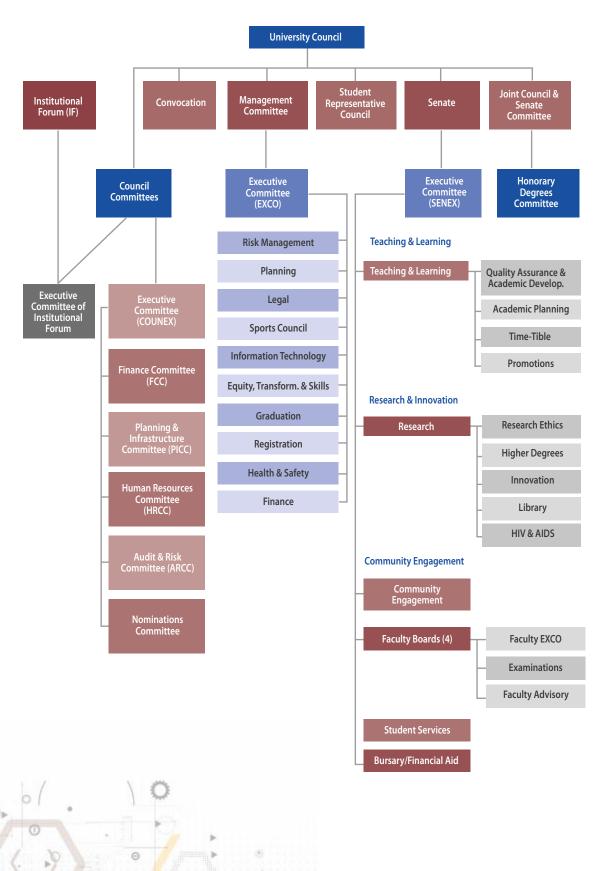
OTHER COMMITTEES

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

- Institutional Forum (IF)
- SRC
- MANCO
- UNIZULU Executive Committee (EXCO)
- Convocation

In accordance with its statutory obligation to govern the Institution, including the management structures necessary to implement governance policy, Council recognises the UNIZULU MANCO and UNIZULU EXCO, as established by the Statute. MANCO is an advisory committee assisting the Vice-Chancellor in the planning and execution of management and administration of the University. EXCO assumes the authority of MANCO with regard to urgent matters in accordance with the UNIZULU Statute. MANCO and EXCO met on a monthly basis in 2019 and in addition, held several special meetings arising from urgent issues requiring attention. Diagram 8 provides an overview of UNIZULU's governance structure.

Diagram 8: UNIZULU Governance Structure



Governance Structure

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. The University also developed a student grievance procedure as well as undergraduate and postgraduate student charters, aimed at assisting in conflict management.

Regarding 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. UNIZULU unfortunately does not have a recognised union in place as the sole union (NEHAWU) is no longer recognised. UNIZULU has an approved grievance procedure in place that is used to deal 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 cooperative governance and good governance in general. Management and employees constantly voice and amplify their commitment towards the need for scrupulous systems and processes through various avenues. Employee representatives are extensively involved in committees, right up to the level of Council.

In addition, employee representatives 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 key governance and management structures of UNIZULU, such as Senate, Institutional Forum 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. In cases where SRC has not been constituted or is dissolved, Council appoints an SRC Administrator to assume SRC responsibilities.

In the absence of a representative and recognised trade union, management, in consultation with staff, established a Management and Employee Consultative Forum (The Forum), which serves as a platform for engagement between management and staff on labourrelated matters.

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 decisionmaking 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 annually, as well as whenever a new conflict arises, 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 perceived deviations were dealt with effectively and efficiently in terms of the relevant UNIZULU rules, policies and procedures.

COMPLIANCE STATEMENT

Council hereby explicitly confirms that it has applied the DHET Code of Governance principles in 2019 and that approval of this statement was recorded at the full Council meeting, held on 25 June 2020, which had a quorum.

Ms N. Caluza Chairperson of Council

COUNCIL'S STATEMENT ON **SUSTAINABILITY**

This sustainability report provides an overview on how UNIZULU has both positively and negatively impacted on the economic life of the community in which it operated during the year under review, often categorised as environmental, social and governance issues (ESG).

ustainability is interlinked with the University's governance, strategy, risks and opportunities and key performance indicators. It reports on the extent to which issues relating to UNIZULU stakeholders, innovation, fairness, collaboration and social transformation, student numbers and throughput

and the generation of alternative funding streams have been factored in the management of the University. It also provides a forward-looking statement on how Council believes that it can improve the positive aspects and eradicate or ameliorate the negative aspects in the coming year.

SUSTAINABLE GALS





As a rural University that is expanding in the vibrant economic area surrounding Richards Bay, UNIZULU holds responsibilities to both its historic culture and vibrant future. It takes its position to sustain, document and learn from the former and to contribute and benefit from the latter very seriously. The University's Executive Management recognise and embrace the University's responsibility in the transition to a sustainable future. They are committed to ensuring that the University's activities - be they research, teaching, community service or operations – advance it to a place that is better for humanity and the planet in general. All the amazing work of staff and students that occurs across research, teaching and community engagement/outreach and operations cannot be captured, however, the selection presented in this report provides a high-level overview of activities within UNIZULU that are setting us on a path to a more sustainable future for all.

UNIZULU'S 2019 SUSTAINABLE INITIATIVES



The student surveys that were conducted during the year under review clearly highlight the extreme poverty that our students must deal with while trying to cope with obtaining a quality education. More

than 80% of UNIZULU students come from disadvantaged backgrounds. To contribute to higher education accessibility of poor students, UNIZULU once again abolished all upfront administrative payments and registration fees and students were registered regardless of their financial circumstances. UNIZULU also makes several bursaries available to poor students and the Vice-Chancellor's bursary scheme is specifically targeted at assisting extremely poor students to obtain a quality education.



In addition, UNIZULU's student accommodation is affordably priced. The decision by Government to fund education for students with a combined family income not exceeding R350 000 assisted

UNIZULU students greatly during the year under review. In addition, government also provided funding for the fee and residence increases for all students whose family income is less than R600 000 and registered for the first time before 2018. Previously, this was called a Fee Gap Grant that had to be claimed by the University and was an earmarked grant. From 2019, this was allocated into the normal block grant and UNIZULU managed the fee accounts of these individual students without submitting claims for individual students to the Department. UNIZULU will provide these fee gap bursaries each year until such time as all students in the cohort (first year of registration before 2018) have exited the University. This applied to virtually all our students at the time and ensured that the increases had a very limited impact on UNIZULU students.

At UNIZULU, fundraising is considered an important source of third-stream income and in 2019 the University began with the establishment of an advancement office, the aim being to provide as much support to students as possible.

Food insecurity among students is a reality. Many students do not have the means to pay for lunches. UNIZULU has, therefore, ensured that service providers provide food at affordable prices. In many instances, UNIZULU also contributed towards the nutrition needs of students. The University extends its effort

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to alleviate hunger by supporting local communities through collaborative efforts among the Department of Agriculture academic staff, Community Engagement Office and Richards Bay Coal Terminal (RBCT) (industry partner) in support of community gardens at Esikhaleni. This effort is augmented by several initiatives in the Consumer Sciences Department in the promotion and enhancement of indigenous foods. Support is also provided to local women by UNIZULU and stakeholder partners (Owen Sithole College of Agriculture (OSCA) and Biowatch, through stokvel initiatives to open economic opportunities to women to diversify and maximise their livelihood options.



Other social factors impacting on the University include HIV/AIDS and other illnesses and difficulties experienced in adjusting to the university environment (which may affect staff as well as students). Good

health and well-being are core to UNIZULU. Wellness days are held annually and aimed at both staff and students. The University's Campus Clinic serves both staff and students. With exceptional partnerships with the Department of Health and the King Cetshwayo DoH, UNIZULU provides rehabilitative services, HIV/ AIDS services, TB, STIs and reproductive health services to staff and students. University ambulances enable the University to provide a swift response to health alerts. Medications are provided free of charge. HEAIDS contribute significantly to UNIZULU's health programmes. UNIZULU, through the Nursing Sciences Department, works in projects that aim to enhance the health and well-being of community members through projects like the one on Diabetic Mellitus (DM), which focuses on newly diagnosed patients and ultimately aims to design customised and personalised mechanisms to reverse the condition.



Quality education is enshrined in UNIZULU's Strategic Goals. Numerous enhancements, as evidenced in the Senate Report, Vice-Chancellors Report as well as Performance Assessment Report, highlight

the significant effort by UNIZULU to provide quality education to students. From continuous programme reviews, to the development of new programmes in line with societal needs, UNIZULU has transformed in line with its vision to provide quality education as a comprehensive institution. Support services such as the Library contribute to a quality learning environment. Student staff ratios have received great attention and several mentorship and tutorship programmes have been developed. Continuous workshops aim at teaching and learning as well as research to enhance student experiences. The University has also focused on students at risk to address learning concerns.

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UNIZULU implemented its new policy on sexual harassment and genderbased violence in 2019. In addition, an anti-discrimination policy was created. These policies have been workshopped with students and

awareness campaigns were held to make students aware of UNIZULU's aim to foster gender equality. In addition, the Transformation Office partnered with faculties and conducted debates on culture and social inclusion. The Student Services Department and the Health Clinic also contributed to awareness campaigns on gender-based violence.



Various UNIZULU projects focus on the delivery of clean water and sanitation, and affordable, clean energy. Water management remained critical. The University is in the process of installing new

heat pumps. Short-term projects include the University water reticulation network in major buildings as well as quantifying the water storage capacity required during water shortages, including centralising of rainwater harvesting (RWH) and supply structures within UNIZULU with a view of maximising the total volume of roof RWH during rainfall events. Large blocks within the University will be guttered to harvest and store a large volume of water.



Most municipalities struggle to keep up with the payment for bulk electricity purchases from Eskom. As at March 2018, Eskom's Chairman indicated that the debt burden stood at over R13.5 billion

and continued to rise. The fiscal framework for some municipalities is unviable, posing a serious risk to their financial sustainability. To mitigate this shortcoming, UNIZULU's Department of Chemistry conducted technoeconomic feasibility studies for uMhlathuze Municipality to forecast the amount of green electricity that could be generated from the municipality's eight waste water treatment plants (WWTP). Advanced models/statistical as well as mathematical formulae were used for forecasting. The results obtained showed that all WWTPs were feasible, but not all of them were economically viable for biogas generation. In addition, the results also showed that should the municipality opt for WWTP-Biogas Technology Systems, they would save approximately R3 000 000 per annum from each WWTP. Unfortunately, the University does not make use of renewable energy at this stage, however, future planning includes investments in clean energy.



The Department of Physics and Engineering is doing work on diffusion kinetics investigation of an Mg implanted Pd/Zr/Pd/Ti/Pd/CP-Ti multilayer system using Rutherford backscattering spectrometry (RBS)

and elastic recoil detection analysis (ERDA) for hydrogen storage application. Storage of hydrogen (H2) in metal as hydrides has recently attracted much interest from researchers due to its great potential to solve hydrogen storage challenges. Hydrogen is a very reactive gas and is highly flammable. Therefore, safe transportation and storage are critical. Incorporation of hydrogen in solid materials has recently been identified as a solution to the storage problem. This will also come as a solution to the automotive industry due to a drive to adopt hydrogen in addition to fossil fuel. As a result, cars could use hydrogen as a fuel rather than petrol, which is produced from fossil fuels. This will also be a solution to environmental pollution that is generated from cars as carbon monoxide.

The mission of UNIZULU is "To produce globally competitive graduates, relevant for the human capital needs of our country, by providing quality education which upholds high standards of research and academic excellence is intrinsically linked to the employability of its graduates. Employability of graduates has thus increasingly become a measurement of this purpose. Initiatives to enhance the employability of students/ graduates are broadly related to relationships with employers (through work-integrated learning and niche area development), curriculum development (with a focus on graduate attributes) and student recruitment.



According to the 2019 Quarterly Labour Force Survey (QLFS), 39.5% of the individuals aged between 18 and 34 are unemployed against the national unemployment rate, which is currently at 29.1%. Among young

people, university graduate qualifications are found to improve the chances of being employed. Thirty-three percent of young graduates are found to be unemployed in South Africa. While still shockingly high, this is less than the average 15- to 24-year-old rate of 56%. First-generation students that come from previously



disadvantaged families do not have the same access to resources as students whose parents have studied before. More affluent students find it easier to find a job because they can afford assets such as a car. More and more employers require that a prospective employee own transport. This invariably places poorer students at an economic disadvantage.

The Institutional Research Office conducted a survey during graduation ceremonies since May 2018 to investigate the post-university activities and employment status of graduates. To enhance Universityindustry partnerships, relations and the quality of engagement and placement of graduates, the University approved several policies on Community Engagement, a Work Integrated Learning and Service Learning Policy, a Graduate Attributes Policy as well as a Policy and Framework on Student Entrepreneurship. These policies are a positive step to ensure that UNIZULU students get exposed in community initiatives and industries relevant to their degrees in a controlled and guided manner. This helps in creating opportunity for their employability.

UNIZULU has made considerable progress in infrastructure development and planning. The new Spatial Development Framework allows for optimisation



of the landscape in which the Institution is situated, and the new infrastructure build will contribute considerably towards the Richards Bay development. New infrastructure will not only

address teaching and learning spaces, but also residence spaces. The conversion of the Transnet building is a great example. The University's technology transfer office connects government and industry with leading researchers to develop effective solutions that address real-world challenges.

Academically, the University also faces the need to address the academically underpreparedness 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 within the University context. To address this, the University has vibrant foundation programmes that are offered in the Faculties of Science and Agriculture and Commerce, Administration and Law. The University benefits from the Foundation Grant as provided for by DHET. The University has also developed a core module called UNIZULU 101 that is being piloted. It is envisaged that the module would help students to be exposed to important information that was not previously part of the curriculum.

The Faculty of Education runs a community engagement flagship project. Working with 10 local rural high schools, the programme provides tuition in eight subjects to Grade 12 learners from disadvantaged backgrounds. Various academics visit schools on weekends and holidays to support about 550 learners to ensure that they can access higher education. Career guidance is provided to these learners and they are also assisted to apply for admission to HEIs. Noting the challenges faced by the SA school system, UNIZULU has further prioritised community outreach by running the UNIZULU Science Centre for over 33 years. This multiple award-winning project has assisted more than half a million pupils and their teachers in over 800 schools in the three educational districts surrounding the University. Most of these schools are in deep rural areas and severely under-resourced.

The tuition and residence fees of the University are very low when compared to other South African universities. An intervention is urgently needed to ensure that tuition and residence fees are corrected to a level that increases the financial sustainability of the University as well as its ability to maintain and improve its facilities and services. With the implementation of free education in South Africa, UNIZULU students will suffer significant hardship and inequality unless this issue is addressed.

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



UNIZULU 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. In pursuance of its comprehensivity, the University has a new Business Plan for the Richards Bay Campus. 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.



As part of embracing and leveraging new technological platforms, most of UNIZULU's lecturers use Moodle and WhatsApp and emails for their course offerings. Academics post videos, links for Google books,

lecture notes, audio lectures, YouTube videos, etc. to students. The zero-rating arrangement currently allows for the free viewing of lecture videos on Moodle. This teaching option will be promoted going forward. Although Moodle is mobile, writing tests on mobile phones is a challenge. UNIZULU has, nevertheless, managed to have some assessments with the students already using different methods. Various other initiatives were implemented to ensure responsible consumption. Budgets are constantly monitored, and projects are prioritised in accordance to importance.



Currently, South Africa faces uncontrollable droughts and rising sea levels due to the effects of climate change. Rising sea levels could have a devastating impact on South Africa. To combat the

burning issue of climate change, UNIZULU's Department of Chemistry has deployed strategies to not only assist industries to manage waste, but to build and develop highly skilled human capital in this area for future job



placement. Waste plastics were recycled to develop new innovative products. Also, industrial wastes such as sugarcane ash, fly ash, lime, to name a few, were collected from local industries to develop robust green bricks for sustainable cities and communities. BioBricks, which meet all the requirements according to South African National Standards, were successfully developed. This project was funded by Technology Innovation Agency (TIA).

Since 2018, UNIZULU's Department of Geography, in collaboration with the Physics Department, has been doing research on climate influence, particularly the impact of the recent drought on various natural and cropping systems using remotely-sensed data. These include the publication of the recent drought influence in the Hluhluwe-Imfolozi Park, commercial plantations and natural forests. Currently, the departments are investigating the Dukuduku natural forest's response to climate variability. Research has focused on the impact that climate variability has, particularly in the eastern part of South Africa. The departments are also studying the response of river streamflow to the changing climate. The study investigates the influence of climate change in rivers all the way from southern KwaZulu-Natal to the Phongola River in northern KwaNatal. The approach to these studies is unique because UNIZULU uses novel time series analysis techniques and signal processing

to analyse the data. The Geography Department is working with the South African Weather Services' global atmospheric watch laboratory in Cape Point to analyse the long-term trends and variability of atmospheric CH4 and CO2. This climatological study is important because in terms of atmospheric chemistry, CH4 and CO2 are the main greenhouse gases that contribute to the continuation of global warming. Recently, a paper that proposed a novel time series analysis method and hybrid LSTM data-driven time series forecasting model was accepted by the MDPI atmosphere journal under the special issue 'Ozone Evolution in the Past and Future'. The study used a climatological time series of total column of ozone (TCO) time series from Argentina.



UNIZULU is uniquely located in a coastal region with a worldrenowned diversity of coastal and marine ecosystems. These include not only important marine conservation areas such as

Isimangaliso Wetland Park, but also the vital estuarine link between land and sea in the form of estuaries of national conservation importance such as Lake St Lucia and the Richards Bay Harbour – Mhlathuze Estuary complex. Estuaries serve as essential nursery areas for all marine ecosystems but are increasingly under threat from human pressures. UNIZULU researchers from the Zoology, Geography and Botany departments focus on coastal and marine biodiversity research, with great strides being made to increase the understanding of how the human footprint and global warming are affecting aquatic ecosystems and ultimately marine biodiversity. Research and student funding support for marine and estuarine biodiversity research from the South African Aquatic Biodiversity Institute (SAIAB) through NRF funding has allowed many postgraduate students to further their studies and is establishing UNIZULU as a focal area for aquatic biodiversity research in South Africa. Researchers from Biochemistry and Microbiology are looking at unique marine microbes to solve industrial pollution, which is degrading the aquatic ecosystem. Geography researchers are using remote sensing and light detection and ranging (LIDAR) to measure air pollution and the effects of oceanic warming. Zoology researchers are developing and refining toxicity tests and biomonitoring tools to enhance habitat quality of aquatic ecosystems, in view of the ever expanding industrial and residential developments in coastal areas. Such research efforts act as a virtual human conscience in relation to the responsibility to sustain marine biodiversity. Recent increases in postgraduate student graduates and publication output attests to the strong research culture and advances in training tomorrow's young scientists.



Collection, recycling and storage of water for later use are the three pillars of water conservation. Dams constructed in major rivers are the largest water conservation schemes that countries in both

developed and developing world have embraced as 'standard engineering design' for bulk water storage for later use. Access to clean water is an essential but scarce source for healthy and sustainable living. Due to indiscriminate and uncontrolled use of this resource, a large amount of wastage occurs, which if not checked, can lead to a very unhealthy shortage. The use of waterefficient technologies and alternative forms of collection, recycling and storage of water for later use has been underestimated despite the existence of water saving technologies, which could save up to 80% of household consumption. In order to bridge the gap, and as indicated above, the UNIZULU's Department of Hydrology has designed the Rainwater Harvesting (RWH) Project as a sustainable technology in promoting collection and storage of roof runoff for later use. First, roof RWH has been promoted in several schools and communities in the Zululand for self-reliance in their access to water resources. Runoffs that are not tracked and harnessed by roof catchments have been explored as a potential recharge for groundwater. The department has been involved in active exploration of groundwater for drilling of boreholes in Zululand and the Mbazwana areas since 1992 under the Hydrological Research Unit (HRU). The boreholes are active indicators of the potential of a specific catchment for water storage and use. Through collaboration, staff in the Department of Hydrology have been working on the design of smart toilets for optimal water use. This was tested in selected households in Durban Westville where up to 80% of household water consumption was saved. In collaboration with the department of Chemistry, the department has calculated and designed the optimum biogas capacity of Empangeni Wastewater Treatment Plant (EWWTP) with the potential of recycling an average of a daily flow of 0.2 m3/sec flow back into the Empangeni river system.



The broad regulatory and legal framework is a key platform against which the University operates. 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 while simultaneously contributing to 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. Disciplinary codes are in place to regulate the disciplinary processes and ensure that these

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policies and procedures are implemented in a manner that promotes justice and a peaceful environment. As is the case with many institutions of higher learning in South Africa, UNIZULU also has incidences of student protest. During these times, UNIZULU ensures that the safety of its staff and students is prioritised. Transgressions are dealt with in terms of the rules of justice and to promote peace at the Institution. The UNIZULU Law Clinic provides free legal services to the indigent community and this helps UNIZULU to meet its social responsibility by delivering and promoting access to justice. The Law Department, in conjunction with the Law Clinic and other stakeholders, like the South African Human Rights Commission, hosts events that are aimed at making justice more accessible to communities. This helps the Institution to meet the aims of higher education relating to ridding society of the inequalities and injustices of the past.



UNIZULU has not engaged in partnerships on the sustainable goals. It is hoped that other HEIs in South Africa will follow in UNIZULU's footsteps and embrace this form of sustainable reporting.

Numerous valuable partnerships can be created, since HEIs are all aiming to not only alleviate their own societal problems, but also contribute to the world's fight to ending poverty, inequality and building peaceful, just and sustainable societies by 2030.

CONCLUSION

Council believes that in the coming year, it can improve the positive aspects and eradicate or ameliorate the negative aspects, as identified in this sustainability report. Numerous infrastructure projects are on the cards for 2020. These will help in student accommodation and enhanced learning spaces, and contribute to the economic growth of South Africa. With a new enrolment plan, UNIZULU will provide more access to students and with planned ICT Infrastructure implementation, more students will have better access to IT. Security will be enhanced to alleviate any form of discrimination, harassment or gender-based violence. UNIZULU will continue its drive to provide quality education to its students to ensure a safe environment for all staff and students.

Ms N. Caluza Chairperson of Council





SENATE REPORT TO

During the period under review, the Senate continued to exercise its mandate of preserving the academic integrity of the 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 UNIZULU Statute and in accordance with section 28 (2) of the HE Act. Senate comprises:

- 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

position

- Deans
- Professors, Deputy Deans and Heads of Departments
- Dean of Students or a person holding an equivalent
- 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 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)

OVERVIEW OF FACULTIES

UNIZULU has four academic faculties in total, comprising the Faculty of Arts, the Faculty of Commerce, Administration and Law, the Faculty of Education and the Faculty of Science and Agriculture. Each faculty is led by a Dean and assisted by two deputy deans, one responsible for Teaching and Learning and the other for Research and Innovation. In addition, each faculty is made up of departments, created based on the specialty of the academic offering that are managed by HoDs. Support



staff provide the required assistance to ensure proper administration of the faculties. During the year under review, UNIZULU employed a total of 313 academic staff members with 88 in the Faculty of Arts, 49 in the Faculty of Commerce, Administration and Law, 67 in the Faculty of Education, 102 in the Faculty of Science and Agriculture and seven in Richards Bay.

The Faculty of Arts is made up of 16 departments housing a wide range of fields, including Language and Linguistics to Social Sciences and the Humanities. The Faculty of Arts has three senior professors, five full professors and four associate professors. Fifty-eight percent of the staff are in possession of a doctoral qualification. The faculty's vacancy rate against established positions is 27.41%. The faculty's academic staff comprises 47 males and 36 females with five foreign national staff members.

The Faculty of Commerce, Administration and Law is made up of five departments. The number of staff with a doctoral qualification constitute 20% in total. The faculty's' vacancy rate against established positions is 16.42%. The faculty comprises 26 males and 20 females with three foreign national staff members.

The Faculty of Education is made up of seven departments with six professors and one associate professor. The faculty's' vacancy rate against established positions is 15.31%. The faculty comprises 26 males and 35 females with six foreign national staff members.

The Faculty of Science and Agriculture is made up of 14 departments, including the Science Access, which offers the bridging programmes. Thee departments in the faculty offer focused degree programmes (Agriculture, Consumer Science and Nursing Science). The rest of the BSc degree qualifications are double majors. In addition, there are two diploma programmes in the Human Movement Science and in Consumer Science. The BSc double majored programmes and B Consumer sciences articulate to BSc Honours, while the BSc Agriculture and the B Nursing degrees (NQF 8) articulate directly to MSc. Support staff include lab assistants and technicians. These play a crucial role in the teaching and learning process by assisting the running of practicals and ensuring that requirements recommended by academics are in place to ensure that efficient learning takes place. Technicians are responsible for the equipment that is in all the laboratories in the faculty. Fifty-four percent of academic staff members have a PhD and only 2% are senior professors, 8% are professors and 9% associate professors. The faculty's vacancy rate against established positions is 10.70%. The faculty comprises 47 males and 33 females with 22 foreign national staff members.

The faculties are supported by the Teaching and Learning Centre, the Library and Information Services (LIS), the Research and Innovation Office and the Centre for Sustainable Integrated Rural Development (CSIRD).

Table 16 provides an overview of the academic staff composition as at 31 December 2019.



Table 16: Academic Staff as at 31 December 2019

		Γ	MALE			FEMALE					FOREIGN NATIONALS		TAL	TAL		
FACULTY	African	Coloured	Indian	White	Disabled	TOTAL	African	Coloured	Indian	White	Disabled	TOTAL	African	Other	TOTAL	GRAND TOTAL
Faculty of Arts	39	0	4	4	0	47	26	0	3	7	0	36	4	1	5	88
Permanent	39	0	4	4	0	47	23	0	3	7	0	33	4	1	5	85
Temporary	0	0	0	0	0	0	3	0	0	0	0	3	0	0	0	3
Contract	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Faculty of CAL	16	0	7	3	0	26	12	0	2	6	0	20	3	0	3	49
Permanent	14	0	6	3	0	23	12	0	2	6	0	20	3	0	3	46
Temporary	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Contract	2	0	1	0	0	3	0	0	0	0	0	0	0	0	0	3
Faculty of Educ	22	0	2	2	0	26	30	0	3	2	0	35	6	0	6	67
Permanent	21	0	2	2	0	25	29	0	3	2	0	34	4	0	4	63
Temporary	1	0	0	0	0	1	1	0	0	0	0	1	0	0	0	2
Contract	0	0	0	0	0	0	0	0	0	0	0	0	2	0	2	2
Faculty of Science and Agric	35	0	3	9	0	47	23	0	2	8	0	33	17	5	22	102
Permanent	34	0	2	9	0	45	19	0	1	8	0	28	11	5	16	89
Temporary	0	0	0	0	0	0	3	0	1	0	0	4	0	0	0	4
Contract	1	0	1	0	0	2	1	0	0	0	0	1	6	0	6	9
Richards Bay	4	0	0	1	0	5	0	0	1	1	0	2	0	0	0	7
Permanent	4	0	0	1	0	5	0	0	1	1	0	2	0	0	0	7
Temporary	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Contract	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Grand Total	116	0	16	19	0	151	91	0	11	24	0	126	30	6	36	313

CHANGES IN ACADEMIC STRUCTURE

The University developed various programmes that were submitted to DHET for approval, CHE for accreditation and SAQA for registration. Tables 17-21 provide an overview of programme submissions and statuses.

Table 17: Teacher Education Programmes received MRTEQ Approval

DATE RECEIVED
2 August 2019



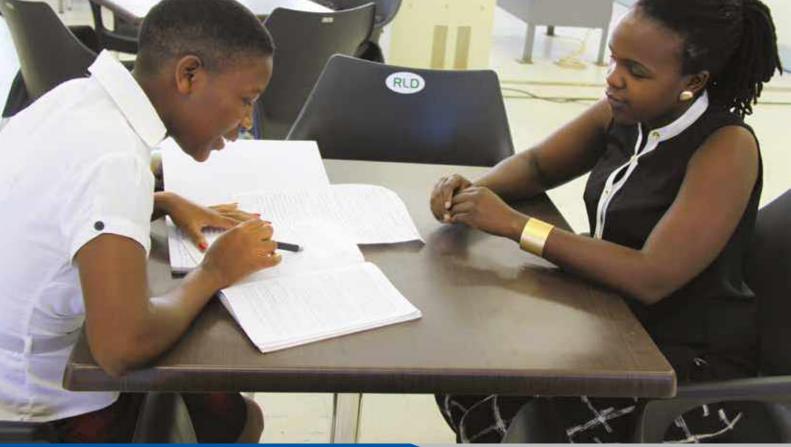


Table 18: DHET PQM Approval

PROGRAMME	DATE PQM RECEIVED
Master of Arts in Integrated Sustainable Rural Development	22 May 2019
Bachelor of Nursing	16 September 2019
Bachelor of Engineering in Electrical Engineering	3 October 2019
Bachelor of Engineering in Mechanical Engineering	3 October 2019
Bachelor of Commerce Honours in Business Management	8 October 2019
Master of Commerce in Business Management	8 October 2019
Doctor of Philosophy in Business Management	8 October 2019
Bachelor of Education Honours in Foundation Phase Teaching	11 November 2019
Bachelor of Education Honours in Curriculum Studies	11 November 2019
Bachelor of Education Honours in Educational Management and Foundation	11 November 2019
Bachelor of Education Honours in Mathematics, Science, Technology Education	11 November 2019
Bachelor of Education Honours in Language Education	11 November 2019
Bachelor of Education Honours in Educational Psychology	11 November 2019
Bachelor of Education Honours in Research Methodology	11 November 2019
Bachelor of Education Honours in Science Education	11 November 2019

Table 19: CHE Accredited Programmes (some with conditions)

PROGRAMME	DATE ACCREDITATION RECEIVED
Bachelor of Social Sciences in Political and International Studies	25 April 2019
Master of Arts in Industrial Sociology	15 July 2019
Bachelor of Arts Honours in Industrial Sociology	22 July 2019
Bachelor of Arts Honours in History (conditional accreditation)	22 July 2019
Bachelor of Arts in Psychology	31 July 2019
Bachelor of Arts	1 August 2019
Diploma in Tourism Management	7 August 2019
Bachelor of Science Honours in Statistics	17 September 2019
Bachelor of Arts Honours in Psychology	17 September 2019
Bachelor of Nursing (conditional accreditation)	12 November 2019

Table 20: New Programmes Submitted to CHE for Accreditation

PROGRAMME	DATE SUBMITTED
Bachelor of Social Work	24 September 2019
Bachelor of Engineering in Electrical Engineering	07 October 2019
Bachelor of Engineering in Mechanical Engineering	07 October 2019

Table 21: New Programmes Registered with SAQA

PROGRAMME	DATE SUBMITTED
Bachelor of Arts	23 August 2019
Bachelor of Arts in Psychology	23 August 2019
Master of Arts in Industrial Sociology	2 September 2019
Bachelor of Arts Honours in Industrial Sociology	18 September 2019
Advanced Diploma in Communication Science	1 October 2019
Bachelor of Education in Senior Phase and Further Education and Training Teaching	15 January 2020

SAQA Registration of the HEQSF Aligned programmes are still in progress.



PROGRAMME REVIEWS – **IMPROVEMENT PLAN WORKSHOP**

The Quality Assurance Office conducted a workshop on 'The Development of the Improvement Plan' to assist those departments that come from faculties that have gone through the Departmental and Programme Reviews in 2018 and early 2019. These departments have managed to develop their improvement plans and submitted these through the statutory bodies of the Institution. Improvement plans for Economics, Psychology and Business Management was completed.

TEACH-OUT PLANS FOR PROGRAMMES PHASING OUT IN 2019

The Quality Assurance and Academic Developments Committee approved the analysis on the implementation of the Bachelor of Social Work programme that was presented by the Faculty of Arts. Teach out plans for the following programmes were submitted to Senate for approval:

- **Bachelor of Arts**
- **Bachelor Curationis degree**
- ▶ PHD – Agriculture
- Bachelor of Commerce: Business Management •
- ▶ Master of Commerce: Business Management
- Doctor of Commerce: Business Management ▶
- ▶ **PHD: Statistics**
- Master of Science: Statistics
- Bachelor of Arts Honours: Psychology •
- ۲ Master of Arts: History
- Doctor of Philosophy: History ۲

EDUCATIONAL PSYCHOLOGY **DEPARTMENT ACCREDITATION BY HPCSA**

The Department of Educational Psychology in the Faculty of Education was due for the five-year cycle of accreditation for its Master of Education in Educational Psychology Programme with its Clinical site by the Health Professional Council of South Africa (HPCSA). The Quality Assurance Office successfully coordinated this quality

assurance function on 10 September 2019 and its success was highlighted during the oral feedback provided by the evaluators from HPCSA. The University is still awaiting the written report from HPCSA.

SIGNIFICANT DEVELOPMENTS AND ACHIEVEMENTS IN TEACHING AND LEARNING

Student academic development

FYE Programme and tutors

Dr Mthimkhulu was employed on a short-term contract basis as FYE Coordinator and to drive the programme following the GRAD programme of weekly interventions that are contextualised and grounded on the GRAD framework. Expertise and contributions were sourced from within the faculty to ensure that students bond and interact better with the staff members in the faculty. Holistic programmes that involve the whole student and speaking to various aspects of the transition process from school to university were implemented. These helped to promote participatory learning models, cooperative learning approaches and the utilisation of multi-modal learning in: preparing for the examinations; understanding examination instructions; understanding the signs, implications and addressing examination anxiety; studying and writing skills; preparations for Sports Day; and developing a positive attitude and confidence to pass the examinations.

Central to the FYE programme and the general enhancement of student performance are the peer tutors. Tutor training involved about 40 Faculty of Arts, 34 Faculty of Commerce, Administration and Law, 38 FED and 29 Faculty of Science and Agriculture trainees who attended tutorship-training sessions that took place on the 27 and 28 April 2019. The training equipped tutors with tutorship skills regarding their roles and those of the tutees were. Finally, 67 Faculty of Arts, 194 Faculty of Commerce, Administration and Law, 93 Faculty of Education and 120 Faculty of Science and Agriculture tutors were allocated to the respective Faculties accordingly during the first semester. During the second semester these numbers changed to 50 Faculty of Arts, 195 Faculty of Commerce, Administration and Law, 80 Faculty of Education and 102 Faculty of Science and Agriculture. Peer Training and workshop by Student Cocoordinator were conducted on the 31 July on issues of conflict management. About 26 peer helpers attended at the KwaDlangezwa Campus.

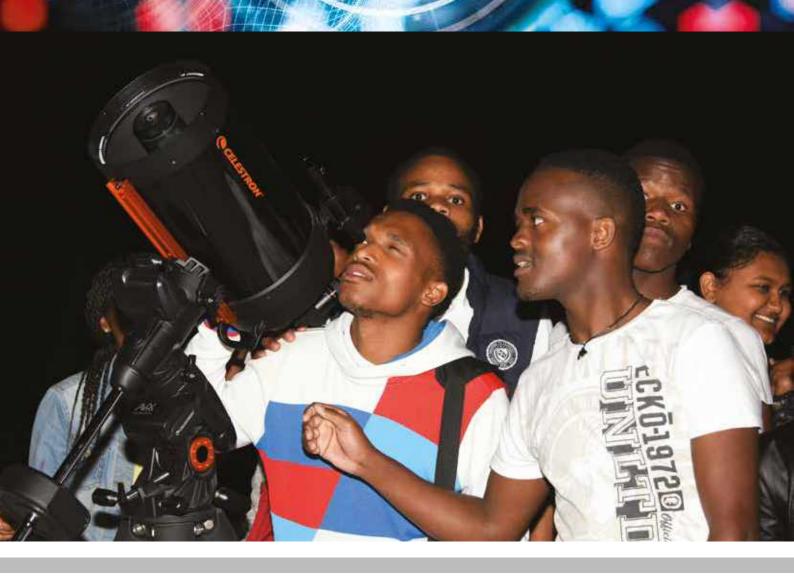
The 5th Annual SANRC FYE conference was held in Durban from 22-24 May. It was based on the theme: 'Contemporary Practice in South Africa's First Year Students'. The conference resulted in enhanced knowledge and understanding of FYE programme, greater understanding of issues that are critical to FYE and student success, explored cross-cutting issues, both nationally and internationally, and strengthened networking and collaboration among academics for sharing purposes.

In the Faculty of Commerce, Administration and Law, the FYE included financial literacy training. Voter education to the BAdmin students and BCom students was also part of the FYE. Library training and orientation for the BAdmin and BCom students as well as the introduction of the Writing Centre was done successfully. The Faculty of Commerce, Administration and Law was praised by the Library for a high level of training done. A joint Faculty of Commerce, Administration and Law FYE and FCA-SC sports day was held. The mentors and the Black Lawyers Association (BLA) UNIZULU Student Chapter participated in the Faculty of Commerce, Administration and Law Mandela Day.

Writing Centre activities

On 17 October 2019, the Writing Centre hosted a Creative Writing Competition. The event entailed continuous interaction with students and lasted five hours. The event successfully afforded an opportunity to students from different departments and levels of studies to actively engage through reading and presentation. The competition was also used as an opportunity to advertise the Writing Centre and other activities related to their learning.

The Readers and Leaders Programme took off on a good note in March. One-hundred-and-thirty students were in attendance. This figure declined to 117 in April. Numbers increased in May and declined again in July-September. The identified challenge is that once the students read well in one session, they then regard themselves as competent and stop attending. The Centre will work on a strategy of ensuring that students attend until they complete the programme. The total number of students who have received services of the Writing Centre for the period under review was 4 775. Most students were reached through class presentations. Consultations that took place were individual and single sessions. Only a few students returned for follow-up sessions.



Moodle Guide for Students

A user guide for the new Moodle instance has been developed for students and the migration to the new platform took place during the second semester. The training of students on the old platform continued through the Computer Training Programme under the Mentorship Programme. Seven mentors from the Faculty of Science and Agriculture and six from the Faculty of Commerce, Administration and Law have undergone the Train the Trainer Programme on basic ICT literacy.

CURRICULUM DEVELOPMENT

The Department of Creative Arts was assisted in the 'recurriculation' of the Bachelor of Arts in Drama, Theatre and Performance Programme. The Department was also assisted in the recurriculation of the Bachelor of Arts in Tourism Studies Programme. The Curriculum Development Office worked with the Department of Mathematics and the Quality Assurance Unit on effecting the corrections based on the comments received from CHE on the Bachelor of Science Honours in Statistics. The same

support was given to the Department of Political Science and International Relations and the Quality Assurance Unit on the corrections received from CHE on the Bachelor of Social Science in Politics and International Relations. Finally, Senate approved the Student Guide template.

STAFF DEVELOPMENT AND CAPACITY BUILDING

The Academic Staff Induction Workshop was held on 29 to 30 January 2019 for the 13 newly appointed academic staff members. Seven staff members came from the Faculty of Arts, four from the Faculty of Commerce, Administration and Law one from the Faculty of Science and Agriculture and one from the Teaching and Learning Centre. Induction of new staff members is conducted by the Human Resource Department. New staff members from the faculties, participated in the Academic Staff Induction Workshop. There has been a significant increase in the usage of the various instances of Moodle in different faculties.

