



# ANNUAL REPORT 2021









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*Please note that the financial statements included in the annual report are a shortened version for publication purposes. A full version is available upon request from the Office of the Registrar.*





# FOREWORD FROM THE CHAIR OF COUNCIL

**It is with a sense of pride that I would like to express, on behalf of Council, our appreciation of the manner in which the whole University responded to the pandemic. It remained focused on achieving UNIZULU's vision and mission during the year under review.**

**A** year ago, we reflected on the rapid adjustments that UNIZULU had to make in response to the pandemic. Despite the challenges imposed by its rural-urban environment, the University rose once again to the challenge, providing virtually all teaching and learning and research activities online. Our academic staff worked tirelessly to pivot their work to support student learning while still trying to maintain their teaching and learning as well as research interests. A word of appreciation also goes to our professional services staff who pulled out all the stops to enable the University to function smoothly; and to our students who dealt with the inevitable constraints on their university experience with good grace and humour.

This achievement would not have been possible without the efforts of the leadership team, led by the Vice-Chancellor. They carried the greatest burden of responsibility for ensuring the health and well-being of all in our community, a massive 'thank you' is extended.

Council is satisfied that the Strategic Plan 2016-2021 has been duly completed and we look forward to embarking on the new Strategy 2022-2027. Although we remain exposed to several major external risk factors, we are committed to overcoming all challenges and achieving our strategic goals. I am confident that UNIZULU is taking the right steps to build its capability and brand, taking the University to the next level.

***Despite the challenges imposed by its rural-urban environment, the University rose once again to the challenge, providing virtually all teaching and learning and research activities online. Our academic staff worked tirelessly to pivot their work to support student learning while still trying to maintain their teaching and learning as well as research interests.***



# FOREWORD FROM THE VICE- CHANCELLOR



**UNIZULU holds a special place in South Africa's higher education system. Since its inception in 1960, the University has shown a commitment to innovation and to serving the needs of its community.**

I am proud of our innovative, forward-thinking approach. Our new Strategy 2022-2027 aims to deliver on building a 'smart university' and an authentic African University, which caters for the needs of all stakeholders. Infrastructure development and information technology will be the backbone of achieving future success as UNIZULU expands its footprint in the region. This, coupled with new engineering programmes and infrastructure built at both the Richards Bay as well as KwaDlangezwa campuses, will solidify UNIZULU's position as a fully comprehensive university. We understand the vital role that UNIZULU plays in the community in which it operates and ensuring its sustainability for future generations is of critical importance. The University did allow itself to be defocused by the advent of COVID-19. It remained resilient and ensured that students continue to further their studies with minimal interruptions. Like all institutions of higher learning globally, UNIZULU has had to adapt quickly in 2020 and change its traditional approaches, which have been further refined in 2021. The

University embarked on ramping up its online platforms, which enabled it to provide multimodal teaching and learning. The University held a virtual graduation ceremony in 2020 in response to the raging pandemic. This was a first for UNIZULU.

The University is committed to recruiting staff who can assist in turning these challenges into opportunities, and who see the constant search for quality, efficiency and new opportunities as the highest priority.

The University's greatest asset is its people. I am constantly impressed by the enthusiasm of staff and their commitment to the ideals at the heart of the University: both are qualities that are sought after.

Talent recruitment and retention will define UNIZULU's future. This is critical to the sustenance of creativity, innovation and diversity.





# REPORT OF THE CHAIRPERSON OF COUNCIL

**This report focuses on how the University of Zululand's ('UNIZULU') Council, through its Chairperson, discharged its statutory duty to account for the actions and achievements of the UNIZULU Council ('Council') in the governance of the University during the year 2021.**

## INTRODUCTION

The report not only focuses on the decisions and actions taken by Council, but the effect that 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). The 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. An important focus is also placed on student services, industry opportunities and other significant changes that took place in 2021.

Council, as the custodian of good governance, is guided by the Higher Education Act 101 of 1997 (as amended), the regulations of reporting for Higher Education Institutions (hereinafter referred to as 'the reporting regulations'), the Institutional Statute of the University of Zululand (hereinafter referred to as 'the Statute' or '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').

## STRATEGIC FOCUS

An important role of Council lies in setting and reviewing the University's performance against the approved strategy. The University's five-year strategic focus is outlined in the Strategic Plan 2016-2021 (Strategic Plan 2021). The identified goals are:

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

The Institution's vision, to be a leading comprehensive university providing quality education, has remained its focus during the year under review and great progress has been made toward its achievement. 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 2021 Performance Assessment Report and the Vice-



Chancellor's Report on Administration provide full analyses of the Institution's performance against key performance objectives, which emanate from the Strategic Plan 2021. UNIZULU's performance assessment system has been fully institutionalised. Its strategic performance is assessed by Council annually. Organisational performance for the year under review (as contained in the Annual Performance Plan of the University) was assessed by the Human Resources Committee of Council (HRCC) in terms of its delegated mandate. The assessment included the performance review of the Vice-Chancellor and all executives. Council was satisfied that the strategic focus for the year under review had been achieved.

Council approved the University's new Strategic Plan 2022-2027 (Strategic Plan 2027) during the year under review. The Strategic Plan 2027 will form the basis for reporting in 2022. Council is confident that UNIZULU will continue to achieve its strategic objectives and meet its performance targets in 2022.

## 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. 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.

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 to both fraud and corruption.

The Strategic Plan, together with the 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 of how UNIZULU has positively impacted 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. 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 Strategic Plan, which aims to provide high-quality academic and career-focused programmes that are 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. Community engagement is an integrated part of the academic agenda for 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. These are fundamental to achieving the University's strategic and operational objectives. The commitment to sound risk management practices is aligned to the requirements of the DHET Governance Guidelines. 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. This is evidenced in the Risk Report as well as the Vice-Chancellor's report on management/administration. UNIZULU considers health, safety and well-being management, business continuity and incident management, Information Technology (IT) disaster recovery, as well as fraud management as crucial components of its Enterprise Risk Management Framework (ERMF). 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 and Management Committee (Manco) is functioning optimally, 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. A compliance framework has been developed and various aspects of it are being implemented. Compliance with risk is monitored through the Audit and Risk Committee of Council (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. 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 IT remain the responsibility of the ARCC. The Committee drives strategic leadership on the alignment of IT 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 Information and Communication Technology (ICT) Steering Committee has been established. Its role is to ensure that the University's planning for and invests in IT. This encompasses hardware, infrastructure, software, systems and information that support 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 ERP system aimed at paperless transactions that promote more efficient and secure systems and processes. 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 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.

UNIZULU has embarked on positioning itself as a 'digitally-enabled Smart University'. This implies a shift toward digital transformation and digital optimisation initiatives, as information and technology are seen as major drivers in the University's value creation efforts. UNIZULU accordingly amended its IT strategy, framework and policies toward digital transformation aligned to operational objectives and enterprise risk management, technology architecture and cybersecurity. The Business Continuity Plan (BCP) and Disaster Recovery Plan (DRP) have been implemented since 2017 and form part of the drive of the University toward IT governance that is in line with internationally adopted standards. UNIZULU still has a long way to go in achieving its goal of a digitally-enabled Smart University. The network needs revitalisation, additional cybersecurity systems and monitoring tools, multimedia smart classrooms, an additional fibre network and fully integrated security and surveillance systems. The COVID-19 pandemic created a new normal, and with social distancing practices, UNIZULU has had to widen its limited Wi-Fi coverage. Inconsistent energy supply as a result of loadshedding have a negative impact, causing limited connectivity to both staff and students.

Responding to the requirement for improved teaching technologies and multimedia smart classrooms, UNIZULU embarked on a Proof of Concept testing of the suitability of IdeaHubs to provide state-of-the-art interactive teaching and learning with recorded audiovisual, conferencing, follow-me technologies, and many other exciting embedded features to improve the student learning experience and devolve the delivery of learning material from the traditional classroom to anywhere, anytime access. To bolster identified governance shortcomings and improve service delivery, a project plan has been developed for a complete refresh of UNIZULU's Incident Management System with software license monitoring. The replacement of over 400 academic staff devices has been completed as part of a five-year device replacement strategy. Requirement gathering has also been completed to replace selected key function support staff desktop devices. The project is planned for completion in April 2022.







students may be represented by the SRC. The SRC is part of and is recognised in all discussions related to student matters and forms part of 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. The Enrolment Plan sets UNIZULU on a growth path, 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, 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 (PAIA) is being monitored and no requests for information were denied in 2021. UNIZULU has a Protection of Personal Information (POP) Policy in place in line with legislative requirements as set out in the Protection of Personal Information Act 4 of 2013 (POPI Act) and the framework for HEIs.

UNIZULU established a COVID-19 Hotline, which provided a 24-hour service to staff and students in 2021.

## REMUNERATION OF COUNCILLORS

The University has an approved policy on the payment of honoraria and reimbursement of members of Council and its committees. The policy defines the principles and parameters governing the payment of honoraria to Council members for participation and 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

The University also considered the impact of the COVID-19 pandemic on the University's finances. The main considerations were:

- Impairment of property, plant and equipment and intangible assets. The University assessed whether the impact of COVID-19 triggers an impairment assessment and, whether an asset impairment has occurred.
  - ◊ Due to the nature of the University's owned immovable assets, no risk of impairment was identified as a result of COVID-19 pandemic. The University land and buildings are carried at a revaluation model. The University assessed if the values as at the 2020 financial year end significantly changed in the current financial year. From this assessment, it was determined that the values are not be materially different.
  - ◊ Due to the nature of the University's owned movable assets, no risk of impairment was identified as a result of the COVID-19 pandemic.
  - ◊ Due to the nature of the University's intangible assets, no risk of impairment was identified as a result of the COVID-19 pandemic.
  - ◊ Due to the nature of the University's right of use assets, being external residences and motor vehicle leases, the input assumptions have taken into account the impact of COVID-19 in respect of external residences leases and there was no risk identified for motor vehicles in respect of COVID-19.
- Net realisable value of inventory
  - ◊ The University assessed whether inventory is held at the appropriate carrying value, being the lower of cost or net realisable value, as at 31 December 2021. Due to the nature of inventory being kept by the University, the COVID-19 impact was assessed and no risk was identified. A substantial part of the value of inventories consists of laptops, which are carried at the lower of cost and net-realisable value.
- Recoverability of receivables
  - ◊ Universities are likely to be impacted by the loss of students and significant reductions in debt being





paid due to students experiencing financial or cash flow difficulties.

- ◇ The University of Zululand's student population is mostly funded students, with over 90% of students in 2021 being funded, thus no significant COVID-19 risk was identified in terms of the 2021 financial period.
- ◇ 100% of the non-funded current and long-outstanding debt as at year end is provided for as part of the provision for doubtful debt, which caters for risks such as the COVID-19 financial impact on current and prior students.
- ◇ The majority of the long-outstanding debt owed by students is also part of the various claim methods provided by the National Student Financial Aid Scheme (NSFAS), such as historic debt claims, close-out report claims and top-up claims.
- ◇ Long-outstanding debt not catered for by these claim methods are being collected by the University on a regular basis. The COVID-19 impact of such collections was negligible since the debt that was collected was already provided for as part of the provision for doubtful debts in previous financial years.
- ◇ Adjustments due to the 2020 extended academic year were made on the student debt for 2021 as a result of the COVID-19 pandemic.
- Recognition provisions, including onerous contracts
  - ◇ For a provision to be recognised, there must be a

present obligation (legal or constructive) as at the reporting date as a result of a past event, i.e. there must be an obligating event, it must be probable that the University will have an outflow of economic benefit, and the amount of the obligation can be estimated reliably. Management took into account the impact of the COVID-19 pandemic on all its provisions as at 31 December 2021. No onerous contracts were identified as at year end.

- Debt modifications and breaches of loan covenants
  - ◇ No debt modifications were entered into by the University or loan covenant breaches as a result of the COVID-19 financial impact.
- Revenue recognition
  - ◇ No significant COVID-19 risk was identified on Revenue recognition for the 2021 financial period. However, due to the extension of the 2020 academic year till early March 2021, revenue that was deferred in the 2020 financial year has now been realised in the 2021 financial year.
- Defined benefit retirement schemes
  - ◇ The COVID-19 impact was taken into account by actuaries of the schemes.

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
<b>FINANCIAL</b>	
Net asset or net current asset position (Liquidity – short term)	As at 31 December 2021, UNIZULU has accumulated funds of R2.5 billion and a net current asset position of R2 billion. Compared to the prior year, the net current asset position has improved while the accumulated Council-controlled funds are R1.1 billion.
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 has two amortising loans with the Development Bank of South Africa with a carrying value of R16.3 million and the University 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 have been generated. The positive net operating cash flows before investing activities totalled R234 million (2020: R613 million). After investing and financing activities, the net cash flow generated was R31 million (2020: R420 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 R2.5 billion. A surplus of R189.8 million was generated for the year ended 31 December 2021. 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 R18.3 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 below the 62% benchmark.
Inability to pay creditors on due dates	UNIZULU has adequate funds to pay creditors timeously and cash and short-term financial assets exceed current liabilities comfortably.
<b>OPERATING SUSTAINABILITY</b>	
Loss of key management without replacement	The executive team had minimal vacancies during 2021, which is a significant improvement compared to the recent past.
<b>OTHER</b>	
Non-compliance statutory requirements	No significant issues of non-compliance exist.
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	The #FeesMustFall campaign and subsequent announcement of funding for poor and working-class students has changed the funding landscape of higher education in South Africa. UNIZULU should benefit from increased funding due to its historically-disadvantaged status.

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. Based on the considerations and assessment in Table 2, Council has no reason to believe that the University will not be able to continue with its core business in the foreseeable future.

## 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 2021. 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. The approved Spatial Development Framework of the University was used to plan and prioritise infrastructure projects.

### Report on Borrowings or Additional Borrowings

No additional borrowings were incurred in the current year. Total borrowings as at December 2021 equalled R16.3 million compared to R19.3 million in 2020. All loan funding is properly approved in accordance with the provisions of the HE Act. The University recognised lease liabilities and the respective right of use assets in line with IFRS16.



## Contracts Management and Tenders

During the 2021 financial year, the University awarded several tenders to suppliers in the built environment. 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 signs off on the specifications before it is advertised; a Tender Evaluation Committee evaluates the tender responses received and makes a recommendation; and finally the Tender Committee finalises the decision on the awarding of tenders. The following were committee members during the 2021 financial year:

**Table 3: Tender Committee Composition**

TENDER SPECIFICATION COMMITTEE	TENDER EVALUATION COMMITTEE	TENDER ADJUDICATION COMMITTEE
Mr N. Cele (Chair) Prof. M. Masoga Ms C. Ngxito Ms L. Vahed Ms G. Nhleko Mr L. Mancini	Mr R.T. Ngcobo (Chair) Prof. N. Mashiyi Mr Z.P. Gumede Prof. N. Mashiyi Dr N. Jili	Prof. S. Seepe (Chair) Mr P.J. du Plessis Prof. N.W. Kunene Mr D. Mothilall

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

- Framework Agreement for Health and Safety Services
- Framework agreement for the appointment of principal contractors
- Framework agreement for the appointment of management contractors
- Framework agreement for Environmental Impact Assessment and Compliance Monitoring Services
- Framework Agreement for Electrical Engineering Services
- Framework Agreement for Mechanical Engineering Services
- Framework Agreement for Landscape Architectural Services
- Framework Agreement for Project Management Services
- Framework Agreement for Geotechnical Engineering Services
- Framework Agreement for Civil Engineering Services
- Framework Agreement for Cost Management Services
- Framework Agreement for Structural Engineering Services
- Framework Agreement for Architectural Services
- Upgrading of ICT Core Infrastructure
- Supply of Vehicles and Fleet Management Services
- Tender for the appointment of a suitable service provider to service and maintain firefighting equipment, fire detection and suppression system
- Tender for appointment of Employee Wellness Services

## Financial Health/Viability

The University was able to increase its Accumulated Council controlled funds and implemented a balanced budget

despite the challenges with COVID-19 and the low fee base as well as the rural location of the KwaDlangezwa Campus. The challenge in the future would be to grow third-stream income through the introduction of a project cost recovery levy on all project income received, industry involvement and active alumni and 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. The introduction of Engineering qualifications would also go a long way for financial sustainability.

## 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 addressed and audit findings related to ICT inadequacies reported by the assurance providers are actively managed. The Finance Department ensured that there were suitably qualified personnel dealing with the recording and approval of financial transactions throughout the year. The scope of reconciliations of accounts in finance has expanded and reconciliations of all significant accounts are done regularly. Quarterly 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 updated. Existing access to the ITS system for finance personnel is reviewed periodically and strict controls exist over new access granted. In addition to this, there's a delegation of authority policy in place to ensure



that there is isolation of responsibilities and opportunities for material control breach.

### **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 ARCC is responsible to assess all areas of risk (financial and non-financial), monitors changes in the University's risk profile and assures that risk management is effective. The Committee establishes materiality levels and determines the University's risk appetite. All risks are considered, which include consideration of their likelihood and the establishment of risk mitigation procedures. The Committee also ensures that the risk register is maintained. The ERMF 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, recognising the need 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 strategy, including the integration of risk management throughout all levels of the University. This is fundamental to achieving its strategic and operational objectives. The commitment to 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 Institution. The ARCC 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, as evidenced in the Report on Risk Exposure Assessment in this Annual Report. A Whistle-Blowers system is in place and is continuously being promoted through awareness campaigns. Occupational Health and Safety (OHS) has also been incorporated into UNZULU's strategy and a new OHS policy has been approved by Council. 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 (the OHS Act).

Council is responsible for the total process of risk management. 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 to 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. Council is not aware of any key risk current, imminent or forecasted that may threaten the sustainability of UNIZULU.

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

The year 2021 was the eighth 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 Act. External Council members with relevant skills and experience chair all Council sub-committees. The induction of new Council and Council Committee members was successfully held on 4 June 2021. The composition of Council and its sub-committees together with a summary of attendance by members at meetings are presented in Tables 4-10. Members were by invitation and internal and external auditors were not included in the tables.



**Table 4: 2021 Composition of Council and Meeting Attendance**

NAME AND CAPACITY	ATTENDANCE PERCENTAGE					
	Feb (sm)	Mar	Jun	Sept	Nov	Attendance %
Mr C. Caluza (Chairperson and Ministerial Appointee)	√	√	√	√	√	100%
Prof. N. Makunga (External Council Member: Ministerial Appointee)	√	√	√	√	√	100%
Dr A. Kaniki (External Council Member: Ministerial Appointee)	√	√	√	√	√	100%
Ms M. Mookapele (External Council Member: Ministerial Appointee)	√	√	√	0	√	80%
Dr M. Mabula (External Council Member: Ministerial Appointee)	-	-	√	0	√	67%
Mr N. Nkwanyana (External Council Member: Convocation Representative)	√	√	√	0	√	80%
Mt S. Zwane (External Council Member: Convocation Representative)	√	0	√	0	0	40%
Mr D. Kunji-Behari (External Council Member: Donor Representative)	√	√	√	√	√	100%
Ms H. Mvubu (External Council Member: Donor Representative)	√	√	√	0	0	60%
ClIr M.G. Mhlongo (External Council Member: uMhlathuze Municipality Representative)	-	-	-	0	0	0%
Mr E. Dube (External Council Member: Mkhwanazi Traditional Authority Representative)	√	√	√	√	√	100%
Ms J. Masite (External Council Member – Council Appointee: Expertise and Experience)	√	√	√	√	√	100%
Adv. M.B. Masuku (External Council Member – Council Appointee: Expertise and Experience)	-	-	√	√	√	60%
Mr T. Madikane (External Council Member – Council Appointee: Expertise and Experience)	√	0	√	√	0	60%
Mr M. Booi (External Council Member – Council Appointee: Expertise and Experience)	0	0	0	√	√	40%
Ms C. Mtebele (External Council Member – Council Appointee: Expertise and Experience)	0	0	√	0	0	20%
Prof. X. Mtose (Internal Council Member: Vice-Chancellor)	√	√	√	√	√	100%
Prof. V.S. Nomlomo (Internal Council Member – Deputy Vice-Chancellor: Teaching and Learning)	-	√	√	0	√	60%
Prof. S.P. Seepe (Internal Council Member – Deputy Vice-Chancellor: Institutional Support)	√	√	√	√	√	100%
Prof. N. Kunene (Internal Council Member – Senate Representative)	√	√	√	√	√	100%
Prof. M. Masoga (Internal Council Member – Senate Representative)	√	√	√	√	√	100%
Ms N. Nongogo (Internal Council Member – Admin and Support Staff Representative)	√	√	√	√	√	100%
Dr L. Ramaccio Calvino (Internal Council Member – Academic Staff Representative)	√	√	√	√	√	100%
Prof. L. Greyling (Internal Council Member: Institutional Forum Chairperson)	√	√	√	√	√	100%
Mr N. Ntshangase (Internal Council Member: SRC Administrator – Convenor)	0	√	0	√	√	60%
Mr W.N. Khumalo (Internal Council Member: SRC Administrator – Coordinator)	√	√	0	√	√	80%

**Table 5: 2021 Composition of the Executive Committee of Council (Counex) and Meeting Attendance**

NAME	2021 MEETINGS AND ATTENDANCE SCHEDULE					
	Mar	June	Aug Sm	Sep	Nov	Attendance Percentage
Ms N. Caluza (Chairperson)	√	√	√	√	√	100%
Mr D. Kunji-Behari (Deputy Chairperson)	√	√	√	√	√	100%
Prof. X. Mtose	√	√	√	√	√	100%
Prof. N. Kunene	√	√	√	√	√	100%
Prof. M. Masoga	√	√	√	√	√	100%
Mr N. Nkwanyana	√	√	√	0	√	80%
Mr E. Dube	√	√	√	√	√	100%

**Table 6: 2021 Composition of the ARCC and Meeting Attendance**

NAME	2021 MEETINGS AND ATTENDANCE SCHEDULE					
	Mar	May	June sm	Sept	Oct	Attendance Percentage
Ms S. Masite (Chairperson)	√	√	√	√	√	100%
Mr C. Saunders (Council Appointee: Experience and Expertise)	0	√	0	√	√	60%
Ms T. Mkhize (Council Appointee: Experience and Expertise)	-	√	√	√	0	80%
Ms N. Caluza External Council member: (Experience and Expertise)	√	√	0	√	0	60%
Ms N. Bobani (Council Appointee: Experience and Expertise)	√	√	√	√	0	80%
Vacant (Council Appointee: Experience and Expertise)						

**Table 7: 2021 Composition of the Finance Committee of Council (FCC) and Meeting Attendance**

NAME	2021 MEETINGS AND ATTENDANCE SCHEDULE					
	Mar	May	June Sm	Sept	Oct	Attendance Percentage
Mr D. Kunji-Behari (Chairperson)	√	√	√	√	√	100%
Prof. X. Mtose	√	√	√	√	√	100%
Mr N.L. Nkwanyana	0	√	√	√	0	60%
Mr S. Mkhize (Council Appointee: Experience and Expertise)	√	√	0	√	√	80%
Mr K. Vilakazi (Council Appointee: Experience and Expertise)	√	√	√	√	√	100%
Ms C. Mtebele (Council Appointee: Experience and Expertise)	0	√	0	√	0	40%
Prof. S.P. Seepe	√	√	√	√	√	100%

**Table 8: 2021 Composition of the Human Resources Committee of Council (HRCC) and Meeting Attendance**

NAME	2021 MEETINGS AND ATTENDANCE SCHEDULE			
	Mar	Jun	Oct	Attendance Percentage
Mr N. Nkwanyana (Chairperson)	√	√	√	100%
Prof. X. Mtose	√	√	√	100%
Mr E. Dube	√	√	√	100%
Mr D. Kunji-Behari	√	√	√	100%
Mr M. Jarvis (Council Appointee: Experience and Expertise)	√	√	√	100%
Prof. L. Greyling	√	√	√	100%
Mr M. Booi	√	0	0	33%
Vacant Internal Council Member				



**Table 9: 2021 Composition of the Planning and Infrastructure Committee of Council (PICC) and Meeting Attendance**

NAME	2021 MEETINGS AND ATTENDANCE SCHEDULE			
	Mar	Jun	Oct	Attendance Percentage
Mr T. Madikane (Chairperson)	√	√	√	100%
Prof. X. Mtose	√	√	√	100%
Dr A. Kaniki	√	√	0	67%
Mr E. Dube	√	√	√	100%
Prof. N. Makunga	0	√	√	67%
Vacant (Council Appointee: Experience and Expertise)				

#### KEY WORDS

√ = Present at a meeting

0 = Absent with or without apology

- = Not a Council/Council Committee member at the 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

## MATTERS OF SIGNIFICANCE CONSIDERED BY COUNCIL

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

Policies, plans, constitutions, reports and manuals

Council approved the following in this category:

- Policy and procedures on:
  - ◊ Research and Academic Staff Promotions
  - ◊ Privacy and Protection of Personal Information
  - ◊ ARCC Charter
  - ◊ Grants and Projects Management
  - ◊ Petty Cash
  - ◊ Financial Aid
  - ◊ Anti-Fraud and Ethics
  - ◊ Risk
  - ◊ Occupational Health and Safety
  - ◊ Gender Equality
  - ◊ Advisory Committees
  - ◊ Quality Assurance
  - ◊ Vendor Management
  - ◊ Fleet Management and Transport
  - ◊ Firearms
  - ◊ Media Communication
  - ◊ Resident Placement
  - ◊ General ICT
  - ◊ Mental Health
  - ◊ Pregnant Students

- ◊ Students with Disability
- ◊ Protective Services Department
- ◊ Traffic and Rules
- ◊ Students, Staff and Contract Workers
- ◊ Preferential Procurement
- ◊ Travel and Accommodation
- ◊ The Use of Cell Phone and Mobile Devices
- ◊ Administration of Contracts
- ◊ Students Disciplinary Code
- ◊ Naming and Renaming of Buildings
- ◊ Management and Administration of Research Funds
- ◊ Delegation of Authority
- 2021 Doctoral Review Improvement Plan
- External Auditors Audit Plan for the year ended 31 December 2021
- PhD Review Self Evaluation Report
- 2021 Risk Report
- 2022 Strategic Risk Register
- 2022 Schedule of Meetings of Council and its Committees

### Students

Council approved the following within this category:

- An increase in tuition and residence fees of 4.6% and 6.6% respectively
- Deferral of 2021/2022 SRC Elections to 6 December 2021
- The 2020/2021 SRC Election results were nullified based on the recommendation of the forensic investigation and that the new process of SRC Elections be initiated

## Convocation

Council will set a date for the next annual general meeting (AGM), subject to legal opinion.

## Academic

Council approved the following within this category, which were submitted to DHET for approval and CHE for accreditation:

- Master of Consumer Science
- Master of Education in Science Education
- Diploma in Engineering in Electronic Communication
- Diploma in Engineering in Process Instrumentation and Control
- Diploma in Engineering in Computer Systems
- BEng Civil Engineering
- Master of Clinical Psychology
- BA Honours in Communication Studies
- MSc Mathematics
- Diploma in Civil Engineering
- Diploma in Electrical Engineering in Power Engineering
- Master of History

Council further approved the request:

- To submit to the Engineering of Southern Africa (ECSA) for endorsement of the Diploma in Mechanical Engineering and Mechatronic Engineering
- To change the faculty name and department to the Faculty of Science, Agriculture and Engineering and Physics and Engineering respectively
- For new entrance requirements: Department of Engineering
- To correct the PhD in Agricultural Science to Doctor of Agricultural Science
- For additional budget for surveillance and Wi-Fi network
- To deviate from the policy and procedures on the award of honorary degrees
- To approve the teach-out plan for Bachelor Curationis in Education and Administration (BCur E et A) in the Department of Nursing

## Human Resources

Council approved the following:

- Appointment of Registrar: Mr D. Mothilall
- Appointment of Deputy Vice-Chancellor: Research and Innovation – Prof. N.W. Kunene
- 2021 salaries increase
- Reduction of accumulative leave
- Conversion of defined benefit to defined contribution

## Finance

Council approved the following within this category:

- Annual Financial Statements for the year ended 31 December 2020
- 2021 Revised Budget
- 2022 Budget
- Bad debt provision and write-off for the year ending 31 December 2020
- IAS36 impairment provision for property plant and equipment for the year ending 31 December 2020
- Proposal to clear historic audit queries

## Strategic

Council approved:

- 2022-2027 Strategic Plan
- 2021 Mid-term Report
- 2022 Annual Performance Plan
- 2020 Annual Report

These reports were duly submitted to DHET, ensuring compliance with the reporting regulations. On 16 November 2021, the performance assessment of the Vice-Chancellor and her executive team was conducted by the Chairpersons of Council and HRCC. After having evaluated and moderated performance ratings, the matter was recommended to HRCC for consideration and approval. On 22 November 2021, HRCC approved the performance ratings for the Vice-Chancellor and executive team. On 25 November 2021, the matter was presented to Council for noting.

## Memberships

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

- On 30 March 2021:
  - ◊ The Vice-Chancellor based on Section 20(3)(9) of the UNIZULU Statute appointed Prof V.S. Nomlomo (Deputy Vice-Chancellor: Teaching and Learning) to serve on Council as the Internal Council Member.
  - ◊ Adv. M. Masuku appointed by Council as External Council Member based on expertise and experience.
  - ◊ Ms T. Mkhize appointed by Council as Independent External Expert with IT Architecture experience to serve on ARCC.
- On 29 June 2021 it was announced that Dr M. Mabula was appointed by DHET as Ministerial Appointee to serve on during the year under review.
- On 29 September 2021 Council extended the term of the following members for six months once off (29 September 2021 – 28 March 2022):
  - ◊ Dr L. Calvino (Internal Council Member: Academic Staff Representative).
  - ◊ Mr E. Dube (External Council Member: Mkhwanazi Traditional Authority Representative).





- ◇ Mr M. Jarvis (Independent External Expert appointed by Council to serve on HRCC).
- ◇ Messrs K. Vilakazi and S. Mkhize (Independent External Experts appointed by Council to serve on FCC)

- ◇ 2017-2020 Audit Action Plan
- ◇ Risk Management and Compliance Report
- ◇ Risk maturity assessment to be conducted by the internal auditors

In addition, Council approved that the 2020/2021 Student Representative Structure be reinstated with the same authority as an elected SRC pending the election of a new SRC in December 2021.

### Honorary Awards

No honorary degrees were approved during the year under review.

## MATTERS OF SIGNIFICANCE CONSIDERED BY COUNCIL SUB-COMMITTEES

A description of each Council sub-committee and its governance responsibilities is provided in the Governance Statement of this Annual Report. The matters considered by each Council sub-committee is provided below:

**ARCC:** The Committee dealt with the following matters:

- Approved the:
  - ◇ 2017, 2018 and 2019 Consolidated External Audit Action Plan
  - ◇ Procurement strategy for the appointment of external auditors for the year ending on 31 December 2022

**FCC:** The Committee approved:

- The 2020 SCM Quarterly I, II and IV reports
- The appointment of the Investment Adviser for the University
- Quarter I, II, and III Reports as well as Quarter IV Reports as at 31 December 2020 related to Directors, Management Accounts, Financial Aid, Student Debt, Creditors, Asset Management, Payroll, Grants and Projects Reports

**HRCC:** The Committee approved:

- The creation of the Administration Position in the Department of Engineering
- The 2021 Academic Secondary and Part-time Appointments
- The HR structure rationalisation
- The upgrading of identified existing posts and the creation of two new positions
- The 2022 academic promotions as set out in the report of the Vice-Chancellor
- The reduction of accumulative leave from 90 to 30 days.
- The conversion of Defined benefit to Defined Contribution retirement funds
- The 2021 performance ratings for the Executive Management



- Ratified the appointment of Prof. S. Ntombela as Dean: Faculty of Education

**Counex:** The Committee approved:

- The Acquisition of land in Richards Bay in the Alton Area
- The Disposal of two University-owned properties at Esikhawini
- The Outcome of the Forensic Investigation of the 2021 SRC Elections
- The Development of the following new programmes:
  - ◊ Master of Consumer Science
  - ◊ Master of Education in Science Education
  - ◊ Diploma in Engineering in Electronic Communication
  - ◊ Diploma in Engineering in Process Instrumentation and Control
  - ◊ Diploma in Engineering in Computer Systems
  - ◊ BEng Civil Engineering
- The Change of names from the:
  - ◊ Faculty of Science and Agriculture to the Faculty of Science, Agriculture and Engineering, and the Department of Physics to the Department of Physics and Engineering
  - ◊ The withdrawal of Master's in Public Administration in respect of Mr J. Zikhali
  - ◊ The intention to extend UNIZULU to Ulundi Campus,
  - ◊ The DHET Governance Indicators Scorecard for Councils of South African Public Higher Education Institutions

## UNRESOLVED MATTERS OF SIGNIFICANCE – COUNCIL AND COUNCIL COMMITTEES

No significant matters that were unresolved affected the Institution during the year.

## CAMPUS DEVELOPMENT

UNIZULU's Master Project List (MPL) was approved in April 2020 marking the first step in the final preparation of the Infrastructure Implementation and Project Management Plan (IIMP). Infrastructure development is monitored through the PICC. The PICC considered the Infrastructure Maintenance Plan, condition assessments and lifecycle plans for all facilities and underground infrastructure linked to the maintenance strategy. Council approved the projects and budget in March 2021. Water and Energy strategies were completed and will be presented at all formal structures in 2022 for endorsement and approval. UNIZULU completed the priority project's detailed designs and submitted them to DHET for consideration and approval. UNIZULU also identified key land parcels in Richards Bay, Ulundi and Vulindlela for future development. Negotiations with various stakeholders is ongoing. Contractors' appointments have been completed and they have all come onboard. In addition to planned works, UNIZULU completed several maintenance works, notably the Administration building and its various components, SSD offices, conversions and additional spaces for offices. Unfortunately, most of the projects were on hold in 2020/2021 as a result of COVID-19, with some progression, as outlined on the next page:



## Engineering Building (Richards Bay)

Work commenced on the New Engineering building in Richards Bay (Phase 1) in October 2021, with expected completion in November 2022. The remaining phases 2 and 3 will commence on 1 May 2022 and is scheduled for completion on 30 November 2023. Phase 4 is scheduled to commence on 1 April 2024 and is scheduled for completion on 30 November 2025. The total estimated project cost for all four phases amounts to R731.5m, providing 19,128m<sup>2</sup> of gross building area and will be able to accommodate 1 154 students by 2026 in accordance with the University Accreditation Programme.

## Madiba House

Madiba House is situated on the West Campus and has been prioritised in 2021 because it is positioned in the middle of, and is tightly integrated with, the new built Package 2 residential structures. The residence is in a severely dilapidated state, with major compliance issues. Its restoration and upgrade will increase the functionality and efficiency of the residence. It is to be re-configured to enable the creation of 'Student Family Pods'; each with its own ablution, laundry and self-catering facilities. The residence is centred around first-year students. Because of this, most of the room modules are to be configured predominately as double rooms, with a few remaining singles to allow a minor degree of flexibility for use by 'mentors' and 'sub-wardens'.

Provision for communal self-catering spaces has also been made within the facility given that cooking would not be allowed in the students' sleep/study rooms. Each 'Student Family Pod' is to be equipped with strategically communal combo washer-dryers. Warden quarters are also provided for. Access control will be implemented via a security kiosk equipped with turnstiles, with appropriate wheelchair access capabilities. Wi-Fi or hardwired internet connectivity is to be provided in each room. The main objective of this project is to allow for 192 student beds in compliance with DHET's space norms and standards, and to address statutory compliance requirements.

## New Student Accommodation

The New Student Accommodation Project strives toward connecting students using public squares and making pedestrian walkways visible. The perimeter block layout will surround the Madiba House to create a safe and dignified environment, subsequently unifying the buildings to become a new student accommodation precinct on the KwaDlangezwa Campus. One access-controlled ground floor entrance from the eastern perimeter will provide access to

the shared courtyards. A centralised area for students to gather will feature a lobby area, seminar rooms, lounges and a laundry. There will be separate entrances and facilities for cleaning staff, a warden flat and sub-warden bedsitter flats reachable through the common use of internal courtyards. From the internal courtyards, each block will be individually accessible via an access control system. Double- and single-bedroom groupings with shared ablutions, kitchens, lounges and study facilities are to be provided in blocks that vary between three and four storeys. The quality of internal spaces, as well as services provided to students, are high on the design agenda and comply with DHET norms and standards. The project will provide an additional 442 student beds, which will activate and rejuvenate the western precinct of the KwaDlangezwa Campus.

## New Shared Facilities: Student Centre

Currently, there is no student centre at the KwaDlangezwa Campus. UNIZULU is implementing a new state-of-the-art student centre building to provide a student supporting centre as well as a facility that is able to provide a link with the local community and industry where creative thinking can happen seamlessly.

## Gatehouse Precinct: Service Entrance and Boundary Fence

The objective of this project is to build and relocate a new gatehouse at the KwaDlangezwa Campus to allow a functional access point to the University and free flow of traffic in and out of the campus. The University's intent in controlling the patterns of access points to an outer physical perimeter fence with gates and access points controlled by a wired/wireless smart system of electronic/electromechanical devices under real-time CCTV surveillance linked to a monitored control system. The underlying principle is that key entry points along the perimeter (community outreach points) are identified and are used to limit and control pedestrian traffic in an attempt to mitigate security threat exposure. This project is key for the safety and security of the University's community of students, staff and local, related stakeholders.

## Bulk Infrastructure

The bulk infrastructure projects that have been identified and earmarked as a priority are intended to support and supplement the operationalisation of facilities that will be constructed at the KwaDlangezwa Campus.

- Internal Roads and Stormwater Management Upgrade: Improve existing roads and stormwater attenuation at key points as identified by the civil engineers

- Upgrade of Hot Water Generation Plants: Improve the capacity of hot water generation plants strategically located throughout the KwaDlangezwa Campus to provide hot water to the student residences and other buildings
- Bulk Electrical Infrastructure Upgrade: Increase the capacity of existing electrical infrastructure in order to provide sufficient power to all the new developments
- Bulk Water and Sewer Infrastructure: Increase the capacity of the existing water and sewer ring main system that services the entire KwaDlangezwa Campus
- Landscaping: Relocating its existing nursery to a more permanent location in order to self-cultivate plants to be used across the KwaDlangezwa and other campuses.

### UNIZULU – Ulundi Campus

UNIZULU will be carrying out a comprehensive project viability study for the proposed new campus at Ulundi as part of a DHET initiative. The Institution's executive team and Council appreciates the support and guidance provided by the DHET team in preparing this submission for the Minister's attention to reprioritise the above-mentioned projects to enable UNIZULU to meet its intended delivery outcomes. The University of Zululand has continued with the design for the projects listed above and has forecast expenditure amounting to R512 850 136 for the current Financial Year 2021/2022. The total funding shortfall based on the current programme amounts to R186 126 435 and is inclusive of ICT projects, bulk infrastructure installations, the Gatehouse And Perimeter Fence Project, as well as the development of the new Ulundi campus. UNIZULU has accrued interest based on the funding received from the previous funding cycles. A request was made to DHET to allow

for the utilisation of the capital interest on funds amounting to R127 420 621 to offset the funding shortfall for the current financial year 2021/2022. If this request is granted, then the total funding required for the current financial period (year 2021/2022) amounts to R58 705 814.

### UNIVERSITY EVENTS AND MEDIA

UNIZULU, through the CMD, remained focused on cultivating communication and marketing practices in line with international standards. During the year under review, UNIZULU's focus was geared towards enhancing internal communication among staff, students and management. CMD also paid attention to all relevant stakeholders informed about the latest UNIZULU developments. The COVID-19 pandemic continued to hamper planned activities, leading to ongoing calendar changes. As a result of limited activities, gatherings and other COVID-19 restrictions, 90% of the events the University hosted were virtual. The highlight was the first-ever virtual graduation ceremonies. This was also prerecorded and was broadcasted on all UNIZULU social media platforms and YouTube channels. Vice-Chancellor's public lectures, which serve to promote the University's intellectual project, were hosted virtually. CMD played a critical role in spearheading these webinars. The number of School Liaison Office's school visits, career fairs and career exhibitions was reduced due to COVID-19. The University managed however, to host most of the career expos and exhibitions, albeit virtually.

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





**Table 10: Institutional Events**

EVENT NAME	DATE	PURPOSE
Interfaculty Opening Ceremonies	Various	First-year students across four University faculties were welcomed by Deans and provided with valuable information and resources to navigate life in a tertiary environment.
Huawei Technologies South Africa Handover	22 February 2021	A handover event by Huawei Technologies South Africa to UNIZULU was held on 22 February 2021 at KwaDlangezwa Campus.
2021 Vice Chancellor's Webinar Launch	10 May 2021	In one of the planned activities, Vice-Chancellor Prof. Xoliswa Mtose launched the webinar series by Prof. Kwesi Prah under the Topic: <i>Democracy, Language and Inclusive Education in the African Context</i> .
2021 Virtual Graduations	Monday 5 – Monday 9 July 2021	To celebrate the achievement milestones showcasing the positive throughput rate for the University. These events are a pinnacle and demonstrate students' success. These ceremonies were hosted virtually due to strict COVID-19 regulations and were a success.
UNIZULU Women's Day	12 August 2021	The Women's Day Celebration was conducted virtually and was attended by 190 UNIZULU women. This year's theme/topic was 'The Power of a Changed Mindset to Success'.
VC's Academic Awards	30 November 2021	The University honoured its top researchers at the Vice-Chancellor's Academic Achievers Awards ceremony, which was held at the Umfolozi Casino, Empangeni. The awards were hosted to acknowledge the work of UNIZULU academics, both in teaching and learning as well as research.
VC's Long Service Awards	3 December 2021	The University paid homage to staff members who have served the Institution in different capacities for several years at the annual Long Service Awards.

Webinars are highly intensive spaces of knowledge-sharing initiatives that are not meant to only respond to broad shifts and changes in the external educational environment, but more importantly, are forward-looking thrusts to support UNIZULU in its transformation into a high-performance institution, as envisaged in the Strategic Plan 2021. In total, 24 webinars took place during the year under review, covering topics such as 'Democracy, Language and Inclusive Education in the African Context' and 'The Generative Nationalism of Robert Mangaliso Sobukwe: Its Implication for Higher Education', to mention a few.

Media coverage remained important for attracting new students, and for creating brand recognition. The right coverage can generate interest from critical stakeholders, attract new talent to the UNIZULU workforce, and help UNIZULU build a reputation as a thought leader in higher education. The University received consistent, positive media coverage. This can be attributed to aggressive publicity activities that were being introduced. The University has a standing advertorial in the *Mercury*. Every month and the University stories are guaranteed for publication in the *Daily News*, *The Star* and *Cape Argus*. Media monitoring is conducted daily. This enables the University to respond timeously to all enquiries (positive and negative) and to ensure continuous reputational

management. Various online platforms were used to foster effective stakeholder communication. This included expert opinion pieces, featured notices, publications and stories. UNIZULU also established an alumni website in 2020 as part of its responsibility to foster excellent alumni relations and strengthen relationships between the University and its community, graduates, friends, students and donors. The alumni website provides all stakeholders with an opportunity to get involved in giving back to the University and to update their profiles when it is necessary.

The University re-invented its *#tag Student Magazine* to make it accessible online, with four content-rich editions published in 2021. UNIZULU also implemented a social media marketing campaign to ensure that the traditional appeal that accompanied graduation was not lost with virtual graduations. This campaign ran for close to two weeks and included uploading memes (before and during graduation week) on Facebook and Instagram; creating and uploading a promo video ahead of graduation; starting a countdown on the UNIZULU website; and covering stories. As a way of enticing the students even further, UNIZULU ran a competition for the best-dressed male and female during the graduation period. This amassed many entries on social media, which was indicative of the fact that some students

still took the time to get dressed up as if they were physically attending their graduation ceremony. All these efforts yielded positive results. It was pleasing to also see coverage of UNIZULU graduation news in the mainstream media.

UNIZULU's website has been revamped in 2021 and successfully launched on 1 December 2021. During the year under review, the site has acquired 263 103 new users with over a million (1 264 071) page views.

## 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 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. Like many other college and university mission statements, the University's mission contains commitments toward the development of students for professional and community responsibilities in a global context. The thrust of leadership development at the Institution focuses on students in elected positions such as the SRC, leaders of the various student organisations, as well as general students to acquire leadership competencies as a graduate attribute. 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 changes the way in which they view life and participate 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 85 societies affiliated with the SRC, ranging from religious to academic, extra-curricular to political. A full report on Student Services is provided in the Report of the Vice-Chancellor as this report provides only a brief overview of student services during the year under review.

### Student Residences

As a rural-based institution, the University strives to provide as much accommodation as possible. In 2021,

UNIZULU had a total of 5 508-bed spaces available at both campuses, comprising 4 050 on campus and 1 458 in off-campus residences. A self-service module through the ITS i-Enabler enables students to apply and accept their rooms. Full-scale residence inspections were conducted and reports were submitted to Council's Planning and Infrastructure Committee. The University continued to advertise for an expression of interest from accommodation service providers. A process of negotiations and inspections commenced for proposed new outsourced residence spaces for the 2022 academic year. Properties found through this process were below expected standards, but the owners have since been advised to raise the bar in line with the DHET policy on minimum norms and standards for Student Housing at Public Universities in South Africa.

UNIZULU continued with the implementation of the COVID-19-compliant residential spaces (ensuring social distances and replenishing of sanitisers in hallways) during the year under review. Cooperation between faculties, Protection Services (PSD) and the Housing Department has ensured a smooth return of students to all residences in line with regulations.

### 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 South Africa's communities. Student Governance and Development support these various societies in ensuring that they 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 allocated from their levy to implement their plans of action. Leadership forums on matters of interest are usually conducted to get broad buy-in from the societies and to ensure shared attributions on institutional matters pertaining to transformation. Faculty councils also participate in faculty board meetings. This ensures that student voices are heard and academic issues are raised. Students were trained on student leadership. This included budgeting and operational plans.

Council implemented an electronic voting system for the SRC elections to mitigate against electoral fraud and related risks. Revisions of the SRC Constitution were approved in 2020 and an Electoral Committee for the 2020/2021 SRC elections were appointed. UNIZULU held a successful SRC election (without objections) on 6 December 2021. The SRC forms part of UNIZULU's governance structures as outlined in the Governance Report.



## Student Health

The provision of healthcare services at the UNIZULU Campus Health Clinic is informed by and resonates with the Strategic Plan 2021. Healthcare services aim to reduce the effects of certain health-related or medical conditions that have been identified as leading causes of mortality and morbidity among students. The advent of the COVID-19 pandemic and related restrictions led to a reduction of students on campus and curtailed delivery of healthcare services. Despite this, UNIZULU continued offering various services to students during the year under review, including: primary health care; HIV testing and treatment; tuberculosis screening; diabetes screening; anti-retro viral treatment rollout; pre-exposure prophylaxis rollout; sexually transmitted infection screening and treatment; gender-based violence awareness; and reproductive health. UNIZULU continued to implement and monitor its 2020 approved COVID-19 plan and strategy, which is based on the Guidelines for Post School Education and Training (PSET) Institution for Management of and Response to the COVID-19 Outbreak – 30 April 2020. UNIZULU also developed a COVID-19 Infection prevention and control plan and guidelines. COVID-19 guidelines were shared with staff and students and monthly COVID-19 data (as far as it relates to students) were collected, analysed and reported to DHET. Daily COVID-19 screening records were kept in line with regulations and all guidance, counselling and support sessions were managed via telephone and online. UNIZULU clinical nurse practitioners were also trained on testing and screening for COVID-19.

## Sports and Recreation

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

## Disability

The dedicated Disability Unit at UNIZULU plays a crucial role in ensuring that students with disabilities are accommodated and can fully enjoy the student experience at the University. Its mission and scope encompasses becoming more inclusive as well as ensuring the protection of the constitutional rights of students with disabilities. As evidenced in the Transformation Report, UNIZULU caters for all students, regardless of their ability, and ensures that they experience a sense of belonging at the University. Many students living with disabilities experience different and unique challenges. This requires appropriately-crafted solutions. Through the unit, students with disabilities have a fulfilling experience while studying for their qualifications. The unit is dedicated to promoting equality, opposing all forms of discrimination and encouraging the participation of all students in university life. Support services entail assessing the needs of the students and thereafter designing responsive programmes. Most recently, the University has established a society for students with disabilities on both the KwaDlangezwa and Richards Bay campuses. Students with disabilities are encouraged to join this society so that they may voice issues of concern. Table 11 provides a six-year overview of the number and nature of the disabilities of students on campus.

**Table 11: Disability Overview (2016-2021)**

YEAR	PHYSICAL		TEMPORARY DISABILITY		SENSORY – HEARING		SENSORY – PARTIALLY SIGHTED		PSYCHO-SOCIAL		OTHER DISABILITIES		TOTAL		TOTALS
	M	F	M	F	M	F	M	F	M	F	M	F	M	F	Comp.
2016	19	18	-	-	-	2	11	7	-	2	7	6	37	35	72
2017	22	24	3	4	-	2	13	16	-	-	13	14	51	60	111
2018	18	23	5	3	2	1	10	15	2	4	15	24	52	70	122
2019	21	19	-	-	3	1	18	15	2	2	13	32	57	69	126
2020	19	21	-	1	3	1	14	16	2	6	12	22	50	66	116
2021	7	9	-	-	7	4	21	27	-	2	42	65	77	107	184
<b>Totals</b>	<b>106</b>	<b>114</b>	<b>8</b>	<b>8</b>	<b>15</b>	<b>11</b>	<b>87</b>	<b>96</b>	<b>6</b>	<b>16</b>	<b>102</b>	<b>163</b>	<b>324</b>	<b>407</b>	<b>731</b>

## WORKING WITH INDUSTRY AND SIGNIFICANT CHANGES

Scoping of the Richards Bay area provides a picture of broad technical industry needs. 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. The programme and qualification mix of the University is evolving in response to several factors: its national classification as a comprehensive University, which requires the development of new University of Technology-type 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. A community engagement strategy and policies on continuing education, combined with institutional steering committees and the Intermediary Platform, facilitate the processes of engaging industries to influence teaching and learning in diverse areas, including curriculum, teaching methods, workplace learning models, entrepreneurship and graduate attributes. UNIZULU continues to integrate wider academic, industrial, governmental, scientific and societal collaborative linkages across the local, regional, national, continental and global networks.

## TRANSFORMATION

A full report on transformation initiatives is contained in the Transformation Report in this Annual Report. UNIZULU has made great strides in achieving the goals and objectives as set out in the Institutional Transformation Plan (ITP), addressing recommendations made by the Commission for Gender Equality (CGE) and UNIZULU has put various mechanisms in place to deal with its transformation imperatives.

## 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 CHE – 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 toward any form of fraud and corruption. The University is sustainable and its 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. The University complies with 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**

***The University Council and all its committees are fully functional and transparent and will continue to govern with a zero-tolerance stance toward any form of fraud and corruption.***  
***The University is sustainable and its financial controls are adequate and effective.***









# PERFORMANCE ASSESSMENT REPORT

The regulatory and legal framework under which UNIZULU operates requires responsiveness and compliance from the University in terms of reporting.

The 2021 APP is an articulation of operational targets set by the executive team in agreement with UNIZULU's Council to map out a performance trajectory and milestones for the 2021 academic year, and to include commitments and/or agreements that


the Council has made with the Minister of Higher Education, Science and Technology (such as enrolment targets, funding envelopes and infrastructure projects) as well as funding performance, financial performance and risk.

## Diagram 1: University of Zululand – Vision and Mission

**Vision:** to be a leading comprehensive university providing quality education.

**Mission:** to produce globally competitive graduates, relevant for the human capital needs of the country, by providing quality education which upholds standards of research and academic excellence.

**Strategy 2016-2021**







“  
**UNIZULU’s Strategic Plan 2021 forms the basis of the APP, which is used as a measurement instrument of institutional performance based on clearly defined key performance indicators (KPIs).**  
”

The Vision of the University and its accompanying Mission remain as relevant now as when they were devised. To ensure the achievement of the Vision and Mission, the University generated six strategic goals (Goals) to enable the University to affect the desired Vision and Mission. The narrative report provides a brief overview of UNIZULU’s achievement of each of the six strategic goals during the year under review.

Table 14 provides an analysis of the achievement of each identified KPI, as evidenced in the APP and derived from the Strategic Plan 2021. Table 15 provides an analysis of Student Enrolment performances against Ministerial-approved targets, while an overview of UNIZULU’s Funding Envelopes and Infrastructure Projects’ progress is contained in Table 16.

**Diagram 2: University of Zululand Strategic Goals**





## 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 2021.



**CHANCELLOR**  
**Chief Justice of RSA, Justice R.M.M. Zondo**  
 BLuris, (UNIZULU), LLB (Natal), LLM (Labor Law), LLM (Commercial Law), LLM (Patent Law) (UNISA)



**VICE-CHANCELLOR**  
**Prof. X.A. Mtose**  
 BA (UFH), HDE (Primary) (UCT), BAHons (RU), MPhil (Higher Education) (US), PhD (Psychology)



**DEPUTY VICE-CHANCELLOR: TEACHING & LEARNING**  
**Prof. V.S. Nomlomo**  
 JSTC (Cicirha College), BA, BEd (UNITRA), MEd (Socio-linguistics) (UCT), MPhil (General Linguistics & Second Language Studies) (USB), PhD (UWC)



**DEPUTY VICE-CHANCELLOR: RESEARCH AND INNOVATION**  
**Prof. N.W. Kunene**  
 BSc (Agriculture) (Swaziland), MSc (Agriculture) (University of Natal), PhD (Agriculture) (UKZN)



**DEPUTY VICE-CHANCELLOR: INSTITUTIONAL SUPPORT**  
**Prof. S.P. Seepe**  
 Dip (Science & Ed) (NWU), BSc. Ed (Physics & Maths) (NWU), MSc (Physics) (WITS), MEd (Harvard), AdvProg (Management) (Henley Management College), PhD (Physics) (NWU)



**REGISTRAR**  
**Mr D. Mothilall**  
 BA (Law), LLB (UDW), LLM (UNISA), Attorney of the High Court of SA



## EXECUTIVE DIRECTOR: FINANCE

### Mr P.J. du Plessis



BCompt, BAccHons (UFS),  
CA (SA)

## EXECUTIVE DIRECTOR: HUMAN RESOURCES

### Mr R.T. Ngcobo



BAdmin (UNISA), Cert  
(Industrial Relations)  
(WITS), BComHons  
(HRM) (UKZN), PGDip  
(Company Direction)  
(GIMT Sunninghill),  
Cert (Essentials of  
Management Coaching)  
(USB)

## EXECUTIVE DIRECTOR: INFRASTRUCTURE

### Mr S.T. Mncwango



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

## EXECUTIVE DIRECTOR: INSTITUTIONAL PLANNING

### Mr N.O. Cele



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



## NARRATIVE REPORT

### **STRATEGIC GOAL 1: 'Improve governance through enhanced operations to support the academic enterprise and ensure sustainability.'**

UNIZULU continuously strives to better its governance through the review of existing policies, creation of new policies, training and the performance assessment of all governance structures. The incorporation of best practice governance principles is evidenced by the Governance Report and Chairperson of Council's Report. The annual assessment of Council and its committees highlighted adherence to required governance standards, ethical leadership and a commitment to good corporate citizenship. Policy development, its implementation and monitoring remained key to ensuring accountability and compliance. During the year under review, a total of 10 policies were reviewed and 30 new policies were developed. Among these were policies aimed at fraud prevention, financial management, security, gender equality, occupational health and safety, online assessment, multimodal teaching and learning, succession planning, privacy, and the protection of personal information.

The University conducted various studies to gain a profile of its students and to obtain feedback on learning experiences, quality and support. This resulted in a meta-analysis for the

first-year experience surveys as well as an improvement plan for Doctoral reviews aimed at addressing PhD student survey findings. UNIZULU101 module was developed in 2019 and piloted in all four faculties in 2020) aims to enhance the quality and profile of UNIZULU graduates. Other initiatives such as the implementation of the language policy and effective community engagement are aimed at enhancing the institutional academic philosophy aimed at integrated teaching and learning, research and community engagement.

The Institution remained focused on recruiting and retaining a qualified cohort of academic staff in line with its Employment Equity Plan and the training of women through leadership development programmes. The institutional vacancy rate was reduced to 17.2% (a 2.3% reduction from the previous year). A total of 20 females and 10 males completed the leadership development programmes with the University of Stellenbosch's Business School. Various other skills development training took place. A consolidated Workplace Skills Plan was compiled and submitted to the Department of Labour (DoL). The total investment in the identified learning and development interventions totalled R4 885 404. UNIZULU also increased its female representation for senior management levels (1-4) and reached its target of 75% for top management (ahead of DoL's targets in all four top categories). A full report on equity targets is contained in the Vice-





Chancellor's Report as well as the Report on Transformation. Eight N-Gap appointments (aimed at developing future lecturers) were made. Sixteen lecturers were promoted to Senior Lecturers, 13 lecturers were promoted to Associate Professors and four Associate Professors were promoted to Professors. The University developed a Policy on Succession Planning that should assist with the talent management process and will be implemented in 2022. The University engaged in a project to align salary increases to CPI and de-risk retirement funds (moving from a defined benefit to a defined contribution). New 2021/2022 salary scales were approved, and the University converted pay progression salary models to a performance bonus model, ranging from 1% to 2% as a once-off payment for both academic as well as professional staff based on individual performance in line with the Performance Management Policy. Two departmental structures were reviewed (Human Resources and Research) to enhance viability and sustainability. Since 2019, the University has been without a recognised labour union. Despite this, management has, on its own, established an internal forum for engagement. No adverse outcomes from the Commission for Conciliation, Mediation and Arbitration (CCMA) or Labour Court have been recorded against the University.

All South African HEIs are facing the reality of reduced government funding and demands for free education.

This has introduced questions and debate around financial sustainability, intensified by the economic impact of the COVID-19 pandemic. During the year under review, UNIZULU not only explored opportunities for generating more financial resources, but also strategic allocation of resources to support the University's core activities and the implementation of its strategy. The five-year Strategic Financial Plan (approved by Council in 2020) is based on three strategic pillars, namely: improved financial sustainability; improved internal financial controls and governance; and the effective functioning of the Finance Department. To manage the risk of financial sustainability, the University commenced with an evaluation of its fees in comparison to other universities. It was evident that both tuition and residence fees were significantly lower. Redress of these inequalities will be a key imperative in 2022. Student debt is difficult to manage, particularly since the #FeesMustFall campaign, however, UNIZULU employed various instruments to manage its student debt to acceptable levels. Various exception reports were developed, and staff capacity was enhanced through financial training to ensure optimal use of the ITS system. Alternatives for retirement funds toward a more sustainable future were explored and additional student bursary funding was created.

UNIZULU remains committed to effective service delivery and thus the focus for the year under review was on



communication, education and analysis. Several workshops on student governance and administration were conducted and each faculty hosted several student scholarly seminars and conferences. The University also identified modules with the highest failure rates and faculties developed intervention plans to support all students at risk.

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

To enhance its 'rural comprehensive' offering, UNIZULU had to expand on its mix of career- and vocational-focused programmes. An intent to offer 33 new programmes was submitted to Senate for consideration. Six new programmes were accredited by CHE and the University received re-accreditation of its Nursing Science and Social Work programmes. The recommendations of the Law Review Report (LRP) were finalised and recommendations to enhance the UNIZULU101 module will be implemented in 2022. The 2021 Cohort Analysis will assist with effective Institutional Planning and Monitoring in 2022. The University developed a compulsory tutorial programme and faculty-based plans for all first-year undergraduate students in modules with the highest failure rates as part of its drive to enhance teaching and learning (blended learning). Workshops for new and current staff were conducted to equip them with the most current teaching, research, community engagement and University service skills. These workshops were 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 and attracted both national and international speakers. In addition, training was conducted on Moodle systems and Instructional Design and Assessment Strategies.