A number of female academics attended leadership

workshops and were actively involved with institutional committees in leadership positions. Two female staff members from the Law Department attended the Management Development Course hosted by the UKZN Extended Learning Unit. Two female staff members from the Law and the Public Administration Departments attended the HERS SA programme. The Dean (who is female) also attended two training modules for Deans by the HELM programme in July and November. She also was part of the Enhance Your Executive Skills (EYES) eightweek workshop in Pietermaritzburg, during September and October.

A total of 10 staff members from the FED participated in an Academic Portfolio Development workshop in the first semester. Three HoDs, one Deputy Dean and Dean attended the HELM programmes in 2019. In the FED, fiftytwo academics attended and participated in a number of workshops and seminars that included those on Evidence Development; Data Analysis using Atlas TI software; a Writing Retreat; Capacity Building for Emerging Supervisors; SATN Capacity Enhancement Programme (PhD support workshop); Understanding and Developing your Research Proposal; Portfolio Development; Sesotho and isiZulu Reading Project; Article Writing; Postgraduate Supervision; Performance Management; Workshop on Participatory Action Learning and Action Research (PALAR); Moodle; and the use of Moodle for teaching and research, and so on.

Blended learning

During the course of the year, on a monthly basis, blended learning workshops were conducted on:

- Moodle
- Instructional Design
- Educational Technology

The workshops were hands-on, demonstrating the use of the various functionalities in Moodle and the various educational applications that academics could integrate into teaching and learning. These workshops equipped academics with the necessary skills in creating their own online courses and integrating various educational applications in their teaching. The Faculty of Arts accounted for 33% of the attendees on average, the Faculty of Education for 47%, the Faculty of Science and Agriculture for 7% and those not identified for 13%. There were more lecturers by far attending, followed by postdoctoral students, followed by nGAP lecturers and senior lecturers. The CSIR also undertook training on their NESL platform with the Department of Computer Science on 15 February. The NESL platform is a virtual laboratory that provides students and academics with the tools to enhance their networking and security skills. The CSIR has made this platform freely available to staff and students at the University. All the above activities are initiated and implemented by the e-Learning Committee representing all Faculties, led by the ICT Director and TLC e-Learning Coordinator.

Professionalising (PGDip-HE, TAU, SLDP) teaching and incentivising teaching

Seven staff members from different departments in the Faculty of Education (Dr P. Pillay, Prof. M.S. Mabusela, Dr A.B. Buthelezi, Dr D. Kent, Dr S. Govender, Dr A. Krishnannair and Dr Mosoloane) were enrolled in the PGDip in Higher Education (PGDIPHE) programme Teaching Advancement in University (TAU) during the course of the year in an effort to improve their teaching skills. Some have completed while others are in the process of doing so in the near future.

Increasing the number of academics with PhDs: nGAP

UNIZULU started the year with 10 nGAP lecturers, but one of them resigned during the course of the year. The first nGAP meeting for mentors took place on 12/13 March 2019 and 14 March 2019 for managers at the Peermont Emperors Palace, Kempton Park. Regular meetings were held throughout the year between nGAP lecturers and their mentors. nGAP lecturer Ms Mandisa Makhaye attended the ADA Winter School 2019 at Stellenbosch University. Shortlisting and interviews for Phase 5 of the programme were done and all relevant information was sent to DHET for approval. Further applications for Phase 6 of the nGAP programme were submitted to the DHET for approval. Currently, in the Faculty of Arts and the Faculty of Education, there are two and one nGAP lecturers respectively who are fully integrated into faculty activities, while two nGAP positions were advertised in Curriculum Studies and Life Sciences.

Increasing the number of academics with PhDs: SATN and USDP

There are 88 identified staff members who are supported by SATN in collaboration with the UNIZULU Programme. Fifty-five of them are in the accelerated doctoral programme and 33 in the supervision skills acquisition track. About 75% of academics in this cohort are

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women who are contributing to cutting-edge research and new knowledge creation in natural sciences and humanities. A total of 21 members of staff in the Faculty of Commerce, Administrations and Law, 11 males and 10 females constituting 37% of the total staff component in this Faculty, are now involved with the SATN-UNIZULU doctoral accelerator programme. The intention is to increase FCAL's 20% to 57% staff with PhDs for the faculty. Over and above the SATN-UNIZULU programme, there were 10 staff members in the Faculty of Education who participated in the University Staff Development Programme (USDP), and three who graduated in 2019. From this faculty, a total of nine staff members participated in the SATN programme as doctoral candidates and 13 as emerging supervisors. The faculty is sitting at 53% of academics with PhDs and a further 18 are reading towards this qualification.

VC's Teaching Excellence Awards

The mandate of the awards is to steer the agenda for efficient, effective quality teaching and learning at UNIZULU. The awards are held annually to recognise academics that excelled in teaching. The awards were presented in three major categories, namely distinguished (professors), developed (senior lecturer), emerging (lecturer). Workshops on portfolio development were provided to support academics in preparation for the awards. A portfolio gave the opportunity for academics to document good teaching, both at an institutional and personal level. Claims made in the portfolio were to be supported by evidence. The TLC made every effort to align the teaching portfolio with the requirements of the teaching and learning section that appears on the policy and procedure on promotion of academics and research staff that academics use when applying for promotion. From the Faculty of Arts, five academics submitted themselves for consideration towards the VC Teaching Excellence Awards. There were two from Faculty of Commerce, Administration and Law, two from the Faculty of Education and 12 from the Faculty of Science and Agriculture, totalling 21. Prof. K.C. Lehloenya (FSA) won the Award in the Distinguished Category, Dr Evans (Faculty of Arts) in the Developed Category and Dr M. Sibanda (Faculty of Science and Agriculture), Dr G.S. Nksoi (Faculty of Arts) and Dr N.J. Mdiniso (Faculty of Arts) in the Emerging Category.

Teaching Advancements at University (TAU)

This is a national initiative that currently recognises university teaching. The initiative includes the TAU Fellowships Programme as well as Higher Education Learning and Teaching Association of Southern Africa (HELTASA). The following academics attended the fellowship programme for 18 months and completed the programme; the late Prof. A. Zobolo, Prof. M.S. Mabusela, Dr M. Zikhali and N. Evans. The programme exposed academics to different activities aligned mostly to the scholarship of teaching and learning (SoTL), including mostly active student engagements. All 26 public universities were represented by academics from different fields of academic specialisation.

New academics transitioning into Higher Education Programme (NATHEP)

Dr Ngubane and Ms M. Ngema attended the NATHEP workshop that was held on 23-25 April 2019 and from 5-8 November 2019 in Boksburg. NATHEP targets academic developers from 10 different universities in South Africa. NATHEP enhances academic development practitioners in relation to conducting staff induction programmes to newly appointed academics. NATHEP adopts the cascading model of staff development where those who will have participated in the programme will, in turn, train academics in their respective institutions. The programme involves academic development practitioners' skills of facilitating curriculum development, student learning and new academics.

Siyaphumelela Network 2020-2022 and the UCDP/G

UNIZULU submitted a well-received proposal to the South African Institute for Distance Education (SAIDE) partnering with the Siyaphumelela network that includes a number of services developed and supported by partner institutions to build capacity across the South African HE sector. Important national roleplayers such as DHET, CHE and Universities South Africa (USAf) play a supporting and advisory roles. Several possible funders include the Kresge Foundation. UNIZULU has been offered the following services by Siyaphumelela network at no cost to the University:

Coaching from local coaches on how best to manage and use data analytics for student success. This includes a review of the institutional strengths and weakness using a South African version of the Achieving Dream Institutional Capacity Assessment Tool

- Opportunities to meet with peers on a semester basis to compare notes and experiences in the region
- Opportunities to participate (two institutional participants per year) in an annual Siyaphumelela Conference on student success. The conference brings together institutional researchers, academic developers, student advisors and university leadership to discuss innovations and challenges in student success
- Opportunities for institutional researchers, academic developers, student advisors and university leadership for training and professional development through participation in workshops focused on the services available to Siyaphumelela members (two services per year)

LEVELS OF ACADEMIC PROGRESS IN DIFFERENT DISCIPLINES AND LEVELS OF STUDY

In the Faculty of Commerce, Administration and Law's five departments, the targeted 75-82% pass rate was achieved for the majority of modules. For the first time, it was also possible to monitor the pass rate for first-time entering students (FTENS) and compare that to the performance of repeaters of all first-year modules accordingly. Data from this comparison show that the FTENS perform academically much better than the repeating students. Repeating students tend not to attend classes or tutorials and are failing modules more than once. The Economics Department was able to achieve a pass rate of 84% at first-year level, as well as 80% and 94% respectively at second- and third-year levels. Through the tutorial system, the department was able to improve the pass rate by over 20% over the past three years. Tutors are trained on a weekly basis to ensure that they give proper guidance despite the high enrolment rates.

In Business Management, the pass rate ranged from 55% at first-year level, to 92% at third-year level. The second-year level performed very well, achieving a pass rate of 86%. The Accounting Department that partners with the University of Cape Town (UCT) and the University of Johannesburg (UJ) in developing their course content and assessments, achieved very low pass rates in most of the modules across the different levels, but this has been the trend over the years at a national level due to the professional requirements of the programme. There are certain modules that can be classified as 'killer-modules', for example, 2AAC101 and 2ACC102, which are compulsory modules for all BCom students. A serious revamp of modules, teaching methods, introduction of compulsory writing tutorials and a language module should be investigated and implemented in 2020. Interventions such as tutorials and additional classes should improve the pass rates at some levels. Public Administration has done very well consistently and produced good results, meeting an 82% pass rate consistently in all modules. Law has produced pass rates that are quite irregular. A thorough analysis of teaching methods and support is necessary, since certain third-year modules have pass rates from 80-92%, while other modules, with the same students, are labelled as module-at-risk with a pass rate of only 43% and 60%. Similarly, some second-year modules have a pass rate of 50-62%. The same students achieved up to an 86% pass rate in other second-year modules.

WORKING WITH INDUSTRY

The departments that have a credit-bearing WiL as a component of their programmes have a strong and healthy relationships with the industry, which not only offers internship positions but also employment opportunities. Examples are the departments of Recreation and Tourism, which have strong connections with the tourism industry, KZN Ezemvelo Wildlife, King Cetshwayo District Municipality and tourism businesses in KwaZulu-Natal and other relevant stakeholders. Thirdyear Tourism students attended and worked in Africa's Travel Indaba (Durban); honours and third-year students attended Meetings Africa in Johannesburg (IMEX-FLF), staff and students attended Umthayi Marula Festival, the third annual Umkhanyakude Investment Seminar and the Networking Dinner at Kosi Bay Hippo Lodge and Resort (Manguzi), and an exhibition in Pietermaritzburg. The Department of Social Work has a strong relationship with the Department of Social Development, the South African National Council on Alcoholism and Drug Dependence (SANCA) and Families South Africa (FAMSA). These organisations have accommodated final-year social work students to do their WIL. The Department of Information Studies, in association with the KwaZulu-Natal Convention Bureau, King Cetshwayo District Municipality and Umhlatuze Local Municipality, held the 20th Information Studies (IS) conference at the University, KwaZulu-Natal, South Africa between 18-20 September



2019. This year's conference theme is 'Data, information and knowledge for Development in Africa'.

The University, through the Faculty of Commerce, Administration and Law, works with various industries for the purposes of teaching and learning. These include RBCT and Tronox, Transnet and RBIDZ. In some, MoUs are in existence while some are in progress.

The Department of Human Movement Science (HMS) has an MoU with UNIZULU and the Richards Bay Rugby Team. The Department of HMS also has MoUs with Biokinetics practices in the private industry. The industry helps in the evaluation of fourth-year students' practical work during the June/July holidays. Mathematics in Industry Study Group (MISG) academics, applied mathematicians, graduate students and overseas guests worked collaboratively on research problems submitted by local Industry. The first MISG was held at the University of Oxford in 1968 and it has spread to many countries since then. The first MISG in South Africa was held at the University of the Witwatersrand in January 2004. From 2010, the venue has alternated between the University of the Witwatersrand and the African Institute for Mathematical Sciences (AIMS) in Muizenberg, Cape Town. The MISG will be held at the University for the first time in January 2020.

COMMUNITY ENGAGEMENT AND SERVICE LEARNING

The Community Engagement Unit conducted a workshop for academics on Community Engagement in Teaching and Learning as well on the initiative for the University to give back to communities from which it harvested data, information and knowledge. The Unit, in collaboration with the UNIZULU faculties, also conducted information workshops for staff about what CE entails and how it can be implemented in curricula. The manager presented three papers at the South African Higher Education Community Engagement Forum (SAHECEF) international conference. The Department of Recreation and Tourism has done WIL site placements for about 90 third-year students, who are on these sites between July and December 2019. They are visited twice per annum, in August and October, by assessors who are department staff. The department has a CE project – Developing Strategic Marketing Plans for Tourism Businesses in uMhlathuze Local Municipality. The project that has been submitted to the Senate CE committee for consideration. Staff members in the Department of Information Studies have recently registered community outreach projects with the research offices. Dr Masenya has registered one project on the digital preservation of indigenous knowledge in rural communities in KwaZulu-Natal.

The Department of Creative Arts has, since 2018, established an annual Departmental Theatre Festival where all third-year students are cast in professional theatre productions. The department participated in the Grahamstown, (now Makanda) National Arts Festival, which is one of the ways that students are introduced to the industry. The department has actually revived the participation of UNIZULU at the festival by re-imagining and reframing the University's engagement to ensure that their production is a direct product of the teaching and learning activities that the students are engaging with, in and outside of the lecture setup. The creative process of writing and directing is led by academics and includes the students in shaping the final product. Students are also taught and assessed on the processes involved in participating in a big production, for example, the audition process, dealing with audition briefs, and handling and preparing for a call back. All the processes that students engage with in the production are assessed and the production itself is used as a reference for further academic dialogues within various modules.

As a way of introducing the aspect of WIL in the Faculty of Arts programme, a project has been formalised for the third-year students to expose them to practical work experiences. Students in this project are responsible for identifying challenges within the teaching and learning of dramatic arts in the schools' curriculum. They are expected to come up with an intervention that speaks to these challenges, creating and presenting them to high school teachers and learners. This lays a basis for a discussion around the specific challenges within the context of dramatic arts teaching and learning. Students are assessed on the process and their ability to apply what they have been taught in a practical work setup.

A total of 11 staff members from the Faculty of Education attended community engagement workshops. The faculty is also running a Community Engagement Flagship Project, working with 10 local high schools to provide tuition in eight subjects to Grade 12 learners. About 86 students from the faculty as well as 15 academics are involved. The faculty has also developed service-learning projects in teaching practice modules to be implemented in 2020 wherein student teachers will explore real-life problems in communities. Prof. Maphalala holds an NRF funding grant to support rural high schools in successful curriculum planning, implementation, monitoring and evaluation. The faculty has also developed a number of service-learning projects in teaching practice modules to be implemented in 2020.

CENTRES FOR SUSTAINABLE INTEGRATED RURAL DEVELOPMENT (CSIRD)

Work was also done on developing partnerships with the provincial Department of Agriculture and Rural Development (KZNDARD). A new strategy is being worked out for 2020 going forward. Efforts to resuscitate partnership with KZNDARD.

Much of the time in 2019 was spent on ensuring that the preparations for the implementation of the UNIZULU 101 pilot were in place. With regard to UNIZULU 101, the following activities were rolled out: the module has been included in the academic timetable and assigned venues, graduate academic assistants to work on the module have been selected. The appointment process is underway. Training of Graduate Academic Assistants will take early in 2020. The learning materials for the pilot have been finalised, volume 1 of the Student Reader and the Graduate Academic Assistant Guide have been printed and are ready for the delivery of the module. The Moodle page for the module has been assigned and developed on the old instance (version 2.7.2), and will be cloned to the new instance (version 3.5.2). The UNIZULU 101 Monitoring and Evaluation Plan for the year has been developed, and the instruments for collecting data have also been developed.

SPECIFIC PROJECTS

As part of the strategy to improve learning and graduate attributes various debates to conscientise students on the recent issues of society were hosted. Dr Linda from Nursing Science coordinated and led the Faculty of Science and Agriculture celebration of cultural diversity through a debate by the Nursing and Computer Science students themed: the 'Relationship between Culture and Science: Culture is not Science versus Culture is Science'. Fakazile Mthethwa, an Indigenous Knowledge (IK) expert, was invited to give a talk. On 2 August, the Faculty of Science's Student Society hosted a Science Indaba,

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where the question on how we could revolutionise and transform the IK system and its traditional ways to create value in the 4th Industrial Revolution was discussed. The Department of Geography facilitated a debate led by the students on 12 September 2019. The topic of the debate was 'Is Climate Change real or a myth?' The aim of the debate was to create awareness on the diverse point of views about climate change that play an important role in the policies made by society. Towards the end of the debate, the audience was given the opportunity to express their point of views about climate change. Dr S.T. Madlala accompanied 15 fourth-year student nurses who attended the SANC Professional Conduct Enquiries from 2-4 September 2019 for their experiential learning. The purpose of sending students to hear cases of malpractice was to expose them to the reality of how issues of unprofessionalism and malpractice may lead to litigation and other harmful penalty outcomes.

COLLABORATIONS/PARTNERSHIPS

Several departments have signed MoUs with various organisations:

- Prof. J.D. Thwala initiated contact with the Psychiatric
- Unit at Ngwelezane Hospital in preparation for a formal MoU
- MoU between the University and The International

Institute of Knowledge Management (Pty) Ltd (TIIKM)

- 2019/2020 MoU for Media and Mass Communication 2019 (MEDCOM) is facilitated by Dr Metso. Approval is being sought from the relevant structures at the University
- The Culture, Art, Tourism, Hospitality and Sport Sector Education and Training Authority (CATHSSETA) is providing some Recreation and Tourism students with bursaries
- The National Department of Arts and Culture provides bursaries to students in the General Linguistics Department
- The Department Information Studies is working in association with the KwaZulu-Natal Convention Bureau, King Cetshwayo District Municipality and uMhlathuze Local Municipality and will partner in the 20th Information Studies (IS) Conference at the University
- The Department of Recreation and Tourism has submitted an MoU with a university in USA (Claflin University) and Portugal (Aveiro).
- An MoU initiated by Dr Ntombela between Insika Rural Development Trust and the University is currently with the legal division awaiting approval for final signage
- The Department of Information Studies has established an MoU with the KwaZulu-Natal

Convention Bureau for hosting UNIZULU's 20th anniversary conference.

STAKEHOLDER RELATIONSHIPS

A partnership was entered into with a film company based in Johannesburg to run and facilitate a Gender Differences Film and Dialogue Festival for and with the students. The initial project took place over a three-day period. Local films made by young black South Africans were screened. Students and invited community guests engaged in serious dialogue about the themes and issues raised by the films. Students were also empowered by participating in a filmmaking workshop that covered topics around how to negotiate one's entry into the industry, filmmaking processes and the writing process. The Department is in the process of formalising an agreement to stage a bigger and more inclusive festival next year where students would be involved through a developmental process and mentored to create their own short films. Selected films made by students will then be screened during the festival. The Department of Creative Arts has also formed a partnership with King Cetshwayo Municipality Arts and Culture Office.

The Faculty of Education successfully placed a total 1 129 students in home-based schools for teaching practice (both PGCE & B. Ed 3. The faculty also managed to successfully host seven seminars in 2019, one per department. Seminars were attended by the University community and stakeholders from schools and the provincial DBE. The same seven departments also participated in international collaborations that the faculty had in 2019. These included partnerships with Appalachian University (Prof. Bayaga co-publishing with his counterpart) and Penn State University where five academic staff members from the faculty spend two weeks (3-14 June 2019) working with mentors and postgraduate students there.

SIGNIFICANT DEVELOPMENTS AND ACHIEVEMENTS IN RESEARCH

Research outputs (publications) have been on the rise in the past two years. UNIZULU's participation continued to grow in national and international collaborative projects, including the Enhancing the Postgraduate Environment (EPE), the Entrepreneurship, Modernization and Innovation in South Africa (EMISHA) and SA-Sweden University Forum (SASUF), collaborations with the European Union (EU) institutions, as well as the Technology Innovation Agency (TIA), and the KwaZulu-Natal (KZN) Economic Development, Tourism and Environmental Affairs (EDTEA)-funded projects. UNIZULU participated in the workshop on the 4th Industrial revolution at the University of Pretoria (UP), the review of British Council-NRF projects, in the SASUF, and the EU Fair Project. It also participated in the Regional collaboration with eThekwini Municipality – MILE Inaugural Professorship addresses, the public lecture series – among others, talk to new inroads in the future of research and innovation of the institution. Three inaugural professorship addresses point to a growing academic scholarship in the university.

The Research and Ethics Management System project has also reached to prototype development phase, with implementation expected mid to end of 2020. Consistent growth in research publications and related subsidy income, and advances in innovative projects describe us a university on the rise. With the exception of the slower postgraduate throughput growth rate, a fast-tracked policy environment, stability in quality assurance and the oversight regime, substantiate this observation. Practical research capacity development efforts, both internally sponsored and under the University Capacity Development Project (UCDP) auspices, are bearing fruit. As in previous years, the Research Unit continues to capacitate postgraduate students, researchers and academic supervisors with a myriad expertise development and training interventions. Training and development interventions range from (i) supervision training workshops, (ii) supervised writing for publication mentorship, (iii) Research design seminars and workshops, (iv) IP and Technology Transfer capacity development, (v) to the NRF-rating applicant mentoring and support, among other initiatives. Evident growth in the guality and quantity of research outputs in the recent DHET outputs report, spells a reasonable cause for optimism.

SIGNIFICANT DEVELOPMENTS AND ACHIEVEMENTS IN RESEARCH

This report provides an overview of all the research activities and achievements during the year under review.

RESEARCH SUPPORT FINANCIAL ALLOCATIONS AND EXPENDITURES

Data on research support financial allocations and related expenditures for 2019 are outlined herein below.

NRF Grants

The NRF funds qualifying postgraduate students at an average rate of R60 000 per honours student, R90 000 per master's student, and finally, R120 000 per doctoral student, with exceptional differentials determined by special project arrangements. The University received a combined total of R34 792 153 (of the honours, master's and doctoral scholarship) for 469 postgraduate projects in 2019. From this figure, a total of R28 824 153 was released, and R28 640 150 has been paid out.

Research Committee grants

The Research Committee manages research subsidyrelated fund, from which aligned research transactions are funded. For this purpose, the committee had an approved budget of R22 842 667 (OPEX = R21 323 952) for 2019. The Research committee accounts stands at a balance of R1 606 838.16 as of 1 December, to the end of the year. A detailed breakdown of the 16 projects funded by the Research Committee, as well as the R96 000 (R40 000 NRF Rating and R56 000 Thuthuka Grants) and a R1 362 000 SARChI Chair development and support grant. See Table 22:

	Description	Budget Request for 2019	Opex 2019	Spent as at 30 November 2019	Balance
1	Research Project Grants (R50k – Staff; R40k – HD doctoral; R20k HD master's; R5k HD honours)	4 700 000.00		4 700 000.00	0.00
2	Capacity Development	500 000.00		286 027.80	213 972.20
3	Overseas Conferences	2 100 000.00		2 100 000.00	0.00
4	Local Conference	500 000.00		500 000.00	0.00
5	Travel Grant (2 x R150,000)	300 000.00		219 576.40	0.00
6	Research Grant (2 x R250,000)	500 000.00		499 192.55	807.45
7	Generated Funds (40% – individual; 10% – Department; 50% – Research Committee)		21 323 952.00		
8	NRF Commitments (Thuthuka/IFR/ Equipment)	714 250.00		532 800.00	181 450.00
9	M&D Supervision Incentives	1 500 000.00		1 496 645.10	3 354.90
10	Research Development Funds	600 000.00		552 143.19	47 856.81
11	Other Awards (Postdoctoral allowances; page fee charges; hosting of conferences; research visitors; DVC discretionary funds)	7 460 000.00		6 841 897.67	118 102.33
12	Research Equipment	1 500 000.00		1 500 000.00	0.00
13	Academic Employees with NRF Rating*	0.00			0.00
	NEW CATEGORIES				
14	Niche Area Development	1 046 258.00		65 577.53	980 680.47
15	SA Chair Development	1 422 159.00		1 362 000.00	60 159.00
16	Postgraduate Bursaries	0.00		0.00	0.00
	Total	22 842 667.00	21 323 952.00	20 655 860.24	1 606 383.16

Table 22: Research Committee Grants 2019



Overseas Conference Support Report

Out of a R2 100 000 annual budget for overseas conference support, the sector reflected a welcome growth trend – leading into a mild over expenditure of R107 622. This represents a total of 63 applications for overseas conference travel approvals (in varying amounts) to the sum of R2 207 622.

Research Committee Project funding

Finally, the Research Committee also administered research output-related funds, with a mandate to view and support further research advancing initiatives through the funding of miscellaneous research and innovation projects across the four faculties of the University. WhileR4 700 000 had been budgeted for this purpose, research advancement initiatives pushed by the Research Office have seen a sharp growth in demand, forcing over-expenditure of R845 752.78 on these encouraging expenditure items. A total of R5 545 752.78 was eventually allocated to fund various qualifying research projects under this category.

INTELECTUAL PROPERTY AND TECHNOLOGY TRANSFER

This portfolio encompasses aspects of intellectual property compliance and management administration, including technology transfer, innovation promotion, and a commercialisation drive, intellectual property disclosures, patent registrations and administration processes, seed-funding initiatives, as well as related awareness campaigns, capacity development and institutional and national reporting. A summary of events is outlined below:

- 14 February 2019 Inaugural Gauteng Regional Forum, Wits
- 4-6 March 2019 National Intellectual Property Management Office of South Africa- World Intellectual Property Organization (NIPMO-WIPO) TISC National Workshop, Pretoria. The workshop was an annual refresher course on the implementation of the IP Act as well as the latest practices on innovation disclosures, patent filing, tech transfer and commercialisation practices – to update the skill and practice insight of administrators

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in that space. The workshop was hosted by NIPMO, WIPO, international experts in intellectual property and technology transfer, as well as law specialists (from Spoor and Fisher, Johannesburg) on patent filing and commercialisation models

- 19 March 2019 Companies and intellectual property commission (CIPC), UNIZULU. Information sharing session held at Resource Centre, Faculty of Education
- 8-9 April 2019 Intellectual Property and Technology Commercialisation Colloquium, Pretoria
- 26 April 2019 World IP day: Workshop held at Richards Bay campus, UNIZULU. This was an awareness promoting event, where NIPMO and representatives of the KwaZulu-Natal Regional Office of Technology Transfer (KZN-ROTT) visited UNIZULU to share knowledge on the significance of innovations, intellectual property and technology transfer and commercialisation of intellectual property. The lecture hall was full, with many students hearing of intellectual property and technology transfer for the very first time. It emphasised the significance of sharing this important insight across all UNIZULU community sectors - at least, if the broader entrepreneurship mindset is to develop, with a hope of bearing fruits among the next generation of learners in the long-term
- 22 May 2019 Water Research Commission: ▶ Roadshow, UNIZULU.
- 9-15 June 2019 Business Matchmaking in Beijing and Tainjing, China. Showcasing UNIZULU innovative projects
- 25-28 June 2019 EDHE Entrepreneurship Lekgotla, • Durban International Convention Centre (ICC), sponsored by UNIZULU Teaching and Learning Centre
- 8-17 July 2019, WIPO-NIPMO Workshop on Intellectual Property Innovation Policy for developing countries taking place at The East London Industrial Development Zone
- 12 August 2019 IP Commercialisation Workshop hosted by Tech Transfer Unit, UNIZULU
- 22 August 2019 UNIZULU Site Visit by EDTEA Tech Fund to discuss progress of the project with innovators
- 17 September 2019 LED Innovation Partnership with City of Umhlathuze, CoU - Proposed TIA

meeting to discuss the Municipality LED and University. This platform is on par with the Research and Innovation Office's strategic drive to forge collaborations between the University and its community strategic partners

- 21 October 2019 - UNIZULU Site Visit by EDTEA Tech Fund - Innovators demonstrating and showcasing some of their products that they are working on
- 11-26 October 2019 Training for development and construction of the International Business Incubator (Beijing, China), Organised by DSTI/ NIPMO and partly sponsored by Ministry and Science and Technology - MOST
- 27 October 3 November 2019 African • Innovation Week, African Union, Addis Abbaba, Ethopia (presented on UNIZULU Intellectual Property Management and Challenges on Commercialisation of Intellectual Property)
- 21 November 2019 TIA Seed Fund Engagement • session, to engage with the institution and researchers regarding processing of funds funded innovators, UNIZULU
- ▶ 3-6 December 2019, Innovation Bridge, Council for Scientific and Industrial Research (CSIR), Pretoria, (showcasing/exhibition, market pitch for UNIZULU innovations. The aim of the NIPMO-funded initiative is to give researchers and innovators a platform to market and promote their innovative ideas while learning the trade of pitching for commercial markets. A notable advantage here is that UNIZULU is already in the process, having managed to raise researchers with promising ideas and innovative projects that can be showcased. Experiences can be shared with fellow researchers, and most significantly, transplanted to educational interactions with students of these academics and researchers.

TRAINING AND DEVELOPMENT

The Research Office offered workshops ranging from proposal writing and grant application workshop to data analysis training. In March, the Research Office participated in the Library Week campaign. The theme was 'Pop-up Library' with the aim of promoting the Library and bringing it to the people. A detailed account of training and development projects for the year of 2019 is outlined in Table 23.



Table 23: 2019 Research Office Training and Development Programmes

DATE	EVENT/ACTIVITY	VENUE	FACILITATOR	GOAL/OBJECTIVE
14-18 January	Research Writing Retreat	Bonamanzi Hluhluwe	Dr E. Lickindorf and Dr G. Baker	The Research Writing Retreat programme is designed to provide support and assistance to novice researchers and aims to assist with presenting research results in a way that encourages swift and efficient publication in an accredited journal. The facilitators also critically assess the presentation of an article for publication from a reviewer's perspective. Two research writing retreats were held in 2019 with 27 staff members who attended. Twelve articles have been submitted to accredited journals
13 March 16 April 24 April 7 May	Proposal Writing Workshop	UNIZULU Library Conference Room	Prof. A. Kappo and Kaseeram	The workshop aims to introduce and familiarise postgraduate students to the process of drafting a research proposal and assist them to understand the research proposal process from faculty up to institutional level ¬– higher degrees. Four workshops were held, and 96 postgraduate students attended these workshops, which were well implemented with no challenges to be noted

DATE	EVENT/ACTIVITY	VENUE	FACILITATOR	GOAL/OBJECTIVE
18 March	Library Week Pop-up Week Collaboration With Research Office	Library	Ms L. Vahed	The aim is to promote the Library
25-29 March	Postgraduate Summer School	Umfolozi Casino – Empangeni	HSRC	The aim of this programme is to assist postgraduates in managing and analysing big data and introducing students to writing for publication
9-11 April	Postgraduate Capacity	UNIZULU Library Conference Room	Dr L. Cassim	The workshop is offered over three days and aims to equip postgraduate students with skills required to draft their research proposal and thesis and to assist them to better understand the structure of a thesis, how to compile a critical literature review and understand what examiners look for in a well-written thesis. Two workshops were offered this year and 80 were trained. UNIZULU has introduced an assessment component to these workshops to try and get an indication of what the impact is on these sessions
23-25 April	Introduction To SPSS	UNIZULU – Postgraduate Lab	Mr Sizwe Zondo	The workshop is offered over three days and aims to introduce postgraduate students to the use of SPSS: A data analysis software. The workshop focuses on developing preliminary skills on SPSS that are vital for postgraduate research
29 April	DVC Forum	UNIZULU Library Conference Room	DVC Research and Innovation Prof. de Wet	Platform for academics to engage DVC and Director of Research and Innovation on matters of research at UNIZULU
2 May	NRF Grant Application	UNIZULU Library Conference Room	Mr Ferdi van der Walt	The grant writing workshop introduces students to the grant application process and enhances their skills on drafting a fundable NRF grant proposal. The workshop also teaches and give tips on how to improve grant writing skills and present a sound and fundable Grant proposal for the master's and PhD candidates. The workshop also emphasises the importance of career planning. The workshop was attended by 17 postgraduate students
3 May	NRF Rating Workshop	UNIZULU Library Conference Room	Mr Ferdi van der Walt	Providing support to established researchers who wish to apply for rating of funding programmes with the NRF



DATE	EVENT/ACTIVITY	VENUE	FACILITATOR	GOAL/OBJECTIVE
29-31 May	Research Writing Retreat Workshop A	UNIZULU Library Conference Room	Dr E. Lickindorf and Dr G. Baker	The Research Writing Retreat Programme is designed to provide support and assistance to novice researchers and aims to assist with presenting research results in a way that encourages swift and efficient publication in an accredited journal. The facilitators also critically assess the presentation of an article for publication from a reviewer's perspective. Two research writing retreats were held in 2019 with 27 staff members who attended. Twelve articles have been submitted to accredited journal
2-4 July	Introduction To Qualitative and Quantitative Research Design	UNIZULU Library Conference Room	Prof. L. le Grange	Introduces postgraduate students to core principles of research design with the focus of developing a coherent research design. The workshop is offered over three days. Two workshops were offered this year and 46 attended. UNIZULU has also introduced an assessment component to these workshops to try and get an indication of what the impact is on these sessions
30 July – 1 August	Postgraduate Supervision Programme Phase I	Bon Hotel Empangeni	Prof. S. Mckenna Prof. E. Mnqwashu	The programme is offered over three phases. Two of the phases (Phase 1 and 3) are face-to-face sessions and Phase 2 is a six-week online session. During Phase 2, participants are given material to engage with in preparation for their final assessment. Twenty academic staff members attended this programme
7 August	Literature Review	UNIZULU Library Conference Room	Dr Akpome	The workshop aims to assist Postgraduate students to better understand Literature review, develop strategies and tools to use when writing up their literature review
12-16 August	Data Analysis Using SPSS and Atlas.ti	UNIZULU Media Lab	Prof. B. Smit Prof. V. Scherman	Introduces participants to data analysis using SPSS and Atlas.ti. The workshop is offered over five days and covers qualitative, quantitative data and mixed methods. The workshop is theoretical and practical. Participants are taught how to navigate the two data analysis software packages when analysing data. One workshop, with 18 attendees was held
21 August	Literature Review Library Session	UNIZULU Library Conference Room	Library	Postgraduate students are introduced to tools and systems that can be used when searching or writing up their literature review

DATE	EVENT/ACTIVITY	VENUE	FACILITATOR	GOAL/OBJECTIVE
22 August	Literature Review	UNIZULU Library Conf. Room	Dr Akpome	Postgraduate students are introduced to tools and systems that can be used when searching or writing up their literature review
26 August	Literature Review Library Session	UNIZULU Library Conf. Room	Library	Postgraduate students are introduced to tools and systems that can be used when searching or writing up their literature review
26-30 August	Research Writing Retreat Workshop B	Bonamanzi Hluhluwe	Dr E. Lickindorf and Dr G. Baker	The programme provides support to novice researchers in presenting research results in a journal publication-efficient manner. Facilitators assess critically from a reviewer's perspective. Two writing retreats were held in 2019, with 27 staff attending. Twelve articles have been submitted to accredited journal
27-29 August	Postgraduate Capacity	UNIZULU Library Conference Room	Dr L. Cassim	It is offered over three days, to equip postgraduate students with research proposal and thesis drafting skills (to better understand the structure of a thesis, compiling a critical literature review and understanding what examiners look for in a thesis). Two workshops were offered this year, with 80 trainees. The quality is assessed to examine the impact of these sessions
3-5 September	Introduction To Qualitative and Quantitative Research Design	UNIZULU Library Conference Room	Prof. L. le Grange	Introduces postgraduate students to core principles of research design with the focus of developing a coherent research design. The workshop is offered over three days. Two workshops were offered this year and 46 attended this workshop. UNIZULU has also introduced an assessment component to these workshops to try and get an indication of what the impact is on these sessions
9-13 September	UNIZULU Research Week	UNIZULU Library Conference Room	Research Office	It takes place in September annually, with various activities to develop scholarship and a research culture across faculties. The 2019 theme: 'Transforming lives through Research'. The programme included activities such as public lecture, postgraduate seminar and Trivia Café
19-19 September	Postgraduate Supervision Programme Phase III	Bon Hotel – Empangeni	Prof. S. Mckenna	The programme was offered over three phases. Phases 1 and 3 are face-to- face sessions and Phase 2 is a six-week online session. In Phase 2, participants are given material to prepare for their final assessment. Twenty academic staff members attended this programme
22 October	Theoretical Framework	UNIZULU Library Conf. Room	Dr Akpome	Postgraduate students are introduced to tools and systems for searching or writing up their literature review

RESEARCH NICHE AREAS

UNIZULU's research niche area development process is an important route to channel research efforts of the Institution to its positional strength for the advancement of its competitive advantage and notable impact. To this end, both the University and the NRF agreed at the beginning of 2017 to channel strategic efforts towards this objective. The Institution initiated the policy process in January 2017, which included lengthy consultations and workshops.

The process was for the development of the (i) research strategy with emphasis on research niche area development, (ii) policy on niche area development; and the (iii) policy on niche area evaluation. After respective institutional approval structures, including the Senate and Executive Committee of Senate (SENEX), these were finally approved by Council at the end of 2017 - setting the scene for the implementation process as of 2018. The faculty strategies development workshops took most of the 2018 academic year. Information exchange and update meetings were held with the NRF in April 2018 to ensure parity of understanding on progress, both on the RNA project and on the upgrading of science laboratories (as a backbone of research needed to support research). Cross faculty consultations and workshops were then resumed in the second, third and fourth quarters of 2018 - to guide faculty leaders on RNA strategy and proposal development. Because of the unfamiliarity of the territory, it became a rather complex and lengthy process (needing multiple follow-ups by the research rectorate leading up to the second quarter of 2019).

A special Research Committee sat on 23 July 2019 for faculties to present their research niche area strategies. In July 2019, a report back workshop was organised by the research sub-rectorate for faculties to make presentations of their niche area articulations, as well as to present their draft work on this project. The Faculties of Education, and Science and Agriculture had made notable progress in identifying and defining their niche areas. The Faculty of Arts and the Faculty of Commerce, Administration and Law are yet to finalise their decisions on this task. Proposed niche areas include:

- Teacher Education for Rural Settings (TERS)
- Health and Food Security for Enhanced Sustainability
 Sustainable Natural Resource Utilisation and
- Big Data

Management

COMMUNITY ENGAGEMENT

UNIZULU has, during the year under review, developed and established numerous enablers and mechanisms in drive and enhance CE. These include a Strategic Plan and Framework for CE, a CE Policy and Charter, a longterm Implementation Plan based on the Strategy, an Intermediary Platform and the establishment of a Senate CE Committee and Faculty CE committees.