## **STRATEGIC GOAL 3: 'Enhance research and innovation'**

UNIZULU plans to increase its research output and postgraduate enrolments, enhance community engagement and improve the experience of postgraduate students. In this regard, UNIZULU developed and established numerous enablers and mechanisms to drive and enhance research, innovation and community engagement. Consistency in research publications and related subsidy income, advances in technology transfer patent disclosures, notable patent registrations on strategic international markets, and growth in postgraduate (Master's and PhD) throughputs show UNIZULU as a university on the rise. Following the assessment of the 2020 research outputs by the DHET, UNIZULU attained a total of 267.50 units. This is an increase

of 11.50 units from the 256.0233 units awarded by DHET for 2019 publications. The latest information for the 2021 unofficial publication outputs (books, journals and conference proceedings) amounts to 300.5623 units. UNIZULU has 23 rated researchers across all faculties, 16 research fellows and 18 postdoctoral fellows in 2021.

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. Advancement and increased research awareness are contributing positively to the increase in the number of students receiving postgraduate qualifications. In addition, all four faculties used blended learning methods to supervise postgraduate students. A Research Data Management System (RDMS) was developed for the administration of Research Output Units (journal articles; books; book chapters; conference proceedings) and caters for the analysis of research output and trends, benchmarking of our research output with peer institutions, validates captured data, enables the exportation of reports in the prescribed DHET format for submission and provided automatic notifications of potential problems. The system was piloted in 2020 and was in its final testing phase before full implementation. Training on the RDMS was conducted to the nominated persons from all faculties and the Research Office.

A key focus of the University was to institutionalise innovation. This resulted in the development of a concept of innovation, with a full framework to be created in 2022. Various seminars and workshops on entrepreneurship were held and UNIZULU also participated in the regional Entrepreneurship Intervarsity Competition hosted by the Durban University of Technology (DUT), Mangosuthu University of Technology (MUT), University of KwaZulu-Natal (UKZN), and UNIZULU.

## **STRATEGIC GOAL 4: 'Enhance the quality and profile of UNIZULU graduates'**

The University remains focused 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 (TLC) continued with curriculum reviews and mentoring, workshops and training programmes. Several platforms were created for academics to share research on teaching and learning experiences. Research papers on teaching and learning increased significantly. Students facing learning barriers were identified.



Intervention plans developed by faculties to support students at risk. The University also conducted various awareness programmes for students with different abilities. UNIZULU ensured optimal use of its platforms to showcase success stories through its Intranet and official website, e-news and e-notices, the *Ongoye Online* newsletter, press releases and articles published internally.

### **STRATEGIC GOAL 5: 'National and international reputation management of UNIZULU'**

UNIZULU made strides in its drive to develop ways to manage its national, regional and international reputation of UNIZULU. A Policy on Internationalisation was developed. Principles to guide the practices and strategies in the implementation of the process were crafted. This led to the draft conceptual framework on Internationalisation. In addition, a concept paper on Community Engagement (CE) was created to assist in the development of the CE Framework, aimed at guiding the operation and implementation of CE at UNIZULU.

A total of 20 public lectures/webinars aimed at promoting African-centred scholarship were conducted between UNIZULU and regional and international organisations. In

addition, postgraduate students published a total of 79 articles deriving from Master's and doctoral work.

Memorandums of understanding (MoUs) were entered into with several institutions, including collaborations with Swedish universities; Appalachian State University, United States of America; GLA University, India; University of Namibia; York University in United Kingdom and Haaga-Heila University of Applied Science, Finland. These MoUs are being monitored and reported on to Manco, as unpacked here.

### **STRATEGIC GOAL 6: 'Accelerate infrastructure development'**

The appointment of professional services teams for infrastructure development was completed, however, the implementation of the UNIZULU's Spatial Framework (2019) was severely affected by the COVID-19 pandemic. This resulted in the University requesting assistance from DHET. A revised feasibility study and implementation plans to rejuvenate the student housing development programme to address the inequality of student housing and eradicate the historical backlog were blocked. The University also identified three land areas in Richards



Bay, Ulundi and Vulindlela for potential development. Discussions are ongoing and will require departmental and municipal approval. Despite infrastructure delays, the University completed several maintenance works, notably the Administration building and its various components as well as the SSD offices. The Strategic Facilities Management Framework (SFMF) regulates the provision of a safe, clean, productive, and well-maintained physical environment for the University community. Several policies and procedures were developed to enhance facilities management, including a standard operating procedure for inventory management and a Performance Management Procedure for contracts. To contribute to sustainability and environmental priorities, the

University further developed a Water and Energy strategy, which will be submitted to formal structures in 2022 for approval. UNIZULU remains fully compliant with health and safety regulations.

UNIZULU committed 95% of its ICT HDI Grant to the implementation of the Infrastructure Management System (IMS). In addition, the Higher Degrees Management System (HDMS) installation is undergoing testing and is near completion.

Table 12 displays the University's 2021 performance targets, as set out in the APP and approved by Council on 26 November 2020.

**Table 12: Performances against Strategic Targets (2021)**

STRATEGIC GOAL 1 – Improve governance through enhanced operations to support the academic enterprise and ensure sustainability				
Objective	Output	Performance Indicator	Target	Performance Outcomes
Develop, amend, implement policies, rules and procedures and maintain a policy register	Updated policy register	Developed and updated policy register	Final updated policy register	Various policies have been developed and approved during the year under review. The policy register has been updated accordingly and is available on the University's website.
	Policy development and review	Number of policies reviewed	10 policies reviewed	Several policies were reviewed in line with their revision schedules.
		Number of draft new policies developed	5 draft new policies developed	The University has far exceeded its targets and a large number of new policies were developed in the University's drive to continuously enhance its governance and processes.
Develop and entrench an appropriate institutional academic philosophy and approach that integrates teaching and learning, research and community engagement	Students feedback platform (surveys)	Developed implementation plan for findings of 2 student surveys	1 implementation plan for doctoral student survey 1 implementation plan for undergraduate survey	The University developed a meta-analysis for the first-year experience surveys and an improvement plan for Doctoral reviews addressing PhD student survey findings.
	Policy implementation plan	Developed implementation plan for the approved language policy	Language policy implementation plan	A Task Team has been established to work on the Implementation Plan with various meetings conducted. The implementation plan remains a work in progress and will be carried over to form part of next year's performance objectives.
Reviewed, developed and implemented review findings in existing curricula	Viability of academic entities	Conducted viability analysis of academic entities	1 viability analysis report	The University appointed an external consultant to assist with the viability analysis. The report concluded that the University of Zululand was transitioning in terms of its positioning, but critically the strategic direction that the University is embarking on will improve and ensure financial sustainability. The University will develop tactical plans going into 2025.



**STRATEGIC GOAL 1 – Improve governance through enhanced operations to support the academic enterprise and ensure sustainability**

Objective	Output	Performance Indicator	Target	Performance Outcomes
Recruit and retain a qualified cohort of academic staff	Improve female representation at top four occupational levels	Increase in percentage female representation for levels 1-4	4% increase	UNIZULU reached its target of 75% for top management. The University is ahead of DOL targets in all four top categories
	Trained women through Leadership Development Programme	Number of women trained through Leadership Development Programme	15 women trained through leadership development programme	21 female and 10 male staff members completed the Leadership Development Programme
	Revised departmental structures	Number of revised departmental structures	4 revised departmental structures	The University has revised two departmental structures during the year under review, namely: The HR Departmental Structure Research Office structure The Finance structure, as well as PPO structure, was revised in 2020.
Integrate human resource management and development	Develop talent management framework	Developed Institutional Succession Plan	1 draft succession plan	A draft policy on succession planning was developed.
		Developed and implemented staff climate survey action plan	Implemented 50% of areas identified in climate survey action plan	The Employee Climate Survey was postponed to 2022 due to operational factors.
Develop a turnaround strategy for Financial Management and Governance	Enhanced financial controls	Number of exception reports developed	3 exception reports developed	Exception reports developed to further enhance financial controls
Develop a Financial Budgeting and Reporting System	Developed Excel reporting functionality	Number of finance staff capacitated in advanced Excel reporting	3 members of staff trained	Staff members trained in advanced Excel reporting. In addition, Jasper reporting training was undertaken by all cost centre owners.
Ensure effective service delivery to students	Workshops on student admission and governance	Number of workshops conducted on student admission and governance	1 workshop conducted	Various workshops were conducted on student administration and governance as a means to enhance service delivery to UNIZULU students.
	Improve student success and throughput rates	Number of modules identified with the highest failure rates	20 modules identified with the highest failure rates	The University identified the 20 modules with the highest failure rates and faculties developed intervention plans to support the students at risk.
	Engagement of student academic societies into scholarly activities	Number of student scholarly seminars or conferences conducted per faculty	4 seminars/ conferences (1 per faculty)	Student seminars have been hosted in each faculty.

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

Objective	Output	Performance Indicator	Target	Performance Outcomes
Enhance teaching and learning (blended learning)	Compulsory tutorials for all first-year students in modules with the highest failure rates	Developed a comprehensive tutorial programme and faculty-based plans for undergraduate students	Comprehensive tutorial programme and faculty-based plans for undergraduate students	The University developed a tutorial programme and faculty-based plans for undergraduate students.
	Transformed into a digital university	Developed a Policy on Digitalisation of the University	Draft policy	Draft Policy on Digitalisation of the University completed.
	Moodle systems training	Number of staff training workshop conducted on Moodle system	1 training workshop conducted	Staff workshops were held on Moodle system.
		Number of workshops on e-learning materials development	1 workshop conducted	The workshop was deferred to the first term of 2022 due to limited human resources in the Teaching and Learning Centre.
		Number of academic training workshops on online assessment strategies	2 workshops conducted	Academic workshops on online assessment strategies were conducted.
Design and develop a cohort analysis for effective planning and monitoring student success	2021 cohort analysis for effective planning and monitoring student success	Produced 2021 report on cohort analysis for effective planning and monitoring student success	Completed 2021 report	2021 report on cohort analysis for effective planning and monitoring student success conducted.
To have a broad spectrum of programmes characteristic of a comprehensive university	Appropriate mix of career- and vocational-focused programmes	Number of Engineering programmes to be submitted to DHET in 2021	Two programmes in Computer Engineering and Mechatronics Engineering	Two programmes in Computer Engineering and Mechatronics Engineering were submitted to DHET for approval.
	Accreditation for existing and new programmes identified	Number of reaccredited programmes	4 programmes reaccredited	Several programmes were accredited during the year under review. CHE accredited programmes include: Bachelor of Nursing Bachelor of Engineering in Electrical Engineering and Computer Engineering Bachelor of Education Honours in Social Sciences Bachelor of Education Honours in Inclusive Education Bachelor of Education Honours in Science Education Master of Arts in Sustainable Integrated Rural Development
		Number of prioritised and developed programmes in new areas for 2021	Submitted an intent to offer a minimum of 19 new programmes to Senate	Submitted an intent to offer 33 new programmes to Senate.



STRATEGIC GOAL 2 – Create a quality teaching and learning environment as a comprehensive university				
Objective	Output	Performance Indicator	Target	Performance Outcomes
To have a broad spectrum of programmes characteristic of a comprehensive university	Implement improvement plan of Law Review Report	Percentage of Law Review Report improvement plan implemented	100% of the Law Report Review improvement plan implemented	The university fully implemented the Law Review Report improvement plan.
	Re-accreditation of Nursing Science and Social Work programmes	Number of programmes recredited (re-curriculum)	1 full accreditation of the Bachelor of Nursing Science	The university obtained re-accreditation of its Nursing Science and Social Work programmes.
	Understanding the fundamentals of Social Sciences	Number of seminars on the fundamentals of some Social Science fields (selection of 3 fields)	3 seminars	As a result of COVID-19, UNIZULU only held two international conferences.
	Conduct Pilot on UNIZULU 101 undergraduate module, i.e. gender rights, human rights, values of integrity	Conducted pilot on UNIZULU 101 module at undergraduate level and compile report with recommendations	Produce 1 report on the pilot conducted during 2020 & 2021 with recommendations for the full roll-out in 2022	The UNIZULU101 report on the pilot programme has been completed and provides recommendations about the roll-out of UNIZULU101 in all the faculties in 2022.
Development of academics and enhancement of scholarship	Conferences hosted	Number of teaching and learning conferences hosted	1 teaching and learning conference hosted	The university hosted one teaching and learning conference in October 2021.
	Sharing of learning and research experiences	Number of platforms created for academics to share research on teaching and learning experiences	1 seminar conducted	The Academic week was held from 27 September 2021 to 1 October 2021. Both staff and students participated in the Academic Week.
Staff capacity development (ICT staff)	ICT staff training	Number of staff development/ training on ICT conducted	2 training on ICT conducted	ICT training was conducted to enhance staff capacity.
	Webinar training for academic staff	Number of webinar trainings conducted on blended learning for academic staff	1 webinar training on blended learning for academic staff conducted	A webinar was inclusive of the Academic Week and Teaching & Learning conference. Students participated in the Academic week by sharing their learning experiences. The conference attracted national and international speakers who made good deliberations on critical issues on teaching and learning.
STRATEGIC GOAL 3 – Enhance research and innovation				
Objective	Output	Performance Indicator	Target	Performance Outcomes
Mentoring of young/new researchers	Increased number of research output units (publications and postgraduates)	Percentage increase in University accredited research output for young/new researchers	2% increase on the 2020 accredited research output	There was a 61 % increase in the accredited research output for young and new researchers combined.





**STRATEGIC GOAL 3 – Enhance research and innovation**

Objective	Output	Performance Indicator	Target	Performance Outcomes
Mentoring of young/new researchers	Increased number of research output units (publications and postgraduates)	Percentage increase in the number of active researchers	2% increase on the base of 2020 in the number of active researchers	The University increased its rated researchers from 20 in 2020 to 32 across all faculties in 2021.
Engage emerging researchers and support/reward research activity	Conducted faculty research workshops for emerging researchers	Number of research development workshops/skills development training conducted	1 research development workshop per faculty	Various capacity building workshops for emerging scholars were hosted in 2021 aimed at: Enhancing grant writing skills Improving academic writing skills Enhancing supervision capacity Increasing the number of NRF rated researchers.
Capacity building development, and mentoring to African women academics registered for PhDs	Conducted capacity building, development and mentoring to African women academics registered for PhDs	Conducted capacity development workshops for African women academics registered for PhDs	2 capacity development workshops	The Research Office worked with all the faculties to conduct various workshops to support African women to complete their PhDs.
Provide a supportive learning and teaching environment for postgraduate students	Blended learning strategies for postgraduate supervision	Implemented blended learning strategies in supervision of postgraduate students	4 reports (1 per faculty)	All four faculties used blended learning methods to supervise postgraduate students.
	Developed research data management system	Report on implementation of the research data management system	1 report	A Research Data Management System (RDMS) was developed for the administration of Research Output Units (journal articles; books; book chapters; conference proceedings). Training was conducted in September.
Engage the Postgraduate office in training around ethics and ethical clearance to improve the standard and quality of Master's and Doctoral dissertations	Conducted training workshops for postgraduate students on ethics, proposal writing and related subjects	Number of training workshops for postgraduate students on research ethics, proposal writing and related subjects	Conducted 2 training workshops	On 31 August, a Research Ethics workshop was given to postgraduate students. A 2-day research ethics training for UZREC and Faculty Research Ethics Committee members was conducted in July. Over and above UZREC, members attended a 1-day National Health Research Ethics Council workshop in August.
Promote, advocate and raise awareness of the value of innovation	Workshops on innovation	Number of workshops conducted on innovation/patent development	2 workshops	Several workshops were conducted during the year under review to raise innovation awareness.
	A framework to reward initiative and innovation	Approved policy framework to acknowledge staff for disclosures on projects with evaluated potential innovation	Approved framework	An innovation concept was developed. The IP policy was revised to meet NIPMO requirements. The framework to acknowledge staff will be developed in 2022.
	Institutionalised innovation	Developed a conceptual framework on innovation	Conceptual framework document	The Innovation Committee approved the concept of innovation, which identifies the importance of collaboration for innovation. A framework for innovation will be developed by the task team in 2022.

**STRATEGIC GOAL 3 – Enhance research and innovation**

Objective	Output	Performance Indicator	Target	Performance Outcomes
Promote, advocate and raise awareness of the value of innovation	Inculcating the culture of entrepreneurship	Number of seminars or competitions in entrepreneurship	2 seminars/ competitions	<p>Various seminars and workshops on entrepreneurship were held during the year under review including:</p> <ul style="list-style-type: none"> <li>• Three-day online Entrepreneurship workshop</li> <li>• Entrepreneurship Intervarsity with discussions on the trends and possibilities of social entrepreneurship</li> <li>• Siphila Kanje Edutainment Festival: 'Celebrating ubuntu in style'</li> <li>• Meeting with the Entrepreneurship Development in Higher Education (EDHE) to identify possible areas of collaboration and current entrepreneurship initiatives at UNIZULU</li> <li>• Entrepreneurship competition hosted by DUT, MUT, UKZN, UNIZULU</li> </ul>

**STRATEGIC GOAL 4 – Enhance the quality and profile of UNIZULU graduates**

Objective	Output	Performance Indicator	Target	Performance Outcomes
Providing holistic support to students with learning barriers	Reduced learning barriers	Report of identified students facing learning barriers	1 report of identified students facing learning barriers	Conducted various programmes and awareness campaigns and reported on student learning barriers. In addition, faculties developed intervention plans for students at risk.

**STRATEGIC GOAL 5 – Develop ways to manage the national, regional and international reputation of UNIZULU**

Objective	Output	Performance Indicator	Target	Performance Outcomes
Identify and implement strategies to internationalise the Institution and its curricula	Internationalisation of the University and its curricula	Developed a draft Conceptual Framework on Internationalisation	A Draft Conceptual Framework	A draft conceptual framework was developed.
	Creating a database /register and review of MoUs/MoAs	Developed a database/register	Completed database /register	Database/register completed.
	Champions of MoU to write annual reports on the activities under the agreements. Monitoring and evaluation	Number of reports to be submitted to MANCO	4 reports	4 reports completed.
	Established collaborations with scholars that promote African-centred scholarship	Number of public lectures delivered by distinguished African scholars	4 public lectures delivered (1 per quarter)	20 public lectures/webinars were delivered (5 per quarter).
Manage national and regional reputation of UNIZULU	How to popularise our doctoral outputs? Harvesting from Doctoral/Master's publications. Impact of thesis – choose the best	Number of published articles	12 articles (1 per month)	<p>Postgraduate students have published several articles on the research work accomplished. The number of publications is quite remarkable: in 2021 a total of 79 articles have been published from the work of the Master's and doctoral students. Published articles per faculty:</p> <p>Arts – 35 Science, Agriculture and Engineering – 23 Education – 8 Commerce Administration and Law – 13</p>



**STRATEGIC GOAL 5 – Develop ways to manage the national, regional and international reputation of UNIZULU**

Objective	Output	Performance Indicator	Target	Performance Outcomes
Enrich community through development of a community centre as a means to open pathways to what community can bring to the Institution and vice versa	Conceptual framework for community Engagement for the University	Developed a concept on community Engagement. What does this mean to the University of Zululand?	Approved community Engagement concept	Developed a concept on framework community engagement.

**STRATEGIC GOAL 6 – Accelerate infrastructure development**

Objective	Output	Performance Indicator	Target	Performance Outcomes
Development of funding proposal to address the inadequacy of the government (DHET) subsidy	Established partnership with infrastructure funding organisations	Development of funding proposal to DBSA	Funding proposal developed	The funding proposal was delayed because of funding and the development of new guidelines. The IEG 6 funding cycle due for introduction in 2021 was postponed to 2022.
	Provision of staff housing through expression of interests with private funders	Request for information with private funders of staff housing	Database of developers with capacity to provide for the University needs	Appointed a database of developers.
		Develop tender specification for the expression of interest from funding organisations	1 specification for expression of interest	1 specification for expression of interest developed.
Review IT hardware and software as needed	Systems for effective administration	Implemented the Higher Education Degree Management System	2 phases implemented	<p>The HDMS installation is near completion (a software developed to facilitate electronic management of the postgraduate process from the registration to the examination and ultimately, the exit phase). The HDMS has seven modules/components that AdaptIT are developing for UNIZULU. Testing progress in respect of Phase 1 and Phase 2 are outlined below:</p> <p>Phase 1: Application approvals: 100% complete Proposals and ethics: 85% complete Examiner appointments and Intention: 92% complete</p> <p>Phase 2: Submission and assessment of theses and dissertations: 95% complete Suspensions: 100% complete; Testing in progress HDMS reports: 90% complete Subsidiary processes (unpaid employees, progress reports, change of supervisors: 90% complete</p>
Review and monitor ICT spending	Commitment to Infrastructure Management System	Percentage of ICT HDI grant committed to Infrastructure Management System	95% of ICT HDI grant committed	95% of ICT HDI Grant committed to the creation of the Infrastructure Management System (IMS)

## KEY PERFORMANCE INDICATORS – ANNUAL PERFORMANCE PLAN 2021

Table 13 displays Ministerial-approved enrolment targets for 2021 and how the University performed against these approved targets.

**Table 13: 2021 Student Enrolment Performances against Ministerial-approved Targets**

KEY PERFORMANCE INDICATORS	TARGET (2020) % OR TOTAL NUMBER	MID-TERM TARGET 2021	ANNUAL TARGET 2021	PERFORMANCE 2021	COMMENTS
1. ACCESS					
HEADCOUNT TOTALS					
First-time entering undergraduates	3 823	3 971	3 971	3 602	The University fell slightly short of achieving its access targets. The shortfalls can be attributed to the deregistration of some students during the COVID-19 lockdown imposed by the government, the inability of funding and students not meeting entry requirements. No students have been enrolled through distance education.
Headcount enrolments	17 920	18 636	18 636	16 250	
Headcount enrolments (foundation provisioning)	450	350	350	380	
Headcount enrolments total UG	15 912	16 514	16 514	14 800	
Headcount enrolments total PG	1 808	1 922	1 922	1 450	
ENROLMENTS BY MAJOR FIELD OF STUDY					
Science, Engineering, Technology	4 324	4 921	4 921	3 654	
Business/Management/Law	3 739	4 238	4 238	4 200	
Education	4 671	4 339	4 339	4 303	
Art	5 186	5 138	5 138	4 093	
Distance Education enrolments	0	0	0	0	
2. SUCCESS					
Graduates UG	3 841	3 991	3 991	3 446	A total amount of 4 199 students graduated from the University during the year under review. The University conferred a total of 49 Doctoral degrees and 88 Master's degrees. Graduation outputs were slightly below targets, which is largely attributable to COVID-19 as it caused delays in external examiner reports, moderation reports and impacted significantly on Work Integrated Learning (WIL) and other practical requirements needed for the completion of degrees. Despite this, the overall success rate of the University was a staggering 85%.
Graduates PG	925	1 011	1 011	753	
Engineering	0	0	0	0	
Life and Physical Sciences	365	405	405	0	
Animal and Human Health	133	138	138	0	
Teacher Education	1 270	1 202	1 202	1 235	
Overall Success Rate	83%	84%	84%	85%	
3. EFFICIENCY					
FTE Instructional/Research Professional Staff	463	471	471	356	FTE instructional/research professional staff is still below the expected target and the headcount of permanent instructional/research professional staff reduced to 317. This can largely be attributed to the difficulty to attract and retain quality academic staff due to the rurality of the Institution. Although vacancy rates have seen a reduction to 17.2%, academic appointments remain behind targets due to the drive towards quality versus quantity. The percentage of staff with doctoral degrees is slightly below target, however, N-Gap appointments (aimed at developing future lecturers) was above target at 8. The ratio of FTE students to FTE instructional/research staff remained high.
Headcount of Permanent Instructional/Research Professional Staff	370	377	377	317	
% Staff with Doctoral Degrees	49%	50%	50%	47%	
Number of nGap Staff	6	6	6	8	
Ratio of FTE Students to FTE Instructional/Research Staff	35.3	35.3	35.3	48.6	
4. RESEARCH PERFORMANCE					
Publication units per I/r staff	44%	46%	46%	0	Following the assessment of the 2020 research outputs by the DHET, UNIZULU attained a total of 267.50 units. This is an increase of 11.50 units from the 256.0233 units awarded by DHET for 2019 publications.
Research Master's graduates (weighted)	90	79	79	88	
Doctoral graduates (weighted)	44	35	35	49	





## GRANTS AND ADDITIONAL RESOURCES

Between January and December 2021, 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 2021 and how the University performed against these approved targets.

**Table 14: Funding Envelopes and Infrastructure Projects (2021)**

GRANT DESCRIPTION	MINISTERIAL APPROVED (R'000)	RECEIVED ALLOCATION 2021 (R'000)	ACTUAL SPENT 2021 (R'000)	REASON FOR DEVIATION
University Capacity Development Grant (UCDP)	18 152	20 298	14 903	R14.779 million for 2020/2021 received in Jan 2021. R5.519 million for 2021/2022 received in Dec 2021.
University Development Grant for the University Staff Doctoral Programme (USDP)	5 000 *	0	1 122	
Foundation Provision Grant (FPG)	3 974	3 974	3 974	
Sibusiso Bengu Development Grant (SBDG)	13 974 53 174*	13 974	50 910	
Clinical Skills Training Grant (CTG)	8 141	12 121	5 203	R8.637 million for 2020/21 was received in March 2021. R3.484 million for 2021/22 (40% Tranche) was received in July 2021. R4.657 million for 2021/22 (60% Tranche) received after year-end (January 2022).
Clinical Skills Training Grant – Capital (CTG-CAPEX)	2 500*	0	0	R1.8 million was spent in 2020 and R700 000 are in process.

**Table 14: Funding Envelopes and Infrastructure Projects (2021) (continued)**

GRANT DESCRIPTION	MINISTERIAL APPROVED (R'000)	RECEIVED ALLOCATION 2021 (R'000)	ACTUAL SPENT 2021 (R'000)	REASON FOR DEVIATION
New Generation of Academics Programme (nGAP)	13 742 48 653*	3 303	6 542	
Nurturing Emerging Scholars Programme (NESP)	2 965*	0	448	
COVID-19 Responsiveness Grant (CRG)	29 795*	0	24 557	
<b>INFRASTRUCTURE AND EFFICIENCY GRANTS</b>				
(i) Infrastructure and Efficiency Grant – R438m	376 278 * 62 200 **	0	17 097	
(ii) Infrastructure and Efficiency Grant – R35m	35 000 * 696 **	0	7 959	
(iii) Infrastructure and Efficiency Grant – R51m	51 524 *	0	7 511	
(iv) Infrastructure and Efficiency Grant – R58m	58 002*	0	12 842	
(v) Infrastructure and Efficiency Grant – R420m	378 000# 42 000**	0	7 823	
(vi) Infrastructure and Efficiency Grant – R120m (Student Residences)	120 000 *	0	0	
(vii) Infrastructure and Efficiency Grant – R50m (Student Residences)	50 000 *	0	0	
<b>KEY WORDS</b>				
*	DHET-approved contribution and fully received in prior years – multiyear projects that are still active			
**	University's contribution			
#	DHET approved contribution was R378 million and R330 million was received in prior years – projects are still active			

## CONCLUDING REMARKS

Overall, 2021 has been a year of many achievements with minor deviations from the performance plan. Council is satisfied with the University's progress and performance.



**Ms N. Caluza**  
Chairperson of Council



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









# COUNCIL'S STATEMENT ON GOVERNANCE

**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.**

**T**he Council of the University is the highest decision-making body and has the fiduciary responsibility for the Institution. Council has complied with the good governance principles as set out in the HE Act, the regulations, the Statute as well as the DHET Governance Guidelines. Council is committed to the principles of discipline, transparency, independence, accountability, responsibility, fairness and social responsibility. Council recognises the need to conduct its business with integrity and in accordance with generally accepted practices, as evidenced in the Code of Conduct for Members of Council. Council has led ethically and effectively, and has governed the University in a way that supports the establishment of an ethical culture. Members are accountable for ethical and effective leadership, as contained in the Code of Conduct of Council, the implementation of which is monitored by ARCC.

## GOVERNANCE AT UNIZULU

As the focal point and custodian of corporate governance in the University, Council sets an operational governance framework. Council and committees are regulated by the Statute that establishes the University. Council comprises balance of skills, experience, diversity, independence and knowledge needed to discharge its role and responsibilities. Each committee of Council has its 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 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 PHEIs. The Scorecard was assessed by Counex on 13 August 2021 and submitted to DHET on 16 August 2021. This has been the practice since 2018. The report has not been released by DHET. Council exercises ongoing oversight of ethics and makes use of protected disclosures or whistle-blowing mechanisms to detect breaches of ethical standards. Council has led ethically and 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 (as administrative head of the Institution) and management. Ethical codes delegated via the delegation's framework of Council to the Vice-Chancellor and management for implementation include 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.



## 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 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 the workplace, economy, society and the environment, as contained in the Performance Assessment Report. Council, through the HRCC, 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. The University has an approved risk policy in place. It has identified strategic risks and compiled risk registers for respective risk owners in line with the strategic risk framework. A compliance framework is in place and is being implemented. Compliance with 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 continues to maintain an efficient and effective process of risk management to manage key risks. 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 2021 was revised by Council in 2020. Council annually approves the APP and mid-year 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 concerning 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.

## TECHNOLOGY AND INFORMATION GOVERNANCE

Council governs technology and information in a way that supports the University in defining its purpose. Council approved numerous policies that give effect to the employment of technology and information. Technology architecture is in place to support the achievement of the University's strategic and operational objectives.

## STATUTORY RESPONSIBILITIES – COUNCIL AND COMMITTEES OF COUNCIL

In terms of the Statute, Council governs the University subject to the provisions of the HE Act. Council is responsible for policymaking, monitoring and evaluation of the performance of the Institution and its management. Council also provides guidelines concerning matters such as the admission of students, the language policy and staff matters, disciplinary matters concerning 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 under the prevailing Statute, which was promulgated on 19 October 2018. In terms of the Statute (Section 18), Council comprises 26 members, the majority of whom (60%) are neither employees nor students at the University. The independent non-executive members are made up of a cross-section of external experts. As of 31 December 2021, twenty-three (23) positions were filled. The following vacancies exist: one for Council appointees based on expertise and experience, one for a Ministerial Appointee and one for the uMhlathuze Municipality representative. The SRC was represented by an SRC Administrator who has been replaced by a new SRC elected on 6 December 2021.

The composition of Council is as follows:

**Table 15: External vs Internal Membership**

EXTERNAL	
Ministerial Representatives	5
Independent Non-executive Members	5
Convocation Representatives	2
Donor Representatives	2
uMhlathuze Municipality Representative	1
Traditional Authority Representative	1
INTERNAL	
Executive Management	3
Employee Representatives	3
Student Representatives	2
Senate Representatives	2
Institutional Forum Representatives	1
<b>Totals</b>	<b>26</b>

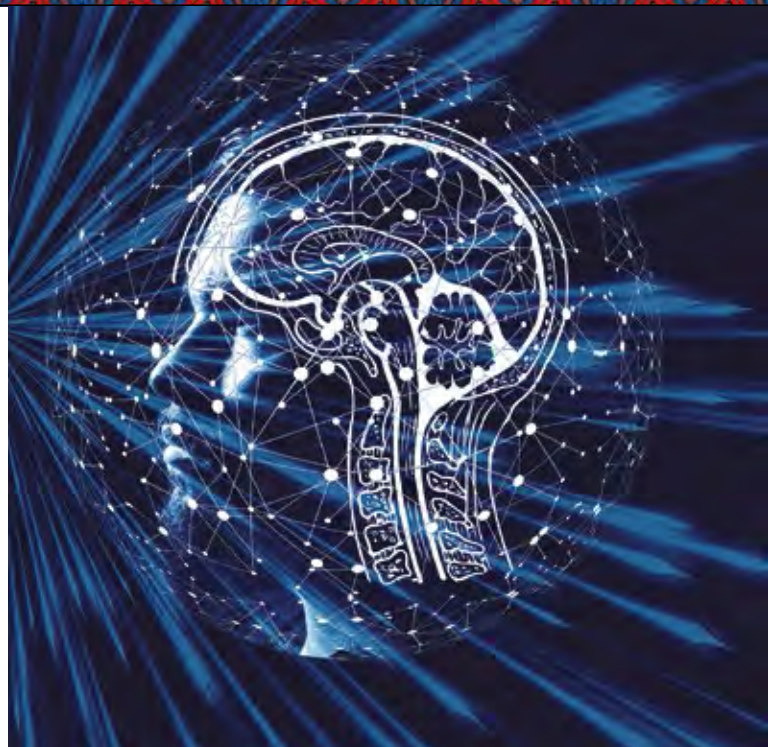


Table 16 displays the full list of Councillors and their respective constituencies. The meeting attendance schedule was provided in the report of the Chairperson of Council.

**Table 16: List of Council Members as of 31 December 2021**

COUNCIL MEMBERS	CONSTITUENCY
Mr C. Caluza	Chairperson and Ministerial Appointee
Prof. N. Makunga	External Council Member: Ministerial Appointee
Dr A. Kaniki	External Council Member: Ministerial Appointee
Ms M. Mookapele	External Council Member: Ministerial Appointee
Dr M. Mabula	External Council Member: Ministerial Appointee
Mr N. Nkwanyana	External Council Member: Convocation Representative
Mt S. Zwane	External Council Member: Convocation Representative
Mr D. Kunji-Behari	External Council Member: Donor Representative
Ms H. Mvubu	External Council Member: Donor Representative
Cllr M. G. Mhlongo	External Council Member: uMhlathuze Municipality Representative
Mr E. Dube	External Council Member: Mkhwanazi Traditional Authority Representative
Ms J. Masite	External Council Member – Council Appointee: Expertise and Experience
Adv. M. B. Masuku	External Council Member – Council Appointee: Expertise and Experience
Mr T. Madikane	External Council Member – Council Appointee: Expertise and Experience
Mr M. Booi	External Council Member – Council Appointee: Expertise and Experience
Ms C. Mtebele	External Council Member – Council Appointee: Expertise and Experience
Prof. X. Mtose	Internal Council Member: Vice-Chancellor
Prof. V.S. Nomlomo	Internal Council Member – Deputy Vice-Chancellor: Teaching and Learning
Prof. S.P. Seepe	Internal Council Member – Deputy Vice-Chancellor: Institutional Support
Prof. N. Kunene	Internal Council Member – Senate Representative
Prof. M. Masoga	Internal Council Member – Senate Representative
Ms N. Nongogo	Internal Council Member – Admin and Support Staff Representative
Dr L. Ramaccio Calvino	Internal Council Member – Academic Staff Representative
Prof. L. Greyling	Internal Council Member: Institutional Forum Chairperson
Mr N. Ntshangase	Internal Council Member: SRC Administrator – Convenor
Mr W.N. Khumalo	Internal Council Member: SRC Administrator – Coordinator



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 2022. 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 HE 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 in the points following, 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:

- **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 is also responsible for the issues of risk, its management and risk mitigation. The Committee also ensures that the implementation of the assurance model results in coordinating 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, chaired by Ms S.J. Masite, held four ordinary meetings and one special meeting during the year under review. All members of the committee are not employed by the University. Both internal and 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.

- **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. It assures the financial health of the University as a 'going concern'. The committee, chaired by Mr Kunji-Behari, held four meetings and one special meeting 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 of Council (PICC):** This committee develops and updates campus master plans for facilities and infrastructure, with implementation strategies, priorities and financing models for approval by the Council; advises the Council on the development, acquisition and integration of facilities and infrastructure; and develops and updates a comprehensive and sustainable institutional maintenance and replacement plan and strategy. The committee, chaired by Mr T. Madikane, held three 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 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 Mr N.L. Nkwanyana and held three 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 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 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 HE 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."*

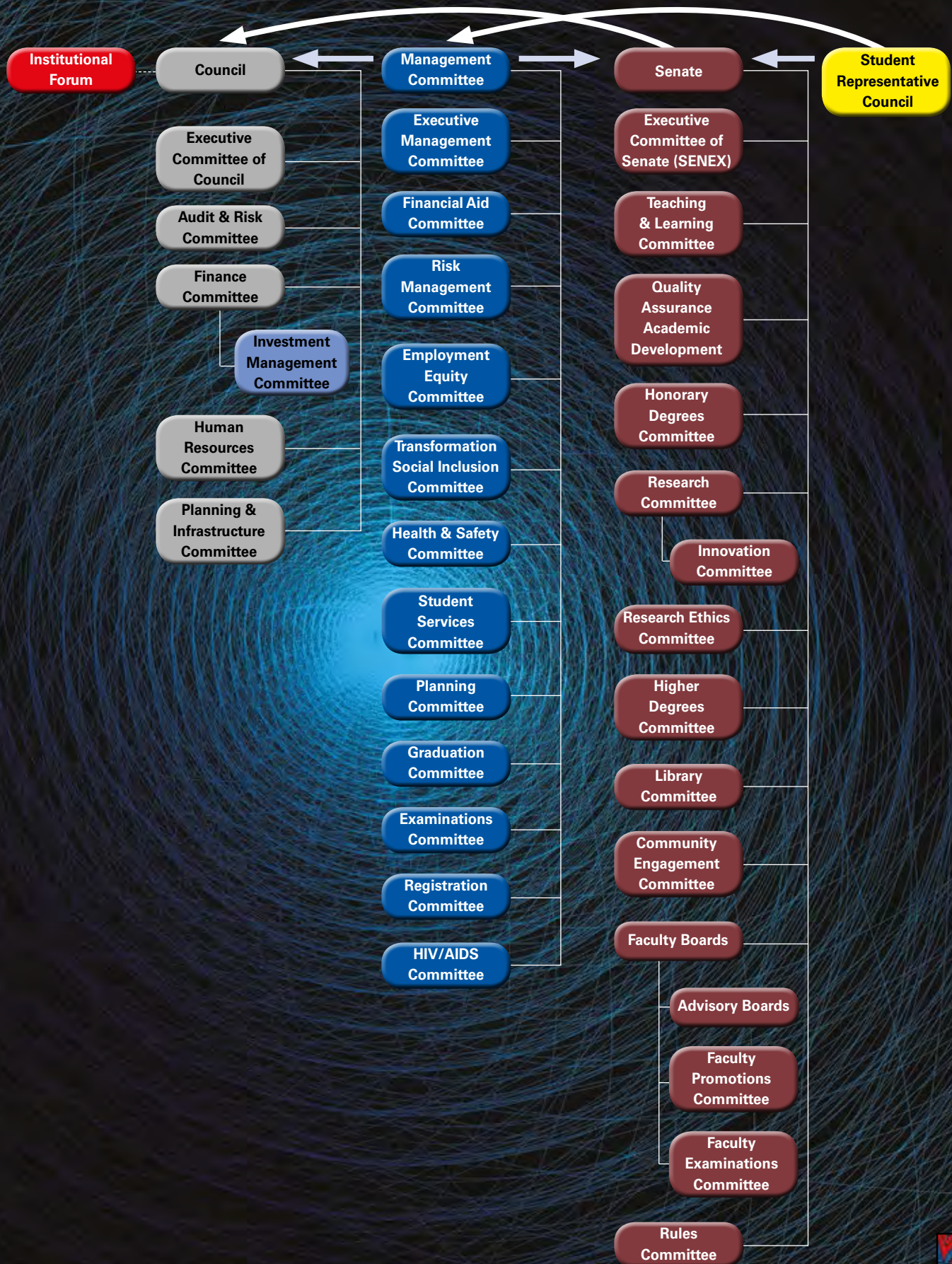
The Honorary Degrees Committee and Promotions Committee are joint committees of Council and Senate at UNIZULU.

## OTHER COMMITTEES

Other statutory bodies, constituted under the Act, are defined in the UNIZULU Statute, namely: Institutional Forum (IF); SRC; Manco; UNIZULU Executive Committee (Exco) and the Convocation. Following its statutory obligation to govern the Institution, including the management structures necessary to implement governance policy, Council recognises Manco and 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 concerning urgent matters per the UNIZULU Statute. Manco and Exco met monthly in 2021 and held several special meetings arising from urgent issues requiring attention. Diagram 3 provides an overview of UNIZULU's governance structure.



Diagram 3: UNIZULU 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 through 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 but it has an approved grievance procedure that is used to deal with most incidents of conflict.

## STAFF AND STUDENT PARTICIPATION – COOPERATIVE 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 the 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 the 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 labour-related 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 decision-making authority, either individually or jointly through their service on committees, are expected to observe the University's ethical obligations to conduct business through the use of fair commercial practices. 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 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 2021 and that approval of this statement was recorded at the full Council meeting, held on 29 September 2021, which had a quorum.



**Ms N. Caluza**  
**Chairperson of Council**









# COUNCIL'S STATEMENT ON SUSTAINABILITY

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

**S**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 into the management of the University. Unfortunately, the COVID-19 pandemic is impacting institutions around the world, the scope and economic dimensions of which pose a major threat towards achieving sustainable development goals. This sustainability report provides a forward-looking statement on how the Council believes that it can improve the positive aspects and eradicate or ameliorate the negative aspects concerning sustainability in the coming year. As an urban-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 Council recognises and embraces the University's responsibility in the transition to a sustainable future. Council is committed to ensuring that the University's activities – be they research and innovation, teaching and learning, community engagement 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 it on a path to a more sustainable future for all.

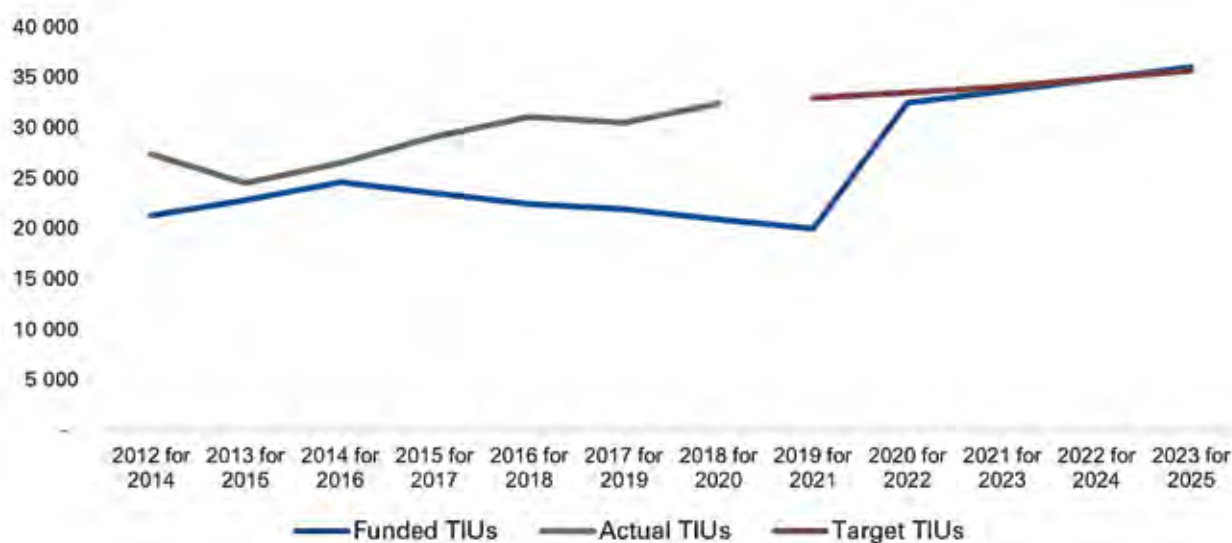
## TOWARDS A SUSTAINABLE FUTURE

### Financial

The majority of UNIZULU students (more than 80%) come from disadvantaged backgrounds. UNIZULU itself, as a historically disadvantaged institution, is highly reliant on State funding to support its strategic priorities. Fundraising is an important source of third-stream income and the University embarked on the establishment of an advancement office (AO), the aim being to provide as much support to students as possible. In the past, the funded teaching input units (TIUs) of the University of Zululand have been declining despite the growth in actual student numbers and teaching input units. The 2014 actual student numbers (used for 2016 subsidy allocation) translated to 26 500 TIUs while the University was funded for 24 600 TIUs, which translated to 1 900 unfunded units. This issue has now been resolved with the approval of the new enrolment plan of the University.

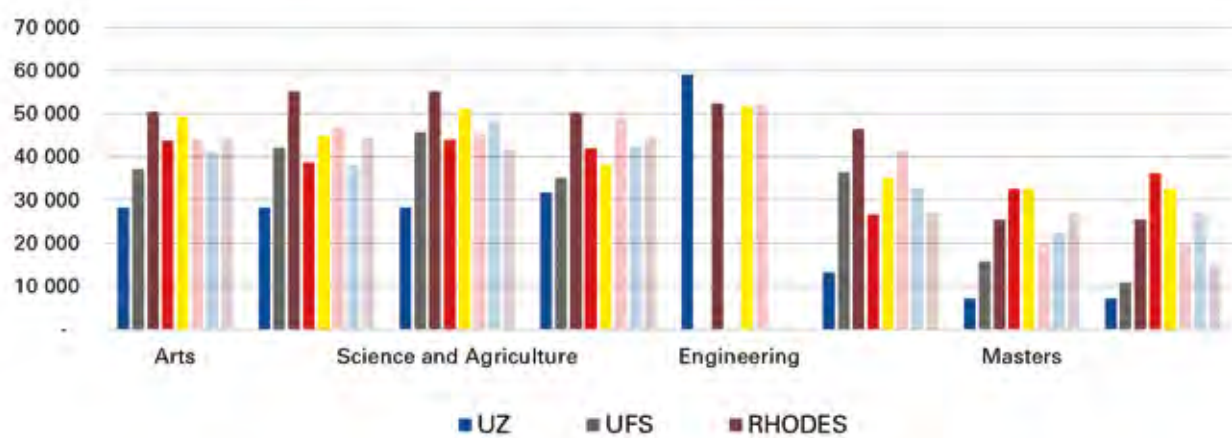


**Figure 1: UNIZULU's Teaching Input Units**

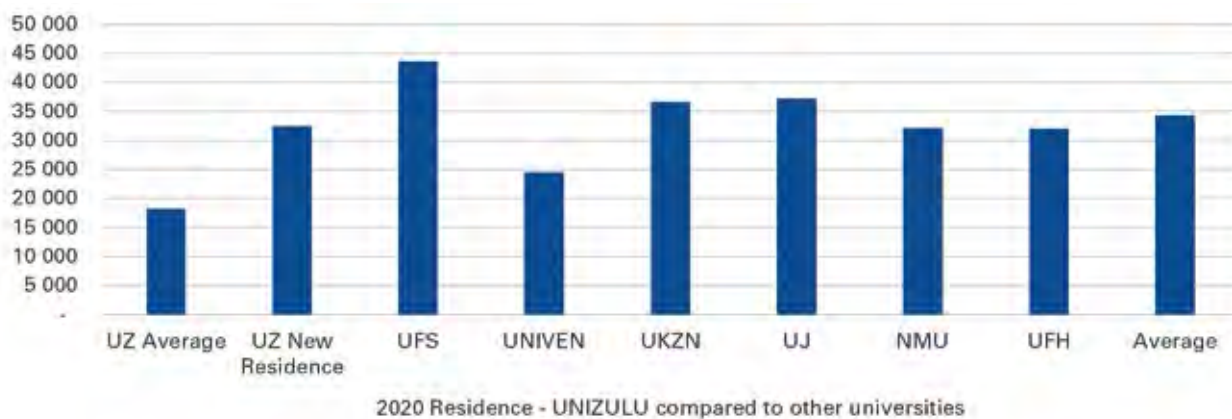


An analysis of UNIZULU's tuition fees in disciplines and at study levels, compared with some other South African universities, is provided below. Similarly, a comparison of residence fees is shown in Figure 3.

**Figure 2: UNIZULU's 2021 Tuition Fees Compared to other HEIs**



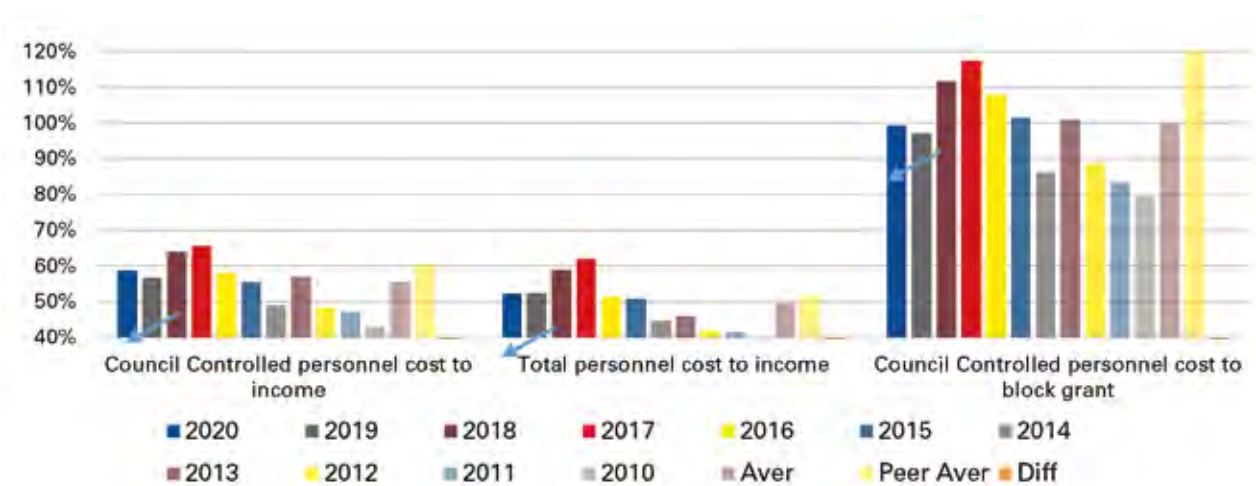
**Figure 3: UNIZULU's 2021 Resident Fees Compared to other HEIs**



It is clear that the tuition and residence fees at UNIZULU are very low when compared to other universities; in fact, it is widely known that UNIZULU tuition fees are among the lowest in South Africa. The cost of delivery should not be that different from other universities and this needs to be addressed strategically. With 80% of students at UNIZULU funded by NSFAS, which has changed to a bursary scheme (as opposed to loans in the past), adjusting the tuition fees should not adversely affect access to the University. The effect of economic pressure caused by the COVID-19 pandemic is also uncertain and will most certainly put

pressure on subsidies going forward. The University was, however, able to set the fees for its new Engineering courses at market-related rates. It is generally accepted that the higher the total cost of personnel as a percentage of income, the greater the risk to sustainability. The ratio is calculated using personnel cost as a percentage of total recurring income. The norm has been set by DHET as 58-62%. It is evident from Figure 4 that UNIZULU's Council controlled personnel cost to income was just above the norm set by DHET in 2017 and 2018, but it came down to within the norm again in 2019 and 2020.

**Figure 4: UNIZULU's Reduction in Personnel Cost**



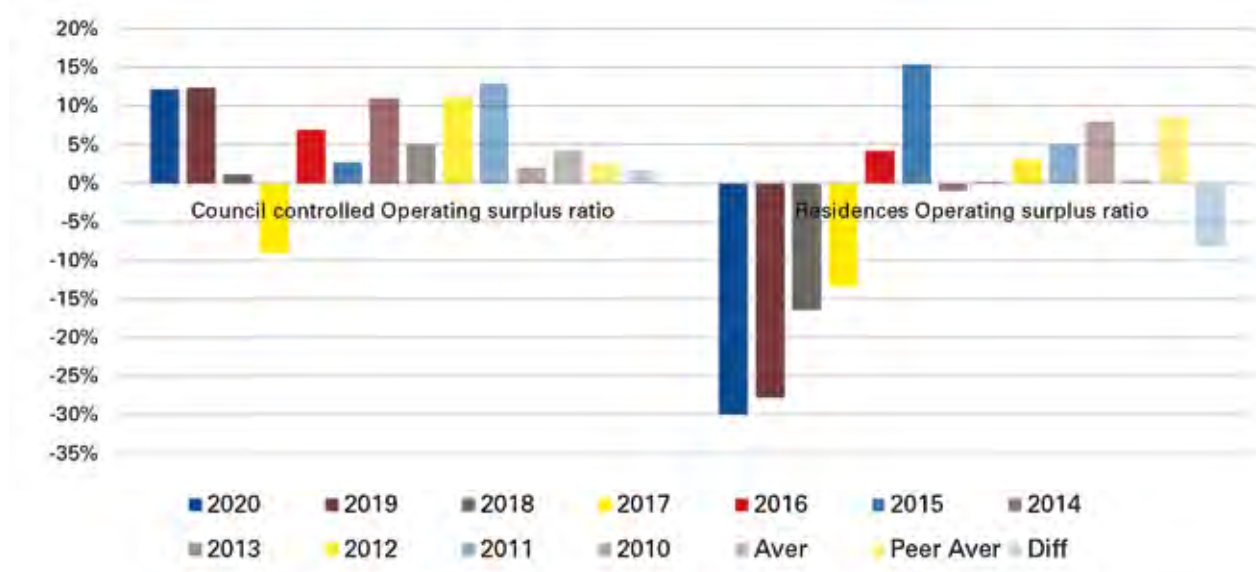
Although the Council controlled personnel cost to income ratio of UNIZULU is currently healthy (59%), it decreased from a high of 66% in 2017 (as illustrated in Figure 4). The main reason for this decrease is the phasing in of the Fee Gap Grant into the Block Grant (meaning an increase in income and not a decrease in cost), as well as additional contributions that needed to be made to the retirement funds of the University that were decreasing. For the 2022 budget, the University budgeted to fill 25% of vacancies. UNIZULU's budget policy sets the objective in terms of the personnel cost to income ratio that all general salary increases, pay progression, promotions, bonuses, contracts and temporary appointments, allowances and any other

increase in payroll cost should not exceed the 62% mark, which must be aimed at a long-term ratio of 60%.

The Reporting Regulations further require councils not to approve a deficit budget, where projected expenditure is above 3% of total income. The University has been able to generate substantial surpluses over the past few years (except for 2017); this has been far more than the peer average. The University furthermore started calculating and allocating overheads to residences over the last few years and residences are not self-sustaining at the current fees that are being charged. This will be corrected by ensuring that, as residences are renovated, the fee for that specific residence will be adjusted to a market-related fee.



**Figure 5: UNIZULU's Surplus/Deficit Ratios**



The income streams of a university are traditionally broken down into three streams:

- Stream 1: Percentage of a university's revenue from government subsidies and grants. This indicates the level of reliance on government funding by the university and its ability to generate funds for its survival.
- Stream 2: Provides an overview of tuition and accommodation fees as a percentage of income.

- Stream 3: This provides an overview of how a university generates income from other sources and activities to increase its capacity.

As there is no accepted norm, trends are important. The University aims to increase its capacity by raising third-stream income from grants and contracts to leverage the opportunities created for bursaries, equipment, postgraduate students, research outputs and personnel appointed on the projects.

**Figure 6: UNIZULU's Income Ratios**

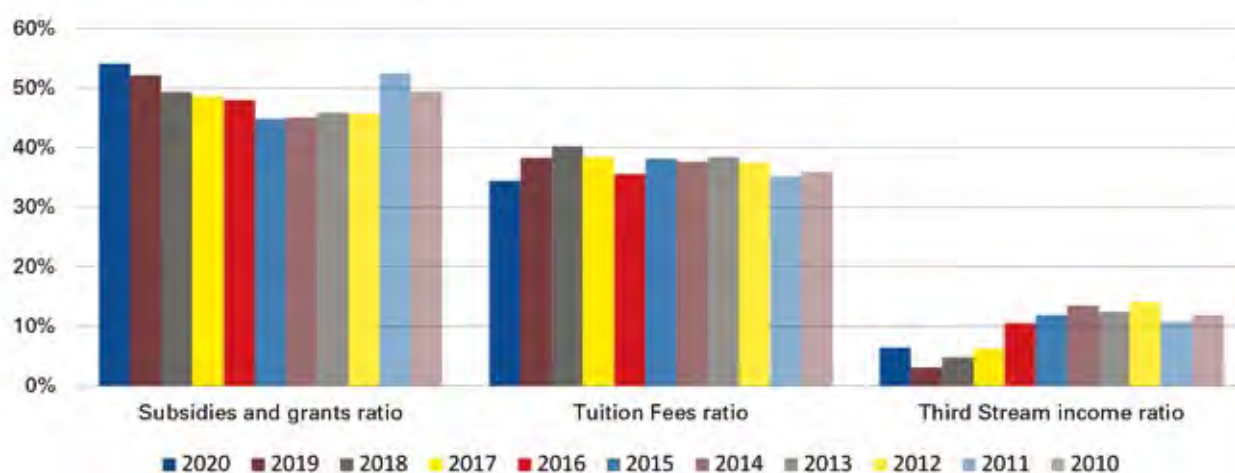


Figure 6 shows that subsidy as a percentage of income has been steadily increasing, meaning that the University is becoming more reliant on the State. There has also been a decline in terms of third-stream income. This can largely be attributed to the closing down and outsourcing in 2017 of the student dining

halls, which were making losses. UNIZULU will, in 2022, focus on strategies to increase its third-stream income.

The financial sustainability of the University is a collective responsibility, with ultimate responsibility resting with the

Council. UNIZULU's approved Financial Turnaround Plan has set the tone over the last three years and has been implemented with great success. Going forward, UNIZULU will focus on:

- Adjusting tuition and residence fees to be market-related
- Constraining budgets due to the economic impact of COVID-19
- Managing the spending of the DHET grants to ensure that all funding is used timeously
- Developing a third-stream income policy/strategy and implementing a drive towards increasing the third-stream income
- Sourcing bursary and other funding for Engineering students

As evidenced in the Finance Report, UNIZULU is in a sound financial position and is committed to continuing to strengthen its past achievements through continued fiscal discipline and financial oversight. Surpluses have been achieved in the last three financial years and accumulated funds have also steadily increased. The University, therefore, has sufficient funding sources to implement its strategy.

### Environmental, Social and Governance Issues

UNIZULU continues to assist students living in poverty by providing easier access to HE through the abolishment of all upfront administrative payments and registration fees. Students were registered regardless of their financial circumstances in 2021. In addition, UNIZULU 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. UNIZULU's enrolment costs as well as its student accommodation are affordably priced as UNIZULU students rely heavily on government funding and bursaries.

Food insecurity among students is a reality as many students do not have the means to pay for meals. UNIZULU has ensured that all service providers provide food at affordable prices and, in many instances, UNIZULU also contributes to the nutritional needs of its students. The University extends its effort to alleviate hunger by supporting local communities through collaborative efforts involves the Department of Agriculture's academic staff, CE 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 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 (DoH) and the DoH's King Cetshwayo District, UNIZULU provides rehabilitative and HIV/AIDS services, as well as TB, STI and reproductive health services to all its staff and students. University ambulances enable the University to provide a swift response to health alerts. Medications are provided free of charge. HEAIDS contributes significantly to UNIZULU's health programmes. UNIZULU also developed a COVID-19 Infection Prevention and Control Plan and guidelines in 2020 (extended to 2021), which were shared with staff and students. Daily COVID-19 screening records were kept in line with regulations. All guidance and counselling and support sessions were managed virtually. UNIZULU clinical nurse practitioners were trained by the DoH's King Cetshwayo District for testing and screening for COVID-19 following the DoH protocols. UNIZULU's established COVID-19 Hotline continued to operate in 2021, which enabled the University community to ask and receive appropriate information on COVID-19. An approved Integrated Human Resources Framework ensures transactional efficiency, improved recruitment and retention, an institutionalised performance management culture and an increased focus on staff well-being and development.

Quality education is enshrined in UNIZULU's strategic goals. Numerous enhancements, as evidenced in the Senate Report, Vice-Chancellor's 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 and Information Services contribute to a quality learning environment. Student staff ratios have received great attention and several mentorship and tutorship programmes have been developed. Continuous workshops have been held, aimed 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. With COVID-19, UNIZULU has had to adapt to online teaching, learning and supervision using platforms





such as Moodle, MS Teams, Zoom, emails and other social media platforms. Moodle has been used for formative and summative assessments. Regarding research, UNIZULU has shifted to online supervision, training, conferencing, and research management. This involved empowering supervisors and postgraduate students to utilise ICT and LMS to continue their research and supervision activities. UNIZULU harnessed online modes to ensure quality assurance of proposal approval at the Faculty Board, Higher Degrees and Ethics Committees. This has extended to the submission of Master's and Doctoral manuscripts for both external examination and the online processing of examiners' reports for graduation purposes have continued smoothly.

The Institution remained focus on recruiting and retaining a qualified cohort of academic staff in line with its Employment Equity Plan and the training of women through leadership development programmes. A full report on equity targets is contained in the Vice-Chancellor's Report as well as the Council's Report on Transformation. UNIZULU continues to implement and monitor its policies on sexual harassment, gender-based violence and anti-discrimination. These policies have been workshopped with students and awareness campaigns were held to make students aware of UNIZULU's aim to foster gender equality. 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.