The following community engagement conferences/ seminars and workshops were held during the year under review:

- 22 February 2019 DUT Community Engagement Monitoring and evaluation Workshop (Durban, Coastlands Hotel)
- 1 April 2019 South African Higher Education Community Engagement Forum (SAHECEF) Community Engagement workshop and Board meeting (Limpopo, Polokwane, Bolivia Lodge)
- 10 April 2019 Workshop on Giving back to Communities (Iniwe-Ngamla Guest House)
- 8 May 2019 SASUF, South African-Sweden University Forum Research Seminar (Cape Town, Stellenbosch, Aha de Zalze Lodge)
- 13 May 2019 DST National Science Week 'Facing the Harsh Realities of Climate Change' (Johannesburg, Garden Court)
- 27 May 2019 Workshop on Community Engagement in Teaching and Learning (Empangeni, Bon Hotel)
- 6 June 2019 MILE Research Symposium 2019 (Durban ICC, Garden Court, South Beach)
- 25 June 2019 Entrepreneurship Development in Higher Education (EDHE) Entrepreneurship Lekgotla (Durban ICC, Protea)
- 22 July 2019 Workshop on Participatory Action Learning and Action Research (PALAR) (Empangeni, Bon Hotel)
- 29 August 2019 DUT Second Call for Higher Education, Community Engagement and Governance in 2050 Conference (Durban, Garden Court, South beach)
- 2 September 2019 Writing Retreat (Richards Bay, UNIZULU Science Centre)
- 8 September 2019 Writing Retreat (Richards Bay, Indaba Lodge) – Aligning Policies
- 14 October 2019 SA/Irish Colloquium (Durban, Elangeni Hotel)
- 17 October 2019 University-Industry Collaboration Indaba Season 2 (Pretoria, Sheraton Hotel)
- 23 October 2019 International Journal of Research on Service-Learning and Community Engagement

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(IARSLCE) Conference (USA, New Mexico)

- 30 October 2019 Conceptualising Rurality at UNIZULU (Richards Bay-UNIZULU Science Centre)
- 1 December 2019 SAHECEF 2019 International Conference (Mbombela, Nelspruit)

RESEARCH OUTPUTS PRODUCED

The DHET gave an extension for the research audit report for the year under review to 30 May 2020 and the outcome to confirm conference attendance output thus pending. The current, unofficial figure is 204.8975 (excluding books/chapters and conference proceedings. These are likely to be amended in due course – after the DHET review. The latest official research output statistics that are available are those for 2018. UNIZULU submitted a claim for published research outputs amounting to 232.6499 units appearing in approved books, conference proceedings and journal articles for 2018. Following the assessment of the research outputs, UNIZULU attained a total of 212.6885 units from DHET. Overall, the 2018 units represent an increase of 20.9185 units from the 191.77 units awarded for the 2017 publications. The institutional publication trend for all publications (books, journals and conference proceedings) in the past five years (2014-2018) is shown in Figure 1.





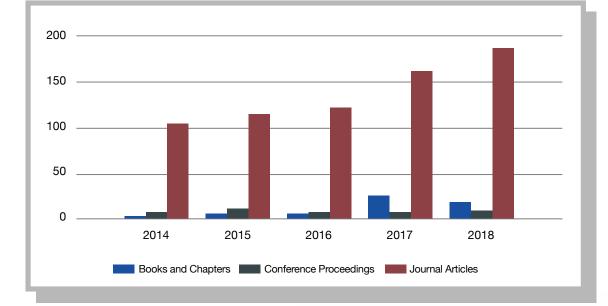


Figure 1: UNIZULU Total Research Output Units by Type of Publication, 2014-2018

	2014	2015	2016	2017	2018
Books and Chapters	0.68	4.52	5.17	24.9	17.3764
Conference Proceedings	6.85	11.33	6.78	5.59	8.2084
Journal Articles	103.21	114.55	123.02	161.28	187.1037
				4 5 /	1.000

The highest number of units (42.8406) across all publication types was awarded to the Classification of Education Subject Matter (CESM) category 14 (Physical Sciences).



RESEARCH AWARDS

On 27 November 2019, the Research and Innovation Office hosted its seventh Gala Dinner Research Awards ceremony to honour its outstanding researchers who made a positive contribution to the growth of the University's research performance. Awards were divided into (i) departmental and (ii) individual performance categories - of research output, innovation and PG throughput performance. Research productivity per capita, and in total, were compared across departments to determine a recognisable performance, with top performers receiving recognition over and above the rest. Special tribute was paid to UNIZULU's emerging and seasoned researchers who were recognised and celebrated for their exceptional research-led innovations. The evening was also intended to encourage research productivity among scholars. Academics were awarded vouchers, certificates and trophies under seven categories, namely Science and Development, Next Generation, Established Researchers, Departments,

Special Categories, Research Entities as well as Prestigious Awards. The names of Professor Abednego Kappo, Professor T. Motaung, and Dr Linda Linganiso (Chemistry, BioChemistry and MicroBiology), as well as Professor Maphalala (Education), were frequently cited, with accolades ranging from notable publications, innovations and a consistently high postgraduate throughput rate.

The prestigious awards of the night were presented to the departments of Politics and International Studies, Biochemistry and Microbiology as well as Curriculum and Instructional Studies, which received first, second and third prize for units produced per capita. The VC Research Excellence Awards event was a highlight of the year for researchers and the Institution at large. It was a proud moment for the management, staff, and everyone associated with the University – a demonstration of notable inroads and achievements in research, innovations, scholarship and inquiry – across the board. The recognitions are outlined in Table 24.

Table 24: UNIZULU Research Awards

CAT.	NAME OF THE AWARD	DESCRIPTION	RECIPIENTS	AWARD
	Research Office Recognition	Person/s who, without receiving any financial incentive, assisted the Research Office in training workshops as facilitators	Prof. A.P. Kappo Prof. I Kaseeram Dr A. Akpome	Gift voucher
Service and Development	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. V. Jiyane Commerce Admin and Law: Mr S. Heeralal Education: Dr Samantha Govender Science and Agriculture: Prof. A.P. Kappo	Certificate + Gift voucher
A Service and D	Research Enthusiasts	Persons who attended at least three research office training workshops during the year	Dr Sifiso Xulu Mrs Refilwe Khumatake Ms Nkululeko Dlamini Mr Celimpilo Dube Dr Nontuthuko Ntuli Ms Ntandokamenzi Dlamini Ms Nompumelelo Linda Mr Neo Mofokeng	Gift Voucher

CAT.	NAME OF THE AWARD	DESCRIPTION	RECIPIENTS	AWARD
	Research Writers' Retreat Graduates	Participants who have published or who have had articles accepted for publication in accredited journals	Dr Nontuthuko Ntuli Dr Gerrit Breukelman Dr Petrus Kok Dr Sifiso Xulu Dr Syamala Krishnannair	Gift Voucher
B Next Generation	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 unit	Dr B.T. Mazorodze – 3.00 units Economics Dr A.O. Enaifoghe – 2.50 units Politics and International Studies Mr T. Balogun – 1.50 units Information Studies	Gift voucher + certificate
B Next	Research Productivity: Emerging Researchers	Researchers under the age of 40 who generated the most units in their faculty, provided that a minimum of 1.5 units were met	Prof. T.E. Motaung – 2.07 units Chemistry	Sand blasted trophy
	Postdoctoral Research Fellow of the Year	Postdoctoral research fellow who generated the most units, provided that the minimum criterion was met (1.5 unit)	Dr A.O. Akinola – 6.00 units Commerce, Admin and Law	Gift voucher

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CAT.	NAME OF THE AWARD	DESCRIPTION	RECIPIENTS	AWARD
	Research Productivity: Senior Researchers	All researchers (excluding research fellows) who attained 1.50 research paper output units	Dr I. Moyo – 13.77 Prof. C. Addison – 11.00 Prof. N. Revaprasadu – 5.99 Prof. A. Beesham – 5.27 Dr A. Akpome – 5.00 Dr M.M. Reddy – 5.00 Prof. D.D. Tewari – 4.16 Dr P. Pillay – 3.66 Dr T.C. Adetiba – 3.50 Prof. I. Kaseeram – 3.50 Prof. M.C. Maphalala – 2.66 Mr M.R. Brett – 2.50 Dr M.B. Matadi – 2.41 Dr S.L. Tilahun – 2.33 Dr U. Kolanisi – 2.13 Prof. A.P. Kappo – 1.98 Dr Samantha Govender – 1.83 Prof. M.O. Adigun – 1.82 Prof. H. de Wet – 1.82 Prof. D. Iyer – 1.50 Dr D.H.D. Ngobese – 1.50 Dr S.M. Nkwanyana – 1.50	Gift voucher
C Established Researchers	Supervision Output	Supervisors who produced at least three research master's and/ or PhD graduates at the most recent graduation ceremony (May 2019)	Prof. A. Basson $- 3 \times M$; $2 \times PhD$ Dr B.T Gamede $- 4 \times M$ Prof. M.M. Hlongwane $- 2 \times M$; $3 \times PhD$ Miss N.N. Jili $- 3 \times M$ Prof. A.P. Kappo $- 4 \times M$; $1 \times PhD$ Prof. A.P. Kutame $- 7 \times M$; $1 \times PhD$ Prof. I. Kaseeram $- 3 \times M$; $1 \times PhD$ Prof. I. Kaseeram $- 3 \times M$; $1 \times PhD$ Prof. L.Z.M. Khumalo $- 1 \times M$; $4 \times PhD$ Prof. M.S. Mabusela $- 2 \times M$; $1 \times PhD$ Prof. M.C. Maphalala $- 1 \times M$; $3 \times PhD$ Dr M.S. Mthembu $- 5 \times M$ Dr N.B. Ndlovu $- 3 \times M$ Dr S.S. Nhlabathi $- 4 \times M$ Prof. M.Z. Shamase $- 1 \times M$; $2 \times PhD$ Prof. M.Z. Shamase $- 1 \times M$; $2 \times PhD$ Prof. D.D. Tewari $- 4 \times PhD$ Prof. J.D. Thwala $- 4 \times M$; $1 \times PhD$	Gift voucher
	Most Productive Full- Time Researcher in the University, including Research Fellows	Top two full-time researchers or fellows who generated the most units (3.00)	Prof. M. Jury – 11.13 Geography and Environmental Studies Prof. S.D. Edwards – 5.89 Psychology	Gift voucher
	Top Four Most Productive Researchers in the University who are not Full-time Researchers	Researcher who generated the most units	Arts Prof. C. Addison – 11.00 Commerce Prof. D. Tewari – 4.16 Education Dr P. Pillay – 3.66 Science and Agriculture Dr I. Moyo – 13.77	Sand-blasted trophy
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CAT.	NAME OF THE AWARD	DESCRIPTION	RECIPIENTS	AWARD
	Productive Research Departments	All departments with per capita research paper output (including research fellows) of a minimum of 1.50	Biochemistry and Microbiology – 1.68 Botany – 1.66 Economics – 2.24 English – 1.82 Geography and Environmental Studies – 3.85 Mathematical Sciences – 1.75 Politics and International Studies – 5.89 Law – 1.50	Certificate
nts	Most Productive Research Paper Department Per Faculty	Most productive department per faculty, per capita provided that the minimum criterion was met (1.50)	Arts Politics and International Studies - 5.89 Commerce, Admin and Law Economics - 2.24 Education 0 Science and Agriculture Geography and Environmental Studies - 4.50	Certificate
D Departments	Most Productive Research Paper Department in the University	Most productive department in the university, per capita provided that the minimum criterion was met (1.50)	Politics and International Studies – 5.89	Sand-blasted trophy
	Productive Postgraduate Departments	All departments with per capita <u>postgraduate output</u> (including research fellows) of a minimum of 2.0 unit	African Languages and Culture - 2.17 Biochemistry and Microbiology - 3.38 Curriculum and Instructional Studies - 3.83 Economics - 2.71 Educational Psychology and Special Education - 2.18 History - 2.33	Certificate
	Role Model	Department implementing the best and/or most innovative ideas for increasing research and postgraduate outputs	Arts African Languages Commerce, Admin and Law Economics Education Educational Psychology and Special Education Science and Agriculture Physics	Certificate + Sand-blasted trophy

CAT.	NAME OF THE AWARD	DESCRIPTION	RECIPIENTS	AWARD
E Special Categories	Innovation Award	All researchers who had NEW patents registered and/or with NEW innovations that may lead to future patents	Prof. N. Revaprasadu and Dr M.D. Khan 'Synthesis of Carbon Nitride-Metal Chalcogenide Composites using Metal Organic Precursors' Prof. E. Madoroba (1) 'Fermented Sorghum Flour Project' (2) Red Meat Joint Project with Red Meat South Africa with THRIP – DTI – entitled 'Antimicrobial Resistance among Zoonotic Foodborne Pathogens Recovered from Red Meat in KwaZulu-Natal Province, South Africa' Prof. T. Motaung 'BioBrick Project' Dr L. Linganiso Bio-plastics Project – entitled: 'Waterless Toilet System Project' Prof. Unathi Kolanisi and team Amaranthus Biscuit (Trade Secret)	Gift voucher
	Recent NRF-rated Researchers	Newly NRF-rated researchers who received successful outcome of their application (with effect 1 January 2019)	Prof. V. Elumalai – C2 Prof. T.E. Motaung – Y2	Certificate/Gift 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	None	Gift voucher
	Book Prize	Award for the person who's scholarly book/monograph received DHET accreditation (provided that the minimum criteria was met (1.50)	Prof. C. Addison – 10.00 A Genealogy of the Verse Novel Prof. I. Moyo – 6.00 African Immigrant Traders in Inner City Johannesburg – Deconstructing the Threatening 'Other'	Certificate/Gift voucher
	Professional Recognition	Person who obtained membership on special society and/or associations etc.	Dr A. Akpome for being appointed Editorial Board Member on the journal English in Africa; AND for being part of the International Advisory Board of the book series Postcolonial Matter/Material Postcolonial, UNIOR	Gift voucher

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CAT.	NAME OF THE AWARD	DESCRIPTION	RECIPIENTS	AWARD
CAI			 Prof. S.D. Edwards for being the Guest Editor on a special edition on HeartMath for Psychology Prof. D. Iyer for being appointed as Editorial Board Member on the International Journal Teacher and Curriculum Studies Prof. M.S. Mabusela for being appointed as Editor to the NOCEN International Journal of Arts and Social Sciences Prof. M.C. Maphalala for being appointed as a Theme Leader in the CHE's 'Performance of the Higher Education System 25 Years into Democracy Project' Dr M.M. Reddy for being appointed as Editorial Board Member on the following journals: Journal of Environment and Politics in Africa Journal of Theology 	
			 Prof. N. Revaprasadu for being elected as follows: Member of South African Academy of Science (ASSAF) Member of the Materials Research Society (MRS) Member of the American Ceramic Society Member of Royal Society of Chemistry Member of South African Chemical Institute (SACI) Project leader of a consortium, funded by the Royal Society/ DFID program, involving KNUST (Ghana), University of Yaounde (Cameroon) and University of Manchester (UK) Research Advisory Panel: Appointed to the Research advisory Panel for the CSIR National Centre for Nano- Structured Materials Associate Editor, SPR Nanoscience, published by the Royal Society of Chemistry 	

CAT.	NAME OF THE AWARD	DESCRIPTION	RECIPIENTS	AWARD
F Research Entities	Research Entity of the Year	Research entity that produced the most units per capita (including research fellow/postdoctoral fellows), combining postgraduate and research paper outputs	Nanotechnology Paper output 2.49 Graduate output 0.50 Total 2.99 Score = 1.50	Sand blasted trophy
CAT.	NAME OF THE AWARD	DESCRIPTION	RECIPIENTS	AWARD
	Research Department of the Year: 3rd (Bronze)	Department that produced the third-most units per capita (including research fellows), combining postgraduate and research outputs	Curriculum and Instructional Studies Graduate output 3.83 Research output 1.17 Total 5.00 Score – 2.50	Floating + sand- blasted trophy
G Prestige Awards	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 Graduate output 3.38 Research output 1.68 Total 5.06 Score – 2.53	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	Politics and International Studies Graduate output 1.00 Research output 5.89 Total 6.89 Score – 3.45	Floating + sand- blasted trophy

SPECIFIC PROJECTS

In 2018, the Research and Innovation Unit initiated a project to develop an electronic research and ethics administration system. Adapt IT was contracted to provide the systems development service. To inform the project, however, university research stakeholders were mobilised to inform a design of the systems requirement in March 2018. In 2019, the initial design process was concluded. The next phase is prototype development, with the testing expected at the end of the first semester of 2020.

EVENTS/COLLABORATIONS/ PARTNERSHIPS

Several external interactions were realised during the year under review namely:

- On 22 February 2019, UNIZULU hosted the deputy CEO of the NRF, Dr Gansen Pillay – at its Science Centre in Richards Bay. Though it was the annual update visit, pressing issues of declining postgraduate funding was discussed, with a new funding regime expected in 2020, to transform the current model of postgraduate funding (venue: UNIZULU Science Centre, Richards Bay).
- On 7 March 2019, Prof. Zharare gave his inaugural

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professorship address (which was the first of the four addresses in a calendar year) – this was organised by the Research Office in partnership with CMD (venue: Council Chambers, Admin, 4th Floor).

- On 13 March 2019, the Research Office held its annual postgraduate Induction Programme, with the British Council as well as the Fulbright Scholarship representatives giving presentations to students (venue: BhekuZulu Hall)
- On 1-2 April 2019, The Director of Research, together with the Executive Director of Institutional Planning, attended a DHET and South African Radio Astronomy Observatory (SARAO) facilitated – mandatory DARA Big Data Africa Workshop. The aim was to review university involvement in Data Science programmes, activities and discourse (venue: Sol Plaatje University)
- On 4-5 April 2019, UNIZULU held a SARIMA facilitated Human Research Ethics training session for UZREC committee members and researchers – in line with its NHREC accreditation (venue: B8 Boardroom)
- On 5 April 2019, UNIZULU Hosted the Engineering Council of South Africa (ECSA) to discuss possible collaborations. The visit and discussion was opportune, given the ongoing inroads towards the

emerging Engineering academic suite to be offered in R/Bay campus (venue: Admin, 407)

- On 10 April 2019, a University-wide workshop on giving back to communities was held. This was a CE initiative to explore a common framework (venue: Ngamla Guest house, KwaDlangezwa)
- On 16 April 2019, the Research Office facilitated a workshop for postgraduate students on research ethics – with institutional educators as moderators (venue: Arts Auditorium)
- On 20 April 2019, the Research Office facilitated the DVC Forum, where Prof. de Wet was to engage the University academic community on researchrelated matters, ranging from progress to date, to the future of research in the Institution (venue: Library seminar room)
- On 29 April 2019, the Research Office attended the Regional Forum on intellectual and technology transfer, to discuss the possible dissolution of the NIPMO-supported KZN Regional office on Tech Transfer – and to discuss subsequent institutional office establishments (venue: UKZN Inqubate)
- On 6-7 May 2019, the University held the SASUF seminars on 'How We as South Africans live' (i.

Θ



Siphila Kanje), and on ii. 'Climate Change' (venues: i. BhekuZulu Hall; ii. Richards Bay Campus)

- On 8-10 May 2019, the research rectorate attended the SASUF international collaborative research seminar to honour its responsibilities on the collaborative initiative (venue: Stellenbosch University)
- On 15 May 2019, the Ethics Unit of the Research Office attended a mandatory annual meeting of the NHREC (venue: Garden Court, OR Tambo, Johannesburg)
- On 21 May 2019, the Research Office hosted the Water Research Council (WRC), for its roadshow on possible collaborative possibilities (venue: C12, Geography Building, UNIZULU)
- On 21 May 2019, the DVC hosted a meeting between UNIZULU stakeholders and the Kagiso Trust to plan the 2019 Bayers Naude Memorial Lecture (venue: Admin - 407)
- On 21 May 2019, the Research Office hosted a meeting with Ubuhle Besizwe Students Society to understand and plan the Regional University-Public Conference on Traditional Cultural Events in August 2019 (venue: Admin: 407)
- On 22 May 2019, the NRF visited UNIZULU to discuss

the Postgraduate Funding Policy and its implications on postgraduate funding from 2020 onwards (Venue: Council Chambers)

- On 24 May 2019, Prof. Jiyane delivered her inaugural lecture on the impact of the 4IR on Rural Women (venue: Council Chambers)
- UNIZULU is playing an active role in the SA-Sweden University Forum by taking part in each of the six themes in the collaboration, with the first of the practical collaborative series initiated in May 2018 - leading to the opening of the SASUF workshop in Pretoria on 15-17 May 2018, and the second workshop taking place in Stellenbosch in April 2019
- On 28 May 2019, the Director of Research and the CFO attended a DHET workshop on Managing the Full Cost of Research for Public HEIs (venue: Cape Town Lodge Hotel, Cape Town)
- On 4 June 2019, The Research Office attended the NRF Creative Arts Workshop in Pretoria
- On 6-7 June 2019, the Research Office facilitated ۲ UNIZULU's participation in the eThekwini Municipality - MILE symposium (an MOU has since been signed) (venue: ICC, Durban)



- On 25-28 June, the Research Office attended the DHET Legkotla on students'entrepreneurship (venue: ICC, Durban)
- On 25 June, the Director was invited to participate in the US Consulate Independence Day event hosted by the US Consulate Generate (venue: Durban North)
- On 6 August, the University held the Professoriate Inaugural Address by Prof. Addison (venue: Council Chamber, UNIZULU)
- On 26-30 August, the Research Office facilitated Research Writers Retreat, (venue: Bonamanzi, Hluhluwe)
- On 3-6 September, the Research Office attended the Southern African Research and Innovation Management Association (SARIMA) 2019 Conference (venue: Somerset West, Cape Town)
- On 9-13 September, the Research Office organised the Research Awareness Week – with numerous activities to promote research on campus (venue: UNIZULU)
- On 27 November 2019, UNIZULU hosted the Annual Research Awards Gala Dinner as identified above (venue: UNIZULU)

RESEARCH AND POST-DOCTORAL FELLOWSHIPS

Without this international practice and trend, succession planning would be very limited, leading to ungroomed academics entering the university system without minimum experience and related quality scholarship. During the year under review, the University had 20 research fellows and 24 postdoctoral fellows.

INDIGENOUS KNOWLEDGE SYSTEMS (IKS)

The Indigenous Knowledge System Unit remains an administrative and document collection centre. Efforts are underway to relocate the unit – away from Science to a more fitting cluster, as part of its strategic restructuring into a formidable academic and research centre. The restructuring process is anticipated to follow at the end of the 2020 lockdown period.

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 2019 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.

The University enrolled 7 569 male and 10 155 female students. Female students outnumber male students by 2 586.

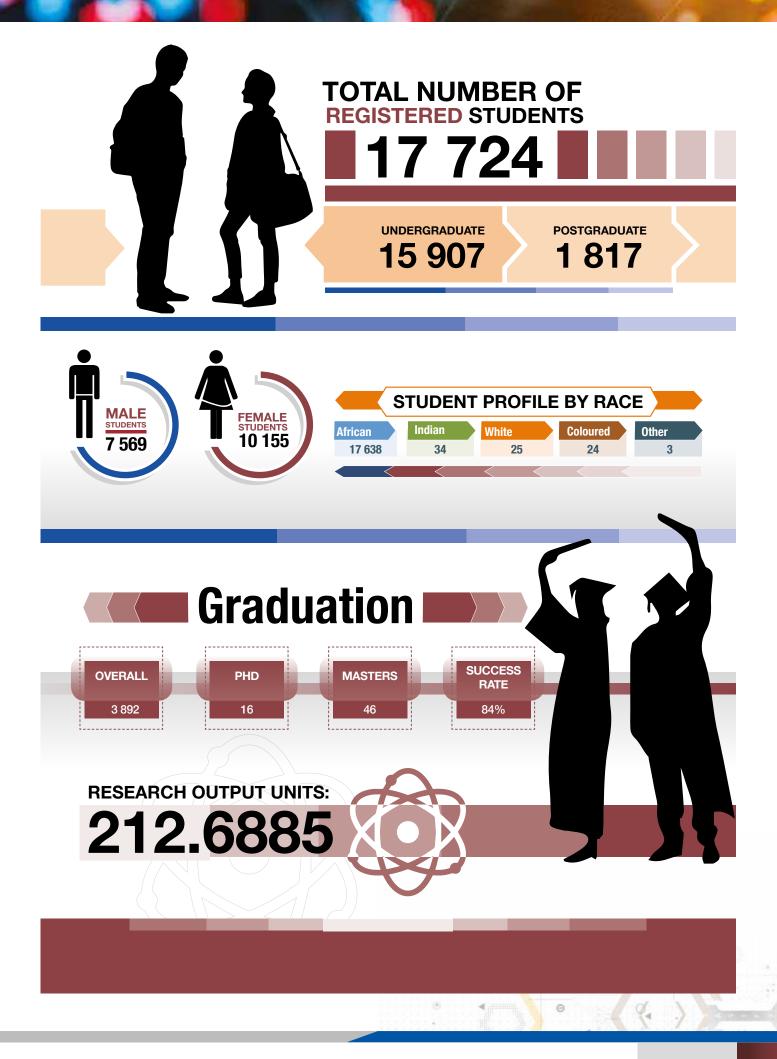
Although statistics in respect of the official category of less abled students are not recorded to the same extent as those of other students, the University has made provision for this category of students to be represented on the SRC and the Institutional Forum, by such students who are elected by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

Table 25-31¹ illustrates student size and composition of the student body according to the level of study, race and gender and graduation statistics.

•	9				
LEVELS OF STUDY	1	2	3	4	TOTALS
Undergrad	uates				
Faculty of Arts	1 030	1 152	1 620	122	3 924
Faculty of Commerce, Administration and Law	1 322	1 127	1 250	504	4 203
Faculty of Education	1 127	991	1 028	1 365	4 511
Faculty of Science and Agriculture	1 1 1 2	968	900	289	3 269
Faculty: Other/NDP	0	0	0	0	0
Totals:	4 591	4 238	4 798	2 280	15 907
Postgradı	lates				
Faculty of Arts	500	261	0	0	761
Faculty of Commerce, Administration and Law	130	81	0	0	211
Faculty of Education	240	178	0	0	418
Faculty of Science and Agriculture	256	171	0	0	427
Faculty: Other/NDP	0	0	0	0	0
Totals:	1 126	691	0	0	1817
Total UG	⊦ PG				
Faculty of Arts	1 530	1 413	1 620	122	4 685
Faculty of Commerce, Administration and Law	1 452	1 208	1 250	504	4 4 1 4
Faculty of Education	1 367	1 169	1 028	1 365	4 929
Faculty of Science and Agriculture	1 368	1 139	900	289	3 696
Faculty: Other/NDP	0	0	0	0	0
Totals:	5 717	4 929	4 798	2 280	17 724

Table 25: 2019 Student Size and Composition according to the Level of Study

1. Data presented in Tables 25-31 is derived from the Management Information System that provides live data that constantly changes as corrections and minor adjustments are made. It was important for this section of the report to use MIS data since it can be categorised according to faculties. A similar kind of analysis done using HEMIS Data would only provide a breakdown enrolments according to CESM categories. While there is an understanding that CESM categories can be linked to knowledge areas based on faculties, there are instances where this can apply to more than one faculty.



GENDER AND RACE	wнтм	WHTF	COLM	COLF	INDM	INDF	BLKM	BLKF	Other	TOTALS
Undergraduates										
Faculty of Arts	1	1	5	3	0	3	1 529	2 381	1	3 924
Faculty of Commerce, Administration and Law	2	0	3	7	2	4	1 906	2 278	1	4 203
Faculty of Education	0	0	0	0	1	0	1 890	2 620	0	4 511
Faculty of Science and Agriculture	0	1	1	2	1	4	1 351	1 909	0	3 269
Faculty: Other/NDP	0	0	0	0	0	0	0	0	0	0
Totals:	3	2	9	12	4	11	6 676	9 188	2	15 907
			Postgra	aduates						
Faculty of Arts	1	4	0	1	2	4	345	404	0	761
Faculty of Commerce, Administration and Law	3	1	0	1	1	1	122	81	1	211
Faculty of Education	0	0	1	0	0	2	170	245	0	418
Faculty of Science and Agriculture	5	6	0	0	2	7	224	183	0	427
Faculty: Other/NDP	0	0	0	0	0	0	0	0	0	0
Totals:	9	11	1	2	5	14	861	913	1	1 817
			Total L	JG + PG						
Faculty of Arts	2	5	5	4	2	7	1 874	2 785	0	4 685
Faculty of Commerce, Administration and Law	5	1	3	8	3	5	2 028	2 359	1	4 414
Faculty of Education	0	0	1	0	1	2	2 060	2 865	0	4 929
Faculty of Science and Agriculture	5	7	1	2	3	11	1 575	2 092	0	3 696
Faculty: Other/NDP	0	0	0	0	0	0	0	0	0	0
Totals:	12	13	10	14	9	25	7 537	10 101	1	17 724

Table 26: Students Size and Composition according to Gender and Race

OUTPUTS PRODUCED

Undergraduate and postgraduate degrees' diplomas/certificates which have been identified for award in 2020 (2019 cohort) are contained in the tables below. As a result of the world pandemic (COVID19) UNIZULU will not be able to host its normal graduation ceremonies scheduled for May 2020. This will have a major impact on the final graduation statistics, which is not a true reflection of our throughput, especially with regards to postgraduate throughputs. The reason is that UNIZULU's graduation list is normally finalised in April annually, once external examiners submit their reports for SENEX for approval. Many postgraduate examiners could not complete their reports and UNIZULU will consider a suitable data for graduation when the pandemic has been dealt with.

Table 27: Provisional Graduation Statistics (Overall by Gender)

OVERALL GRADUATES (BOTH UNDERGRADUATE AND POSTGRADUATE)					
Faculty Names	Females	Males	Total	% Females	% Males
Faculty of Arts	765	425	1 190	64%	36%
Faculty of Commerce, Administration and Law	512	319	831	62%	38%
Faculty of Education	759	457	1 216	62%	38%
Faculty of Science and Agriculture	402	253	655	61%	39%
Totals	2 438	1 454	3 892	63%	37%



Table 28: Provisional 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	614	63%	359	37%	151	70%	66	30%	1 190
Faculty of Commerce, Administration and Law	505	62%	314	38%	7	58%	5	42%	831
Faculty of Education	740	62%	448	38%	19	68%	9	32%	1 216
Faculty of Science and Agriculture	345	63%	200	37%	57	52%	53	48%	655
Totals	2 204	63%	1 321	37%	234	64%	133	36%	3 892

Table 29: Provisional Graduation Statistics (Percentage of Male/Female Graduates – overall)

FACULTY NAMES	NO. 0	TOTAL IN			
	Ug Females	Ug Males	Pg Females	Pg Males	NUMBER
Faculty of Arts	63%	37%	70%	30%	1 190
Faculty of Commerce, Administration and Law	62%	38%	58%	42%	831
Faculty of Education	62%	38%	68%	32%	1 216
Faculty of Science and Agriculture	63%	37%	52%	48%	655
Totals	63%	37%	64%	36%	3 892

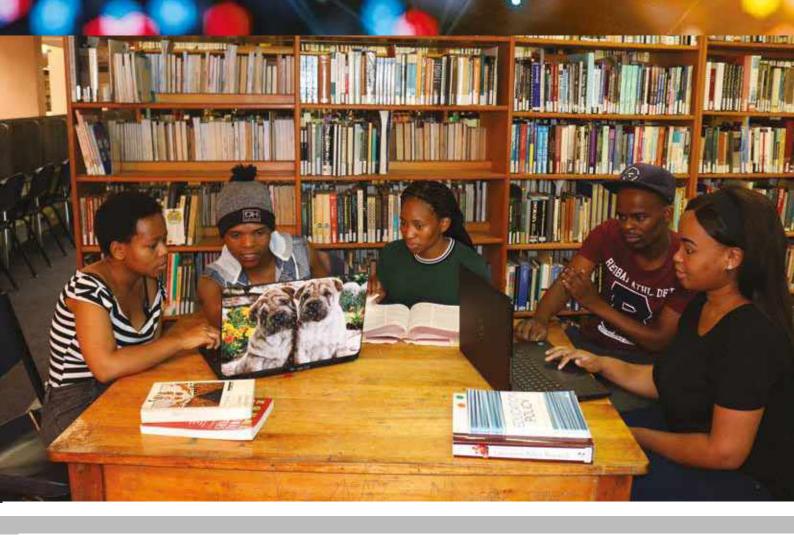


Table 30: Provisional Graduation Statistics (Doctoral Graduates)

PERCENTAGE MALES AND FEMALES PER FACULTY (DOCTORAL STUDENTS)					
Faculty Names No. of Graduates					
	Females	Males	Total	% Females	% Males
Faculty of Arts	1	9	10	10%	90%
Faculty of Commerce, Administration and Law	0	2	2	0%	100%
Faculty of Education	1	3	4	25%	75%
Faculty of Science and Agriculture	0	0	0	0%	0%
Totals	2	14	16	0%	0%

Table 31: Provisional Graduation Statistics (Masters Graduates)

PERCENTAGE OF MALES AND FEMALES PER FACULTY (MASTERS STUDENTS)					
Faculty Names	No. of Graduates				
	Females	Males	Total	% Females	% Males
Faculty of Arts	7	9	16	44%	56%
Faculty of Commerce, Administration and Law	6	7	13	46%	54%
Faculty of Education	1	0	1	100%	0%
Faculty of Science and Agriculture	9	7	16	56%	44%
Totals	23	23	46	50%	50%



THE LIBRARY

The University Library and Information Services (UNIZULU LIS), under the Directorship of Ms Laila Vahed, had 45 fulltime permanent staff members during 2019. UNIZULU LIS includes a main library at the KwaDlangezwa Campus and a branch library on the Richards Bay campus. Facilities in the KwaDlangezwa Campus Library include, inter alia, 14 seminar rooms, 80 study cubicles, an e-classroom, two e-labs, Info Cellar, Research Commons reserved exclusively for master's, doctoral students and researchers, a conference room and a committee room. The seating capacity in the Library is 1 750. The Richards Bay Campus Library, albeit small, is very well utilised and also provides access to all the e-resources that are subscribed to. All e-Resources are also accessible by authenticated staff and students off campus from any remote location. UNIZULU LIS participates actively in the Committee for Higher Education Libraries of South Africa (CHELSA), the South African National Library and Information Consortium (SANLiC), the eastern seaboard Association of Libraries (esAL) as well as the Library and Information Association of South Africa (LiASA), among others. The Director currently serves as the Chair of the Board of Directors of SANLiC.

Materials Budget

The materials budget for 2019 amounted to R 21.5 mil, split as follows:

Table 32: Materials Budget (R)

Print journals	3 900 00
e-resources	11 000 000
Faculty of Arts	654 393
Faculty of Education	288 702
Faculty of Commerce Administration and Law	346 443
Faculty of Science and Agriculture	817 991
Faculty Reserve Funds	192 468
Library General	4 300 000
Total	21 500 000

The amount allocated to print journals purchased 201 titles, while 85 electronic resource packages were purchased, resulting in subscriptions to in excess of 35 million individual titles. The holdings at UNIZULU Library for 2019 is set out in Table 33.

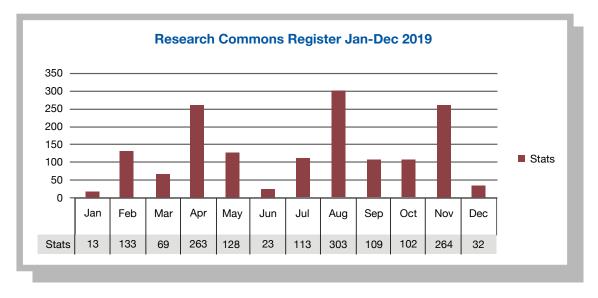


Table 33: Holdings

CAMPUS	VOLUMES 2019
KwaDlangezwa Campus Library	324 183
Richards Bay Campus Library	2 254

As a part of the User Education Programme, Information librarians (ILS) offer workshops to UNIZULU academics and students on various topics, e.g. plagiarism, Endnote, e-resources, etc. These workshops support teaching and learning and research. The library workshops are organised for groups and individuals throughout the year. It is important to note that the partnerships between the library and the other stakeholders (such as Research Office, Teaching and Learning, faculties and departments, etc.) are crucial for successfully reaching the students and academics. The total number of library workshops has grown significantly from 107 in 2016 to 310 in 2019 (263 in 2018). The total attendance of the workshops also increased gradually from 2 340 (2016), 2 762 (2017), 3 976 (2018) and to 7 331 students and staff in 2019. The Research Commons remains a popular space for master's and doctoral students. The busiest months for the Research Commons was April (263), August (303), November (264). The Research Commons usage for 2019 was as follows:





The theme for South African Library Week 2019 was 'Collaborate @ Your Library'. UNIZULU Library, in partnership with the Research Office and TLC, organised celebrations with the main activities at the 'Pop-up library' on 18 and 19 March 2019. The idea of the 'Pop-up Library' was to market the library services outside the building to the student community.

The Library celebrated International Open Access Week between 16-22 October 2019 with the theme 'Open for Whom? Equity in Open Knowledge'. The Library celebrated this by having various activities, i.e., workshops, competitions, and a day seminar with distinguished guest speakers coming from various higher learning institutions in South Africa as well as other professional organisations that support open access.

ACADEMIC RISKS

The misalignment of the academic structure to the Programme Qualification Mix was a main risk reflected in the University's risk register and attributed to inadequate skills and capacity to develop academic structures of programmes, inadequate integration of information and communication technology systems, inadequate validations on the management information system, and non-compliance of authorisation levels. Academic structures were developed in 2019, including prerequisites, electives, substitutes, progression and exclusion rules, and these were committed to the management information system and validated. Faculty handbooks were aligned to these academic structures so as to provide accurate information for students and aid their course enrolment choices. The result is that these risks will have been reduced from critical to manageable in 2019 and will be easily eliminated thereafter.

Student strikes continue to damage vital infrastructure and have a major impact on the delivery of academic programmes.

From a Research And Innovation standpoint, there are three critical risks warranting (institutional) urgent attention:

- A slowing postgraduate throughput rate
- A deteriorating postgraduate funding regime
- Skewed teaching and research (postgraduate supervision and publishing) workload distribution, with no clear standard for academics between and within faculties

The first risk is linked to (i) supervision capacity issues; (ii) loopholes in postgraduate process control measures within faculties (iii) Academic readiness of postgraduate students; and finally, (iv) socio-economics and funding matters for postgraduate students. In addition to fasttracking capacity development efforts for postgraduate students and supervisors, UNIZULU has opened a discourse with faculties and supervisors to attend to supervision shortfalls, and to tighten a control of the postgraduate supervision contracts. The University will be enforcing compliance of rights and responsibilities in postgraduate supervision contracts with accountability to outcomes by students and supervisors is needed. To this end, the matter of academic workloads becomes a matter of urgent attention, both from a policy and strategic perspective. The postgraduate funding

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challenge, with unpredictable sustainability forecasts, has also become complex. The NRF funding capabilities have shrunk in 2019 (without any warning), resulting into major strain towards the funding of is needed students. This emergency situation has been tabled to the University executive for emergency interventions.