The mission of UNIZULU: *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. This has thus increasingly become a measurement of the mission. Initiatives to enhance the employability of students/graduates are broadly related to relationships with employers (through WIL and niche area development), curriculum development (with a focus on graduate attributes) and student recruitment. UNIZULU also continuously conducts surveys to investigate the post-university activities and employment status of its graduates. To enhance University-industry partnerships, relations and the quality of engagement and placement of graduates, the University approved and implemented various policies to ensure that UNIZULU students are exposed to community initiatives and industries relevant to their degrees in a controlled and guided manner. Academically, the University also faces the need to address the academically under-preparedness of school-leavers. 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 UNIZULU101, which was fully implemented across all four faculties in 2020.

UNIZULU has made considerable progress in infrastructure development and planning. The new Spatial Development Framework was approved in 2019 and allows for optimisation of the landscape in which the Institution is situated. The new infrastructure build will also contribute considerably towards Richards Bay's development. The new infrastructure will not only address teaching and learning spaces, but also residence spaces. As evidenced in the Report of Chairperson of Council and Performance Assessment Report, infrastructure has been significantly impacted by COVID-19 in 2020 and 2021, however, UNIZULU continues to drive forward to achieve its infrastructure objectives.

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 itself and its stakeholders. The Integrated Transformation Plan identified transformation initiatives such as the development of an Employment Equity (EE) Plan and an Attraction and Retention Strategy, staff engagement at all levels, student leadership development, performance measurement, disability sensitivity, student throughput and a Service Delivery Improvement Plan. A five-year EE Plan was submitted to the internally established Transformation Committee for deliberations and monitoring. Numerical goals and targets were also determined using the KwaZulu-Natal Provincial Economically Active Population demographics.

Over the next decade, the government seeks to develop South Africa into a world leader in using strategy and innovation to improve activities of small businesses, as well as design





and create appropriate technology platforms, research and development coupled with infrastructural advancement. This should facilitate rural and township entrepreneurs in the context of youth/unemployed youth; students; school leavers; Matric students; entire communities. In alignment with the national research strategy, it is expected that establishing an entrepreneurship centre at UNIZULU will help develop young and old entrepreneurs in South Africa within the specialised area of improving and creating more small businesses. The focus, as it relates to the rural and township entrepreneurial RNA, will be the development of new businesses, the improvement of existing small businesses, with a view to creating jobs and improving the economy. In South Africa, research has shown that the rate of unemployment is increasing. The government has also recognized that strengthening entrepreneurial activities and increasing women-owned businesses will help reduce unemployment, poverty and inequality. UNIZULU is also 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. The University has a new Business Plan for the Richards Bay Campus, which was developed with the support and buy-in of the business community of Richards Bay and Empangeni, the local authorities in the region. This plan will be integrated into the KwaDlangezwa Master Plan.

The broad regulatory and legal framework is a key platform against which the University operates. As the higher education sector expands and UNIZULU grows, the need for more robust and programmed accountability is recognised and welcomed. Reporting to stakeholders becomes even more important. The University is taking the opportunity afforded by these greater reporting requirements to model its internal reporting so that regulatory requirements are met while simultaneously contributing to improved managerial information. The POPI Act and Consumer Protection Act

also create new reporting and communication requirements for students and third parties. The Auditor-General's (AG's) reporting guidelines and King IV imperatives impact on financial and general governance; the management and monitoring of research and its ethics; the protection of the University's intellectual property; and finally, the monitoring of compliance through the University's ethical framework for research. Disciplinary codes are in place to regulate the disciplinary processes and ensure that these policies and procedures are implemented in a manner that promotes justice and a peaceful environment. As is the case with many HEIs in South Africa, UNIZULU also has incidences of student protests. 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.

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. UNIZULU will continue its drive to provide quality education to its students and to ensure a safe environment for all staff and students. Transformation is key and with the new approved Strategic Plan 2027, UNIZULU is set to improve on and achieve its sustainability objectives.



**Ms N. Caluza**  
**Chairperson of Council**



# SENATE REPORT TO COUNCIL

**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.**

**O**perations 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
- Deans
- Professors, Deputy Deans and Heads of Departments
- Dean of Students or a person holding an equivalent position
- Head of the Richards Bay Campus
- One academic employee from each faculty, with at least the status of an associate professor, elected by faculties in accordance with paragraph 31(2)
- Directors of centres, institutes or units with an academic function appointed by the Senate
- Directors, or persons holding equivalent positions, of departments and units with an academic support function appointed by the Senate, including, but 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 Faculty of Arts (FA), Faculty of Commerce, Administration and Law (FCAL), Faculty of Education (FE) and Faculty of Science, Agriculture and Engineering (FSAE). Each faculty is led by a Dean and assisted by two deputy deans, one responsible for Teaching and Learning (T&L) and the other for Research and Innovation (R&I). Each faculty is made up of departments, created based on the specialty of the academic offering that is managed by Heads of Departments (HoDs). Support staff provide the required assistance to ensure proper administration in the faculties. During the year under review, UNIZULU employed a total of 370 academic staff members of which 119 are in FA, 62 in FCAL, 74 in FE and 115 in FSAE. Table 48 in the Vice-Chancellor's report provides an overview of all academic and academic support staff during the year under review.

FA is made up of 15 departments housing a wide range of fields, from Language and Linguistics to Social Sciences and the Humanities. FCAL is made up of five departments



comprising Accounting, Business Management, Economics and Econometrics, Law and Public Administration. The faculty also houses the Law Clinic. FE is made up of seven departments that provide programmes in Arts and Languages Education, Curriculum and Instructional Studies, Early Childhood Education and Social Sciences Education, among others. The faculty also has an Educational Professional Practice and Child Guidance Clinic in place. FSAE is made up of 15 departments, one of which offers the Foundation programme. BSC degrees are offered in 10 departments with 37 double majors. The double majors are offered by four departments, which offer focused degrees in Agriculture, Consumer Science, Engineering and Nursing Science. The Department of Agriculture offers three focused Agricultural degrees (Agribusiness, Agronomy and Animal Science). The Department of Consumer Science, on the other hand, offers two degrees in Hospitality and Tourism as well as Extension and Rural Development. The Engineering Department offers two degrees in Electrical and Mechanical Engineering. The faculty also offers postgraduate studies leading to the award of Master's and Doctoral degrees in Science, Agriculture and Nursing. The faculty also offers two diploma programmes in Hospitality Management and Sports and Exercise Technology.

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

## CHANGES IN ACADEMIC STRUCTURE

In line with UNIZULU's first and second strategic goals and the associated objectives, the Institution focused on maintaining

and advancing the PQM during the 2021 academic year to achieve a broad spectrum of programmes characteristic of a comprehensive university, drawing from both conventional university-type programmes and vocational offerings. The PQM development support involved programme development and accreditation applications; applications for official recognition of the foundation programmes by DHET; quality reviews associated with programme accreditation; professional body endorsement and qualification standards conformance; stakeholder engagement and participation in community of practice events; and deliberations of the latest developments in the national higher education quality landscape.

The programme development and accreditation application process has been continuously supported by the Quality Assurance Unit (QA), which assisted with internal programme development and approval processes at an institutional level after which it went through the approval process, namely: DHET PQM clearance/approval; professional body recognition/endorsement, where relevant; CHE accreditation; and National Qualifications Framework (NQF) registration by the South African Qualifications Authority (SAQA) and the allocation of a qualification ID. In addition, the University developed the Quality Assurance Policy, which was approved by the University Council in November 2021. The policy establishes an approach to continuous enhancement of the quality, efficiency and effectiveness of the processes and practice across the Institution, especially in relation to the academic enterprise. It guides and promotes adherence to academic standards and consideration of best practices in quality planning, assurance, control and continuous improvement/enhancement in relation to teaching and learning, research, community engagement and institutional operations.



Table 17 provides an overview of academic programme statuses.

<b>Table 17: Academic Programme Statuses</b>
<b>PQM CLEARANCE BY DHET</b>
Bachelor of Engineering in Civil Engineering Master of Consumer Sciences Doctor of Agricultural Sciences Doctor of Philosophy in Commerce
<b>CHE ACCREDITED PROGRAMMES</b>
Bachelor of Nursing Bachelor of Engineering in Electrical Engineering and Computer Engineering Bachelor of Education Honours in Social Sciences Bachelor of Education Honours in Inclusive Education Bachelor of Education Honours in Science Education Master of Arts in Sustainable Integrated Rural Development
<b>SAQA REGISTERED PROGRAMMES</b>
Bachelor of Education Honours in Language Education Bachelor of Education Honours in Educational Research Methodology, Bachelor of Education Honours in Economics and Management Sciences Education Bachelor of Education Honours in Inclusive Education Master of Arts in Sustainable Integrated Rural Development Doctor of Agricultural Sciences replaced Doctor of Agriculture in Animal Science Bachelor of Education Honours in Science Education
<b>ENGINEERING PROGRAMMES THAT RECEIVED PROFESSIONAL ENDORSEMENT</b>
Bachelor of Electrical Engineering in Process Instrumentation and Control Diploma in Engineering in Computer Systems and Diploma in Engineering in Electronic Communications
<b>PSYCHOLOGY PROGRAMME THAT RECEIVED HPCSA ENDORSEMENT</b>
Master of Clinical Psychology

FSAE implemented two Engineering programmes and Computer Literacy for all first-year students in 2021. The faculty also offered a new BSc Honours in Statistics. The Department of Nursing Science received provisional approval from the SA Nursing Council to begin offering the new Bachelor of Nursing programme from 2022. FCAL went through a consolidation phase in 2021 and intends to develop five new programmes before the end of 2022 in line with the University's new Strategic Plan 2027, with notices of intent already submitted and approved by the various structures. These include:

- Advanced Diploma in Transport Management
- Advanced Diploma in Management of Cooperatives
- Bachelor of Commerce in Entrepreneurship
- Postgraduate Diploma in Public Management
- Postgraduate Diploma in Corporate Governance (resubmission)

## Doctoral Reviews

After hosting the CHE Doctoral Degree Review panel virtually from 19-22 October 2020, the University received the preliminary draft of the Doctoral Degree National Review

Report on 26 April 2021. The University was required to comment on factual accuracy issues and submit a response to the CHE before the review report was finalised. The content of the report was studied to validate the factual findings and to correct inaccuracies and misunderstandings, where necessary. The factual inaccuracy correctional representation was submitted to CHE on 22 May 2021 for the institution's comments to be considered by the review panel in developing the final report. Not all identified factual inaccuracies were accepted by CHE.

Upon receipt of the final report from CHE's Doctoral Review panel on 31 July 2021, the University engaged in a workshop with academic DVCs and Faculty Deans to unpack and discuss the CHE findings and recommendations. During the discussion of the final Doctoral Review Report, the University established that some of the issues on which clarity was submitted re-emerged in the final report. For example, the matter of the Writing Centre and all comments associated with the publications were clarified in the Institution's factual accuracy response to CHE/the Council on Higher Education (HEQC). While the report made several clear recommendations, some of the comments



could not necessarily translate into actionable improvement activities. The development of the UNIZULU Doctoral Review Improvement Plan considered all the comments made by the review panel as valuable inputs towards the improvement of the quality of provisioning of doctoral studies at the University. The Doctoral Review Improvement Plan was submitted to the HEQC on 28 October 2021.

## TEACHING AND LEARNING DURING THE COVID-19 PANDEMIC

The advent of COVID-19 pandemic has necessitated a shift from the norm of classroom-based teaching to an online and blended learning approach in institutions of higher education. For the University of Zululand, this shift necessitated a slight adaptation of the University's approved teaching and learning policies. The University Teaching And Learning Plan (2020), teaching and learning policy, and e-learning policy approved by Council before the COVID-19 pandemic, have already created an explicit place for the use of technologies and blended learning modalities to distribute learning opportunities to students.

During the level 5 (2021) lockdown restrictions, the University continued with the core teaching and learning functions using the blended mode of teaching and learning. In this instance, blended/hybrid learning integrates technology and digital media with traditional lecturer-instructor-led classroom activities, giving students more flexibility in their learning experiences. However, students were called back to campus after the lockdown measures were eased for access, connectivity to learning resources, and attending support programmes. The following measures were further taken into consideration:

- The timetable had to take the mode of delivery for the selected modules into account. New arrangements for assessments were also factored in.
- Repurposing teaching and learning venues for blended learning were prioritised (centre hubs were installed in some venues).

The Teaching and Learning Plan (2021) was further built around blended/hybrid teaching and learning models. Faculties identified modules that could be offered through the blended learning approach and those that would be fully online (based on the context, built-in practical, experiments, and software used only while on-site). For instance, some students attended lecturer-led instruction, as per the breakdown below:

- FCAL – 447 students studying Management Information systems use a specialised software/programme. This required physical presence to be accessed.

- FSAE – 710 students attended contact laboratory and practical lectures
- FE – 1619 students attended their practical and Teacher in Action Module. These students also received support from tutors and mentors

With the easing of regulatory COVID-19 stipulations, students were allowed to return to campus. However, they were still not permitted to physically attend classes. Teaching was online, and each module's teaching materials were on the Moodle page for the department and faculty. COVID-19 measures were in place in all venues used. A blended learning approach involves replacing some aspects of face-to-face teaching with online teaching and learning. An upgrade of the LMS to the latest version of Moodle was undertaken over the weekend of 3-4 April 2021. This afforded the University to move to online teaching and learning without major problems. The Moodle system has mobile applications that enable students to download materials and work on and upload them. The system involved in the installation of several applications. This included BigBlueButton, Virtual Programming Laboratory, Virtual Meetings Plugin (Zoom), and EBSCO host Curriculum builder. Continuous training and support equipped academic staff with knowledge and skills on how to record their lessons remotely. Students were able to upload these lessons. Academics were able to build question data banks that could be used for quizzes to gauge and assess students' understanding. Marking was done online and students were supported on an individual basis and collectively through direct online interactions. Weekly reports of student-lecturer engagements were submitted to the Deputy Dean of Teaching and Learning and discussed with the DVC Teaching and Learning. Student participation was also monitored through Moodle.

## Writing Centre

The Writing Centre provides writing skills for students. The aim is to facilitate enhanced learning and to promote epistemological access. This is done by emphasising writing as a mode of learning where cognitive functions such as analysis and synthesis are developed through spoken and written language. The Writing Center hosts events and workshops that offer guidance to student writers, and supports writing in the disciplines by providing faculty development opportunities in planning, developing and implementing effective writing pedagogy. The centre works with the students to: deepen their understanding of academic literacy and the writing process, emphasise writing as a mode of learning; monitor and guide students on how to write intelligibly and to equip them with linguistic competence and communication skills required for academic learning. Since the COVID-19 outbreak, the centre

concentrated on writing support for postgraduate students, mostly online and through emails. In addition, student tutors and writing centre assistants have been appointed to assist both staff and students.

## Teaching and Learning Centre (TLC)

UNIZULU developed strategies for remote/online and blended/multi-modal teaching and learning and staff training

workshops were held to support the academic staff in the use of the online spaces such as Moodle, MS Teams and Zoom. In addition, three policies/frameworks were developed/ reviewed to inform the transformation of teaching, learning, and assessment (e-Assessment Policy, Multimodal Teaching and Learning Framework and the RPL policy).

Table 18 provides an overview of staff development initiatives undertaken by the Teaching and Learning Centre:

**Table 18: T&L Staff Development**

TAU Fellowship Programme	The Teaching Advancement at University (TAU) is premised on the advancement and understanding of the scholarship of teaching. The programme is centred around an inquiry group (critical friends) that advisors or mentors support for 18 months. Two academics who were accepted into the programme in 2021: Dr Mudali (Computer Science – Trialling isiZulu translations of Software Design video lectures) and Dr Sibanda (Agricultural Sciences – Exploring extrinsic and intrinsic motivation for supervised agriculture-based learning at UNIZULU) presented their projects at departmental level as well as during the academic week.
e-Assessments	With the migration to online examinations and assessments, a need arose to continuously provide academics with the necessary skills to conceptualise, develop and implement online assessments. An e-Assessment workshop was organised for academics and divided into three categories according to the participants' competencies: beginners, intermediate and advanced groups. The workshops were conducted on 26 February 2021, 2 March 2021 and 5 March 2021. A total of 214 academics attended the training sessions.  In addition, a two-day online assessment workshop was conducted for academics on 17-18 June 2021. The workshop programme focused on the theoretical approach to online assessment and was attended by 162 academics. UNIZULU uploaded the presentations on the Moodle platform for academics who were unable to attend.
Workshop on Multimodality and Multimodal Pedagogies	Two workshops on multimodality and e-pedagogy were respectively held on 18 August 2021 (for FCAL and FSAE) and 19 August 2021 (for FA and FE). The purpose of the workshop was to engage with the concept of multimodality and theories that underpin multimodal teaching and learning, including blended learning and e-Learning. The workshop also provided tools and ways of analysing signs in student texts and how the use of semiotics can be used to stimulate students' critical thinking and problem-solving skills.
Workshop for e-Portfolio Development	A workshop was held from 5-7 October 2021 for academics to develop their portfolios. The workshop's purpose was to provide academics with skills on how to reflect on the activities and practices of their teaching, research, community engagement, and university services. The facilitators demonstrated how one can develop an e-portfolio on Google Drive. In addition, academics were introduced to what informs individual teaching philosophy. The workshop aimed at equipping academics with skills to develop their e-portfolios that are needed for a promotion, performance management, and the VC's excellent Teaching and Learning Awards.
Academic Staff Induction	Newly appointed academic staff members attended an induction workshop from 3-4 June 2021. It introduced academic staff to key aspects of teaching, learning, assessment, research, community engagement, policies, approaches, and practices in higher education and research practices. It is aimed at improving previous practices and providing a safe space for academics to share and reflect on their practices.
Postgraduate Diploma in Higher Education Teaching	12 staff members registered for the Postgraduate Diploma in Higher Education Teaching for the 2021-2022 academic years.
New Generation of Academics Programme (nGAP)	Phase 5 and Phase 6 nGAP lecturers were appointed and Phase 7 positions were approved.
Nurturing Emerging Scholars Programme (NESP) phases 1 and 2	The University applied for five NESP (Phase 1) positions, but only three were secured. The interns are currently registered in the Department of Anthropology and Development Studies – FA, Public Administration – FCAL and Computer Science – FSAE. Candidates for the first phase of the project have been selected and approved. The interns are now registered for their Master's qualifications. The TLC applied for Phase 2 of the programme, and it is awaiting approval from DHET.





Table 19 provides an overview of student development initiatives:

<b>Table 19: Student Learning and Support</b>	
First-year Orientation	The FYE Orientation is an important stage in the life of a First Time Entering Student (FTENS) whereby they are taught about the academic and social experience and what to expect at the University of Zululand. The programme prepares FTENS to learn and negotiate their new physical, social and academic environment. In 2021, FTENS participated in the FYE Orientation programme to get to know the various programmes offered by the different faculties and support services. A new Moodle instance was built to cater for the FYE Orientation programme, which was isolated from the other Learning Management Systems (LMSs) and allowed for manual enrolment of students. During the orientation period, support was provided to academics and students to ensure that their presentations were accessible. The sessions were held on the Big Blue Button (BBB). There were no technical issues experienced during this period. A training session was held with academics, and a manual was developed for students. Figure 7 is a webpage on Moodle where all orientation activities took place.
FTENS Basic Academic Writing Skills Workshop	The workshop was held with the FE FTENS from 19-22 April 2021. The same workshop was conducted for the FCAL FTENS from 28-30 April 2021. The intended outcomes were to improve academic reading, writing and communication skills and the ability to effectively apply knowledge and skills of using academic literacies when producing texts.
FYE Basic Computer Training	With the migration to multimodal teaching and learning, there was an urgent need for students to be upskilled in basic ICT literacy skills. Many first-year students attending the University of Zululand had no encounters with ICT in their secondary education as approximately 64% of students come from Quintiles 2 and 3 schools. At the beginning of the computer training, FTENS were given a questionnaire to establish the level of their ICT skills. The training workshop was attended by FTENS from the four faculties on 30 March 2021 and was conducted via Zoom by three facilitators. A follow-up two-day computer training workshop was organised for students as continuous support in preparation for the end of the 2021 first semester examination. A three-hour workshop was on 24-25 June 2021. About 500 first-year students attended this workshop. The students were capacitated with the necessary skills to use MS Word and LMS and to write and upload assessments on the LMS. The workshop covered focus topics such as using MS Word, Moodle and using Turnitin. Both workshops were recorded and uploaded in the Teaching and Learning Moodle instance. Another recap workshop for FTENS was conducted before the 2021 second semester exams. Mentors who attended the workshop shared the workshop videos during their sessions with FTENS and in their mentorship programme slots in preparation for the examination.





**Table 19: Student Learning and Support (continued)**

FCAL Literature Review Workshop for Honours Students	The training was conducted for 31 FCAL Honours students on these dates: 15, 16, 22, 23, and 29 April 2021. Dr Mbandlwa from DUT conducted the five-day training via MS Teams, and each session lasted for five hours per day. The purpose of the workshop was to introduce students to the world of research by equipping them with a theoretical and practical basis for literature review, and with skills, knowledge, and competencies on how to manage review literature.
Referencing, Plagiarism and Paraphrasing Workshop	A five-day workshop was conducted from 16-20 August 2021 for undergraduate and postgraduate students via MS Teams. The scope of the workshop focused on referencing, plagiarism and paraphrasing.
Engineering Student Seminar	On 17 September 2021, an Engineering seminar-workshop took place at the Richards Bay Campus. The workshop aimed to capacitate and empower first-year Engineering students with the skills, knowledge and insights they would need in the field of Engineering. The overall objective was to foster an understanding and appreciation for the importance of a career in Engineering within the context of undergraduate students' experience. It also aimed to facilitate students' adjustment to the high expectations and challenges of university life, the prospects of job opportunities, bursaries, and collaborations with companies at the municipal or local level. The aim was to build community practices and increase academic success. More than 90% (77 first-year students out of 90 registered students) attended this workshop.
Tutorial Programme	Tutoring is part of the University's teaching-learning process and is a basic strategy for improving students' academic success and professional goals. Tutors are senior students from the same field of study that have been trained for tutoring. Tutorials have proved to be an effective way of providing academic and personal support. Tutorial sessions are there to assist students in applying and discussing content related to the module, as delivered in class. In addition, tutorial sessions offer regular, peer-facilitated sessions out-of-class and after lectures, thereby integrating content with learning skills and study strategies. The work covered and facilitated in the tutorial sessions is, therefore embedded within the context of a particular discipline, which is dependent on the faculty. In the first semester of 2021, a total of 26 departments requested tutor support. Departments (25) were consulted and asked to resend their applications for the second-semester application for tutors (Arts, FCAL, Education, and Science, Agriculture & Engineering). Online induction workshops were provided to tutors in both semesters via MS Teams.
Mentorship Programme	Peer mentoring in higher education is regarded as an effective intervention to ensure the success and retention of vulnerable students. The focus of the mentoring programme is to provide information, guidance and encouragement to students so that they solely give direct attention to their studies. It aims at enabling and nurturing undergraduate students to reach their aspirations and, importantly, enjoy studying at UNIZULU. A total of 40 mentors were appointed and trained to assist students in the four faculties in 2021.

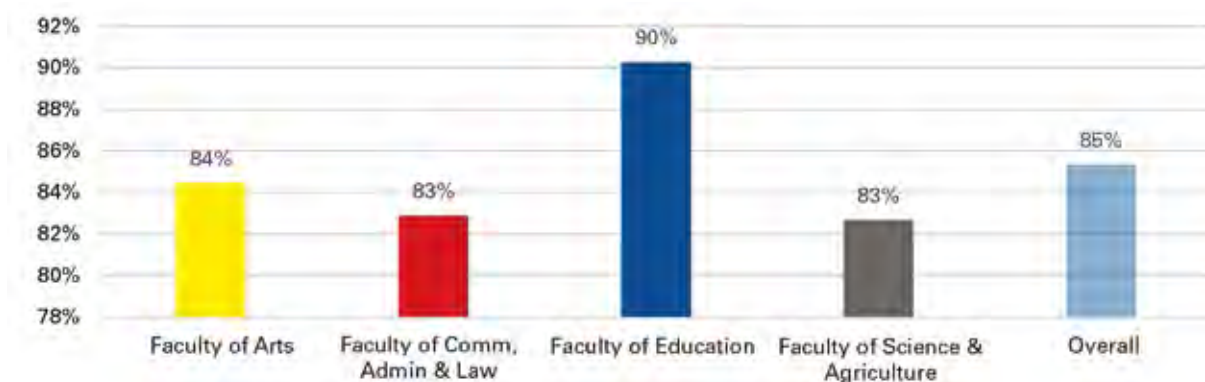
The TLC continued to provide ongoing support to academics and students through development initiatives that enhance students' learning and success. Moodle served as a powerful tool to communicate, teach and assess learning. Webinars, Zoom, MS Teams, and other online platforms were used to share content. This can be done synchronously and asynchronously.



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

Figure 7 provides an overview of faculty pass rates for the year under review. The overall pass rate for 2021 is 85%. First, the FA achieved an overall pass rate of 84%, with an average examination mark of 61%. In contrast, FCAL achieved 83% with an average mark of 61%. Next, the pass rate for FE was 90%, with an average mark of 65%, and lastly, FSAE had a pass rate of 83% and an average mark of 61%.

**Figure 7: Pass Rate per Faculty**



## WORKING WITH INDUSTRY

DEPARTMENT	SUBJECT ENROLMENTS	SUBJECTS PASSED	PASS RATE	SUCCESS RATE	AVERAGE FINAL MARK
Faculty of Arts	26 000	21 958	84%	90%	61
Faculty of Commerce, Administration and Law	30 233	25 064	83%	89%	61
Faculty of Education	36 490	32 943	90%	95%	65
Faculty of Science, Agriculture and Engineering	28 784	23 801	83%	88%	61
<b>Overall</b>	<b>121 507</b>	<b>103 766</b>	<b>85%</b>	<b>91%</b>	<b>62</b>

Modules with pass rates below 50% were identified. The TLC worked with faculties to support the students who experienced difficulties in certain modules. The tutorial and mentorship programmes were provided in all the faculties to support student learning. Some departments requested additional tutors to improve student performance.

## COMMUNITY ENGAGEMENT AND SERVICE LEARNING

The Community Engagement Unit (CEU) conducted three workshops in the form of webinars in 2021. The first webinar held on 3 June 2021 conducted by Prof. G. de Lange from Nelson Mandela University on the institutionalisation of Community Engagement. The second webinar on Academic Service Learning held on 7 September 2021 to explore modalities to institutionalise service-learning (S-L) as a pedagogical tool, which holds

a potential to enhance university-community relationships while unlocking students' development as responsible citizens. The keynote speakers were Prof. Carol Ma (Singapore), Prof. Falaye (Nigeria) and Dr Dippenaar (South Africa). The third webinar was held on 17 September 2021 on the Scholarship of Engagement. The discussion was led by Prof. Lortan from Durban University of Technology and Dr Hart from University of Western Cape.

The CEU also engaged in the following projects in 2021:

- The CE unit partnered with local NGOs, the Municipality, SASUF student network, Faculty of Science, Agriculture and Engineering and Green Goodwill-National Waste Unit on illegal waste management in the City of uMhlatuze. The team aim is to improve social innovation and Local Economic Development.
- The CEU worked with the University of KwaZulu Natal,

Durban University of Technology and Mangosuthu University of Technology on Edendale History project.

- The CEU office held meetings with the local industries to establish their needs and explore collaboration strategies. Meetings with two industry partners were held on the 8th and 15th September 2021. The discussions resulted in the development of a pool of experts in STEM related fields with special focus on development and empowerment of women and local economic development.
- Two meetings were held with the Hluhluwe community to understand their common needs. Career guidance, access to NSFAS and agricultural empowerment workshops were found to be key needs in communities. The other needs included determining the availability of water in their areas.
- The CEU Manager was delegated to represent UNIZULU at the CSIR KZN workshop on Techno Hubs. The purpose was to assist RBIDZ to develop its business case or strategy. Stakeholders from local industries, SMMEs, the municipality and institution of higher education were part of the workshop.
- The CEU partnered with DramAide to run dialogues at Obanjeni on issues relating to young women in October 2021. The unit participated at the Obanjeni women's dialogue, and was accompanied by two students from the Department of Development Studies to disseminate their findings on matters related to women, land and economic initiatives.

## SPECIFIC PROJETS

### SAMRC/UNIZULU COVID-19 Wastewater Surveillance Project

An MoU was concluded with the SA Medical Research Council to monitor SARS-CoV<sub>2</sub> viral load from wastewater samples recovered from uMhlathuze Municipality wastewater treatment plants. The detection of SARS-CoV<sub>2</sub> in municipal wastewater influent presents  $\pm 14$  days prior to a spike in clinical cases, thus monitoring the presence of SARS-CoV<sub>2</sub> in wastewater may aid in early warnings and the design of appropriate control measures. Three technicians have been trained in SARS-CoV<sub>2</sub> wastewater epidemiology using PCR detection and quantification. Furthermore, three internships have been filled and the candidates are currently being trained in accordance with the SAMRC SOPs on SARS-CoV<sub>2</sub> RNA extraction and PCR detection and quantification. Currently, the UNIZULU SARS-CoV<sub>2</sub> Surveillance Unit is working on a research paper on the data that has been generated to date.

### Red Meat Industry Research Association/UNIZULU

An MoU was concluded with the Red Meat Industry Research Association to examine and study antimicrobial resistance among zoonotic foodborne pathogens recovered from red meat in KwaZulu-Natal province. The general aim of the study is to determine antimicrobial resistance among (*Salmonella* species, Methicillin Resistant *Staphylococcus aureus* and Shiga toxin *Escherichia coli*) isolated from the beef value chain.

A memorandum of agreement (MoA) with the Department of Science & Innovation, National Research Foundation, and South African Institute for Aquatic Biodiversity (DSI-NRF-SAIAB) was concluded for the development of the Joint Marine Labs Programme (JMLP). The objective of the MoA is to develop the Coastal and Estuarine Ecotoxicology Joint Marine Laboratory at the University of Zululand. SAIAB has undertaken, as specified in the MoA, to provide funding for the upgrade of the existing Coastal and Estuarine Ecotoxicology Laboratory (CEEL) in the Zoology Department as well as the purchase and installation of new research equipment to the value of R4.6 million.

## COLLABORATION AND PARTNERSHIPS

UNIZULU is engaged in various collaborations and partnerships, as evidenced herein:

### South African Sweden Universities Forum

The South Africa-Sweden University Forum (SASUF) is a strategic internationalisation initiative aimed at strengthening cooperation in higher education, research and innovation between South Africa and Sweden. It was conceptualised in March 2016 following an exploratory visit to South Africa by Vice-Chancellors from Swedish universities. Thirty-eight universities are a part of the project today.

The SASUF Student Network is determined to continue with the operations of the network even beyond the SASUF Network boundaries. At the University of Zululand, the student network is known as 'Siphila Kanje' meaning 'This is how we live'. The forum works independently but collaborates with Umeå and Stockholm University. Although open to all students from various faculties, the student network is housed by the Consumer Sciences Department. It aims to bring together South African and Swedish students and other relevant stakeholders in research, education and innovation to jointly engage on global challenges and their impact on society, especially on the youth. The main activities in the project include research and innovation seminars, student





and staff exchanges, and joint projects. UNIZULU SASUF Student Network engaged in different projects, which included livelihood and entrepreneurship working with the community (sewing, beading and recycling).

UNIZULU, in collaboration with Swedish universities, participated in seminars, roadshows, symposiums, and edutainment events. The projects included hosting workshops with communities and stakeholders in the Hluhluwe and KwaZulu-Natal areas. Sewing training was held during the Women's Day celebration in March 2021; Amahewu brewing training was held in September 2021; a garden launch for Siphila Kanje (One SASUF University One Garden); the Siphila Kanje Edutainment festival held in collaboration with the Consumer Science Department and in commemoration of World Food Day; and celebrating International Women's Day organised by the Swedish Embassy in October 2021.

### Entrepreneurship Project, US Embassy

The University, through its International Linkages Office, received a grant in September 2021 from the US Embassy in South Africa to develop an Entrepreneurship Centre. The project involved a collaboration with the Appalachian State University and delegates from the University met in November 2021 with ASU delegates in the United States to kickstart the project.

### GLA University, India

The Faculty of Science, Agriculture and Engineering, in collaboration with GLA University, India, published three (3) articles in international peer reviewed journals. These publications titled: (i) *Different approaches in thin layer chromatography for enantioresolution of acebutolol using colistin sulfate as chiral selector*. in the Journal of Planar Chromatography, (ii) *Cobalt Ferrite Nano composite as electrochemical sensor for the detection of guanine, uric acid and their mixture*. In the Chemistry and Chemical Technology Journal, and (iii) *Synthesis of novel 1,4-bis-isoxazol/pyrazole and phenylpyrazole scaffolds by efficient green protocol and evaluation of biological properties thereof*. In the Research Journal of Chemistry and Environment.

### University of Namibia

The Faculty of Science, Agriculture and Engineering in collaboration with the University of Namibia, published two (2) book chapters in international peer reviewed books. The titles of these publications being: (i) *Greener catalysis for sustainable development of fine chemicals: An environmentally benevolent approach*. (2021) Chapter

12 Handbook of Greener Synthesis of Nanomaterials and Compounds, Elsevier. 442-467, (ii) *Hybrid nanocomposites based on cellulose nanocrystals/nanofibrils and titanium oxides: wastewater treatment*. (2021) Chapter 6 Pages 141-16 Handbook of Cellulose Nanocrystal/Nanoparticles Hybrid Nanocomposites: From Preparation to Applications, Woodhead Publishing Series in Composites Science and Engineering, Elsevier.

### Istituto Officina dei Materiali – CNR Laboratorio TASC, Italy

The funding for this collaboration has ended but UNIZULU acquired much data and are continuing to collaborate in publishing it. In 2020, UNIZULU submitted a paper for publication and it was accepted by Applied Surface Science in 2021.

### Prof. Sifiso Ntshangase – York University in UK

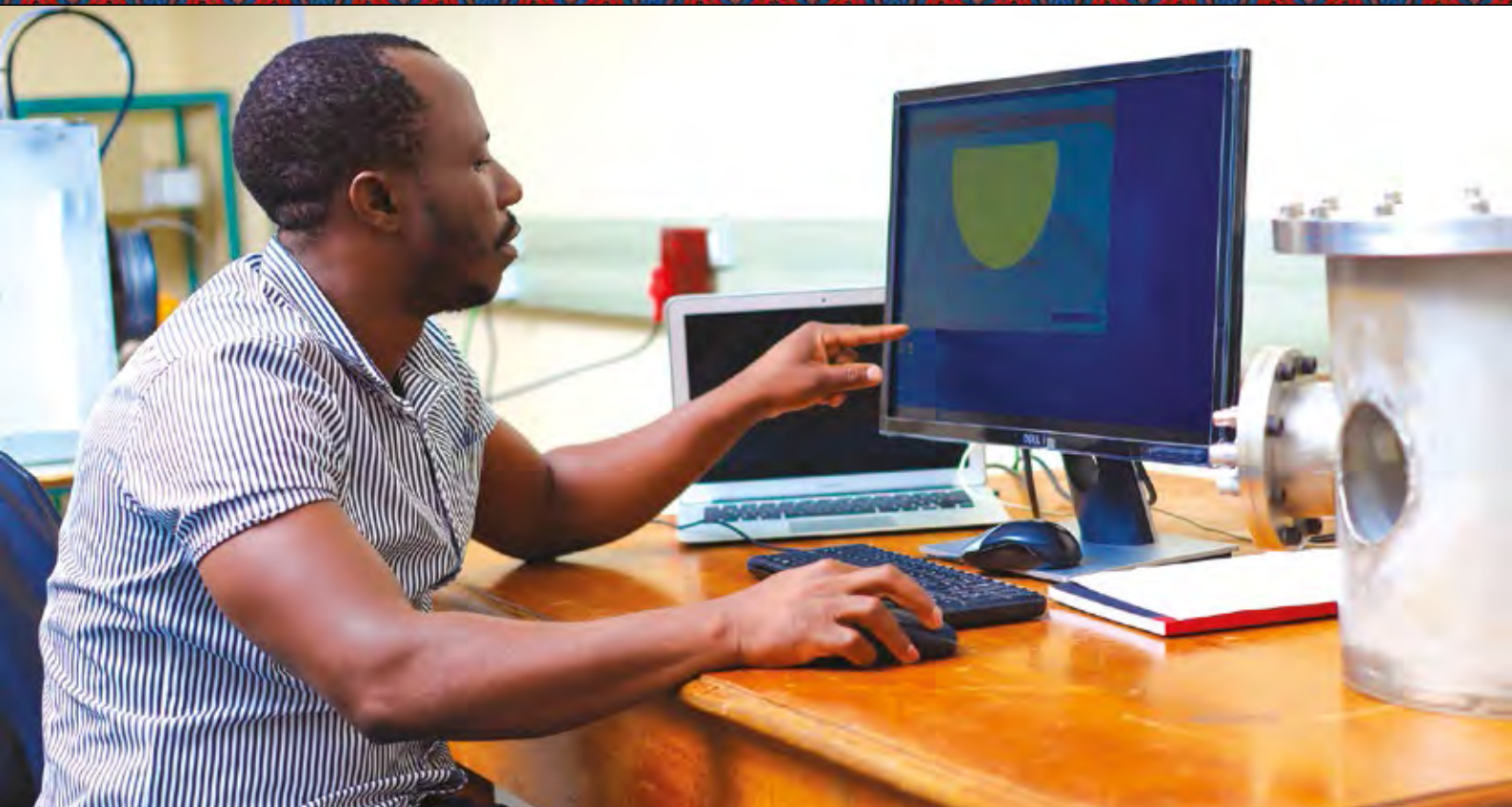
The collaboration between the Universities of the Western Cape (UWC), UNIZULU and York (UK) is a longstanding one. Together, Professors Jenkins (York), Ntshangase (UNIZULU) and Orce (UWC) proposed the first African-led experiment at the European Organization for Nuclear Research (CERN) in 2012 and together ran the Ubuntu Experiment in July 2017. In November-December 2021, the UWC researchers visited UNIZULU to help set up MANDELA laboratories with UNIZULU researchers and postgraduate students. They are now fully operational at UWC and UNIZULU, with the fastest digital systems, high-performing computers, modern experimental set ups, particle and gamma detectors and high-end 3D printers.

### Prof. A.T. Nzama – Haaga-Heila University of Applied Sciences, Finland

Through this project, the University of Zululand has received a generous amount of R1 615 543.22 to purchase equipment, which has been securely placed in three designated learning areas within the Faculty of Humanities and Social Sciences. This academic activity is ongoing as part of the University's teaching and learning strategy.

Phase 1 included baseline research that was conducted in 2020 aimed at establishing the relationship between universities and the industry and the skills considered by the industry as crucial. Phase 2 consisted mainly of four training sessions. The first session commenced on 15 February 2021 and proceeded on 17, 19, 22, 23, 25 February and ended on 26 February 2021. The training was attended by a group of 40 participants from all six participating universities. The second session commenced on 24 May 2021 and ended on 17 September 2021. The third training is to be held at the University of





Johannesburg from 1-4 February 2022. The fourth training session is to be held in Finland – Haaga Helia University on 4-8 April 2022.

## RESEARCH AND INNOVATION

This section of the report covers the activities of the Research and Innovation Division through its various programmes. Overall, research outputs (publications) for the University of Zululand have been on the rise in the past seven years. Furthermore, UNIZULU has continued to grow in national and international collaborative projects. As alluded to in the relevant sections of this report, there is increasing recognition of the impact of the UNIZULU brand in the science and innovation space, as well as on the policy discourse regionally, nationally and internationally. Various staff members and researchers have been increasing research collaborations nationally and internationally. This is realised by the increasing amount of MoUs being signed annually in all the four faculties. Moreover, more staff members in UNIZULU are being appointed to national strategic task teams. One member was appointed in the PhD review project by CHE, one on the honorary doctorate task team and another was appointed as Chairperson of the CHE research output evaluation sub-panel for Humanities and the Arts discipline. The Institution was selected as one of the collaborators with the South African Medical Research Council in research determining the status of COVID-19 infections in the UMhlatuze region of KwaZulu-Natal.

UNIZULU is known as the sixth-best institution in Africa in the field of nanotechnology. Consistent growth in research publications and related subsidy income, advances in innovative projects, etc. attest to the fact that UNIZULU is on the rise. Research capacity development efforts, both internally sponsored and under the auspices of the University Capacity Development Project (UCDP), as well as growth in externally linked project awards by UNIZULU researchers, hold the promise of improving UNIZULU's performance.

As in previous years, the Research Office continues to capacitate postgraduate (PG) students, researchers and academic supervisors with a myriad development and training interventions that include the following: supervision training workshops; supervised writing for publication mentorship; research design seminars and workshops; IP and technology transfer capacity development; grant application; NRF rating applicant mentoring; innovation and IP workshops, etc. Evident growth in the quality and quantity of research outputs in the recent DHET Outputs Report is a reasonable cause for optimism.

## RESEARCH CAPACITY

### Rated Researchers

UNIZULU currently has 23 rated researchers across faculties, which is a huge achievement.

**Table 20: NRF Researcher Rating Statistics**

SURNAME	INITIALS	TITLE	RATING	DEPARTMENT	SPECIALISATIONS
Addison	C.A.	Prof	C2	English	Literary criticism
Akpome	A.	Dr	C1	English	Interculturality and Migration; Discourse analysis, narrative analysis; Literary criticism; Cultural studies; African literary studies
Beesham	A.	Prof.	C2	Mathematical Sciences	Relativistic astrophysics; Cosmology and general relativity
Edwards	S.D.	Prof.	C2	Psychology	Clinical psychology
Elumalai	V.	Prof.	C2	Hydrology	Groundwater modelling; Groundwater quality; Hydrological modelling; Applied hydrology; Hydrogeology; Groundwater chemistry; Groundwater pollution; Groundwater vulnerability; Groundwater hydrology; Groundwater contamination
Fon	F.N.	Dr	Y2	Agricultural Sciences	Farm animal nutrition; Animal nutrition science; Microbial fermentation; Dietary intake – assessment; Ruminant nutrition
Govender	T.	Prof.	C3	Chemistry	Peptide chemistry; Separations/mass spectrometry; Asymmetric synthesis; Asymmetric catalysis
Kalusopa	T.	Prof.	C3	Information Studies	Records and archives; Information science; Labour studies
Khan	M.D.	Dr	Y2	Chemistry	Energy generation; Photocatalysis; Nanomaterials for energy storage; Renewable and sustainable energy; Inorganic materials chemistry; Functional nano materials; Two-dimensional materials
Lehloenyha	K.C.	Prof.	C3	Agricultural Sciences	Animal production; Animal physiology; Animal reproduction physiology; Animal reproduction; Assisted reproductive technologies
Madoroba	E.	Prof.	C2	Biochemistry	Bacterial biotechnology; Applied microbiology; Diagnostic microbiology; Food microbiology; Advanced microbiology; Antimicrobial resistance; Medical molecular microbiology
Masoga	M.A.	Prof.	C2	Humanities	Literature and cultural history; Indigenisation; South African culture; African philosophy; African indigenous religion; African culture; African cosmology; African music
Mbatha	N.D.	Dr	C2	Geography & Environmental Studies	Atmosphere/biosphere interaction; Atmospheric physics; Atmospheric remote sensing; Atmospheric chemistry
Motaung	T.E.	Prof.	Y2	Chemistry	Luminescent materials; Beneficiation of solid waste; Renewable and sustainable energy; Bioenergy from biomass; Chemistry and polymer science; Analytical polymer science
Msomi	J.Z.	Prof.	C3	Physics	Magnetism
Ndlovu	M.	Prof.	Y2	Social Sciences	African culture; Heritage and cultural tourism; Cultural identity; Local economic development and tourism; Anthropology of colonialism; Colonialism – Africa
Nomlomo	V.S.	Prof.	C2	Social Sciences	African language literacy; Language – teacher education; Gender and education; Language policies in education; Language policy implementation in higher education; Applied linguistics and second language studies
Ntshangase	S.S.	Prof.	C2	Physics	Experimental nuclear physics
Ocholla	D.N.	Prof.	C2	Information Studies	Information seeking; Informetrics; Library and information science – Education; Communication in learning and scholarship; Indigenous knowledge systems; Information ethics; Knowledge management; Information and communication technologies for development (ICT4D)
Pullabhotla	V.S.R.	Prof.	Y2	Chemistry	Bio flocculation; Ozonation; Advanced oxidation Technologies; Environmental analytical chemistry; Heterogeneous catalysis; Materials science; Electron microscopy
Revaprasadu	N.	Prof.	C1	Chemistry	Nanosciences
Syed	K.	Prof.	C1	Biochemistry	P450 evolution; Cytochrome P450 monooxygenases; P450 and metabolism
Zharare	G.E.	Prof.	C3	Agricultural Sciences	Plants – Nutrition; Plant physiology; Agronomy; Agricultural plant production



UNIZULU submitted six applications for re-evaluation to the NRF in the first quarter of 2021.

### **South African Research Chair Initiative (SARCHI)**

Currently the University holds SARCHI Chair at UNIZULU a nanotechnology research programme that is based in the Department of Chemistry. Although the period of the Chair has lapsed with NRF, the entity is being converted to a niche and awaits the approval of DHET. The application for a second SARCHI Chair from the Department of Hydrology is being considered.

### **Research and Postdoctoral Fellowships**

The University had 16 research fellows and 18 postdoctoral fellows at the start of 2021. However, it is expected that the numbers will increase by the end of 2022 as more applications of research fellows and postdoctoral fellows are under consideration by the Research office.

## **ACHIEVEMENTS/AWARDS**

### **Significant developments**

RDMS, which is coordinated by the Institutional Planning Directorate, was developed for the administration of research output units (journal articles, books, book chapters and conference proceedings). The data is stored in the central database and integrated with PowerHEDA (Data Warehouse.) It allows users to access the research output data at any given time and caters for analysing research output and trends. This will improve benchmarking of research output with peer institutions, validate captured data, notify potential problems automatically and allow for the export of reports in the prescribed DHET format for submission. The system was piloted in 2020 and is fully functional and live. Training was conducted for nominated persons from all faculties and the Research Office. Faculties captured their research output using RDMS in 2021, which has been audited and submitted to DHET. Furthermore, the RDMS is also being enhanced to accommodate postgraduate research proposals and research projects for staff members. This system will allow for a paperless process in that proposals will be uploaded and go to various university structures for approval.







## Intellectual Property

**Table 21: Disclosures and Registered Patents**

PATENT/PROJECT	INVENTORS	DEPARTMENT	STATUS	IP LAW FIRM	COMMERCIALISATION
The Synthesis of Core-shell Metal-Semiconductor Nanomaterial REF: 2016/01483	Prof. N. Revaprasadu and Dr R. Dunpall	Chemistry	Granted	Spoor & Fisher	Pending, and received NIPMO incentive funding
A Synthesis Method of Carbon Nitride-Metal Chalcogenide Composite REF: 2019/08134	Prof. N. Revaprasadu and Dr M. Khan	Chemistry	Provisional patent application filed on 2019/12/09	Spoor & Fisher	N/A
A Synthesis Method of Carbon Nitride-Metal Chalcogenide Composite REF: 2020/07697	Prof. N. Revaprasadu and Dr M. Khan	Chemistry	Pending complete patent application filed on 2020/12/09	Spoor & Fisher	Pending
Process for producing Cyclohexanol and Cyclohexanone by Cyclohexane oxidation REF: 2020/00133	Prof. V.S.R. Pullabhotla	Chemistry	Provisional patent application filed on 2020/01/09	Spoor & Fisher	N/A
Process for producing Cyclohexanol and Cyclohexanone by Cyclohexane oxidation REF: 2021/01781	Prof. V.S.R. Pullabhotla	Chemistry	Pending complete patent application filed on 2021/03/17	Spoor & Fisher	Pending
Process for producing Cyclohexanol and Cyclohexanone by Cyclohexane oxidation REF: 2021/01782	Prof. V.S.R. Pullabhotla	Chemistry	Pending complete patent application filed on 2021/03/17	Spoor & Fisher	Pending
Beta Lactam Project	Prof. T. Govender	UNIZULU Chemistry and UKZN	Co-ownership/ NDA to be signed	Spoor & Fisher	



## Research Awards

Our proud tradition of institutional research recognition activities took place on 30 November 2021 at the Umfolozi Casino. The Research Awards covered the period 2020 and 2021 as the ceremony could not be held in 2020 due to COVID-19. Table 22 presents the highlights of the winners for the top three departments at the University during the 2020 and 2021 period:

<b>Table 22: Research Awards List 2020 and 2021</b>					
<b>CATEGORY G: PRESTIGE AWARDS</b>					
<b>Name of the Award</b>	<b>Description</b>	<b>Recipients 2020</b>		<b>Recipients 2021</b>	
Research Department of the Year: 3rd (Bronze)	Department that produced the third-most units per capita (including research fellows), combining postgraduate and research outputs	<b>Curriculum &amp; Instructional Studies</b>		<b>Educational Foundations &amp; Management</b>	
		Graduate Output	2.5000	Graduate Output	4.8600
		Research Output	1.2699	Research Output	0.4405
		Total	3.7699	Total	5.3005
		Average Score	1.8850	Average Score	2.6503
Research Department of the Year: 2nd (Silver)	Department that produced the second-most units per capita (including research fellows), combining postgraduate and research outputs	<b>Biochemistry &amp; Microbiology</b>			
		Graduate Output	3.8300	Graduate Output	2.5700
		Research Output	1.7237	Research Output	2.9309
		Total	5.5537	Total	5.5009
		Average Score	2.77685	Average Score	2.7505
Research Department of the Year: 1st (Gold)	Department that produced the most units per capita (including research fellows), combining postgraduate and research outputs	Public Administration		Public Administration	
		Graduate Output	2.7500	Graduate Output	3.4000
		Research Output	7.4135	Research Output	2.7871
		Total	10.1635	Total	6.1871
		Average Score	5.0818	Average Score	3.0936

## FUNDING ALLOCATIONS

### National Research Foundation (2021)

The National Research Foundation awarded a total amount of R30 451 379.63 in the 2021 financial year towards scholarships and individual research grants. Below is a breakdown by investment area:

<b>Table 23: NRF Research Funding Awards</b>	
<b>INVESTMENT AREA</b>	<b>AWARD</b>
Human and Infrastructure Capacity Development	R21 261 643.00
International Relations and Cooperation	R120 356.00
Research Chairs and Centres of Excellence	R4 217 680.63
Strategic Knowledge Fields	R3 045 700.00
Strategic Platforms	R2 006 000.00
<b>Totals</b>	<b>R30 451 379.63</b>

UNIZULU claimed 100% of the funding that was awarded and released by the NRF.

### National Research Foundation

To date, the National Research Foundation awarded R32 395 290 towards scholarships and individual research grants. It should be noted that this is not a final list as the scholarships are still being activated. Below is a breakdown by investment area of the 2022 grants (thus far):

<b>Table 24: NRF Scholarship Awards</b>	
<b>INVESTMENT AREA</b>	<b>AWARD (RELEASED)</b>
Human and Infrastructure Capacity Development	R26 612 940
Strategic Knowledge Fields	R3 722 350
Strategic Platforms	R2 060 000
<b>Totals</b>	<b>R32 395 290</b>

It is important to note that most of the grants are still not released by the NRF because they are still reviewing the annual progress reports for 2021 funded projects (the due date was 28 February 2022). Therefore, the actual awards cannot be reported. The NRF is also awaiting signed conditions of grants for ongoing and new 2022 grants.

## INTELLECTUAL PROPERTY AND TECHNOLOGY TRANSFER

This portfolio encompasses aspects of intellectual property (IP) compliance and management administration, including technology transfer, innovation promotion, and a commercialisation drive, IP disclosures, patent registration and administration processes, seed-funding initiatives, as well as related awareness campaigns, capacity development, institutional and national reporting.

### Funded Innovative Projects

Tables 25-28 provide an overview of different funding projects during the year under review.

**Table 25: KZN Economic Development, Tourism and Environmental Affairs (KZN-EDTEA), Technology Transfer Fund**

PROJECT NAME/LEADER	SHORT DESCRIPTION	FUNDER'S NAME	TYPE OF FUNDING	AMOUNT
Fermented Sorghum Flour (Prof. E. Madoroba-Biochemistry and Microbiology)	The product is fermented ready to prepare sorghum flour, which is packaged	KZN-EDTEA	EDTEA-Technology Transfer Fund	R250 000
Commercialisation of vegetable oils from <i>Strychnos madagascariensis</i> and <i>Strychnos pungens</i> fruits (Prof. G.E. Zharare – Department of Agriculture)	To optimise oil extraction protocols from fruits and to develop vegetative reproduction protocols of <i>Strychnos madagascariensis</i>	KZN-EDTEA	EDTEA-Technology Transfer Fund	R589 785

**Table 26: Red Meat Research and Development South Africa**

PROJECT NAME/LEADER	SHORT DESCRIPTION	FUNDER'S NAME	TYPE OF FUNDING	AMOUNT
Antimicrobial Resistance among Foodborne Pathogens (Prof. E. Madoroba-Biochemistry and Microbiology)	To determine antimicrobial resistance profiles of zoonotic pathogens isolated from cattle carcasses slaughtered in abattoirs of KwaZulu-Natal Province	Red Meat Research and Development South Africa	Seed Fund	R342 000

**Table 27: DTI-THRIP (Partnership between University, Industry and Government)**

PROJECT NAME/LEADER	SHORT DESCRIPTION	FUNDER'S NAME	TYPE OF FUNDING	AMOUNT
Antimicrobial Resistance among Foodborne Pathogens (Prof. E. Madoroba-Biochemistry and Microbiology)	To determine antimicrobial resistance profiles of zoonotic pathogens isolated from cattle carcasses slaughtered in abattoirs of KwaZulu-Natal Province	Department of Trade and Industry	Technology And Human Resources For Industry Programme (THRIP)	R2 042 000

**Table 28: National Intellectual Property Management Office (NIPMO) Incentive Fund**

PROJECT NAME/LEADER	SHORT DESCRIPTION	FUNDER'S NAME	TYPE OF FUNDING	AMOUNT
The Synthesis of Core-shell Metal-semiconductor Nanomaterial (Prof. N. Revaprasadu – Chemistry)	The process is a potentially scalable route to the synthesis of binary and/or multinary metal chalcogenides-carbon nitride (CN-MC) composites by using respective metal organic precursors	National Intellectual Property Management Office	Incentive Fund	R605 000

## RESEARCH OUTPUTS

Following the assessment of the 2020 research outputs by the DHET, UNIZULU attained a total of 267.50 units. This is an increase of 11.50 units from the 256.0233 units awarded by DHET for 2019 publications.

Table 29 shows what actual units were awarded during 2014-2019, as well as the estimate of the units that were claimed for the 2020 research output.



**Table 29: The DHET-approved Institutional Research Outputs, 2020**

DESCRIPTION	2014	2015	2016	2017	2018	2019	2020
Books and Chapters	0.68	4.52	5.17	24.9	173764	19.0637	16.18
Conference Proceedings	6.85	11.33	6.78	5.59	8.2084	172499	6.92
Journal Article	103.21	114.55	123.02	161.28	187.1037	219.7097	244.41
<b>Totals</b>	<b>110.74</b>	<b>130.40</b>	<b>134.97</b>	<b>191.77</b>	<b>212.6885</b>	<b>256.0233</b>	<b>267.50</b>

For the 2021 academic year, UNIZULU paid page fees for over 250 papers. However, this does not indicate the unit value(s); it can only be determined once a researcher/student and/or postdoctoral fellow and research fellow submits the actual papers. This will then give an indication of how many authors are affiliated with UNIZULU. It must also be noted that some journals do not charge page fees and the Research Office will only know of such a paper when it is sent through. The latest information for the 2021 publication outputs is as follows:

**Table 30: Informal Publication Outputs (2021)**

PUBLICATION	UNITS
Journal Articles	238.0288
Conference Proceedings	5.5211
Chapters in Books	28.8457
Books	28.1667
<b>Totals</b>	<b>300.5623</b>

The external audit report was sent and uploaded to the DHET-ROSS system on 13 May 2022. These will now undergo a review process and the outcome of UNIZULU's submission is expected towards the end of 2022.

## COLLABORATIONS/PARTNERSHIPS (2020/2021)

The Institution has active international collaborations with Sweden, China, France and Jamaica. Researchers involved in these projects are listed:

**Table 31: International Collaborations/Partnerships**

INTERNATIONAL COLLABORATOR/ PARTNERSHIPS	NAME OF GRANT HOLDER	DEPARTMENT	ITEM DESCRIPTION	AMOUNT AWARDED
IRG – Sweden/South Africa Research Cooperation Programme	Ms P.N. Biyela	Department of Physics	Travel costs	120 000
IRG – Sweden/South Africa Research Cooperation Programme	Ms P.N. Biyela	Department of Physics	Running expenses	150 000
IRG – National Natural Science Foundation of China/NRF Research Cooperation Programme	Prof. V. Elumalai	Department of Hydrology	Workshops	100 000
IRG – National Natural Science Foundation of China/NRF Research Cooperation Programme	Prof. V. Elumalai	Department of Hydrology	Running expenses	120 284
IRG – France/South Africa Research Cooperation Programme		Department of Geography & Environmental Science	Running expenses	46 000
IRG – France/South Africa Research Cooperation Programme	Dr N.B. Mbatha	Department of Geography & Environmental Science	Travel costs	24 000
IRG – France/South Africa Research Cooperation Programme	Dr N.B. Mbatha	Department of Geography & Environmental Science	Workshops	20 000
IRG – Jamaica/South Africa collaboration	Dr I. Moyo	Department of Geography & Environmental Science	Workshops	100 000
IRG – Jamaica/South Africa collaboration	Dr I. Moyo	Department of Geography & Environmental Science	Consumables	5 000
IRG – Jamaica/South Africa collaboration	Dr I. Moyo	Department of Geography & Environmental Science	Running expenses	211 000

## TRAINING AND DEVELOPMENT

The research office has a standing calendar to offer capacity development workshops for PG students and academics (researchers). The programme has, however, been interrupted by student protests early in the year, and also by the need to adhere to COVID-19 pandemic protocols. Table 32 provides an overview of training and development activities.

**Table 32: Research Office Training and Development Programmes**

DATE	NAME	AIM/PURPOSE OF TRAINING	FACILITATOR	TARGET AUDIENCE
11-12 March 12-17 March	PG Summer School, online via Zoom	The programme is a collaboration between UNIZULU, Sol Plaatje University, the University of Pretoria (UP) and the Human Sciences Research Council (HSRC). It is a four-day summer school programme covering a range of training, including: research fundamentals; research ethics; literature review; qualitative and quantitative research design and methodology; data collection and analysis; introduction to STATA and SPSS; introduction to social accounting matrix; advance statistical analysis; and introduction to geospatial	HSRC team	Emerging, early career researchers and postgraduate students
6-8 April	Research Methodology, online via MS Teams	The workshop introduces PG students to core principles of research design with the focus on developing a coherent research design. The workshop is offered over three days	Prof. Lesley Le Grange	Masters & PhD students
13-15 April	Postgraduate Capacity, online via Zoom	The workshop is offered over three days and aims to equip PG students with skills required to draft their research proposal and thesis and to assist PG students to better understand the structure of a thesis, how to compile a critical literature review and understand what examiner's look for in a well-written thesis	Dr L. Cassim	All postgraduate students
15-16 April Session 1	Fundamentals of Grant Proposal Writing, online via MS Teams	Increase the number of grant holders at UNIZULU. The workshop introduces participants to the fundamentals of grant writing, including: essential principles of current research funding; formulating the grant: structure of grant funding templates; specific examples of research grant programmes: focus on European union funding; grant writing techniques	Dr Charmaine Williamson	- Senior researchers -Emerging researchers
20 April	NRF Rating Application	Increase the number of NRF-rated researchers in the institution; guide and provide support to first-time applicants and increase the chances of the application being successful; and assist researcher who wishes to apply in the near future to start developing and strengthening their research profile	Mr Ferdie van der Walt	Senior researchers, emerging researchers, postgraduate students
4-6 May	Postgraduate Capacity	The workshop is offered over three days and aims to equip PG students with skills required to draft their research proposal and thesis and to assist PG students 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	Dr L. Cassim	Emerging researchers, postgraduate students
5-6 July	Research Ethics Training for University of Zululand Research Ethics Committee (UZREC) and Faculty Research Ethics Committees (FRECs), online via MS Teams	The two-day workshop is targeted at ethics committee members. There is a statutory requirement to train research ethics members on governance, policy and research ethics processes	Dr H. van den Berg	FRECs and UZREs committee members
31 Aug	Research Ethics Training for PG Students, online via MS Teams	Promote research ethics and integrity, introduce PG students to sound ethics practices and ensure that research conducted at UNIZULU upholds the principles	Prof. I. Kaseeram	PG students





**Table 32: Research Office Training and Development Programmes**

DATE	NAME	AIM/PURPOSE OF TRAINING	FACILITATOR	TARGET AUDIENCE
2-3 & 7 Sept 2021	Social Entrepreneurship, online via MS Teams	Introduce PG students and academics to opportunities available for taking their innovative products into the market as social entrepreneurs	Ms L. Williamson & Dr C. Williamson	Academics and PG students
22 & 23 Sept	Proposal Writing and Literature Review, online via MS Teams	Assist students to develop a sound research proposal. Develop skills to effectively critically review and write up a literature review	Prof. B. Smit	All PG students
28 Sept – 1 October	Emerging Scholar Training Programme Collaboration with HSRC	Aimed at strengthening research capabilities and promoting the culture of scholarship	HSRC Team	All PG students and emerging scholars
28 Sept – 1 October	NVivo – Qualitative Data Analysis	Improve the quality and accuracy of data analysis and improve the quality of research	Prof. Bob	Novice researchers, and PG students supervisors
8-11 Nov	Article Writing FSAE, online via MS Teams	This 4-day workshop is hosted by FSAE with 28 participants. It introduces Masters and PhD students to article writing and was facilitated by 3 different facilitators from Stellenbosch University	University of Stellenbosch	Academic staff in FSAE
9-10 Nov	Grant Writing (FA), online via MS Teams	A two-day programme whereby academics and PG students were introduced to tools and relevant platforms and organisations for grant applications. The participants were introduced to case studies and strategies to research development and grant applications	Dr A. Ndzuta	Academics and all PG students in the FA
11 Nov	Introduction to Intellectual Property	A one-day workshop that introduces staff and PG students to intellectual property (IP)	CIPC team	Academics and all PG students
12 Nov & 19 Nov	Supervision Indaba via MS Teams	Hosted by the FA to: enhance PG supervision capacity in the FA; identify supervision model/s suitable for the faculty; and create a platform to share supervision models and best practices in supervision PG students	Prof. J. Smit	Novice supervisors and potential supervisors

**Table 32: Research Office Training and Development Programmes**

DATE	NAME	AIM/PURPOSE OF TRAINING	FACILITATOR	TARGET AUDIENCE
12-15 Nov	Statistical Package for the Social Sciences (SPSS) – FSAE	A four-day workshop on the introduction to SPSS. The workshop covers: introduction to Quantitative Research and the Questionnaire; and Using SPSS software	Prof. D. Govender – UKZN & Prof. G. Hendry	Masters and PhD academic staff
15-18 Nov	Introduction to SPSS via Zoom	FCAL hosts a 4-day SPSS workshop for both staff and students. The workshop introduces participants to SPSS and data analyses using SPSS	Prof. U. Bob (UKZN)	Novice academics, PG students, supervisors and emerging researchers
16-18 Nov	Module 1-4 PhD Programme for Black Women	Hosts Research Office in partnership with UCT. 24 black females from different faculties are part of this programme. It targets black females perusing their PhD studies to support them through their PhD journey	UCT RDA	Black women pursuing a PhD
18-19 Nov	Supervision Indaba – FE, at Umfolozi Casino	This is a two-day workshop held by FE. It aims to enhance PG supervision, creates a platform to discuss supervision challenges as well as share best practices in the faculty. Established and novice supervisors participate in this programme. Two external facilitators are invited to make a presentation on supervision	Prof. S. Maistry – UKZN and Prof. S. Khoza – UKZN	Supervisors

## RESEARCH NICHE AREAS

UNIZULU's Research Niche Area development process is an important route to channel research efforts to institutional positional strength, for the advancement of its impactful competitive advantage. Both the University and the NRF agreed at the beginning of 2017 to channel strategic efforts towards this objective. All four faculties, namely: FE, FSAE, FA and FCAL, made notable progress in identifying and defining their niche areas.

- **FE: 'Teacher Education for Rural Settings (TERS)'** – The RNA is regionally distinctive in that UNIZULU meets the multilingual agenda of higher education in the country (the programmes in FE make English and isiZulu compulsory languages and students are also expected to take a module in another African language). PG students in the Department of Arts and Languages who enrol for a Master's or Doctoral degree in isiZulu Language Education can write their study in isiZulu. In its regional context, the promotion of indigenous knowledge systems (IKS) research is a distinct feature of the UNIZULU context because of its rural location where indigenous traditions serve as a resource to understanding issues of epistemic access. The geographical positioning of the University gives FE a competitive advantage over other HEIs in the realm of research. There will be no need to travel long distances to access the rural communities for collaborative work with the education community in relation to the faculty's RNA.
- **FSAE: 'Health and Food Security for Enhanced**

**Sustainability'** – The research niche will strengthen the exchange of scientific expertise and is expected to create new knowledge that will support the use of South African indigenous plants for new product development. The major objective of the niche area will be to establish a vibrant, sustainable research culture and quality PG programme at UNIZULU, with the capacity to develop nutraceutical products with scientifically-proven efficacy and safety. It is anticipated that in the space of five years, the niche area will train at least two PhDs, three MSc students and a host of BSc Honours students. It is expected that some of the PhD projects will come from a large project and this will be broken down into smaller projects for the BSc Honours and MSc students. This will, in turn, help to capacitate the PhD students in research supervision. In addition, the RNA will operate within the innovation and commercialisation spaces, i.e. develop products such as diagnostic kits, biosensors and pharmaceutical products, and protect intellectual property with patents. This will increase the number of patents and intellectual property developed from within UNIZULU and helps make the University a national leader in the creation of intellectual property. Publication of scientific papers and presentations at scientific conferences will be major outputs. Staff and students will also be trained in scientific skills, which can be applied in future studies.

- **FSAE: 'Sustainable Natural Resource Utilisation and Management'** – The RNA involves research on the development of natural exploitable resources





within the framework of sustainable and innovative utilisation through applied research, aimed at (ii) diversification of rural livelihoods; (iii) upliftment and benefit of communities in which the resources are found; (iv) optimisation of indigenous knowledge; (v) transformation and diversification of key sectors of the regional and national economy; (vi) conservation of biodiversity; and (vii) understanding the fundamental risks to the environment associated with resource utilisation. The major thrust of the research will be to utilise natural resources in a way that will provide linkage to poverty alleviation, wealth creation, economic growth, entrepreneurial development, conversion of indigenous knowledge pertaining to the use of the natural resources into tradable commodities, technological advancement, environmental protection and sustainability. The RNA also seeks to develop and promote a system of ongoing intra- and inter-faculty collaborative research aligned to technological developments and entrepreneurship in a way that will make UNIZULU one of the leading institutions in applied research, dealing with utilisation and management of natural resources.

- **FA: 'Rurality and Rural Development'** – The RNA focuses on the use of actor-led and participatory methodologies. Research practices in this regard will be informed by consciously contextualising contemporary, cutting-edge conceptual and theoretical perspectives drawn from scholarly contexts beyond UNIZULU. Research will be executed, as has been much of current

practice, in the spirit of engaging with individuals in communities as opposed to objectifying human research subjects. This orientation, already existing in pockets of excellence, which is to be nurtured and generalised as an individual and collaborative scholarly practice, promises to contribute to realising the goals of a comprehensive university. Such an institution is here conceived as a site where the iterative comprehension of how, under current and developing socio-economic and political conditions, the unification of the most basic material and non-material realities and the most abstract and generalised conceptions, take place. In short, a comprehensive university is arguably a place that ambitiously strives to realise the age-old goal of unifying theory and practice and to which this RNA aims to modestly contribute through engagement with individuals and communities in the conduct of its research endeavours.

- **FCAL: 'Sustainable Rural Livelihoods Through Entrepreneurship'** – The RNA focuses on exploring the connections between local economic development (LED) and entrepreneurship with the aim of addressing challenges confronting the largely rural Northern Zululand sub-region. The RNA builds on existing research strengths in the faculty and seeks to bring together UNIZULU researchers from a wide variety of academic disciplines to explore issues, challenges and strengths. The landscape, cultural heritage and natural endowments offered for the LED objective of sustainable livelihoods, in the main, involves research centred on creating capacity

and enhancing an entrepreneurship ecosystem involving the quadruple helix. This comprises people (especially traditional leaders, youth and women); government institutions (local, provincial and national); the private sector (survivalist-micro-small businesses, medium and large businesses); parastatals (industrial development zones (IDZs), State-owned enterprises (SOEs)); and the University. It aims to support the development of a number of distinct specialist strands among its researchers, while at the same time attempting to weave these together into a single integrated whole by emphasising and developing a common intellectual ground that provides insights into sustainability, economic development and rural entrepreneurship.

## ACADEMIC RISKS (RESEARCH)

The COVID-19 pandemic has added an unexpected strain on the delivery value chain. From a research and innovation standpoint, the following critical risk warrants institutional attention:

- Low PG through-put rate, affected by:
  - ◊ Shortage of staff for supervision
  - ◊ Academic readiness of PG students
  - ◊ Inadequate niche areas

In light of supervision capacity issues, the Institution is increasing the number of staff with PhDs. In 2021, six academics received special leave to complete their PhDs and this number has increased for the 2022 cohort. At least three academics will graduate in the 2022 graduation ceremony. The number of research and postdoc fellows has improved and this contributes to the supervision cohort and mentoring of some supervisors. The postdocs assist their mentors in helping PG students, especially Master's students, in day-to-day activities for their research progress. Workshops on supervision and writing skills have been intensified for emerging supervisors. In 2021, the comments from the external examiners were analysed and special workshops were offered to staff as well as the students to address issues of concern. Although a work in progress, it is envisaged to eventually improve supervision skills.

In addition, training programmes for students and more importantly, faculty programmes have been developed with the aim of ensuring competence in their field and to improve research skills. In addition, the Research Office is working with each faculty in supporting the honours programmes to solve the issue of underprepared graduates. The expectation is that if more assistance is offered, they will perform better at Master's level.

Niche areas open up opportunities for PG students. In addition to the Chair in Hydrology that was sent to the NRF,

the niche project proposals were developed and sent to DHET for funding.

## SPECIFIC PROJECTS

### The Higher Degrees Management System (HDMS)

Since 2018, the Research & Innovation Unit has been driving the development of an electronic research and ethics administration system and has engaged a service provider to help realise this objective. The final quarter of 2020 was earmarked as the testing phase for the system prototype. The development of the first phase of the HDMS was completed in 2021 by Adapt IT and is currently being tested. It will enable the tracking of the performance of PG students and improve the efficient management of the processes from registration to graduation.

## COMPOSITION AND SIZE OF THE STUDENT BODY

UNIZULU receives a significant number of applications yearly. From the 184 021 applications received for the 2021 intake, 6 085 offers were made. As with previous years, walk-in applications were considered in faculties that did not meet first-year (FY) quota targets. It was recommended that walk-ins also use the clearinghouse for both the Central Applications Office (CAO) and Central Applications Clearing House (CACH). A total of 1 402 applications were processed by the Admissions Office for PG students (Master's by Research and PhD). Two students with fraudulent National Senior Certificates (NSCs)/matrics were reported to DHET.

UNIZULU's registration for the 2021 academic year commenced on 1 March 2021 for all FTENs, however, the online system was also open for senior and PG students to register. Registration for returning and PG students commenced on 8 March 2021. This was a significant delay from registration, which usually commences in early January yearly. The closing date for registration, excluding all Master's and Doctoral students (and excluding Master's coursework), was 12 March 2021. Due to COVID-19 challenges and not meeting enrolment targets, all registrations were extended to 30 April 2021. UNIZULU's target for FTENs was 3 954 with a total enrolment target of 18 436.

## STUDENT ENROLMENT

Student registration trends up to 2021 include the following, among others:

- The overwhelming majority of students are officially classified as South Africans, followed by relatively small numbers of foreigners and South African minority groups.
- The University enrolled 7 038 male students and 9 202 female students and seven other students during the





year under review. Female students outnumbered male students by 2164.

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 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 33-34<sup>1</sup> illustrates student size and composition of the student body according to the level of study, race and gender and graduation statistics.

**Table 33: 2021 Student Size and Composition according to the Level of Study**

LEVELS OF STUDY	1	2	3	4	TOTALS
<b>UNDERGRADUATES</b>					
Faculty of Commerce, Administration and Law	1 253	1 023	1 272	494	4 042
Faculty of Education	1 184	794	808	1 223	4 009
Faculty of Humanities and Social Sciences	1 050	968	1 378	42	3 438
Faculty of Science, Agriculture and Engineering	1 059	931	1 062	259	3 311
<b>Totals</b>	<b>4 546</b>	<b>3 716</b>	<b>4 520</b>	<b>2 018</b>	<b>14 800</b>
<b>POSTGRADUATES</b>					
Faculty of Commerce, Administration and Law	80	38	39	1	158
Faculty of Education	98	84	112	0	294
Faculty of Humanities and Social Sciences	347	163	143	2	655
Faculty of Science, Agriculture and Engineering	150	79	114	0	343
<b>Totals</b>	<b>675</b>	<b>364</b>	<b>408</b>	<b>3</b>	<b>1 450</b>
<b>Total UG + PG</b>					
Faculty of Commerce, Administration and Law	1 333	1 061	1 311	495	4 200
Faculty of Education	1 282	878	920	1 223	4 303
Faculty of Humanities and Social Sciences	1 397	1 131	1 521	44	4 093
Faculty of Science, Agriculture and Engineering	1 209	1 010	1 176	259	3 654
<b>Totals</b>	<b>5 221</b>	<b>4 080</b>	<b>4 928</b>	<b>2 021</b>	<b>16 250</b>

<sup>1</sup> Data presented in Tables 33-34 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 management information systems (MIS) data since it can be categorised according to faculties. A similar kind of analysis done using higher education management information system (HEMIS) data would only provide a breakdown of enrolments according to classification of educational subject matter (CESM) categories. While there is an understanding that these categories can be linked to knowledge areas based on faculties, there are instances where this can apply to more than one faculty.

**Table 34: Students' Size and Composition according to Gender and Race**

GENDER AND RACE	WHTM	WHTF	COLM	COLF	INDM	INDF	BLKM	BLKF	OTHER	TOTALS
<b>UNDERGRADUATES</b>										
Faculty of Commerce, Administration and Law	2	0	4	5	4	4	1 912	2 110	1	4 042
Faculty of Education	0	0	0	2		2	1 740	2 263	2	4 009
Faculty of Humanities and Social Sciences	0	0	4	3	1	4	1 261	2 164	1	3 438
Faculty of Science, Agriculture and Engineering	0	3	0	2	3	6	1 438	1 857	2	3 311
<b>Totals</b>	<b>2</b>	<b>3</b>	<b>8</b>	<b>12</b>	<b>8</b>	<b>16</b>	<b>6 351</b>	<b>8 394</b>	<b>6</b>	<b>14 800</b>
<b>POSTGRADUATES</b>										
Faculty of Commerce, Administration and Law	0	1	0	1	3	0	85	68	0	158
Faculty of Education	0	0	0	0	0	0	123	171	0	294
Faculty of Humanities and Social Sciences	0	3	0	0	1	2	267	382	0	655
Faculty of Science, Agriculture and Engineering	3	2	1	0	1	3	188	144	1	343
<b>Totals</b>	<b>3</b>	<b>6</b>	<b>1</b>	<b>1</b>	<b>5</b>	<b>5</b>	<b>663</b>	<b>765</b>	<b>1</b>	<b>1 450</b>
<b>Total UG + PG</b>										
Faculty of Commerce, Administration and Law	2	1	4	6	4	5	1 997	2 178	1	4 200
Faculty of Education	0	0	0	2	0	4	1 863	2 434	2	4 303
Faculty of Humanities and Social Sciences	0	3	4	3	2	4	1 528	2 546	1	4 093
Faculty of Science, Agriculture and Engineering	3	5	1	2	4	8	1 626	2 001	3	3 654
<b>Totals</b>	<b>5</b>	<b>9</b>	<b>9</b>	<b>13</b>	<b>10</b>	<b>21</b>	<b>7 014</b>	<b>9 159</b>	<b>7</b>	<b>16 250</b>

## OUTPUTS PRODUCED

UG and PG degrees, diplomas/certificates that have been identified for an award in 2021 (2020 cohort) are contained in the following tables. As a result of COVID-19, UNIZULU was unable to host its normal graduation ceremonies traditionally scheduled for May 2021. The 2021 graduation ceremonies were virtually held over four days from 5-8 July 2021. Due to COVID-19, graduates were advised to send a courier of their choice to collect their certificate. Graduation statistics are provided in the following tables:

**Table 35: Graduation Statistics (Overall by Gender)**

FACULTY	FEMALE	%FEMALE	MALE	%MALE	TOTAL
Faculty of Commerce, Administration and Law	591	57.94%	429	42.06%	1 020
Faculty of Education	764	61.27%	483	38.73%	1 247
Faculty of Humanities and Social Sciences	763	64.72%	416	35.28%	1 179
Faculty of Science, Agriculture and Engineering	484	61.42%	304	38.58%	788
<b>Totals</b>	<b>2 602</b>	<b>61.45%</b>	<b>1 632</b>	<b>38.55%</b>	<b>4 234</b>





# 16 250

TOTAL NUMBER OF REGISTERED STUDENTS

## 14 800

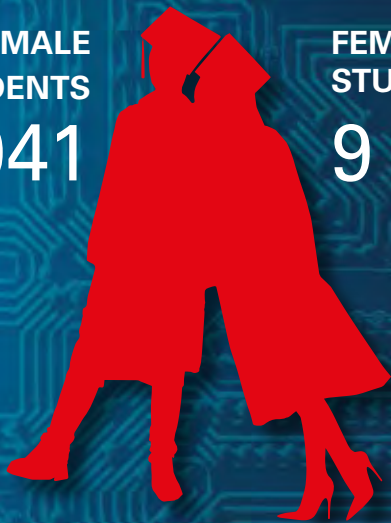
undergrad

## 1 450

postgrad

MALE  
STUDENTS

## 7 041



FEMALE  
STUDENTS

## 9 202

STUDENT PROFILE BY RACE

African	16 173
Indian	34
White	14
Coloured	22
Other	7

## GRADUATION

Overall

## 4 234

PhD

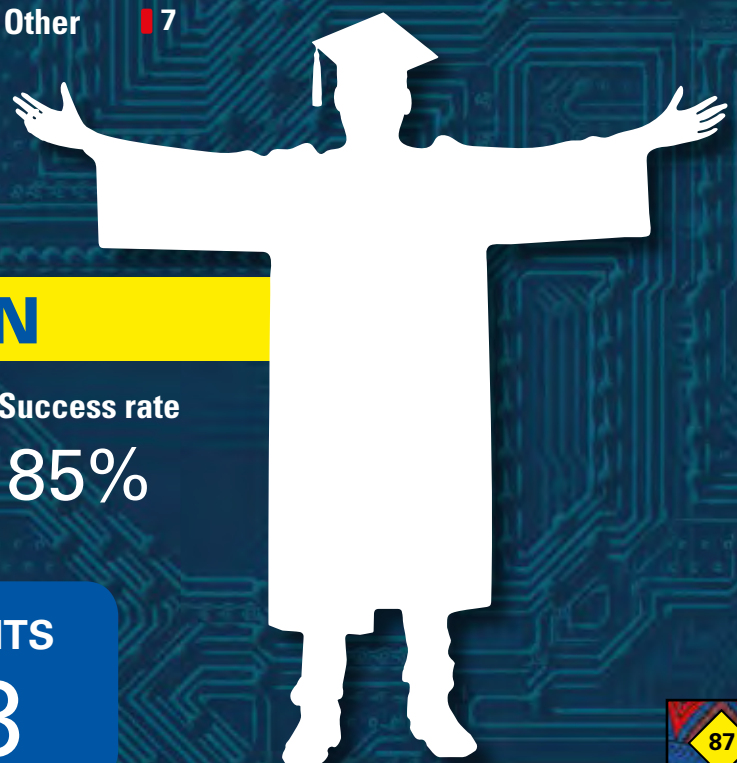
## 48

Masters

## 90

Success rate

## 85%



RESEARCH OUTPUT UNITS

## 300.5623

**Table 36: Graduation Statistics (Percentage and Figures of Male/Female Graduates – Overall)**

UNDERGRADUATE						POSTGRADUATE					TOTAL
Faculty	Fem	% Fem	Male	% Male	Total UG	Fem	% Fem	Male	% Male	Total PG	
Faculty of Arts	558	55.11%	390	38.13%	948	33	2.99%	39	3.77%	72	1 020
Faculty of Commerce, Administration and Law	705	57.15%	448	36.37%	1 153	59	4.07%	35	2.41%	94	1 247
Faculty of Education	620	53.07%	329	28.25%	949	143	11.72%	87	6.96%	230	1 179
Faculty of Science, Agriculture and Engineering	424	54.12%	239	30.58%	663	60	7.45%	65	7.85%	125	788
<b>Totals</b>	<b>2 307</b>	<b>54.96%</b>	<b>1 406</b>	<b>33.46%</b>	<b>3 713</b>	<b>295</b>	<b>6.56%</b>	<b>226</b>	<b>5.02%</b>	<b>521</b>	<b>4 234</b>

**Table 37: Graduation Statistics (Master's Graduates)**

PERCENTAGE OF MALES AND FEMALES PER FACULTY (MASTER'S STUDENTS)					
Faculty	No. of Graduates				
	Females	Males	Total	% Females	% Males
Faculty of Education	5	7	12	41.67%	58.33%
Faculty of Arts	10	7	17	58.82%	41.18%
Faculty of Commerce, Administration and Law	18	21	39	46.15%	53.85%
Faculty of Science, Agriculture and Engineering	10	12	22	45.45%	54.55%
<b>Totals</b>	<b>43</b>	<b>47</b>	<b>90</b>	<b>47.78%</b>	<b>52.22%</b>

**Table 38: Graduation Statistics (Doctoral Graduates)**

PERCENTAGE MALES AND FEMALES PER FACULTY (DOCTORAL STUDENTS)					
Faculty	No. of Graduates				
	Females	Males	Total	% Females	% Males
Faculty of Education	0	6	6	0.00%	100.00%
Faculty of Arts	9	9	18	50.00%	50.00%
Faculty of Commerce, Administration and Law	9	8	17	52.94%	47.06%
Faculty of Science, Agriculture and Engineering	4	3	7	57.14%	42.86%
<b>Totals</b>	<b>22</b>	<b>26</b>	<b>48</b>	<b>45.83%</b>	<b>54.17%</b>

## HONORARY DOCTORATE AWARDS

No honorary doctorates were conferred during the year under review.

## LIBRARY AND INFORMATION SERVICES

The University of Zululand Library and Information Services (LIS), under the Directorship of Ms Laila Vahed, had 45 full-time permanent staff members in 2021, which included two appointments and one resignation. LIS includes a Main Library at the KwaDlangezwa Campus and a Branch Library on the Richards Bay campus. Facilities at the KwaDlangezwa Campus Library included, 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 provides access to all the e-Resources that are subscribed to, which 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 2021 amounted to R26.515 million, which was apportioned as follows, noting that a distribution formula is used to calculate the Faculty disbursements:

**Table 39: Materials Budget**

Print journals	R3 000 000.00
e-Resources	R17 000 000.00
Faculty of Arts	R861 015.22
Faculty of Education	R463 623.58
Faculty of Commerce, Administration and Law	R551 932.83
Faculty of Science, Agriculture and Engineering	R1 236 329.55
Library general	R3 333 674.32
<b>Total</b>	<b>R26 515 mil</b>

The amount allocated to print journals purchased 201 titles, while 93 electronic resource packages were purchased, resulting in subscriptions above 35 million individual titles.

## Library Holdings

Holdings at UNIZULU Library 2021:

**Table 40: Library Holdings**

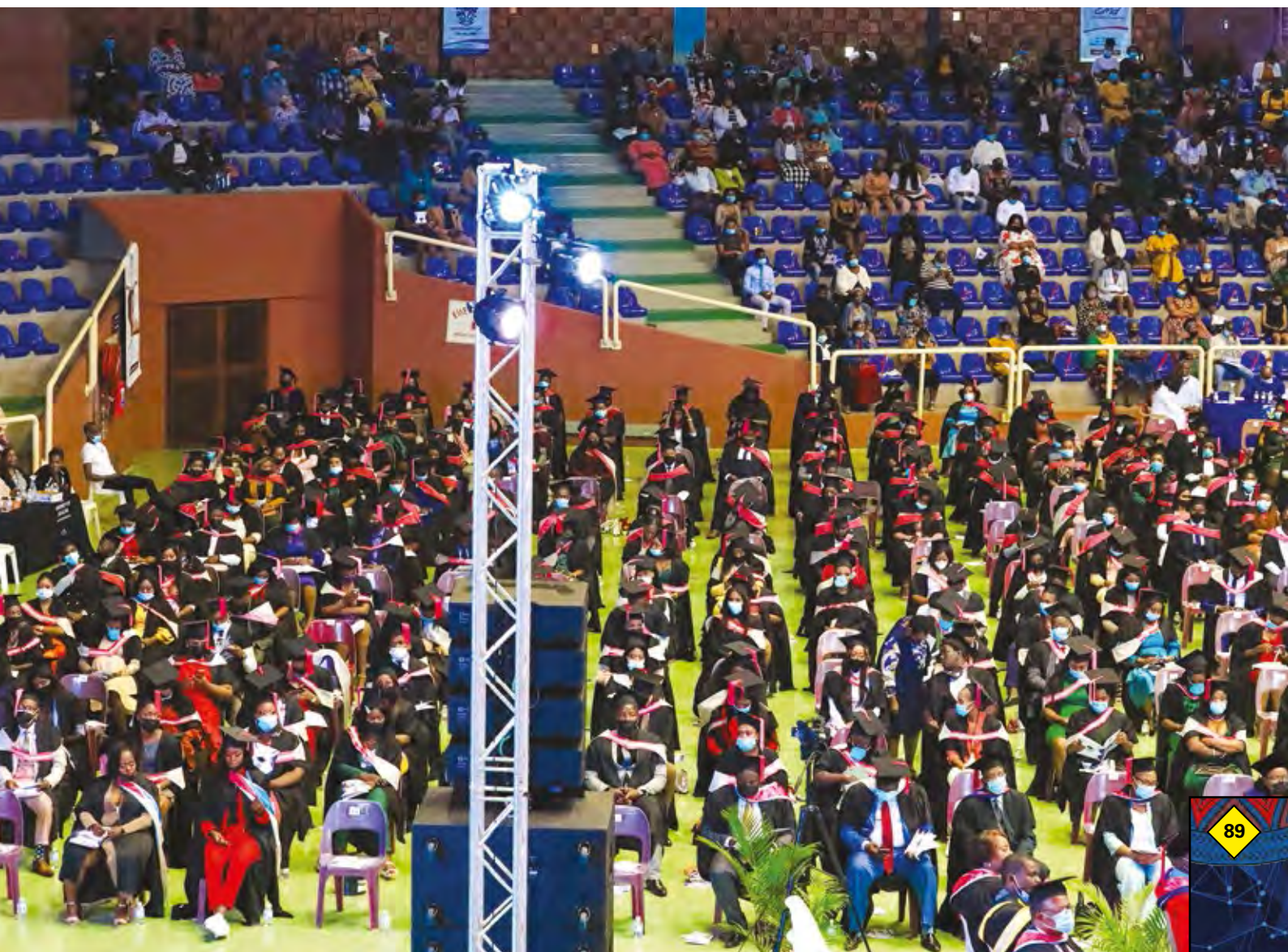
CAMPUS	VOLUMES 2021
KwaDlangezwa Campus Library	318 111
Richards Bay Campus Library	2 248

## Electronic Resources

The following table reflects article downloads per database for 2021.

**Table 41: Electronic Resources Downloaded**

JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	TOTAL
7 810	9 893	10 707	16 063	21 282	18 668	17 028	23 022	24 872	23 057	15 501	8 375	196 278





## Online Subject Guides (LibGuides)

Information librarians create and update the LibGuides regularly to make sure that library clientele have the best user experience and are able to access up-to-date information and resources. UNIZULU have currently published 50 online LibGuides. The COVID-19 pandemic and existing lockdown regulations meant that users continued to have

limited physical access to the library buildings, therefore, LibGuides have become a critical source of information for library users. They have provided a form of virtual reference to users during this time. They have become one of the most important tools for providing access to information and resources to library users. UNIZULU had more than 11 400 visits to the electronic resources' LibGuide in the year 2021.

**Table 42: 2021 LibGuide Usage**

FACULTY	NUMBER OF GUIDES	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	Total Views
Arts	12	75	101	302	448	391	293	158	210	538	396	114	29	3 087
Education	8	13	55	17	295	206	242	148	153	142	181	53	186	1 691
Sci, Agr & Eng	13	82	47	277	378	357	211	119	386	211	157	49	25	2 229
FCAL	5	55	52	354	361	619	217	156	210	377	198	201	39	2 839
General	10	132	162	397	1 001	2 586	2 194	885	2 117	3 195	1 329	361	242	14 598

## Library Workshops

Library workshops form the crux of the Information Librarian's duties and responsibilities. In a quest to support teaching, learning and research, UNIZULU offers various library workshops to library users as part of the User Education Programme. These workshops include, among others, e-Catalogues, e-Resources, Know your Library, etc. With the COVID-19 pandemic, it was extremely important to reach out to as many users as possible to promote library workshops, however, it remains a challenge to reach many more users in the current environment. Despite

these, librarians have used faculty board meetings, social media, etc. to spread awareness. A LibCal trial was also held towards the end of the year as UNIZULU sought to explore various platforms on which library workshops could be made visible to users. Other important partners such as the Research Office and faculties remain important to this cause. Notwithstanding these challenges, there were 428 library workshops conducted for the 2021 academic year. A total of 8 118 users attended 428 workshops. A total of 6 979 users who attended the library workshops were UG students, while 838 were PG students and 256 academics.

**Table 43: Library Workshops**

WORKSHOP	NO.	ATT.	FA	FSAE	FE	FCAL	ALL	UG	PG	ACAD.	OTHER
e-Books	76	1 861	922	247	34	657	0	1 567	227	66	1
e-Catalogue	40	788	557	13	2	216	0	750	12	26	0
e-Resources, Tips for Searching and More	103	1 035	354	284	23	328	21	770	149	90	26
Library Orientation	56	2 423	881	502	355	521	164	2 322	101	0	0
ILL	1	1	0	1	0	0	0	0	0	1	0
Know your Library	22	554	101	92	0	361	0	430	110	14	0
OpenAthens	1	1	0	1	0	0	0	0	0	1	0
ORCID	2	2	0	1	1	0	0	0	1	1	0
Referencing made Easy with Endnote	52	449	270	126	8	28	0	263	134	35	17
Referencing made Easy with Mendeley	7	13	0	3	8	2	0	0	6	7	0
Institutional Repository (IR)	1	2	0	0	0	2	0	0	2	0	0
Stay away from Plagiarism	33	892	178	248	0	466	0	867	25	0	0
Turnitin	33	80	51	9	11	8	0	10	54	15	1
Social Networks for Researchers	1	17	0	17	0	0	0	0	17	0	0
<b>Total</b>	<b>428</b>	<b>8 118</b>	<b>3 314</b>	<b>1 544</b>	<b>442</b>	<b>2 589</b>	<b>185</b>	<b>6 979</b>	<b>838</b>	<b>256</b>	<b>45</b>

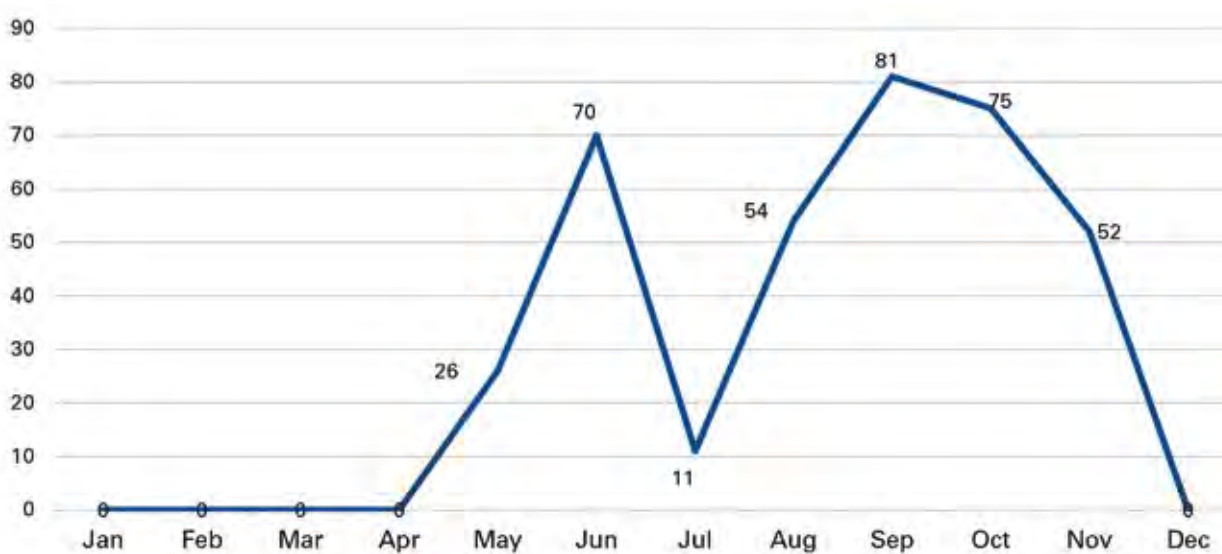




## Research Commons

The total number of visits to the Research Commons from January to December was 369.

**Figure 8: Research Commons Statistics**



## Social Media

The Library has 4 439 followers on Facebook and 192 followers on Instagram. A total of 181 visitors came to the webpage from these platforms.

**Table 44: Social Media Views and Visits**

DESCRIPTION	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	TOTAL
Actions on Page	0	4	10	1	1	0	0	0	0	0	0	1	17
Page Views	0	282	730	280	243	270	270	183	176	107	126	81	2 748
Page Previews	0	0	0	0	0	0	0	0	0	0	0	0	0
Page Likes	0	42	129	55	43	62	62	48	43	26	40	58	608
Post Reach	0	2 187	11 710	1 284	847	2 776	2 776	2 366	1 623	2 563	1 758	359	30 249
Story Reach	0	0	0	0	32	0	0	0	58	0	0	0	90
Recommendations	0	0	0	0	0	0	0	0	0	0	0	0	0
Post Engagements	0	225	1 732	316	455	367	367	263	256	415	337	40	4 773
Videos	0	23	11	7	0	3	3	6	73	109	22	5	262
Page Followers	0	45	136	55	46	64	64	49	45	27	39	60	630

## CONCLUSION

Senate and its committees have been instrumental in the completion of the academic project during the year under review. During the 2021 academic year, the Institution focused on maintaining and advancing the PQM to achieve a broad spectrum of programmes characteristic of a comprehensive university, drawing from both conventional university-type programmes and vocational offerings in line with UNIZULU's first and second strategic goals and the associated objectives. This led to the design, development, registration, accreditation and external endorsement of various programmes during the year under review. Although UNZULU did not meet its enrolment targets, its outputs echo a stable throughput rate of students annually, which is about 85%. The University's 2021 calendar and Teaching and Learning Plan accommodated impediments and realised technologies and blended learning modalities to ensure learning opportunities to students during the pandemic. The Teaching and Learning Centre and Writing Centres, along with all faculties, support divisions and management, worked together to enable remote teaching, assessment, promotion of students and finally graduations.

In conclusion, the research productivity at UNIZULU is improving annually, showing constant growth in research. UNIZULU staff members are continually being nominated to make input on national projects. The calibre of intellectual capacity in the discipline of nanotechnology is recognised nationally and internationally. In 2021, the Nanotechnology Chair was rated as the sixth-best Chair in Africa. The intensity of collaborations between academics in national and international institutions has made an impact on the supervision structure and mentoring of emerging researchers. Capacity training in research has led to improvement in academic supervision skills and article writing. The University Capacity Development Project Grant has been instrumental in the funding of academic staff in studying for PhDs. This is also a tool for improving the research productivity at UNIZULU.



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









# REPORT OF THE INSTITUTIONAL FORUM (IF)

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

## INTRODUCTION

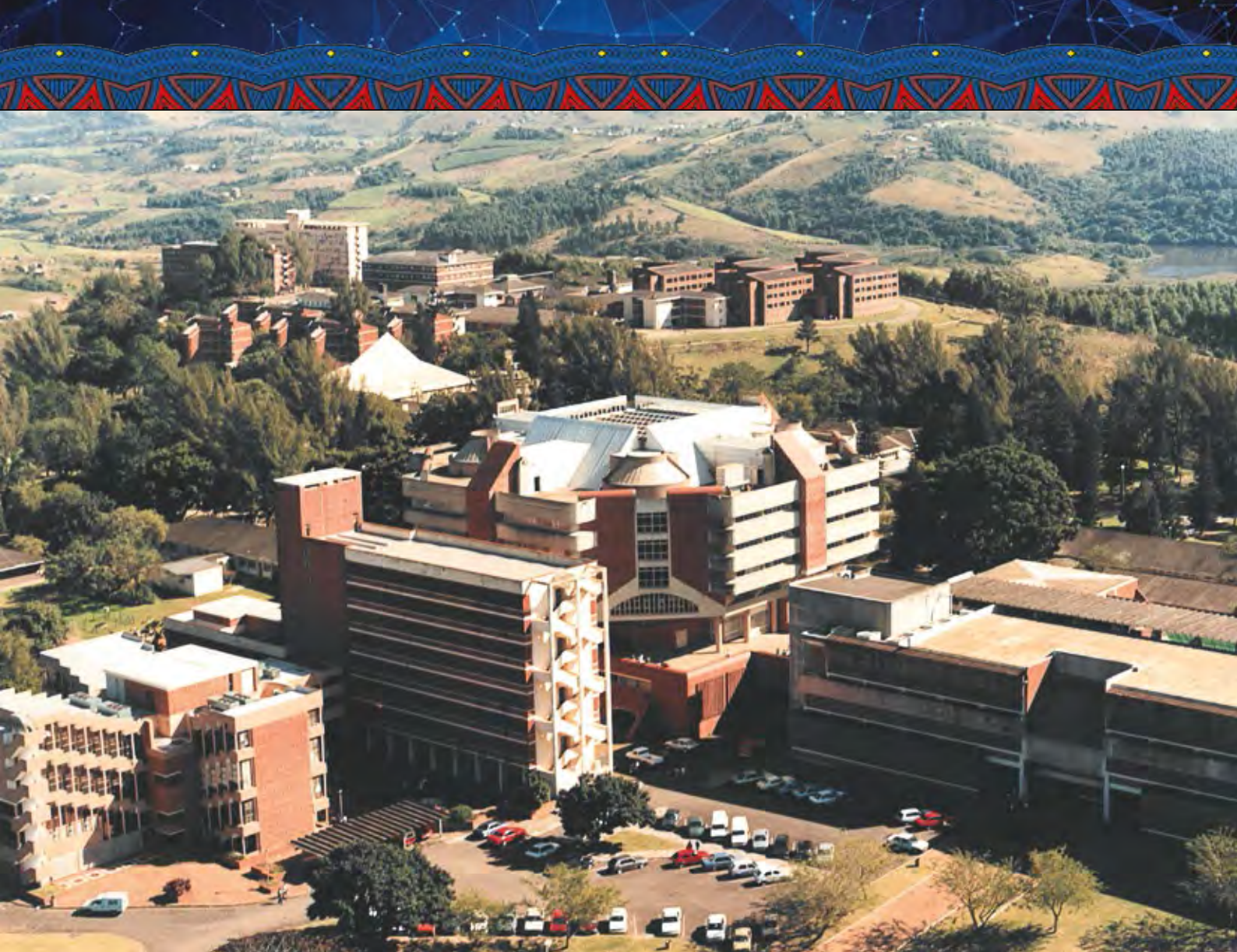
The composition of the IF is as follows:

- (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 academic employees
- (e) One representative of administrative and support staff elected by administrative and support staff
- (f) One representative of women employed at the University elected by the female employees
- (g) Two representatives of students appointed by the SRC
- (h) 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
- (i) Two representatives of the recognised union(s) appointed by the union
- (j) 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 comprised:

***The IF is a component of the statutory governance structures of a public university and acts as a space for discussion on matters of transformation. This report presents the activities of the IF relative to the above functions.***





**Table 45: Composition of IF**

NAME	REPRESENTATIVE CAPACITY
Dr A. Weyers	Management representative
Prof. N. Mashiya	Management representative
Mr N.L. Nkwanyana	Council representative
Mr E. Dube	Council representative
Prof. A.K. Basson	Senate representative
Prof. L. Greyling	Senate representative
Vacant	Academic staff representative
Mr P.W. Zibane	Administration and support staff representative
Dr H.C. Schoeman	Women employee representative
Mr N. Ntshangase	SRC Administrator (Convenor)
Mr W.N. Khumalo	SRC Administrator (Coordinator)
Mr L.D. Manci	VC Appointee: Experience & Expertise
Prof. D. Iyer	VC Appointee: Experience & Expertise
Mr M.E. Ngcobo	VC Appointee: Experience & Expertise
Mr S. Makhoba	Student with Disabilities Representative
Vacant	Employee with Disabilities Representative
Vacant	Union Representative*
Vacant	Union Representative*

\* The University 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 in the interim is Prof. L. Greyling. The IF Chairperson was, during this reporting time, a member of Council by virtue of the provisions of clause 18(1)(l) of the UNIZULU Statute. Clause 45 of the UNIZULU Statute also establishes the Executive Committee of the IF. The functions and duties of the IF are set out in section 31 of the HE Act 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*

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

- Deputy Vice-Chancellor: Teaching and Learning
- Deputy Vice-Chancellor: Research and Innovation
- Registrar

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 four special meetings during the period under review.

### Race and Gender Policies

The IF considered Policy and Procedures on Gender Equality, which were recommended to Council for approval.

### Selections of Candidates for Senior Management Positions

The IF pronounced on the selection of the above-stated senior management positions, which were referred to Council.

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

The IF have not engaged on this matter during the period under review. This, however, does not imply that there were no issues to be dealt with in this area.

### 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 considered and recommended to Council all Policies and Procedures for approval as they appear under Council. The IF also considered the 2022-2027 Strategic Plan.

**Prof. L. Greyling**  
Chairperson





## KING BHEKUZULU HALL







# REPORT ON INTERNAL ADMINISTRATIVE OPERATIONAL STRUCTURES

**The University maintains systems of internal control over financial reporting and the safeguarding of assets against the unauthorised acquisition and use or disposal of such assets.**

## INTERNAL CONTROL

The University maintains systems of internal control over financial reporting and the safeguarding of assets against the unauthorised acquisition and 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 Institution 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 regularly. 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, 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 the 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 & Risk Committee(ARC) and meetings 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 can provide only reasonable assurance concerning 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 whistle-blowing service, 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 internal auditors and thoroughly investigated, where necessary. Appropriate remedial action is taken in relevant instances. The internal auditors also continuously assess fraud risks and all matters are reported to the ARCC.

## ENTERPRISE RISK MANAGEMENT

Enterprise risk has been delegated to the executive management and is addressed at the Internal Risk Management Committee as well as Manco. The Vice-Chancellor is ultimately responsible to the 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 ARCC ensures that processes and controls are both efficient and effective. Appropriate insurance and risk cover is implemented to mitigate insurable risks, where 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, liquidity, foreign currency, interest rate 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, which set out the division of responsibilities, as well as established policies and procedures, including a Code of Ethics, which is communicated throughout the Institution to foster a

strong ethical climate and the careful selection, training and development of its people. 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 concerning financial statement preparation, the effectiveness of operational activities and the safeguarding of assets.

The ARCC reviewed the report on internal administrative/operational structures and controls in the year under review at its meeting on 15 June 2022, which had a quorum.



**Ms S.J. Masite**

**Chairperson: Audit and Risk Committee of Council**









# REPORT FROM THE VICE-CHANCELLOR ON MANAGEMENT AND ADMINISTRATION

**The University continues to operate and has ensured that its business runs without disturbances amid the COVID-19 pandemic.**

**P**lanned academic activities in 2021 took place seamlessly without interruptions amid intermittent lockdowns. UNIZULU continued in its pursuit of 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 2021 APP presents a comprehensive framework of how the University operationalised its Strategic Plan in 2021. The Performance Assessment Report of this Annual Report fully demonstrates UNIZULU's achievements against the predetermined objectives and provides a brief overview of UNIZULU's administration management during the year under review.

## STRATEGIC LEADERSHIP

UNIZULU engaged various internal stakeholders to set the strategic direction of the Institution from 2022 and beyond. Since the adoption of the Strategic Plan 2021, UNIZULU has actively pursued six strategic goals and accompanying objectives in its drive to become the leading comprehensive university in South Africa. This underlying drive will remain relevant in the new Strategic Plan 2027, as approved by Council during the year under review. One objective under the current Strategic Plan 2021 has been to build competent management and leadership teams with clear KPAs for each executive. With the introduction and institutionalisation of performance management in 2018, UNIZULU has been able to effectively retain and attract a high-calibre management

team that has worked tirelessly to achieve the University's vision and mission. This is evidenced in UNIZULU's achievement of its strategic objectives, as set out in the Annual Reports from 2016 to date. Not only has the Institution been able to attract and retain executive management, but it has also retained senior academic leadership in faculties and support departments. The reduced vacancy rate at 18.5%, compared to 32.9% in 2015, is further evidence that UNIZULU's attraction and retention strategies are bearing fruit. During the year under review, UNIZULU also appointed a new Institutional Registrar (Mr D. Mothilall), DVC: Teaching and Learning (Prof. V. Nomlomo), Deputy Vice-Chancellor: Research and Innovation (Prof. N. Kunene), Dean of the FE (Prof. S. Ntombela) and various other key positions have been filled. Transformation is embedded in the Institutions' strategy and effective recruitment and development of staff have been a priority, with academic promotions contributing towards recognition of staff performances. UNIZULU's management, including the governance structures of the University, continually progresses toward EE. The revised EE plans of the University show that specific recruitment, retention, and developmental guidelines are bearing fruit.

The University introduced a 4.5% salary increase across the board, effective from 1 July 2021 in line with the approved budget and consumer inflation. UNIZULU also converted from a defined pension benefit to a defined contribution model.

UNIZULU's management and Council continued to work



together to ensure ongoing optimal compliance. Various policies were developed and approved by Council during the year under review, including compliance policies such as the POPI Act Policy and the OHS Policy. Performance evaluation of the entire executive team, as well as Council, was conducted during the year under review and both received very positive results. In addition, the 2021 Midterm report, 2022 Annual Performance Plan and new Strategic Plan 2027 were all duly submitted to DHET. Council and its committees, as well as management and its committees, are duly constituted and ongoing training is provided for new members. This is evidenced in the Report of the Chairperson of Council, Performance Report and Governance Reports. UNIZULU successfully implemented a new electronic voting system for the SRC elections and a new SRC election took place on 6 December 2021 without any objections.

As addressed in the Sustainability Report, the University's teaching input units have been in decline despite the growth in actual student numbers. This has been addressed with the

approval of the new enrolment plan, which will enable the University to allocate a significant amount (R185 million) to the Strategic Fund budget for 2022 and will certainly have a significant impact on the sustainability of the University and its future budgets.

The shovel-ready projects located at both KwaDlangezwa and Richards Bay campuses derive from the University's Strategic Plan 2021 commenced in October 2021, with the Richards Bay Campus identified as a lead, elite project for the University of Zululand. The priority projects are duly linked to flagship academic programme requirements and comprise refurbishment of existing buildings, construction of student accommodation and new academic buildings. Construction and project management entities have been assigned their respective work packages and will be confirmed to commence with implementation once Ministerial approval has been obtained for UNIZULU's funding application. Evidence of works completed is contained in the report of the Chairperson of Council.



## ACADEMIC LEADERSHIP

Re-imagining UNIZULU has been a priority discussion point aimed at preserving the unique heritage of the Institution while operating in a global context. Much emphasis has been on the revision of the academic structure to enhance the scholarship of teaching and learning. Various programmes were accredited, approved and developed during the year under review, as evidenced in the Performance Report and the Senate Report. The Senate Report provides a full report on the academic progress in teaching and learning, research, community engagement and the support functions that drive academic success. All academic support services, such as LIS, TLC and the WC, have greatly contributed to the enhancement of student academic life. Students' needs are catered through support services divisions such as housing, the clinic, and protective services catering to their needs. The TLC continued with curriculum reviews and mentoring, workshops, and training programmes. Several platforms were created for academics to share research on teaching and learning experiences. Research papers on teaching and learning increased significantly. Students facing learning barriers have been identified and tutors assisted with tutor training.

As a result of the COVID-19 pandemic, multimodal teaching and learning are ongoing. UNIZULU continued to manage its academic agenda to enable students to complete their academic year. UNIZULU successfully hosted the 2021 virtual graduation. Executive management, deans, academics and support staff should be credited for ensuring that the disruption to the academic project was minimal.

## ADMINISTRATIVE MANAGEMENT

UNIZULU remained focused on ensuring excellence in all administrative departments in support of the strategic academic thrust of the University. Decisions of Council have been fully implemented and executive managerial responsibility on all matters entrusted by Council have been discharged. All departmental budgets and expenditures are managed and monitored in line with the strategic goals of the department, as derived from the Strategic plan 2021. Enrolments and grant expenditure have been successfully managed in line with approved targets. This is fully presented in the Performance Report and Senate Report. A full report on human resources management and other administrative support is provided further on in this report.

## RESEARCH MANAGEMENT

UNIZULU has been able to continuously grow its research outputs over the last six years (see Table 29 of the Senate Report). UNIZULU continues to participate in collaborative

projects on national and international platforms. Various staff members and researchers have been invited to present at, lead and review key strategic initiatives that focus on the future of higher education and the broader national policy framework. Practical research capacity development efforts, both internally sponsored and under the auspices of the University Capacity Development Project (UCDP), and growth in externally-linked project awards by UNIZULU researchers, have contributed to the improvement of performance. UNIZULU continues to capacitate postgraduate students, researchers and supervisors through various training workshops, mentorships and seminars. UNIZULU has increased rated researchers to 23. There are currently 16 research fellows, 18 postdoctoral fellows and one SARChI Chair. UNIZULU also managed to implement a RDMS to manage research data and record information on intellectual property and to register a number of patents. All research grants were effectively managed and UNIZULU was able to claim all funding awarded by the NRF.

## STUDENT MANAGEMENT

The University is responsible for creating an environment that encourages student participation and academic success. Various structures exist to provide students with a platform to voice their concerns and participate in decision-making. Student charters (PG and UG) guide relations between the students and the University. In addition, UNIZULU remains committed to putting structures in place to allow for full student involvement in all aspects of university life. UNIZULU implemented an electronic voting system for the SRC elections. A new SRC 2021/2022 was elected in December. A full report on student services is provided further in this report.

## STAKEHOLDER RELATIONS MANAGEMENT

Management of stakeholders entails a symbiotic relationship between the University and its stakeholders. UNIZULU recognises the importance of its stakeholders in defining priorities and setting institutional strategies to ensure the long-term sustainability of the Institution. During the year under review, the University engaged all its stakeholders in setting its new Strategy – 2027. The strategy was approved by Council.

The report of the Chairperson of Council, as well as the Senate Report, bears evidence of all the high-level linkages and partnerships with external partners, including government, science councils, local and international universities, alumni, business and local communities, and





foundations and donors (fundraising). Staff and students have also been given priority as critical internal stakeholders during the year under review.

## RISK MANAGEMENT AND COMPLIANCE

As captured in the report of the Chairperson of Council, Governance Report, Performance Report, Risk Report and Report of the ARC, UNIZULU has effective risk management practices, policies and controls in place to manage, report on and mitigate all strategic and departmental risks.

## HUMAN RESOURCES MANAGEMENT

Human Resources (HR) plays a key role in developing, reinforcing and changing the culture of an institution. Strategic management, wages and salaries, performance management, training and development, recruitment, employee wellness, onboarding and reinforcing the values of the University are all essential elements of the business culture covered by HR. For the last decade, UNIZULU's main focus has been

on the establishment of an approved Integrated Human Resources Framework (IHRF), transactional efficiency, improved recruitment and retention, the establishment of an institutionalised performance management culture and system and staff well-being and development. The report on staffing provides an overview of progress made during the year under review and should be read in conjunction with the Performance Assessment Report.

### Staffing

Since 2020, the University, like all other institutions, operated in an environment beset by the COVID-19 pandemic. The recruitment and placement process had been adjusted to take advantage of available technological platforms to fill critical positions. Some changes to the establishment are due to the restructuring in certain departments/divisions i.e., Physical Planning and Operations, HR and the introduction of the Engineering programmes in FSAE. Five new NGAP lecturer positions across the four faculties were established. A further reduction in the institutional vacancy rate was achieved, down from 19.5% in 2020 to 18,58% in 2021.



**Table 46: UNIZULU Vacancy Rate as at 31 December 2021**

CATEGORY	ESTABL	VACANCY ACTIVE	% OF VAC	VACANCY NOT ACTIVE	% OF ESTABL	VACANCY TOTAL	% OF VAC. AGAINST ESTABL.
Faculty of Arts	143	15	53.57%	13	46.43%	28	19.58%
Faculty of Commerce, Administration and Law	72	8	61.54%	5	38.46%	13	18.06%
Faculty of Education	99	6	33.33%	12	66.67%	18	18.18%
Faculty of Science, Agriculture and Engineering	198	17	73.91%	6	26.09%	23	11.62%
Richards Bay Campus	5	2	100.00%	0	0.00%	2	40.00%
Professional services	726	26	17.69%	121	82.31%	147	20.25%
<b>Grand Totals</b>	<b>1 243</b>	<b>74</b>	<b>5.95%</b>	<b>157</b>	<b>12.63%</b>	<b>231</b>	<b>18.58%</b>

**Table 47: Appointments Jan – Dec 2021**

OFFICE	AFRICAN		TOTAL	COLOURED		TOTAL	INDIAN		TOTAL	WHITE		TOTAL	GRAND TOTAL
	M	F		M	F		M	F		M	F		
Executive	0	2	2	0	0	0	1	0	1	0	0	0	3
TOTAL	0	2	2	0	0	0	1	0	1	0	0	0	3
Full-time academic	18	16	34	0	0	0	0	1	1	2	0	2	37
Full-time professional	40	40	80	0	0	0	1	0	1	0	1	1	82
TOTAL	58	56	114	0	0	0	1	1	2	2	1	3	119
Contract academic	1	0	1	0	0	0	0	0	0	2	0	2	3
Contract professional	2	2	4	0	0	0	0	0	0	0	0	0	4
Total	3	2	5	0	0	0	0	0	0	2	0	2	7
<b>Grand Totals</b>	<b>61</b>	<b>60</b>	<b>121</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>2</b>	<b>1</b>	<b>3</b>	<b>4</b>	<b>1</b>	<b>5</b>	<b>129</b>
<b>% of Employment</b>	<b>47%</b>	<b>47%</b>	<b>94%</b>	<b>0%</b>	<b>0%</b>	<b>0%</b>	<b>2%</b>	<b>1%</b>	<b>2%</b>	<b>3%</b>	<b>1%</b>	<b>4%</b>	<b>100%</b>



Table 48 displays the status of the academic staff establishment at UNIZULU and includes all temporary, contract and full-time staff.

Table 48: Academic Staff Establishment																
	MALE					TOTAL	FEMALE					TOTAL	FOREIGN		TOTAL	GRAND TOTAL
	AFRICAN	COLOURED	INDIAN	WHITE	DISABLED		AFRICAN	COLOURED	INDIAN	WHITE	DISABLED		AFRICAN	OTHER		
Faculty of Arts	51	0	4	6	0	61	40	0	5	7	0	52	5	1	6	119
Permanent	47	0	4	5	0	56	36	0	4	7	0	47	5	1	6	109
Contract	0	0	0	1	0	1	0	0	0	0	0	0	0	0	0	1
Temporary	4	0	0	0	0	4	4	0	1	0	0	5	0	0	0	9
Faculty of Commerce, Administration and Law	28	0	6	3	0	37	10	0	2	6	0	18	5	2	7	62
Permanent	23	0	5	3	0	31	10	0	2	6	0	18	5	0	5	54
Contract	0	0	1	0	0	1	0	0	0	0	0	0	0	1	1	2
Temporary	5	0	0	0	0	5	0	0	0	0	0	0	0	1	1	6
Faculty of Education	26	0	2	2	0	30	35	0	3	2	0	40	4	0	4	74
Permanent	24	0	2	2	0	28	32	0	3	2	0	37	3	0	3	68
Contract	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1
Temporary	2	0	0	0	0	2	3	0	0	0	0	3	0	0	0	5
Faculty of Science, Agriculture and Engineering	42	0	4	10	0	56	28	0	2	9	0	39	14	6	20	115
Permanent	32	0	3	10	0	45	23	0	2	9	0	34	12	5	17	96
Contract	1	0	1	0	0	2	0	0	0	0	0	0	1	1	2	4
Temporary	9	0	0	0	0	9	5	0	0	0	0	5	1	0	1	15
Totals	147	0	16	21	0	184	113	0	12	24	0	149	28	9	37	370

The following critical appointments were made in 2021:

<b>Table 49: Critical Appointments</b>		
JOB TITLE	DEPARTMENT	ASSUMPTION OF DUTY
DVC: Teaching and Learning	Executive	1 January 2021
DVC: Research and Innovation	Executive	1 June 2021
Registrar	Executive	1 July 2021
Dean	Faculty of Education	1 April 2021
Dean of Students	Student Services Department	1 December 2021
Director: Quality Assurance	Institutional Planning	1 February 2021
Director: Infrastructure Projects	Physical Planning & Operations (PPO)	1 June 2021
Director: Remuneration and Benefits	Human Resources	1 October 2021
Director: Employee Relations and Wellness	Human Resources	1 October 2021
Manager: Maintenance Services	Physical Planning and Operations	1 July 2021
Treasury Manager	Finance	1 September 2021
Care Managers (2 positions)	Office of the Vice-Chancellor	1 January 2021
Manager: Analytics and Business Intelligence	Institutional Planning	13 September 2021
Manager: Research Ethics and Postgraduate Studies	Research and Innovation	1 October 2021
Manager: Transformation and Social Inclusion	Institutional Planning	6 October 2021
Manager: Project Management and Executive Assistant	Institutional Planning	1 December 2021

**Table 50: Joint Committee of Council (JCC) Appointments January – December 2021**

NAME	DEPARTMENT	JOB TITLE
Prof. S.S. Ntombela	Faculty of Education	Professor and Dean
Prof. Z. Fikelepi-Twani	Creative Arts	Professor
Dr B.A. Brown	Research and Innovation	Professor and Director

The following senior managers resigned during 2021:

**Table 51: Senior Management and Academic Resignations**

APPOINTMENT TYPE	REASON	ENDED	POST CODE	JOB TITLE
Executive	Resignation	17 Mar 2021	VC05	DVC
Non-academic	Resignation	26 Mar 2021	VV55	Director
Executive	Resignation	31 Mar 2021	BA40	Executive Director
Non-academic	Resignation	31 Mar 2021	GM01	Director
Non-academic	Resignation	30 Jun 2021	DS01	Dean Of Students
Non-academic	Resignation	31 Jul 2021	MD01	Director
Non-academic	Resignation	31 Dec 2021	VA01	Director
Academic	Resignation	8 Jan 2021	CA45	Senior Lecturer
Academic	Resignation	31 Mar 2021	NG11	NGap Lecturer
Academic	Resignation	30 Apr 2021	SF01	Associate Professor
Academic	Resignation	31 May 2021	AJ10	Senior Lecturer
Academic	Retirement	31 May 2021	AR31	Senior Lecturer
Academic	Retirement	31 Aug 2021	AC01	Associate Professor
Academic	Resignation	30 Sep 2021	CZ35	Senior Lecturer
Academic	Retirement	31 Oct 2021	EE15	Professor
Academic	End of Contract	30 Nov 2021	AO36	Senior Lecturer
Academic	Resignation	31 Dec 2021	EE05	Associate Professor
Academic	Resignation	31 Dec 2021	AE65	Senior Lecturer
Academic	Resignation	31 Dec 2021	CA10	Senior Lecturer
Academic	Resignation	31 Dec 2021	CZ40	Senior Lecturer
Academic	Resignation	31 Dec 2021	CZ45	Senior Lecturer

## 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 of above- standard thresholds set for their current appointment levels. Table 52 provides a list of academic promotions during the year under review.