CONCLUSION

In conclusion, developments in teaching and learning, as well as activities and related milestones in research and innovation suggest that 2019 was a year of notable progress and growth in UNIZULU's academic work. As a basis, about 17 724 (15 907 undergraduate and 1 817 postgraduate) students were registered across the faculties of Arts, Commerce, Administration and Law (CAL), Education, and Science & Agriculture at UNIZULU in 2019. The Education Faculty remains the largest, with 4 929 (4 511 undergraduate and 418 postgraduate) students, followed by Arts, with 4 685 (3 924 undergraduate and 761 postgraduate, and then CAL with 4 414 (4 203

undergraduate and 211 postgraduate), and finally, Science and Agriculture, with 3 696 (3 269 undergraduate, and 427 postgraduate) students. Over 99% of the students are black, with female students representing most of the total student population at UNIZULU.

UNIZULU continues to experience a steady growth in its Teaching and Learning as well as CE activities. This could be ascribed to the fact that the percentage of academic staff with PhDs at this University with four faculties has increased to 50% out of a total of 313. The Faculty of Arts, made up of 16 departments and a staff complement of 47 males and 36 females, has 58% of its academics with PhDs. The Faculty of Science and Agriculture that has a staff complement of 47 males and 33 females working in 14 departments follows this with 54% of its staff having PhDs. The number of academics with PhDs in the Faculty of Education is 54%. Of this figure, 26 are males and 35 are females working in seven departments. The Faculty of Commerce, Administration and Law has 20% of its staff with PhDs, and is the only one below 50%. There are five departments made up of 26 males and 20 females.

Another significant development emanating from this report is that the University is living up to its mission and vision statement of being a responsive rural-based and comprehensive HEI. For example, the Faculty of Education has eight new programmes approved and meeting the minimum requirements for the teacher education qualification (MRTEQ). These are now included in the PQM of the University, which is being submitted to CHE for accreditation. Furthermore, the entire University has nine of its programmes accredited by CHE. Three more new programmes are submitted to CHE after receiving DHET approval. What is interesting is that these include two Bachelor of Engineering programmes (Mechanical and Chemical). Over and above these, the University has obtained SAQA registration for six of its new programmes. Another important achievement was the re-accreditation of UNIZULU's MEd in Educational Psychology programme by HPCSA. All the above are improvements made necessary by the demands of the context that the University finds itself in.

Academic staff profiled above, in conjunction with the Teaching and Learning Centre, continue to provide support to students through the FYE project. This support is further enhanced through the training and use of peers as tutors and mentors to mainly firstyear students. Some of the new forms of training for first- year students also include Financial Literacy. The Writing Centre in the TLC has become entrenched at the University, offering support to students writing their assignments and project reports, among others. Attempts to institutionalise e-learning are also advanced, as shown in this report. More staff and students are trained in the use of Moodle. The achievements made in as far as PQM approval, accreditation and registration of new programmes attest to strides made in as far as curriculum development is concerned. The whole effort to professionalise teaching at the University has gained new ground. More and more academics take advantage of the staff development training opportunities provided by TLC, Teaching Advancement at University (TAU) project, the New Academics Transitioning into Higher Education Programme (NATHEP), the New Generation of Academics Programme (nGAP) and the Vice-Chancellor's Teaching Excellence Awards. More academics also

continued to improve their qualifications towards a PhD, as demonstrated by the increased numbers participating in the accelerated PhD programme of the South African Technology Network (SATN) and the University Staff Development Programme (USDP). The report also demonstrates how the University is embarking on new ventures to improve on teaching and learning. This includes the proposed participation in the Siyaphumelela Programme where the University is poised to benefit from benchmarking and collaborating on improving teaching and learning.

There are still a few areas requiring attention such as the lack of capacity to teach large classes in some areas, decreased tutors and heavy workloads, resulting in poor throughput rates in some modules. However, in spite of some of these factors that limit access, the University shows signs of taking its rightful place in terms of working with industry and community engagement. This is evidenced by new specific projects, collaborations and enhanced stakeholder relations involving all faculties.

Postgraduate enrolments deserve a special mention in this year. Though it seemed complex to keep students without funding, the University creatively reduced (in some cases, cut) alternative projects to rescue this unexpected, dire financial situation of students. In the same breadth, a continued upward sloping curve in research outputs over the past two years remains an encouraging statistic. Journal articles, books and book chapters constitute the bulk of the publications growth. The account of Research Excellence Awards in Table 24 suggests that the University's research incentives efforts have had a positive effect.

Achievements in the staff PhD qualifications advancement project stand out. Starting from a 46% base of staff with PhD qualifications in 2017, exceeding the 50% threshold in 2019 suggests progress in UNIZULU's transformative development efforts.

Prof. X. Mtose

Vice-Chancellor

REPORT OF THE INSTITUTIONAL FORUM (IF)

INTRODUCTION

The composition of IF is contained in section 31(2) of the HE Act, and section 40 of the UNIZULU Statute. The composition is as follows:

- (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) One representative of academic employees elected by the
- (e) Academic employees
- (f) One representative of administrative and support staff elected by the administrative and support staff
- (g) One representative of women employed at the University elected by the female employees of the University
- (h) Two representatives of students appointed by the SRC
- (i) Two persons with disabilities, one of whom is a member of staff and one a student, elected by the employees and students of the University respectively
- (j) Two representatives of the recognised union(s) appointed by the union
- (k) A maximum of three employee or student members, appointed by the Vice-Chancellor after consultation with the IF:
- (i) On the basis of their expertise and experience
- (ii) In order to represent a specific interest group or groups on campus not already represented in the IF

The duly elected IF for the year under review was comprised as follows:

Table 34: Composition of IF

-	
NAME	REPRESENTATIVE CAPACITY
Mr L.D. Manci	Management representative
Mr M.G. Mfusi	Management representative
Mr N.L. Nkwanyana	Council representative
Mr E. Dube	Council representative
Prof. A.K. Basson	Senate representative
Prof. L. Greyling	Senate representative
Mr N.H. Ngwenya	Academic staff representative
Mr P.W. Zibane	Administration and support staff representative
Ms B.T. Mngadi	Women employee representative
Ms N. Zulu	SRC Representative/SRC Administrator
Ms M.G. Nxumalo	VC Appointee: Experience and Expertise
Mr D. Mothilall	VC Appointee: Experience and Expertise
Mr A. Parusnath	VC Appointee: Experience and Expertise
Mr N. Nyawo	Student with Disabilities Representative
Vacant	Employee with Disabilities Representative
Vacant	Union Representative*
Vacant	Union Representative*

* The University of Zululand currently has no established union, hence the vacancies are under union representation.

In terms of clause 43(1) of the UNIZULU Statute, the elected Chairperson, Deputy-Chairperson and Secretary are:

- Prof. L. Greyling Chairperson ۲
- ۲ Vacant
- ۲ Ms B.T. Mngadi
- Deputy-Chairperson Secretary



The Chairperson, Prof. L. Greyling, was a member of Council during this reporting time by virtue of the provisions of clause 18(1)(I) of the UNIZULU Statute.

Clause 45 of the UNIZULU Statute also establishes the Executive Committee of the IF. The following members form part of and were elected as members of the Executive Committee of the IF:

Table 35: Composition of the Executive Committee of the Institutional Forum (IFEX)

NAME	REPRESENTATIVE CAPACITY
Prof. L. Greyling	Chairperson
Vacant	Deputy Chairperson
Ms B.T. Mngadi	Secretary to IF
Prof. A.K. Basson	Senate representative
Ms N. Zulu	SRC representative/SRC Administrator

The functions and duties of the IF are set out in section 31 of the Higher Education Act 101 of 1997 as amended and the UNIZULU Statute, with specific reference to clauses 39-46. As stipulated in section 31(1) of the Higher Education Act, the IF of an HEI 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
- The fostering of an institutional culture, which promotes tolerance and respect for fundamental human rights.

IF is a component of the statutory governance structures of a public university and act 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:

Executive Director: Infrastructure

The IF resolved that from the two candidates shortlisted, only one was suitable for selection. It was further resolved that it be represented in the Selection Committee and that it be apprised of all candidates who applied for the senior management positions.

Deputy Vice-Chancellor: Institutional Support

The IF resolved that the shortlisted candidate was suitable for selection.

The above recommendations were submitted by the IF to the Chairperson of the Selection Panel en route to Council for consideration.

MEETING ADMINISTRATION

The IF held two ordinary meetings and two special meetings during the period under review.

Induction workshop

The IF Induction Workshop was successfully held on 29 March 2019. It covered the role of the IF in Higher Education, its relationship with other governance structures, its administration and its reporting.

6

Race and gender policies

- The following policies and procedures were presented to the IF during the period under review:
 - Language Policy
 - SCM Policy
 - Code of Conduct: Staff
 - Disciplinary Code
 - Grievances
 - Harassment
 - HIV and Aids
 - Incapacity (III-Health/Injury and General Poor Work Performance)
 - Smoking
 - Appointment of Deputy Deans
 - Employment of Foreign Nationals
 - Recruitment and Selection of Staff: General
 - Temporary Employment of Staff
 - Employment Equity
 - Job Evaluation Policy
 - Learning and Development
 - Probation
 - Staff Induction
 - Talent Management
 - Internships
 - Conditions of Service
 - Leave
 - Long Service Awards
 - Relocation
 - Working Hours
 - Gender-based Violence
 - Anti-discrimination
 - Appointment of Vice-Chancellor

The policies and procedures where recommended to Council for approval.

Selections of candidates for senior management positions

 IF pronounced on the suitability of several candidates for senior management positions, which were referred to Council.

Codes of conduct, mediation and dispute resolution procedures

- As indicated above, the IF recommended the following policies and procedures related to conduct, mediation and dispute resolution to Council for approval:
 - Code of Conduct: Staff
 - Disciplinary Code
 - Grievances Policy

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

The IF was involved in the review of the Institutional Language Policy, Harassment Policy, Gender-based Violence Policy and Anti-discrimination. These policies are all geared at fostering a good institutional culture at UNIZULU.

Prof. L. Greyling Chairperson



REPORT ON INTERNAL ADMINISTRATIVE OPERATIONAL **STRUCTURES**

INTERNAL CONTROL

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 HEI and the Council regarding an operational environment that promotes the safeguarding of a public HEI'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 Organisation to foster a strong ethical climate and the careful selection, training and development of its people.

Information systems utilising modern IT 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 regular basis. There are regular reviews to ensure that there are no clashes in user access rights and that the basic internal control concept of separation 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 and to ARCC. The role of the internal auditors 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
- Compliance with legislation, regulations, policies and procedures
- Reliability of financial reporting
- Safeguarding of assets.

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. UNIZULU has made significant strides in its commitment to maintaining systems of internal control over financial reporting and the safeguarding of assets against the unauthorised acquisition, use or disposal thereof. Despite this, inherent limitations to the effectiveness of any system of internal control, including the possibility of human error and the circumvention or overriding of controls, exists. Accordingly, even an effective internal control system

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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 Risk and Compliance Department and thoroughly investigated, where necessary. Appropriate remedial action is taken in relevant instances. The Risk and Compliance Department also continuously assesses fraud risks and all matters are reported to the Audit and Risk Committee of Council.

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. Appropriate insurance and risk cover is implemented to mitigate insurable risks where it is cost effective.

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 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

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careful selection, training and development of its people. Whenever inadequate and ineffective internal controls are being pointed out by the University's assurance providers, management has continuously worked on improving internal controls and implementing the recommendations of internal and external auditors. Effective internal control systems provide 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 22 June 2020, which meeting had a quorum.



Ms S.J. Masite Chairperson: Audit and Risk Committee of Council



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

INTRODUCTION

The University has been working strategically to integrate the core functions of the Institution as a holistic system to enhance the strategic objectives and to ensure quality and efficiencies across all faculties. These actions permeate both the governance and core academic delivery systems and practices of the University across all faculties and associated entities. The comprehensive mission of the University is thus enhanced in a planned way where teaching and learning, research and CE strategies are not only embedded in sound and recognised knowledge systems, but speaks also to the needs and locality of its rural-based context. The University is deeply committed to continuously embarking on self- and externallybased programme reviews to ensure that the quality and relevance of its academic programmes and research undertaken are sound and that it would stand the test of intense scrutiny. It is essentially a roadmap to improve the quality of the University's mission.

Higher education is facing rapid change and UNIZULU, like other institutions, is dealing with fundamental challenges within a turbulent higher education climate. Nonetheless, the year under review has been a year of numerous accomplishments, and as set out in the Report of the Chairperson of Council and the Performance Assessment Report, UNIZULU not only had to focus on strategic vision, but had to address past inefficiencies dating back to 2010. The University is a different institution from what it was when the CHE Audit was instituted and the Improvement Plan in response thereto formulated. Not only have all the challenges been addressed, but the University is on an established trajectory of growth, change and development. This

defines its identity of quality and excellence in many fields, including teaching and learning, CE, research and innovation, infrastructure development, governance as well as service provision across the University. The University has outperformed itself in many of these areas, as the various reports to the DHET and the CHE have demonstrated.

The Improvement Plan addressed all concerns and recommendations articulated in the Special Audit report. It was stated in the Special Audit Improvement Plan that UNIZULU started addressing some of the issues identified during the Special Audit panel long before the final CHE UNIZULU Special Audit Report was received. The Improvement Plan, therefore, took account of the quality improvement initiatives undertaken since the special audit of 2017. The University had made the identified concerns part of its regular initiatives and planning processes and linked these to its APPs. In the UNIZULU Special Audit Report (2017), CHE stated that the University was expected to ensure that an improvement plan was developed that addressed the outstanding issues from the HEQC 2010 Institutional Audit, the Administrator's 2013 Report recommendations and the recommendations of the UNIZULU Special Audit Report 2017. All recommendations made in the HEQC 2010 Institutional Audit Report; and the Administrator's 2013 Report were addressed and embedded in the UNIZULU CHE Special Audit Improvement. Following its approval by CHE, the University submitted four progress reports and received comprehensive feedback after the submission of the second Progress Report. UNIZULU presented a response to each CHE Special Audit recommendation and provided a narrative that explained how the University had addressed that particular recommendation. For



example, it may have been necessary in the past to remind UNIZULU through the CHE Audit that it needed to conduct induction workshops for its new staff. Currently, it has been institutionalised at both the level of the Institution and the various faculties. The Teaching and Learning Centre conducts induction workshops to new staff over and above induction by the Human Resources Department twice a year to ensure that they become steeped in the high work ethos and caring culture of the Institution. Their expertise is refined and attuned to the demands of an institution that insists on excellence. Their fresh inputs in terms of expertise and experience are thereby recognised and valorised and incorporated into the highly competitive repertoire of doing things at UNIZULU. The University has also turned around its infrastructure development programme and accreditation of the Engineering programmes. The ICT provisioning is being constantly developed guided by national experts approved by DHET.

One instrument for sustaining this culture of quality enhancement and excellence at UNIZULU is the now widely accepted and used Performance Management System. Every staff member, especially deans and directors, has to own these agreements, which ultimately are the bases for monitoring progress, intervention for improvement and achieving excellence. All staff are attuned to the idea of producing evidence to confirm that they have achieved what the University set itself out to achieve through their work and significant contributions in their respective units and divisions.

Excellence is rewarded at UNIZULU, as demonstrated in the Senate Report through the Vice-Chancellor's Teaching Excellence and Research Excellence Awards. Lack of performance is also not tolerated as the duly performed rules also demonstrate. The University has now put in place mechanisms to support good practices and to discourage practices that do not contribute to the achievement of the UNIZULU dream. These are not for the present only, but the University has made significant strides in ensuring that there is a succession plan for the current culture to be sustained forever. Women who have been excluded from academia and senior positions have been the centre of the drive to improve quality and excellence at UNIZULU. There is insistence that their capacities have to be recognised and cultivated further as they constitute the majority that will carry this Institution, country and humanity forward. The University has achieved a lot in as far as enhancing staff qualifications to the current 50%, but more is being done to increase the acquisition of these senior degrees as they are seen as the backbone of excellence in teaching, learning, research, community engagement and service to the University.

Finally, while there has been a focus on enhancing the capacity of the academics and the learning environment for the student, UNIZULU has also laid a greater emphasis on making the curriculum relevant and useful. There is a constant renewal of the curriculum content to include current thinking on Africanisation and decolonialism, among others. Programmes are reviewed constantly and of late, the University has managed to formulate, gain approval for and operationalise its Academic Review Framework geared towards the enhancement of quality. Striving towards quality enhancement has been total, focused and complete because the use of technologies and advanced technologies have become the mainstay of teaching, learning, CE and research at a restructured UNIZULU for relevance. The University has provided

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University of Zululand Choir

Album is now available

sufficient evidence to demonstrate that it took the CHE Special Audit seriously as a change instrument and implemented all its recommendations. The University developed various programmes, submitted these to DHET, had these accredited by CHE and professional bodies, and ensured that they were registered by SAQA, as evidenced in the Senate Report of this Annual Report.

Google play

This Integrated Report presents the results of efforts as well as reflections on what has been achieved as the UNIZULU community. The report further highlights managerial and administrative achievements in terms of the plans, goals and objectives set for the period under review; managerial and administrative aspects of the operations of the Institution, including new senior executive and 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 and the changing patterns in the provision of academic courses.

STRATEGIC IMPERATIVES IN 2019 AND SELF-ASSESSMENT

Spotify

The University's strategic vision for 2016-2021 forms part of ongoing exercises needed to unite the University communities and all its stakeholders. It is aimed at redefining and refreshing the University's academic purpose and identity as a comprehensive university in a complex and rapidly transforming society. The University continued in its strive for academic excellence and service delivery by consolidating its strategic choices; reinstating excellence in institutional administration, management and governance; infusing academic renewal; and supporting quality enhancement initiatives. The 2019 APP presents a comprehensive framework of how the University intended to operationalise its Strategic Plan 2016-2021; the Enrolment Plan 2013-2019; the Teaching

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and Learning Plan approved in 2017; the Research and Innovation Plan approved in 2017; the Integrated Transformation Plan 2017-2022; the UNIZULU ICT Strategic Plan 2017-2022, as well as the CHE Improvement Plan 2018 based on the CHE Special Audit of 2017. The Performance Assessment Report fully demonstrates UNIZULU's achievements against the predetermined objectives. Table 36 provides a high-level overview of strategic imperatives for the year under review.

STRATEGIC GOAL	PERFORMANCE
1. Improve governance through enhanced operations to support the academic enterprise and ensure	Eleven KPOs define Goal 1 with 42 KPIs. During the year under review, the University achieved 34 KPIs and partially achieved eight, as evidenced in the Performance Assessment Report of this Annual Report.
sustainability	UNIZULU had eight Teacher Education programmes approved by MRTEQ, 15 programmes were approved by DHET, 10 programmes were accredited by CHE with three more awaiting accreditation and six programmes were registered with SAQA. Workshops were conducted on departmental and programme reviews, which resulted in three improvement plans and 11 teach out plans that have been approved by Senate. The UNIZULU 101 programme was approved by Council and will be piloted in 2020. The Nursing Programme was re-accredited, and the University resubmitted the Foundation programmes for accreditation. In addition, UNIZULU also investigated the feasibility of Veterinary programmes and Animal Studies. As part of quality assurance, a programme review framework was created and the University incorporated entrepreneurship into some programmes.
	An astonishing 57 policies were reviewed and developed, and workshops were conducted on implementation. In addition, many strategies, charters and plans were approved by Council, including charters to guide relationships between the University and its students. The International Student Office contributed to more effective service delivery to students. Surveys enabled UNIZULU to obtain vital data to further enhance its services. A concept document on 'rurality' was developed and the workshop on Africanisation of the curriculum contributed greatly to UNIZULU's vision of becoming a leading rural comprehensive university.
	As part of UNIZULU's striving to recruit and retain quality staff and develop an integrated human resources management system, the University achieved its KPI of institutionalising performance management and trained 13 females on leadership through a UKZN programme.
	The Council approved the financial structure, and financial and supply chain management turnaround plans and financial reporting systems enables UNIZULU to enhance financial governance.
2. Create a quality teaching and learning environment as a comprehensive university	Five KPOs define Goal 2 with 22 KPIs. During the year under review, the University achieved 21 KPIs and only one was partially achieved, as evidenced in the Performance Assessment Report of this Annual Report.
	The University continued to use innovative pedagogies and best practice to teaching and learning with the view to enhancing quality and improving the student experience. Attempts to enrich student experiences included the institutionalisation of programmes for student support, staff development, quality and the use of 21st century technologies and ICT platforms to promote effective learning. The University has, through the Quality Assurance Unit and Registrar's Office, successfully aligned all the University's offerings to the HEQSF with approved learner guides in place.
	Some of the imperatives in this regard included the development of the scholarship of teaching and learning; curriculum transformation; re-accredited programmes; developing meaningful partnerships and collaborations; institutionalisation of the statement of graduateness; putting in place an early warning system for student tracking and improving student throughput.
	Emphasis remained on the timeous and correct capture of data, as evident in the HEMIS report. LIS continues to provide quality service to support all areas of teaching and learning and research.

Table 36: Strategic Goals and Performance

STRATEGIC GOAL	PERFORMANCE
3. Enhance research and Innovation	Eight KPOs defined Goal 3 with 24 KPIs. During the year under review, the University achieved 18 KPIs and seven were partially achieved, as evidenced in the Performance Assessment Report of this Annual Report.
	An improved Research Plan was developed with the aim of promoting the research culture and enhancing experiences of academic staff and postgraduate students. The University remains committed to develop 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. During the year under review, UNIZULU conceptualised CE and developed and established a CE Intermediary Platform and Framework with established CE committees in place. Research niche areas were identified and a set of proposals of potential niche areas were developed. Several inaugural lecturers were held to showcase their talents. UNIZULU promoted and raised awareness of the value of innovation through numerous workshops. An Institutional Research Strategy was also developed, aimed at innovation with systems for reward.
	The preliminary (unofficial) research output for 2019 is 204.8975 (excluding books/ chapters and conference proceedings). The University has 20 rated researchers and 24 research fellows in different fields.
4. Enhance the quality and profile of UNIZULU graduates	Five KPOs defined Goal 4 with 19 KPIs. During the year under review, the University achieved eighteen KPIs and one was partially achieved, as evidenced in the Performance Assessment Report of this Annual Report.
	The teaching and learning environment continued to implement best practice approaches to quality enhancement and quality assurance as a way of enhancing the quality and profile of our graduates. Programmes for student support and 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, community engagement, teaching and learning innovations, were all successfully introduced in 2019. Identifying high-risk modules and the tracking of students that are at risk remains a priority and focus. An Institutional Framework of Graduate Attributes was developed, together with an E-learning Strategy, a Teaching and Learning Strategy and a Workload Policy. An approved Framework for Alumni Engagement and Strategic Plan was developed and will ensure engagement with alumni to maintain lifelong relationships.
5. National and international reputation management of UNIZULU	One KPO defines Goal 5 with four KPIs, all of which were achieved during the year under review, as evidenced in the Performance Assessment Report of this Annual Report.
	The University developed a Strategy on Internationalisation that will serve before Council in 2020. Several MoUs with international institutions enable students and staff to gain international exposure through exchange programmes, teaching and research initiatives. In addition, UNIZULU collaborations also encompass CE projects.
6. Accelerate infrastructure development	Ten KPOs define Goal 6 with 49 KPIs. During the year under review, the University achieved 29 KPIs and 20 were partially or not achieved, as evidenced in the Performance Assessment Report of this Annual Report. The reason for this is due to the complete review of infrastructure development at UNIZULU. The institution realised its lack of capacity in the implementation of the infrastructure development projects and obtained assistance from DHET on the matter. This led to a new Spatial Development Framework. In addition, the University received assistance from DHET on capacity development and assistance on its procurement processes. UNIZULU appointed a project manager to fast-track all the DHET-funded projects in 2020.

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STRATEGIC GOAL	PERFORMANCE
6. Accelerate infrastructure development (continued)	The DHET also assisted UNIZULU with a Macro Infrastructure Framework and ICT Assessment. A tender specification on ICT core infrastructure and systems renewal was developed as well as a tender specification for an appointment of a suitable service provider for the design, supply, development and configuration of the active directory, cloud integrated services, servers, SAN storage, virtualisation, data protection and firewall infrastructure. An ICT Operational Plan based on the ICT Strategy and Framework was developed and the entire ICT operational structure was reviewed. In addition, the University is moving toward cloud management storage and enterprise resource planning (ERP) (ITS) hosting through Adapt IT. An application was submitted to DHET for funding through the HDI Grant for additional ICT enhancements.
	The University has revisited its campus security requirements. A Strategic Security Plan was developed after a Threat and Risk Assessment. New policies and procedures were developed and a proposal was submitted to DHET for HDI grant funding on integrated security. The progress that has been made on the establishment on the university boundaries in discussions with the Mkhwanazi Traditional Authority will hopefully enable UNIZULU to continue with its perimeter fence build in 2020, which will contribute to enhanced security to staff and students.
	Finally, the Online Registration Project has been completed and UNIZULU will be ready for full online registration in 2020.
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HUMAN RESOURCES MANAGEMENT

Performance management

The main objective of performance management is to drive the Institution's growth in order to achieve its vision of becoming a leading comprehensive university. In 2019, 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 again sent a clear message that it takes its Strategic Plan seriously and performance management was implemented at all levels of staff in 2019 in order to enhance institutional performance. Project Blue Sky (a change management initiative) was introduced in 2018 to ensure the successful and effective implementation and institutionalism of the Performance Management System at UNIZULU in 2019. The submission rate of Individual Performance Agreements (IPAs) was 85% (up from 61% from 2018).

Staffing

A crucial consideration in the success of UNIZULU is 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. In 2019, the focus areas continued to be the reduction of the vacancy rate and



the appointment of high-calibre staff. Having successfully reduced the institutional vacancy rate in the past four years from 32.9% to 22.99% in 2018, it stagnated in 2019 with an increase of 0.35% due mainly to retirements and other types of involuntary termination of employment. Table 37 sets out the total institutional vacancy rate as at 31 December 2019.

CATEGORY	ESTABL	VACANCY ACTIVE	% OF VAC	VACANCY NOT ACTIVE	NOT		% OF VAC AGAINST ESTABL
Faculty of Arts	135	23	62.16%	14	37.84%	37	27.41%
Faculty of CAL	67	7	63.64%	4	36.36%	11	16.42%
Faculty of Educ	98	8	53.33%	7	46.67%	15	15.31%
Faculty of Science & Agric	187	12	60.00%	8	40.00%	20	10.70%
Richards Bay	17	2	66.67%	1	33.33%	3	17.65%
Professional Services	807	31	14.09%	189	85.91%	220	27.26%
Grand Total	1 311	83	6.33%	223	17.01%	306	23.34%

Table 37: UNIZULU Vacancy Rate as at 31 December 2019

Table 38 displays the status of the academic staff establishment at UNIZULU and includes all temporary, contract and full-time staff.

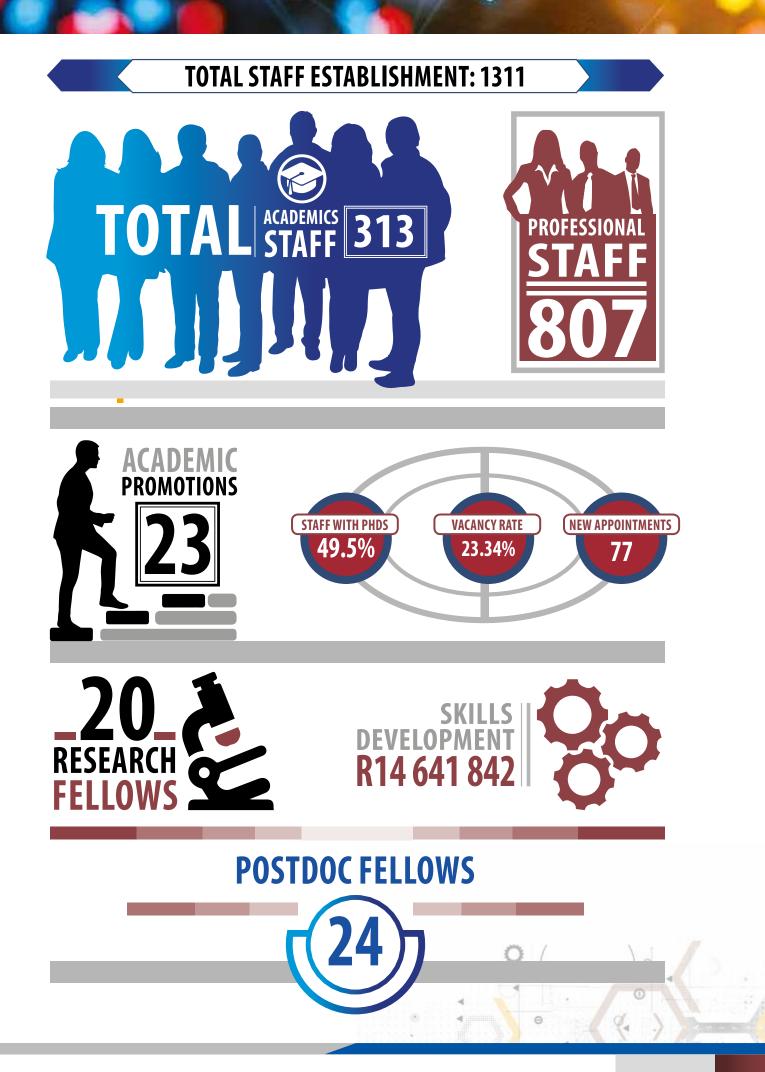


Table 38: Academic Staff as at 31 December 2019

FACULTY		I	MALE						FEMAL	E				REIGN ONALS		ITAL
	African	Coloured	Indian	White	Disabled	TOTAL	African	Coloured	Indian	White	Disabled	TOTAL	African	Other	TOTAL	GRAND TOTAL
Faculty of Arts	39	0	4	4	0	47	26	0	3	7	0	36	4	1	5	88
Permanent	39	0	4	4	0	47	23	0	3	7	0	33	4	1	5	85
Temporary	0	0	0	0	0	0	3	0	0	0	0	3	0	0	0	3
Contract	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Faculty of Commerce, Administration and Law	16	0	7	3	0	26	12	0	2	6	0	20	3	0	3	49
Permanent	14	0	6	3	0	23	12	0	2	6	0	20	3	0	3	46
Temporary	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Contract	2	0	1	0	0	3	0	0	0	0	0	0	0	0	0	3
Faculty of Education	22	0	2	2	0	26	30	0	3	2	0	35	6	0	6	67
Permanent	21	0	2	2	0	25	29	0	3	2	0	34	4	0	4	63
Temporary	1	0	0	0	0	1	1	0	0	0	0	1	0	0	0	2
Contract	0	0	0	0	0	0	0	0	0	0	0	0	2	0	2	2
Faculty of Science and Agriculture	35	0	3	9	0	47	23	0	2	8	0	33	17	5	22	102
Permanent	34	0	2	9	0	45	19	0	1	8	0	28	11	5	16	89
Temporary	0	0	0	0	0	0	3	0	1	0	0	4	0	0	0	4
Contract	1	0	1	0	0	2	1	0	0	0	0	1	6	0	6	9
Richards Bay	4	0	0	1	0	5	0	0	1	1	0	2	0	0	0	7
Permanent	4	0	0	1	0	5	0	0	1	1	0	2	0	0	0	7
Temporary	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Contract	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Grand total	116	0	16	19	0	151	91	0	11	24	0	126	30	6	36	313

The University made a total of 77 new appointments in 2019, as displayed in Table 39.



	AFRI	CAN	тот	COLO	URED	тот	IND	IAN	тот	WH	ITE	тот	TOTAL
	М	F		м	F		М	F		м	F		
Executive	2	0	2	0	0	0	0	0	0	0	0	0	2
TOTAL	2	0	2	0	0	0	0	0	0	0	0	0	2
Full-time Academic	8	4	12	0	0	0	2	0	2	1	2	3	17
Full-time Professional	23	24	47	0	0	0	0	0	0	0	0	0	47
TOTAL	31	28	59	0	0	0	2	0	2	1	2	3	64
Contract Academic	3	0	3	0	0	0	0	0	0	0	0	0	3
Contract Professional	3	4	7	0	0	0	0	0	0	0	1	1	8
TOTAL	6	4	10	0	0	0	0	0	0	0	1	1	11
GRAND TOTAL	39	32	71	0	0	0	2	0	2	1	3	4	77
% of Employees	50.6	41.5	92.2	0.00	0.00	0.00	2.6	0.00	2.6	1.3	3.9	5.1	100.00%

Table 39: New Appointments as at 31 December 2019

The following critical appointments were made in 2019:

Table 40: Critical Appointments

JOB TITLE	DEPARTMENT	FACULTY/DIVISION
DVC: Institutional Support	Vice-Rector's Office	Institutional Support
Executive Director: Richards Bay	Vice-Rector's Office	DVC Academic and Research
Dean: Faculty of Commerce, Administration and Law	Deans Office – Commerce, Administration and Law	Faculty of Commerce, Administration and Law
Dean: Faculty of Arts	Deans Office – Arts Faculty	Faculty of Arts
Professor	Economics	Faculty of Commerce, Administration and Law
Director: Financial Services	Financial Services	Finance
Contract Professor	Arts and Languages Education	Faculty of Education
Director: PPO	Facilities Management	Physical Planning
Director: PPO	Facilities Management	Physical Planning
Director: PSD	Protective Services	Institutional Support
Professor	Criminal Justice	Faculty of Arts
Director: Budget and Management	Budgets	Finance
Director: New Built	Facilities Management	Physical Planning
Professor	Social Work	Faculty of Arts
Dean of Students	Dean of Students' Office	Institutional Support
Manager: Student Records	Registrar's Office	Registrar
Faculty Manager	Deans Office – Commerce, Administration and Law	Faculty of Commerce, Administration and Law
Manager Assessment	Examination Administration	Registrar

The following senior managers resigned during 2019:

- DVC: Research and Innovation
- Executive Director: Physical Planning
- Registrar
- Director: Physical Planning and Operations
- Director: Protection Services
- Director: Quality Assurance
- Director: PPO

- Director: Risk, Compliance and Investigation
- Director: Legal Services
- Professor: History
- Deputy Registrar: Enrolment
- Director: Teaching and Learning
- Deputy Director: Library and Information

Academic promotions

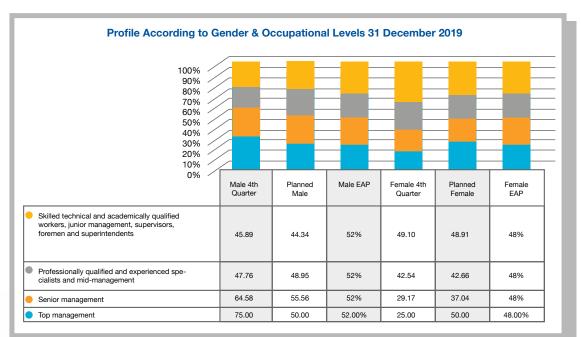
The University has a policy which, among other objectives, ensures that quality academic staff members are promoted according to criteria that are transparent and consistently applied in all faculties. This is to acknowledge their contributions towards achieving the University's goal of being a high-quality academic institution, particularly in the fields of teaching and learning, research, university service and community engagement. It is a form of reward to staff members for actual and sustained service and achievement above standard thresholds set for their current appointment levels. Table 41 provides a list of academic promotions during the year under review.

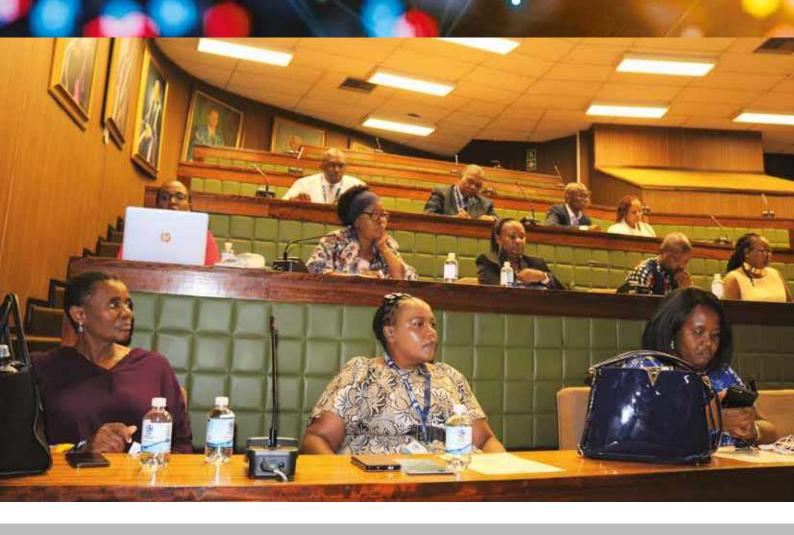
FACULTY	FROM POSITION	TO POSITION
Faculty of Arts	Lecturer (6)	Senior Lecturer
	Senior Lecturer (1)	Associate Professor
	Associate Professor (1)	Professor
Faculty of Commerce Administration and Law	Lecturer (3)	Senior Lecturer
	Associate Professor (2)	Professor
Faculty of Education	Lecturer (1)	Senior Lecturer
	Senior Lecturer (1)	Associate Professor
Faculty of Science and Agriculture	Lecturer (5)	Senior Lecturer
	Senior Lecturer (2)	Associate Professor
	Associate Professor (1)	Professor

Equity targets

UNIZULU's equity targets and achievements are displayed in Diagram 10 with a narrative provided herein

Diagram 10: Demographic Profile Changes





Female employees: Both planned and economically active population (EAP) targets were achieved at skilled technical/academically qualified/junior management level. The planned target at professionally qualified/ experienced specialist levels were achieved but were short of 5.46% against the EAP target. Unfortunately, the University is still below both planned and EAP targets at senior management level and planned and EAP targets at top management level.

Male employees: The University achieved its planned target at skilled technical/academically qualified/ junior management level, but it was below EAP. The planned target was achieved at professionally

qualified/experienced specialist level, but again below EAP. UNIZULU is over-represented at senior and top management levels.

Skills development

Individual performance contracts incorporate Individual Development Plans that capture the annual development needs of each employee. The identified training needs are used to compile the Workplace Skills Plan. Thirteen female employees attended Senior/ Management Development Programmes offered by the University of KwaZulu-Natal as part of female leadership development. UNIZULU's overall spend was R14 641 842 compared to R9 631 919 in 2018.

CATEGORY	SOURCE OF FUNDS	AMOUNT
Individual Development Plans	 HR budget Mandatory/discretionary grants Divisional/faculty budgets 	R2 476 048
Teaching and Learning	Development grant	R9 871 094
Research and Innovation	Research development grant	R2 294 700
TOTAL		R14 641 842

Stakeholder relationships (union relations)

In the absence of a representative and recognised trade union, management, in consultation with staff, established a Management and Employee Consultative Forum (The Forum), which serves as a platform for engagement between management and staff on labourrelated matters. Members of the Forum attended a workshop on Building Effective Workplace Relations and received training on conflict management and resolution. The Essential Services Committee (ESC) designated security services in education institutions as an essential service in terms of the Labour Relations Act 66 of 1995 as amended (The Act). To that end, the University and representatives of protection services staff negotiated and concluded a Minimum Services Agreement, which is effective for a period of three years and was ratified by the Essential Services Committee.