**Table 52: Academic Promotions 2021**

FACULTY	FROM POSITION	TO POSITION
FA	Associate Professor (1)	Professor
	Senior Lecturer (1)	Associate Professor
	Lecturer (6)	Senior Lecturer
FCAL	Senior Lecturer (2)	Associate Professor
FE	Senior Lecturer (3)	Associate Professor
	Lecturer (2)	Senior Lecturer
FSAE	Associate Professor (4)	Professor
	Senior Lecturer (7)	Associate Professor
	Lecturer (8)	Senior Lecturer





# 1021

**TOTAL STAFF ESTABLISHMENT**

**370**

**Total academic staff**

**651**

**Total professional staff**

**ACADEMIC  
PROMOTIONS**

**34**

Staff with  
PhDs  
**47%**

Vacancy rate  
**18.58%**

New  
appointments  
**129**

**Skills development**

**R11 227 305**



**16**

**RESEARCH  
FELLOWS**

**18**

**POST-DOC  
FELLOWS**





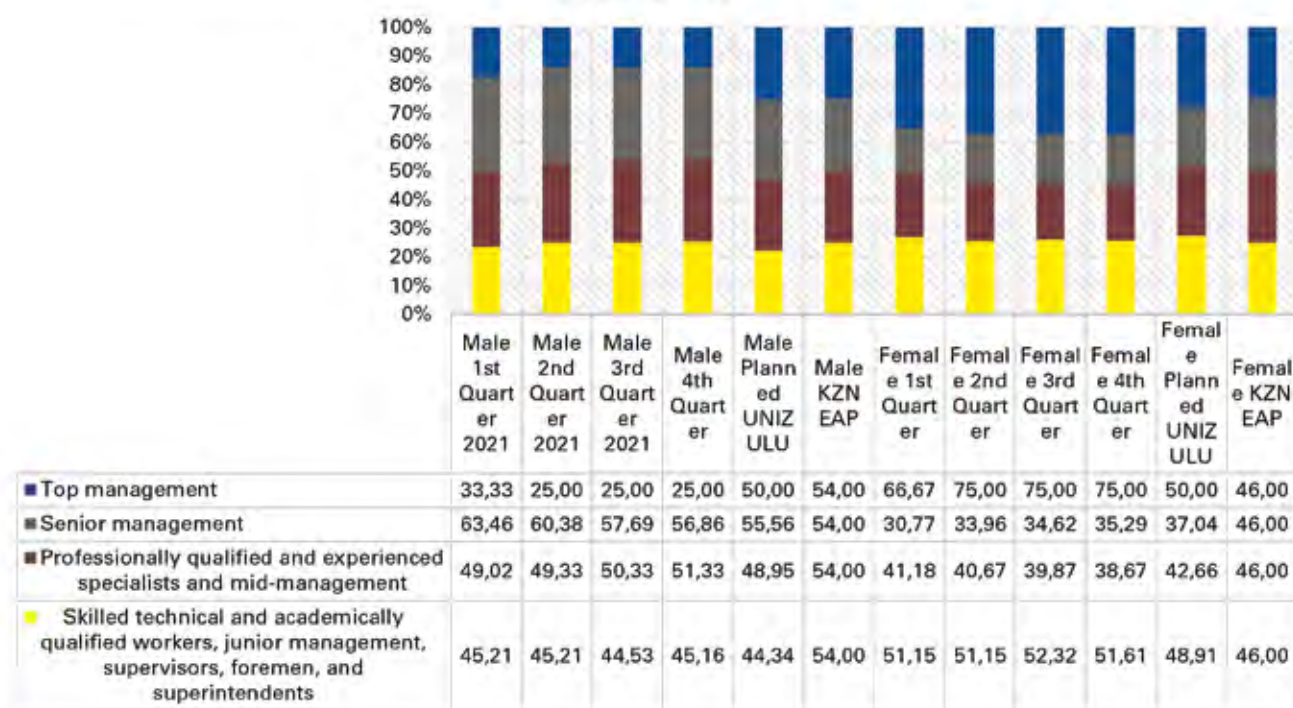
## Equity targets

UNIZULU's equity targets and achievements are displayed in Figure 9. The graph reflects statistical data covering four quarters as at 31 December 2021. These show the actual comparison to the university's EE targets and economically

active population. UNIZULU has made good progress in the past three years and has achieved targets in the categories of top management, professionally qualified and the skilled staff levels. Much still has to be done at the senior management level and will require focus in the next three years while maintaining the targets already achieved.

**Figure 9: Demographic Profile Changes**

**WORKFORCE PROFILE ACCORDING TO GENDER AND OCCUPATIONAL LEVELS AS AT 31 DECEMBER 2021**



## SKILLS DEVELOPMENT

### Leadership Development

A total of 21 female staff members completed a Management Development Programme in 2021, of which two were in the New Managers Programme, 12 in the Middle-Level Development Programme and seven were enrolled in a Senior Management Development Programme. Unfortunately, one candidate had to withdraw from the programme due to health reasons.

Two males in the new managers development programmes, two in the Middle-Level Development Programme and six in the Senior Management Development Programme.

### Management Skills for Managers

The management skills short programmes funded by the Education, Training and Development Practices Sector Education and Training Authority (ETDP Seta) discretionary

grant that could not be completed in 2020 were completed in June 2021, as set out in Table 53.

**Table 53: ETDP Seta Courses**

NAME OF INTERVENTION	DATES	ATTENDANCE
Handling Employee Discipline	8-9 June 2021	40
Communication and Conflict Management	14-15 June 2021	36

### General Staff Training Interventions in 2021

The following programmes were organised for staff in 2021 and are based on the staff professional development plans:



**Table 54: General Staff Training Interventions in 2021**

NAME OF INTERVENTION	DATES	TARGET
Performance Management Induction	20 and 25 May	60
Minute Taking for Committee Administration Section		8
Advanced MS Excel	22-23 July 2021	20
Diversity and Social Inclusion	16-17 August	25
Supervision Skills for Team Leaders	24-25 August	15
Mentorship and Coaching	6-7 September	20
Professional Report Writing	13-14 September	20
Presentation Skills	20-22 September	20
Practical Minute Taking	27-28 September	25
Managing Virtual Teams	29-30 September	20
Essential Assertiveness	7 October	10
Emotional Intelligence	11-12 October	20
Project Management Fundamentals	13-15 October	20
MS Word Intermediate and Advanced	25-27 October	15
MS Excel Intermediate and Advanced	2-4 November	20
Finance for Non-finance	8-9 November	25
Records Management	11-12 November	25
Electronic Communication Skills	23-24 November	25
Performance Management Induction	22-25 November	70

**Table 55: Staff Training Expenditure 2021**

LEARNING AND DEVELOPMENT EXPENDITURE 2021		
Individual Development Plans	HR budget Mandatory/ discretionary grants Faculty/Divisional budgets	R3 326 144.25
Teaching and Learning	Development grant	R6 743 801
Research and Innovation	Research development grant	R1 157 360
<b>Total</b>		<b>R11 227 305</b>





### Postgraduate Diploma in Higher Education Teaching

Twelve staff members registered for the Postgraduate Diploma in Higher Education Teaching for the 2021-2022 academic years. The academics have completed the examination on the four modules they registered for in 2021.

### Annual Training Review/Workplace Skills Plan 2020/2021

The 2020/2021 Workplace Skills Plan was submitted and subsequently approved by the ETDP Seta. The document covers the training interventions that were organised from 1 May 2020 to 31 May 2021. As a result of this submission, the University received rebates/mandatory grants worth R11 604 45.

## EMPLOYEE RELATIONS (UNION RELATIONS)

To ensure continued employee engagement, an Employer and Employee Consultative Forum meeting was convened on 27 September 2021 to discuss the University's draft Strategic Plan

2027. The employee representatives were taken through the draft plan and were afforded an opportunity to give input and to also discuss the same with their constituencies.

## EMPLOYEE RELATIONS TRAINING

Two training sessions and one webinar were conducted during the period under review, namely:

- **Conflict management:** 36 senior and middle managers were trained in conflict management to ensure that they are equipped with skills to manage inherent conflict and to promote communication and dialogue among staff members, which will, in turn, lead to a stable workplace.
- **Discipline and grievance management:** To ensure the maintenance of harmonious relations among employees, 40 senior and middle managers were trained in discipline and grievance management. This training enables them to better manage employee grievances and conduct and ensure that they are aware of what conduct is expected in line with the University's Code of Conduct.
- **Legal implications of COVID-19 to employers and employees:** A webinar that dealt with the legal



Implications of COVID-19 for employers and employees was convened and 103 employees attended. The webinar created much-needed awareness for both staff and employees on their roles and responsibilities and the future world of work.

## EMPLOYEE WELL-BEING

### Employee Assistance Programme Utilisation

The utilisation rate for the Employee Wellness Programme for 2021 is at 14% engagement, which is the same for 2020. The overall utilisation of the programme during this period has been for bereavement counselling and anxiety.

### Employee Well-being Interventions

Different health and well-being interventions were hosted on a monthly basis, focusing on issues like Men's Health, Breast Cancer Awareness, Financial Education, Dealing with Bullying, Healthy Living, Coping with Multiple Grief and HIV & Aids Awareness. Absenteeism management training sessions were also conducted for line managers. A webinar on COVID-19 vaccines was hosted to create awareness among employees, the importance of vaccinating and why the country needs to achieve herd immunity.

## IMPROVING STAFF QUALIFICATIONS AND CAPACITY

The University intends to grow the proportion of staff with PhD degrees to 55% over the next four years. The University has put structured initiatives into place that are aimed at increased support for young and emerging academic staff. Academic staff members 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. This will ensure that academic staff perform at a more efficient and effective level. UNIZULU will also fill existing academic 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 PG enrolments. Currently, 47% of UNIZULU staff have PhDs.

## TEACHING, LEARNING, RESEARCH AND INNOVATION

The teaching and learning component of the Institution is progressing well. The current situation brought on by the pandemic has cultivated innovative teaching and learning strategies in both staff and students. The University has significantly ramped up its online platforms to support the multimodal provision of teaching and learning. Staff and students are fully supported through the TLC. Various workshops that focus on teaching strategies have been organised and well attended. The Research Office has been active in supporting academics and PG students to enhance research productivity and has facilitated training workshops and conferences. Its focus has been on increasing the number of black women researchers so that they can become senior academics. This has yielded positive results, as evidenced by an increase of research productivity in academic staff. Conference attendance has also increased. The Senate Report provides a full account of teaching and learning, research and innovation activities as well as the support provided by administrative departments.

## STUDENT ENROLMENT

UNIZULU's Enrolment Plan 2020-2025 (EP) incorporates the repositioning the University for 21st century higher education needs as well as the redefinition of the University mission from being a historically disadvantaged traditional university to that restructured to become a rural comprehensive university. The EP commits to limiting increases in enrolment growth in Arts and Humanities, particularly teacher education, with the view to growing enrolments in Science, Engineering and Technology (SET) areas, and the provision of social sciences diploma programmes in FCAL at the Richards Bay Campus. The University has made significant strides with the introduction of its new Engineering qualifications. Engineering diploma programmes will, in the future, articulate into bachelor's degrees and PG programmes as the University grows its Engineering programmes provisioning. The University envisages a total headcount of 21 500 students by 2025. The installation of an electric dashboard enabled live updates of enrolments during the registrations of the 2022 academic year. The dashboard covered all sections and provided actual versus targeted enrolments. This includes FTENS registrations by faculty and programme, returning students by faculty and total registrations of the University. Monitoring aims to ensure that the University doesn't over-enrol or under-enrol FTENs and avoid possible financial implications that may come as a result. The 2021 enrolment targets as achievement thereof are displayed in Figure 10:

Figure 10: 2021 Enrolment Targets as Achievement

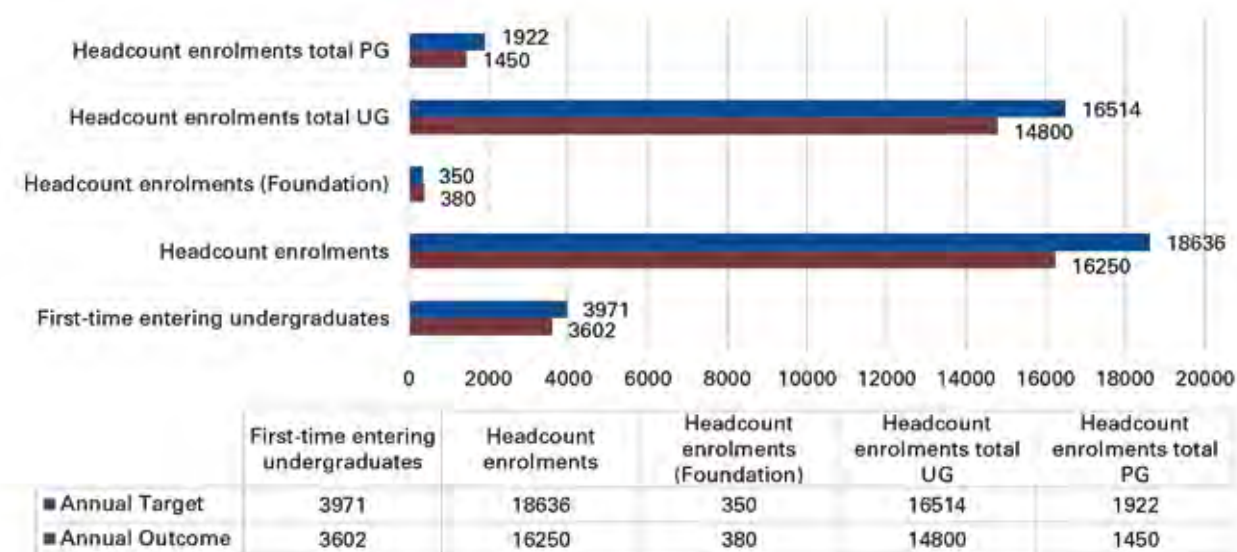
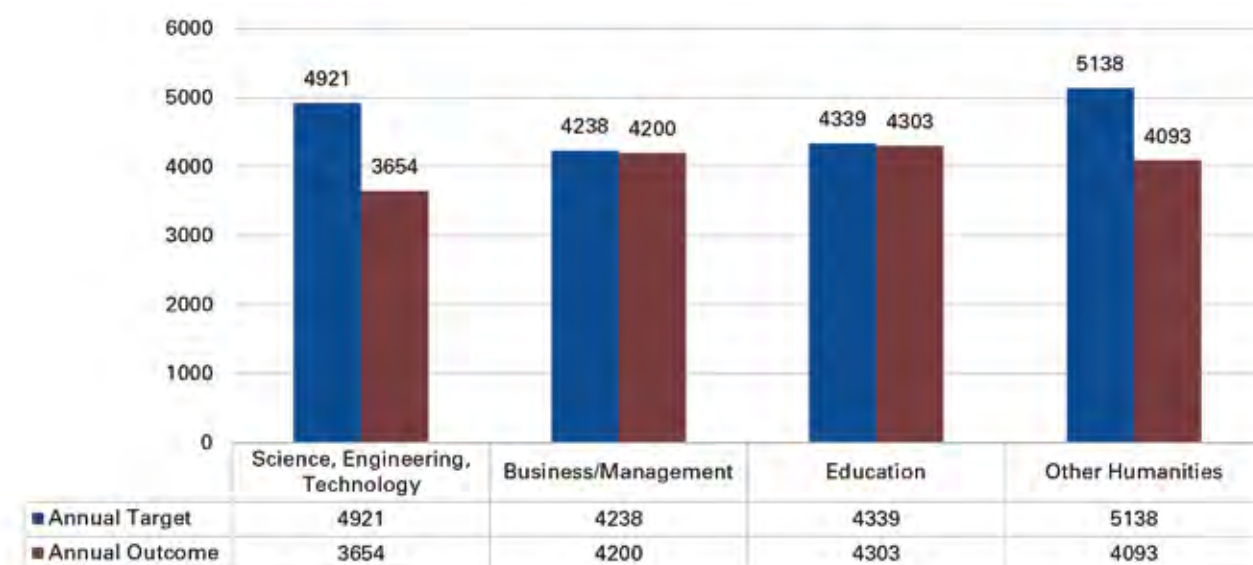


Figure 11: 2021 Enrolments by Major Field of Study



As explained in the Performance Assessment Report, UNIZULU unfortunately did not meet the annual enrolment targets for FTE students, UG, PG. This invariably affected the total overall headcount enrolments.

The headcount enrolments by race and gender are contained in Table 56. The majority of UNIZULU's student population is African, followed by Indian, Coloured, White and other ethnicities.



**Table 56: Student Profile by Race and Gender: 2021**

RACE	2020	%	MALE	FEMALE	% MALE	%FEMALE
African	16 173	99,53%	7 014	9 159	99,56%	99,50%
White	22	0,14%	9	13	0,13%	0,14%
Indian	34	0,21%	13	21	0,18%	0,23%
Coloured	7	0,04%	4	3	0,06%	0,03%
Other	14	0,09%	5	9	0,07%	0,10%
<b>Totals</b>	<b>16 250</b>	<b>100,00%</b>	<b>7 045</b>	<b>9 205</b>	<b>100,00%</b>	<b>100,00%</b>

## STUDENT THROUGHPUT

The 2021 graduation ceremonies were held virtually over four days from 5-8 July 2021. Due to COVID-19, graduates were advised to send a courier of their choice to collect their certificates. Graduation statistics are provided in tables 57-61.

**Table 57: Headcount Graduations in 2021**

GRADUATION TYPE	TARGET	ACTUAL
Undergraduate qualified	3 991	3 446
Postgraduate qualified	1 011	753
Total graduates (undergraduate and postgraduate)	5 002	4 199
Success rate	84%	84%



**Table 59: Graduation Statistics (Percentage and Figures of Male/Female Graduates – Overall)**

UNDERGRADUATE						POSTGRADUATE					
Faculty	Fem	% Fem	Male	% Male	Total UG	Fem	% Fem	Male	% Male	Total PG	Totals
Faculty of Arts	558	55.11%	390	38.13%	948	33	2.99%	39	3.77%	72	1 020
Faculty of Commerce, Administration and Law	705	57.15%	448	36.37%	1 153	59	4.07%	35	2.41%	94	1 247
Faculty of Education	620	53.07%	329	28.25%	949	143	11.72%	87	6.96%	230	1 179
Faculty of Science, Agriculture and Engineering	424	54.12%	239	30.58%	663	60	7.45%	65	7.85%	125	788
<b>Totals</b>	<b>2 307</b>	<b>54.96%</b>	<b>1 406</b>	<b>33.46%</b>	<b>3 713</b>	<b>295</b>	<b>6.56%</b>	<b>226</b>	<b>5.02%</b>	<b>521</b>	<b>4 234</b>

**Table 59: Graduation Statistics (Percentage and Figures of Male/Female Graduates – Overall)**

UNDERGRADUATE						POSTGRADUATE					
Faculty	Fem	% Fem	Male	% Male	Total UG	Fem	% Fem	Male	% Male	Total PG	Totals
Faculty of Arts	558	55.11%	390	38.13%	948	33	2.99%	39	3.77%	72	1 020
Faculty of Commerce, Administration and Law	705	57.15%	448	36.37%	1 153	59	4.07%	35	2.41%	94	1 247
Faculty of Education	620	53.07%	329	28.25%	949	143	11.72%	87	6.96%	230	1 179
Faculty of Science, Agriculture and Engineering	424	54.12%	239	30.58%	663	60	7.45%	65	7.85%	125	788
<b>Totals</b>	<b>2 307</b>	<b>54.96%</b>	<b>1 406</b>	<b>33.46%</b>	<b>3 713</b>	<b>295</b>	<b>6.56%</b>	<b>226</b>	<b>5.02%</b>	<b>521</b>	<b>4 234</b>

**Table 60: Graduation Statistics (Overall by Results)**

FACULTY	PASS	PASS WITH MERIT	PASS WITH DISTINCTION	TOTALS
Faculty of Education	940	57	23	1 020
Faculty of Arts	1 167	74	6	1 247
Faculty of Commerce, Administration and Law	1 089	84	6	1 179
Faculty of Science, Agriculture and Engineering	669	85	34	788
<b>Totals</b>	<b>3 864</b>	<b>300</b>	<b>69</b>	<b>4 234</b>

**Table 61: Graduation Statistics (Overall by Gender)**

FACULTY	MALE	FEMALE	TOTALS
Faculty of Education	477	758	1 235
Faculty of Arts	408	755	1 063
Faculty of Commerce, Administration and Law	429	591	1 020
Faculty of Science, Agriculture and Engineering	301	480	781
<b>Totals</b>	<b>1 615</b>	<b>2 584</b>	<b>4 199</b>

## INSTITUTIONAL PLANNING

### HEMIS

HEMIS submissions are done to ensure that the University secures a government funding subsidy, and 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, Science and Technology (HEST) and other role-players. In 2021, a review and analysis of data were conducted, and various reports were produced and submitted to DHET. These submitted databases determine the quantum the University receives for block grants and earmarked grants. These are stipulated in the Ministerial



Statements on University Funding issued every year. The University has consistently maintained an error-free Student, Staff and Postdoctoral Fellowships HEMIS databases for five years in a row. A key factor from national announcements that affected operations of census dates, which have an impact on the HEMIS data, is due to the extended 2020 academic year calendar by the Minister of HEST as a result of the COVID-19 pandemic. All submissions were made on time. The submissions were either earlier than the national due date or on time in line with the national due date.

The 2021 HEMIS audit commenced on 15 June 2021 and involved all relevant stakeholders within the University and the external auditors. An agreement was reached that the auditors' timeframes will be adhered to. Financial penalty implication was highlighted in the meeting for late submission. The calculated penalty is R5 million. All submissions of information to external auditors were done through an established Teams Link profile. Information was uploaded. The accessing link was shared with auditors for secure communication. The executives (IPD and Finance) reviewed all management responses based on the findings in the auditor's draft report. The Final Audit Report was received on the eve of 28 July 2021 and submitted to the HEMIS Office at the same time for both the audited final student and staff Valpac databases.

## Data Management

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

- **First-year students' profile (Biographic Questionnaire):** The Biographic Questionnaire (BQ) is a questionnaire first introduced in 2018 to help the Institution to enhance the understanding of how a student's socio-economic background would influence his or her chances of success in the University. This BQ is embedded in the online/web-based registration process on ITS iEnabler and it collects comprehensive data on several variables concerning the student's background, including home location; the 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. The number of students that completed the BQ is 2 285 out of 3 654 enrolled in 2021, and the response rate is, therefore, 63%. However, the overall response rate of the BQ over four-years is an impressive 79%. Following the data collection phase, data cleaning and analysis, the BQ report was produced for the academic year 2021. The comprehensive report covers five themes, namely; Student Profile, School Profile, Home Background, Accommodation Arrangements, and Financial Arrangements. Some key findings from the report are that 55% of the students were female, while 45% were male, something that is consistent with the overall profile of the institution. In addition, more than 50% of students, the majority of whom are first-generation students, came from schools without computers, libraries, and science laboratories. Furthermore, 97% of enrolled students came from schools located in KwaZulu-Natal. As far as home background is concerned, it was found that 96% of the students came from homes with electricity, which suggests that the students came from environments with basic conveniences to support

learning opportunities. On accommodation, it was found that 58% of the students were staying on campus at the University residences, a higher than the usual proportion of 37-41% of students that stay on campus. And of the students accommodated off-campus, the majority of them stayed within the DHET-recommended radius of 10km or less. On funding, 94% of the students, an overwhelming majority, depended on NSFAS for tuition, accommodation and living expenses.

- **FYE Survey:** The purpose of the FYE Survey is to measure the level of satisfaction that first-year UNIZULU students attributed to various stages of their first year of study. The key findings for the two years of this study were that:
  - ◊ Slightly more than half of the respondents (53.65%) indicated that they registered in person at the campus during 2021. Of those who registered in person, half (51.02%) described that they primarily did so because they were unfamiliar with the online process and did not know how it worked. Just more than half of the respondents indicated that they have not received any form of career guidance before or during their registrations (51.08%).
  - ◊ Respondents indicated that they were satisfied with the registration process. The level of satisfaction was the same for in person and online registration.
  - ◊ The majority of the respondents indicated that they accessed their online learning material through either a laptop (64.83%) or smartphones (62.80%), compared to accessing online learning using the on-campus facilities (2.27%), or a tablet (1.44%).
  - ◊ The majority of the respondents indicated that they felt positive about studying online, rating their feelings towards online learning as the highest two possible scores (four or five stars) (60.89%). The majority of the respondents indicated that they were able to access the LMS system (96.64%), although fewer respondents had downloaded the mobile app (54.98%). The majority indicated that Moodle was the communication channel that they depended on the most for university-related information (87.42%), followed by WhatsApp (59.95%), and their university emails (27.59%). Respondents agree that Moodle was convenient and an effective tool to access lecture notes and announcements.
  - ◊ A large number of respondents described, in an open-ended question, that their ability to connect to the Internet and participate in online learning were limited by network problems (33.17%) and the lack of mobile data (16.58%). Respondents also indicated that they experienced problems with the online platforms (22.28%) or needed orientation on how to work on the different systems (14.11%).





- ◊ Overall, respondents seemed to indicate positive experiences with the institutional culture at UNIZULU. The majority of respondents indicated that they felt welcome and accepted at UNIZULU (92.87%). A significant number also indicated that they were proud to study at UNIZULU (89.44%).

This study will assist the University to improve internet access (Wi-Fi) on campus as well as in the residences.

- **Student Facing Challenges Report:** This report provides insight into students facing academic challenges and is based on each semester's results for the academic year 2021. These analyses are limited to students who sat for the exam and whose final marks are available in the system. Students who obtained a final mark below the 50% thresholds and failed at least one module, are included in the analysis and classified as students facing challenges. The proportion of students facing challenges was between 21% and 38% in the first semester, however, in the second semester, it was between 10% and 37%. In the first semester, FSAE had the highest

number of students facing challenges with 1761 students, followed closely by FCAL with 1 692 students, then the FA with 1 201 students, the lowest being FE, with the lowest number of 669 students out of the 5 323 students enrolled. In the second semester, FE had the highest number of students facing challenges with 1 643 students, followed by the FSAE with 1 341 students, then FCAL with 1 113 students, and the lowest being FA with the lowest number of 632 students out of the 4 729 students enrolled. The faculties need to know about these students so they can be able to provide tailor-made interventions that can help address the academic challenges through either academic advising, mentorships or tutorials.

- **Research Data Management and Analysis** – Management of the research database and warehousing: The project was introduced in order to assist the Research Office to automate the research capturing process and help eliminate the risk of data integrity in the research submission data. This system also allows the University to have a data warehouse for future use. The research management system project goals achieved by the successful implementation are as follows:







- ◊ Online capturing of all research publication outputs data for journal articles, books, book chapters, conference proceedings
- ◊ Storing the data in the central database
- ◊ Exporting of data for submission in the prescribed DHET format
- ◊ Integrating the research output data with other ERP data
- ◊ Having access to research output data at any given time
- ◊ Analysing research output and trends
- ◊ Benchmarking research output with peer institutions

In addition, a 2021 State of Research Report has been completed. This report gives a thorough overview of how the research of the University of Zululand has been performing over the past five years (2016-2020). The report includes research output benchmarking analysis with other peer universities and Clarivate InCites benchmarking and analytics, which covers content in all published areas of the sciences, social sciences, and humanities.

## STUDENT SERVICES

UNIZULU is committed to encouraging students to treasure academic life and enhance academic excellence through its co-curricular programmes. Central to this are efforts aimed at improving students' throughput rate and ensuring that students find adequate work opportunities after graduation. Student Services encompasses a wide range of activities – student accommodation, guidance and counselling, first-year orientation, governance, health services, teaching and learning, development, sports, etc. Service delivery to students remains a key performance area of the Institution. Under the leadership of the Dean of Students, the Institution worked closely with the interim SRC and student societies to make the year under review a success.

As stated in the report of the Chairperson of Council, Student Services at UNIZULU focuses on ensuring that students receive opportunities for academic development to enable them to complete their programmes with minimum challenges. This enables increased student retention and success by providing a conducive environment for teaching and learning and research. Integrated student-centred services focus on the provision of safety, good health, wellness and good citizenry.

### Student Residences

During the period under review, the Housing Unit provided accommodation to FTENS for the duration of their orientation and beyond. Returning students were also accommodated

in the on-campus residences. The COVID-19 pandemic impacted negatively on the housing business as students did not book all available spaces. Out of 5 996 beds, only 3 387 were booked by students. This situation necessitated that all students who resided at off-campus-leased residences be asked to occupy on-campus residences. This caused tensions between the Housing Department and the landlords. However, through dialogue, the matter was resolved. The University continued to ensure that COVID-19 protocols were observed.

### Student Governance

The University recognises the critical role played by student governance and students form part of all major committees at UNIZULU, including Council, senate and Manco. There are 84 student societies at UNIZULU, which are allocated funds from the societies' levy to implement their programme of action. Faculty councils also participate in faculty Board meetings. This ensures that student voices are heard on academic issues. As evidenced in the report of the Chairperson of Council, the 2021/2022 elections were successfully held in December 2021 via the newly-introduced electronic voting system. The SRC is fully constituted and forms part of the University governance structures (including Council).

Unfortunately, there were a few episodes of attempted student protests. The day after South African Union of Students (SAUS) called for a national shutdown of all HEIs, the Economic Freedom Fighters Student Command (EFFSC) blocked the main gate, however, due to students' lack of interest and the fact that the University acted proactively, the protest action did not gain any traction. In enhancing student leadership and staff capacities, the student department hosted student leadership workshops and student affairs training respectively.

From 9 to 11 August, the SRC held the Students Societies Policy Review workshop to review all the faculty councils and societies that are affiliated with the SRC. The draft documents on this aspect are currently in circulation for comments and recommendations.

### Student Health (Campus Clinic)

The campus clinic is instrumental in safeguarding the health of the students. The clinic led from the front during the COVID-19 pandemic and was involved in a number of campaigns. This included provision of primary healthcare, HIV testing and treatment, tuberculosis screening, diabetes screening, anti-retro viral treatment, pre-exposure prophylaxis treatment, sexually-transmitted infection screening and treatment and GBV awareness and reproductive health. It also managed

all health matters related to the COVID-19 pandemic in line with UNIZULU's infection prevention and control plan and guidelines. The clinic monitored the COVID-19 helpline and managed all screenings, quarantine spaces and COVID-19 awareness campaigns. The Guidance and Counselling Section has also brought on board the National Department of Social Development to partner with UNIZULU in combatting crime and other social ills. The objectives of the strategy are meant to assist in identification and promotion of innovative partnership-driven approaches to reduce the levels of crime and violence. Intervention programmes are also provided as this is about creating a safe and crime-free South Africa.

### Sports and Recreation

The Sports and Recreation Section coordinates sports activities. This is meant to enhance the academic and leadership excellence of students. 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. The granting of permission for sports to resume at universities began in March/April 2021. Students returned for training to prepare for their games. Some sports federations had granted permission for students to participate in sports.

### Disability

The dedicated Disability Unit at UNIZULU (DU) plays a crucial role in ensuring that students with disabilities are accommodated and can fully enjoy the student experience at the University. As evidenced in Table 11 of the report of the Chairperson of Council, UNIZULU has a total of 184 students with disabilities in 2021. Various policies are in development and initiatives implemented to address the needs of disabled students. UNIZULU has also established a lab for students with disabilities, which is aimed at assisting students with hearing difficulties in learning and research activities. The technologies used for digital learning are based on Universal Design principles in which the accommodation is already built into the design. The programme translates speech to text and makes it easier for students to follow lectures and to enable them to access lecture notes afterwards.

The Human Resources Department runs activation programmes to encourage disability disclosure and offer diversity and inclusion programmes to support staff with disabilities. The Student Disability Unit runs regular workshops to create awareness among the student population, and to eliminate prejudice against students with disabilities. The unit plays the role of a 'go-between' and advocate for students'

needs in different structures and forums. Students also have identity cards that help access various University programmes without having to join long queues.

## CAMPUS DEVELOPMENT

The Report of the Chairperson of Council, as well as the Performance Assessment Report, highlights the University's progress toward an infrastructure development drive. Progress has been severely delayed due to the COVID-19 pandemic, however, work commenced on the new Engineering building in Richards Bay (Phase 1) in October 2021, with expected completion in November 2022. In addition, UNIZULU is in the process of carrying out a comprehensive project viability study for the proposed new campus at Ulundi as part of a DHET initiative.

## INFORMATION TECHNOLOGY

The University of Zululand has embarked on positioning itself as a 'digitally-enabled Smart University'. This implies a shift towards digital transformation and digital optimisation initiatives. IT is seen as one of the major drivers in the University's value creation efforts. However, a key component to realising value from IT is a sound governance framework i.e., enterprise governance of information and technology (EGIT). At UNIZULU, this has been flagged as a key concern during various external assessments. This includes the DHET ICT review during 2019/2020 exercise. The report highlighted the need to firm up IT governance and recommended key interventions. This was reiterated in the IT Governance Internal Audit Report – January 2021.

One of the findings detailed in the report recommended that UNIZULU adopt an IT governance framework to ensure alignment with the business, and to mitigate risk to ensure value delivery to the Institution. An ICT Policy and Governance specialist has since been engaged to assist with:

- The development and execution of an overarching Digital Transformation and ICT Strategy aligned to institutional strategic objectives to position UNIZULU as a '*smart university*'
- The formulation of an ICT governance framework based on industry best practice and relevant standards,
- The review and development of appropriate ICT policies and procedures
- The development of technology architecture in line with established frameworks
- The creation of a technology roadmap aligned to the Digital Transformation and ICT Strategy, ICT Operational and Capital Budget and the ICT Core Platform Budget
- Assistance in the identification, costing, scoping and









execution of strategic projects emanating from the above, including knowledge transfer, training and mentorship of ICT Unit staff.

UNIZULU continued to focus on improving value-driven end-user services to the academic endeavour. To this end, UNIZULU is actively recruiting skilled academic and classroom technology specialists to bolster the suitably staffed End User Services section.

From a vacancy rate of over 80% in December 2020, ICT has now filled over 85% of primarily key posts. Cybersecurity training requirements are being addressed through University-wide staff awareness training.

UNIZULU applied for the 6th Infrastructure and Efficiency Grant (IEG) funding cycle, in June 2021, which focuses on Network Revitalization (to improve the network connectivity), Multimedia Smart Classroom (High-end-ICT systems to prepare the University of Zululand from traditional classroom university to a smart-university beyond classroom borders) and Public Cloud Infrastructure (since the existing service and newly-built IT environment has insufficient capacity to meet UNIZULU future expansion needs).

The Smart Surveillance Project (installation of security

cameras) is nearing completion. The University will enter into a service level agreement for the provision of remote surveillance services and surveillance equipment maintenance services.

Before the advent of COVID-19, the University's student population had unlimited access to computer labs, the library and other teaching venues which are fully equipped with computers and Wi-Fi access. With the spread of COVID-19, the implementation of social distancing guidelines and multi-modal learning meant that the University has had to quickly adapt to what is now considered as the new normal. This requires a significant increase in Wi-Fi coverage in residences. There are, however, challenges that need to be addressed going forward. The first challenge is the presence of access points that have reached their end of life. These have also been installed with cabling that is not fit for purpose. Wi-Fi coverage, as a result, has been limited in the University's residences. The inconsistent energy supply to the University as a result of loadshedding remains a challenge, not only to the ICT Division, but to the University's operations as a whole. The constant switching on and off of the power supply and the associated surges in power cause damage to both new and old infrastructures. When loadshedding strikes, the University loses the majority of its ICT services. Telephony is negatively affected along with





Wi-Fi access given that most offices do not currently have backup power supplies. The end result of this is limited connectivity for both staff and students.

In May 2021, the first phase of the Wi-Fi Project began and all of the East residences are currently part of Phase 1 rollout. The implementation stage kicked off in June 2021 when Bay Lodge, East and West residences on the main campus were selected. Network switches and access points, which enable wireless connectivity to all university residences is nearing completion. Previously, the datacentre had no data backup, with no storage available for additional applications. The firewall that was in place had a slow bandwidth speed and the datacentre itself had reached its end of life. The datacentre replacement project was completed in the second quarter of 2021. This project included the installation of a new firewall, which allowed the bandwidth speed to significantly improve. New servers have been procured and installed and there is now increased virtual storage space.

All staff are individually linked to multi-use networked printers with printing-enabled follow-me for accounting purposes. The mid-year examinations were completed fully online in June 2021 without any major technical issues raised. Discipline-specific on-site practical assessments were completed under strict COVID-19 compliant protocols. The ubiquitous growth

of mobile device usage has introduced disparate devices and configurations, and UNIZULU is required to enable access to all key University systems from any device, anywhere, at any time. Student laptops were sourced, and thousands deployed through a financially controlled process. A properly defined returns and repair process has been negotiated with the supplier and implemented.

Responding to the requirement for improved teaching technologies and multimedia smart classrooms, UNIZULU is in the proof of concept testing of the suitability of Idea Hubs to provide state-of-the-art interactive teaching and learning. The Idea Hubs comprise recording audio-visual, conferencing, follow-me technologies, and many other exciting, embedded features to improve the student learning experience. These capabilities enable delivery of learning material from the traditional classroom to 'anywhere and anytime accessibility'.

To bolster the audit-identified governance shortcomings and improve service delivery, a project plan has been developed for a complete refresh of the Incident Management System with software license monitoring. The replacement of over 400 academic staff devices has been completed as part of a five-year Device Replacement Strategy. Requirements gathering has also been completed to replace selected key function support staff desktop devices.



## SAFETY AND SECURITY MANAGEMENT

The security arrangement at the University of Zululand must be understood within the context of its environment. Located in an area falling under the traditional owners and the absence of a title deed has resulted in the University being unable to put up a perimeter fence. At the same time, the community holds the view that it is entitled to demand jobs and contracts from the University. At times, this demand has translated into violent protests and disruptions, which affect the optimal functioning of the University.

Security is managed by the Protective Services Department (PSD) and the University has adopted a mixed model security system consisting of both permanently employed members and a contracted/outsourced security team. The outsourced team comprises members with the required skills and security qualifications recruited from the surrounding communities. The model has been generally used in most institutions in South Africa and has created some form of comfort in these institutions.

During the year under review, the PSD and the Campus Health Clinic conducted on-site refresher training on COVID-19 preventative measures for the security officers at the main entrance and faculty buildings. This led to the implementation of new access control procedures. Two deputy directors were sent for training in operating and monitoring the surveillance system that is currently being installed. A security awareness roadshow was conducted for all the student's residences in Richards Bay. VIP protectors were sent for their annual firearms refresher training programme during the short recess of the University. VIP protectors are expected to be alert and quick to react in times of need.

The management team held a stakeholder meeting with the SAP commanders at Mtunzini Police Station in the month of April to accelerate the processing of cases and to speed up their conclusion. The University has expressed a concern that cases registered with the station do not reach the court of law due to case withdrawals. The possibility of the reopening of the KwaDlangezwa satellite station was also explored. The local station should assist in the speedy response to criminal activities on campus.

The Surveillance Cameras Project, which is mainly sponsored by the ICT Department, started in earnest. Various features of the system will be put to the test to ensure that the system performs to full capacity. The installation is currently standing at 85% for the first phase and operational efficiency is excellent. The installation of the surveillance cameras project focused on the areas that are targeted by criminals. This includes the electricity substation, Graphics and Tourism departments and the King Bhhekuzulu Hall. This project was combined with the assessment of the lighting on campus and vulnerable buildings that are targeted by criminals for copper theft.

During the year under review, the PSD dealt with both community and student protests outside the main gate on several occasions. SAPS was always available to help. A WhatsApp real-time communication method has been developed to keep management abreast of security-related developments. The PSD had to request the management intervention to acquire the services of an armed strike force team and the use of a drone during the violent and destructive community protest.

## OCCUPATIONAL HEALTH AND SAFETY

UNIZULU's OHS Office has generated a safety culture that is both performance-oriented and customer-focused. The OHS programme is designed to provide knowledge, service and accountability (a critical element of a pre-emptive safety culture). The University developed the OHS Policy that was approved by the University Council in November 2021. The policy regulates the execution of the OHS programme to create a sustainable OHS culture and ensure compliance. The policy applies to all employees, students, agents, contractors and visitors within the premises and perimeters under the control of the University. The implementation of this policy shall be directly supported by various OHS guidelines.

The University also established an OHS Committee, which reports to the Risk Management Committee chaired by the Vice-Chancellor. The Committee may delegate some of its activities to other committees (such as Unit Safety committees), offices (such as the OHS Office) or employees



(such as a Safety Officer) provided that appropriate reporting mechanisms exist such that the Committee is fully aware of the progress of the delegated activities.

## MANAGEMENT OF FINANCIAL RESOURCES

The University needs to keep on growing its reserves and cash flow by ensuring that it generates income as well as by applying controls over expenses to ensure value for money. This is managed through cost-control measures, ensuring that expenditure is within budget, managing funding requirements and enhanced student debt management. Enhancing controls and addressing critical audit findings are 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. UNIZULU remains vulnerable to student protests in the face of overstretched, limited funding.

## COMMUNICATIONS AND MARKETING

CMD's mandate is to ensure an overarching brand strategy of preserving the reputation of UNIZULU by emphasising UNIZULU's competitive advantages through a range of

offerings. The University's reputation remained positive during the year under review. The performance is monitored every month by independent reputation management experts and internal measurement barometer and analytics. The CMD played a pivotal role in promoting the University brand. The following are a few highlights during the year under review:

- University's experts garnered extensive coverage on the issues of the Amazulu Royal Family following the passing of His Majesty, King Goodwill kaBhekuzulu
- Upgrade of the University website
- Upgrade of the student magazine #Hashtag
- Guaranteed editorial in the *Daily News* (highest readership by circulation figures)
- 2021 MACE Awards (Marketing, Advancement in Communication & Education) top achiever among the 26 public universities
- Best Virtual Graduation Ceremony by independent social media reviewers and Loeries awards judging panel
- CMD Director's Accreditation by PRISA (Public Relations Institute of South Africa) APR – highest professional rating in the communications profession based on the experience, successful campaign driven, oral and written exam

Apart from the key strategic institutional events, as outlined

COVID-19  
Online Resource & News Portal  
SAconomy@unizulu.ac.za



For more information on COVID-19 and government regulation: [Click here](#)  
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in Table 10 of the Report of the Chairperson of Council, other key flagship events and webinars during the year include:

- Faculty of Arts' Webinar – The idea of a Centre for African Thought at the University of Zululand – 11 March 2021.
- 2021 Vice-Chancellor's Webinar Launch – 10 May 2021 – Topic: Democracy, Language and Inclusive Education in the African Context.
- Vice-Chancellor's Webinar Series: The Regenerative Nationalism of Robert Mangaliso Sobukwe – 22 June 2021 by Prof. K.K. Prah.
- Africa Day Webinar – A collaboration with the Department of Arts, Sports & Culture. Topic: African Languages, Social and Economic transformation – 27 May 2021 by Prof. K.K. Prah.
- Women's Day Webinar – 12 August 2021 – The Power of a Changed Mindset to Success by Dr Mjoli.
- Beyers Naude Memorial Lecture with Kagiso Trust – 19 October 2021 by Professor Lamola.
- Vice-Chancellor's Webinar – 26 August 2021 – BEE Lecture with Mr Magomola on Student's Leadership.
- Community Engagement Webinar – 17 September 2021 – Engaged Scholarship and the Scholarship Engagement by Dr Hart

## RISK MANAGEMENT

The Risk Management Committee (RMC) of the University of Zululand derives its mandate from section 27(2)(b) of the University Statute, which states that the University Council is obliged to establish a committee dealing with a risk to advise the Executive Committee of the Council and Council on their responsibilities. Furthermore, section 68(a)(2)(c) of the Statute states that the function of Manco includes risk assessment and management, as well as health and safety management. Risk, Compliance and the OHS Office assists Manco in executing its operational responsibilities relating to section 68 of the Statute. 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. This ensures 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, and 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 are part of the normal management strategy for all organisational units within the University.

During the year under review, UNIZULU developed the Risk Management Policy which was approved by Council in November 2021. In addition, the University developed the Risk Management and Compliance Framework, which was endorsed by the ARCC in October 2021. The framework was developed to underpin the implementation of the risk management policy. It aims to support the University to improve and sustain its performance by enhancing the systems of risk management to protect against adverse outcomes and to optimise opportunities. The framework recognises the complexity and interdependence of risk management processes within the context of HEIs. It is not possible to produce a blueprint that can be generically replicated across all departments and faculties. The framework will be tailored to apply and cater for instances where it is not possible to implement the standard practice/ principles.

Controls that were implemented to mitigate against identified divisional risk registers were assessed, which resulted in the residual risks improving relative to the ratings that were allocated at the beginning of 2021. An assessment of causes,

effects, existing controls and control improvements was conducted and reported on for the 2021 academic period. After assessing the strategic risk register, the top 10 strategic risks for the 2021 year of assessment include:

1. Inadequate ICT governance structure, infrastructure, and related processes
2. Inadequate infrastructure development and maintenance
3. Fraud and corruption
4. Ineffective University security
5. COVID-19: Impact of the pandemic on UNIZULU operations
6. OHS compliance
7. Uneven research output per capita
8. Insufficient funding for running the Institution
9. Student throughput and graduation rates
10. Inadequate branding of UNIZULU and engagement with key stakeholders

A full report on risk management is contained in the report on risk exposure assessment and its management.

## 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, GBV 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. The Equity Plan, Talent Management Framework, Performance Management System and various reviewed policies aimed at recruitment, selection, training and development as well as academic promotions all play a critical role in UNIZULU's drive towards a diverse workforce.

To bolster its transformation imperatives and to address the priorities of promoting diversity and social inclusion, the University has, to date, approved vital policies, such as:

- Anti-discrimination Policy
- Policy on Harassment
- Employment Equity Policy
- Language Policy
- Policy on Sexual Harassment & Gender-Based Violence
- HIV & Aids Policy
- Language Policy
- Gender Equality and Inclusivity Policy

As highlighted in the Transformation Report, one of the significant achievements of UNIZULU's transformation journey during 2021 has included the more excellent representation of black women and female academics on critical institutional governance structures at the University. The changing tide in the representation of women in top management (Grade 1-3) and Senior Management (Grade 4-5) results from the University's revised Employment Equity Policy and Talent Management Policy, which came into effect in 2018. Most notably, according to the recent Employment Equity Report (2021), female representation in the upper echelons of management was at 33% at the onset of the plan, and female representation was at 75% in December 2021. Therefore, meaningful progress has been made towards equal participation of diverse staff members (more significant numbers of blacks, women and disabled persons) on committees, advisory bodies, and other decision-making entities, with a minimum 28% shift in the preceding 12 months. Faculties and departments regularly collate information about employment equity and have tracked progress towards a more diverse staff contingent. Furthermore, black women and disabled staff members

participate in decision-making structures, however, there is still more work to be done in this area.

UNIZULU has put various mechanisms in place to deal with transformation imperatives and to address the priorities of the HE Summit 2015. These include establishing the Transformation & Social Inclusion Committee, an Employment Equity and Skills Development Committee and the Gender Forum. In addition, the Institution has redoubled its efforts towards developing policies and programmes that promote transformation, diversity, and social inclusion.

UNIZULU has committed to integrating transformation into the University's Strategic Plan, thereby placing transformation, diversity and social inclusion at the forefront. The increase in the representation of women in institutional governance structures is a seminal moment in the University's transformation journey and highlights the changing tide in the Institution. This seismic shift also heralds the beginning of a renewed focus on staff and students living with disabilities and the inclusion of subaltern perspectives from members of the LGBTIQ+ community.

## CONCLUDING REMARKS

The University was able to deliver and implement the 2021 calendar as planned without compromising on the quality of the activities, even during the most challenging times brought about by the COVID-19 pandemic. The University community worked in harmony to achieve a common goal of providing quality teaching and learning for its students. Administrative departments played an important role in achieving success and transformation progress. The year 2021 has seen significant improvements in IT, with registration, learning and examinations taking place online. But there is still a lot of work to do in terms of IT development. Accelerated infrastructure development will be a key focus in 2022 and safety and security will be closely monitored.



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









# REPORT ON RISK EXPOSURE ASSESSMENT AND ITS MANAGEMENT

**Good governance is the means of ensuring due and adequate control over the strategy and direction of any institution.**

## INTRODUCTION

In terms of section 30 of the reporting regulations, the duly appointed Vice-Chancellor is responsible for the management and administration of a public HEI and the Vice-Chancellor's report on management/administration must report on risk exposure, assessment and the management thereof. Section 5.2(j) of the reporting regulations also require each public HEI to include an institutional risk register in its annual report, which documents the critical identified risks; the likelihood of each such risk occurring; an assessment of the identified risk's potential impact; and the measures put in place to mitigate it. Section 7 of the reporting regulations require that Council reports on risk management in its report, particularly regarding the following:

- Make a statement on risk management wherein it comments on how a public HEI has dealt with the issue of risk management. It should provide a statement that it is responsible for the total process of risk management as well as forming its opinion on the effectiveness of the process. It should disclose the system that it has put in place to support its opinion, including independent and objective reviews of the risk management processes within a public HEI.
- Disclose confirmation that it maintained a reporting system that enabled it to monitor changes in a public HEI's risk profile and gain an assurance that risk management was effective.
- Disclose that a public HEI has and maintains an efficient and effective process of risk management to manage

key risks and accordingly, it is not aware of any key risk current, imminent or forecasted, that may threaten the sustainability of a public HEI.

In this regard, the Vice-Chancellor is accountable to the University's ARCC and ultimately Council for risk management. Based on the need to balance the achievement of specific performance against the need to protect its stakeholders (conformance), the Council has approved the implementation of an integrated risk strategy and risk management policy as a key component of its Corporate Governance Framework.

Enterprise-wide Risk Management (ERM) is a formal and systematic response to all key risks facing an institution. It is a disciplined and integrated approach that supports the alignment of strategy, process, people, and technology, and allows institutions to identify, prioritise, and effectively manage their critical risks. By understanding all risks in an integrated framework, institutions can execute proper strategies to successfully achieve their objectives and meet their performance goals. 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 it creates sustainable value for stakeholders. The following factors require consideration when integrating ERM into the UNIZULU decision-making structures and in ensuring the management of risk is inculcated in the culture of the University:



- Aligning risk management with objectives at all levels of the University
- Introducing risk management components into existing strategic planning and operational practices
- Including risk management as part of employees' performance appraisals
- Continuously improving control, accountability systems and processes to take into account risk management and its results

Principle 11 of the King IV Report recommends that the Council should govern risk in such a way that it supports the Institution in setting and achieving its strategic objectives. The practice notes that principle 11 recommends Council treat risk as integral to the way it makes decisions and executes duties; approve a policy that gives effect to setting direction on risk; evaluates and agree to the extent of the risks that the Institution is willing to take in pursuit of its strategic objectives; delegate to management the responsibility to implement and execute effective risk management; exercise ongoing oversight of risk management; and disclose the nature and extent of risks it is willing to take; arrangements for managing risk; key areas of focus; and actions taken to monitor the effectiveness of risk management and how outcomes were addressed.

Council has established the ARC, which is responsible to assess all areas of risk (financial and non-financial), monitoring changes in the University's risk profile and gaining 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 Strategic Risk Register is maintained. The Chairperson of the ARC, the Vice-Chancellor and other members of executive management report regularly to the Council on risk management activities and results. The composition and meeting schedule of the ARCC is set out in Table 6 of the Report of the Chairperson of Council.

The University developed the Risk Management Policy, which was approved by the University Council in November 2021. The policy serves to communicate the University's risk management philosophy and how risk management is expected to support the University in achieving its objectives. It also outlines the objectives and approach of risk management and communicates risk mitigation and review processes and procedures.



The University also developed the Risk Management and Compliance Framework, which was endorsed by the ARCC in October 2021. The Risk Management and Compliance Framework was developed to underpin the implementation of the risk management policy at UNIZULU. It aims to support the University to improve and sustain its performance by enhancing its systems of risk management to protect against adverse outcomes to and optimise opportunities. The framework recognises the complexity and interdependence of risk management processes within the context of HEIs. It is not possible to produce a blueprint that can generically be replicated across all departments and

faculties. The framework is tailored for applicability and to cater for instances where it is not possible to implement the standard practice/principles.

## MANAGEMENT AND CONTROL OF CONSEQUENCES OF RISK

UNIZULU conducted a Risk Maturity Assessment (RMA) utilising the maturity capability model it has adopted in its Risk Strategy. UNIZULU's implementation plan has been regularly reported on to the ARC. The table below compares the residual risk rating at the beginning and the end of 2021.

**Table 62: Residual Risk Ratings for the Year 2021**

RISK IDENTIFICATION AND ANALYSIS			2021 STRATEGIC RISK ASSESSMENT				INTERPRETATION OF CHANGE IN RESIDUAL RISK
REF #	STRATEGIC GOALS	RISK NAME	INHERENT RISK RANKING RATING	RESIDUAL RISK RATING AS OF THE BEGINNING OF 2021	RESIDUAL RISK RATING AS OF THE END OF 2021	NET CHANGE IN RESIDUAL RISK RATING IN 2021	
1	Linked to all objectives	ICT Governance and Infrastructure	25	10	10	0	No change in the residual risk rating
2	Linked to goals 2, 3 & 6	Infrastructure Development and Maintenance	25	10	10	0	No change in the residual risk rating
3	Linked to all goals	Fraud and Corruption	25	13	10	-3	A favourable change in risk rating
4	Linked to all goals	Security and Access Control	25	13	10	-3	A favourable change in risk rating
5	Linked to all objectives	COVID -19	25	13	10	-3	A favourable change in risk rating
6	linked to all objectives	Organisational Health and Safety Compliance	25	20	20	0	No change in the residual risk rating
7	Linked to goals 2, 3, 4 & 5	Research Productivity	20	10	8	-2	A favourable change in risk rating
8	Linked to all goals	Financial Sustainability	15	6	6	0	No change in the residual risk rating
9	Linked to all objectives	Teaching and Learning	15	8	8	0	No change in the residual risk rating
10	Linked to all goals	Branding and Stakeholder Management	12	8	6	-2	A favourable change in risk rating



Table 63 shows risk appetite thresholds, action and escalation requirements to be carried out per category.

<b>Table 63: Risk Appetite Thresholds</b>				
<b>RISK THRESHOLD VALUE</b>	<b>LEVEL OF RISK</b>	<b>RISK TOLERANCE</b>	<b>ACTION</b>	<b>ESCALATION</b>
16.1-25	High	Unacceptable	ARCC and Exco should take immediate action to reduce the risk exposure to an acceptable level	ARCC
12.1-16	Medium-high	Significant/ Material	Exco should constantly monitor the risk exposure and related control adequacy	Executive Management
6.1-12	Medium	Cautionary	Manco should constantly monitor the risk exposure and related control adequacy	Senior Management
4.1-6	Low-medium	Acceptable	Management may consider reducing the COST of control	Line Management
1-4	Low	Immaterial		

The University's risk appetite and tolerance approach is shown in Table 64. This approach simplifies and focuses on significant risks above, down, or within tolerance, allowing for better risk response and reporting.

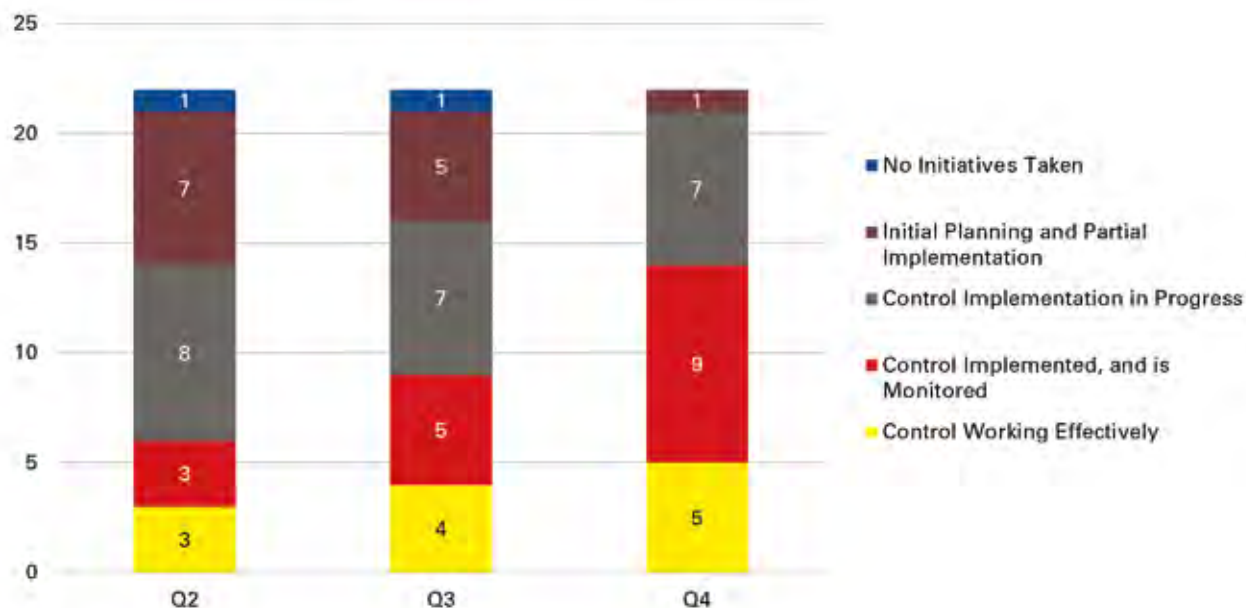
<b>Table 64: Risk Appetite and Tolerance Levels</b>		
<b>LOW-RISK APPETITE</b> (Avoid High Probability and High Impact Risks, Strong and Effective Control System in Place)	<b>MEDIUM-RISK APPETITE</b> (Moderate Risk-taking with Complementing Control System)	<b>HIGH-RISK APPETITE</b> (Take on Risks with High Probability and High Impact)
Maximum Tolerance Value: 6 $1 \leq X \leq 6$	Maximum Tolerance Value: 12 $7 \leq X \leq 12$	Maximum Tolerance Value: 25 $13 \leq X \leq 25$
Governance processes Assets management Security and access control Contracts management/third-party performance Fraud/theft/forgery/economic crime Infrastructure maintenance Legal/regulatory/compliance management Brand and reputation ICT(technology and systems) Occupational health and safety Stakeholder management Information and knowledge management	Teaching and learning Research, innovation, and community engagement Organisational culture Financial sustainability Environment and community Business continuity/disaster recovery Supply chain management People management and human capital Service delivery Infrastructure development Non-compliance with policies and procedures  External risks Technological environment Economic environment Social environment Legislative environment Political environment Natural/ecological environment Occupational health and safety: COVID-19	Digital transformation – ICT

The University uses a 5X5 risk rating scale. Management continuously develops and implements additional mitigating strategies (control improvements) for risks with residual ratings above the approved risk tolerance limits.

## THE PERFORMANCE STRATEGIC RISKS FOR THE 2021 ACADEMIC YEAR

Figure 12 shows risk performance based on controls implemented. Out of the 22 controls at the end of Q4, five controls were fully implemented and working effectively, nine were implemented and are being monitored, seven controls were in the Implementation phase, while one control is still in the planning phase. All controls had been implemented by the end of Q4.

**Figure 12: Inadequate ICT Governance Structure, Infrastructure and Related Processes**



**Figure 13: Inadequate Infrastructure Development and Maintenance**

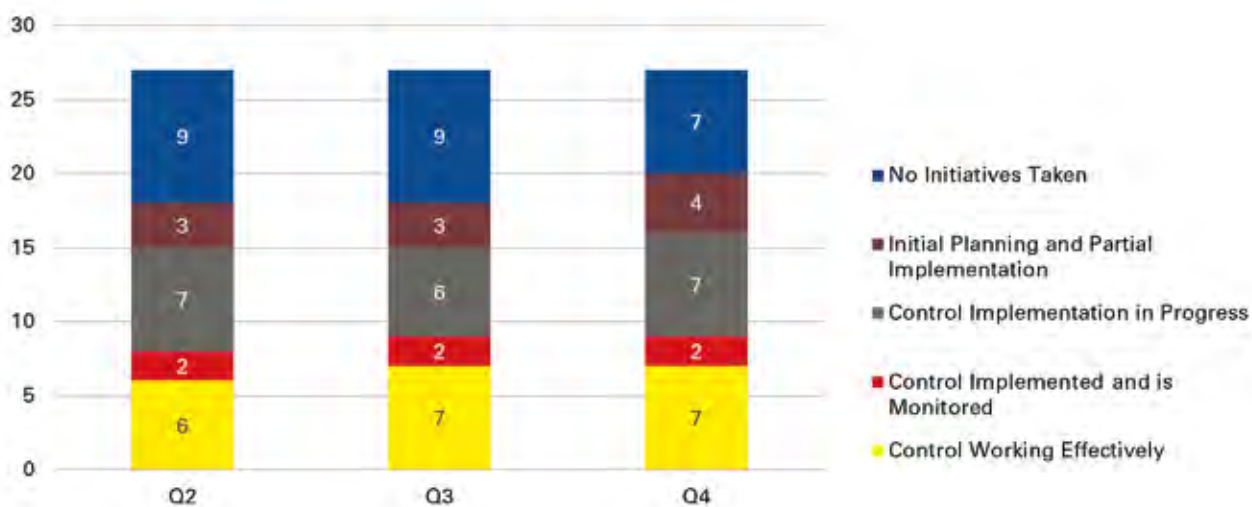


Figure 13 shows the risk performance based on the controls implemented. Out of the 27 controls at the end of Q4, seven were fully implemented and working effectively, two were implemented and monitored, seven were in the implementation phase, while four are still in the planning phase. The implementation of seven controls had not been initiated by the end of Q4.



**Figure 14: Fraud and Corruption**

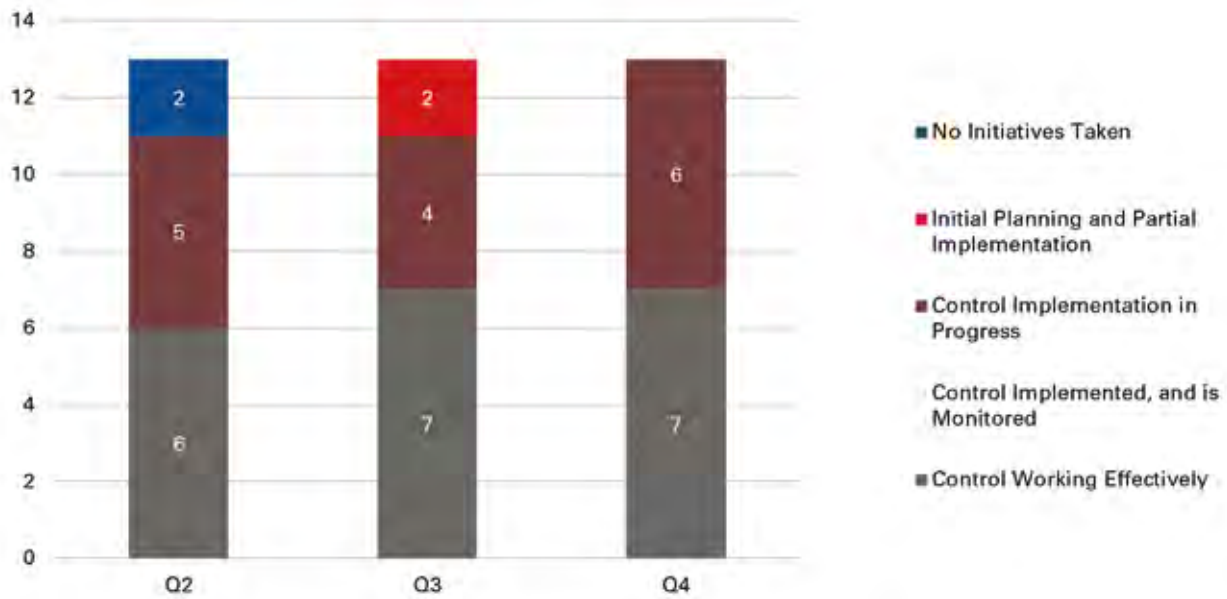


Figure 14 shows the risk performance based on the controls implemented. Out of the 13 controls at the end of Q4, seven were fully implemented and working effectively, no control/s were being monitored after implementation, six were in the Implementation phase, none were still in the planning phase, and all had been implemented by the end of Q4.

**Figure 15: Security and Access Control**

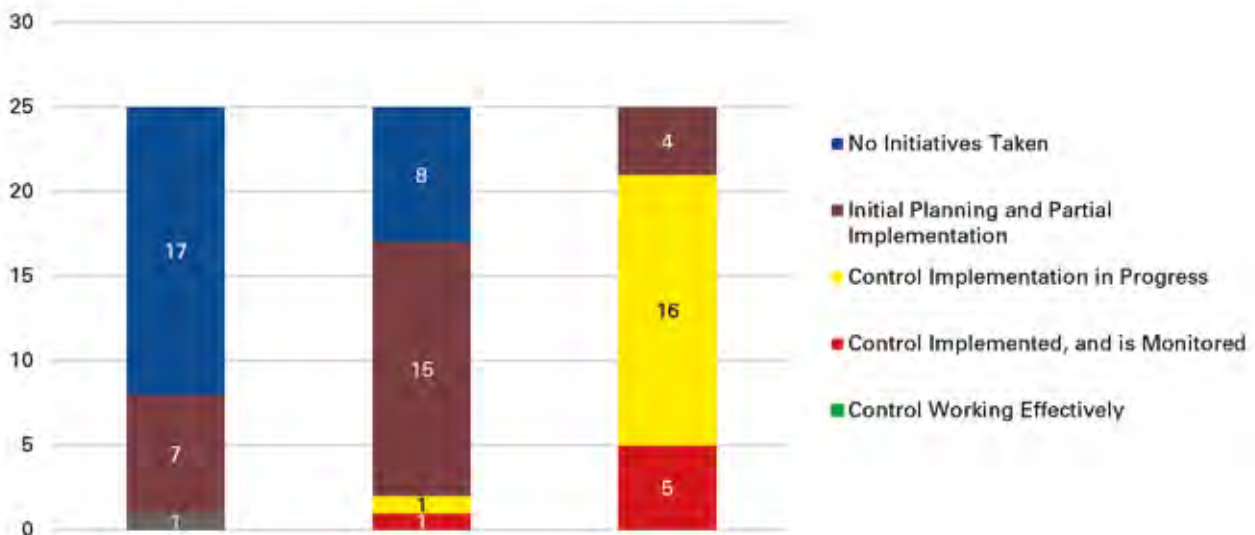


Figure 15 shows the risk performance based on the controls implemented. Out of the 25 controls at the end of Q4, none were fully implemented and working effectively, five were implemented and monitored, 16 were in the implementation phase, while four are still in the planning phase.

**Figure 16: Corona Virus Disease: Impact of the Pandemic on UNIZULU Operations**

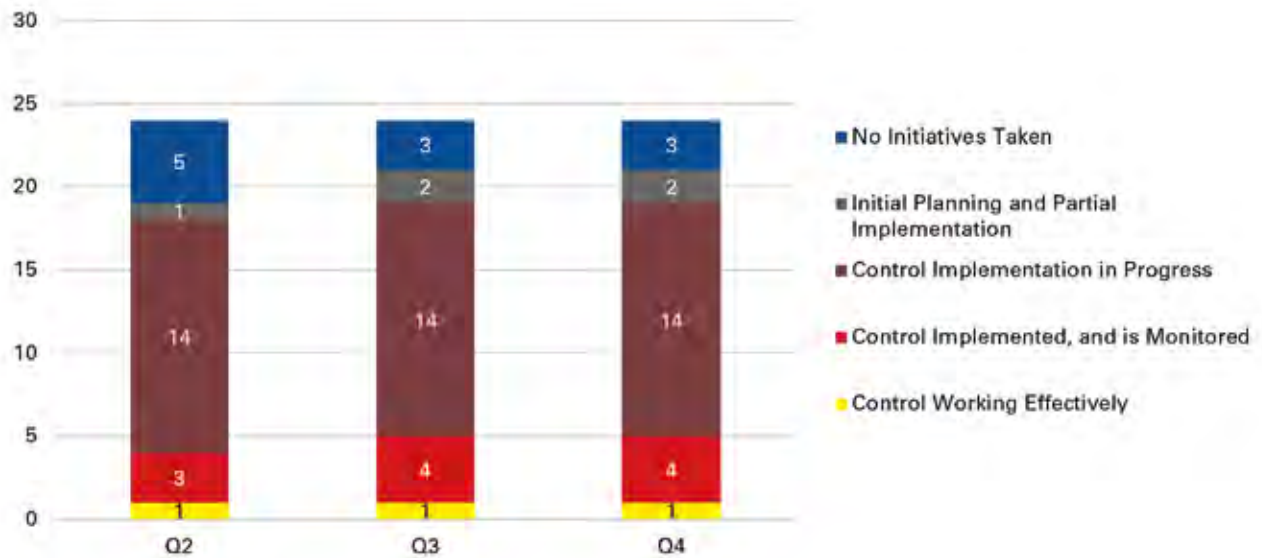


Figure 16 shows the risk performance based on the controls implemented. Out of the 24 controls at the end of Q4, one was fully implemented and working effectively, four were implemented and are being monitored, 14 were in the implementation phase while two are still in the planning phase. UNIZULU had three controls that had not been implemented by the end of Q4.

**Figure 17: Occupational Health and Safety Compliance**

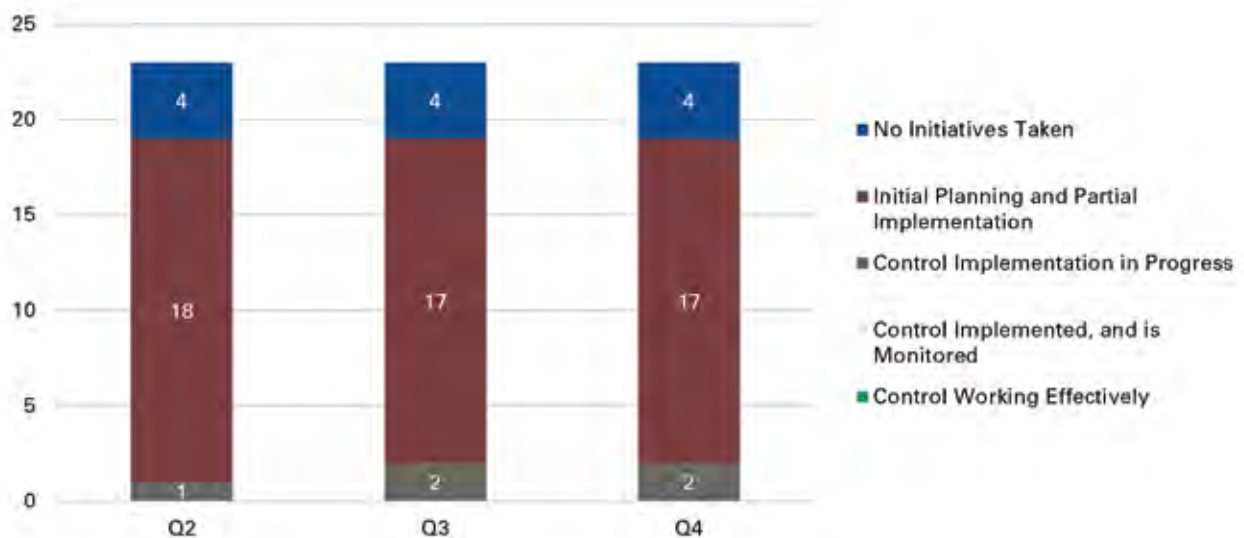


Figure 17 shows the risk performance based on the controls implemented. Out of the 23 controls at the end of Q4, none were fully implemented and working effectively, two were implemented and are being monitored, 17 were in the implementation phase, none were in the planning phase, and the implementation of four controls had not been initiated by the end of Q4.



**Figure 18: Uneven Research Output per Capita**

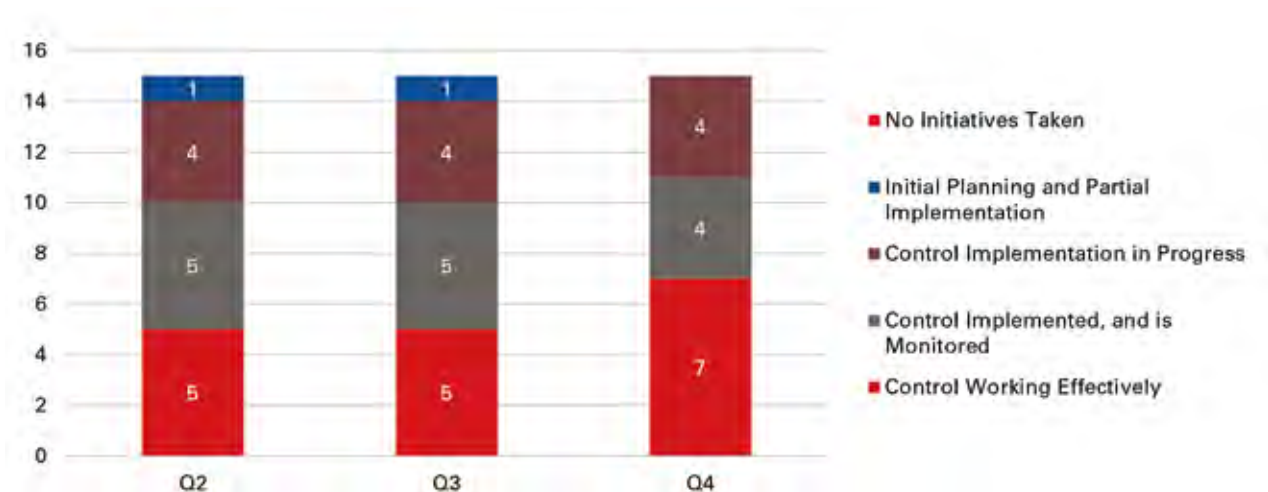


Figure 18 shows the risk performance based on the controls implemented. Out of the 15 controls at the end of Q4, seven were fully implemented and working effectively, four were implemented and are being monitored, four were in the implementation phase, while none were still in the planning phase. The initiative was made to implement all the controls by Q4.

**Figure 19: Insufficient Funding for the Running of the Institution**



Figure 19 shows the risk performance based on the controls implemented. Out of the 23 controls at the end of Q4, eight were fully implemented and working effectively, three were implemented and are being monitored, eight were in the implementation phase, while two are still in the planning phase. UNIZULU had two controls that had not been implemented by the end of Quarter 4.

### Occupational Health and Safety Committee

The University established the OHS Committee, which reports to the Risk Management Committee chaired by the Vice-Chancellor. The Committee may delegate some of its activities to other committees (such as the Unit Safety committees), offices (such as the OHS Office) or employees

(such as a Safety Officer) provided that appropriate reporting mechanisms exist such that the Committee is fully aware of the progress of the delegated activities. The University developed the OHS Policy, which was approved by the University Council in November 2021. The policy regulates the execution of the OHS programme to create a sustainable occupational, health and safety culture and ensure compliance. The policy applies to all employees, students, agents, contractors and visitors within the premises and perimeters under the control of the University. The implementation of this policy shall be directly supported by various OHS guidelines.

## STRATEGIC RISK REGISTER 2022

The University produced the 2022 Strategic Risk Register, which was approved by Council in November 2021.

**Table 65: Risk Register**

NO	STRATEGIC GOALS	RISK DESCRIPTION	INHERENT RISK RANKING RATING	RESIDUAL RISK RATING	CONTROL IMPROVEMENTS	RISK OWNER
SR 1	Linked to goals 2, 3, 4 & 5	Inadequate ICT governance structure, infrastructure, and related processes	25	10	<ul style="list-style-type: none"> <li>Set up BCP task team</li> <li>Develop comprehensive University DRP and BCP</li> <li>Complete upgrade of existing ICT infrastructure</li> <li>Complete replacing of all the servers and enhance the firewalls</li> <li>Improve bandwidth speed and accessibility</li> <li>Continuous awareness of ICT infrastructure (both internally and to students)</li> </ul>	DVC IS
SR 2	Linked to goals 1, 2, 3, 4 & 5	Inadequate infrastructure development and maintenance	25	10	<ul style="list-style-type: none"> <li>Implement maintenance of identified high risk infrastructure (Residence, Library, Labs, etc.)</li> <li>Roll out the infrastructure development programme</li> <li>Revision of the Spatial Plan for the University</li> <li>Implement facilities management software</li> <li>Upgrade current fleet management facilities</li> <li>Develop infrastructure guideline to be circulated to all departments on engaging PPO on any project that impacts the University infrastructure</li> <li>Upgrade current fleet management facilities</li> </ul>	Executive Director Infrastructure
SR 3	Linked to all goals	Fraud and corruption	25	10	<ul style="list-style-type: none"> <li>Continuous fraud awareness campaigns</li> <li>Monitoring the ITS controls</li> <li>Review and implementation of policies to strengthen controls</li> <li>Continuous validation of data</li> </ul>	ED Finance
SR 4	Linked to all goals	Ineffective university security	25	10	<ul style="list-style-type: none"> <li>Enhance the relationship between the community and the University through established engagement forums</li> <li>Monitoring implementation of the security plan</li> <li>The Vetting Guidelines have been developed and submitted to Legal Committee for input and approval</li> <li>The Vetting Guidelines will be submitted for input and approval at the Risk Manco</li> <li>Approve and implement draft policies and standard operational procedures</li> </ul>	DVC IS
SR 5	Linked to all goals	Corona Virus Disease: Impact of the pandemic on UNIZULU operations	25	10	<ul style="list-style-type: none"> <li>Maintenance of existing access control infrastructure</li> <li>Conduct COVID-19 awareness (both staff and students)</li> <li>Training on legal liability</li> <li>Water supply (one mega litre reservoir to be erected during the first quarter of 2022)</li> </ul>	Executive Director Infrastructure



**Table 65: Risk Register**

NO	STRATEGIC GOALS	RISK DESCRIPTION	INHERENT RISK RANKING RATING	RESIDUAL RISK RATING	CONTROL IMPROVEMENTS	RISK OWNER
SR 6	Linked to goals 2, 4, 5 & 6	Organisational Health and Safety Compliance	25	20	<ul style="list-style-type: none"> <li>Occupational Health and Safety Procurement Guideline</li> <li>Biological Hazard Procedures</li> <li>OHS Risk Management Guidelines</li> <li>Personal Protective Equipment Policy</li> <li>Workplace Inspection Guideline</li> <li>Waste Management Guideline</li> <li>Medical Surveillance/Examination Procedure</li> <li>Chemical Management Guideline (including flammables)</li> <li>Occupational Health and Safety Training Programme</li> <li>Electrical Safety Guideline</li> <li>Contractor Safety Guideline</li> <li>Health and Safety Construction Specifications</li> <li>UNIZULU Policy on Student Private Accommodation</li> <li>Private Accommodation Monitoring and Inspection process</li> <li>Student Accommodation check in and check out system</li> <li>Disaster Management Plan</li> <li>Emergency and Evacuation Procedures</li> <li>Staff training (evacuation drills, fire extinguisher training)</li> <li>Building essential firefighting and detection services and ongoing maintenance of these services</li> <li>UNIZULU premises asbestos survey and risk assessment</li> <li>Engage occupational hygienists with knowledge and skills in asbestos and hazardous materials surveys and management plans</li> <li>Engage licensed asbestos contractors</li> <li>Asbestos and Hazardous Materials Register</li> <li>Asbestos Management Plan</li> <li>Signage and labelling</li> <li>Information and training</li> <li>Restricted access</li> <li>Hazardous waste removal procedures and processes</li> </ul>	ED Infrastructure
SR 7	Linked to goals 1, 3, 4 & 5	Uneven research output per capita	20	8	<ul style="list-style-type: none"> <li>Supporting staff to pursue PhDs</li> <li>Continuous capacity development workshops</li> <li>Review supervision contract guidelines</li> <li>Review research and innovation policies and guidelines</li> <li>Investing in research fellows</li> <li>Research collaborations</li> <li>Increase research chairs</li> </ul>	DVC (Research & Innovation)

**Table 65: Risk Register**

NO	STRATEGIC GOALS	RISK DESCRIPTION	INHERENT RISK RATING	RESIDUAL RISK RATING	CONTROL IMPROVEMENTS	RISK OWNER
SR 8	Linked to all goals	Insufficient funding for the running of the Institution (financial sustainability)	15	6	<ul style="list-style-type: none"> <li>• Increase research output</li> <li>• Increase postgraduate throughput</li> <li>• Identify cost-saving opportunities</li> <li>• Develop financial viability model</li> <li>• Establish advancement office</li> <li>• Revise staff establishment with a view to eliminate vacant posts that are no longer needed</li> <li>• Implementing alternatives for the retirement funds towards a more sustainable scenario</li> <li>• Third Income Stream Policy and Strategy to be developed</li> <li>• Develop policies in SCM environment that regulate expenditure in certain areas</li> <li>• Managing the leave liability</li> </ul>	ED Finance
SR 9	Linked to all goals	Student throughput and graduation rates	15	8	<ul style="list-style-type: none"> <li>• Accelerate development and maintenance of related infrastructure</li> <li>• Reinforce academic exclusion for students who have exceeded the N+2 threshold (implement the approved Policy on Academic Exclusion)</li> <li>• Implement the UCDP programme plans</li> <li>• Install Wi-Fi for ubiquitous connectivity</li> <li>• Regular Moodle upgrade to cope with the usage demand and to train academic staff and students on its usage</li> <li>• Introduce programmes for public recognition of faculty achievements</li> </ul>	DVC Teaching & Learning
SR 10	Linked to all goals	Failure to adequately transition from traditional to blended learning	12	8	<ul style="list-style-type: none"> <li>• Reconfigure classrooms</li> <li>• Mobilisation of financial resources for blended learning infrastructure</li> <li>• Accelerate development and maintenance of relate infrastructure</li> <li>• Maximise the use of the Writing Centre</li> <li>• Implement the UCDP programme plans</li> <li>• Install Wi-Fi for ubiquitous connectivity</li> <li>• Devise and implement action plans/ interventions based on student feedback studies</li> <li>• Development and review of policies and guidelines</li> <li>• Developing capacity for instructional design/learning materials</li> </ul>	DVC Teaching & Learning
SR 11	Linked to all goals	Inadequate branding of UNIZULU and engagement with key stakeholders	12	6	<ul style="list-style-type: none"> <li>• Develop strategy to improve management communication</li> <li>• Develop draft alumni engagement system. Currently conducting consultations with affected parties</li> <li>• Develop and adopt a crisis communication Policy</li> <li>• Standard response on key issues to be formulated</li> <li>• Develop Schools recruitment Policy</li> </ul>	DVC IS & CMD





## CONCLUSION

The Institution's risk management system is designed to reduce the probability that the assumed risks materialise and 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



# FINANCE REPORT

This report is a presentation of the University's consolidated Annual Financial Statements for the year ended 31 December 2021. It provides an executive overview of the main financial activities and results of the University.

## OPERATING RESULTS

**Table 66: Comprehensive Income**

EXECUTIVE SUMMARY: STATEMENT OF COMPREHENSIVE INCOME (R'000)	2019	% INCREASE	2020	% INCREASE	2021
Net surplus/(loss)	172 189	-8%	158 084	20%	189 775
Other comprehensive income items	2 052	4 446%	93 284	18%	109 741
<b>Total comprehensive income</b>	<b>174 241</b>	<b>44%</b>	<b>251 368</b>	<b>19%</b>	<b>299 516</b>

The Statement of Consolidated Comprehensive Income for 2021 reflects a surplus before Other Comprehensive Income of R189.8 million (2020: R158.1 million). While the University budgeted for a small surplus for the 2021 year, the positive results are mainly attributable to operational budget savings due to lockdowns. After taking into account the items related to post-retirement obligations as well as the change in fair value of investments, the total comprehensive income for the year is R299.5 million (2020: R251.4 million). Table 67

and 68 illustrate the various reportable segments and the operating results pertaining to each one.

## REVENUE

There was a significant increase in recurrent income during the current year; an increase of 11% in recurrent income was experienced. Table 67 provides a breakdown of the R1 421 million recurrent income by income type.

**Table 67: Recurrent Income**

TOTAL RECURRENT INCOME (R'000)	2019	% MOVEMENT	2020	% MOVEMENT	2021
State appropriations – subsidies and grants	673 175	2%	689 024	3%	711 403
Tuition and other fee income	495 306	-11%	438 739	29%	567 525
Private gifts, grants and donations	22 773	11%	25 336	-1%	25 075
Other income	15 391	151%	38 585	-2%	37 991
Sale of goods and services	8 451	125%	19 037	-10%	17 153
Investment income	82 795	-22%	64 573	-4%	62 009
<b>Totals</b>	<b>1 297 891</b>	<b>-2%</b>	<b>1 275 294</b>	<b>14%</b>	<b>1 421 156</b>



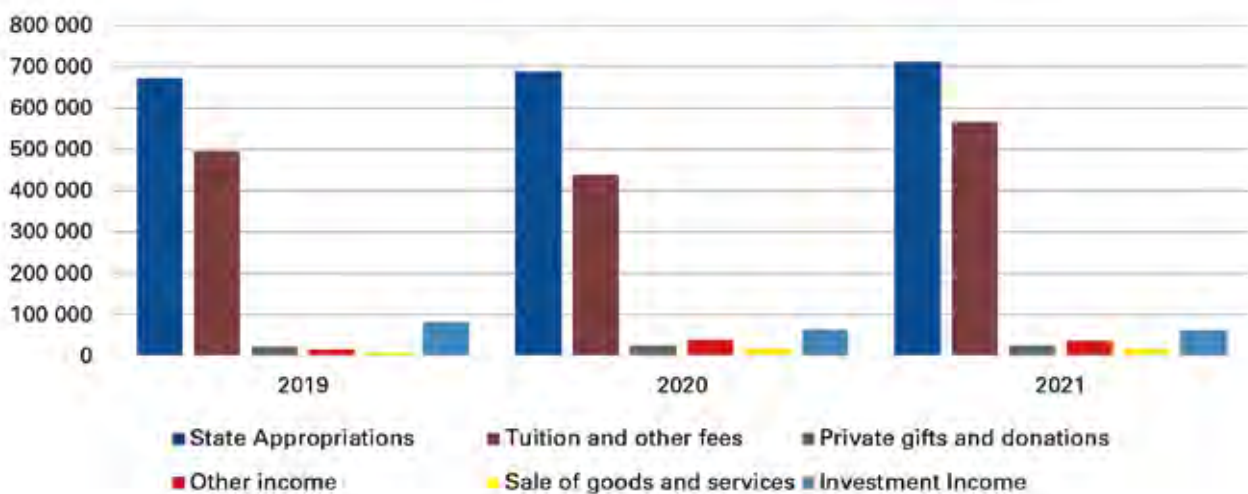
“ **University income is significantly made up of State appropriations as well as tuition and other fees as these two items make up 88% (2020: 88%) of income.** ”



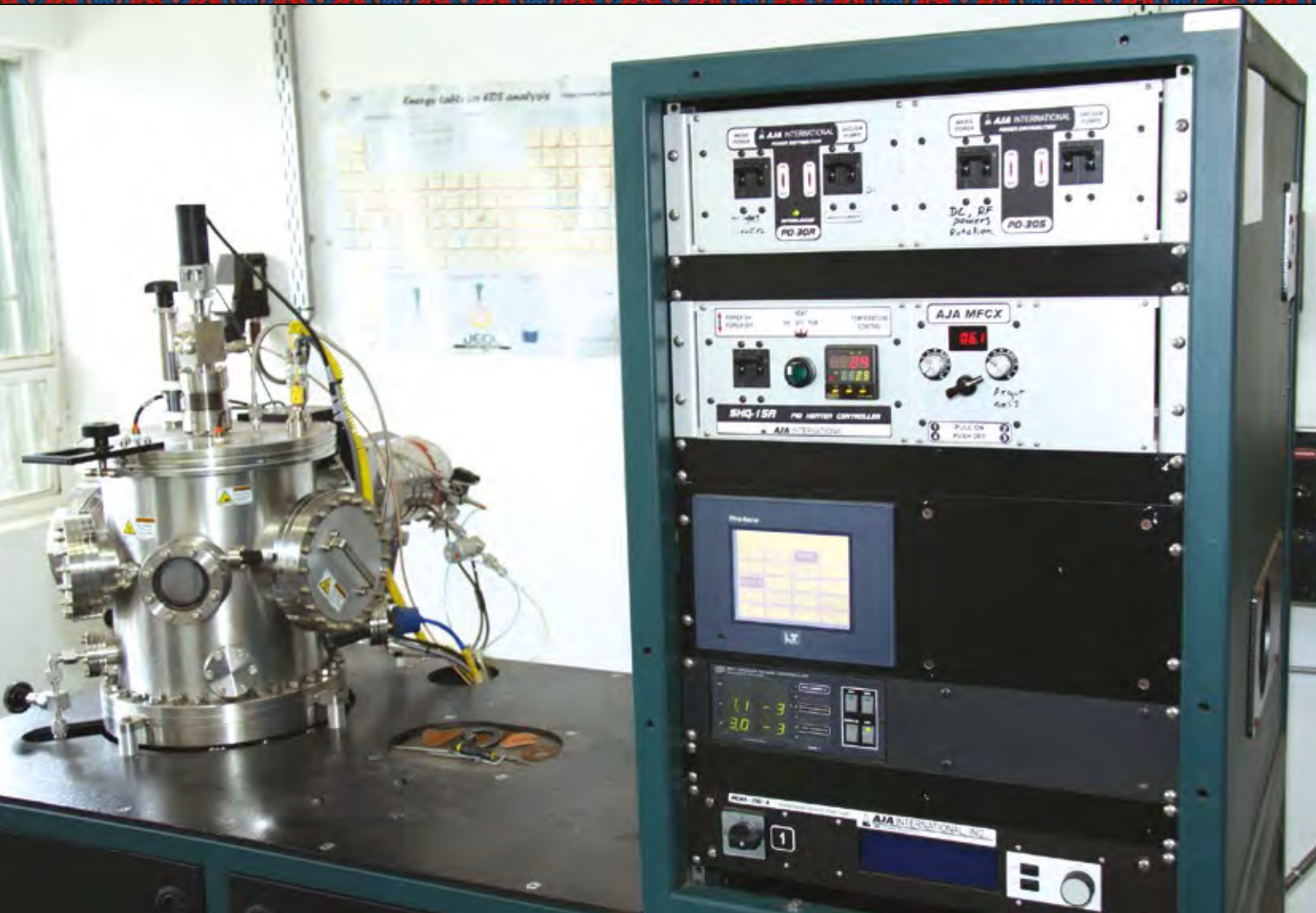
University income is significantly made up of State appropriations as well as tuition and other fees as these two items make up 90% (2020: 88%) of income. The income apportionment of the University comprises State Appropriations 50% (2020: 54%), Tuition and other fees 40% (2020: 34%), Private gifts and donations 2% (2020: 2%), Other income 3% (2020: 3%) Sales of goods and services 1% (2020: 1%), and Investment income 4% (2020: 5%). The

increase in total income of the University is due to deferral of tuition and other fee income that was recognised in 2021 due to the extended academic year. This deferral was realised during the current accounting period. Tuition fees that would ordinarily be recognised in line with the financial year have been deferred to be in line with the academic year that was extended beyond the 2020 financial year.

**Figure 20: Total Income**



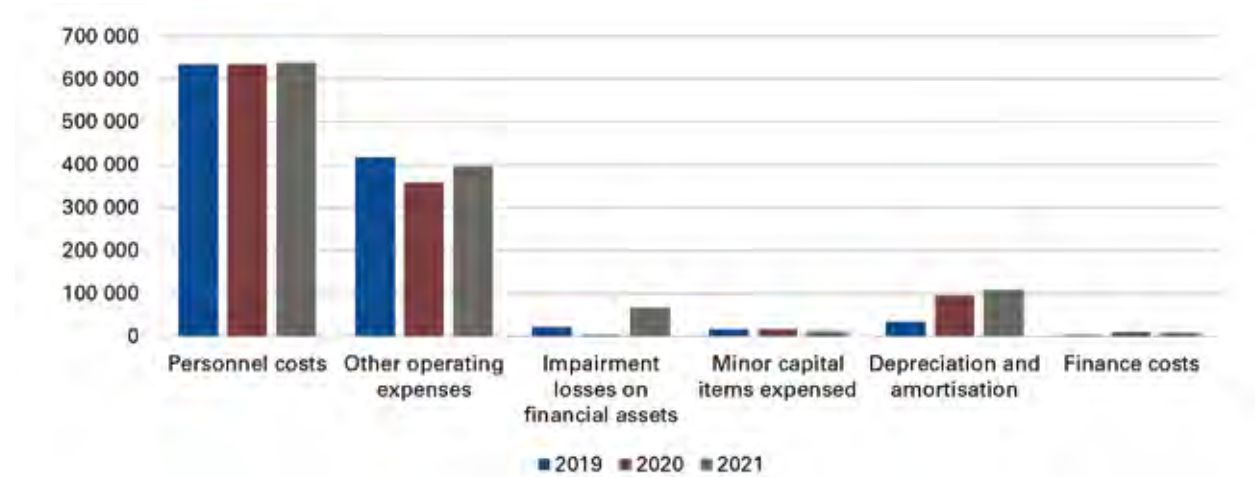




## EXPENDITURE

Other operating expenditure increased significantly in 2021 compared to the 2020 year, which indicates a return to pre-COVID-19 levels of expenditure. The increase in impairment losses on financial assets is mainly due to an upsurge in allowance for expected credit loss for student debt. This is as a result of the impact on student debt of the realisation of deferred Tuition and other fee income that was recognised in 2021. Movements in other classes of expenses have remained relatively normal.

**Figure 21: Expenditure**





## STATEMENT OF FINANCIAL POSITION

### Property, Plant and Equipment

The closing book value of property, plant and equipment was R1 382 million (2020: R1 299 million). In terms of UNIZULU's accounting policies, land and buildings are stated at fair value and revalued at least every five years.

The total net increase of R82.7 million was made up of R141.0 million additions offset by a transfer from work in progress of R2.3 million, depreciation of R54.4 million, and disposals of R1.6 million.

The additions consist of:

- R49.9 million for work in progress
- R30.8 million for buildings
- R27.4 million for furniture and equipment
- R30.9 million for data and computer equipment
- R2.0 million for motor vehicles

This significant increase in additions is as a result of accelerated infrastructure development undertaken by the University

during the year. This is in line with the strategic direction taken by the University as per Strategic Goal 5: To accelerate the rehabilitation and development of UNIZULU infrastructure.

### Investments and Cash

At year-end, cash and cash equivalents amounted to R2 411.7 million (2020: 2 381.1 million). The increase is attributable to positive operating cash flows. In addition, the University received earmarked grants amounting to R60.8 million during the year, which was significantly lower than that of the prior year (R445 million). There has been a concerted effort during the year to accelerate infrastructure maintenance and new built programmes, which has resulted in a lower increase in cash and cash equivalents compared to prior years.

The amounts pertaining to the DHET Infrastructure Programme and other designated grants are separately invested in identifiable investment portfolios.

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

**Table 68: Financial Assets and Cash and Cash Equivalents**

INVESTMENTS AND CASH	2019	2020	2021
	R'000	R'000	R'000
Financial assets at fair value	599 531	576 906	667 891
Cash and cash equivalents	1 960 857	2 381 113	2 411 653
<b>Total</b>	<b>2 520 388</b>	<b>2 958 019</b>	<b>3 079 544</b>

### Post-retirement Benefits and Obligations

The University has a pension and provident fund that are defined benefit plans, as defined in IAS19. Additional contributions were made into these funds in recent years, as advised by the actuary, and there is a surplus in both funds. A Board of Trustees representing the members and the University meets on a quarterly basis to review the funds and the investment performance.

In addition to this, the University has a post-employment medical benefit for employees who 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 post-retirement obligations, as actuarially calculated in respect of this scheme, amounted to R111.2 million (2020: R111.7 million). This liability is not separately funded.

### Student Debt

The total student debt before allowance for expected credit

losses was R234.2 million (2020: R180.9 million), reflecting an increase of R53.3 million compared to the prior year. The main reason for this increase is slow payments from NSFAS as the student population of the University is largely NSFAS funded. In addition to this, deferred tuition and accommodation fees from 2020 due to extended academic year was realised this year and resulted in an increase in student debt.

The allowance for expected credit losses at the end of 2021 totalled R135.7 million compared to R88.7 million in the prior year. This increase is mainly a result of the increase in student debt due to the realisation of deferred tuition and other fee income that was recognised in 2021. In calculating the allowance for expected credit losses, the allocations from NSFAS for 2021 that were only received in 2022 were taken into account. This effectively reduced the amount required as a provision for impairment. Refer to note 8 of the consolidated Annual Financial Statements for further details.

## Interest-bearing Borrowings

The interest-bearing borrowings of R16.3 million (2020: R19.3 million) relate to loans raised from DBSA for the construction of student residences in 2007 and the purchase and development of the Richards Bay campus. The initial amounts advanced to the University were R24 million for the student residence and R16 million for the Richards Bay campus development. These loans are to be settled on 30 June 2025 and 30 June 2027 respectively. There's a cession agreement in place between the University and the DBSA for a certain investment portfolio with a market value of R35 million at year end. Refer to note 13 of the financial statements.

## Deferred 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 R400.6 million (2020: R380.2 million), while the total deferred liability totalled R1 780.6 million (2020: R1 807.9 million). Further details can be found under note 11 of the financial statements.

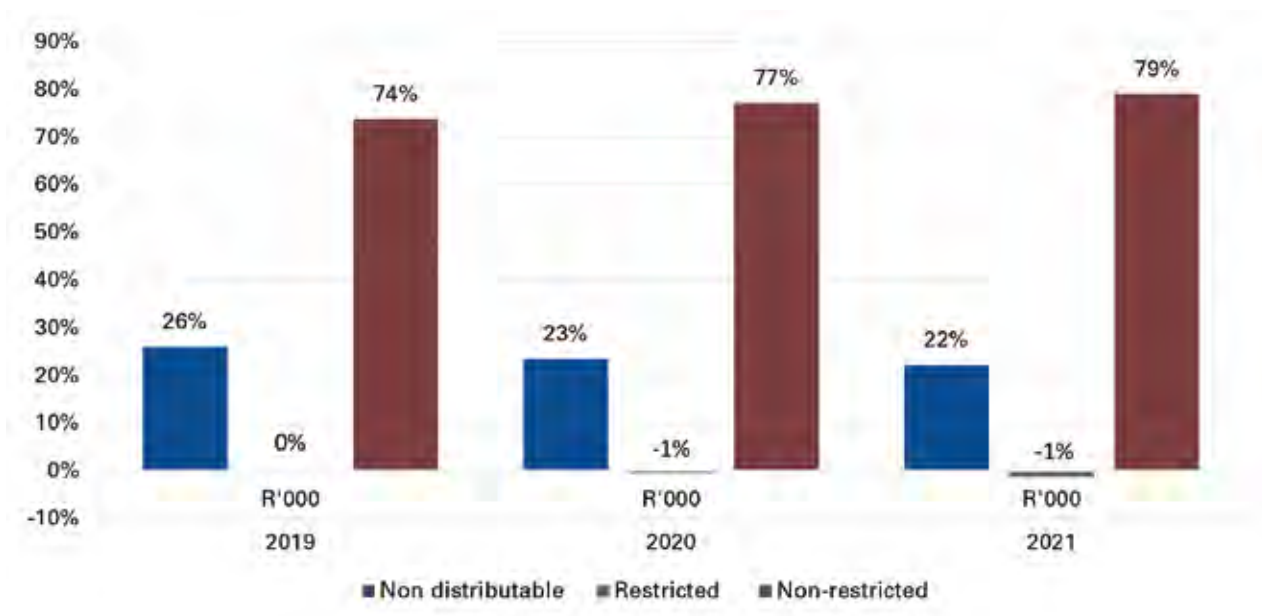
## Accumulated Funds

The University has a total of R2 523.4 million (2020: R2 223.9 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. The negative amount reflected in restricted funds relates to University residences that are accounted for separately.

**Table 69: Equity Funds**

SUMMARY OF EQUITY FUNDS	2019	2020	2021
	R'000	R'000	R'000
Non-distributable	513 845	522 207	560 974
Restricted	4 015	(12 786)	(31 759)
Non-restricted	1 454 687	1 714 494	1 994 216
<b>Totals</b>	<b>1 972 547</b>	<b>2 223 915</b>	<b>2 523 431</b>

**Figure 22: Summary of Equity Funds**







## FINANCIAL SUSTAINABILITY

### Ratio of Personnel Costs to Income (Council-controlled Funds)

**Table 70: Ratio of Staff Costs to Income (Council-controlled funds)**

YEAR	2018	2019	2020	2021
	R'000	R'000	R'000	R'000
Total income	922 489	1 102 871	1 048 735	1 161 901
Personnel costs	562 291	584 388	586 731	588 281
Personnel costs to income	61 %	53 %	56 %	51 %

One of the most important indicators of financial sustainability of a university is the personnel costs to income ratio. The ratio of personnel costs to income for Council-controlled funds is 51 % (2020: 56%). This means that personnel costs remained below the benchmark of 62 % of income.

#### Student Debt to Tuition and Other Fee Income Ratio

Student debt as a ratio of tuition and other fees raised is an indicator of the ability of the University to effectively manage student debt. The student debt to tuition and other fee income ratio is 0.4:1 (2020: 0.4:1). The ratio remained unchanged from that of the previous year.

This ratio is slightly above the norm of 0,2:1, which means that the student debt levels of the University remain high. However, compared to other historically disadvantaged and other universities, this ratio is not high, with some universities recording a ratio of more than 1:1.

### Liquidity Ratio

The liquidity ratio measures the University's ability to meet its short-term financial obligations (current liabilities) as they fall due. A high liquidity ratio indicates a good liquidity position and the norm is that it should be above 1:1. The liquidity ratio in the case of a university measures its ability



to meet its short-term obligations with its most liquid assets and, therefore, excludes inventories and student debt from its current assets.

The liquidity ratio of the University is 3.6:1 (2020: 3.5:1), which exceeds the norm of 1:1 and indicates that the University has sufficient liquidity and will be able to meet its short-term financial obligations.

### Solvency Ratio

A solvency ratio is used to determine whether the University can stay solvent in the long term. The solvency ratio is derived by calculating total assets less property, plant and equipment (PPE) to total liabilities. As PPE is illiquid and in most cases PPE of universities consists of buildings that

cannot be sold, it seems appropriate to deduct the PPE from the assets and compare this to the liabilities. If this ratio goes below 1:1, a university would be technically insolvent.

The solvency ratio is 1.5:1 (2020: 1.4:1), which means that the University is above the norm of 1:1 and is solvent.

### CONCLUSION

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

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

**Mr P. du Plessis**  
Executive Director: Finance









# REPORT OF THE AUDIT AND RISK COMMITTEE

**The ARCC is a committee instituted in terms of paragraph 27 of the UNIZULU Statute and 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.**

**T**he ARCC Charter 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 ARCC and meetings held are set out in Table 6 of the Chairperson of Council's Report.

## KEY DUTIES AND FUNCTIONS

The ARCC 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 ensure that business and financial risks are attended to in all material instances
- Ensure that proper accounting practices, cash flow management, information systems and auditing processes applied in the day-to-day management of the University
- Ensure that the University's risks are adequately managed and monitored
- Facilitated and promoted communication between management, external auditors and internal auditors on matters that the Committee are responsible for

- Approved the audit fees and the external audit plan for the year ending 31 December 2021
- Approved the procurement strategy for the appointment of external auditors for the year ending on 31 December 2022
- Approved the internal audit fees and the audit plan for the year ending 31 December 2021
- Approved the 2021 Internal Audit Reports
- Monitored the implementation of the action plan to clear audit findings
- Recommended to Council for approval the:
  - ◊ 2021 Annual Report and Audited Annual Financial Statements for consideration and approval
  - ◊ Risk Management and Compliance Report as well as risk maturity assessment to be conducted by the internal auditors
  - ◊ 2022 Strategic Risk Register
  - ◊ Revised Delegation Authority Policy, Anti-fraud and Ethics Policy and the Occupational Health and Safety Policy

## EXTERNAL AUDITORS

Ngubane and Co are the appointed external auditors for the year ending 31 December 2021. The external auditors submitted the 2021 external audit plan to the Committee for approval. The presentation highlighted, among others, the following salient aspects; the determination of materiality was set at R15.1 million (this figure was to be updated if necessary on receipt of the final trial balance), and errors





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**...The determination of materiality was set at R15.1 million... and errors greater than the audit misstatement posting threshold (R302 9000) would be reported to the Committee. After thorough consideration, the Committee approved the 2021 Audit Plan and audit fees for the 2021 financial year.**

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greater than the audit misstatement posting threshold (R302 9000) would be reported to the Committee. After thorough consideration, the Committee approved the 2021 Audit Plan and audit fees for the 2021 financial year.

The Committee evaluated the performance of the external auditors and has satisfied itself that during 2020, 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 the 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 to the audit findings
- Received and considered reports from the internal auditors

## EFFECTIVENESS OF SYSTEMS OF INTERNAL CONTROL AND INTERNAL AUDIT

Internal Audit provides the ARC 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 auditors have direct access to the Committee through its chairperson.

The Committee assessed various reports of the internal auditors. The deficiencies in the systems of internal control pointed out by the internal audit reports, as well as the mitigating plans in place to enhance control effectiveness, were noted. The Committee is satisfied with the effectiveness of the internal audit function.





## RISK MANAGEMENT

The institutional Risk Management Policy provides for a systemic and consistent identification and management of risk at the University. In line with its provision, the Committee approved the updated Strategic Risk Register 2022.

The Committee further monitored complaints received via the Council's ethics hotline. Existing controls reflected on the 2021 Strategic Risk Register were assessed, and the assessment process included additional controls that were put in place in 2021. In respect of the coordination of assurance activities, 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 Institution.

## 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, including a COVID-19 financial impact assessment, before recommending to the Council that the Institution will be a going concern in the foreseeable future.

**Ms S.J. Masite**  
Chairperson: ARCC

## OTHER CORPORATE GOVERNANCE REQUIREMENTS

Pursuant to principles of good corporate governance, the Committee has an approved Charter in place. All negotiated procedure transactions are reported to the FCC 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 the Annual Financial Statements, the Committee recommended to the Council, at its meeting held on 15 June 2022, that the Annual Financial Statements of the University for the year ended 31 December 2021 be accepted.

The ARCC 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 N. Caluza**  
Chairperson of Council







# COUNCIL'S REPORT ON TRANSFORMATION

**UNIZULU defines transformation as 'contextual responsiveness to local and regional development needs of local and regional communities by producing the required intellectual capital that advances public good and brings about social redress'.**

## INTRODUCTION

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 IKS
- 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 SET, Life Sciences and Economic and Business Studies areas without turning a blind eye to socially-relevant Humanities and Social Sciences programmes

UNIZULU's definition of transformation affirms that the promotion of diversity and social inclusion is an integral part of its mandate and core business. Regarding diversity, UNIZULU recognises 'diversity' as patterns of social difference in terms of certain social categories. The foremost terms shaping discourses and policies related to diversity include race, ethnicity, religion, gender, disability, sexuality and age. In addition, the University also affirms its promotion

of 'inclusivity' as the pursuit of inclusive education that removes barriers limiting the participation and achievement of students. Furthermore, this principle encourages respect for diverse needs, abilities, and characteristics and demands the elimination of all forms of unfair discrimination in the teaching and learning environment. The ethic of inclusivity prioritises the identification of and response to barriers and practices of unfair discrimination within education, which limit both participation and achievement. UNIZULU's understanding of its context and environment is a crucible that has directly informed and shaped its conceptualisation of transformation, diversity, and social inclusion. It is for this very reason that the University has developed its first comprehensive report on transformation and social inclusion. This report flows from the Integrated Transformation Plan 2017-2021 (ITP), which is an integral part of UNIZULU'S institutional transformation frameworks, policies and programmes.

The University has developed transformation goals and objectives, and these were a central part of the Integrated Transformation Plan (ITP) 2017-2021, which was submitted to DHET in 2017. As such, UNIZULU committed itself to developing an Annual Report that will refer to progress on its transformation goals through which it presents an inventory of its programmes and progress made on transformation and social inclusion initiatives.

This report is guided by the strategic priorities emanating from the outgoing Strategic Plan 2021, and in consonance





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**UNIZULU’s understanding of its context and environment is a crucible that has directly informed and shaped its conceptualisation of transformation, diversity, and social inclusion. It is for this very reason that the University has developed its first comprehensive report on transformation and social inclusion.**

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with the outgoing Integrated Transformation Plan 2017-2021. In instances where progress has been constrained or insufficient, remedial suggestions are provided for the new transformation plan aligned to the new Strategic Plan 2027 of the University.

## GOVERNANCE AND TRANSFORMATION

Governance encompasses the issues of ‘autonomy’ and ‘accountability’. The issue of accountability in HEIs has several layers and nuances than merely the responsible and productive use of public funds. UNIZULU has various structures of governance that are entrusted with ensuring the optimum allocation of resources for achieving the Institution’s stated goals and mission of producing the required intellectual capital (graduates, research, technology transfer and societal intellectual engagement) that promotes public good, facilitates social redress, and strives towards social justice.

### Council

In terms of the UNIZULU Statute, the Council is responsible for governance, policymaking and monitoring the implementation of key processes. In addition, the Council is responsible for articulating guidelines pertaining to strategic and financial governance, staff matters, admissions, nurturing a positive academic atmosphere, disciplinary matters relating to staff and students, and language policies of the University, among other aspects. In the year under review, the Council convened on three occasions. It approved policies that are pivotal to the transformation agenda of the University. These policies included:

- Students with Disability Policy
- Gender Equality and Inclusivity Policy
- Advisory Committees Policy
- Preferential Procurement Policy
- Quality Assurance Policy

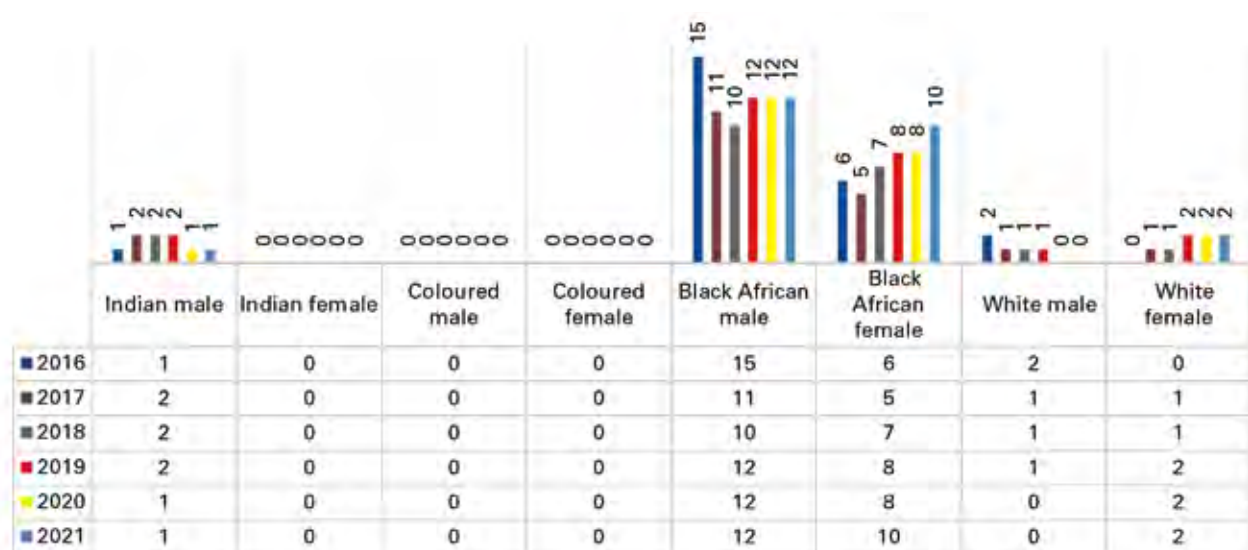






Figure 23 shows the race and gender profile of the Council over the period 2016 to 2021.

**Figure 23: Composition of Council (2016-2021)**



An analysis of Figure 23 shows that the representation of women on the Council at UNIZULU has been increasing progressively over the period. However, a critical examination of the composition of Council reveals that, since 2016, UNIZULU has been governed by a Council that has been predominately constituted by black males. A similar pattern may be observed in previously white institutions in South Africa, where Councils are predominantly constituted by white males. This pattern is problematic and reveals that meaningful strides still need to be taken to promote gender equity and gender equality through the transformation of the upper echelons of governance structures at UNIZULU and in other HEIs.

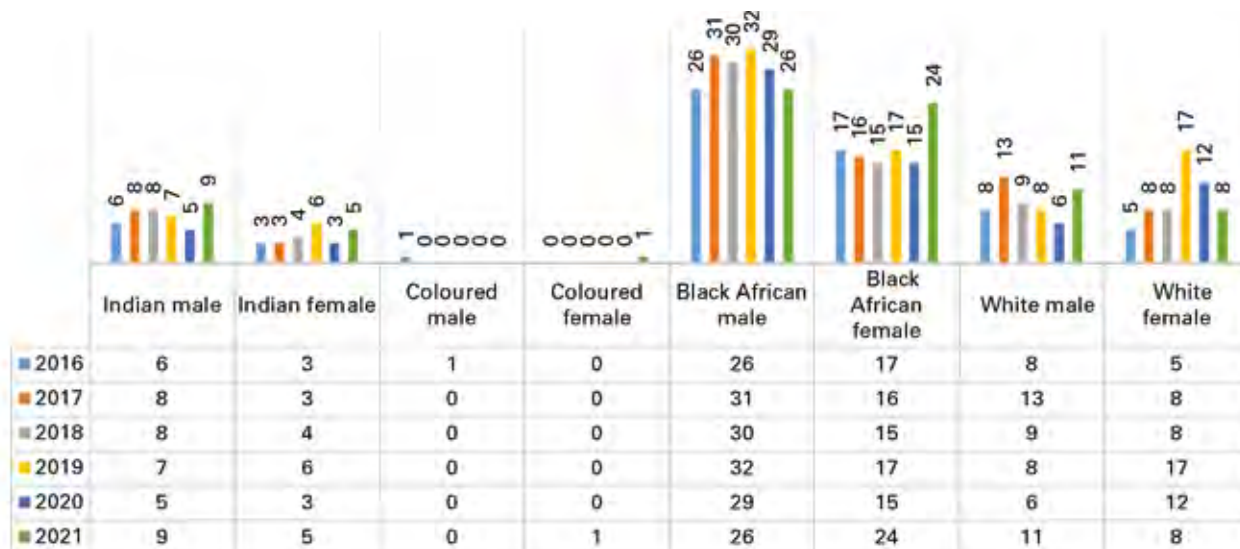
## Senate

The senate is accountable to the Council for regulating all teaching, learning, research and academic functions of the University and all other functions delegated or assigned to it by the Council. Most recently, operations have focused largely on quality improvement, review of academic programmes, cleaning of the academic structure and the introduction of new career-focused programmes to realise the mission of a comprehensive university. In the year under review, the senate convened in each quarter. In respect of transformation, Senate considered and recommended for approval various policies to Council.



Figure 24 shows the race and gender profile of the senate over the period 2016 to 2021.

**Figure 24: Composition of Senate (2016-2021)**



An analysis of Figure 24 shows that representation of black women on the senate has grown from 17 in 2016 to 24 in 2021. This is an important stride that should be underscored as it signifies meaningful progress towards transformation and heralds the changing of the tide in the representation of women at large and black women in particular.

### Institutional Forum (IF)

The functions and duties of the IF are set out in section 31 of the Higher Education Act and the UNIZULU Statute, with specific reference to clauses 39-46. In the year under review, the IF held three meetings (one ordinary and two special meetings) and considered the following standing matters:

- Implementation of the Act and the National Policy on Higher Education
- Sexual Harassment and Gender-based Violence
- Code of Conduct, Mediation and Dispute-resolution Procedures
- Inculcation of an institutional culture that promotes tolerance and respect of fundamental human rights and creates a conducive environment for teaching and learning, and research
- Various transformation policies were eventually approved by Council as stated previously

Figure 25 outlines the gender profile of the IF over the period 2016 to 2021.

**Figure 25: Composition of Institutional Forum (December 2021)**

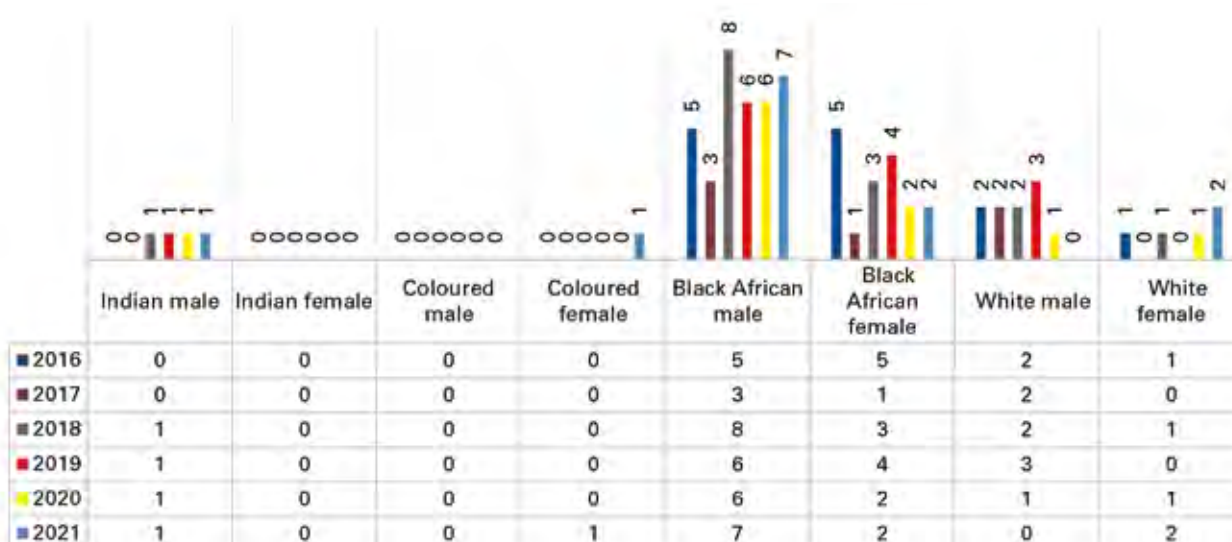


Figure 25 shows that, except for 2016, men have had over 60 percent representation on the IF. The University seeks to establish ways through which gender representativity can be enhanced in the IF when vacancies exist.

## Convocation

The convocation is a statutory body consisting of UNIZULU graduates, including current postgraduate students who completed their undergraduate studies at UNIZULU, all

full-time and retired academic staff of the University, and all diplomates. According to regulations, all South African universities have a convocation that ensures the input of alumni in matters involving the university, as well as providing institutions with a statutory link to their former students. The convocation is represented on the University Council. Table 71 shows the composition of the Executive Committee of the Convocation as of December 2021.

**Table 71: Composition of Convocation (December 2021)**

INDIAN		COLOURED		BLACK AFRICAN		WHITE		TOTALS		
Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Members
0	0	0	0	4	1	0	0	4	1	5

A glance at the composition of the convocation shows that men constitute 80 percent of executive committee representatives. Considering the University's commitment to transformation and social inclusion, the Institution must seek to enhance gender representativity as more vacancies become available in the near future.