IMPROVING STAFF QUALIFICATIONS AND CAPACITY

Over the next four years, the University intends to grow the proportion of staff with PhD degrees to 55% by 2025. UNIZULU intends to do this through structured initiatives that are aimed at increased support for young and emerging academic staff. They are to be given time and resources to obtain higher degrees and develop their research and postgraduate supervision capacity. Directed performance management systems will focus on the role of academic leadership (heads of departments, deans, etc.) in developing the academic standing of staff within their areas of responsibility and ensuring that academic staff perform at a more efficient and effective level. UNIZULU will also fill existing academic posts vacancies with academics who possess high-level qualifications. The approved 2020-2025 Enrolment Plan will necessitate a renewed conversation about academic staffing arrangements, especially in new areas where programmes are being designed for start-up provisioning in the University, for example, Engineering and Music. Academic seniority will also be a particular area of interest given the envisaged growth in postgraduate enrolments. Currently, 50% of UNIZULU staff have PhD degrees.

TEACHING, LEARNING, RESEARCH AND INNOVATION

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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 all that, 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 Senate Report provides a full report on the University's teaching and learning as well as research and innovation activities during the year under review.

UNIZULU has conducted a large number of quality assurance arrangements. These include preparations for the National Review of doctoral qualifications and working with faculties to develop and finalise programmes. The University has taken a proactive stance in ensuring quality of provisioning across all programmes appearing in the University PQM. The currently finalised and approved HEQSF-aligned PQM has been communicated to all faculties and corrections submitted to CHE and DHET.

Understanding and improving the student experience is of critical importance if higher education is going to produce the number and quality of graduates and citizens needed in the 21st century. To make this possible, the Teaching and Learning Centre is largely dependent on the UCDG, which is intended to enable an integrated approach to capacity development across three focus areas, namely student development, staff development and programme/curriculum development. Its main purpose is to provide a developmental resource that contributes to addressing transformation imperatives in the university system. The Centre for Research on Evaluation, Science and Technology (CREST) has been appointed by DHET to support universities in producing evidence-based evaluation reports of their UCDG grant projects by the end of 2020. In order to achieve this goal, regional workshops are being scheduled between the CREST team and representatives. Certainly, the recognition of teaching and learning though the Vice-Chancellor's Awards for Excellence in Teaching and Learning is a crucial contributor in supporting and building appreciation of the importance



of these activities within the Institution. The awards are a way of acknowledging the exceptional performance of staff members in teaching, curriculum innovation, community engagements and support services, which are aligned with the University's vision about social and technological innovations in delivering quality education in the higher education landscape.

Moreover, the New Academic Staff Induction Workshop is for all newly appointed academic staff and introduces staff to key aspects of learning, teaching, assessment policies, approaches and practices in higher education, and researching teaching and learning practices that empower students to become active, responsible and critical students and citizens.

As part of a student development programme, the Writing Centre guides, advises and supports students. The philosophy of student consultancy is that all students can improve their writing, whether they are highly experienced academic writers or complete novices.

The UCDG will continue to fund the tutorship project for the next two years. The Teaching and Learning Centre is expected to manage this tutorship programme across all the faculties of UNIZULU, including the Richards Bay campus. This is a hugely complex scheme with many variables influencing its structure. As in previous years, UNIZULU continues to capacitate postgraduate students, researchers and academic supervisors with a myriad expertise development and training interventions yearin and year-out. The Research Office is making a notable collaborative impact in the institutional, national and international scientific and community domains.

The research strategy of the University cannot be realised without strong academic programmes that will ultimately produce a cohort of postgraduate students with the requesite scholarly skills and graduate values. Putting strong foundations in place and ensuring that quality education takes place is an investment in the research agenda and capabilities of the University's staff and students. The alignment of the different layers of complexity of knowledge production is a critical aspect, not only to produce knowledge of high quality, but also to ensure that the core mission of the University is enhanced in an integrated way. The need to strengthen the relevance and quality of its academic mission, the quality of programme delivery, assessment and supervision practices, the aggressive upscaling of staff qualifications, the recognition and strengthening of stakeholder relations as well as the upgrading of teaching and



learning and research infrastructure and the living and working conditions of students and staff are all evidence of the commitment towards a strategy to improve the mission of the University. In this particular context, the research mission of the University can only benefit. All of these strategies are intersecting at various levels and layers within the Institution as it is strengthening and positioning it in terms of its local and global context as a knowledge producing institution. The emphasis on applied research in this regard should be noted as this is a key building block in the comprehensive mission of the University. This is a central quality of the University's identity. A strong policy regime is in place to strengthen the strategic research mission of the University with governance and committee systems to provide for the implementation of its core business. These policies are continuously reviewed to ensure their appropriateness. These committee structures include higher degrees, research ethics, quality assurance, tech-transfer and innovation as well as the Research Committee guiding the quality and ethical assurance process. It is important to observe that these systems align from the faculty level to the level of the central institution. These policy regimes are all mutually complementary across all the faculties.

The support units of the research mission of the University provide a wide number of capacity development training workshops and programmes to the academic staff and students. This includes, for example, research proposal development, research ethics, academic writing workshops, research design workshops and supervision training, just to mention a few of the available opportunities. The focus is mainly to strengthen the emerging researchers with a strong emphasis on the empowerment of African women. Through the investment and growth of collaborations with various stakeholders - locally, regionally, nationally and internationally - the University is continuing to establish mutually beneficial collaborations to enhance knowledge production. This is evident in a wide range of areas as reported and must continue to happen.

STUDENT ENROLMENT

After the registration of students at the beginning of 2019, the headcount enrolment targets were as follows:

Table 43: Student Enrolment in 2019

ENROLMENT TYPES	TARGET	ACTUAL
First-time entering undergraduates (FTE)	3 900	3 752
Total undergraduate enrolments	13 200	15 907
Total postgraduate enrolments	1 915	1 817
Total enrolments (undergraduate and postgraduate)	15 000	17 725

UNIZULU achieved its target for FTE students in 2019, however, the University's total enrolments far exceeded the target. Over enrolment can largely be contributed 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 44.

RACE	2019	%	MALE	FEMALE	% MALE	%FEMALE
African	17 638	99.51%	7 537	10 101	99.58%	99.47%
White	25	0.14%	12	13	0.16%	0.13%
Indian	34	0.19%	9	25	0.12%	0.25%
Coloured	24	0.14%	10	14	0.13%	0.14%
Other	3	0.02%	1	2	0.01%	0.02%
TOTAL	17 724	100.00%	7 569	10 155	100.00%	100.00%

Table 44: Student Profile by Race and Gender: 2019

STUDENT THROUGHPUT

The University's annual graduations took place from 13-17 May 2019. In total, the UNIZULU graduation ceremony consisted of 10 sessions. The Chancellor Deputy Chief Justice Zondo conferred degrees, diplomas and certificates on candidates during the first two sessions (13 May 2019). The Vice-Chancellor was requested to act as Chancellor from 14-17 May 2019, as the Chancellor had to attend to work commitments. The Chairperson of Council Ms N. Caluza graciously attended all 10 sessions and delivered the official vote of thanks at all sessions. Other members of Council also attended and the University is privileged to see the dedication and commitment from Council towards graduation.

The University has managed to strike a good graduation balance between undergraduate and postgraduate qualifying students. In doing so, the University contributes 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 45.



Table 45: Headcount Graduations in 2019

GRADUATION TYPE	TARGET	ACTUAL	
Undergraduate qualified	3 562	3 525	
Postgraduate qualified	438	367	
Total graduates (undergraduate and postgraduate)	4 000	3 892	
Success rate	80%	84%	

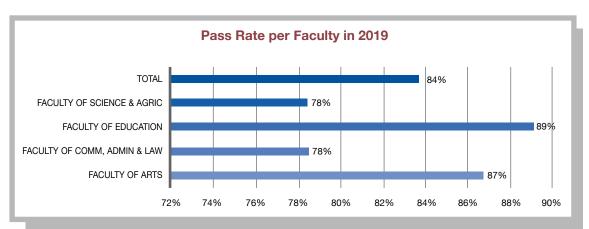
Table 46 provides an overview of the graduation statistics during the year under review per male/female ratio across faculties.

	UNDERGRADUATE				POSTGRADUATE						
FACULTY	Fem	% Fem	Male	% Male	Total UG	Fem	% Fem	Male	% Male	Total PG	TOTAL
Faculty of Arts	614	63%	359	37%	973	151	70%	66	30%	217	1 190
Faculty of Commerce, Administration and Law	505	62%	314	38%	819	7	58%	5	42%	12	831
Faculty of Education	740	62%	448	38%	1 188	19	68%	9	32%	28	1 216
Faculty of Science and Agriculture	345	63%	200	37%	545	57	52%	53	48%	110	655
Totals	2 204	63%	1 321	37%	3 525	234	64 %	133	36%	367	3 892

Table 46: Graduation Statistics (Percentage and Figures of Male/Female Graduates - Overall)

Student performance in terms of modules registered for and those passed continues to improve as shown in the following tables. Data presented in Table 47 shows that on average, the University had a pass rate of 84%. This was far above the planned target overall pass rate of 80%. The disaggregation of this pass rate per faculty is as follows: the highest pass rate was in the Faculty of Education (89%) followed by the Faculty of Arts (87%), Faculty of Commerce, Administration and Law (81%), while the pass rate in the Faculty of Science and Agriculture was 79%.

Table 47: Pass Rates across all Faculties



Data depicted in the table below show that the highest pass rates are at undergraduate level (84%) compared to the pass rates in the postgraduate level (61%). However, this does not affect the overall pass rate as presented in Table 47. The lower pass rate at postgraduate level is mainly due to the fact the majority of programmes at postgraduate above honours level are predominately research based. A similar trend as the overall pass rate by qualification level in the faculties is also presented in Table 48.

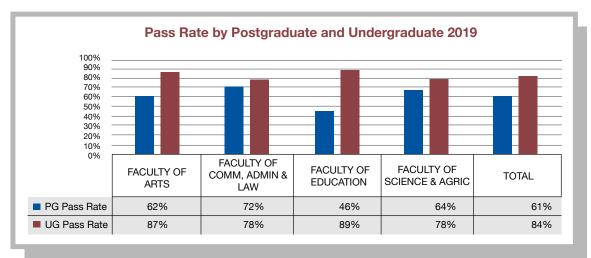


Table 48: Pass Rates by Postgraduate and Undergraduates 2019

Data on pass rates by gender show that female students on average performed 6% better than their male counterparts. The notable difference is in the Faculty of Science and Agriculture, where the female students are performing above 8% to the male students, while the difference in the other faculties does not deviate significantly from the overall difference (see Table 49).

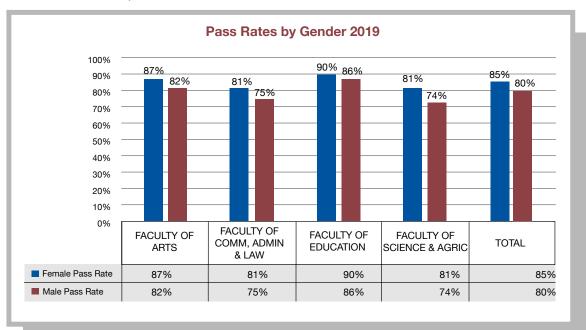


Table 49: Pass Rates by Gender

Data in Table 50 is consonant with the analysis in Table 49 that shows that pass rates at the undergraduate level were predominantly high across the faculties. It is worth noting that the highest pass rate among these were the four-year first bachelor's degrees between 91% and 88%, while the pass rate for the three-year first bachelor's degrees was 83% on average. The highest past rates were in the PGCE and the Diploma (360) at 94% and 91% respectively.

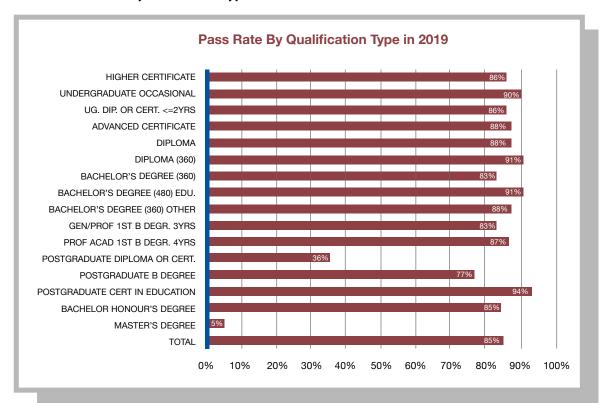


Table 50: Pass Rates by Qualification Type

ENROLMENT PLANNING 2019 AND BEYOND

On 15 April 2019, the University submitted a final Enrolment Plan 2020-2025 (EP) to DHET for approval. Enrolment planning dovetails broader institutional strategic plans, national plans and the human resource development strategy of the country. UNIZULU's newly conceptualised plan is a continuous build-up to the enrolment Plan 2013-2019, however, it incorporates the newly discovered aspirations of repositioning the University for the 21st century higher education needs as well as the redefinition of the University mission from being a historically disadvantaged traditional university to that which has been restructured to become a rural comprehensive university. In this reviewed plan, the University still commits to restraining enrolment growth

in Arts and Humanities, particularly Teacher Education with the view to grow enrolments in SET areas, and social sciences located in the Faculty of Commerce, Law and Administration by introducing more diploma programmes at the Richards Bay Campus. The University also intends introducing a variety of diploma Engineering programmes and a Master's of Business Leadership/MBA at the Richards Bay Campus. Engineering diploma programmes will in future articulate into bachelor's degrees and postgraduate programmes as the University grows its Engineering programmes provisioning, supported by growth in capital infrastructure. Growth in enrolments will be slightly introduced in 2021 and sustained throughout the period of this enrolment planning with a total headcount of 21 500 students by 2025.

DATA MANAGEMENT

The Strategic Analytics and Business Intelligence unit provides university data warehousing needs and conducts strategic analysis of university data, providing dashboards that assist academic leaders and executives take strategic decisions informed by accurate data. The implemented initiatives for the year under review is set out below:

- Data warehousing: The University has finalised the implementation of PowerHEDA. The purpose of this tool is to assist executives and improve university principles in performing data mining and data analysis on data stored in the warehouse. Implementing advanced analytical techniques will eventually assist in discovering critical patterns and trends – creating a culture of evidence-based decision-making. The advantage of such a tool is that it allows and ensures timely distribution, consolidation, management, and distribution of data as well as the ability to maintain an audit trail of the data.
- First-year students' profile (Biographic Questionnaire): The purpose of the Biographic Questionnaire is to assist the Institution to enhance the understanding of how a student's socioeconomic background would influence his/her chances of success at university level. The project annually collects comprehensive school and home background information from the UNIZULU FTENs. The Biographic Questionnaire is embedded on the online/web-based registration process on ITS iEnabler and forms part of the registration process of all FTEN students. Information that was collected specifically pertain to student background: including home location; form of dwelling space; learning-enabling facilities at home and at the high school where the student matriculated; and various details of home background information (i.e. financial affordability, family structure, educational background of family members, etc.). This demographic data works towards assisting tailor-made student interventions and learner analytics to inform student support initiatives for the students to achieve high levels of success. In 2019, 79% of the FTENs had fully completed the Biographic Questionnaire online.
- Integrated experience in Science, Technology, Engineering and Mathematics (STEM) (Feeder Schools): The Integrated Experience in the STEM project is aimed at exposing South African high

school learners from economically and socially disadvantaged schools (classified as quintile 1-3 schools) to gain access to the University and be better prepared for university-level studies, particularly in knowledge areas related to STEM. The University finalised the 'Feeder Schools' project proposal. The programme was conceptualised to offer 'educational enrichment and systematic support' aimed at success in the cognitively-challenging subject areas. In the conceptualisation of the project 100 learners would form part of a programme that would focus on acquainting learners to the university context, and type of STEM studies offered.

- Data Governance Policy and Framework: The University is held responsible for ensuring the availability, confidentiality, and integrity of all information to which it is entrusted. University data, whether managed and residing on University IT resources, stored on personal devices, managed by a third party or a business partner, or outsourced to a service provider, forms an important asset that must be governed, protected, and appropriately safeguarded. The purpose of data governance is to develop institution-wide policies and procedures that ensure that UNIZULU governance meets these objectives within and across its administrative or academic data systems. During 2019, a draft Data Governance Policy and Framework was developed, which was benchmarked against local and international institutions.
- Viability of new programmes: The University institutionalised viability analysis for the development of new programmes with the aim to determine, evaluate and forecast the financial viability of the programme. The viability analysis relies on the DHET funding framework; operational budget; instructional and research staff servicing the programme; and student intake to determine the costs to start and then calculate the break-even figure. In 2019, seven viability analyses for new programmes and a special viability analysis of the entire Richards Bay campus were undertaken.
- UNIZULU Facts and Figures Brochure 2019: The Facts and Figures publication provides brief, factual information on a selection of important key data and main student, staff and research trends in the University. The document is a pocket-sized

brochure offering all stakeholders a glimpse of the state of enrolment, staffing and research output while offering some highlights of 'the good and the great' about UNIZULU. The 2019 publication included research highlights; a synopsis of community engagement endeavours; best and promising practices in student support and engagement; and scholarship for teaching and learning; and a new Infrastructure Plan.

- Success rates and at risk modules: The purpose of these reports was to identify the drivers of 'at risk students' in order for the University to apply appropriate intervention strategies. Deans and heads of departments had access to these reports, which included trends and analysis of modules that had unusually high failure rates in each faculty.
- Cohort analysis: Cohort analysis detail longitudinal data available on dropout, retention and throughput rates. Faculty cohort analysis, based on 2014 to 2018 for first-time entering students commenced during 2019.
- Student Success Flagship Project funded by DHET through the HDI grant: The aim of this institutional project was to improve capacity to collect student data and integrate it with institutional data, ICT, academic development, planning, student support and academic divisions. In addition to the biographical data of FTENs, feeder school data was sourced from the National DBE and Central Applications Office (CAO, which had been integrated into the ITS database. With this as a solid base for student data, it was envisaged that accumulative collection of student performance details would link directly to these categories of data. This would enable the University to conduct a longitudinal analysis that would lead to better understanding of the drivers of student success at UNIZULU.

In addition, the quality assurance office conducted various surveys during the year under review, as outlined below:

Graduate Destination Survey (GDS): The GDS is a research project that is conducted annually to gain more information about the career destinations and satisfaction of students who have graduated from the University. The project data is collected via paper-based surveys during the official University graduation ceremonies typically held in May of each year. In total, 3 060 responses were analysed,

representing 71% of the graduate cohort. The data indicated that 50.55% respondents were either employed, self-employed, or continuing with theirs studies. In total 48.96% of the respondents had not found employment at the time.

- Staff and Student Climate Survey: This survey • was designed as a response to a recommendation of the 2017 CHE Special Audit Report. The purpose of this study was to solicit views, perceptions and experiences of staff and students on the institutional climate and culture (entrenched values, and prevailing ideological beliefs and practices) at UNIZULU. This was done for the purpose of establishing acceptable practices and determining areas of institutional change and cultural improvement. The study data was collected and analysed during 2018, whereas the report writing was completed, and the document finalised at the beginning of 2019.
- First-Year Experience Survey: The purpose of this survey is to annually collect information about the level of student satisfaction regarding the process students are exposed to during their first year of study. Areas that are investigated through this study include factors that influence the application and registration process of UNIZULU, the initial stages of becoming part of the student community, and when they have settled as part of the student body of UNIZULU. During the 2019 year, the 2018 research report was completed and presented to faculty Boards. The data collection of the 2019 was completed and the data for the project has been analysed.
- Postgraduate Student Experience Survey: This • survey project's aim was to gain more insight into the experiences of registered postgraduate students at UNIZULU. The specific focus of the study was to consider experiences related to: educational experience, initiation into the community of research, support services, as well as quality and access to facilities. The overarching objective of this research study was to assist the University to enhance the quality of the student experience by collecting feedback from the registered postgraduate students in a systematic way. During the 2019 year, the 2018 research report was completed and presented to faculty Boards. The data collection of the 2019 was completed and the data for the project has been analysed.
- Safety and Security Survey: The Institutional

Research Office was requested to assist with the coordination and review of a study to determine the safety and security needs of UNIZULU staff and students. The purpose of the study was to inform the development of the Security Governance Strategy. The Institutional Research Office assisted on the project through providing feedback on the design and scope of the study. Ethical clearance was obtained and data was collected electronically from staff and students. The raw data and preliminary synthesis of the data was provided to the service provider after a confidentiality agreement was signed by relevant parties.

HEMIS

HEMIS submissions is done in order to ensure the University secures government funding subsidy, guide institutional strategic planning and decision-making processes in a manner that is responsive to the demands of the external regulatory environment as determined by the Ministry of Higher Education and Training, and other roleplayers. In 2019, review and analysis of data was conducted. Various reports produced and submitted to DHET. These submitted databases enable the University to receive government funding subsidies such as block grants and some of the earmarked grants as stipulated in the Ministerial Statements on University Funding issued every year. The University has had a consistently positive and astonishing achievement of maintaining errorfree Student, Staff and Postdoctoral Fellowships HEMIS databases for a third year in a row.

STUDENT SERVICES

Student governance

Student governance forms an integral part of institutional governance and the SRC is recognised in all statutory structures of the Institution. The Student Governance and Development Division supports a number of registered student societies by facilitating programmes and activities they are registered for. Workshops for capacity building are conducted to enable members of societies to understand their brief and deliver according to their specific programme of action. There are 84 active societies, which are allocated funds from the societies' levy to implement theirs programme of action. In 2019, all societies met their conditions for recognition as student entities.

During the year under review, the SRC Constitution was revised as a result of areas of concern pertaining to the eligibility of postgraduate students. This emanated in



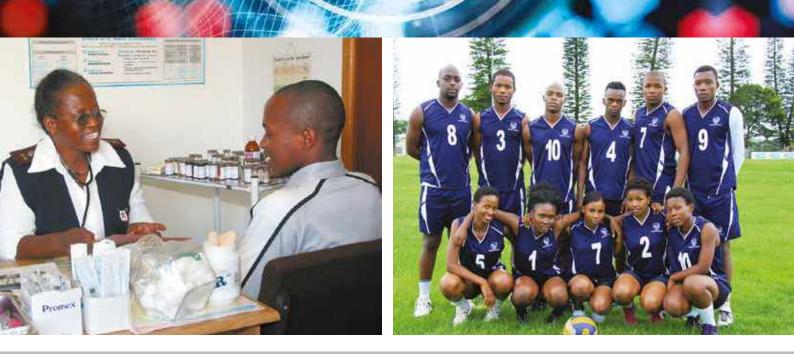
a pre-election process being declared null and void. This invariably led to the postponement of the SRC elections until the revised SRC Constitution has been approved by Council. Council appointed an SRC administrator as a temporary measure to fill the void of the SRC.

Student health and counselling

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. Medical challenges reported to the Campus Clinic include: sexual and reproductive health problems, unwanted pregnancies, violence of various forms, and the scourge of HIV and Aids. Access to studentfriendly healthcare facilities offer a lifeline to these students. This is so because UNIZULU is not within walking distance of secondary and tertiary healthcare facilities. A studentfriendly primary healthcare facility on site, therefore, becomes crucial. The Clinic has embarked on disseminating information on self-care as a way of promoting a healthy lifestyle. The following services are provided:

- Students and employees: All services that are provided at the clinic are at a primary healthcare level and they all follow the DoH 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 their services. Increasingly, probably

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due to their disadvantaged background, there are more students who rely on the Campus Clinic than private healthcare facilities.

HEAIDS is the University's partner for the Campus Health Clinic, from whom it receives annual funding. The clinic is required to submit quarterly reports to account for the funding. To date, the clinic has received unqualified audit reports from HEAIDS.

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, 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 the needs of students with disabilities.

Sports and recreation

The Sports and Recreation section exists to coordinate sport activities for the students of UNIZULU so as to enhance academic and leadership excellence for our students. This helps to steer students away from unbecoming and unhealthy habits but to focus on their academic activities. One of the goals of the University is to position itself as one of the institutions that take sport as a critical contributor to the welfare and social needs of the country and by so doing promote a positive image of the University through sport. Students participated in professional development in the following activities: the Zululand Rugby League; Jozini Style Boxing Tournament; Two Oceans Marathon; SAFA SAB League, King Cetshwayo District; KZN Netball Super League; Zululand Hockey League and Provincial SASOL League for Women; King Cetshwayo Dance Tournament; Campus Soccer League; USSA NEC and executive meetings.

CAMPUS DEVELOPMENT

The Report of the Chairperson of Council, as well as the Performance Assessment Report, highlights the University's progress towards infrastructure development drive. UNIZULU is receiving high-level support from DHET to provide professional advice in support of infrastructure maintenance and development. The DHET team are experienced in delivery of University infrastructure, and are working with UNIZULU's key personnel to ensure that UNIZULU is well-positioned to commence with effective infrastructure delivery and that the applicable governance structures, procurement policies and strategies, (procurement and contracting) for effective and efficient implementation of all key projects are in place. With the assistance of DHET, the University was able to develop a new University Spatial Development Framework, build internal capacity, revise and review its procurement processes, and engage in a community consultation workshop as part of its Infrastructure Development Plan. With an appointed Infrastructure Project Management Team in place and governance structures to oversee infrastructure development, the year 2020 should result in significant construction taking place, especially in respect of student residences, which will also receive funding for the much required maintenance upgrades. As a rural-based institution, the University struggles to find accommodation that meets



the NSFAS conditions for accreditation. This leaves the University with little option but to sign up with providers located a distance away from the University and incur costs of transporting students. A planned Indaba will yield innovative ways in which SSD could overcome the housing challenges in 2020.

INFORMATION TECHNOLOGY

Plans are underway by the ICT Department to use the HDI Grant funding to take care of the Systems Renewal Project in ICT infrastructure as it affects library systems, the Strategic Analytics HEDA system, the E-learning Moodle server and ITS upgraded server. The successful delivery of these projects will result in the ICT Datacentre, which will house state-of-the-art technologies that provide robust, secure with faster access, improved data protection and monitoring systems for proactive detection of system issues. It will also improve the protection of all University network and connected devices against data theft, illegal access to information and identity of all devices connected in the University network.

The University has approved the procurement of hosting services of the integrator application from Adapt IT. Adapt IT makes a server available to UNIZULU with all the necessary software loaded, which includes the operating system, database, ERP application (ITS Integrator), network, firewall and backup services. This server is then accessible by UNIZULU over the Internet to perform data capturing and reporting activities. This facility will be available to UNIZULU for a specific period of time. Adapt IT hosting will include, among others, a production server (all modules) and backup server that will also back up at the UNIZULU Data Centre, which will include an ITS testing environment. Legacy systems and hosting services will coexist for the foreseeable future. Due to the substantial setup cost, the minimum period that Adapt IT provides this service for ITS Integrator is a three-year period. UNIZULU will remain the owner of all Oracle licensing and the data that resides on the server hosted by Adapt IT. The data can be moved to another environment at the termination of the contract. Migration onto the Adapt IT cloud will enable the University to immediately proceed with all enhancements that will upgrade and modernise its systems. In 2019, the Student Services Department (SSD) introduced the online prebooking system, which was rolled out smoothly for students who had registered for accommodation.

SAFETY AND SECURITY MANAGEMENT

UNIZULU has been facing a plethora of security challenges over the years. Steady progress has been made in the following security areas: the development of the Integrated Security Master Plan; the professionalisation of the Protective Services Department (PSD); stakeholder engagement; and security events. The Master Plan straddles the conventional security prefecture and the evolving modern application of security. In this regard, the Master Plan calls for the improvement of physical security, increase in patrols, and stringent application of access control. In the same vein, the Master Plan serves as a blueprint of a modern technology-based security system - using technology resources and the development of a world-class intelligence operation centre (IOC). With the support of HR, PSD completed a restructuring process. The process has been marked by the creation of a technology division. This is consistent with its mission of building



capacity in the area of surveillance and CCTV monitoring. The new structure will be submitted to Council in the first quarter of 2020 for approval.

MANAGEMENT OF FINANCIAL RESOURCES

The University needs to keep on growing its reserves and cash flow by ensuring that it generates income needed as well as by applying controls over expenses to ensure value for money. This will be managed through costcontrol measures, ensuring that expenditure is within budget, managing funding requirements and enhanced student debt management. The finance structure has been approved by Council and important vacancies in the Finance Department have been filled, including that of the Executive Director: Finance. Enhancing of controls and addressing critical audit findings is a priority. The challenge for the coming year would be to grow the income potential of the University by increasing research and postgraduate outputs, as well as to deliver on a greater number and size of donor funds as UNIZULU remains vulnerable to student protests in the face of overstretched, limited funding.

THE ESTABLISHMENT OF AN ADVANCEMENT OFFICE

The University of Zululand Foundation was established as a charitable, non-profit Trust de<mark>d</mark>icated to advancing the goals of the University, including academic excellence and innovation in research. With the University as its sole beneficiary, the mandate was to enable UNIZULU to achieve its strategic goals. After reviewing the sustainability of the University of Zululand Foundation, the Council decided to dissolve the foundation as a separate entity and to integrate the activities, staff as well as its assets and liabilities into that of the University. This would prevent the duplication of certain costs as the foundation funded its own operations mainly from investments income, which became increasingly difficult as a third-stream income generated is usually for designated projects and bursaries. With declining investment income, its sustainability as an operation was failing and needed to be addressed. The University completed its benchmarking exercise on the establishment of an Advancement Office, which will be implemented once the foundation has been deestablished. The challenge going forward will be to ensure that the University Strategic Plan finds expression with a new thrust for fundraising.

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 its strategic and operational objectives. 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 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.

The University developed a 2020 Strategic Risk Register in a workshop held on 13-15 October 2019. The workshop reflected on the state of all strategic risks in line with the mitigation mechanisms put in place to address them by the University and risk owners. While in 2019, the University had identified eight strategic risks, the workshop concluded that all those risks still applied for the academic year 2020, although risks had improved from those in 2018 when the 2019 Strategic Risk Register was developed, as fully outlined in the Risk Report.

TRANSFORMATION AND SOCIAL INCLUSION

As evidenced in the full Transformation Report, UNIZULU has made great strides in developing social justice. Policies aimed at the prevention of sexual harassment, genderbased violence and anti-discrimination were developed and various campaigns and workshops were launched to ensure that staff and students were informed of the new policies and procedures. UNIZULU's Culture Diversity Day was aimed at promoting respect for diversity in terms of different social, ethnic and racial groups. The introduction of the UNIZULU 101 Programme was another innovative way in which UNIZULU embraced institutional climate change. A student disability laboratory was refurbished in collaboration with MTN and plans for student residences have been developed as part of UNIZULU's comprehensive campus development drive. The University's seminar on Africanisation and Rurality discussions is in line with the vision to establish a rural comprehensive university. The University developed a three-year strategy for the CSIRD and the University started with the integration of IKS into the research and innovation rectorate as part of the drive to develop these through scholarly research. The Equity Plan, Talent Management Framework, Performance Management System and various reviewed polices aimed at recruitment, selection, training and development as well as academic promotions, which all play a critical role in UNIZULU's drive towards a diverse workforce with an established Transformation and Social Inclusion Committee that governs the implementation of the Transformation Plan.

CONCLUDING REMARKS

The University successfully integrated the core functions of the Institution in a holistic system to enhance the strategic objectives and to ensure quality and efficiencies across all faculties. UNIZULU achieved its strategic objectives during the year under review and in addition addressed all past inefficiencies, as evidenced by progress reports submitted to CHE.

Performance management has been institutionalised and UNIZULU continues in its strive to reduce vacancy rates and employ high-calibre staff. The revised Employment Equity Policy, Talent Management Policy and learning and development policies further highlight UNIZULU's drive towards transformation at a senior level. In addition, staff development remains core as well as the focus to enhance women leadership at all levels.

Student enrolments and success rates has been encouraging, with UNIZULU meeting its predetermined targets. Strategic analysis of University data assisted the academic leaders and executives to take strategic decisions informed by accurate data. In addition, the University has had a consistent positive achievement of maintaining an error-free student, staff and postdoctoral fellowship HEMIS database for a third year in a row. The University continued to use innovative pedagogies and best practice to teaching and learning and research and innovation with the view to enhance guality and improve the student experiences. Student Services, Healthcare and Sports all contribute to the well-being of their students. Planned ICT development, security development and infrastructure development will all contribute to a broader and better student experience in 2020.



Vice-Chancellor

REPORT ON RISK EXPOSURE ASSESSMENT AND ITS MANAGEMENT

INTRODUCTION

Management is responsible for the design, implementation and monitoring of the process of risk management at UNIZULU. 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. 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 entity processes and tools that it needs to become more anticipatory and effective at evaluating, embracing and managing the uncertainties that it faces as the University 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 ١ levels of the University
- Introducing risk management components into existing strategic planning and operational practices
- Including risk management as part of employees' performance appraisals

Continuously improving control, accountability 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), monitor changes in the University's risk profile and gain 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 are 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.

The composition and meeting schedule of the Audit and Risk Committee of Council is set out in Table 6 of the Report of the Chairperson of Council.

MANGEMENT AND CONTROL OF CONSEQUENCES OF RISK

Management conducted a risk assessment workshop in October 2019 to identify and develop the 2020 Strategic Risk Register. It was concluded that the eight strategic risks be retained but updated, and a new risk be included. Management has, through defined responsibility and accountability, identified each risk event, condition and area. The resultant risk register, in terms of the Strategic Plan 2016-2021, is enclosed in Table 51:



Table 51: 2020 Institutional Risk Register and Status

REF NUM	STRATEGIC GOALS	RISK NAME	RESIDUAL RISK RATING	CONTROL IMPROVEMENTS	RISK OWNER BY ORDER OF ACCOUNTABILITY
1	Linked to all goals	Misalignment of academic programme structure to PQM	5	 Audit academic programme structure internally and every third-year audit externally Internal resubmission of the academic programme structure every year for validation by Senate Three-year review of academic programme and curriculum Annual alignment of faculty handbooks to approved academic structures Training focusing on academic administration (ongoing) To replace all the servers and enhance the firewalls Implementing cloud 	DVCs Academic
2	Linked to all objectives	Inadequate CT governance structure and related processes	13	 Enhance existing DRP and BCP Approve and implement ICT structure Upgrade existing ICT infrastructure Conduct awareness of ICT infrastructure (both internally and to students) Replace all the servers and enhance the firewalls Implementing cloud 	Executive Director: Institutional Planning
3	Linked to goals 2, 3 and 6	Inadequate infrastructure development and maintenance	5	 Implement maintenance of identified high-risk infrastructure Roll out the Infrastructure Development Programme 	Executive Director Infrastructure
4	Linked to all goals	Fraud and corruption	13	 Continuous awareness campaigns Monitoring the ITS controls Review and implementation of policies to strengthen controls Continuous validation of data Final approval of Fraud Prevention Policy/Plan 	Vice-Chancellor

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REF NUM	STRATEGIC GOALS	RISK NAME	RESIDUAL RISK RATING	CONTROL IMPROVEMENTS	RISK OWNER BY ORDER OF ACCOUNTABILITY
5	Linked to all goals	Ineffective University security	20	 Enhance the Security Plan (human and digital) Develop HDI proposal to request funding for security enhancement (surveillance, access control of all buildings etc.) Enhance the relationship between the community and the University through established engagement forums Create sense of ownership Continuous assessment of insurance 	DVC: Institutional Support
6	Linked to goals 2, 3, 4 and 5	Uneven research output per capita	4	 Improve quality of supervision Increase the number of staff with PhDs Increase publications Improve writing and publishing skills 	DVC: Research and Innovation
7	Linked to all goals	Inadequate governance structures and related processes - Non-compliance with legislation, regulations and best practice	3	 Continuous review and update of policy framework aligning to legislation and best practice Continuous monitoring and evaluation of Council Committee operations 	Registrar
8	Linked to all goals	Insufficient funding for the running of the Institution	8	 Increase research output Increase postgraduate throughput Develop Budget Policy and Model Identify cost-saving opportunities Develop financial viability model Establish advancement office Rationalise academic offerings with a view to increasing subsidy Implement academic exclusion 	Executive Director: Finance
9	Linked to all goals	Inadequate branding of UNIZULU and engagement with key stakeholders		 Develop strategy to Improve management communication Develop alumni engagement system Develop a Crisis Communication Policy Development of the marketing strategy to manage perception 	DVC: Institutional Support

CONCLUSION

The Institution's risk management system is designed to reduce the probability that the assumed risks materialise and to improve the Institution's ability to manage or contain the risk events should they occur. Council is satisfied with the risk assessment conducted during the year under review and the updated risk register.

Ms S.J. Masite Chairperson: Audit and Risk Committee of Council



FINANCIAL REVIEW

INTRODUCTION

UNIVERSITY OF

ZULULA

UNIVERSIT

ZULULAN

This report is a presentation of the consolidated annual financial statements of UNIZULU for the year ended 31 December 2019. It provides an executive overview of the main financial activities and results of the University and the UNIZULU Foundation.

OPERATING RESULTS

Table 52: Comprehensive Income (R)

EXECUTIVE SUMMARY: STATEMENT OF COMPREHENSIVE INCOME (R'000)	2017	% INCREASE	2018	% INCREASE	2019
Surplus/(loss) before non-recurrent income	77 985		160 989		291 942
Non recurrent items	(112 922)		(122 585)		(119 752)
Net surplus/(loss)	(34 937)	210%	38 404	348%	172 190
Other comprehensive income items	13 936	76%	24 517	-92%	2 052
Total comprehensive income	(21 001)	400%	62 921	177%	174 242

The Statement of Consolidated Comprehensive Income for 2019 reflects a surplus before Other Comprehensive Income of R172.2 million (2018: R38.5 million). While UNIZULU budgeted for a small surplus for the 2019 year, the positive results are mainly attributable to the additional investment income and operational budget savings.

After taking into account the items related to post-retirement obligations as well as change in fair value of investments, the total comprehensive income for the year is R174 million (2018: R63 million).

The two tables below illustrate the various reportable segments and the operating results pertaining to each one.

Table 53: Surplus before Non-recurrent Income per Reportable Segments

SURPLUS/(DEFICIT) BEFORE NON-RECURRENT ITEMS	2017	2018	2019
	R′000	R′000	R′000
Council controlled	87 113	186 375	326 423
Restricted funds	41	(7 256)	(10 646)
Student residences	(9 012)	(16 764)	(27 528)
UNIZULU Foundation	(156)	(1 366)	3 692
Total	77 985	160 989	291 942



Table 54: Comprehensive Income/(Loss) per Reportable Segments

TOTAL COMPREHENSIVE INCOME/(LOSS)	2017	2018	2019
	R′000	R′000	R'000
Council controlled	(14 035)	73 183	203 568
Restricted funds	42	(7 225)	(10 646)
Student residences	(9 015)	2 791	(27 528)
UNIZULU Foundation	2 007	(5 828)	8 849
Total	(21 001)	62 921	174 242

REVENUE

There is a positive trend in recurrent income growth, and in 2019 recurrent income increased by 19.6%. The table below provides a breakdown of the R1 298 million recurrent income by income type. The phasing in of the Fee Gap Grant into block grant subsidy was the main reason for the higher than normal growth in subsidy.

TOTAL RECURRENT INCOME (R′000)	2017	% MOVEMENT	2018	% MOVEMENT	2019
State appropriations - subsidies and grants	481 078	11.4%	535 779	25.6%	673 175
Tuition and other fee income	394 995	10.3%	435 760	13.7%	495 306
Private gifts, grants and donations	34 450	-27.8%	24 872	-8.4%	22 773
Other income	18 971	8.2%	20 535	-25.1%	15 391
Sale of goods and services	11 462	-33.4%	7 632	10.7%	8 451
Investment income	66 480	-9.0%	60 481	36.9%	82 795
Total	1 007 438	7.7%	1 085 059	19.6 %	1 297 891

Table 55: Recurrent Income

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 52% (2018: 49%) of total income, while tuition fees contributed 38% (2018: 40%).