## TRANSFORMATION COMMITTEES AND GENDER FORUM

The UNIZULU Transformation and Social Inclusion Committee was established in 2018. It is chaired by the Executive Director: Institutional Planning and its members include all the executive directors, deans of faculties, and representatives of the various responsibility centres. The committee participates in the drafting, implementation and regular revision of the University's Integrated Transformation Plan. The Committee ensures that the Integrated Transformation Plan is an accessible and illuminating instrument that envisions, guides, directs, coordinates, advances, facilitates and empowers transformation programmes of the University. In 2021, the Committee was unable to have regular sittings due to the COVID-19 lockdown challenges that undermined the implementation of the transformation programmes of the University. However, various transformation initiatives were pursued operationally.

In 2021, the University's Employment Equity Committee was renamed the Employment Equity and Skills Development Committee (EESD). The amendment of its name is intended to highlight the significance of the 'skills development' and training of staff as a pivotal aspect of UNIZULU's transformation and social inclusion mandate. The Committee is chaired by the ED: Institutional Planning and it is constituted by: ED:

Human Resources, ED: Institutional Support, two DVCs, representatives from all four faculties, and managers from the various divisions, constituencies and environments. The primary purpose of the Committee is to:

- Increase the representation of women in senior management
- Increase the number of black professionals in occupations ranging from three to eight
- Increase the number of people with disabilities
- Increase the number of South African recruits for scarce and critical skill occupations

In 2021, the EESD noted significant progress and achievement of some of its stated targets in the representation of women in management structures. These milestones will be unpacked in the subsequent section (4.5 Employment Equity in Management). UNIZULU has identified that staff development and training is a key tool to facilitate the increase in the representation of women and people living with disabilities at all levels. Therefore, in the year under review, the EESD has been central in driving the revised Employment Equity Policy, Talent Management Policy, and Learning and Development policies, which further highlight UNIZULU's drive towards transformation and social inclusion.

In 2018, UNIZULU established the Gender Forum, which has a mandate to:

- Examine, highlight, and correct injustices and inequalities as related to gender at the Institution
- Challenge the current understanding of gender relations and how these are practised at the Institution
- Create mechanisms to transform existing unequal gender relations at the Institution
- Guide and advise the annual programme of action aimed





- at the promotion and protection of gender equality
- Support the Transformation and Social Inclusion Office in implementing the programme of action
- Ensure appropriate representation of gender issues across all necessary University structures
- Advise and monitor gender mainstreaming in all University policies and programmes
- Provide appropriate representation of the forum in University structures, when necessary

In 2021, the committee was unable to have regular sittings due to COVID-19 lockdown challenges that undermined the implementation of the transformation programmes of the University.

## MANAGEMENT

Manco, in co-operation with the senate and Council, is responsible for the strategic management of UNIZULU in relation to its focus areas, key success factors, academic support services and portfolios. Furthermore, Manco is an advisory committee assisting the Vice-Chancellor in the planning and execution of management and administration of the University. The management committee comprises the executive management members and deans of faculties.

The composition ensures that:

- Co-operation between academic and professional staff is effectively maintained to achieve institutional cohesion.
- There is a platform to facilitate and foster consultative decision-making processes with senior management across all UNIZULU environments.
- There is a timeous provision of pertinent information for responsive decision-making.

Manco has been functioning optimally and met monthly in 2021, holding several special meetings arising from urgent issues requiring attention. In the period under review, Manco ensured that 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. In addition, the committee also noted:

- The representation of women in senior management is still below the University's target.
- The appointment of a new female Deputy Vice-Chancellor: Research and Innovation (Prof. W. Kunene), has increased the representation of females in top management to 75%.
- There had been an increase in cases of gender-based violence at the University.
- The University needs to ensure that the disciplinary processes are harsh on students who are found guilty of sexual and GBV crimes.

- Gender-based violence would no longer be a reporting area for PSD. Instead, the Pastoral Care Unit will be receiving training on specifically handling GBV cases and on how to comprehensively report them to the SAPS.

**Figure 26: Composition of Manco (2016-2021)**

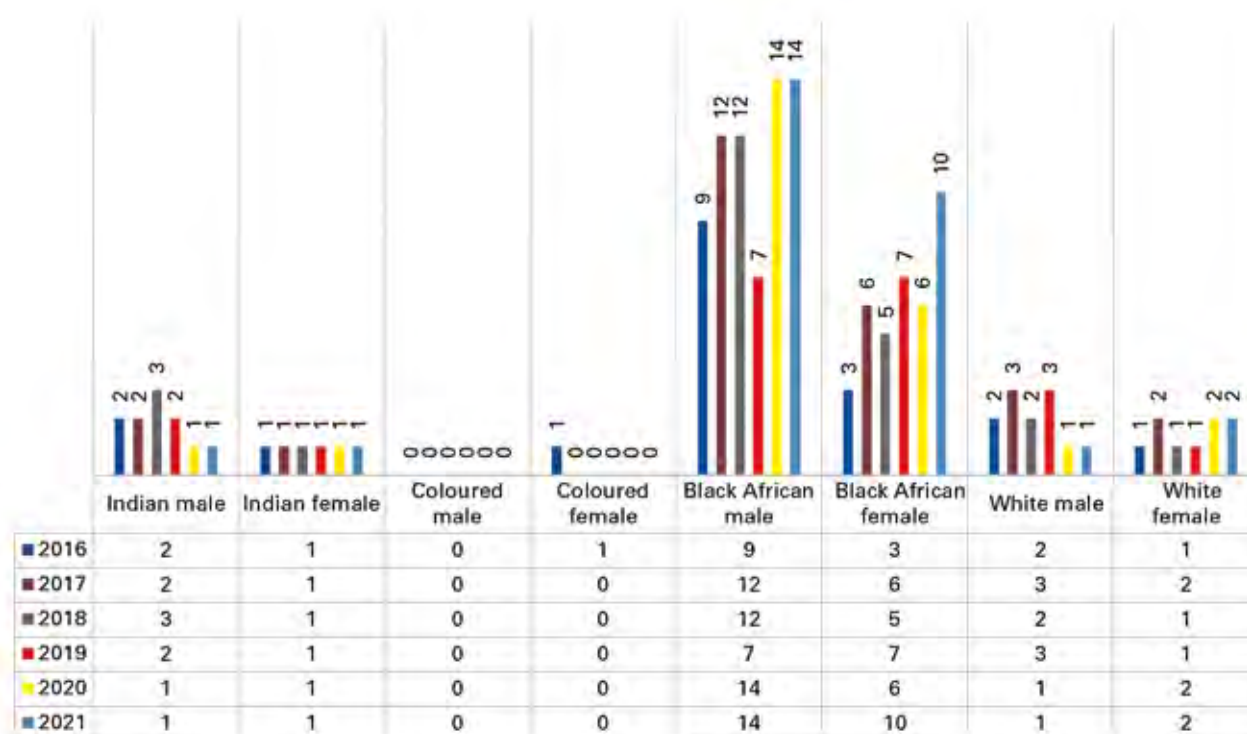


Figure 26 shows the race and gender profile of Manco over the period 2016 to 2021. In 2021, the optimal functioning of Manco safeguarded the efficacious flow of important governance protocols and processes. This occurred despite the restrictions imposed because of the COVID-19 pandemic. The gender composition of the management committee of UNIZULU has been defined by male overrepresentation. The number of black women in Manco has grown from three in 2016 to 10 in 2021. This is an encouraging trend that should continue until the management structure reaches equal representation of women and men.

## STAFF RECRUITMENT AND CAPACITY BUILDING

In 2020, the University approved the Integrated Human Resources Framework (IHRF), which has since been a guiding instrument that has substantively improved recruitment

and retention at UNIZULU. The University has developed staff recruitment policies that govern the procedures for all appointments across different levels. As standard practice in the University, the HR Department ensures that the interview panels are provided with current employment equity statistics for each department that recruits. Such statistics guide the selection of candidates who meet the specified job requirements in line with equity targets of the University at departmental levels. In addition, job advertisements state that the University gives preference to groups designated as beneficiaries of equity appointments in terms of the South African Labour Relations Act. The University ensures that it recruits and retains diverse and qualified cohorts of staff as a principle guiding talent management and social redress through the development of staff-centred policies.

Figures 27 and 28 illustrate the current staff profile of UNIZULU.



Figure 27: UNIZULU Staff Race Profile (2016-2021)

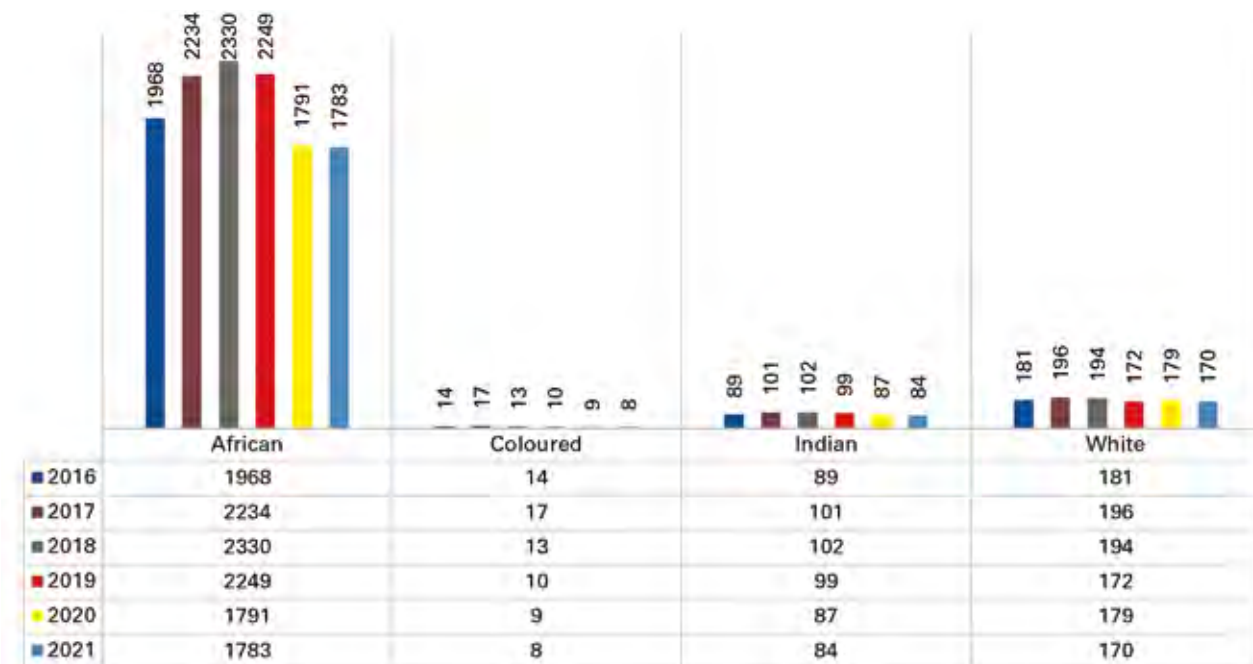
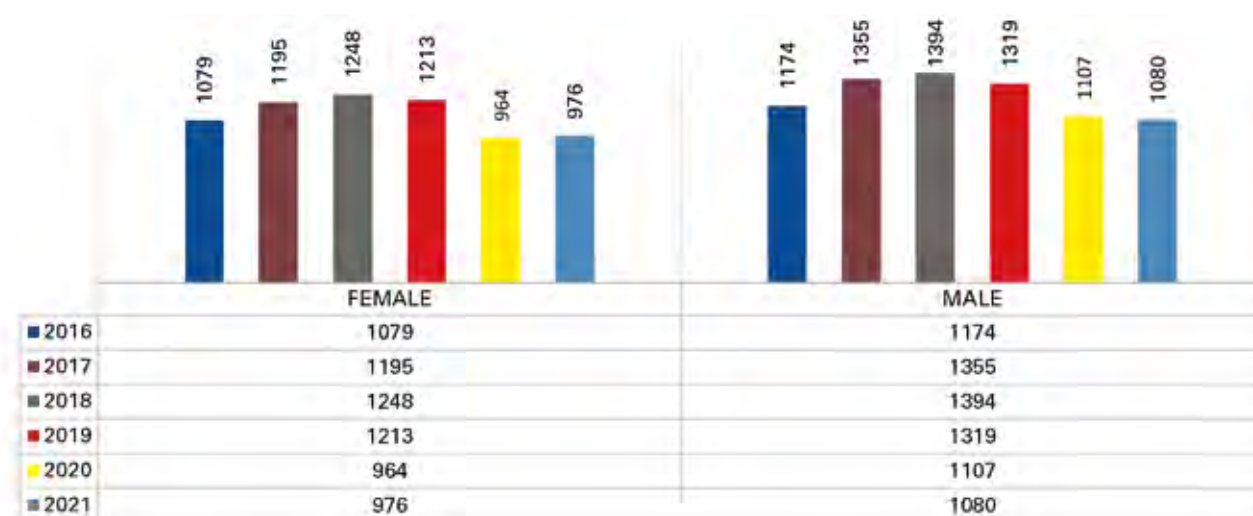


Figure 28: UNIZULU Staff Gender Profile (2016-2021)



The staff complement of UNIZULU in the period 2016-2021 has been predominately African, followed by white, Indian, coloured and other ethnicities. In addition, it is evident that men continue to be overrepresented in the staff profile. In response, the UNIZULU management, including the governance structures of the University, continually strives for EE. The revised EE plans of the University show that specific recruitment, retention and developmental guidelines have been developed and are in place. The HR Directorate monitors them through the Office of the Director: Employee Relations and Wellness as well as through the Employment Equity and Skills Development Committee.

### Skills Development for Employment Equity

In 2021, the University provided training and staff development that contributed to the realisation of equity-based staff retention and promotion. Table 72 shows some high-level coordinated training and development for people in management positions. In accordance with UNIZULU's vision of developing the next generation of female leadership and in its pursuit of EE, the Institution has sought to equip and upskill promising female candidates through leadership development programmes. In 2021, a total of 13 women were registered with UKZN for leadership programmes and 15 women registered for leadership programmes with the

University of Stellenbosch Executive Education (USB-ED). The programme to cultivate the next generation of female leadership commenced in 2017 and has been running each year. Since inception, 63 candidates have participated.

The prime objective of the initiative is to improve the capacity of middle-level managers to perform their management duties, improve the number of female candidates to occupy senior management, and to improve the overall quality of performance for UNIZULU managers. In addition, within

the four faculties, effort has been made to nominate junior academics for institutional development opportunities such as e-learning workshops, instructional design workshops, research sabbaticals, and research grants/proposal writing workshops. Further, junior academics are also nominated for national development opportunities such as the South African Technology Network (SATN), Women in Science, Teaching Advancement at University (TAU) Fellowships, research summer/winter schools, travel abroad funding calls, and NRF Thuthuka funding.

**Table 72: Senior and Middle Management Development Initiatives**

NO.	NAME OF INTERVENTION	DATES	TARGET	EXPENDITURE
1.	Management Development Programme 2020	November 2020 to April 2021	15 Female staff with potential for management	R530 600
2.	Management Development Programme 2021/2022	May 2021 to March 2022	20 middle management Staff	R786 750

### Succession planning to advance Employment Equity

In 2021, a policy on 'Succession Planning' was still in draft form, with a projection for approval in June 2022. However, succession planning in faculties is guided by experienced academics mentoring and guiding their junior colleagues. As a result, many junior academics have now risen to senior academic positions within the four faculties.

### Employment Equity in Management

Strides have been made in growing the representation of women in top management positions (Grade 1-3) and Senior Management (Grade 4-5). Most notably, the recent EE Report (2021), which was shared with the Department of Labour, shows that UNIZULU has far exceeded its own target of achieving 50% female representation at top management. The report uses the KwaZulu-Natal Provincial Economically Active Population demographics (KZN-EAP), numerical goals and targets as a benchmark of UNIZULU's progress.

**Figure 29: Composition of Females in Top Management (2018-2021)**

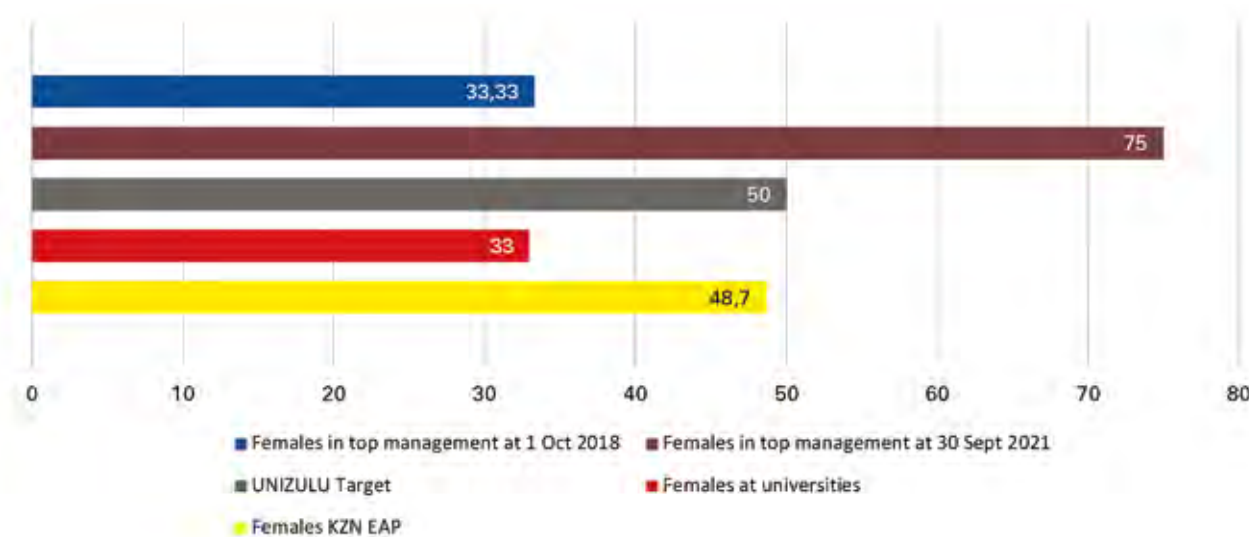
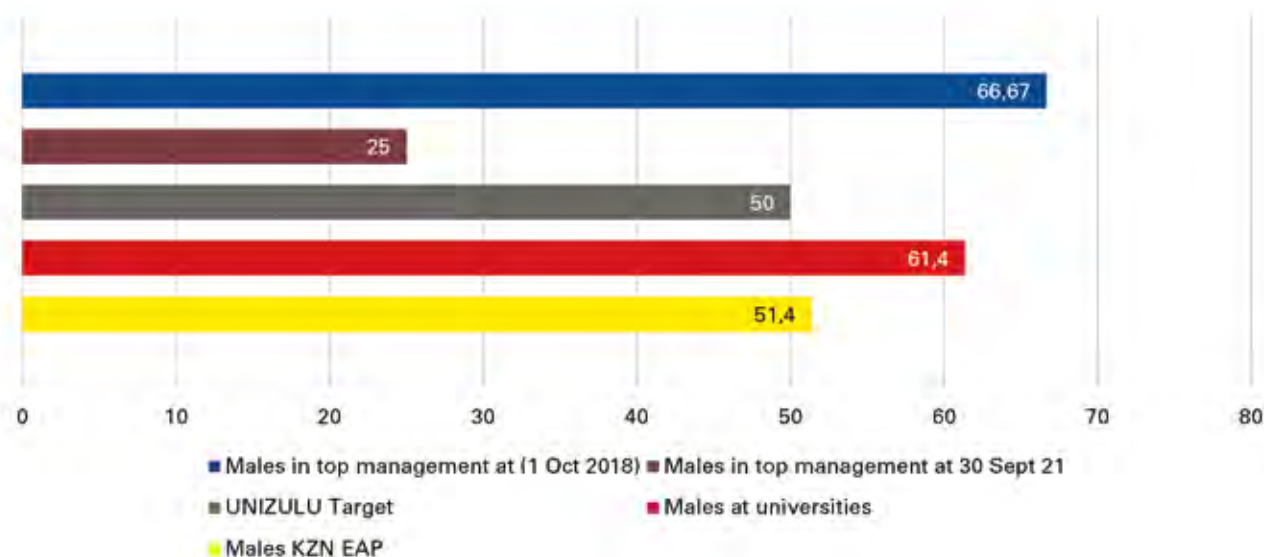




Figure 29 shows that in 2018 at the beginning of the EE Plan, women had 33.3% representation in top management at UNIZULU. However, on 30 September 2021 women had achieved 75% representation in top management, far exceeding the Institution's target of 50%.

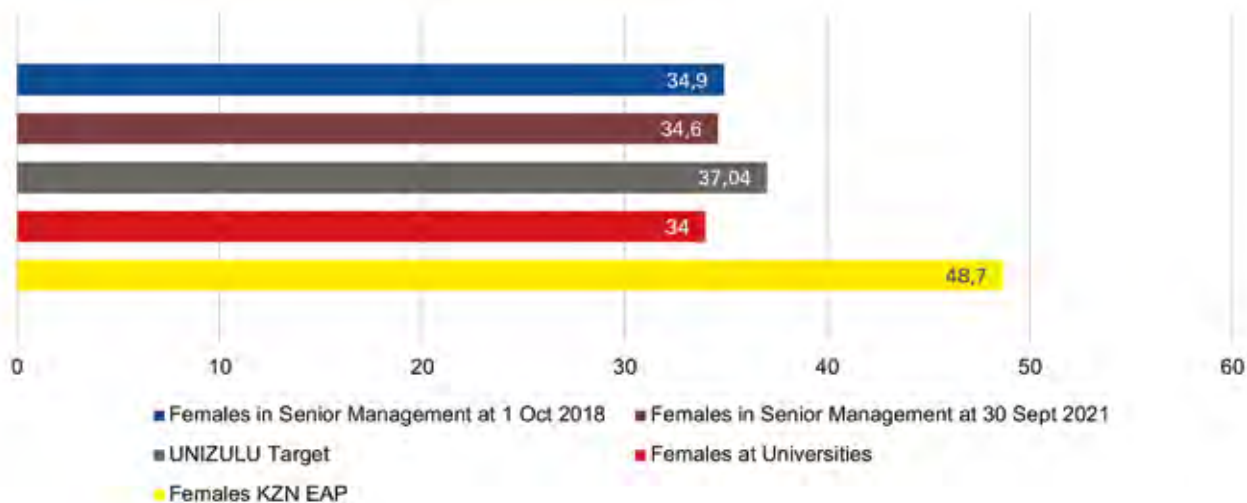
**Figure 30: Composition of Males in Top Management (2018-2021)**



Conversely, Figure 30 shows that in the same period, men had 66.67% representation in top management at UNIZULU. However, on 30 September 2021, men's representation in top management had diminished to 25%.



**Figure 31: Composition of Females in Senior Management (2018-2021)**



As depicted in Figure 31, the representation of women in senior management at the beginning of the EE plan was 34.9%. However, on 30 September 2021, their representation had decreased negligibly to 34,6% a few percentiles below the University's target of 37.04%. In addition, female representation becomes glaringly inadequate when compared to the 48.7% benchmark within KZN-EAP for female representation.

**Figure 32: Composition of Males in Senior Management (2018-2021)**

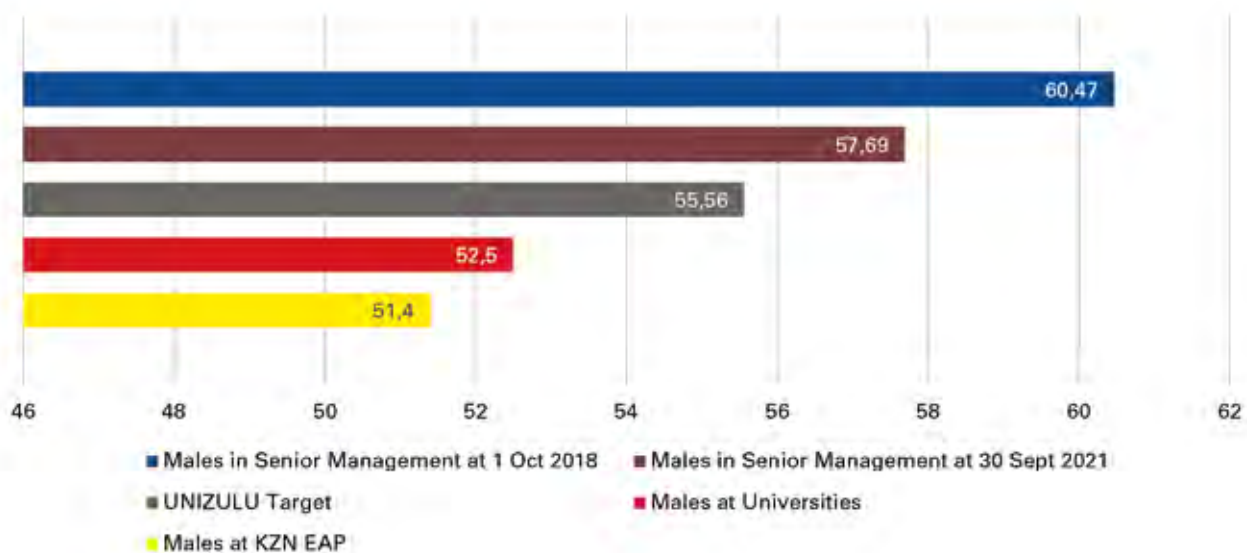
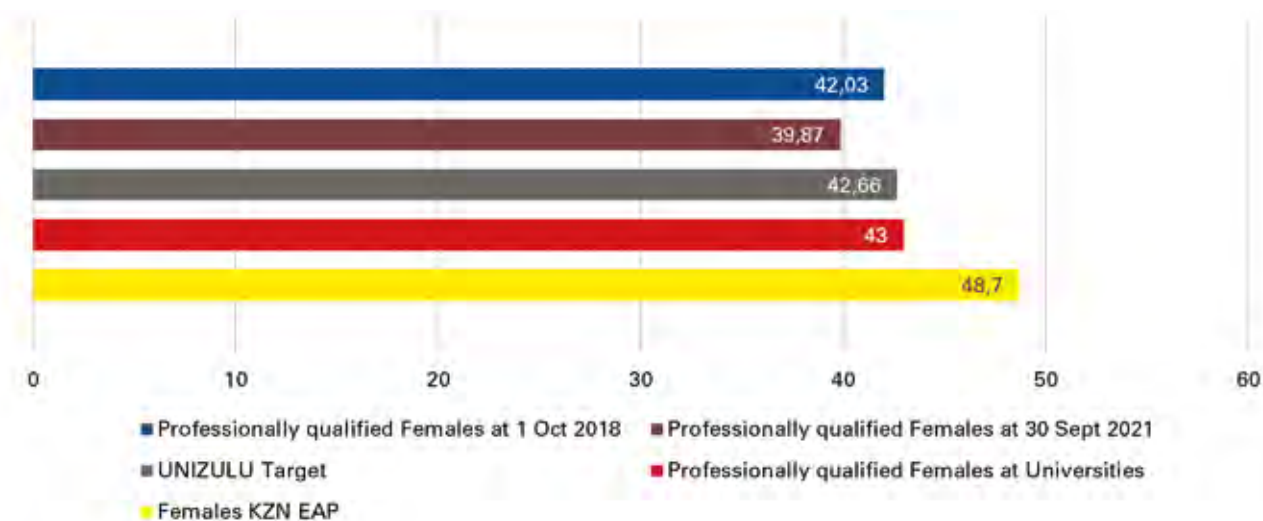


Figure 32 shows that male representation in senior management at UNIZULU decreased from 60.47% in 2018 to 57.69% by 30 September 2021. However, this is still a few percentiles above the set target of 55.56% and well above the KZN-EAP benchmark.

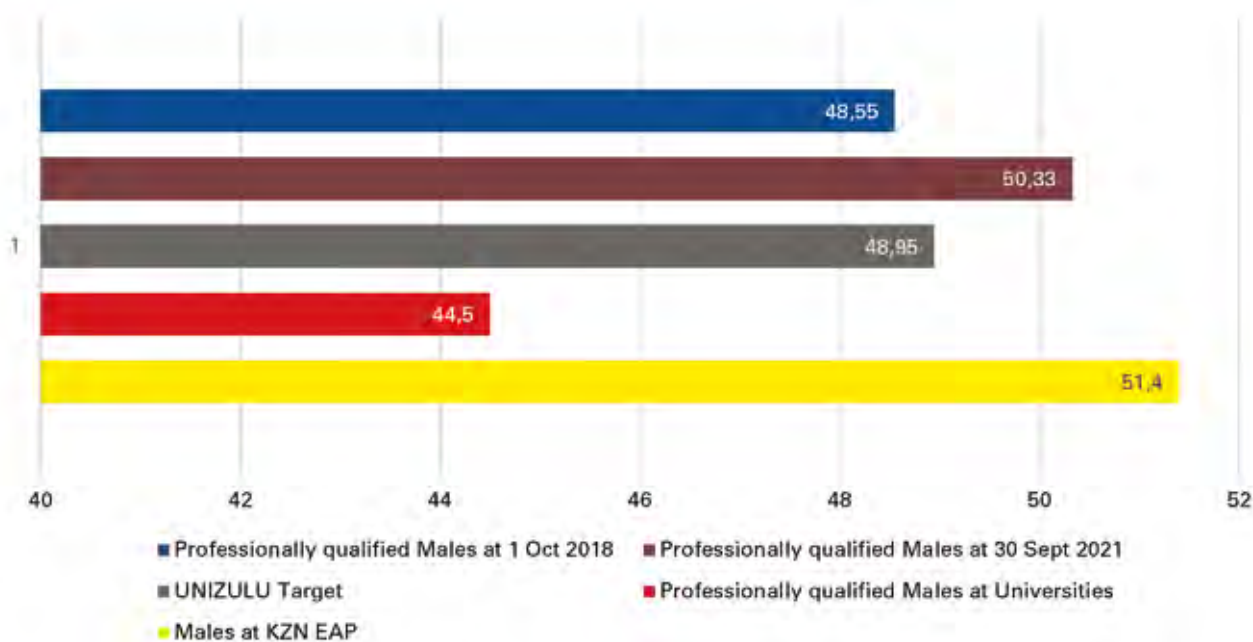


**Figure 33: Composition of Professionally-qualified Female Staff (2018-2021)**



As shown in Figure 33, female representation of the Institution's professionally qualified staff has decreased from 42.03% to 39.87%. This now places UNIZULU far below the 48.7% benchmark of the KZN-EAP and below the levels of female representation at other universities.

**Figure 34: Composition of Professionally Qualified Male Staff (2018-2021)**



As shown in Figure 34, in the period of 2018-2021, male representation at the level of professionally-qualified staff increased substantively. At the beginning of the EE Plan in 2018, men had 48.55% representation. However, on 30 September 2021, men had increased their representation to 50.33%, which exceeds the 48.95% target set by the Institution.

**Figure 35: Composition of Technically Qualified Female Staff (2018-2021)**

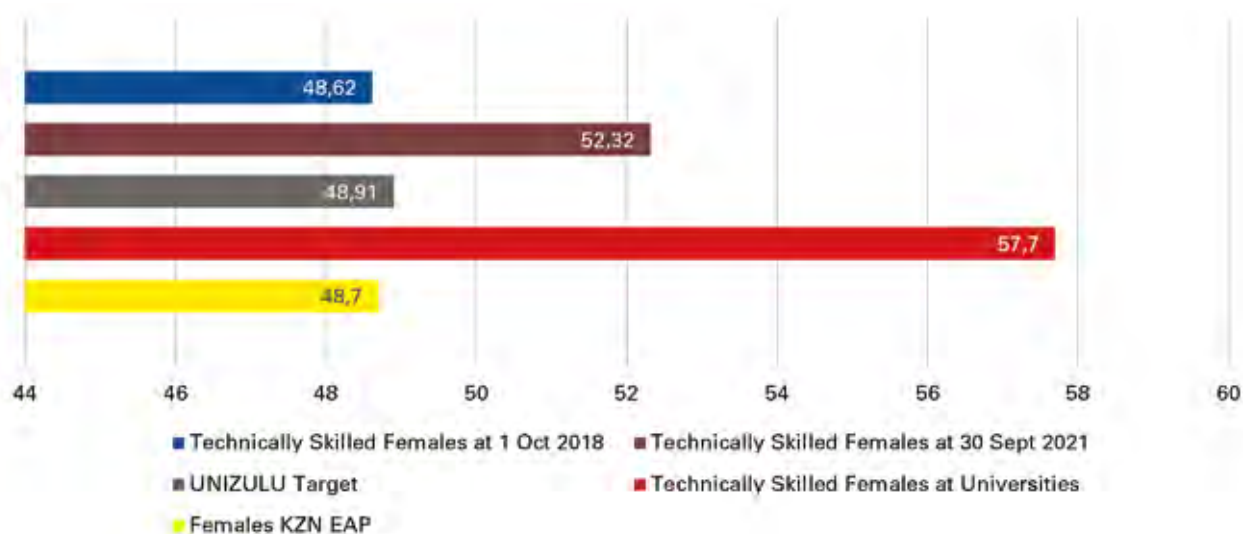
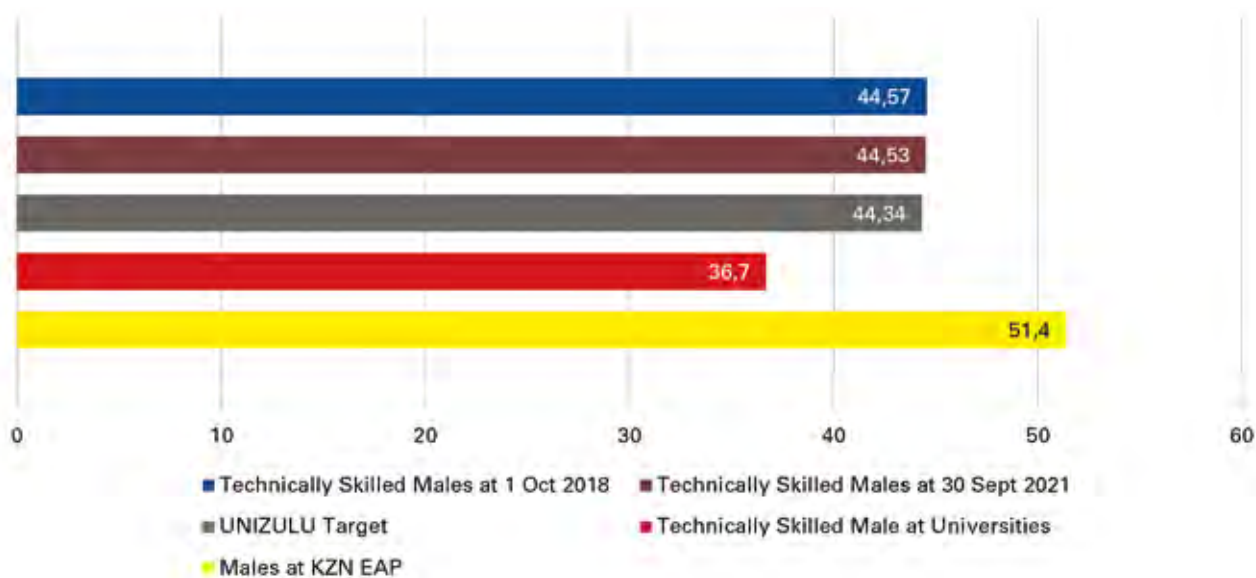


Figure 35 reflects that UNIZULU has exceeded its own target of 48.91% representation for female staff. This is a similar level of representativity to the KZN-EAPs. However, women at the level of technically skilled are represented at a rate of 57.7% at other universities. Nevertheless, this is a crucial level that requires the Institution to invest more resources aimed at improving the readiness of female candidates to move to higher levels. Interestingly, Figure 36 shows that male representation at the level of technically skilled staff has remained relatively stable at 44%. This indicates that men are still advantageously placed to ascend higher within the University's institutional structures in the coming years.

**Figure 36: Composition of Technically Qualified Male Staff (2018-2021)**



Meaningful progress has been made towards equal participation and representation of diverse staff members (larger numbers of black women) on committees, advisory bodies, and other decision-making entities, with a minimum 28% shift in the preceding 12 months. In the year under review, the University has regularly collated information about EE and has tracked progress towards a more diverse staff contingent. However, a key challenge continues to be the University's ability to make progress in appointing more women at senior management and within the level of professionally qualified staff with its various categories. In addition, to improve the representativity and inclusivity of the staff profile, significant improvement of facilities at UNIZULU needs to be undertaken to facilitate the appointment of more people living with disabilities.



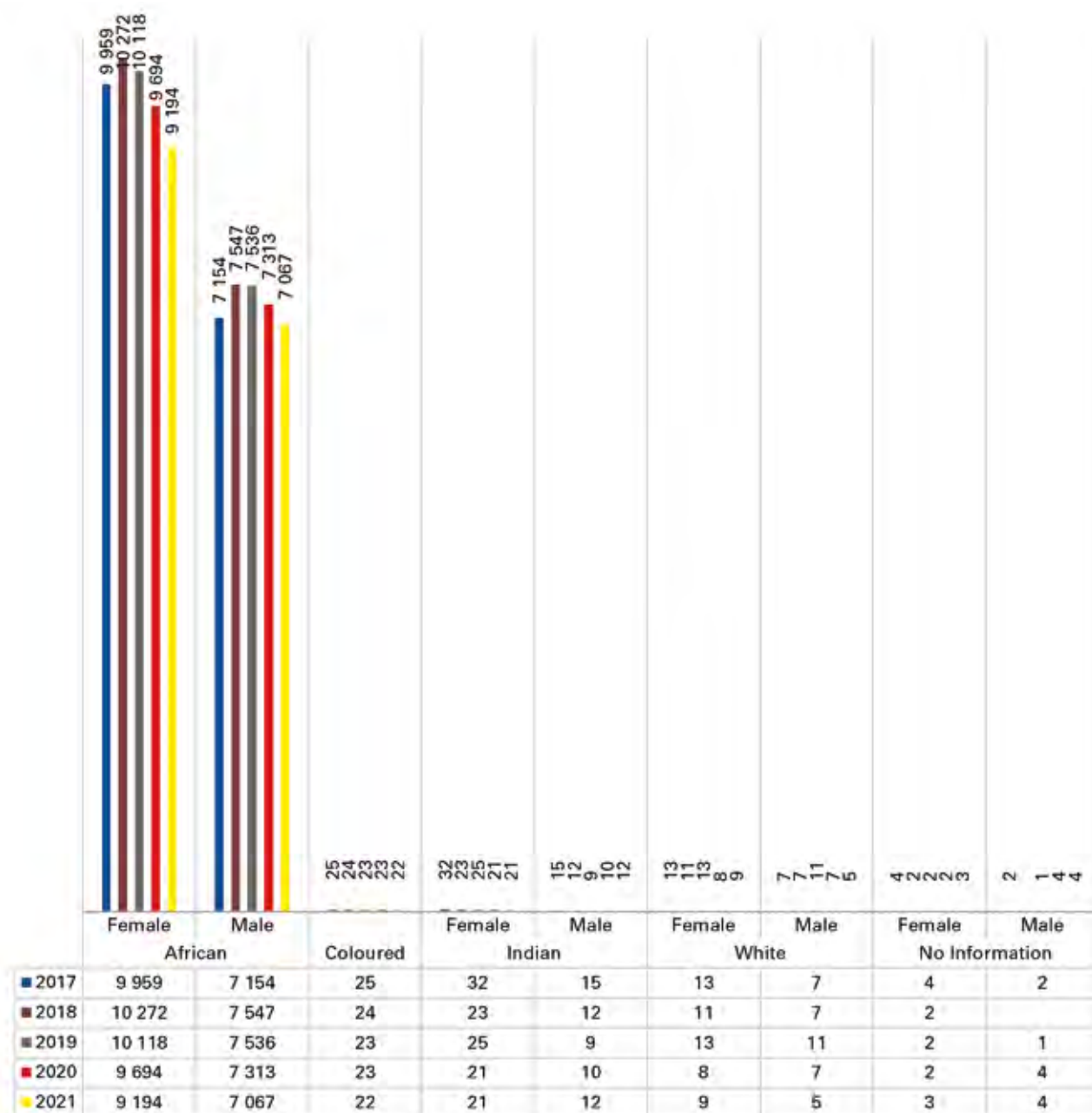
## TRANSFORMATION IN RELATION TO STUDENT ARRANGEMENTS

### Student Enrolment

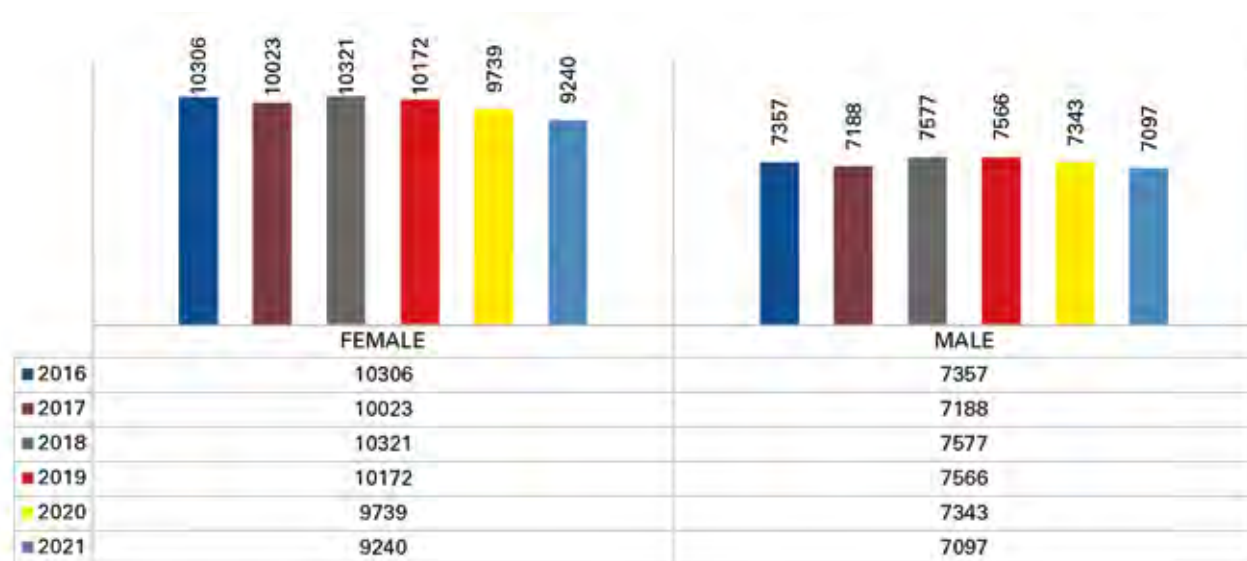
Social redress in student profiles, enrolment trends and success rates remain a serious transformation imperative for all universities in South Africa. These transformation principles are at the core of the UNIZULU Enrolment Plan 2020-2025. In addition to this, UNIZULU aims to achieve representation targets, which are set annually in agreement

with DHET. Based on these annual targets and institutional capacity, faculties determine the number of new study places available for each programmes on an annual basis. These available places are filled based on academic performance, irrespective of race and socioeconomic status and gender. However, there is an articulated desire to achieve and retain a higher proportion of female students, especially in the SET areas. Figures 37 and Figure 38 illustrate enrolments according to gender and race from 2017-2021.

**Figure 37: Race and Gender Profile of UNIZULU Enrolments (2017-2021)**



**Figure 38: Gender Profile of UNIZULU Enrolment (2016-2021)**



An analysis of Figure 37 and Figure 38 shows that females have been enrolled at a significantly higher rate than males since 2017. In 2021, enrolments were slightly less than the projected target owing to COVID-19 challenges, but the representativity of female students was not compromised.

### Students' Representative Council

The SRC is the highest decision-making structure of student governance, and it represents all students at UNIZULU. Furthermore, it represents the overall interest and well-being of the student community on university committees and national and international student bodies. In addition, it is highly involved in policy- and decision-making on campus.

Student leadership is involved in the major governance and management structures of UNIZULU, such as the senate and Council. Additionally, there are standing quarterly meetings between Manco and the SRC. Inputs that arise from these meetings and engagements are taken seriously and constructive student comments and critiques are incorporated into the strategic direction and decisions of the governance structures of the University. The SRC is elected annually by the students and consists of 10 members who either represent other student organisations or are independents. The SRC voting process was concluded on 6 December 2021.

**Table 73: Composition of Student Representative Council**

INDIAN		COLOURED		BLACK AFRICAN		WHITE		TOTALS		
Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Members
0	0	0	0	7	3	0	0	7	3	10

**Table 74: Composition of Outgoing Students' Representative Council (2020-2021)**

INDIAN		COLOURED		BLACK AFRICAN		WHITE		TOTALS		
Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Members
0	0	0	0	10	2	0	0	10	2	12

An analysis of Table 73 and Table 74 shows that the leadership of the SRC is still dominated by male students. Female leadership constitutes 30% of the incoming council. The University continues to encourage students to have an increased representation of females in the SRC and other student representative structures.





## Students Living with Disability

The Disability Unit coordinated the distribution of information on the profile of students living with disabilities to faculties and departments. The sharing of this curated information assisted faculties in accommodating the teaching and learning needs of students living with disabilities. For instance, during examinations, students with disabilities have provisions and students with sight impairments receive exam question papers with bigger fonts and are generally provided more time. The system of alerting lecturers to the student profile of their classes has enabled them to devise ways of supporting students depending on their disability types and learning needs. All these interventions now form a standard procedure at the University of Zululand.

## Disability Unit

UNIZULU has broadened its mission and scope towards becoming more inclusive as well as ensuring the protection of the constitutional rights of students with disabilities. UNIZULU believes that all students, regardless of their ability, should have a sense of belonging at the University. Many students living with disabilities experience different and unique challenges, therefore, equally unique solutions need to be developed for them. Through the unit, the University strives to ensure that students with disabilities have a fulfilling experience while studying towards their qualifications. The unit is dedicated to promoting equality, opposing all forms of

discrimination and encouraging participation of all students in university life. Support services for students with disabilities entail assessing their needs and thereafter designing responsive programmes. Most recently, the University has established a society for students with disabilities on both the KwaDlangezwa and Richards Bay campuses. Students with disabilities are encouraged to join this society so that they may voice issues of concern.

## Student Support and Performance Tracking

The University has remained committed to ensuring the success of students through a customised FYE programme. This initiative is in recognition of the reality that universities have the responsibility to develop student-support interventions that meet learning needs at the level of student readiness. Consequently, the University has undertaken to establish the Strategic Analytics and Business Intelligence (SABIO) unit, which was strengthened by the appointment of a manager in 2021 to track student performance through flagging 'at-risk' students and high failure-rate modules. This is done through the existing Student Performance Tracking System. The system includes tracking first-year students in their living and learning spaces to ensure that those who are at risk of exclusion receive timeous support. At UNIZULU, this has included developing an annual biographical questionnaire (BQ) to collect information on student profiles. The analysis of data from high school results and



the biographic questionnaire data has continually revealed that most first-year UG students enrolled at UNIZULU come from Quantile 1 to 3, and this is the segment of pupils most deprived of resources. In addition, as part of the FYE programme, the Institution flags high-failure rate modules to faculties and departments to enable them to make timeous interventions. This alert system has been integrated into the University's teaching and learning processes as a means of enhancing the University's rate of student retention and success. Faculties and departments are, therefore, better equipped to facilitate and direct tutoring of students in small groups to reinforce their learning and to create reading and writing workshops to enhance their academic writing skills.

In addition, students identified to be facing challenges are collated into various lists and this intelligence is distributed to HoDs and faculty managers for intervention feedback. This invaluable insight has enabled lecturers and HoDs to communicate with students to understand their challenges, and has informed decisions for special interventions, for example, the printing and delivery of hard-copy study material to students who were not adjusting well to the migration toward online learning during COVID-19 imposed restrictions and lockdowns. All these initiatives have been undertaken to reduce the attrition of students in the system and the high dropout rate.

The integration of the systematic analysis of integrated

data has been undertaken by UNIZULU to enable it to have a clear view of the socio-cultural backgrounds of students and reorientate the view of the Institution towards understanding that students are people in the world defined by societal inequalities that often translate into race and class differential in student performance, mostly at the university UG education level. Therefore, the University will continue on its mission to develop these data tools to understand the forms of intervention required to support students from different backgrounds.

## INSTITUTIONAL TRANSFORMATION POLICIES

UNIZULU has made great strides in developing social justice policies that are designed and enacted to bolster the prevention of discrimination, sexual harassment and GBV, among other injustices. In 2021, the various divisions and directorates in the University drafted and secured approval of important transformation-focused policies that seek to ensure that social justice and a culture of excellence are inculcated into the Institution.

### Gender Equality and Inclusivity

The University developed the policy on Gender Equality and Inclusivity, which was approved by the University Council in November 2021. The policy responds to the Bill of Rights enshrined in the Constitution of the Republic of South





Africa, which prohibits unfair discrimination based on race, gender, sex, maternity condition, marital status, ethnic or social origin, colour, sexual orientation, age, disability, creed, conscience, belief, culture, language or nationality. The equality of human races is predicated on dignity, rights and equitable recognition of women, lesbians, gays, bisexuals, transgender persons, intersex people, queer/questioning, asexual (LGBTIQA+), men and people living with disabilities as key players in crafting an organisational identity who have a major impact on organisational success. An organisational identity that is inclusive creates a sense of dignity for all its constituencies and stakeholders, and enables them to participate in the co-creation of a work and learning environment that is open to fair and equitable participation for all. To deliver on its mission, and in compliance with the Promotion of Equality and Prevention of Unfair Discrimination Act, 2000 (PEPUDA or the Equality Act, Act No. 4 of 2000), UNIZULU has approved the policy on gender equality and inclusivity to create structures and mechanisms that foster a non-discriminatory environment that supports the realisation of gender equity and equality.

### Quality Assurance Policy

UNIZULU is committed to creating an intellectually enabling, engaging and innovative learning and teaching environment for its students and staff. Quality Assurance (QA) plays a crucial role in the institutional transformation journey. Proper QA enables the Institution to identify the right programmes, standards and methodologies to ensure that the qualifications that students obtain equip them to be reputable and efficient contributors to the knowledge economy and provide them with skills that are needed by society – student graduateness. The QA policy, which was approved by Council in November 2021, articulates the University's commitment to excellence through its vigorous quality-assured systems, processes and practice. The policy is aimed at ensuring that UNIZULU puts in place an effective, robust and integrated quality management system with sufficient capacity and capabilities to guarantee effective delivery of the vision, mission and academic enterprise functions. It guides and promotes adherence to academic standards and consideration of best practices in quality planning, assurance, control and continuous improvement/enhancement in relation to teaching and learning, research, community engagement and institutional operations. This policy is aligned to the CHE Quality Assurance Framework of Higher Education in South Africa (2021), CHE Framework for Programme Accreditation, CHE Institutional Audit Framework (2021) and various programme accreditation guidelines provided by different professional bodies.

### Advisory Committees Policy

The University has produced the Advisory Committees Policy, which is important in ensuring that the Institution acquires relevant external advice and guidance to advance its transformation and social inclusion agenda. This policy provides guidelines and direction to the University regarding the rules and procedures to be followed when establishing advisory committees at UNIZULU. The purpose of advisory committees is to provide coordinated advice to the University from the industrial sector, civil society, governmental organisations and professional bodies in relation to learning programmes, projects and research areas. An advisory committee plays a key role in soliciting and providing input and recommendations to the University from external stakeholders, and to guide the strategic positioning of different aspects of the University's business. It is important to highlight that an advisory committee gives advice and does not prescribe solutions to any aspect of the University's business and its support services. The decision to accept and implement the advice given by advisory committees shall be made by individual deans and UNIZULU's Executive Management Committee.

### Preferential Procurement Policy

The University has created the Preferential Procurement Policy, which was approved by the University's Council in November 2021. The purpose of this policy is to guide the transformation of the Institution's enterprise and supplier development procedures. In addition, the policy seeks to advance broad-based transformation that promotes growth, mobilises investment, creates jobs and empowers citizens. More directly, the policy seeks to: increase the pool of black-owned companies and other designated groups in the supplier database of UNIZULU; increase procurement spending on beneficiaries of the UNIZULU's ESD programme while simultaneously investing in their development and growth; enable UNIZULU to identify and develop eligible black-owned companies to become part of the Institution's supply chain, particularly with respect to those that will supply into the core business needs of the University; develop approaches and tools that will be used at UNIZULU to implement and fast-track the achievement of effective black empowerment using its purchasing power and the ESD programme; and promote localisation of products and services used by the University to increase local spend.

### Policy on Students with Disabilities

The UNIZULU Council adopted the Students with Disabilities Policy on 25 November 2021. This policy provides guidelines and procedures in relation to providing accommodations to

students with disabilities at the University. The policy seeks to promote respect for the inherent dignity of all its students, including those with disabilities. In addition, the policy seeks to ensure that there is no unfair discrimination against any student living with a disability. The policy also intends to advance access for students living with disabilities to the University's programmes.

## MONITORING INSTRUMENTS

Since 2016, UNIZULU has steadily introduced various instruments and tools to help it monitor progress on the implementation of its transformation and social inclusion programmes.

### Reports to the Gender Commission

In 2018, UNIZULU began engaging with the CGE on the Institution's progress toward realising gender equity and equality. This engagement assisted the University to identify gaps in terms of policies and programmes that it needed to create. In addition, the CGE made recommendations to UNIZULU to enable it to address discrimination and unjust practices, which impinged upon the progress and well-being of previously disadvantaged and marginalised groups. The recommendations made by the CGE are now firmly embedded in the University's transformation and social inclusion programme, which seeks to create an anti-discriminatory and safe environment for all students, staff and other stakeholders associated with UNIZULU. Despite not being requested to provide a report for the CGE in 2021, the University continues to constantly monitor the implementation of the CGE's recommendations as a significant part of the UNIZULU transformation and social inclusion programme.

### Annual Transformation Report

The annual Transformation Report is an important tool that permits the Institution the opportunity to take inventory and undertake a reflexive critique regarding its deliberate focus on transformation and social inclusion. This internal assessment also gives the broader University community, various constituencies and stakeholders insight into how and at what speed the Institution is transforming, and the extent of its strides towards inclusivity.

### Integrated Transformation Plan – KPAs

The development of the Integrated Transformation Plan is undergirded by six fundamental objectives, which are:

- Embedding and integrating transformation goals within the University's core mandate
- Ensuring that policies and structures are in place at all levels of the University to support transformational

leadership, recruitment and inclusion efforts

- Institutionalising transformation and diversity goals
- Fostering an inclusive climate of respect for diversity that promotes student success and encourages faculty and staff members to grow
- Promoting a vision across the University that fully appreciates diversity and social justice as core values and educational benefits to be studied, cultivated and embraced as a vital component of personal development that is crucial to a democratic ethos
- Creating synergy in the institutional understanding of a working definition of transformation

## CURRICULUM RENEWAL AND GRADUATENESS

UNIZULU is committed to creating an intellectually enabling, engaging and innovative learning and teaching environment for its students and staff. Consequently, the University utilises PG education to advance its transformation agenda through continually undertaking a critical assessment of the quality of the academic programmes in terms of articulating curriculum strength and identifying and addressing curriculum gaps. This is for purposes of continuing optimisation of the learning outcomes and improvement of teaching and learning practices.

### Progress on Doctoral Reviews

UNIZULU hosted the CHE Doctoral Degree Review panel virtually from 3-6 August 2020, and the University received the preliminary draft of the Doctoral Degree National Review Report on 26 April 2021. The University was required to comment on factual accuracy issues and submit a response to the CHE before the review report was finalised. Upon receipt of the final report from the CHE's Doctoral Review panel on 31 July 2021, the University engaged a workshop with academic DVCs and faculty deans to unpack and discuss the CHE findings and recommendations. During the discussion of the final report, the University established that some of the issues on which clarity was required re-emerged in the final report. For example, the matter of the Writing Centre and all comments associated with the publications were clarified in the Institution's factual accuracy response to CHE/HEQC. The development of the UNIZULU Doctoral Review Improvement Plan considered all the comments made by the review panel as valuable inputs towards the improvement of the quality of provisioning of doctoral studies at the University. The Doctoral Review Improvement Plan was submitted to CHE on 28 October 2021, which was well received and approved. This indicates that the University is committed to ensuring transformation in the research and





innovation space through its doctoral programmes.

In 2021, the University received DHET approval and CHE accreditation of learning programmes, most of which are firmly anchored on the transformation path for developing scarce and SET skills among our students and graduates.

## INSTITUTIONAL CULTURE

The imperative toward transformation and social inclusion at UNIZULU is driven by a mission to foster an institutional culture that promotes tolerance and respect for fundamental human rights that creates the appropriate environment for meaningful teaching and learning and research. In response, the University has developed the Transformation Charter, which makes firm commitments and pledges that the University focus specifically on areas of institutional culture, social justice and human rights. UNIZULU is cognisant of the fact that institutional culture finds expression through a set of shared values, ideological beliefs and assumptions, policies and procedures, systems and day-to-day practices, long-term practices that shape organisational behaviour and individual experiences. Therefore, aspects of institutional reputation and credibility are interwoven into the fabric of institutional culture.

## SGBV and Misconduct

UNIZULU commits itself to providing a safe institutional environment where all may learn, work, and go about their duties and activities free from sexual harassment and violence, gender harassment and bullying, sexual assault, relationship violence, and other forms of gender-related misconduct and associated claims of retaliation. Sexual and gender-related misconduct undermines the dignity and autonomy of those victimised and erodes mutual trust and respect, which are essential to personal, academic and professional wellbeing. Sexual and gender-related misconduct constitute serious disciplinary offence, both in terms of these guidelines and the law, and will not be permitted, condoned or tolerated at UNIZULU. Disciplinary action, including summary dismissal or academic exclusion, may result after following due process. UNIZULU has a zero-tolerance approach to sexual and gender-related misconduct. It recognises that it has an obligation to put in place reasonable measures to ensure, as far as possible, the safety and well-being of all students and staff as part of its institutional and academic duty of care. However, despite the creation of tools and structures such as the Pastoral Care Unit, the University has experienced a continued rise in reported incidents of harassment, sexual assault and GBV across its campuses.



**Table 75: Reported Incidents of GBV and Harassment at UNIZULU (2016-2021)**

TYPE OF COMPLAINT	2016	2017	2018	2019	2020	2021
Sexual Harassment	2	5	4	2	1	4
Harassment	N/A	6	9	3	3	6
Discrimination	6	21	17	10	6	9
Victimisation	N/A	N/A	N/A	N/A	N/A	N/A
Sexism	N/A	N/A	N/A	N/A	N/A	N/A
Homophobia/Transphobia	N/A	N/A	N/A	N/A	N/A	N/A
Assault	57	78	80	85	11	40

The University's management has noted with concern in its committee meetings the rising cases of SGBV and assault on campus. As shown in Table 75 above, there has been a steady increase in cases of SGBV and harassment from 2016. The onset of COVID-19 restrictions in 2020 and 2021 provided momentary reprieve in the rise of reported incidents. In addition, challenges experienced by Student Housing in 2021 illuminated that the residence culture at UNIZULU contributes immensely to reported cases of SGBV and harassment, which is inimical to the preservation of a good institutional culture. Therefore, developing a supportive and inclusive culture in residence must be recognised by the Institution as a key priority in the academic project. In 2022/2023, the Institution should, as a matter of urgency, undertake to implement meaningful management and security interventions to control the degenerating security

and safety situation in campus residences, which impact adversely on the attainment of an academically-conducive and socially-inclusive institutional culture.

## Language Policy

The University of Zululand's language policy is distinctly embedded in its mission to transform its institutional culture. Furthermore, it is a key pillar in the University's new vision of becoming a node for African thought. Therefore, the effective implementation of the Institution's language policy is a fundamental and critical building block for the elevation and ultimate intellectualisation of isiZulu as a medium of instruction at the University. In addition, sectoral policy frameworks have also placed an emphasis on multilingualism and equity of access and success for all students in higher education as key outcomes. Most notably, the Declaration of the 2010 Higher Education Summit was a pivotal platform where language was affirmed as a critical tool for transforming institutional culture and bringing about social inclusion and diversity in HEIs. In the year under review, the implementation of the language policy of UNIZULU remains a work in progress. Most notably, a Language Policy Implementation Plan (LPIP) has been developed and a Language Policy Task Team has been identified.