Table 56: Proportional Representation of Recurrent Income

TOTAL RECURRENT INCOME PROPORTIONAL %	2017	2018	2019
State appropriations	48%	49%	52%
Tuition and other fees	39%	40%	38%
Sale of goods and services	3%	2%	2%
Private gifts and donations	2%	2%	1%
Other income	1%	1%	1%
Investment income	7%	6%	6%
	100%	100%	100%

EXPENDITURE

In 2019, recurrent expenditure largely remained the same to that of the previous period. This includes a significant increase in minor capital expenses of 227%. This was largely due to minor assets reaching their useful lives and thus requiring replacement. In addition to this, finance costs decreased by 13% as the DBSA loan are approaching settlement date. The biggest portion of recurrent income, being personnel costs, only had an increase of 6.6%, which is in line with general increases approved by Council. These increases, coupled with increases in recurrent income, resulted in the University reporting much improved performance as compared to that of the previous year. Personnel costs remain below the benchmark of 62% of income.

Table 57 reflects the recurrent expenditure trend over the last three years:

RECURRENT EXPENDITURE	2017	2017 % CHANGE		% CHANGE	2019
	R′000		R′000		R′000
Personnel costs	463 501	4.4%	483 706	6.6%	515 584
Other operating expenses	418 349	-5.0%	397 507	10.68%	439 950
Minor capital items expensed	10 442	-55.2%	4 674	227.2%	15 294
Depreciation and amortisation	32 249	11.8%	36 055	-7.7%	33 275
Finance costs	4 912	-56.7%	2 128	-13.3%	1 846
Total	929 453	-0.6%	924 070	8.86%	1 005 949

Table 57: Recurrent Expenditure

Table 58: Salary Benchmark (Council Controlled Funds)

	2017	2018	2019
	R′000	R′000	R′000
Income	853 899	928 151	1 108 533
Personnel costs	416 100	439 706	464 635
Post-retirement benefit expense	112 922	122 585	119 752
Personnel costs including post-retirement expense	529 022	562 291	584 387
as a % of Income	62%	61%	53%

PROPERTY, PLANT AND EQUIPMENT

The closing book value of property, plant and equipment was R1 197 million (2018: R1 204 million). In terms of UNIZULU's accounting policies, land and buildings are stated at fair value and revalued at least every five years. Management undertook an assessment of fair values of its land and buildings and results showed that there was no significant movement in the value of land and buildings and thus no valuation was done in this current financial period.

The total net decrease of R6 million was made up of R47,7 million additions offset by depreciation of R32,9 million and an impairment loss of R20,6 million.

The additions consist of:

- R27,8 million work in progress
- R7,6 million for Buildings
- R8,8 million for Furniture and Equipment
- R1,7 million for Data & Computer Equipment
- R1,9 million for Motor Vehicles

INVESTMENTS AND CASH

At year-end, cash and cash equivalents amounted to R1 960,9 million (2018: R1 689,3 million). The increase is attributable to positive operating cash flows. In addition, the University received earmarked grants amounting to R130 million, the biggest portion of which remains unspent for the current financial year. Expenditure towards infrastructure maintenance and newly built will be spent towards the end of the following financial period, which would, in turn, contribute to possible decline in cash and cash equivalents.

The unspent amounts pertaining to the DHET Infrastructure Programme and other designated grants are separately invested in identifiable investment portfolios and investment return accrued to each relevant grant.

The investment of funds is done in terms of the approved Investment Policy.

Table 59: Financial Assets and Cash and Cash Equivalents

INVESTMENTS AND CASH	2017	2018	2019
	R′000	R′000	R′000
Financial assets at fair value	526 732	521 995	559 531
Cash and cash equivalents	1 257 863	1 689 340	1 960 857
Total	1 784 595	2 211 335	2 520 388

POST-RETIREMENT BENEFITS AND OBLIGATIONS

The University has a pension and provident fund that is defined as benefit plans, as defined in IAS19. Due to additional contributions made into these funds by the University in recent years, there is a surplus in both funds. This surplus is not reflected in the Statement of Financial Position due to the asset ceiling effect. A Board of Trustees representing the members and the University meets on a quarterly basis to review the fund and investment performance.

In addition to this, the University has a postemployment medical benefit for employees that were employed prior to 1 August 2005. On retirement, these employees are entitled to a subsidised medical contribution to medical schemes. At year-end, the postretirement obligations, as actuarially calculated in respect of this scheme, amounted to R110,9 million (2018: R99,6 million). This liability is not separately funded.

STUDENT DEBT

The total student debt before allowance for expected credit losses, was R171,8 million (2018: R179,0 million), reflecting a decrease of R7.2 million compared to the prior year. The main reason for this decrease is the student debt of R15,9 million that was written off during the year. To ensure that debt recovery of unfunded students is improved, management appointed a debt collecting agency and this has yielded positive results as outstanding fees of non-registered students have been recovered.

Included in student written off debt is an amount of R3,6m that was fraudulently debited on student accounts in 2016 and written off after a full investigation by the University. This amount has also been claimed from the University's insurance providers.

The allowance for expected credit losses at the end of 2019 totalled R97,4 million compared to R91,6 million in the previous year. Refer to note 7 of the Annual Financial Statements for further details.

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INTEREST BEARING BORROWINGS

The interest-bearing borrowings at R22,0 million (2018: R24,5 million) relate to a loan raised from DBSA for the construction of student residences in 2007. There's a cession agreement in place between the University and DBSA for a certain investment portfolio with a market value of R29,0 million at year end. The University successfully negotiated with DBSA to reduce the value of the cession to R25m (2018: R48.9 million) during the 2019 financial year. Refer to note 12 of the Annual Financial Statements.

DEFERED GOVERNMENT GRANT

In terms of IAS20: Accounting for Government Grants and Disclosure for Government Assistance in respect of capital projects are recognised as deferred income and released to the Income Statement over the useful life of the asset. Grants utilised to acquire property, plant and equipment, but not yet released to income, amounted to R233,5 million (2018: R217,9 million), while unspent grants totalled R1 407,9 million (2018: R1 294,2 million). Further details can be found under note 10 of the Annual Financial Statements.

ACCUMULATED FUNDS

The University has a total of R1 972,5 million (2018: R1 798,3 million) in accumulated funds. Over the last three years, the university has maintained a high level of funding/equity with a healthy level of Council-controlled funds.

Table 60: Equity Funds

Summary of equity Funds	2017	2018	2019
	R′000	R′000	R′000
Non-distributable	483 082	508 366	513 846
Restricted	27 501	3 485	(29 960)
Non-restricted	1 224 798	1 286 454	1 488 661
Total	1 735 381	1 798 305	1 972 548

Table 61: Proportional Representation of Equity Funds

Proportional representation of equity funds	2017	2018	2019
	R′000	R′000	R′000
Non distributable	28%	28%	26%
Restricted	2%	0%	-1%
Non-restricted	71%	72%	75%
Total	100%	100%	100%



CONCLUSION

The Institution is in a sound financial position and is committed to continuing to strengthen past achievements through continued fiscal discipline and financial oversight. Surpluses have been achieved in two of the last three financial years and accumulated funds have also steadily increased. The University has thus sufficient funding sources to implement its strategy.

Mr J. Kunji-Behari Chairperson: Finance Committee of Council

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Mr P. du Plessis Executive Director: Finance



REPORT OF THE AUDIT & 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 the UNIZULU Statute. The Committee has conducted its affairs in compliance with its detailed charter that is based on the regulatory requirements of the UNIZULU Statute, principles of good corporate governance 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 HE Act.

COMPOSITION AND MEETINGS

The members of the Committee are independent and 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 its meetings, discussions with Executive Management, and 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

- In ensuring that the University's 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 recommendations to the Executive Committee ۲ of Council on the appointment of external auditors, the audit fees and the approval of the external audit plan for the year ending 31 December 2019
- Made recommendations to the Executive Committee of Council on the appointment of internal auditors, the audit fees and the approval of the internal audit plan for the year ending 31 December 2019
- Made recommendations to the Executive Committee of Council on the appointment of internal auditors for the period 2020-2022.

EXTERNAL AUDITORS

Ngubane and Co were appointed as external auditors for the year ending 31 December 2019. The external auditors submitted the 2019 external audit plan to the Committee for approval. The presentation highlighted the following salient aspects, but was not limited to: the determination of materiality was set at R14.5 million (this figure was to be updated if necessary on receipt of the final trial balance), and errors greater than the audit misstatement posting threshold (R725 000) would be reported to the Committee. After thorough consideration, the Committee approved the 2019 Audit Plan and audit fees for the 2019 financial year.



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 HEIs.

During the reporting period, the Committee:

- Reviewed and discussed the audited Annual Financial Statements included in this Annual Report with the external auditors, the Vice-Chancellor and the Executive Director: Finance
- Reviewed the external auditors' report and management's response
- 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 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

The Committee approved the updated Strategic Risk Register of the Institution and resolved that risk factors be aligned with the Risk Management Policy. The policy provides for a systemic and consistent identification and management of risk at the University. The committee resolved that management should develop a proper action plan to address all issues raised in the 2018 Audit Report and that progress on ICT findings dating back to 2017 be presented at each meeting. 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 Institution. The Committee monitored the risk associated with the SRC election process and progress made by the University in terms of mitigation.

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

Pursuant to principles of good corporate governance, the Committee revised and approved its Charter during the year under review. The committee further resolved that all negotiated transactions be reported to the Committee in order to manage financial risks.

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 held on 25 June 2020, that the Annual Financial Statements of the University for the year ended 31 December 2019 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.

Ms S.J. Masite Chairperson: ARCC

Ms N. Caluza Chairperson of Council





COUNCIL'S REPORT ON **TRANSFORMATION**

INTRODUCTION

UNIZULU 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
- 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 UNIZULU'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; CE and societal development. Understanding of the context, which shapes UNIZULU's conceptualisation of transformation, provides an in-depth elaboration on this definition of transformation.

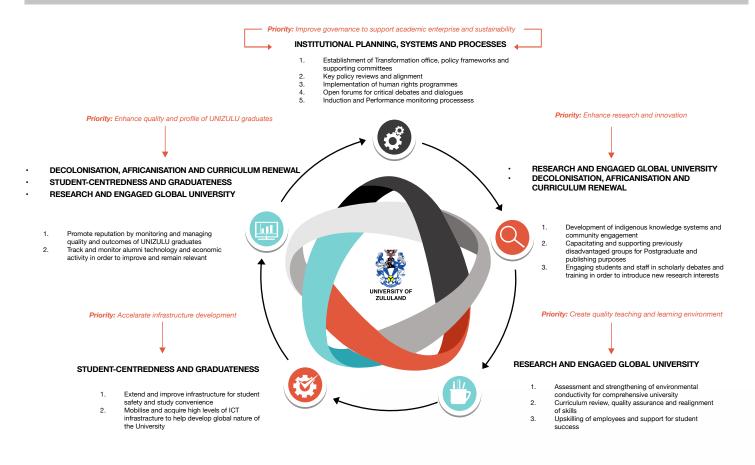
UNZULULU's Institutional Transformation Plan 2017-2021 (ITP) is an enhancement of the Integrated Transformation Plan of 2014. The ITP is founded on the UNIZULU Strategic Plan 2016-2021, which outlines the vision and priorities of the University, the UNIZULU Improvement Plan of 2018, which was developed as a response to the CHE Special Audit recommendations of 2017, and the South African Human Rights Commission Report on Transformation at Public Universities in South Africa 2014. In addition to these, reference can be drawn from different government prescripts that guide transformation in HEIs.

The plan, displayed in Diagram 11, consists of five identified themes, each linked to a strategic goal with clearly identified interventions in order to achieve the transformation agenda of the University.



Diagram 11: Institutional Transformation Plan 2017-2021

Institutional Transformation Plan 2017-2021



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UNIZULU has made significant efforts to address the objectives of the ITP in 2019. The first part of this report presents a narrative on progress towards transformation using the five themes identified in the ITP. The second part contains a report on transformation utilising the Transformation Barometer provided by DHET.

NARRATIVE ASSESSMENT OF UNIZULU'S ITP

Institutional climate and culture

The requirement to address this theme has been reemphasised by the South African Human Rights Commission Report on Transformation in Institutions of Higher Learning and Recommendation 14 of the CHE audit report. The theme is the pillar of how University members and users experience and make the university more accommodating to all users. The University responded to this by:

Creating inclusive and hospitable learning spaces; diversified workplaces, and hospitable environments across its campuses

Workshops on gender and gender-based violence were held with students in sports. These workshops were aimed at educating students on gender, human rights and gender-based violence and to inform students on the University's gender-based violence policy. The University also observed Cultural Diversity Day in July.

The University's Transformation Charter was presented and approved by MANCO and the Transformation Committee. It has been translated to IsiZulu and printed for display in all critical areas of the University.

The Transformation Office partnered with faculties and conducted debates on culture and social inclusion.

Develop and implement programmes to improve the institutional climate for diverse students, staff and visitors

UNIZULU 101, a grounding programme for first-year students, has been developed. The aim of the programme is to enhance transition from high school to higher learning by imparting knowledge, skills and strategies for responsible and engaged citizenship. The programme currently covers values, human rights and responsible citizenship. Discussions with the Gender Forum have indicated the need to incorporate gender equality in the programme. This addition has been considered by programme developers and the programme will be piloted during the 2020 intake.

Implementation of the Language Policy

Through its statute, the University has committed to promoting multilingualism. English and IsiZulu are main languages of communication. From the beginning of 2019, the Communications and Marketing Department has been trying to use both languages specifically in marketing University events such as orientation and graduation. Other initiatives include the development of a comprehensive action plan for the implementation of the revised Language Policy and engagements with the ICT and transformation units to explore software that will translate spoken lectures into writing, enabling students with audio impairments to be able to read on the screen and later access written notes of lectures.

Establishing institutional mechanisms to deal with discrimination and harassment

The Anti-discrimination Policy was adopted by Council and an implementation framework has been developed. However, there were some overlaps between this policy and the Sexual Harassment Policy, which will be addressed when the policies are reviewed in 2020.

Creating spaces for public debate and societal engagement

One of the goals of the University is to have a society that engages openly on matters of transformation and social inclusion. As such, Prof. N.B. Pityana was invited to speak on Decolonial Activism in November 2019.

Institutional planning, systems and processes equity

The University has committed itself to repositioning its systems, services and processes to promote effectiveness, efficiency and advanced institutional credibility. This is evident from the following deliverables during the year under review:

Development of an Ombudsman Office

The University has taken a decision not to establish an Ombudsman Office.

Develop mechanisms/systems to address cases of racism, sexism, sexual harassment and other forms of discrimination

A Sexual Harassment and Gender-based Violence Office has been adopted by Council. Operations of the office is regulated by the polices on sexual harassment and gender-based violence, which stipulate the roles



played by different structures of the University in handling reports and investigations and sanctions where necessary, for all gender-based violence complaints. In line with policy provisions, the University developed a framework of implementation, appointed and trained security officers, tasked with complaints handling, and developed information pamphlets for staff and students as part of awareness.

Embark on a comprehensive campus and spatial development initiative to acquire and enhance student residence space, and teaching and learning facilities

A student disability laboratory was refurbished in collaboration with MTN. This lab awaits official opening that will be determined by MTN. A comprehensive ICT infrastructure upgrade to all student labs and lecture halls is scheduled for 2020. Plans for student residences have been developed, with construction is set to begin in 2020.

Teaching and learning

UNIZULU will ensure that undergraduate students acquire the knowledge, experience and cultural competencies necessary to succeed in a multicultural, globallyinterconnected world. The graduate attributes framework and FYE training manual, developed in 2018, was again successfully implemented in 2019. A Residence Support Programme is in place as part of the FYE under the Living Learning Programme in collaboration with SSD.

The institutionalisation of curriculum reviews continued in 2019. Faculties hosted cultural diversity events in 2019, which included debates as well as a showcase of diverse cultures at the University through poetry, drama and traditional music. A seminar on the Africanisation of curriculum was held with the aim for beginning to focus on how this can be achieved.

Undergraduate and postgraduate student grievance procedures were developed and UNIZULU continues to promote an inclusive institutional culture.

Research, scholarship and postgraduate studies

Work on supervision ratios, supervision capacity, and supervision policy guidelines have commenced, aimed at ensuring non-discriminatory supervision standards and practices. Faculties and departments are held accountable for broadening the diversity of postgraduate students, with accountability reporting taking place at the Quality Assurance of Administrative Data (QAAD) committee. Numerous workshops were conducted during the year under review, aimed at postgraduate supervision and the promotion of externally funded innovative research. A targeted post- doc threshold is maintained and frequently updated.

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An MoU was signed with Technology Innovation Agency (TIA) and ED-TIA to fund promising research in Chemistry, Biochemistry, Microbiology and Consumer Science at UNIZULU. A faculty-based Women in Research Mentor/Mentee Programme is being implemented to assist young black women academics to acquire PhD gualifications and the UCDP staff Capacity Development Initiative is being rolled out to further capacitate young black women academics and researchers.

As part of UNIZULU's commitment to enter into meaningful partnerships in the region with local businesses, municipalities and communities, the African languages, Information Science Studies, Recreation and Tourism and Sociology departments engage in work-integrated learning programmes with various organisations, as well as interdisciplinary collaboration. An MoU was also entered into with RBIDZ.

CSIRD has developed and circulated a three-year Strategic Plan, which contains a situational analysis, a strategy and an operational plan. CSIRD currently awaits comments from stakeholders within the University as well as KZNDARD.

The Institution has started with the integration of IKS unit into the Research and Innovation rectorate. This process was approved by Council in 2019. A planning workshop to conceptualise the IKS scholarship trajectory, including appropriate staffing, will commence in 2020.

Recruitment and retention

During the year under review, the Human Resources Department revised all policies. The recruitment and selection, employment equity, training and development and academic promotions policies all promote/facilitate transformation. Deans and heads of departments all play a leading role in the development of a talent management strategy for academic staff. Faculties have academic promotion committees who identify academics who needs to be developed for progression to senior academic levels. In addition, a Talent Management Framework has been developed with succession planning tools to identify talent pipelines for critical roles in the Institution.

The Performance Management System was reintroduced in 2018 to reward performers and identify capacity and personal development areas for staff in order to meet their expected performance.

In order to expedite the 'renewal' of the academy, UNIZULU participates in the nGAP, a programme that encourages and gives opportunities to young scholars to occupy teaching spaces in HEIs. Progress of these staff members will be monitored continuously. The University has also undertaken to upskill staff members who do not have a master's. Academics also participate in several programmes aimed at providing professional teaching qualifications as a drive to professionalise academia. The



University also offers additional teaching and learning training interventions for the same purpose.

Leadership, relationships with external stakeholders and community engagement

Numerous community-based research initiatives were undertaken during the year under review, ranging from stream water quality monitoring to traditional medicinal plant use and product development for people with swallowing disabilities and other lifestyle illnesses.

Authentic learning included femicide and patriarchy research, transforming the smallholder farming systems for the future (farmers we want in 2030) and first-year transitions at university. Service-learning included profiling of households living with disabilities and placement of students to do WIL in the fields of rural development and hospitality management.

Exchange programmes included the Inter-Professionalism Education joint project with UKZN that focuses on 'Decolonising Deliciousness: Inter-Professional Health and Consumer Science Education', Inter-professionalism education with Nelson Mandela University, informal saving schemes with the SASUF and postgraduate exchanges with Ghana University. The Department of Consumer Services established SASUF, an informal student forum composed of students from various faculties in the University with the aim to bring together researchers from Sweden and South Africa for seminars, exchange programmes and projects.

As part of community-based seminars/colloquiums, the University engages in numerous outreach programmes whereby school learners are made aware of potential academic programmes at university level.

DHET REPORTING – GOVERNANCE AND LEADERSHIP STRUCTURES

This second part of the report provides a high-level overview on transformation reporting based on DHET requirements. The narrative report addresses progress on each, however, this high-level overview clearly highlights UNIZULU's significant progress toward transformation.

Transformation and Social Inclusion Committee

The University established the Transformation and Social Inclusion Committee, which met twice during the year under review. The committee governs and monitors the implementation of the transformation strategy in the University. During the year under review, the committee considered various issues, including intellectual lectures on Africanisation of curriculum, responding to recommendations made by the Commission for Gender Equality, establishment of a policy on disability, and made recommendations for the adoption of the gender-based violence policy.

Sexual harassment and Gender-based **Violence Policy**

Council approved a policy on Sexual Harassment and Gender-based Violence. Implementation systems and procedures are being put in place to ensure proper implementation. It is being translated to isiZulu to increase better understanding by University members at all levels. The policy has four pillars: creating a fair and accessible environment for reporting and investigation, creating support structures for victims, capacity building for handlers of complaints and advocacy and awareness. Training was conducted for protection officers who are tasked with receiving complaints. Other trainings were conducted in partnership with the National Prosecuting Authority. These were done with student associations with the aim of popularising the policy and enhancing reporting loops among the student body. More programmes are in place for the coming year for students and staff who are key to the implementation of the policy. Various external stakeholders have been engaged to strengthen support and open conversations with the University community.

Anti-discrimination Policy

Council approved the Anti-discrimination Policy with the objective of creating an inclusive, diverse and pluralistic community where students and staff are free to pursue their academic and occupational endeavours without fear of discrimination on any grounds stipulated in The Bill of Rights, as prescribed in The Constitution of South Africa. The University further committed itself to promoting equality by using all necessary legal prescripts to protect all its members from acts of unfair discrimination, whether direct or indirect, and taking action to condemn any acts that contravene the provisions of this policy.

Disability and inclusion

The University intends to create an environment that is conducive to living and learning for all. The University assessed accessibility of all its facilities to people with disabilities and found that while some facilities require refurbishment, some require respect by other University members.

Culture and diversity

The University community is largely black African. However, there are students and staff from other African countries. While based in the rural areas, influence and different perceptions about the 'other' that are based on strong traditional beliefs and backgrounds should not be neglected. Hence, debates and dialogues aimed at engaging students and staff from different faculties began this year and will form part of annual programmes of the Transformation Office. Topics covered by students ranged from internationalisation of universities, the influence of science on culture and beliefs, and the nature of 'being different' that looked at gay and lesbian communities in and outside the University community.

UNIZULU 101 Programme

The University developed credit-bearing а transdisciplinary undergraduate module for first-year students enrolled within the University. The module was designed to support and enhance first-year student experiences during their time at the University, as well as to ensure that these experiences provide the necessary holistic development required for able, socially engaged and confident graduates. A chapter on transformation has been added to the programme with the intention to get students to understand and appreciate diversity. This programme will be piloted in 2020.

Africanisation of curriculum

The University hosted the Africanisation of Curriculum Symposium on 2 October 2019. Guest speakers were Professor Kwesi Prah and Dr Ya Ashaantewa Archer-Ngidi to address the community on transforming the curriculum to adapt to African realities. This symposium crafted a way forward on what projects and programmes the University need to prioritise for the enrichment of programmes and realisation of transformation imperatives.

Implementation of Language Policy

This policy was adopted by Council in 2017 but there has been slow progress in implementation; the policy was prioritised this year. Key University policies are already in the process of being translated into isiZulu. Several engagements have taken place and specific priority projects aimed at using the language to improve lecturing and general communication form part of the 2020 focus.

Employment equity

The University continues to struggle with attracting women with disabilities to executive management positions. However, the University has a representative management team that shows that it is doing its best to

attract women into management positions. In 2019, the University revised and adopted the Employment Equity Policy and through it, made a further commitment and effort to drive transformation at senior levels. This policy is supported by Talent Management Policy and learning and development policies. Programmes have already been put in place to build the pipeline of leadership internally. Thirteen women have already been enrolled for the Management and Senior Management Programme. Table 52 shows that at senior occupational level, more interventions are required to improve the representation of African females. Management training is one of the recommended programmes that have been in place to address this phenomenon. For Professionally Qualified, Africans, both males and females need to be improved. The University is committed at ensuring that people from designated groups are appointed to positions, as identified in the UNIZULU Equity Plan. All recruitment adverts stipulate that the University is committed to the employment of people from designated groups.

OCCUPATIONAL LEVEL		MA	LE			FEMALE			FOR	TOTAL	
	А	С	I	W	А	С	I	W	Male	Fem	
EAP -KwaZulu-Natal 2019	43,50%	1,00%	5,20%	2,30%	42,80%	0,70%	3,20%	1,30%	0,00%	0,00%	100,00%
Top management	2	0	0	1	1	0	0	0	0	0	4
Workforce in %	50,00	0,00	0,00	25,00	25,00	0,00	0,00	0,00	0,00	0,00	100,00
Senior management	21	1	3	6	5	1	1	7	3	0	48
Workforce in %	43,75	2,08	6,25	12,50	10,42	2,08	2,08	14,58	6,25	0,00	100,00
Professionally qualified and experienced specialists and mid- management	44	0	10	10	44	0	5	8	11	2	134
Workforce in %	32,84	0,00	7,46	7,46	32,84	0,00	3,73	5,97	8,21	1,49	100,00
Skilled technical and academically qualified workers, junior management, supervisors, foremen, and superintendents	208	1	8	12	214	0	11	20	17	8	499
Workforce in %	41,68	0,20	1,60	2,40	42,89	0,00	2,20	4,01	3,41	1,60	100,00
Semi-skilled and discretionary decision making	101	0	0	0	64	0	4	0	0	0	169
Workforce in %	59,76	0,00	0,00	0,00	37,87	0,00	2,37	0,00	0,00	0,00	100,00
Unskilled and defined decision making	50	0	0	0	133	0	0	0	0	0	183
Workforce in %	27,32	0,00	0,00	0,00	72,68	0,00	0,00	0,00	0,00	0,00	100,00
TOTAL PERMANENT	426	2	21	29	461	1	21	35	31	10	1037
Workforce in %	41,08	0,19	2,03	2,80	44,46	0,10	2,03	3,38	2,99	0,96	100,00
Temporary Employees	34	0	0	0	35	0	0	2	2	4	77
Workforce in %	44,16	0,00	0,00	0,00	45,45	0,00	0,00	2,60	2,60	5,19	100,00
GRAND TOTAL	460	2	21	29	496	1	21	37	33	14	1114
Workforce in %	41,29	0,18	1,89	2,60	44,52	0,09	1,89	3,32	2,96	1,26	100,00

Table 62 : Employment Equity

Legend:

Green = Fair Representation Red= Over-representation Peach= Under-representation Grey= No Necessary comment

CONCLUSION

UNIZULU has put in place various mechanisms to deal with transformation imperatives. Progress has been good and with established structures, plans and policies in place, the institution is perfectly placed to achieve it transformation objectives by 2021.

Ms N. Caluza Chairperson of Council

Prof. X. Mtose Vice-Chancellor



AUDITED CONSOLIDATED ANNUAL FINANCIAL STATEMENTS for the year ended 31 December 2019



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General Information

Nature of business and principal activities	Higher Education Institution in terms of Higher Education Act 101 of 1997
Business address	1 Main Road Vulindlela KwaDlangezwa 3886
Postal address	Private Bag X1001 KwaDlangezwa 3886
Bankers	ABSA
Auditors	Ngubane & Co



UNIVERSITY OF ZULULAND Annual Financial Statements for the year ended 31 December 2019

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Council's Responsibilities and Approval

The Council is required in terms of the Higher Education Act 101 of 1997 as amended, to maintain adequate accounting records and is responsible for the content and integrity of the consolidated annual financial statements and related financial information included in this report. It is its responsibility to ensure that the consolidated annual financial statements fairly present the state of affairs of the University as at the end of the financial year and the results of its operations and cash flows for the period then ended, in conformity with International Financial Reporting Standards and Reporting Regulations in terms of the Higher Education Act 101 of 1997.

The consolidated annual financial statements are prepared in accordance with International Financial Reporting Standards and Reporting Regulations in terms of the Higher Education Act 101 of 1997 and are based upon appropriate accounting policies consistently applied and supported by reasonable and prudent judgments and estimates.

The Council acknowledges that it is ultimately responsible for the system of internal financial control established by the University and places considerable importance on maintaining a strong control environment. To enable the Council to meet these responsibilities, it sets standards for internal control aimed at reducing the risk of error or loss in a cost effective manner. The standards include the proper delegation of responsibilities within a clearly defined framework, effective accounting procedures and adequate segregation of duties to ensure an acceptable level of risk. These controls are monitored throughout the University and all employees are required to maintain the highest ethical standards in ensuring the University's business is conducted in a manner that in all reasonable circumstances is above reproach. The focus of risk management in the University is on identifying, assessing, managing and monitoring all known forms of risk across the University. While operating risk cannot be fully eliminated, the University endeavours to minimise it by ensuring that appropriate infrastructure, controls, systems and ethical behaviour are applied and managed within predetermined procedures and constraints.

The Council is of the opinion, based on the information and explanations given by management, that the system of internal control provides reasonable assurance that the financial records may be relied on for the preparation of the consolidated annual financial statements. However, council has been made aware of internal control deficiencies and non-compliance with laws and regulations as pointed out by the external auditors and will ensure that they are addressed appropriately. Any system of internal financial control can provide only reasonable, and not absolute, assurance against material misstatement or loss.

The University has reviewed the University's cash flow forecast for the next twelve months and, in light of this review and the current financial position, it is satisfied that the University has or had access to adequate resources to continue in operational existence for the foreseeable future.

The consolidated annual financial statements set out on pages 209-251, which have been prepared on the going concern basis, were approved by the Council on 28 August 2020 and were signed on their behalf by:

Ms N Caluza Chairperson of Council

Professor X Mtose Vice-Chancellor





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INDEPENDENT AUDITOR'S REPORT TO THE MINISTER OF HIGHER EDUCATION, SCIENCE AND TECHNOLOGY AND THE COUNCIL OF THE UNIVERSITY ON THE UNIVERSITY OF ZULULAND

Report on the audit of the consolidated financial statements

Opinion

We have audited the consolidated financial statements of the University of Zululand and its subsidiary (the University) set out on pages 209 to 251, which comprise the consolidated statement of financial position as at 31 December 2019, the consolidated statement of profit or loss and other comprehensive income, statement of changes in funds and statement of cash flows for the year then ended, as well as the 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 as at 31 December 2019, and its financial performance and cash flows for the year then ended in accordance International Financial Reporting Standards ("IFRS") and the requirements of the Higher Education Act of South Africa, 1997 (Act no. 101 of 1997), as amended.

Basis for opinion

We conducted our audit in accordance with the 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 this report.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our opinion.

We are independent of the University in accordance with section 290 and 291 of the Independent Regulatory Board for Auditors' Code of professional conduct for Registered Auditors (Revised January 2018), parts 1 and 3 of the Independent Regulatory Board for Auditors' Code of Professional Conduct for Registered Auditors (Revised November 2018) (together the IRBA Codes) and other independence requirements applicable to performing audits of financial statements in South Africa. We have fulfilled our other ethical responsibilities, as applicable in accordance with the IRBA Codes and in accordance with other ethical requirements applicable to performing audits in South Africa. The IRBA Codes are consistent with the corresponding sections of the International Ethics Standards Board for Accountants' Code of Ethics for Professional Accountants and the International Ethics Standards Board for Accountants' International Code of Ethics for Professional Accountants (including International Independence Standards) respectively.

Responsibilities of Council for the financial statements

The Council is responsible for the preparation and fair presentation of the consolidated financial statements in accordance with International Financial Reporting Standards ("IFRS") and the requirements of the Higher Education Act of South Africa, 1997 (Act no. 101 of 1997), as amended 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 University's ability to continue as a going concern, disclosing, as

Partners: SD Msomi, SM Jogee Group Chief Executive: SD Msomi 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 the 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 aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these consolidated financial statements.

A further description of our responsibilities for the audit of the consolidated financial statements is included in the annexure to this report (Annexure A).

Report on the audit of the annual performance 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/measures included in the planning documents. Our procedures did not examine whether the actions taken by the University enabled and contributed to the achievement of service delivery outcomes as planned. 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 usefulness and reliability of the reported performance information in accordance with the criteria developed from the performance management and reporting framework, as defined in the general notice, for the following selected strategic objectives presented in the annual performance report of the University for the year ended 31 December 2019:

Objectives	Pages in the annual report
STRATEGIC GOAL 1: IMPROVE GOVERNANCE THROUGH ENHANCED OPERATIONS TO SUPPORT THE ACADEMIC ENTERPRISE AND ENSURE SUSTAINABILITY	
To have a broad spectrum of programmes characteristic of a comprehensive university.	49
Develop, amend, implement policies, rules and procedures and maintain policy register.	50
Develop and entrench an appropriate institutional academic philosophy and approach which integrates teaching and learning, research and community engagement.	50
Review, develop and implement review findings in existing curricula.	51

UNIVERSITY OF ZULULAND Annual Financial Statements for the year ended 31 December 2019

Objectives	Pages in the annua report
Recruit and retain a qualified cohort of academic support staff.	51
Integrate human resource management and development.	51
Devise a Charter to guide relations between the University and its students.	52
Develop a turnaround strategy for financial management and governance.	52
Develop a financial budgeting and reporting system.	52
Ensure effective service delivery to students.	52
Develop an appropriate rural strategy for the University.	53
STRATEGIC GOAL 2: CREATE A QUALITY TEACHING AND LEARNING ENVIRONMENT AS A COMPREHENSIVE UNIVERSITY	
Creation of career focused programmes deepening and entrenching the synergy between conventional university programmes and vocational offerings.	53
Enhance teaching and learning.	54
Design and develop a cohort analysis for effective institutional planning and monitoring.	54
Early identification and tracking of at-risk students to be instituted via the student management system.	54
LIS to provide quality service to support teaching and Learning and Research.	55
STRATEGIC GOAL 3: ENHANCE RESEARCH AND INNOVATION	
Conceptualize an enriched Community Engagement Strategy.	55
Active mentoring of young / new researchers. Increase the University Research Output.	55
Promote, advocate and raise awareness of the value of innovation.	56
Engage emerging researchers and support/reward research activity.	57
Develop Research Operational Plan.	57
Engage the Postgraduate office in training around ethics and ethical clearance to improve the standard and guality of Master's and Doctoral dissertations.	57
LIS to provide quality service to support teaching and Learning and Research.	57

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UNIVERSITY OF ZULULAND Annual Financial Statements for the year ended 31 December 2019

Objectives	Pages in the annual report
STRATEGIC GOAL 3: ENHANCE RESEARCH AND INNOVATION (Continued)	
Staff retention strategies to be developed (Women with PhDs).	57
STRATEGIC GOAL 4: ENHANCE THE QUALITY AND PROFILE OF UNIZULU GRADUATES	
Provide a supportive learning and teaching environment for UNIZULU students.	58
General support, continued technological and collaborative specific institutional support for students and staff.	58
Engage with alumni to maintain lifelong relationships with UNIZULU.	58
Development of a core module.	58
Development of academics and enhancement of scholarship.	59
Recruit and retain a qualified cohort of Academic staff.	59
STRATEGIC GOAL 5: DEVELOP WAYS TO MANAGE THE NATIONAL REGIONAL AND INTERNATIONAL REPUTATION OF UNIZULU	
Identify and implement strategies to internationalise the institution and its curricula.	59
STRATEGIC GOAL 6: ACCELERATE INFRASTRUCTURE DEVELOPMENT	
Explore alternate avenues of funding to address the uncertainty of the government (DHET) subsidy.	60
Review, assess and replace software as needed.	60
Configure campus security systems to ensure appropriate access to assessments.	61
Develop an ICT strategy able to adapt and respond to the needs of the University.	62
Develop the single, virtual campus.	62
Staff capacity development (IC⊤ staff).	62
Obtain Occupational Health and Safety Certification.	62
Develop Infrastructural Master Plan for the University.	62
Design online registration system and conduct pilot.	64



We performed procedures to determine whether the reported performance information was properly presented and whether performance was consistent with the approved performance planning documents. We performed further procedures to determine whether the indicators and related targets were measurable and relevant, and 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 usefulness and reliability of the reported performance information for these objectives.

Other matter

Achievement of planned targets

We refer to the annual performance report from pages 38 to 74 for information on the achievement of the planned targets for the year.

Report on the 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.

The material findings on compliance with specific matters in key legislations are as follows:

The University did not comply with Section 41(1)(a) and (b) of the Higher Education Act in respect of the following:

 The Supply Chain Management unit could not make available some bid specification committee minutes, an attendance register for the bid specification committee, a bid proposal document for a tender awarded to a supplier and some contracts or service level agreements.

Other information

The Council is responsible for the other information. The other information comprises the information included in the annual report which includes the report of the Chairperson of the Council, Council's Statement on Governance, Council's Statement on Sustainability, Senate Report to Council, Report of the Institutional Forum, Report from the Vice-Chancellor on Management and Administration, Report on Internal Administrative Operational Structures, Report on Risk Exposure Assessment and its Management, Annual Financial Review, Report of the Audit and Risk Committee of the Council and Council's Report on Transformation. The other information does not include the consolidated financial statements, the auditor's report and those selected strategic goals presented in the annual performance report that have been specifically reported on in this auditor's report.

Our opinion on the financial statements and findings on the reported performance information and 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 strategic goals presented in the annual performance report, or our knowledge obtained in the audit, or otherwise appears to be materially misstated. We have nothing to report in this regard.

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.

The matters reported below are limited to the significant internal control deficiencies that resulted in the findings on compliance with legislation included in this report.

There were inadequate controls in place at the University to prevent, detect and correct misstatements in the financial reporting environment in relation to the following:

- Material control deficiencies with respect to the implementation of controls relating to supply chain management and procurement; and
- Material control deficiencies pertaining to Information Technology.

Other reports

We draw attention to the following engagements conducted that are either in progress or have been completed. These reports did not form part of our opinion on the consolidated financial statements, reported performance information or compliance with applicable legislation.

Audit related services

At the request of the University, audits were performed on the agreed upon procedures in terms of International Standards on Related Services (ISRS) 4400 "Engagements to Perform Agreed-Upon Procedures Regarding Financial Information."

No	Grant name	Period coverage	Status	Reporting date
1.	University Capacity Development Programme Grant	01 January 2019 to 31 December 2019	Completed	29 February 2020
2.	University Staff Doctoral Programme Grant	01 January 2019 to 31 December 2019	Completed	29 February 2020
3.	National Research Fund (NRF)	01 January 2019 to 31 December 2019	Completed	10 March 2020
4.	Infrastructure & Efficiency Grant	01 April 2019 to 31 March 2020	Completed	31 July 2020
5.	Clinical Training Grant	01 April 2019 to 31 March 2020	Completed	31 July 2020
6.	Foundation Provision Grant	01 April 2019 to 31 March 2020	Completed	31 July 2020
7.	New Generation Academics Programme Grant	01 April 2019 to 31 March 2020	Completed	31 July 2020
8.	Historically Disadvantaged Institution Development Grant	01 April 2019 to 31 March 2020	Completed	31 July 2020
9.	Research Output	01 January 2019 to 31 December 2019	Completed	31 July 2020
10.	Financial Data 2019	01 January 2019 to	Not yet started	31 August 2020

UNIVERSITY OF ZULULAND Annual Financial Statements for the year ended 31 December 2019

No	Grant name	Period coverage	Status	Reporting date
		31 December 2019		
11.	Higher Education Management Information System (HEMIS) 2019	01 January 2019 to 31 December 2019	In progress	31 August 2020
12.	DHET Fee adjustment grant	01 January 2019 to 31 December 2019	No submissions required for the 2020 period	
13.	Historic Debt (NFSAS)	01 January 2019 to 31 December 2019	No submissions required for the 2020 period	
14.	HEAIDS	01 April 20198 to 31 March 2020	No submissions required for the 2020 period	

Auditor tenure

In terms of the IRBA rule published in Government Gazette Number 39475 dated 4 December 2015, we report that Ngubane & Co. has been the auditor of University for 3 years.

Mgubane « Co

Ngubane & Co. Registered Auditors Per: Desmond Msomi CA (SA) Registered Auditor Partner

Date 28 August 2020

4th Floor, Marriot Building, 5 Arundel Close 20 Boulevard, Kingsmead Park Durban 4001



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Annexure - Auditor's responsibility for the audit

 As part of an audit in accordance with the ISAs, we exercise professional judgement and maintain professional scepticism throughout our audit of the consolidated financial statements, and the procedures performed on reported performance information for selected strategic goals and on the University's compliance with respect to the selected subject matters.

Consolidated Financial statements

- 2. In addition to our responsibility for the audit of the consolidated financial statements as described in this auditor's report, 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 University'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 Council's use of the going concern basis of accounting in the preparation of the consolidated financial statements. We also conclude, based on the audit evidence obtained, whether a material uncertainty exists related to events or conditions that may cast significant doubt on the University'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 about the material uncertainty or, if such disclosures are inadequate, to modify the opinion on the financial statements. Our conclusions are based on the information available to me at the date of this auditor's report. However, future events or conditions may cause a University to cease continuing as a going concern.
- Evaluate the overall presentation, structure and content of the consolidated 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.

Communication with those charged with governance

- 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.
- 4. We also confirm to the Council 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, where applicable, actions taken to eliminate threats or safeguards applied.

Consolidated Statement of Financial Position as at 31 December 2019

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		2019	2018 Restated *
	Note(s)	R '000	R '000
Assets			
Non-Current Assets			
Property, plant and equipment	2	1,197,171	1,203,875
Biological assets	3	41	65
Intangible assets	4	16,459	9,517
Financial assets at fair value through other comprehensive income	5 _	529,716	426,116
	-	1,743,387	1,639,573
Current Assets			
Financial assets at fair value through other comprehensive income	5	29,815	95,880
Inventories	6	6,639	6,008
Student and other receivables	7	138,494	149,471
Cash and cash equivalents	8 _	1,960,857	1,689,340
	_	2,135,805	1,940,699
Total Assets	-	3,879,192	3,580,272
Funds and Liabilities			
Funds			
Non-distributable funds			
Revaluation reserve		389,826	398,322
Financial asset reserve		124,020	110,044
Restricted funds			
DHET, Research and Trust funds		1,450	7,366
Student Residence funds		(31,410)	(3,881
Council controlled funds			
Property, plant and equipment (PPE) fund		573,937	573,208
Designated institutional fund		186,317	186,317
Accumulated Council-controlled funds		658,308	465,679
UNIZULU Foundation funds	_	70,099	61,250
	-	1,972,547	1,798,305
Liabilities			
Non-Current Liabilities			
Post - retirement obligation	9	110,946	99,581
Deferred government grants	10	1,328,033	1,210,158
Interest-bearing borrowings	12 _	19,253	21,983
	_	1,458,232	1,331,722
Current Liabilities			
Accounts payable and accrued liabilities	13	278,774	284,068
Current portion of interest-bearing borrowings	12	2,729	2,523
Current portion of deferred government grants	10	79,870	84,091
Employee benefits	11 _	87,040	79,563
	_	448,413	450,245
Total Liabilities	_	1,906,645	1,781,967
Total Funds and Liabilities	_	3,879,192	3,580,272

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Educational and General

		Council- Controlled	Specifically funded Restricted	Sub-total	Student Residence Restricted	UNIZULU Foundation	2019 Total	2018 Restated
	Note(s)	R '000	R '000	R '000	R '000	R '000	000. Y	Total R '000
TOTAL INCOME		1,108,533	81,227	1,189,760	98,880	9,251	1,297,891	1,085,059
State appropriations - subsidies and grants		607,199	65,976	673,175			673,175	535,779
Tuition and other fee income		404,217		404,217	91,089	I	495,306	435,760
Private gifts, grants and donations		2,396	14,896	17,292	-	5,480	22,773	24,872
Other income		14,191	76	14,267	1,124		15,391	20,535
Sale of goods and services		1,421	141	1,562	6,666	223	8,451	7,632
Investment income	16	79,109	138	79,247		3,548	82,795	60,481
TOTAL EXPENDITURE		(901,860)	(91,873)	(993,733)	(126,409)	(5,559)) (1,125,701)	(1,046,654)
RECURRENT EXPENDITURE		(782,108)) (91,873)	(873,981)) (126,409)) (5,559)) (1,005,949)	(924,069)
Personnel costs	15	(464,635)	(29,196)	(493,831) (21,756)	3	(515,584)	(483,706)
Other operating expenses	14	(266,236)	(62,289)	(328,525)	(84,324)	(5,439)	(418,288)	(364,519)
Net impairment losses on financial assets		(21,662)	- ((21,662)			(21,662)	(32,987)
Minor capital items expensed		(2,581)	(380)	(2,961)	(12,277)) (56)	(15,294)	(4,674)
Depreciation and amortisation	2&4	(25,148)	(8)	(25,156)	(8,052)		(33,275)	(36,055)
Finance costs	17	(1,846)	- ((1,846)			(1,846)	(2,128)
NON-RECURRENT EXPENDITURE		(119,752)	- ((119,752)	. ()		(119,752)	(122,585)
Post-retirement benefit expense		(119,752)	- ((119,752)	. (;		(119,752)	(122,585)
Net surplus/ (deficit) for the year		206,673	(10,646)	196,027	(27,529)) 3,692	172,190	38,405

UNIVERSITY OF ZULULAND Annual Financial Statements for the year ended 31 December 2019

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Comprehensive Income	Educational and General
Consolidated Statement of Other Comprehensive Income	

OTHER COMPREHENSIVE INCOME

Items that will not be re-classified to profit and loss							
Remeasurements on net defined benefit liability/asset	(17,081)		(17,081)		'	(17,081)	(808)
Revaluation of land & buildings			'		'	'	41,028
Net change in fair value of investments	13,976		13,976		5,157	19,133	(15,703)
Total items that will not be reclassified to profit or loss	(3,105)		(3,105)		5,157	2,052	24,517
Other comprehensive income for the year	(3,105)	.	(3,105)	.	5,157	2,052	24,517
Total comprehensive income/(loss)	203,568	(10,646)	192,922	(27,529)	8,849	174,242	62,922

UNIVERSITY OF ZULULAND Annual Financial Statements for the year ended 31 December 2019

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	Property, Plant and Equipment	Revaluation reserve Non- distributable	Financial asset reserve	DHET, Research and Trust funds	Designated institutional fund	Student Residence funds	Accumulated Council Controlled	UNIZULU Foundation funds	Total funds
~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~	R '000	R '000	R '000	R '000	R '000	R '000	R '000	R '000	R '000
Opening balance as previously reported	611,078	361,797	121,285	25,914	27,682	12,883	509,451	67,079	1,737,169
Agustments Prior period error				(11,296)	'	'	9,509	'	(1,787)
Restated* Balance at 01 January 2018 as restated	611,078	361,797	121,285	14,618	27,682	12,883	518,960	67,079	1,735,382
Surplus/ (deficit) for the year Other comprehensive income		41,028	- (11,241)	(7,252)		(16,764) -	(808)	(1,368) (4,461)	38,405 24,518
Total comprehensive income for the year		41,028	(11,241)	(7,252)		(16,764)	62,981	(5,829)	62,923
Transfers	(37,870)	(4,503)	-		158,635	'	(116,262)	'	
Total transfers between Funds	(37,870)	(4,503)		•	158,635		(116,262)		·
Opening balance as previously reported	573,208	398,322	110,044	18,662	186,317	(3,881)	451,200	61,250	1,795,122
Aujustments Prior period errors	1	1	1	(11,296)	ı	I	14,479	I	3,183
Balance at 01 January 2019 as restated	573,208	398,322	110,044	7,366	186,317	(3,881)	465,679	61,250	1,798,305
Surplus/ (deficit) for the year Other comprehensive income			- 13,976	(10,646) -		(27,529)	(17,081) (17,081)	3,692 5,157	172,190 2,052
Total comprehensive income for the year			13,976	(10,646)		(27,529)	189,592	8,849	174,242
Transfers	729	(8,496)	-	4,730	1		3,037	1	1
Total transfers between Funds	729	(8,496)		4,730			3,037	•	•
Balance at 31 December 2019	573,937	389,826	124,020	1,450	186,317	(31,410)	658,308	70,099	1,972,547

**Consolidated Statement of Changes in Funds** 

UNIZULU ANNUAL REPORT 2019

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**UNIVERSITY OF ZULULAND** Annual Financial Statements for the year ended 31 December 2019

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#### **Consolidated Statement of Cash Flows**

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		2019	2018 Restated *
	Note(s)	R '000	R '000
Cash flows from operating activities			
Cash generated from operations	19	270 427	398 414
Interest income		73 203	53 500
Dividend income		9 360	6 903
Finance costs	_	(1 846)	(2 128)
Net cash from operating activities	_	351 144	456 689
Cash flows from investing activities			
Purchase of property, plant and equipment	2	(47 680)	(20 853)
Sale of property, plant and equipment	2	850	31
Purchase of other intangible assets	4	(7 296)	(371)
Purchase of biological assets	3	-	(65)
Sale of biological assets	3	3	-
Purchase of investments		(243 914)	(22 752)
Sale of investments	_	220 934	21 134
Net cash from investing activities	_	(77 103)	(22 876)
Cash flows from financing activities			
Decrease in interest bearing borrowing		(2 524)	(2 3 3 6)
Net cash from financing activities	_	(2 524)	(2 336)
Total cash movement for the year		271 517	431 477
Total cash and cash equivalents at the beginning of the year		1 689 340	1 257 863
Total cash and cash equivalents at the end of the year	8	1 960 857	1 689 340



#### Accounting Policies

#### Reporting entity

The University of Zululand (the "University") is a public University established and domiciled in the Republic of South Africa, under the Higher Education Act no 101 of 1997. The address of the University's registered office is 1 Main Road, Vulindlela, KwaDlangezwa, 3886, South Africa. The consolidated financial statements of the University for the year ended 31 December 2019 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. Accounting Policies

#### 1.1 Statement of Compliance

The consolidated annual financial statements have been prepared in accordance with International Financial Reporting Standards and Reporting Regulations in terms of the Higher Education Act 101 of 1997 in the manner required by the Minister of Education in terms of section 41 of the Higher Education Act, 1997 (Act No. 101 of 1997), as amended. The consolidated annual financial statements have been prepared on the historical cost basis, except for the measurement of Land and Buildings, Biological assets and Financial instruments at fair value, and incorporate the principal accounting policies set out below.

#### 1.2 Basis of preparation

The consolidated financial statements are presented in South African Rands, rounded to the nearest thousand (R'000) in each case. They are prepared under the historical cost basis, except for the revaluation of Land and Buildings, Biological assets and financial instruments. The principal accounting policies adopted in the preparation of these financial statements are set out below and are consistent with those of the previous year, except where otherwise indicated.

#### 1.3 Basis of Consolidation

The consolidated financial statements comprise the financial statements of the University and its related entity as at 31 December each year.

Related entities are entities controlled by the University. The University controls an entity when the University is exposed to, or has rights to, variable returns from its involvement with the entity and has the ability to affect those returns through its power over the entity. Related entities are consolidated from the date on which control is obtained by the University and until they are disposed of or control ceases. All inter-group transactions, balances and unrealised surpluses and deficits are eliminated on consolidation. Where necessary, appropriate adjustments are made to the accounting policies of related entities on consolidation to ensure consistency with the policies adopted by the University.

#### 1.4 Use of estimates and judgments

The preparation of these financial statements requires management to make judgments, estimates and assumptions that affect the application of accounting policies and the reported amounts of assets, liabilities, income and expenses. 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 year in which the estimates are revised and in any future years affected.

In applying the University's accounting policies, management has made the following judgments, apart from those involving estimations, which most significantly affect the amounts recognised in the financial statements.

In preparing the consolidated annual financial statements, management is required to make estimates and assumptions that affect the amounts represented in the consolidated annual financial statements and related disclosures. Use of available information and the application of judgement is inherent in the formation of estimates. Actual results in the future could differ from these estimates which may be material to the consolidated annual financial statements. Significant judgments include:

- · Note 2 Depreciation and valuation of property, plant and equipment
- Note 7 Impairment of accounts receivables
- Note 9 Valuation of post-retirement obligations
- Note 11 Valuation of employee benefits
- Note 21 Contingencies



# 1.4 Use of estimates and judgments (continued)

# Impairment testing

The University reviews and tests the carrying value of assets when events or changes in circumstances suggest that the carrying amount may not be recoverable. Assets are grouped at the lowest level for which identifiable cash flows are largely independent of cash flows of other assets and liabilities. If there are indications that impairment may have occurred, estimates are prepared of expected future cash flows for each group of assets. Expected future cash flows used to determine the value in use of tangible assets are inherently uncertain and could materially change over time. They are significantly affected by a number of factors including historical experience and future expectations and other factors considered reasonable under the circumstances, together with economic factors such as exchange rates, inflation, interest rates, discount rates and market values.

# Provisions

Provisions were raised and management determined an estimate based on the information available. Additional disclosure of these estimates of provisions are included in note 7 - Student and other receivables and in note 11 - Employee benefits.

#### Depreciation

At the end of each reporting year, material assets within property, plant and equipment are reviewed to assess whether the estimated useful lives and residual values are appropriate. The estimate and judgement relates to useful lives and residual values

#### Impairment

(i) Non - derivative financial assets (including receivables)

The University only has Student and other receivables which are subject to the expected credit loss model.

The University applies the IFRS 9 simplified approach to measuring expected credit losses which uses a lifetime expected loss allowance for all student and other receivables.

To measure the expected credit losses, Student and other receivables have been grouped based on shared credit risk characteristics and the days past due.

# (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.

#### Receivables

At the end of each reporting year, management makes an estimate of loss allowance for receivables that are considered irrecoverable. Impairments of receivables takes into account the cost of collection of the receivables. The estimate and judgement relates to collectability of the receivables.

#### Employee benefits

A provision is made for the estimated liability for annual leave, bonus as a result of services rendered by academic professional, administrative and other support staff up to the financial year end.

The University also has liabilities for long service awards that are not expected to be settled wholly within 12 months after the end of the period in which the employees render the related service. These obligations are therefore measured as the present value of expected future payments to be made in respect of services provided by employees up to the end of the reporting period, using the projected unit credit method. Consideration is given to value of the award, experience of employee departures and periods of service. Expected future payments are discounted using market yields at the end of the reporting period of high-quality government bonds with terms and currencies that match, as closely as possible, the estimated future cash outflows. Remeasurement as a result of experience adjustments is recognised in profit or loss.

# 1.4 Use of estimates and judgments (continued)

#### Post-retirement obligations

For the purposes of valuing the University's future obligations in respect of post-retirement health care, provident fund and pension fund benefits, key assumptions are made in respect of discount rates, expected inflation on medical aid contributions, expected age of retirement and mortality rates.

#### 1.5 Income recognition

The University has adopted IFRS 15, Revenue from Contracts with Customers (IFRS 15) with a date of initial application of 1 January 2018. The University applied IFRS 15 using the prospective approach. Revenue is measured based on the consideration specified in a contract with a customer and excludes amounts collected on behalf of third parties. The University recognizes revenue when it transfers control over a product or service to a customer.

The following is a description of principal activities where the University generates revenue. The University has disclosed the nature, timing of satisfaction of performance obligations and significant payment terms.

#### 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.

# Special designated income

Income received for designated specific purposes arises from contracts, grants, donations and income for specific purpose. Such income is brought into the income statement in the financial period in which the University 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, or in the case of trust and agency monies, they are disclosed on the balance sheet under current liabilities.

#### Tuition fees

Tuition and residence fees are recognised as income in the period to which they relate, ie at the time these fees are formally billed. Deposits provided by prospective students are treated as current liabilities until these amounts are billed as due. Provision is made for the estimated unrealisable amount.



# 1.5 Income recognition (continued)

Sale of goods and services

To determine whether to recognise revenue, the University follows a 5-step process:

- 1. Identifying the contract with a customer
- 2. Identifying the performance obligations
- 3. Determining the transaction price
- 4. Allocating the transaction price to the performance obligations
- 5. Recognising revenue when/as performance obligation(s) are satisfied.

The total transaction price for a contract is allocated amongst the various performance obligations based on their relative stand-alone selling prices. The transaction price for a contract excludes any amounts collected on behalf of third parties.

Revenue is recognised either at a point in time or over time, when (or as) the University satisfies performance obligations by transferring the promised goods or services to its customers.

#### 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.

#### Interest income

Interest is recognised on a time allocation basis, taking account of the principal outstanding and the effective interest rate over the period to maturity, when it is determined that such income will accrue to the University. When impairment of a debtor occurs, the University reduces the carrying value to the recoverable value. The recoverable value represents the future cash flow, discounted as interest over time. Interest income on loans in respect of which impairment has been recognised is recognised at the original effective interest rate.

#### Dividend income

Dividends are recognised when the University's right to receive a dividend is established.

Donations and gifts

Donations and gifts are recognised upon receipt. Donations in kind are recognised at fair value.

# 1.6 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 includes the following funds:

# 1.6 Fund categories (continued)

# 1.6.1 Non-distributable funds

These funds consist of the Revaluation reserve and the Financial asset reserve. The Revaluation reserve relates to revaluations of property, plant and equipment. The Revaluation reserve is released to Council-controlled funds on a systematic basis over the useful lives of the assets. The Financial asset reserve includes those gains and losses on investments that are 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.

# 1.6.2 Restricted fund

These funds consist of the DHET, Research and Trust funds as well as the Student residence funds. The DHET, Research and Trust funds represent funds received which the University has an obligation to spend in terms of a mandate. The Student residence funds are funds related to activities related to student residences.

#### 1.6.3 Council controlled funds

These funds consist of the Property, plant and equipment fund, the Designated institutional fund, the Accumulated councilcontrolled funds and the UNIZULU Foundation funds. The Property, plant and equipment fund represents the carrying value of property, plant and equipment. The Designated institutional fund is funds that have been designated for specific use. The Accumulated council-controlled funds reflect the University's subsidised activities and also includes the tuition fees. Additions to these funds mainly comprise formula-subsidy, tuition fees and the sales and services of educational activities, as well as transfers from other funds to finance expenditure. Expenditure mainly comprises direct expenses in academic departments for training, research and community service, as well as other support service expenses, such as academic administration, library facilities, bursaries and loans. Institutional expenses, such as expenses incurred for the executive, student services, information technology and operating costs regarding land and buildings, are also recorded here. The budget of the University, as approved by Council, finds expression in this fund. The UNIZULU Foundation funds are funds related to activities related to the UNIZULU Foundation.

#### 1.7 Foreign Currency Transactions

Foreign currency transactions are accounted for at spot rates, being the exchange rates prevailing at the dates of the respective transactions. Gains and losses arising from the settlement of such transactions and from the translation of monetary assets and liabilities denominated in foreign currencies, are recognised in the consolidated statement of profit and loss in the year in which they arise. Assets and liabilities designated in foreign currencies at the consolidated statement of financial position date are translated at the rates of exchange ruling at the reporting date.

# 1.8 Inventories

Inventories are stated at the lower of cost and net realisable value. Cost is determined by the weighted-average method and includes costs incurred in acquiring inventories and bringing them to their existing condition and location. Net realisable value is the estimated selling price of inventory, should it be sold at arms length, less estimated selling expenses.

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.

# 1.9 Employee Benefits

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 consolidated statement of financial position date. An accrual is made in respect of pro rata service bonuses paid annually to qualifying employees.

#### **Retirement benefits**

The University provides retirement benefits for its employees through defined benefit plans. Liabilities in respect of funded and unfunded obligations are recognised when employees have provided service for benefits to be paid in the future.

#### Defined benefit plans

Defined benefit plans define an amount of pension and post retirement benefit that an employee will receive on retirement, usually dependent on one or more factors such as age, years of service and compensation.

# 1.9 Employee Benefits (continued)

For the defined benefit plans, the pension accounting costs are assessed using the projected unit credit method. Under this method, the cost of providing pensions is charged to the consolidated statement of profit or loss to spread the regular cost over the service lives of employees in accordance with the advice of qualified actuaries, who carry out full valuations of the plans annually. Pension obligations are measured at the present value of the estimated future cash outflows using interest rates of government securities that have terms to maturity approximating the terms of the related liabilities. All actuarial gains and losses are recognised immediately through other comprehensive income in order for the net plan asset or liability recognised in the statement of financial position to reflect the full value of the plan deficit and surplus, as well as taking into consideration the asset ceiling effect.

#### Post-employment obligations

The University operates various post-employment schemes, which are defined benefit funds as defined, which include pension, provident and post-employment medical plan.

# Pension and provident obligations

The liability or asset recognised in the balance sheet in respect of defined benefit pension and provident plans is the present value of the defined benefit obligation at the end of the reporting period less the fair value of plan assets. The defined benefit obligation is calculated annually by independent actuaries using the projected unit credit method.

The present value of the defined benefit obligation is determined by discounting the estimated future cash outflows using interest rates of government bond that are denominated in south african Rands, and that have terms approximating to the terms of the related obligation.

The net interest cost is calculated by applying the discount rate to the net balance of the defined benefit obligation and the fair value of plan assets. This cost is included in post-retirement benefit expense in the statement of profit or loss.

Remeasurement gains and losses arising from experience adjustments and changes in actuarial assumptions are recognised in the period in which they occur, directly in other comprehensive income.

For defined contribution plans, the University pays contributions to publicly or privately administered pension insurance plans on a mandatory, contractual or voluntary basis. The University has no further payment obligations once the contributions have been paid. The contributions are recognised as employee benefit expense when they are due. Prepaid contributions are recognised as an asset to the extent that a cash refund or a reduction in the future payments is available.

# Other post-employment obligations

Post-retirement health care benefits are provided for all employees and retirees who were members of the University's medical schemes prior to 1 August 2005. The entitlement to post-retirement health care benefits is based on employees remaining in service up to retirement age. The expected costs of these benefits are accrued over the years of employment, using the same accounting methodology as used for defined benefit pension and provident plans.

Actuarial gains and losses arising from experience adjustments and changes in actuarial assumptions are charged or credited to funds in other comprehensive income in the year in which they arise. These obligations are valued annually by independent qualified actuaries.

# **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 using the pre-tax effective interest rate.

# Short-term benefits

Short-term employee benefit obligations are measured on an undiscounted basis and are expensed as the related service is provided.

# 1.9 Employee Benefits (continued)

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.

#### Long service awards

Long service awards 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 long service awards 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

# 1.10 Property, plant and equipment

Land and Building assets are measured using revaluation model and reflected at their open market values as determined from time to time by independent property valuer and updated by management to reflect market conditions less any accumulated depreciation. Any accumulated depreciation at the date of revaluation is eliminated against the gross carrying amount of the asset, and the net amount is restated to the revalued amount of the asset. All other property, plant and equipment is stated at historical cost less accumulated depreciation and impairment loss. Historical cost includes expenditure that is directly attributable to the acquisition of the items.

Revaluations of land and buildings are conducted on a regular basis by management with reference to publicly available commercial property indexes appropriate to the University's property portfolio.

The independent valuer provides 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.

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 in the statement of profit or loss.

Items of property, plant and equipment are initially measured at cost with exception of donated property, plant and equipment which are measured at fair value. 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 less than R15 000 are expensed in the year of acquisition. Library books, journals and collections are expensed in the year in which they are acquired.

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.

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-today servicing of property, plant and equipment are recognised in the consolidated statement of comprehensive income as incurred.

# 1.10 Property, plant and equipment (continued)

The University conducts an annual assessment of the useful life and residual values of property, plant and equipment as required by International Financial Reporting Standards, IAS 16 property, plant and equipment and upon identifying significant cost components to these assets depreciates each of the asset's cost components separately according to their assigned useful life and residual values (if applicable).

Land is not depreciated as it is deemed to have an indefinite life. Depreciation on all other assets is calculated on the straight-line method, at rates calculated to write off the costs or revalued amounts of assets, to their residual values over their estimated useful lives, as follows:

Item	Average useful life
Buildings	10-50 years
Furniture and fixtures	10 years
Motor vehicles	10 years
Computer equipment	5 years

Depreciation methods, useful lives and residual values are reviewed at each reporting date and adjusted if appropriate.

#### 1.11 Leases (Comparatives under IAS 17)

A lease is classified as a finance lease if it transfers substantially all the risks and rewards incidental to ownership. A lease is classified as an operating lease if it does not transfer substantially all the risks and rewards incidental to ownership.

#### Finance leases - lessor

The University recognises finance lease receivables in the statement of financial position.

Finance income is recognised based on a pattern reflecting a constant periodic rate of return on the University's net investment in the finance lease.

# Finance leases – lessee

Finance leases are recognised as assets and liabilities in the statement of financial position at amounts equal to the fair value of the leased property or, if lower, the present value of the minimum lease payments. The corresponding liability to the lessor is included in the statement of financial position as a finance lease obligation.

The lease payments are apportioned between the finance charge and reduction of the outstanding liability. The finance charge is allocated to each period during the lease term so as to produce a constant periodic rate on the remaining balance of the liability.

# Operating leases - lessor

Operating lease income is recognised as an income on a straight-line basis over the lease term.

Initial direct costs incurred in negotiating and arranging operating leases are added to the carrying amount of the leased asset and recognised as an expense over the lease term on the same basis as the lease income.

Income for leases is disclosed under revenue in profit or loss.

#### **Operating leases - lessee**

Operating lease payments are recognised as an expense on a straight-line basis over the lease term. The difference between the amounts recognised as an expense and the contractual payments are recognised as an operating lease asset. This liability is not discounted.

Any contingent rents are expensed in the period they are incurred.

#### 1.12 Provisions

Provisions are recognised when the University has a present legal or constructive obligation as a result of past events, it is probable that an outflow of resources embodying economic benefits will be required to settle the obligation, and a reliable estimate of the amount of the obligation can be made.

Provisions are measured at the present value of the expenditures expected to be required to settle the obligation using a pre-tax rate that reflects current market assessments of the time value of money and the risks specific to the obligation. The increase in the provision due to passage of time is recognised as interest expense.

# 1.13 Financial assets and financial liabilities

# Classification

The University classifies its financial assets in the following measurement categories:

- those to be measured subsequently at fair value through OCI, and
- those to be measured at amortised cost.

The classification depends on the University's business model for managing the financial assets and the contractual terms of the cash flows.

For assets measured at fair value, gains and losses will either be recorded in profit or loss or OCI. For investments in equity instruments that are not held for trading, this will depend on whether the University has made an irrevocable election at the time of initial recognition to account for the equity investment at fair value through other comprehensive income (FVOCI).

The University reclassifies debt investments when and only when its business model for managing those assets changes.

# Initial recognition and measurement

At initial recognition, the group measures a financial asset at its fair value plus, in the case of a financial asset at fair value through other comprehensive income (FVOCI), transaction costs that are directly attributable to the acquisition of the financial asset.

#### Equity instruments

The group subsequently measures all equity investments at fair value. There is no subsequent reclassification of fair value gains and losses to profit or loss following the derecognition of the investment for instruments which the group's management has elected to present fair value gains and losses on equity investments in OCI, there is no subsequent reclassification of fair value gains and losses to profit or loss following the derecognition of the investment. Dividends from such investments continue to be recognised in profit or loss as other income when the group's right to receive payments is established. Impairment losses (and reversal of impairment losses) on equity investments measured at FVOCI are not reported separately from other changes in fair value.

# Fair value determination

The fair values of quoted (Level 1) investments are based on current bid prices.

# Student and other receivables

Student and other receivables are measured at amortised cost as both the following conditions are met;

- they are held within a business model whose objective is to hold student debtors and other receivables in order to collect contractual cash flows and
  the contractual terms give rise on specified dates to cash flows that are solely payments of principal on the principal
- the contractual terms give rise on specified dates to cash flows that are solely payments of principal on the principal amount outstanding.

# Reclassification

The University could choose to reclassify a non-derivative trading financial asset out of the held for trading category if the financial asset was no longer held for the purpose of selling it in the near term. Financial assets other than loans and receivables were permitted to be reclassified out of the held for trading category only in rare circumstances arising from a single event that was unusual and highly unlikely to recur in the near term. In addition, the University could choose to reclassify financial assets that would meet the definition of loans and receivables out of the held for trading or available-for-sale categories if the group had the intention and ability to hold these financial assets for the foreseeable future or until maturity at the date of reclassification. Reclassifications were made at fair value as of the reclassification date. Fair value became the new cost or amortised cost as applicable, and no reversals of fair value gains or losses recorded before reclassification date were subsequently made. Effective interest rates for financial assets reclassified to loans and receivables and held-to-maturity categories were determined at the reclassification date. Further increases in estimates of cash flows adjusted effective interest rates prospectively.

# 1.14 Cash and Cash Equivalents

Cash and cash equivalents comprise cash on hand, deposits held at call with banks, and short-term investments in money market instruments, net of bank overdrafts. 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. Where no legal right of set-off exists against bank deposits, bank overdrafts are included under current liabilities in the consolidated statement of financial position. Cash and cash equivalents are initially measured at the fair value and subsequently measured at amortised cost.

# 1.15 Impairment

At each financial year-end date, an assessment of the carrying amounts of property, plant and equipment, investments and other assets is made to determine whether there are any indications of impairment. If such indication exists, the estimated recoverable amounts of the impaired assets are determined and adjusted accordingly. The resultant impairment losses on the differences between the recoverable and carrying amounts are recognised in the consolidated statement of profit and loss, unless the relevant assets are carried at revalued amounts, in which case the impairment losses are reversed against the revaluation reserve.

An impairment loss is reversed only to the extent that an asset's carrying amount does not exceed the carrying amount that would have been determined, net of depreciation or amortisation, had no impairment loss been recognised.

# 1.16 Deferred 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.

# 1.17 Related Parties

Related parties are considered to be related if one party has the ability to control or jointly control the other party or exercise significant influence over the other party in making financial and operational decisions. Key management staff and their close family members are also regarded as related parties. Key management staff are those persons having authority and responsibility for planning, directing and controlling the activities of the University.

# 1.18 Biological assets

An entity shall recognise a biological asset or agricultural produce when, and only when:

- the entity controls the asset as a result of past events;
- · it is probable that future economic benefits associated with the asset will flow to the entity; and
- the fair value or cost of the asset can be measured reliably.

Biological assets are measured at their fair value less costs to sell.

The fair value of livestock is determined based on market prices of livestock of similar age, breed, and genetic merit.

Where market determined prices or values are not available, the present value of the expected net cash inflows from the asset, discounted at a current market-determined rate is used to determine fair value.



# 1.19 Intangible assets

An intangible asset is recognised when:

- it is probable that the expected future economic benefits that are attributable to the asset will flow to the university; and
- the cost of the asset can be measured reliably.

Intangible assets are initially recognised at cost.

Expenditure on research (or on the research phase of an internal project) is recognised as an expense when it is incurred.

An intangible asset arising from development (or from the development phase of an internal project) is recognised when:

- it is technically feasible to complete the asset so that it will be available for use or sale.
- there is an intention to complete and use or sell it.
- there is an ability to use or sell it.
- it will generate probable future economic benefits.
- there are available technical, financial and other resources to complete the development and to use or sell the asset.: and
- the expenditure attributable to the asset during its development can be measured reliably.

Intangible assets are carried at cost less any accumulated amortisation and any impairment losses.

An intangible asset is regarded as having an indefinite useful life when, based on all relevant factors, there is no foreseeable limit to the period over which the asset is expected to generate net cash inflows. Amortisation is not provided for these intangible assets, but they are tested for impairment annually and whenever there is an indication that the asset may be impaired. For all other intangible assets amortisation is provided on a straight line basis over their useful life.

The amortisation period and the amortisation method for intangible assets are reviewed every period-end.

Reassessing the useful life of an intangible asset with a finite useful life after it was classified as indefinite is an indicator that the asset may be impaired. As a result the asset is tested for impairment and the remaining carrying amount is amortised over its useful life.

Internally generated brands, mastheads, publishing titles, customer lists and items similar in substance are not recognised as intangible assets.

Amortisation is provided to write down the intangible assets, on a straight line basis, to their residual values as follows:

Item Patents Computer software, other Useful life 20 years from registration 5 years - indefinite

# 1.20 Prior period errors

The principle that management applies is that all material prior period errors are corrected retrospectively in the first set of financial statements authorised for issue after their discovery by:

Restating the comparative amounts for the prior period(s) presented in which the error occurred; or if the error occurred before the earliest prior period presented, restating the opening balances of assets, liabilities and equity for the earliest prior period presented.

However, if it is impracticable to determine the period-specific effects of an error on comparative information for one or more prior periods presented, the opening balances of assets, liabilities, and equity for the earliest period for which retrospective restatement is practicable (which may be the current period) will be restated.

Further, if it is impracticable to determine the cumulative effect, at the beginning of the current period, of an error on all prior periods, the comparative information to correct the error prospectively from the earliest date practicable will be restated.

#### 1.21 Borrowing costs

Borrowing costs that are directly attributable to the acquisition, construction or production of a qualifying asset are capitalised as part of the cost of that asset until such time as the asset is ready for its intended use. The amount of borrowing costs eligible for capitalisation is determined as follows:

- Actual borrowing costs on funds specifically borrowed for the purpose of obtaining a qualifying asset less any temporary investment of those borrowings.
- Weighted average of the borrowing costs applicable to the university on funds generally borrowed for the purpose of obtaining a qualifying asset. The borrowing costs capitalised do not exceed the total borrowing costs incurred.

The capitalisation of borrowing costs commences when:

- expenditures for the asset have occurred;
- borrowing costs have been incurred, and
- activities that are necessary to prepare the asset for its intended use or sale are in progress.

Capitalisation is suspended during extended periods in which active development is interrupted.

Capitalisation ceases when substantially all the activities necessary to prepare the qualifying asset for its intended use or sale are complete.

All other borrowing costs are recognised as an expense in the period in which they are incurred.

# **1.22** Contingent Liabilities

A contingent liability is a possible obligation that arises from past events and whose existence will be confirmed only by the occurrence or non-occurrence of one or more uncertain future events not wholly within the control of the University, or a present obligation that arises from past events but is not recognised because it is not probable that an outflow of resources embodying economic benefits will be required to settle the obligation or the amount of the obligation cannot be measured with sufficient reliability. If the likelihood of an outflow of resources is remote, the possible obligation is neither a provision nor a contingent liability and no disclosure is made.

#### 1.23 Leases

The University assesses whether a contract is, or contains a lease, at the inception of the contract.

A contract is, or contains a lease if the contract conveys the right to control the use of an identified asset for a period of time in exchange for consideration.

In order to assess whether a contract is, or contains a lease, management determine whether the asset under consideration is "identified", which means that the asset is either explicitly or implicitly specified in the contract and that the supplier does not have a substantial right of substitution throughout the period of use. Once management has concluded that the contract deals with an identified asset, the right to control the use thereof is considered. To this end, control over the use of an identified asset only exists when the University has the right to substantially all of the economic benefits from the use of the asset as well as the right to direct the use of the asset.

In circumstances where the determination of whether the contract is or contains a lease requires significant judgement, the relevant disclosures are provided in the significant judgments and sources of estimation uncertainty section of these accounting policies.

# University as lessee

A lease liability and corresponding right-of-use asset are recognised at the lease commencement date, for all lease agreements for which the University is a lessee, except for short-term leases of 12 months or less, or leases of low value assets. For these leases, the University recognises the lease payments as an operating expense (note ) on a straight-line basis over the term of the lease unless another systematic basis is more representative of the time pattern in which economic benefits from the leased asset are consumed.

The various lease and non-lease components of contracts containing leases are accounted for separately, with consideration being allocated to each lease component on the basis of the relative stand-alone prices of the lease components and the aggregate stand-alone price of the non-lease components (where non-lease components exist).

However as an exception to the preceding paragraph, the University has elected not to separate the non-lease components for leases of land and buildings.



# Property, plant and equipment Ч

Reconciliation of property, plant and equipment - 2019

	Land	Buildings	Furniture and equipment	Motor vehicles	Data & Computer Equipment	Capital - Work in progress	Total
Cost or revaluation Accumulated depreciation and impairment	<b>R '000</b> 71,500 -	R '000 1,086,966 (46,864)	R '000 84,841 (42,408)	R '000 10,088 (3,601)	<b>R '000</b> 29,169 (20,547)	<b>R '000</b> 28,027	<b>R '000</b> 1,310,591 (113,420)
Net book value at 31 December 2019	71,500	1,040,102	42,433	6,487	8,622	28,027	1,197,171
Net book value at	71,500	1,055,568	40,364	5,883	10,734	19,826	1,203,875
	ı	7,553	8,795	1,870	1,651	27,811	47,680
Uisposais and scrappings - cost				(cac)	(007)		(neg)
Transfers	'	266	•	•	•	(266)	•
Depreciation	'	(22,017)	(6,726)	(201)	(3,478)		(32,922)
Impairment loss	'	(1,999)				(18,613)	(20,612)
	71,500	1,040,102	42,433	6,487	8,622	28,027	1,197,171

UNIVERSITY OF ZULULAND Annual Financial Statements for the year ended 31 December 2019

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# Property, plant and equipment (continued)

Reconciliation of property, plant and equipment - 2018

	Land	Buildings	Furniture and equipment	Motor vehicles	Data & Computer	Capital work in progress	Total
Cost or revaluation Accumulated depreciation and impairment	<b>R '000</b> 71,500	<b>R '000</b> 1,080,465 (24,897)	R '000 76,489 (36,125)	R '000 9,873 (3,990)	Equipment R '000 28,227 (17,493)	<b>R '000</b> 19,826 -	<b>R '000</b> 1,286,380 (82,505)
Net book value at 31 December 2018	71,500	1,055,568	40,364	5,883	10,734	19,826	1,203,875
Net book value at beginning of vear	70.792	1.041.170	34,489	5.697	11.838	16.383	1,180,369
Additions		1,957	12,018	938	2,497	3,443	20,853
Disposal				'	(31)		(31)
Revaluations	708	37,447			` <b>'</b>	•	38, 155
Depreciation	1	(24,897)	(6,129)	(752)	(3,570)		(35,348)
Impairment loss		(109)	(14)	'	'		(123)
	71,500	1,055,568	40,364	5,883	10,734	19,826	1,203,875

# Impairment and reversal of impairment

Impairment indicators were identified relating to University buildings at Kwadlangezwa campus. These buildings were burnt by students during protest action. As a result, the buildings were tested for impairment by comparing the carrying amount to its recoverable amount. As a result, an impairment charge of R -1 999 (2018: R -109) was recorded in other operating expenses in profit or loss for the year. Recoverable amount determined for these buildings is fair value less cost to sell amounting to R0.

considerable amount of time and there's no possibility of completion. As a result, these projects (WIP) were tested for impairment by comparing the carrying amount to its recoverable amount. As a result, an impairment charge of R -18 613 (2018: R -0) was recorded in other operating expenses in profit or loss for the year. Recoverable amount determined for these projects (WIP) is fair value less cost to sell amounting to R0. Impairment indicators were identified relating to WIP recognised. These projects (WIP) have been stagnant for

A register of land and buildings is available for inspection at the University's business address. 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.

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# 2. Property, plant and equipment (continued)

The land on which the buildings at KwaDlangezwa Campus is situated, does not belong to the University. The University has the right of use of this land.

The Richards Bay campus was erected by the University during the 2009 financial year. 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.

Buildings erected at KwaDlangezwa comprise the following: lecture theatres, library, administration offices, student residences, staff housing and utilities.

# Valuation processes of the University

The University engages external, independent and qualified valuers to determine the fair value of land and buildings. A formal valuation is performed on a periodic basis. As at 31 December 2018, the fair values of the land and buildings have been determined by professional valuers, Mills Fitchet, registered with South African Council for the Values Profession in terms of the Property Values Profession Act (Act No. 47 of 2000).

# Sensitivity analysis

A sensitivity analysis on the assumptions of the valuation was done and the valuation of land and buildings did not change materially. A positive outlook on the input variables would result in an decrease of 2%, while a negative outlook on the input variables would have the following impact the carrying values of land and buildings.

	Increase	Decrease
	2019	2019
	R '000	R '000
Change in value	11,116	(22,232)



# 3. Biological assets

# Reconciliation of biological assets - 2019

	Opening balance	Disposals	Gains (losses) arising from changes in fair value	Total
Distantiant	R '000	R '000	R '000	R '000
Biological assets	65	(19)	(5)	41
Reconciliation of biological assets - 2018				
		Opening balance	Additions	Total
		R '000	R '000	R '000
Biological assets	-	-	65	65
Non – Financial information				
Quantities of each biological asset			2019	2018
Sheep			41	60
Dairy cattle			2	3
			43	63

Livestock is held for experimental purpose. It consists of cattle and sheep. Fair values of livestock are based on market prices of similar livestock at year-end. Fair values are within level 3 of the fair value hierarchy.

# 4. Intangible assets

# Reconciliation of intangible assets - 2019

	Opening balance	Additions	Amortisation	Total
	R '000	R '000	R '000	R '000
Patents	329	-	-	329
Computer software	9,188	7,296	(354)	16,130
	9,517	7,296	(354)	16,459

# Reconciliation of intangible assets - 2018

	Opening balance	Additions	Amortisation	Total
	R '000	R '000	R '000	R '000
Patents	307	22	-	329
Computer software	9,546	349	(707)	9,188
	9,853	371	(707)	9,517

During the year management revised the useful life of computer software. The effect of this revision has decreased the amortisation charges for the current and future periods by R354 000.

	2019	2018 Restated *
	R '000	R '000
5. Financial assets at fair value through other comprehensive income		
Financial assets at fair value through other comprehensive income		
Listed equities	254,880	183,979
Money market	29,814	154,122
International investments	132,301	70,103
	416,995	408,204
Government bonds		
Fixed income investments	142,536	113,792
Financial assets at fair value through other comprehensive income		
reconciliation Opening balance	521,996	526,732
Additions	243,914	22,752
Disposals	(225,512)	(11,785)
Revaluations	19,133	(15,703)
	559,531	521,996
Analysed as:		
Current portion of financial assets at fair value through other comprehensive income	29,815	95,880
Non-current financial assets at fair value through other comprehensive income	529,716	426,116
	559,531	521,996

Investments held by the University of Zululand 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 (Financial assets at fair value through other comprehensive income) invested with Rand Merchant Bank with a market value of R29 million (2018 - 51,1 million) has been ceded to the Development Bank of Southern Africa (DBSA). The amount ceded to DBSA as outlined in the cession agreement is R25 million (2018 - 48.9 million) (refer note 12).

# 6. Inventories

Stationery, technical stores and consumables	7,004	6,890
Inventories (write-downs)	7,004 (365)	6,890 (882)
	6,639	6,008

# Amounts recognised in profit or loss

Inventories recognised as an expense during the year ended 31 December 2019 amounted to R5.3 million (2018 - R3.6 million). These were included in Other operating expenses.



	2019	2018 Restated *
	R '000	R '000
7. Student and other receivables		
Student receivables	171,767	178,958
Less: Allowance for expected credit losses for student receivables	(97,377)	(91,643)
Net Student receivables	74,390	87,315
NSFAS and other bursaries receivable	152	152
Prepaid expenses	31,625	44,219
Other receivables	32,777	18,235
Less: Allowance expected credit losses for other receivables	(450)	(450)
	138,494	149,471

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 expected credit losses. The carrying amounts approximate the fair value.

The ageing of student receivables is as follows:

Short-term deposits

Students enrolled in current year Students enrolled for prior years Less: Allowance for expected credit losses	110,285 61,442 (97,337)	135,593 43,365 (91,643)
	74,390	87,315
Movement in the allowance for impairment of student receivables were as follows:		
Balance at 1 January Provision for student and other receivables Receivables written off during the year	91,643 21,622 (15,928)	93,458 32,999 (34,814)
Balance at 31 December	97,337	91,643

Included in student debt written off is an amount of R3,6m (2018 = R0) that was fraudulently debited on student accounts and written off after a full investigation by the University. This amount has also been claimed from the University's insurance providers. However, the contingent asset has not been recognised as a receivable at 31 December 2019 as receipt of the amount is dependent on the outcome of the insurers process.

The remainder of student debt written off is as a result of student defaults.

Balance in the expected credit losses for other receivables were as follows:

Balance at 1 January	450	450
8. Cash and cash equivalents		
Cash and cash equivalents consist of:		
Petty Cash Bank balances	71 40,477	36 32,935

The University has a credit and fleet card facility of R0.787 million (2018: R0.787 million) and other facilities of R1.03 million (2018: R1.03 million), which are available, if required, to finance its short-term working capital needs. The overdraft rate, when applicable, is linked to the prevailing prime bank rate and at 31 December 2019 was 10.00% per annum (2018: 10.25%).

Interest is earned on call accounts and short-term notice deposits at current market rates. The weighted average interest rate for 2019 was 7.8% (2018: 7.8%).

The cash at bank and short term bank deposits are held in institutions with an AA-rating. (Fitch Rating)

1,920,309

1,960,857

1,656,369

1,689,340

	2019	2018 Restated *
	R '000	R '000
9. Post-retirement obligations		
These post-retirement benefit obligation exposes the University to actuarial risks, such as interest rate risk and market (investment) risk.	longevity risk, cur	rency risk,
The assets of the University of Zululand Pension Fund and University of Zululand Provident Fu the University of Zululand's assets in a separate trustee-administered fund. Members of the fu to the Board of Trustees that governs the fund.		
Defined benefit plans		
Medical aid	(110,946)	(99,58
Pension Fund		
The University's obligation towards the post-retirement provident fund benefits was actu December 2019 by ACA Employee Benefits and is disclosed in accordance with Internation Employee Benefits, as follows:-		
Consolidated statement of financial position	(4.004.000)	054.05
Present value of funded obligations Fair value of plan assets	(1,034,666) 1,194,486	(951,05 1,014,64
Asset Ceiling	(159,820)	(63,58
Amount recognised in the net surplus		
Service cost Net Interest	(104,684) 6,321	(109,57 8,20
	(98,363)	(101,36
Amount recognised in other comprehensive income		
Actuarial gains/(losses) on Plan Asset	33,494	(108,06
Actuarial gains/(losses) on Plan Obligation Asset Ceiling	52,807 (96,233)	107,19 (2,18
	(9,932)	(3,05
Reconciliation of movement in the obligation recognised		
in the consolidated statement of financial position	051 055	025.24
Opening Balance Interest Cost	951,055 96,569	935,34 89,59
Current Service Cost	104,684	109,57
Benefits Paid	(64,835)	(76,26
Re-measurement recognised in other comprehensive income	(52,807)	(107,19
	1,034,666	951,05
Descentilization of measurement in the second recommised		
		996,74
in the consolidated statement of financial position	1,014,643	
<b>in the consolidated statement of financial pos</b> ition Opening Balance Expected Return	102,890	97,80
<b>in the consolidated statement of financial position</b> Opening Balance Expected Return Contributions	102,890 108,295	97,80 104,42
<b>in the consolidated statement of financial position</b> Opening Balance Expected Return Contributions Benefits Paid	102,890 108,295 (64,835)	97,804 104,424 (76,26
Reconciliation of movement in the asset recognised in the consolidated statement of financial position Opening Balance Expected Return Contributions Benefits Paid Re-Measurements Recognised In Other Comprehensive Income Asset Ceiling	102,890 108,295	97,804 104,424 (76,265 (108,065 (63,586

Θ

	2019 R '000	2018 Restated * R '000
	K 000	R 000
9. Post-retirement obligations (continued)		
Key Valuation Assumptions		
Pre-retirement discount rate	10.01 %	9.94 %
Expected return on assets	10.01 %	9.94 %
Salary Increase rate (excluding merit increases)	7.95 %	8.42 %
Pension Increase rate	3.87 %	4.17 %
General inflation rate	5,95 %	6.42 %
Post-retirement discount rate	5.91 %	5.54 %

# 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.

	Increase 2019	Decrease 2019
Discount rate (1% movement)	130,711	(163,547)
Salary inflation (1% movement)	54,413	(47,539)
Post-retirement mortality (1.9% increase/1.8% decrease)	18,962	(19,482)
	204,086	(230,568)

The above sensitivity analyses are based on a change in an assumption while holding all other assumptions constant. In practice, this is unlikely to occur, and changes in some of the assumptions may be correlated. When calculating the sensitivity of the defined benefit obligation to significant actuarial assumptions the same method (present value of the defined benefit obligation calculated with the projected unit credit method at the end of the reporting period) has been applied as when calculating the defined benefit liability recognised in the statement of financial position.

The University expects to pay R117 million in contributions to pension fund during 2020 in respect of its in-service members.

The weighted average duration of the pension fund obligation is 12 years (2018 - 13 years).

# Provident fund

<b>Consolidated statement of financial position</b> Present value of funded obligations Fair value of plan assets Asset Ceiling	(144,845) 163,675 (18,830)	(139,085) 142,200 (3,115)
	-	-
Amount recognised in the net surplus		
Service cost Net Interest	(10,606) 310	(11,488) 687
	(10,296)	(10,801)
Amount recognised in other comprehensive income		
Actuarial gains/(losses) on Plan Asset	1,497 13,568	(16,682) 12,648
Actuarial gains/(losses) on Plan Obligation Asset Ceiling	(15,715)	3,964
	(650)	(70)
Reconciliation of movement in the obligation recognised in the consolidated statement of financial position		
Opening Balance Interest Cost	139,085 14,040	146,239 13,643
Current Service Costs	10,606	11,488
Benefits paid	(5,318)	(19,637)
Re-Measurements Recognised In Other Comprehensive Income	(13,568)	(12,648)
	144,845	139,085

	2019	2018 Restated *
	R '000	R '000
9. Post-retirement obligations (continued)		
Reconciliation of movement in the asset recognised		
in the consolidated statement of financial position	1 10 000	
Opening Balance	142,200	153,318
Expected Return Contributions	14,349	14,330
Benefits Paid	10,946 (5,318)	10,871 (19,637)
Re-Measurements Recognised In Other Comprehensive Income	(3,318) 1,497	(16,682)
Asset Ceiling	(18,829)	(10,002)
	144,845	139,085
Key Valuation Assumptions		
Pre-retirement discount rate	10.01 %	9.94 %
Expected return on assets	10.01 %	9.94 %
Salary increase rate (excluding merit increases) Pension increase rate	7.95 % 3.87 %	8.42 % 4.17 %
General inflation rate	5.95 %	6.42 %
Post-retirement discount rate	5.91 %	5.54 %
Sensitivity analysis	Increase D	ecrease
	2019	2019
Discount rate (1% movement)	(18,152)	22,332
Salary inflation (1% movement)	6,548	(5,882)
Post-retirement mortality (1.6% increase/1.7% decrease)	2,330	(2,407)
	(9,274)	14,043

The above sensitivity analyses are based on a change in an assumption while holding all other assumptions constant. In practice, this is unlikely to occur, and changes in some of the assumption while holding an other assumptions constant. In sensitivity of the defined benefit obligation to significant actuarial assumptions the same method (present value of the defined benefit obligation calculated with the projected unit credit method at the end of the reporting period) has been applied as when calculating the defined benefit liability recognised in the statement of financial position.

The University expects to pay R11 million in contributions during 2020 in respect of its in-service members.

The weighted average duration of the provident fund obligation is 12 years (2018 - 13 years).

Plan assets comprise:	Pension fund 2019 R '000	Provident 2019 R '000	Pension fund 2018 R '000	Provident 2018 R '000
Listed equities	487,350	58,596	442,384	52,898
Capital market	218,591	25,042	221,192	31,711
International investments	330,873	39,937	242,500	31,000
Money market	76,447	22,587	56,820	14,931
Property market	81,225	17,513	51,747	11,660
	1,194,486	163,675	1,014,643	142,200

		2019	2018 Destated *
		R '000	Restated * R '000
9. Post-retirement obligations (continued)			
Medical Aid			
The University's obligation towards the post-retirement medical aid ob 2019 by van der Linden Actuaries and is disclosed in accordance with			31 December
Consolidated Statement of Financial Position Present value of funded obligations		110,946	99,581
Amount recognised in the net surplus		(4.44	
Service cost Net Interest		(1,419 (9,673	
		(11,092	2) (10,419
Amount recognised in other comprehensive income			
Actuarial gains/(losses) on Plan Obligation		(6,500	0) 2,320
Reconciliation of movement in the obligation recognised in the consolidated statement of financial position			
Opening Balance Current Service Cost		99,581 1,419	
Benefits Paid		(6,227	7) (6,535
Interest Cost Re-measurement recognised in other comprehensive income		9,673 6,500	
		110,946	99,581
Key Valuation Assumptions			
Discount Rate		10.24 %	10.02 %
Medical inflation rate Net discount rate		7.55 % 2.50 %	7.34 % 2.50 %
Members remaining after retirement		75.00 %	75.00 %
Sensitivity Analysis	1% increase	Valuation 1 basis	% decrease
Employer's accrued liability	11,170	110,945	(9,682)
Employer's service and interest cost	253	1,578	(211)

The above sensitivity analyses are based on a change in an assumption while holding all other assumptions constant. In practice, this is unlikely to occur, and changes in some of the assumptions may be correlated. When calculating the sensitivity of the defined benefit obligation to significant actuarial assumptions the same method (present value of the defined benefit obligation calculated with the projected unit credit method at the end of the reporting period) has been applied as when calculating the defined benefit liability recognised in the statement of financial position.

The weighted average duration of the provident fund obligation is 12.6 years (2018 - 12.6 years).



2019	2018
R '000	Restated * R '000

# 10. Deferred income

Government Grants of R119 million (2018: R236 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.

Non-current liabilities Current liabilities	1 328 033 79 870	1 210 158 84 091
	1 407 903	1 294 249
DHET grant funding		
Utilised portion relating to Property, plant and equipment* Phase 1 Pre-2014 Infrastructure	233 526 5 105	217 852 9 792
Phase 2 Main infrastructure project	531 390	512 832
Infrastructure and efficiency grant - Maintenance Infrastructure and efficiency grant - 2016/17 Historically disadvantaged institutions - 2016/17	37 313 318 483 211 652	34 770 287 341 156 413
	1 337 469	1 219 000

*The portion of the grants that are utilised for the acquisition of Property, plant and equipment, forms part of the balance of Deferred government grants, and is amortised over the useful life of the asset.

# Other operational grants

Trust Funds	14 019	13 095
National Research Fund	15 350	28 106
Research Development Grant	-	6 017
Teaching Development Grant	-	3 303
Clinical Training Grant	4 862	427
New Generation of Academics Grant	25 891	19 761
UCDP	7 369	-
USDP Collaboration Project	2 943	4 540
	70 434	75 249

# Deferred government grants reconciliation

Opening net carrying amount Grants received during the year	1 294 249 119 093	1 028 422 236 363
Interest earned	80 461	69 868
Grants realised	(85 900)	(40 404)
Closing net carrying amount	1 407 903	1 294 249



2019	2018
R '000	Restated * R '000
 	11 000

# 11. Provisions

# Reconciliation of provisions - 2019

	Opening balance	Additions	Utilised during the year	Total
	R '000	R '000	R '000	R '000
Long service awards	-	3,361	-	3,361
Leave pay accrual	67,497	10,929	(8,363)	70,063
Bonus accrual	12,066	33,041	(31,491)	13,616
	79,563	47,331	(39,854)	87,040

# Reconciliation of provisions - 2018

	Opening balance	Additions	Utilised during the year	Total
	R '000	R '000	R '000	R '000
Leave pay accrual	61,549	12,923	(6,975)	67,497
Bonus accrual	10,366	29,694	(27,994)	12,066
	71,915	42,617	(34,969)	79,563

An accrual is made for the estimated liability for annual leave, bonus and long service awards 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.

# 12. Interest-bearing borrowings

# 12.1. Interest-bearing borrowings

Total non-current borrowings	21,982	24,506
Current liabilities Current portion of DBSA loan	2,729	2,523
Non-current liabilities Development Bank of South Africa (DBSA) loan	19,253	21,983

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% (2018:5%-11.42%).

The DBSA loan is secured in terms of a cession over a specific investment portfolio with a market value of R29 million (2018 - R51.1 million). The amount ceded to DBSA as outlined in the cession agreement is R25 million (2018 - R48.9 million) (refer to note 5).

In addition, the University has an undrawn loan facility of R51 million, which will be secured by a specific investment portfolio upon withdrawal.

	2019	2018 Restated * R '000
	R '000	
13. Trade and other payables		
Creditors and accruals	86,572	118,600
Student deposits	165,164	137,476
Other payables	27,038	27,992
Total accounts payable and accrued liabilities	278,774	284,068

Accounts payables and other accrued liabilities approximate fair value.

# 14. Operating surplus (deficit)

Operating surplus (deficit) for the year is stated after charging (crediting) the following, amongst others:

Auditor's remuneration - external Audit fees	6,176	7,937
Auditor's remuneration - internal	2,395	2,618
<b>Other</b> Research and development costs Acquisition related costs in business combinations Books and periodicals	15,163 35,694 21,210	15,053 26,788 15,737

# 15. Personnel costs

	Academic Professional R '000	Other Personnel R '000		
Salaries and wages	271,435	139,828	411,263	347,694
Education subsidy	3,438	2,058	5,496	6,390
Leave pay expense	3,737	7,191	10,928	13,106
Bonus expense	18,119	14,922	33,041	29,372
Contributions to retirement funds	40,301	14,555	54,856	87,144
Total personnel costs	337,030	178,554	515,584	483,706
Average number of persons employed during the year:				
Full-time			1,020	1,027
Part-time			125	248

1,145

1,275

0	) 0
0	

	2019	2018 Restated *
	R '000	R '000
16. Investment income and Finance costs		
Dividend income From investments in financial assets measured at fair value through profit or loss:		
Listed investments	9 360	6 903
Interest income From investments in financial assets: Income from investments Realised gains on sale of investments	73 203 232	53 500 78
Total interest income	73 435	53 578
Total investment income	82 795	60 481
17. Finance costs		
Interest: Borrowings Other interest paid	1 846	2 061 67
Total finance costs	1 846	2 128

# 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 provision has been made for taxation.

# 19. Cash generated from operations

Net surplus for the year	172 190	38 405
Adjustments for:		
Depreciation and amortisation	33 275	36 055
Devaluation of assets	-	2 878
Dividend income	(9 360)	(6 903)
Interest income	(73 203)	(53 500)
Finance costs	<u></u> 1 846	2 128
Profit on sale of financial assets at fair value through other comprehensive income	(232)	(78)
Loss on sale of shares	367	2 737
Non cash post retirement cost	18 479	(12 696)
Decrease/(increase) in post-retirement medical aid benefits	-	1 564
and pension		
Movements in employee benefits	7 477	7 648
Inventory Write down	365	-
Changes in working capital:		
(Increase)/decrease Inventories	(114)	937
(Increase)/decrease in receivables	10 977	(6 626)
Increase/(decrease) Accounts payable and accrued liabilities	(5 294)	120 038
Increase Deferred government grants	113 654	265 827
	270 427	398 414



2019	2018
D 1000	Restated *
R '000	R '000

# 20. Commitments

At the reporting date, the budget for the following expenditure was approved but not recognised in the consolidated annual financial statements as it was not yet contracted for:

University funded Property, plant and equipment University capital budget University contribution to DHET grants	78,051 104,217	37,458 104,217
	182,268	141,675
Grants funded by the Department of Higher Education and Training (DHET)		
Phase 2 Main infrastructure project Phase 1 Pre-2014 Infrastructure Infrastructure and efficiency grant - 2016/17 Historically disadvantaged institutions - 2016/17	534,875 5,105 318,483 211,652	512,832 9,792 287,341 156,413
	1,070,115	966,378
Operating leases – as lessor (income)		
Rentals for premises receivable as follows: - within one year - in second to fifth year inclusive	89	351 89
Certain of the University's property is held to generate rental income. Lease agreer terms from 3 to 6 years. There are no contingent rents receivable.	ments are non-cancellable a	and have
At the reporting date, the following amounts were approved and contracted for but annual financial statements as no cost was incurred:	t not recognised in the con	solidated
Approved and contracted for	37,674	6,618

21. Contingent liabilities		
The University has Litigation and Claims amounting to	9,548	5,081



2019	2018
R '000	Restated * R '000
	11 000

# 22. Related parties

Due to the nature of the University's operations and the diverse composition of its stakeholders, the Council takes particular care to avoid conflicts of interest and, accordingly, has adopted a policy requiring declarations of any interests – actual or potential – by members of Council and of its committees. In terms of this policy, transactions with third parties in which a Council or committee member has a direct or fiduciary interest are required to be disclosed and, consequently, must be entered into at arm's length and be in accordance with approved procurement policy.

# Relationship

Subsidiary

University of Zululand Foundation

(6 013)

# **Related party balances**

Inter-company balances between the University of Zululand and University of Zululand Foundation have been eliminated on consolidation.

# Related party transactions

 Bursaries paid to University of Zululand students
 (2 497)

All transactions between the University and the University of Zululand Foundation have been conducted at arm's length.



	Restated *
D 1000	
R '000	R '000

# 23. Prior period error

The correction of prior period error resulted in the following adjustments:

# 23.1 Property, plant and equipment incorrectly devalued

In 2018 financial year heat pumps were devalued to fair value as reflected on report from independent valuer. It was discovered in 2019 financial year that valuation was only done on the structure and not on the heat pump in it's entirety (not the components). An error was corrected to reverse the devaluation recognised in 2018 financial year to reflect the value of heat pump as a whole.

Increase in surplus	-	5,175
(Increase) in depreciation and amortisation	-	(575)
Consolidated Statement of Comprehensive Income Decrease in other operating expenses	-	5,750
Consolidated Statement of Comprehensive Income		
Increase in Property, plant and equipment	-	5,175

# 23.2 Deferred Government grants not deferred

**Consolidated Statement of Financial Position** 

During the year, a review of all government grants received and not yet fully utilised was done. It was identified that conditional government grant (nGap and other Operational Grant) was erroneously recognised in statement of financial performance instead of being deferred.

	-	-
(Increase)/Decrease DHET, Trusts, and Research funds	-	11,296
(Increase)/Decrease Deferred government grants	-	(11,296)

# 23.3 Property, plant and equipment incorrectly expensed

Properties owned by the University were erroneously not included in accounting records. This was identified during the review of its property listed at the deeds offices. Properties concerned included Ngwelezane library and UNIZULU Science Centre.

Consolidated Statement of Financial Position		
Increase/(Decrease) in Property, plant and equipment	-	9,400
(Increase)/Decrease in Accumulated Council-controlled funds	-	(9,509)
	-	(109)
Consolidated Statement of Comprehensive Income		
(Increase)/Decrease in Depreciation and amortisation	-	(109)



# 24. Remuneration of executive management

The following disclosure relates to the compensation paid to members of the Executive management team of the University for the year ended 31 December 2019 as defined in the statute of the University. Remuneration is based on the cost of employment and comprises total cost to the University.

	Dates / Periods of appointment	Basic remuneration R '000	Post- employment benefits R '000	Other benefits R '000	Total 2019 R '000	Total 2018 R '000
Prof XA Mtose (Vice-Chancellor		3,803	962		5,599	4,455
and Principal) Prof SP Songca (Deputy Vice- Chancellor : Teaching and	To December 2018	-	-	-	-	3,053
Learning) Prof MG Mahlomaholo (Deputy Vice-Chancellor : Teaching and Learning)	From January 2019	2,368	552	677	3,597	-
Prof GFD De Wet (Deputy Vice- Chancellor : Research & Innovation)	To November 2019	2,269	529	188	2,986	3,205
Prof SP Seepe (Deputy Vice- Chancellor : Institutional Support)	From August 2019	1,102	-	224	1,326	-
Mr RT Ngcobo (Executive Director : Human Resources)		2,185	-	526	2,711	2,430
Prof MO Ndwandwe (Executive Director : Richards Bay Campus)	To December 2018	-	-	-	-	2,143
Prof MR Kgaphola (Executive Director: Richards Bay)	From October 2019	560	-	42	602	-
Mr Z Mzimela (Executive Director : Finance)	To February 2018	-	-	-	-	619
Mr NO Cele (Executive Director : Institutional Planning)	2010	2,026	472	1,082	3,580	2,678
Mr DE Janse Van Rensburg (Registrar)	To November 2019	1,836	439	1,134	3,409	2,825
(Registrar) Prof D Iyer (Acting Registrar)	From December 2019	88	19	49	156	-
Mr PJ Du Plessis (Executive Director: Finance)	From February 2018	2,027	472	492	2,991	2,437
Ms TM Ramanyimi (Executive Director: Physical Planning and Operations)	From Feb 2018 to 31 Jan 2019	185	-	106	291	1,821
Prof NW Kunene (Dean: Science and Agriculture)	From May 2017	1,333	326	69	1,728	1,660
Prof MC Maphalala (Dean: Education)	From May 2017	1,359	332	116	1,807	1,627
Prof DD Tewari (Dean: Commerce, Administration and	To 31 December	-	-	-	-	1,864
Law) Prof L Greyling (Dean: Commerce, Administration and Law)	2018 From January 2019	1,447	354	40	1,841	-
Prof GH Kamwendo (Dean: Arts)	To May 2018	-	-	-	-	602
Prof AT Nzama (Acting Dean: Arts)	From June 2018 to May 2019	265	35	118	418	648
Prof MA Masoga (Dean: Arts)	From June 2019	740	182	97	1,019	-

24. Remuneration of executive management (continued)									
Prof Gawe (Acting Dean:	From January	1,154	-	244	1,398	1,378			
Students)	2018 to								
	October 2019								
Mr. TS Hlasho (Dean: Students)	From	188	46	20	254	-			
	November								
	2019								
	_	24,935	4,720	6,058	35,713	33,445			

# 25. Payments for attendance at meetings of council and its committees

Remuneration paid for attendance at meetings of the University Council and its committees by external, non-executive members is disclosed below. The agenda and minutes of these meetings can be obtained at the University.

	2019 R '000	2018 R '000
Mr E J B Dube	58	43
Ms PN Maphoshe	-	4
Mr DS Kunji behari	70	49
Mr CV Gamede	-	17
Mr T Kulati	11	-
Dr SZ Mbokazi	-	21
Mr CRM Saunders	24	16
Dr TT Khanyile	-	8
Mr. TC Ngcobo	-	13
Ms N Caluza	65	44
Prof N Makunga	24	28
Dr A Kaniki	19	12
Mr V Mokwena	6	19
Dr D Swemmer	- 36	18 35
Mr N Nkwanyana Ms H Mvubu	10	35 11
Mr TC Madikane	19	3
Ms J Masite	25	6
Mr BKL Mkhize	25	3
Mr S Faku	_	3
Mr. S Mkhize	10	-
Mr M Jarvis	3	-
Ms C Mtebele	5	-
Mr MA Booi	15	-
Dr M Vinger	5	-
Mr SD Zwane	10	-
	415	353

# 26. New Standards and Interpretations

# 26.1 Standards and interpretations in issue not yet adopted

The University has chosen not to early adopt the following standards and interpretations, which have been published and are mandatory for the University's accounting periods beginning on or after 01 January 2020 or later periods:

#### Presentation of Financial Statements: Disclosure initiative

The amendment clarify and align the definition of 'material' and provide guidance to help improve consistency in the application of that concept whenever it is used in IFRS Standards.

The effective date of the amendment is for years beginning on or after 01 January 2020.

The University expects to adopt the amendment for the first time in the 2020 consolidated annual financial statements.

It is unlikely that the amendment will have a material impact on the University's consolidated annual financial statements.



#### 26. New Standards and Interpretations (continued)

# Accounting Policies, Changes in Accounting Estimates and Errors: Disclosure initiative

The amendment clarify and align the definition of 'material' and provide guidance to help improve consistency in the application of that concept whenever it is used in IFRS Standards.

The effective date of the amendment is for years beginning on or after 01 January 2020.

The University expects to adopt the amendment for the first time in the 2020 consolidated annual financial statements.

It is unlikely that the amendment will have a material impact on the University's consolidated annual financial statements.

#### **Conceptual Framework for Financial Reporting**

Amendments to IFRS 2, IFRS 3, IFRS 6, IFRS 14, IAS 1, IAS 8, IAS 34, IAS 37, IAS 38, IFRIC 12, IFRIC 19, IFRIC 20, IFRIC 22, and SIC-32 to update those pronouncements with regard to references to and quotes from the framework or to indicate where they refer to a different version of the Conceptual Framework.

The effective date of the amendment is for years beginning on or after 01 January 2020.

The University expects to adopt the amendment for the first time in the 2020 consolidated annual financial statements.

The amendment are likely to have a high impact on the University's consolidated annual financial statements.

#### **IFRS 16 Leases**

COVID-19-Related Rent Concessions: Amendment providing lessees with an exemption from assessing whether a COVID19related rent concession (a rent concession that reduces lease payments due on or before 30 June 2021) is a lease modification.

The effective date of the amendment is for years beginning on or after 01 January 2020.

The University expects to adopt the amendment for the first time in the 2020 consolidated annual financial statements.

The amendment are likely to have a high impact on the University's consolidated annual financial statements.

#### IAS 1 Presentation of Financial Statements

Classification of Liabilities as Current or Noncurrent: Narrow-scope amendments to IAS 1 to clarify how to classify debt and other liabilities as current or non-current.

The effective date of the amendment is for years beginning on or after 01 January 2020.

The University expects to adopt the amendment for the first time in the 2020 consolidated annual financial statements.

The amendment are likely to have a medium impact on the University's consolidated annual financial statements.

#### IAS 39 Financial Instruments: Recognition and Measurement and IFRS 9 Financial Instruments

Interest Rate Benchmark Reform: The amendments to IFRS 9, IAS 39 and IFRS 7 amend requirements for hedge accounting to support the provision of useful financial information during the period of uncertainty caused by the phasing out of interestrate benchmarks such as interbank offered rates (IBORs) on hedge accounting.

The amendments modify some specific hedge accounting requirements to provide relief from potential effects of the uncertainty caused by the IBOR reform.

In addition, the amendments require companies to provide additional information to investors about their hedging relationships which are directly affected by these uncertainties.

The effective date of the amendment is for years beginning on or after 01 January 2020.

The University expects to adopt the amendment for the first time in the 2020 consolidated annual financial statements.

# 26. New Standards and Interpretations (continued)

It is unlikely that the amendment will have a low impact on the University's consolidated annual financial statements.

# 27. Going concern

Based on the operating results for the past three years, current cash levels and forecasts management and Council have no reason to believe that the University will not be able to continue with its core business in the foreseeable future.

A decision has been taken to dissolve the UNIZULU Foundation as a separate entity and to integrate the activities, staff as well as assets and liabilities of the UNIZULU Foundation into that of the University of Zululand. The timing of the practical implementation of this decision is still not certain at this stage.

The court is yet to provide guidance on the appointment of the administrator who will dissolve the foundation.



# 28. Financial instruments and risk management

#### Financial risk management

# Overview

The University is exposed to the following risks from its use of financial instruments:

- Credit risk;
- Liquidity risk; and
   Market risk (currency risk, interest rate risk and price risk).

#### Credit risk

Credit risk is the risk of financial loss to the University if a customer or counterparty to a financial instrument fails to meet its contractual obligations.

Credit risk exposure arising on cash and cash equivalents is managed by the University through dealing with well-established financial institutions with high credit ratings.

In order to calculate credit loss allowances, management determine whether the loss allowances should be calculated on a 12 month or on a lifetime expected credit loss basis. This determination depends on whether there has been a significant increase in the credit risk since initial recognition. If there has been a significant increase in credit risk, then the loss allowance is calculated based on lifetime expected credit losses. If not, then the loss allowance is based on 12 month expected credit losses. This determination is made at the end of each financial period. Thus the basis of the loss allowance for a specific financial asset could change year on year.

Management apply the principle that if a financial asset's credit risk is low at year end, then, by implication, the credit risk has not increased significantly since initial recognition. In all such cases, the loss allowance is based on 12 month expected credit losses. Credit risk is assessed as low if there is a low risk of default (where default is defined as occurring when amounts are 90 days past due). When determining the risk of default, management consider information such as payment history to date, industry in which the customer is employed, period for which the customer has been employed, external credit references etc. In any event, if amounts are 30 days past due, then the credit risk is assumed to have increased significantly since initial recognition. Credit risk is not assessed to be low simply because of the value of collateral associated with a financial instrument. If the instrument would not have a low credit risk in the absence of collateral, then the credit risk is not considered low when taking the collateral into account. Trade receivable and contract assets which do not contain a significant financing component are the exceptions and are discussed below.

The maximum exposure to credit risk is presented in the table below:

			2019			2018	
		Gross carrying amount	Credit loss allowance	Amortised cost / fair value	Gross carrying amount	Credit loss allowance	Amortised cost / fair value
Student and other receivables	7	138,494	97,827	236,321	149,471	92,093	241,564
Cash and cash equivalents	8	1,960,857	-	1,960,857	1,689,340	-	1,689,340
		2,099,351	97,827	2,197,178	1,838,811	92,093	1,930,904

# 28. Financial instruments and risk management (continued)

# Liquidity risk

The maturity profile of contractual cash flows of non-derivative financial liabilities, and financial assets held to mitigate the risk, are presented in the following table. The cash flows are undiscounted contractual amounts.

2019

		Less than 1 year R '000	1 to 2 years R '000	2 to 5 years R '000	Over 5 years R '000	Total R '000	Carrying amount R '000
Non-current liabilities Interest-bearing borrowings		4,371	4,371	13,113	6,290	28,145	21,982
Current liabilities Accounts payable and accrued liabilities		278,774 <b>283,145</b>	- 4,371	- 13,113	6,290	278,774 <b>306,919</b>	278,774 <b>300,756</b>
2018							
		Less than 1 year R '000	1 to 2 years R '000	2 to 5 years R '000	Over 5 years R '000	Total R '000	Carrying amount R '000
Non-current liabilities Interest-bearing borrowings	12	4,371	4,371	13,113	10,661	32,516	24,506
Current liabilities Accounts payable and accrued liabilities	13	284,068	-			284,068	284,068
		288,439	4,371	13,113	10,661	316,584	308,574



# 28. Financial instruments and risk management (continued)

# Foreign currency risk

# Foreign currency sensitivity analysis

The following information presents the sensitivity of the University to an increase or decrease in the respective currencies it is exposed to. The sensitivity rate is the rate used when reporting foreign currency risk internally to key management personnel and represents management's assessment of the reasonably possible change in foreign exchange rates. The sensitivity analysis includes only outstanding foreign currency denominated amounts and adjusts their translation at the reporting date. No changes were made to the methods and assumptions used in the preparation of the sensitivity analysis compared to the previous reporting period.

# Impact on equity:

US Dollar 1% (2018: 1%)	1 322	(1 322)	453	(453)

# Interest rate risk

# Interest rate profile

The interest rate profile of interest bearing financial instruments at the end of the reporting period was as follows:

	Note	Average ef interest		Carrying amount	
	-	2019	2018	2019 R '000	2018 R '000
Assets Investments at fair value Cash and cash equivalents	- 8	7,00 % 7,82 %	7,74 % 7,82 %	387 180 1 879 422	312 325 1 689 340
			_	2 266 602	2 001 665
Assets Investments at fair value		7,00 %	7,74 %_	142 536	113 791
Liabilities Interest bearing borrowings	12	8,00 %	8,00 %	21 982	24 506



# 29. Fair value information

# Fair value hierarchy

The different levels are defined as follows:

Level 1: Quoted unadjusted prices in active markets for identical assets or liabilities that the University can access at measurement date.

Level 2: Inputs other than quoted prices included in level 1 that are observable for the asset or liability either directly or indirectly.

Level 3: Unobservable inputs for the asset or liability.

# Levels of fair value measurements

Level 1

# Recurring fair value measurements

254,880 29,814 132,301 142,536	183,979 154,122 70,103 113,792
559,531	521,996
559,531	227,902
	29,814 132,301 142,536 <b>559,531</b>

Level 3

# Recurring fair value measurements

Assets	Note(s)			
Biological assets Biological assets	3 41 65			
Total	41 65			

# Reconciliation of assets and liabilities measured at level 3

	Note(s)	Opening balance	Gains (losses) arising from changes in fair value	Additions	Disposals	Closing balance
Assets						
<b>Biological assets</b> Biological assets	3	65	(5)	-	(19)	41
Total	-	65	(5)	-	(19)	41



	Note(s)	Opening balance	Gains/losses recognised in other comprehensiv e income		Sales	Closing balance		
29. Fair value information (continued)								
2018								
Assets								
Biological assets Biological assets	3			65	-	65		
Total	_			65	-	65		

# 30. Events after the reporting period

The Covid-19 (Coronavirus) pandemic emerged after the financial year end of the University. It has a global impact and significantly affects many entities including Universities. Although the effect of the risks and uncertainties surrounding the Covid-19 and its impact on the University's financial position is not known at this stage, a variety of mitigating measures have been, and continue to be, taken by the South African government to prevent the transmission of the virus along with economic support and relief measures aimed at addressing the economic consequences of the outbreak on individuals, households and businesses. The University has undertaken measures to minimise the impact on operations, financial position and performance through;

- Implementing a big drive towards Multimodal Teaching and learning this includes making laptops available to all students and the upgrade of the Learning Management System (Moodle) as well as training of lecturers.
- A Covid Responsiveness Grant of R300m was made available to address the Multimodal Teaching and learning issues as well as campus readiness.
- Undertaking scenario planning for the next 4 years and assessed the financial risk factors in detail.









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