## Webinars and Symposia

In 2021, the noteworthy transformation-focused events, webinars and symposia that sought to stimulate intellectual engagement and sensitisation on various transformation-focused topics, included:





- Vice Chancellor's Webinar Series and Flagship Events
  - ◊ Vice Chancellor's Webinar Launch – Topic: *Democracy, Language, and Inclusive Education in the African Context*: by Prof. K.K. Prah – 10 May 2021. The lecture interrogated the meaning of democracy. It highlighted that the democratic make-up of countries has a large influence on inclusivity and language.
  - ◊ Vice Chancellor's Webinar Series: – BEE Lecture with MR MAGOMOLA – 26 August 2021. The lecture discussed the pros and cons of black economic empowerment (BEE). The historical antecedents were identified and new aspirations toward the paths that the programme can undertake were explained.
- FA Webinar – Topic: *The idea of a Centre for African Thought at the University of Zululand*: by Prof. M Ndlovu – 11 March 2021. The lecture identified the type of role a Centre for African Thought ought to seek to play. It was explained that because African knowledge had been shunned, the Centre ought to embrace all forms of African thinking, including occurrences outside of the academy.
- Africa Day Webinar: (A collaboration with the Department of Arts, Sports & Culture) – Topic: *African Languages, Social and Economic Transformation*: by Prof. K.K. Prah – 27 May 2021. The lecture considers the impact that African Languages can have on the preservation of culture and the impetus that it can provide as a catalyst for social and economic transformation.
- Beyers Naude Memorial Lecture with Kagiso Trust – Topic: *Being Born Again into the Struggle for a Non-racial, Just, and Prosperous South Africa*: by Professor Lamola – 19 October 2021. The lecture unpacked the current socio-political and economic challenges faced by South Africa. It highlighted that political leadership must be 'reborn' from being collaborators in the defoliation of the lives of the poor in post-apartheid South Africa to being champions of freedom and justice.

Various other faculty and departmental webinars were held, and these included:

- Office of the Vice-Chancellor: Pastoral Care Webinar – Topic: *Life is Better Without the Abuse. The Year of Breaking the Silence*: by Bishop. Monument Makhanya – 27 May 2021. The lecture educated students and staff about the essence of calling out perpetrators of GBV and reporting such incidences. Further, it was emphasised that men have an invaluable role in thwarting this scourge of abuse and violence.
  - Teaching & Learning: Community Engagement Webinar – Topic: *An Approach to Institutionalisation of Engagement as a Core Third Function*: by Prof. Lange – 3 June 2021.
- The lecture explored how community engagement could be institutionalised at HEIs. It was highlighted that the University must become a primary tool for Africa's development in this new century.
- FCAL Webinar: Department of Business Management – Topic: *The Trends and Possibilities of Social Entrepreneurs: Issues and Challenges*: by Prof. S.K. Baral – 15 June 2021. The lecture explored the key enablers and impediments to the success of social entrepreneurs. Further, there was an exploration of the many factors and circumstances that can impact young people's involvement in social entrepreneurship and their efforts to effect social change through social enterprises.
  - FSAE & A: Department of Consumer Sciences, FA – Topic: *Social Transformation through Change: Knowledge and Social Development Strategies for Society*: by Prof. Kolanisi – 4 June 2021. The lecture identified and addressed the challenges in the inclusion of indigenous foods in the South African diet. It further highlighted the gaps that exist in the food value chain, and provided practical interventions and systems that should be established as a way forward.
  - The FA Women in Research (FAWiR) Launch – 19 June 2021. This is an initiative that aimed to support women academics to make significant strides in research and contribute to scholarly publications under the mentorship of senior and seasoned researchers.
  - Community Engagement Webinar – *Engaged Scholarship and the Scholarship of Engagement: Differences and Similarities*: by Dr Hart – 17 September 2021. The lecture affirmed and concluded that community engagement and engaged scholarship is not merely serving in a departmental faculty structure but includes community-engaged scholarship that requires a high level of disciplinary expertise or interdisciplinary expertise.
  - Pastoral Care Unit – Topic: *Rape and Suicide*: by Ms. Bongile Zengele – 28 September 2021. The lecture focused on raising awareness about suicide, and how to support a friend or peer, and highlighted the resources that were available for students on campus.
  - Humanities Social Science Conference (HSS) – Theme: *Social Justice and Sustainable Development in Africa Today*: Keynote Adv. Busiswe Mkhwebane – 27-28 October. The conference was aimed at interrogating multiple social issues that South Africa faces by addressing the exploitation of its people and resources, readdressing the inequities of the past and determining the role of the State in its attempts to redress past injustices, as well as discuss the potential of academic research in responding to the challenges.

## GRANTS USED TOWARDS THE TRANSFORMATION AGENDA

### NGAP

The recruitment, retention and capacity-building initiatives that UNIZULU has integrated into its overall programme is driven by a shared vision for transformation of the University through supporting young black scholars and academics. The New Generation of Academics Programme (nGAP) is a major mechanism that has been integrated by UNIZULU to increase the number of young South Africans on the academic staff. This programme is funded by DHET, and the defined goal and intent of the intervention is to facilitate the creation of a large cohort of black South African early-career academics and give them the opportunity, during a protected

incubation period of six years, to establish themselves at universities. To benefit from the scheme, universities apply to the DHET for posts. Each post comes with a significant financial contribution towards the costs of employing a new staff member (although this contribution generally does not entirely cover these costs). By December 2021, UNIZULU had been awarded 14 nGAP posts and was awaiting the outcome of its application for four more posts in the next phase of the DHET call. However, one candidate, who was on Phase Five and was enrolled in the Curriculum Studies Department, withdrew from the programme. Therefore, 13 of the current nGAP posts are occupied, with the remaining post to be filled by a selected incumbent early in 2022. The demographics of the current nGAP cohort are:

**Table 76: Gender and Race Profile of nGAP Cohort (December 2021)**

INDIAN		COLOURED		BLACK AFRICAN		WHITE		TOTALS		
Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Members
0	0	0	0	5	9	0	0	5	9	14

All faculties referenced the nGAP as good practice and a programme that they participate in. However, none shared a faculty-specific pipeline. In addition, it has emerged that too few deans orientate nGAP awardees to their faculty's and/or department's institutional obligation towards transformation and social inclusion, thereby creating a divide that is inimical to the inclusion of new staff members in transformation actions and activities. An analysis of Table 76 shows that women were well represented in the cohort of nGAP awardees. This is an encouraging result, and it bodes well for the representativity of women in the next crop of academics.

### NESP

The University participates in the Nurturing Emerging Scholars Programme (NESP), which is also funded by DHET. The NESP grant is intended for academics who are currently pursuing their Master's degree. UNIZULU currently has three academics (two black African women and one black African male) enrolled

in Phase One of the NESP programme in the following fields: Computer Science, Anthropology and Public Administration.

### Foundation Provision Grant

The main purpose of foundation provision is to improve the academic performance of those FTE undergraduate students, who already comply with the minimum requirements to enrol for a particular university qualification, and who have already enrolled for that qualification, but who are at risk of failing or dropping out. The University of Zululand has Foundation programmes in FSAE and in FCAL.

The following are the achievements attained in the Foundation Programme for 2021 financial year. Table 77 shows the mid-year pass rate achievements per faculty, which were satisfactory for all semester modules. Some students have been offered the opportunity to rewrite examinations and aegrotats and it is expected that the pass rates will improve.



**Table 77: Programme Pass Rate (December 2021)**

PRO-GRAMME	MODULE	REGISTERED	NO.WHO WROTE	PASS RATE (%) REGISTERED	PASS RATE (%) WROTE
Augmented Life Sciences 4BSC99	4LZL112	12	12	100	100
	4LBT112	66	66	97	97
	4LCH122	64	63	91	92
	4LMH122	106	103	90	93
Augmented Physical Sciences 4BSC98	4LMH112	68	63	87	92
	4LPH112	69	67	87	90
Foundation Programme 4BSC00	4FPH119	112	110	96	97
	4FCH119	112	110	88	89
	4FBL119	112	109	96	99
	4FLT112	112	110	98	100
	4FMH119	112	106	69	73

The pass rate for the FSAE is shown in Table 77. Exams for Semester 2 began on 25 October and progressed well. The pass rate was satisfactory, with the average mark exceeding 90%. Foundation Mathematics has the lowest pass rate, which has been ascribed to students' lack of fundamental mathematical knowledge and skills. Eighty-five people out of 112 who applied for Foundation Mathematics have passed to move on to Mainstream in 2022.

**Table 78: Commerce Pass Rate (December 2021)**

MODULE NAME	NO REGISTERED	NO WROTE	NO ABSENT	NO PASSED	NO RE-EXAM + AEGRO	NUMBER FAILED	% PASS (NO PASS/ REGISTERED)
<b>First-year Modules</b>							
Foundation Literacy	3	2	1	1	1	0	33%
Foundation Economics	160	151	9	134	24	3	84%
CFAX002	2	1	1	0	1	0	
Business Management Foundation	156	146	10	132	19	5	85%
Business Calculations	3	2	1	1	1	1	33%
<b>Second-year Modules</b>							
2FBCX02	139	130	9	107	12	11	77%
CFBCX02	20	15	05	7	3	5	35%

The pass rate for the Extended Commerce Programme is shown in Table 78. Data demonstrates that students struggle with business calculations, which can also be related to a lack of fundamental mathematical understanding. Despite their low performance, students did well in Foundation Economics and Business Management, with an average score of 84% in both subjects.

## DEDICATED TRANSFORMATION AND SOCIAL INCLUSION IN FACULTIES

### Student Support

Faculties and departments have made various initiatives to support students in their academic journey:

- FE – In November (18-19) 2021, the faculty had a research indaba where the focus was on research supervision. Topics covered included: PG Research Supervision, Research Method Designs, Research Ethics Practices, Handling PG Research Issues, and Integration of ICT in Postgraduate Supervision. In addition, from December 10-12, 2021, the faculty ran a weekend workshop to support its Master's and Doctoral students directly (MADOC week). The topics covered include: the Research Journey; Preparing a Proposal for Ethics and HDC; Research Design and Methodology; IT Research Tools, Using the Library; Use of Endnote for References; Writing a Research Report; Reporting on Qualitative and Quantitative Data; What Examiners are Looking for; and Responding to Reviewers' Comments.



- FSAE initiated a 'Get that Job' support programme for final-year UG students. The purpose was to ease the transition from being a student to being ready for the world of work. The five-day programme featured sessions such as: From Thinking like a Graduate to Behaving like an Employee; Searching for a Job and Marketing Yourself; Preparing Your CV; Preparation for the Interview – the Do's and Don'ts; Surviving the Workplace; and Interview Simulation. The Programme was negatively impacted by the COVID-19 pandemic as it was designed for in-person participation. Thus, the 2020 and 2021 interactions did not happen.
- FSAE – to support PG students, the faculty hosts an annual series of PG workshops, which are designed to introduce PG students to research and are presented by experienced faculty researchers on a variety of research-related topics. These include Introduction to Research and Knowledge Production; Know your Library; Literature Review; Proposal Writing/Preparation; Career in Research; Research Ethics; Research Design; Interpreting and Theorising Results; Oral Presentation Skills; Writing your Dissertation/Thesis and Publishing Results.

### Relationships with Communities and Stakeholders

In all their academic activities, which include teaching and learning, research, and community engagement,

the University faculties pay attention to issues that relate to transformation and social inclusion and their various departments may not be at the same level in terms of implementing the transformation agenda, but they are all aware of the significance thereof. At this stage, none of the faculties or departments at UNIZULU have specific resources designed and designated solely to deal with issues of transformation and social inclusion. However, they are guided by the University's Strategic Plan 2021 as it relates to transformation, social inclusion and diversity issues as well as with issues related to disability in the execution of their academic activities. Currently, the resources to undertake projects that relate to inclusivity, social inclusion and transformation have largely been drawn from the departmental and faculty budgets. The subsequent compilation highlights initiatives within the various faculties and outlines how some are promoting the transformation and social inclusion agenda:

- Department of Creative Arts – received support from its external alliances/stakeholders through partnerships, some of which were existing before the period in question, such as the Empangeni Art and Cultural History Museum, Tourism Department and Department of Arts & Culture, King Cetshwayo District and uMhlathuze Municipality and Community Culture Bearers who are predominately arts practitioners.
- Department of Criminal Justice – all departments of



Criminal Justice (DCJ) resources are inextricably linked to transformation. For example, budget allocations for additional support services (isiZulu tutors, disability-adapted student study material), representative stakeholder advisory committee (including traditional leaders, local community members, industry and students), Afrocentric library resources, culturally-sensitive coaching and mentoring, and special study leave for young developing academics (especially, black women), among many others.

- Department of Economics – the King Cetshwayo Department of Education Circuit signed an MoU with the department to create a project of the lecturers teaching Economics content to both trainers (teachers) and learners.
- Department of Philosophy and Applied Ethics → the department has engaged in an ongoing project with the Thuthukani School for the Disabled.
- Department of English – the department, using its generated research funds, has sponsored qualifying PG students, most of whom come from disadvantaged backgrounds. Some former colleagues, who have since retired, have donated their individually-generated research funds to the student's departmental bursary scheme and their funds have accordingly been transferred to the department.
- FE – the faculty has a community engagement project working with schools called the Fundisa for Change that targets Geography and Natural Science teachers to capacitate them in teaching about environmental issues.



**Ms N. Caluza**  
**Chairperson of Council**

- Department of Agriculture – has undertaken a programme to improve the agricultural activities within the Mkhwanazi Tribal area through advising community gardens at Empembeni, promoting sustainable protein in Gingindlovu, cash flow analysis training for small-scale sugarcane growers in Felixton, and advising on agriculture initiatives with the Cebekhulu tribal area.
- Department of Anthropology and Development Studies – the department engaged with district and local municipalities in the form of dissemination of study findings. This initiative is supported by KZN Department of Cooperative Governance and Traditional Affairs' (CoGTA's) research and innovation directorate. KZN CoGTA, uMlalazi Local Municipality, Zululand District Municipality and Mtubatuba Local Municipality participated in the dissemination of findings on water supply and sanitation studies conducted at Ulundi, Mtubatuba, uMlalazi and Alfred Duma Local Municipality.

## CONCLUDING REMARKS

The University of Zululand has made commendable progress in pursuing its transformation and social inclusion agenda. The Institution has made strides in integrating transformation and social inclusion into its core business and intellectual project. Furthermore, it has also ensured that it puts in place structures and programmes and developed policies to guide transformation and social inclusion. This commitment is evident in the new Strategic Plan 2027 of the University where it seeks to position itself as 'a Node for African Thought'.



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

# AUDITED CONSOLIDATED ANNUAL FINANCIAL STATEMENTS

**AS AT 31 DECEMBER 2021**





# University of Zululand

Consolidated Annual Financial Statements for the year ended 31 December 2021

## General Information

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

# University of Zululand

Consolidated Annual Financial Statements for the year ended 31 December 2021

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# University of Zululand

Consolidated Annual Financial Statements for the year ended 31 December 2021

## Council's Responsibilities and Approval

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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 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 place 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, any system of internal financial control can provide only reasonable, and not absolute, assurance against material misstatement or loss.

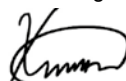
The Council has reviewed the University's cash flow forecast for the year to 31 December 2022 and, in light of this review and the current financial position, it is satisfied that the University has or had access to adequate resources to continue in operational existence for the foreseeable future.

The consolidated annual financial statements set out on pages 193-216, which have been prepared on the going concern basis, were approved by the Council on 23 June 2022 and were signed on their behalf by:



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**Ms N Caluza**  
Chairperson of Council



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**Professor X Mtsoe**  
Vice-Chancellor

## **INDEPENDENT AUDITOR'S REPORT TO THE MINISTER OF HIGHER EDUCATION, SCIENCE AND INNOVATION AND THE COUNCIL OF 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 set out on pages 193-216, which comprise the consolidated statement of financial position as at 31 December 2021, the consolidated statement of 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 of Zululand and its subsidiary as at 31 December 2021, 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 (HEA).

#### **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 our report.

We are independent of the University of Zululand and its subsidiary in accordance with Independent Regulatory Board for Auditors' Code of Professional Conduct for Auditors (IRBA Code) and other independence requirements applicable to performing audits of financial statements in South Africa. We have fulfilled our other ethical responsibilities in accordance with the IRBA Code and in accordance with other ethical requirements applicable to performing audits in South Africa. The IRBA Code is consistent with the corresponding sections of the International Ethics Standards Board for Accountants' International Code of Ethics for Professional Accountants (Including International Independence Standards).

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

#### **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 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 of Zululand's ability to continue as a going concern, disclosing, as applicable, matters relating to going concern and

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[www.ngubane.co.za](http://www.ngubane.co.za)

Partners: SD Msomi, SM Jogee | Group Chief Executive: SD Msomi



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 our report.

#### **Report on the audit of the annual performance report**

Section 7(2) of the Regulations for Reporting by Public Higher Education Institutions requires the University to prepare an annual performance report. The University's performance information was reported in the Annual Performance Report of University of Zululand. The usefulness and reliability of the reported performance information was tested as part of the audit of the University and any audit findings are included in the management and auditor's reports of the University.

#### **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. 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 goals presented in the annual performance report of the University for the year ended 31 December 2021:

#### **Strategic Goals as per the University's annual performance plan**

<b>Objectives</b>	<b>Pages in the annual report</b>
<b>STRATEGIC GOAL 2: CREATE A QUALITY TEACHING AND LEARNING ENVIRONMENT AS A COMPREHENSIVE UNIVERSITY</b>	36
Enhance teaching and learning (blended learning)	36
Design and develop a cohort analysis for effective planning & monitoring student success	36
To have a broad spectrum of programmes characteristic of a comprehensive university	36 - 37
Development of Academics and Enhancement of Scholarship	37

Objectives	Pages in the annual report
Staff capacity development (ICT staff)	37
<b>STRATEGIC GOAL 3: ENHANCE RESEARCH AND INNOVATION</b>	37
Mentoring of young / new researchers	37 - 39
Engage emerging researchers and support / reward research activity	39
Capacity building development, and mentoring to African women academics registered for PhD's	39
Provide a supportive learning and teaching environment for postgraduate students	39
Engage the Postgraduate office in training around ethics and ethical clearance to improve the standard and quality of Master's and Doctoral dissertations	39
Promote, advocate and raise awareness of the value of innovation.	39 - 40
<b>STRATEGIC GOAL 6: - ACCELERATE INFRASTRUCTURE DEVELOPMENT</b>	41
Development of funding proposal to address the inadequacy of the government (DHET) subsidy	41
Review IT hardware and software as needed	41
Review and monitor ICT spending	41

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 findings on the usefulness and reliability of the reported performance information for the above-mentioned objectives.

**Other matter:**

We draw attention to the matter below.

**Achievement of planned targets**

Refer to the annual performance report on pages 26 to 41 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.

We did not identify any material findings on compliance with the specific matters in key legislation set out in the general notice issued in terms of the PAA.

### **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.

We did not identify any material findings on compliance with the specific matters in key legislation set out in the general notice issued in terms of the PAA.

### **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.

### Auditor 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-Up Procedures Regarding Financial Information."

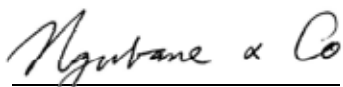
No	Grant name	Period coverage	Status	Report date
1.	University Staff Doctoral Programme Grant (USDP)	01 January 2021 to 31 December 2021	Completed	28 February 2022
2.	National Research Fund (NRF)	01 January 2021 to 31 December 2021	Completed	28 February 2022
3.	Nurturing emerging Scholar Programme (NESP)	01 January 2021 to 31 December 2021	Completed	28 February 2022
3.	University Capacity Development Programme Grant (UCDP)	01 April 2021 to 31 March 2022	Completed	31 May 2022
4.	Infrastructure & Efficiency Grant (IEG)	01 April 2021 to 31 March 2022	Completed	31 May 2022
5.	Clinical Training Grant (CG)	01 April 2021 to 31 March 2022	Completed	31 May 2022
6.	Foundation Provision Grant (FPG)	01 April 2021 to 31 March 2022	Completed	31 May 2022
7.	New Generation Academics Programme Grant (NGAP)	01 April 2021 to 31 March 2022	In progress	31 July 2022
9.	Research Output	01 April 2021 to 31 March 2022	Completed	11 May 2022
10.	Financial Data 2021	01 January 2021 to 31 December 2021	Completed	30 June 2022
11.	Higher Education Management Information System (HEMIS)	01 January 2021 to 31 December 2021	In progress	31 July 2022
12.	COVID-19 Responsiveness Grant (CRG)	01 April 2021 to 31 March 2022	Completed	30 June 2022
13.	Sibusiso Bengu Development Programme (SB-DP)	01 April 2021 to 31 March 2022	Completed	31 May 2022





#### 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 of Zululand for 5 years.



**Ngubane & Co.**  
Registered Auditors  
Per: Desmond Msomi CA (SA), RA  
Partner

Date 30 June 2022

## **Annexure – Auditor’s responsibility for the audit**

1. 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 of Zululand and its subsidiary’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**

3. 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 provide the accounting authority with a statement that we have complied with relevant ethical requirements regarding independence, and to communicate with them 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.
5. From the matters communicated to those charged with governance, we determine those matters that were of most significance in the audit of the consolidated financial statements of the current period and are therefore key audit matters. We describe these matters in this auditor’s report unless law or regulation precludes public disclosure about the matter or when, in extremely rare circumstances, we determine that a matter should not be communicated in this auditor’s report because the adverse consequences of doing so would reasonably be expected to outweigh the public interest of such communication.



# University of Zululand

Consolidated Annual Financial Statements for the year ended 31 December 2021

## Consolidated Statement of Financial Position as at 31 December 2021

		2021	2020
	Note(s)	R '000	R '000
<b>Assets</b>			
<b>Non-Current Assets</b>			
Property, plant and equipment	2	1 382 442	1 299 732
Right-of-use assets	3	28 899	115 812
Biological assets	4	81	63
Intangible assets	5	55 359	30 707
Financial assets at fair value through other comprehensive income	6	644 475	542 201
Post-retirement benefit asset	10	141 706	67 967
		<b>2 252 962</b>	<b>2 056 482</b>
<b>Current Assets</b>			
Financial assets at fair value through other comprehensive income	6	23 416	34 705
Inventories	7	77 349	88 723
Student and other receivables	8	145 374	142 198
Cash and cash equivalents	9	2 411 653	2 381 113
		<b>2 657 792</b>	<b>2 646 739</b>
<b>Total Assets</b>		<b>4 910 754</b>	<b>4 703 221</b>
<b>Funds and Liabilities</b>			
<b>Funds</b>			
<b>Non-distributable funds</b>			
Revaluation reserve		367 067	392 542
Financial asset reserve		193 907	129 665
<b>Restricted funds</b>			
DHET, Research and Trust funds		65 995	48 551
Student Residence funds		(97 754)	(61 337)
<b>Council controlled funds</b>			
Property, plant and equipment (PPE) fund		614 665	526 998
Designated institutional fund		194 026	196 543
Accumulated Council-controlled funds		1 094 012	913 933
UNIZULU Foundation funds		91 513	77 020
		<b>2 523 431</b>	<b>2 223 915</b>
<b>Liabilities</b>			
<b>Non-Current Liabilities</b>			
Post - retirement obligation	10	111 223	111 738
Deferred government grants	11	1 574 984	1 580 040
Interest-bearing borrowings	13	13 099	16 302
Lease liabilities	3	11 856	74 448
		<b>1 711 162</b>	<b>1 782 528</b>
<b>Current Liabilities</b>			
Trade and other payables	14	308 836	317 083
Lease liabilities	3	62 592	54 293
Interest-bearing borrowings	13	3 201	2 954
Deferred government grants	11	205 653	227 867
Employee benefits	12	95 879	94 581
		<b>676 161</b>	<b>696 778</b>
<b>Total Liabilities</b>		<b>2 387 323</b>	<b>2 479 306</b>
<b>Total Funds and Liabilities</b>		<b>4 910 754</b>	<b>4 703 221</b>

## University of Zululand

Consolidated Annual Financial Statements for the year ended 31 December 2021

### Consolidated Statement of Comprehensive Income

Educational and General								
	Council- Controlled	Specifically funded Restricted	Sub-total	Student Residence Restricted	UNIZULU Foundation	2021 Total	2020 Total	
Note(s)	R '000	R '000	R '000	R '000	R '000	R '000	R '000	
<b>TOTAL INCOME</b>								
State appropriations - subsidies and grants	1 161 901	151 569	1 313 470	97 213	10 473	1 421 156	1 275 294	
Tuition and other fee income	577 581	133 822	711 403	-	-	711 403	689 024	
Private gifts, grants and donations	474 727	-	474 727	92 798	-	567 525	438 739	
Other income	897	17 572	18 469	-	6 606	25 075	25 336	
Sale of goods and services	35 276	91	35 367	2 624	-	37 991	38 585	
Investment income	15 294	44	15 338	1 791	24	17 153	19 037	
17	58 126	40	58 166	-	3 843	62 009	64 573	
<b>TOTAL EXPENDITURE</b>								
Personnel costs	(955 215)	(134 125)	(1 089 340)	(133 630)	(8 411)	(1 231 381)	(1 117 210)	
Other operating expenses	(588 281)	(28 506)	(616 787)	(21 908)	-	(638 695)	(635 079)	
Impairment losses on financial assets	(248 103)	(97 557)	(345 660)	(44 489)	(7 454)	(397 603)	(358 405)	
Minor capital items expensed	(65 235)	-	(65 235)	-	(914)	(66 149)	(2 238)	
Depreciation and amortisation	(3 445)	(7 568)	(11 013)	-	5	(11 008)	(16 573)	
Finance costs	(47 262)	(494)	(47 756)	(61 005)	(48)	(108 809)	(94 616)	
18	(2 889)	-	(2 889)	(6 228)	-	(9 117)	(10 299)	
<b>Net surplus/ (deficit) for the year</b>								
	206 686	17 444	224 130	(36 417)	2 062	189 775	158 084	
<b>OTHER COMPREHENSIVE INCOME</b>								
<b>Items that will not be re-classified to profit and loss</b>								
Remeasurements on net defined benefit liability/asset	33 081	-	33 081	-	-	33 081	53 600	
Revaluation of land & buildings	-	-	-	-	-	-	29 357	
Net change in fair value of investments	64 242	-	64 242	-	12 418	76 660	10 327	
<b>Total items that will not be reclassified to profit or loss</b>								
	97 323	-	97 323	-	12 418	109 741	93 284	
<b>Other comprehensive income for the year</b>								
	97 323	-	97 323	-	12 418	109 741	93 284	
<b>Total comprehensive income/(loss)</b>								
	304 009	17 444	321 453	(36 417)	14 480	299 516	251 368	



## University of Zululand

Consolidated Annual Financial Statements for the year ended 31 December 2021

### Consolidated Statement of Changes in Funds

	Property, Plant and Equipment (PPE) fund R '000	Revaluation reserve Non- distributable R '000	Financial asset reserve R '000	DHET, Research and Trust funds R '000	Designated institutional fund R '000	Student Residence funds R '000	Accumulated Council Controlled funds R '000	UNIZULU Foundation funds R '000	Total funds R '000
<b>Balance at 01 January 2020</b>	573 937	389 826	124 020	35 424	186 317	(31 410)	624 334	70 099	1 972 547
Surplus/ (deficit) for the year	-	-	-	12 760	-	(29 941)	173 026	2 239	158 084
Other comprehensive income	-	29 357	5 645	-	-	-	53 600	4 682	93 284
<b>Total comprehensive income for the year</b>	-	29 357	5 645	12 760	-	(29 941)	226 626	6 921	251 368
Transfer between reserves	(46 939)	(26 641)	-	367	10 226	14	62 973	-	-
<b>Total transfers between Funds</b>	(46 939)	(26 641)	-	367	10 226	14	62 973	-	-
<b>Balance at 01 January 2021</b>	526 998	392 542	129 665	48 551	196 543	(61 337)	913 933	77 020	2 223 915
Surplus/ (deficit) for the year	-	-	-	17 444	12 994	(36 417)	193 692	2 062	189 775
Other comprehensive income	-	-	64 242	-	-	-	33 081	12 418	109 741
<b>Total comprehensive income for the year</b>	-	-	64 242	17 444	12 994	(36 417)	226 773	14 480	299 516
Transfer between reserves	87 667	(25 475)	-	-	(15 511)	-	(46 694)	13	-
<b>Total transfers between Funds</b>	87 667	(25 475)	-	-	(15 511)	-	(46 694)	13	-
<b>Balance at 31 December 2021</b>	614 665	367 067	193 907	65 995	194 026	(97 754)	1 094 012	91 513	2 523 431

# University of Zululand

Consolidated Annual Financial Statements for the year ended 31 December 2021

## Consolidated Statement of Cash Flows

		2021	2020
	Note(s)	R '000	R '000
<b>Cash flows from operating activities</b>			
Cash generated from operations	20	188 573	572 016
Interest received		53 396	50 223
Dividend received		1 509	675
Finance costs		(9 117)	(10 299)
<b>Net cash from operating activities</b>		<b>234 361</b>	<b>612 615</b>
<b>Cash flows from investing activities</b>			
Purchase of property, plant and equipment	2	(138 682)	(126 071)
Sale of property, plant and equipment	2	1 974	-
Purchase of intangible assets	5	(25 146)	(14 981)
Purchase of investments		(23 306)	(18 085)
Sale of investments		2 572	10 614
<b>Net cash from investing activities</b>		<b>(182 760)</b>	<b>(148 523)</b>
<b>Cash flows from financing activities</b>			
Payments of interest bearing borrowing		(2 956)	(2 726)
Finance lease payments		(18 105)	(41 110)
<b>Net cash from financing activities</b>		<b>(21 061)</b>	<b>(43 836)</b>
<b>Total cash movement for the year</b>		<b>30 540</b>	<b>420 256</b>
Total cash and cash equivalents at the beginning of the year		2 381 113	1 960 857
<b>Total cash and cash equivalents at the end of the year</b>	9	<b>2 411 653</b>	<b>2 381 113</b>



## University of Zululand

Consolidated Annual Financial Statements for the year ended 31 December 2021

### Notes to the Consolidated Annual Financial Statements

#### 2. Property, plant and equipment

##### Reconciliation of property, plant and equipment - 2021

	Land	Buildings	Furniture and equipment	Motor vehicles	Data & Computer Equipment	Capital work in progress	Total
	R '000	R '000	R '000	R '000	R '000	R '000	R '000
Cost or revaluation	86 048	1 134 961	116 360	12 099	109 282	89 416	1 548 166
Accumulated depreciation and impairment	-	(61 420)	(56 491)	(3 233)	(44 580)	-	(165 724)
<b>Net book value at 31 December 2021</b>	<b>86 048</b>	<b>1 073 541</b>	<b>59 869</b>	<b>8 866</b>	<b>64 702</b>	<b>89 416</b>	<b>1 382 442</b>
<b>Net book value at beginning of year</b>	<b>86 048</b>	<b>1 072 724</b>	<b>39 871</b>	<b>9 365</b>	<b>49 885</b>	<b>41 839</b>	<b>1 299 732</b>
Additions	-	29 687	26 193	1 991	30 921	49 890	138 682
Disposals	-	-	-	(1 529)	(49)	-	(1 578)
Transfers	-	1 142	1 171	-	-	(2 313)	-
Depreciation	-	(30 012)	(7 366)	(961)	(16 055)	-	(54 394)
	<b>86 048</b>	<b>1 073 541</b>	<b>59 869</b>	<b>8 866</b>	<b>64 702</b>	<b>89 416</b>	<b>1 382 442</b>

## University of Zululand

Consolidated Annual Financial Statements for the year ended 31 December 2021

### Notes to the Consolidated Annual Financial Statements

Figures in Rand thousand

	2021		2020	
<b>2. Property, plant and equipment (continued)</b>				
<b>Reconciliation of property, plant and equipment - 2020</b>				
	<b>Land</b>	<b>Buildings</b>	<b>Furniture and equipment</b>	<b>Motor vehicles</b>
	<b>R '000</b>	<b>R '000</b>	<b>R '000</b>	<b>R '000</b>
Cost or revaluation	86 048	1 104 132	88 996	13 983
Accumulated depreciation and impairment	-	(31 408)	(49 125)	(4 618)
<b>Net book value at 31 December 2020</b>	<b>86 048</b>	<b>1 072 724</b>	<b>39 871</b>	<b>9 365</b>
			<b>41 839</b>	<b>1 299 732</b>
<b>Net book value at beginning of year</b>	<b>71 500</b>	<b>1 040 102</b>	<b>42 433</b>	<b>6 487</b>
Additions	14 548	21 852	4 807	4 010
Disposal	-	-	(217)	(77)
Transfers from capital work in progress	-	17 666	-	-
Revaluations	-	31 632	-	-
Depreciation	-	(28 326)	(7 152)	(1 055)
Impairment loss	-	(10 202)	-	-
	<b>86 048</b>	<b>1 072 724</b>	<b>39 871</b>	<b>9 365</b>
			<b>41 839</b>	<b>1 299 732</b>

#### Changes in estimates

The university reassesses the useful lives and residual values of items of university at the end of each reporting period, in line with the accounting policy and IAS 16 Property, plant and equipment. These assessments are based on historic analysis, benchmarking, and the latest available and reliable information.

The useful lives and residual values of movable assets (Furniture and equipment, Motor vehicles, and Data & Computer Equipment) have been assessed by the university during the year. This assessment was based on current condition of the assets, market conditions, and performance in comparison to initial management's estimates. Based on this assessment, movable assets' residual values were changed accordingly. The impact of this change is reduction of depreciation charge for the current and future years of R0.91 million.

The useful lives and residual values of buildings have been assessed by the university during the year. This assessment was based on current condition of the assets, market conditions, and performance in comparison to initial management's estimates. Based on this assessment, buildings' residual values and useful lives were changed accordingly. The impact of this change is an increase of depreciation charge for the current and future years of R1.05 million.



# University of Zululand

Consolidated Annual Financial Statements for the year ended 31 December 2021

## Notes to the Consolidated Annual Financial Statements

	2021	2020
	R '000	R '000

### 2. Property, plant and equipment (continued)

During the year, the university changed its useful life of Data and computer equipment from 5 years, to 5 -10 years. The change was due to new assets acquired. When assessed by management, it was determined that they will have useful life longer than 5 years. The change did not have an impact on prior assets recognized and thus it was accounted for prospectively.

#### Revaluations

The University's land and buildings are stated at revalued amounts, being the fair value at the date of revaluation, less any subsequent accumulated depreciation and accumulated impairment losses. Revaluations are performed every 5 years and in intervening years if the carrying amount of the land and buildings differs materially from their fair value.

The fair value measurements as of 31 December 2020 were performed by Mills Fitchet, independent valuers not related to the University. Mills Fitchet are members of the Institute of Valuers and they have the appropriate qualifications and recent experience in the fair value measurement of properties in the relevant locations.

The carrying value of the revalued assets under the cost model would have been:

Land	70 628	70 628
Buildings	706 846	685 634
	<b>777 474</b>	<b>756 262</b>

#### Details of properties

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 Minister of Higher Education and Training.

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 comprises 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 2020, the fair values of the land and buildings have been determined by professional valuers, Mills Fitchet, registered with South African Council for the Property Valuers Profession in terms of the Property Valuers Profession Act (Act No. 47 of 2000).

# University of Zululand

Consolidated Annual Financial Statements for the year ended 31 December 2021

## Notes to the Consolidated Annual Financial Statements

	2021	2020
	R '000	R '000

### 2. Property, plant and equipment (continued)

#### Valuation techniques used to determine level 2 and level 3 fair values:

The valuation method used for Kwadlangezwa campus is the Depreciated Replacement Cost approach. All other properties of the University were valued using the Comparable Sales Method and/or the Income Capitalisation Method.

#### Information about fair value measurements using significant unobservable inputs:

Description	Fair value 31 December 2021	Valuation technique	Key unobservable inputs	Relationship of unobservable input to fair value
Kwadlangezwa campus (Level 3)	1 002 036	Depreciated Replacement Cost approach	Building replacement cost, residual value	The higher the building replacement costs, the higher the fair value.
All other properties (Level 2)	157 553	Income approach	Comparable Sales Method	The higher the net income per property, the higher the fair value.
			The Income Method, residual value	The higher the market capitalisation rate, the lower the market value.

#### 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 a increase of 2%, while a negative outlook on the input variables would result in a decrease of 2% which would have the following impact on the carrying values of land and buildings.

	Increase 2021 R'000	Decrease 2021 R'000
Change in value	23 192	23 192



# University of Zululand

Consolidated Annual Financial Statements for the year ended 31 December 2021

## Notes to the Consolidated Annual Financial Statements

	2021	2020
	R '000	R '000

### 3. Leases (University as lessee)

The University leases several assets, including buildings and vehicles. The average lease term is 5 years for vehicles and 3 years for buildings.

Details pertaining to leasing arrangements, where the University is lessee are presented below:

#### Net carrying amounts of right-of-use assets

The carrying amounts of right-of-use assets are as follows:

Buildings	13 851	96 677
Motor vehicles	15 048	19 135
	<b>28 899</b>	<b>115 812</b>

#### Additions to right-of-use assets

Buildings	-	145 016
Motor vehicles	-	20 436
	<b>-</b>	<b>165 452</b>

#### Depreciation recognised on right-of-use assets

Depreciation recognised on each class of right-of-use assets, is presented below.

Buildings	49 835	48 339
Motor vehicles	4 087	1 301
	<b>53 922</b>	<b>49 640</b>

#### Remeasurement of right-of-use asset

Buildings	32 992	-
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#### Other disclosures

Interest expense on lease liabilities	7 667	8 654
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#### Finance lease liabilities

The maturity analysis of lease liabilities is as follows:

Within one year	11 856	54 293
Two to five years	62 592	74 448
	<b>74 448</b>	<b>128 741</b>

Non-current liabilities	11 856	74 448
Current liabilities	62 592	54 293
	<b>74 448</b>	<b>128 741</b>

# University of Zululand

Consolidated Annual Financial Statements for the year ended 31 December 2021

## Notes to the Consolidated Annual Financial Statements

	2021	2020
	R '000	R '000

### 3. Leases (University as lessee) (continued)

#### Exposure to liquidity risk

Refer to note 28 Financial instruments and risk management for the details of liquidity risk exposure and management.

#### COVID-19 related rent concessions

The University has elected to apply the practical expedient made available by the amendment to IFRS 16 in May 2020, to all rent concessions that meet the conditions in paragraph 46B. The University has accordingly elected not to assess whether a rent concession that meets the conditions in paragraph 46B is a lease modification. As a result, all changes in lease payments have been accounted for in the same way as other changes which are not lease modifications.

### 4. Biological assets

#### Reconciliation of biological assets - 2021

	Opening balance	Additions	Disposals	Gains (losses) arising from changes in fair value	Total
	R'000	R'000	R'000	R'000	R'000
Biological assets	63	11	(11)	18	81

#### Reconciliation of biological assets - 2020

	Opening balance	Additions	Disposals	Gains (losses) arising from changes in fair value	Total
	R'000	R'000	R'000	R'000	R'000
Biological assets	41	11	(14)	25	63

#### Non – Financial information

##### Quantities of each biological asset

	2021	2020
Sheep	50	58
Dairy cattle	2	1
	<b>52</b>	<b>59</b>

#### Net biological assets

Non-current assets	81	63
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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.



# University of Zululand

Consolidated Annual Financial Statements for the year ended 31 December 2021

## Notes to the Consolidated Annual Financial Statements

### 5. Intangible assets

#### Reconciliation of intangible assets - 2021

	Opening balance	Additions	Amortisation	Total
	R'000	R'000	R'000	R'000
Patents	35	43	-	78
Computer software	30 672	25 103	(494)	55 281
	<b>30 707</b>	<b>25 146</b>	<b>(494)</b>	<b>55 359</b>

#### Reconciliation of intangible assets - 2020

	Opening balance	Additions	Amortisation	Impairment loss	Total
	R'000	R'000	R'000		R'000
Patents	329	21	-	(315)	35
Computer software	16 130	14 960	(418)	-	30 672
	<b>16 459</b>	<b>14 981</b>	<b>(418)</b>	<b>(315)</b>	<b>30 707</b>

# University of Zululand

Consolidated Annual Financial Statements for the year ended 31 December 2021

## Notes to the Consolidated Annual Financial Statements

	2021	2020
	R '000	R '000
<b>6. Financial assets at fair value through other comprehensive income</b>		
<b>Financial assets at fair value through other comprehensive income</b>		
Listed equities	291 894	236 444
Money market	23 416	34 707
International investments	193 889	150 019
	<b>509 199</b>	<b>421 170</b>
<b>Government bonds</b>		
Fixed income investments	158 692	155 736
<b>Financial assets at fair value through other comprehensive income reconciliation</b>		
Opening balance	576 906	559 531
Additions	23 306	18 085
Disposals	(8 981)	(11 037)
Fair value adjustment	76 660	10 327
	<b>667 891</b>	<b>576 906</b>
<b>Analysed as:</b>		
Current portion of financial assets at fair value through other comprehensive income	23 416	34 705
Non-current financial assets at fair value through other comprehensive income	644 475	542 201
	<b>667 891</b>	<b>576 906</b>

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 R35 million (2020 - R29 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 (2020 - R25 million) (refer note 13).

## 7. Inventories

Laptops	69 383	83 145
Stationery, technical stores and consumables	9 455	6 372
	<b>78 838</b>	<b>89 517</b>
Inventories (write-downs)	(1 489)	(794)
	<b>77 349</b>	<b>88 723</b>

Laptops for sale to students were added to inventory as part of the University's multimodal teaching and learning strategy in response to Covid-19. As at year end, 9 999 (2020: 10 003) laptops included in the inventory balance costing R59,5 million (2020: R59,5 million) were held in warehouse owned by third party.

### Amounts recognised in profit or loss

Inventories recognised as an expense during the year amounted to R19 million (2020: R12,3 million). These were included in other operating expenses.



# University of Zululand

Consolidated Annual Financial Statements for the year ended 31 December 2021

## Notes to the Consolidated Annual Financial Statements

	2021	2020
	R '000	R '000
<b>8. Student and other receivables</b>		
Student receivables	234 157	180 939
Less: Allowance for expected credit losses for student receivables	(135 684)	(88 735)
Net Student receivables	98 473	92 204
NSFAS and other bursaries receivable	152	152
Prepaid expenses	10 570	12 241
Other receivables	36 211	37 924
Less: Allowance expected credit losses for other receivables	(32)	(323)
	<b>145 374</b>	<b>142 198</b>

Student fee debt is non-interest bearing, 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 past payments patterns from NSFAS. These past patterns are then used to project future cash flows to determine allowance for expected credit losses. The carrying amounts approximate the fair value.

The ageing of student receivables is as follows:

Students enrolled in current year	118 584	111 245
Students enrolled for prior years	115 573	69 694
Less: Allowance for expected credit losses	(135 684)	(88 735)
	<b>98 473</b>	<b>92 204</b>

Movement in the allowance for impairment of student receivables were as follows:

Balance at 1 January	88 735	97 377
Provision for student and other receivables	65 234	2 238
Receivables written off during the year	(18 285)	(10 880)
<b>Balance at 31 December</b>	<b>135 684</b>	<b>88 735</b>

Included in other receivables are interest receivable from investments and sundry debtors.

Balance in the expected credit losses for other receivables were as follows:

Balance at 1 January	323	450
Expected credit losses for other receivables	-	144
Receivables written off during the year	(291)	(271)
<b>Balance at 31 December</b>	<b>32</b>	<b>323</b>

## 9. Cash and cash equivalents

Cash and cash equivalents consist of:

Petty Cash	103	81
Bank balances	158 151	44 590
Short-term deposits	2 253 399	2 336 442
	<b>2 411 653</b>	<b>2 381 113</b>

The University has a credit and fleet card facility of R31.81 million (2020: R31.81 million) and other facilities of R1.03 million (2020: 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 2021 was 7.25% per annum (2020: 7.%).

Interest is earned on call accounts and short-term notice deposits at current market rates. These short-term deposits are on average, invested over a period of 3 months. The weighted average interest rate for 2021 was 4.44% (2020: 7.5%).

The cash at bank and short term bank deposits are held in institutions with a national long-term rating of AA-rating (Fitch Rating).

# University of Zululand

Consolidated Annual Financial Statements for the year ended 31 December 2021

## Notes to the Consolidated Annual Financial Statements

	2021	2020
	R '000	R '000
<b>10. Post-retirement obligations</b>		
These post-retirement benefit obligations expose the University to actuarial risks, such as longevity risk, currency risk, interest rate risk and market (investment) risk.		
The assets of the University of Zululand Pension Fund and University of Zululand Provident Fund are held independently of the University of Zululand's assets in a separate trustee-administered fund. Members of the fund are nominated as trustees to the Board of Trustees that governs the fund.		
<b>Defined benefit plans</b>		
Pension fund	136 255	67 130
Provident fund	5 451	837
Medical aid	(111 222)	(111 738)
	<b>30 484</b>	<b>(43 771)</b>
<b>Pension Fund</b>		
The University's obligation towards the post-retirement pension fund benefits was actuarially calculated as at 31 December 2021 by Simeka Consult and is disclosed in accordance with International Accounting Standard 19: Employee Benefits, as follows:		
<b>Consolidated statement of financial position</b>		
Present value of funded obligations	(1 165 738)	(964 278)
Fair value of plan assets	1 584 470	1 275 578
Asset Ceiling	(282 477)	(244 170)
	<b>136 255</b>	<b>67 130</b>
<b>Amount recognised in the net surplus</b>		
Service cost	(98 886)	(104 439)
Net Interest	37 854	15 998
	<b>(61 032)</b>	<b>(88 441)</b>
<b>Amount recognised in other comprehensive income</b>		
Actuarial gains/(losses) on Plan Asset	141 792	(54 795)
Actuarial gains/(losses) on Plan Obligation	(77 964)	188 801
Asset Ceiling	(38 307)	(84 349)
	<b>25 521</b>	<b>49 657</b>
<b>Reconciliation of movement in the obligation recognised in the consolidated statement of financial position</b>		
Opening Balance	964 280	1 034 666
Interest Cost	117 509	104 279
Current Service Cost	98 886	104 439
Benefits Paid	(92 900)	(90 304)
Re-measurement recognised in other comprehensive income	77 963	(188 800)
	<b>1 165 738</b>	<b>964 280</b>
<b>Reconciliation of movement in the asset recognised in the consolidated statement of financial position</b>		
Opening Balance	1 275 578	1 194 486
Expected Return	155 364	120 277
Contributions	104 636	105 914
Benefits Paid	(92 900)	(90 304)
Re-Measurements Recognised In Other Comprehensive Income	141 792	(54 795)
Asset Ceiling	(282 477)	(244 170)
	<b>1 301 993</b>	<b>1 031 408</b>



# University of Zululand

Consolidated Annual Financial Statements for the year ended 31 December 2021

## Notes to the Consolidated Annual Financial Statements

	2021	2020
	R '000	R '000

### 10. Post-retirement obligations (continued)

#### Key Valuation Assumptions

Pre-retirement discount rate	11,25 %	12,16 %
Expected return on assets	11,25 %	12,16 %
Salary Increase rate (excluding merit increases)	9,22 %	9,21 %
Pension Increase rate	4,69 %	4,69 %
General inflation rate	7,22 %	7,21 %
Post-retirement discount rate	6,27 %	7,14 %

#### 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 2021	Decrease 2021
Discount rate (1% movement)	(142 619)	179 323
Salary inflation (1% movement)	60 910	(53 278)
Post-retirement mortality (1.8% increase/1.8% decrease)	20 659	(21 245)
	<b>(61 050)</b>	<b>104 800</b>

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 R104,7 million in contributions to the pension fund during 2022 in respect of its in-service members.

The weighted average duration of the pension fund obligation is 12 years (2020 – 12.5 years).

# University of Zululand

Consolidated Annual Financial Statements for the year ended 31 December 2021

## Notes to the Consolidated Annual Financial Statements

	2021	2020
	R '000	R '000
<b>10. Post-retirement obligations (continued)</b>		
<b>Provident fund</b>		
The University's obligation towards the post-retirement provident fund benefits was actuarially calculated as at 31 December 2021 by Simeka Consult and is disclosed in accordance with International Accounting Standard 19: Employee Benefits, as follows:		
<b>Consolidated statement of financial position</b>		
Present value of funded obligations	(147 021)	(132 169)
Fair value of plan assets	186 131	159 438
Asset Ceiling	(33 659)	(26 432)
	<b>5 451</b>	<b>837</b>
<b>Amount recognised in the net surplus</b>		
Service cost	(8 811)	(10 085)
Net Interest	3 316	1 885
	<b>(5 495)</b>	<b>(8 200)</b>
<b>Amount recognised in other comprehensive income</b>		
Actuarial gains/(losses) on Plan Asset	16 830	(16 752)
Actuarial gains/(losses) on Plan Obligation	(8 433)	25 110
Asset Ceiling	(7 227)	(7 602)
	<b>1 170</b>	<b>756</b>
<b>Reconciliation of movement in the obligation recognised in the consolidated statement of financial position</b>		
Opening Balance	132 171	144 845
Interest Cost	15 628	14 208
Current Service Costs	8 811	10 086
Benefits paid	(18 023)	(13 158)
Re-Measurements Recognised In Other Comprehensive Income	8 433	(23 810)
	<b>147 020</b>	<b>132 171</b>
<b>Reconciliation of movement in the asset recognised in the consolidated statement of financial position</b>		
Opening Balance	159 439	163 675
Expected Return	18 944	16 093
Contributions	8 939	9 582
Benefits Paid	(18 020)	(13 158)
Re-Measurements Recognised In Other Comprehensive Income	16 830	(16 752)
Asset Ceiling	(33 660)	(26 432)
	<b>152 472</b>	<b>133 008</b>
<b>Key Valuation Assumptions</b>		
Pre-retirement discount rate	11,25 %	12,16 %
Expected return on assets	11,25 %	12,16 %
Salary increase rate (excluding merit increases)	9,22 %	9,21 %
Pension increase rate	4,69 %	4,69 %
General inflation rate	7,22 %	7,21 %
Post-retirement discount rate	6,27 %	7,14 %
<b>Sensitivity analysis</b>	<b>Increase 2021</b>	<b>Decrease 2021</b>
Discount rate (1% movement)	(16 714)	20 702
Salary inflation (1% movement)	5 573	(4 934)
Post-retirement mortality (1.6% increase/1.6% decrease)	(2 326)	2 350



# University of Zululand

Consolidated Annual Financial Statements for the year ended 31 December 2021

## Notes to the Consolidated Annual Financial Statements

	2021	2020
	R '000	R '000
<b>10. Post-retirement obligations (continued)</b>		
	<b>(13 467)</b>	<b>18 118</b>

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 R8,2 million in contributions to the provident fund during 2022 in respect of its in-service members.

The weighted average duration of the provident fund obligation is 12 years (2020 – 12.5 years).

### Plan assets comprise:

	Pension fund 2021 R '000	Provident 2021 R '000	Pension fund 2020 R '000	Provident 2020 R '000
Listed equities	386 611	47 650	521 711	62 659
Capital market	670 231	82 456	270 423	26 307
International investments	430 976	48 022	369 918	42 092
Money market	88 730	7 073	65 054	19 611
Property market	7 922	930	48 472	8 769
	<b>1 584 470</b>	<b>186 131</b>	<b>1 275 578</b>	<b>159 438</b>

# University of Zululand

Consolidated Annual Financial Statements for the year ended 31 December 2021

## Notes to the Consolidated Annual Financial Statements

	2021	2020
	R '000	R '000
<b>10. Post-retirement obligations (continued)</b>		
<b>Medical Aid</b>		
The University's obligation towards the post-retirement medical aid obligation was actuarially calculated as at 31 December 2021 by van der Linden Actuaries and is disclosed in accordance with IAS19: Employee Benefits, as follows:		
<b>Consolidated Statement of Financial Position</b>		
Present value of funded obligations	111 222	111 738
<b>Amount recognised in the net surplus</b>		
Service cost	(1 478)	(1 655)
Net Interest	(11 581)	(10 767)
	<b>(13 059)</b>	<b>(12 422)</b>
<b>Amount recognised in other comprehensive income</b>		
Actuarial gains/(losses) on Plan Obligation	6 389	4 488
<b>Reconciliation of movement in the obligation recognised in the consolidated statement of financial position</b>		
Opening Balance	111 738	110 946
Current Service Cost	1 478	1 655
Benefits Paid	(7 186)	(7 142)
Interest Cost	11 581	10 767
Re-measurement recognised in other comprehensive income	(6 389)	(4 488)
	<b>111 222</b>	<b>111 738</b>
<b>Key Valuation Assumptions</b>		
Discount Rate	11,20 %	10,70 %
Medical inflation rate	8,30 %	7,74 %
Net discount rate	2,68 %	2,75 %
Members remaining after retirement	75,00 %	75,00 %
<b>Sensitivity Analysis</b>	<b>1% increase</b>	<b>Valuation basis 1% decrease</b>
Employer's accrued liability	112 335	111 222 (110 110)
Employer's service and interest cost	13 190	13 059 (12 929)

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 post-retirement medical obligation is 13 years (2020 – 10 years).



# University of Zululand

Consolidated Annual Financial Statements for the year ended 31 December 2021

## Notes to the Consolidated Annual Financial Statements

	2021	2020
	R '000	R '000

### 11. Deferred income

Government Grants of R60.8 million (2020: R445 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 basis over the periods in which the entity recognises as expenses the related costs for which the grants are intended to compensate.

Non-current liabilities	1 574 984	1 580 040
Current liabilities	205 653	227 867
	<b>1 780 637</b>	<b>1 807 907</b>

### DHET grant funding

Utilised portion relating to Property, plant and equipment*	331 986	300 000
Utilised portion relating to Inventory	68 635	80 194
Phase 1 Pre-2014 Infrastructure	2 647	1 535
Phase 2 Main infrastructure project	512 217	506 836
Infrastructure and efficiency grant - Maintenance	29 073	35 507
Infrastructure and efficiency grant: 2016/17	71 710	71 844
Infrastructure and efficiency grant: 2017/18	47 616	57 529
Infrastructure and efficiency grant: 2018/19 to 20/21	341 505	334 334
Infrastructure and efficiency grant: 2016/17 Student Housing	96 359	96 359
Infrastructure and efficiency grant: 2017/18 Student Housing	61 671	58 940
Historically disadvantaged institutions - 2016/17	106 310	143 578
	<b>1 669 729</b>	<b>1 686 656</b>

\*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	17 872	12 402
National Research Fund	20 946	19 653
Clinical Training Grant	1 998	764
New Generation of Academics Grant	31 801	33 563
University Capacity Development Program	20 533	4 863
University Staff Development Program Collaboration Project	1 366	2 371
Covid-19 Responsiveness Grant	13 648	44 569
Nurturing Emerging Scholar's Program	2 744	3 066
	<b>110 908</b>	<b>121 251</b>

### Deferred government grants reconciliation

Opening net carrying amount	1 807 907	1 407 903
Grants received during the year	60 843	445 202
Interest earned	63 273	67 827
Grants realised	(151 386)	(113 025)
<b>Closing net carrying amount</b>	<b>1 780 637</b>	<b>1 807 907</b>

# University of Zululand

Consolidated Annual Financial Statements for the year ended 31 December 2021

## Notes to the Consolidated Annual Financial Statements

	2021	2020
	R '000	R '000

### 12. Employee benefits

#### Reconciliation of employee benefits - 2021

	Opening balance	Additions	Utilised during the year	Total
	R'000	R'000	R'000	R'000
Long service awards	2 053	306	(487)	1 872
Leave pay accrual	73 991	13 630	(16 230)	71 391
Bonus accrual	14 429	37 337	(34 207)	17 559
Performance bonus	4 108	12 075	(11 126)	5 057
	<b>94 581</b>	<b>63 348</b>	<b>(62 050)</b>	<b>95 879</b>

#### Reconciliation of employee benefits - 2020

	Opening balance	Additions	Utilised during the year	Reversed during the year	Total
	R'000	R'000	R'000	R'000	R'000
Long service awards	3 361	193	-	(1 501)	2 053
Leave pay accrual	70 063	11 736	(7 808)	-	73 991
Bonus accrual	13 616	33 159	(32 346)	-	14 429
Performance bonus	-	4 108	-	-	4 108
	<b>87 040</b>	<b>49 196</b>	<b>(40 154)</b>	<b>(1 501)</b>	<b>94 581</b>

An accrual is made for the estimated liability for annual leave, bonus, performance 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.

In order to address the matter of a growing institutional leave pay accrual, Council resolved during 2021 to reduce the current maximum of ninety (90) days cumulative leave capping to a new maximum of thirty (30) days. This change only affects employees who were employed by the University before 1 August 2012. The implementation of this decision resulted in a leave encashment of R28,5 million during 2022 financial year.

### 13. Interest-bearing borrowings

#### 13.1. Interest-bearing borrowings

##### Non-current liabilities

Development Bank of South Africa (DBSA) loan	13 099	16 302
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##### Current liabilities

Current portion of DBSA loan	3 201	2 954
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##### Total non-current borrowings

<b>16 300</b>	<b>19 256</b>
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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 initial amounts advanced to the University were R24 million for the student residence and R16 million for the Richards Bay campus development. These loans are to be settled on 30 June 2025 and 30 June 2027 respectively. Fixed effective interest rates vary between 5%-8.40% (2020:5%-11.43%).

The DBSA loan is secured in terms of a cession over a specific investment portfolio with a market value of R35 million (2020 - R29 million). The amount ceded to DBSA as outlined in the cession agreement is R25 million (2020 - R25 million) (refer to note 6).



# University of Zululand

Consolidated Annual Financial Statements for the year ended 31 December 2021

## Notes to the Consolidated Annual Financial Statements

	2021	2020
	R '000	R '000

### 14. Trade and other payables

Creditors and accruals	184 919	175 322
Student deposits	96 859	119 236
Other payables	27 058	22 525
<b>Trade and other payables</b>	<b>308 836</b>	<b>317 083</b>

Trade and other payables approximate fair value.

### 15. Operating surplus (deficit)

Operating profit for the year is stated after charging (crediting) the following, amongst others:

#### Auditor's remuneration - external

Audit fees	4 904	4 994
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#### Auditor's remuneration - internal

<b>1 988</b>	<b>347</b>
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#### Other

Research and development costs	11 147	8 490
Repairs and maintenance	71 678	38 365
Books and periodicals	25 129	19 216
Insurance claims recovered	3 457	558

### 16. Personnel costs

	Academic Professional R'000	Other Personnel R'000		
Salaries and wages	296 789	115 868	412 657	390 494
Education subsidy	3 453	1 169	4 622	5 413
Leave pay expense	5 366	8 264	13 630	11 735
Bonus expense	25 564	11 689	37 254	33 147
Post - retirement cost	122 648	47 884	170 532	194 290
<b>Total personnel costs</b>	<b>453 820</b>	<b>184 874</b>	<b>638 695</b>	<b>635 079</b>

Average number of persons employed during the year:

Full-time	1 042	1 021
Part-time	114	164
	<b>1 156</b>	<b>1 185</b>

# University of Zululand

Consolidated Annual Financial Statements for the year ended 31 December 2021

## Notes to the Consolidated Annual Financial Statements

	2021	2020
	R '000	R '000
<b>17. Investment income and Finance costs</b>		
<b>Dividend income</b>		
<b>Equity instruments at fair value through other comprehensive income:</b>		
Listed investments	12 480	6 782
<b>Total dividend income</b>	<b>12 480</b>	<b>6 782</b>
<b>Interest income</b>		
<b>From investments in financial assets:</b>		
Income from investments	49 104	57 613
Realised gains on sale of investments	425	178
<b>Total interest income</b>	<b>49 529</b>	<b>57 791</b>
<b>Total investment income</b>	<b>62 009</b>	<b>64 573</b>
<b>18. Finance costs</b>		
Finance leases	7 667	8 654
Borrowings	1 449	1 645
Other interest paid	1	-
<b>Total finance costs</b>	<b>9 117</b>	<b>10 299</b>
<b>19. Taxation</b>		
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.		
<b>20. Cash generated from operations</b>		
Net surplus for the year	189 775	158 084
<b>Adjustments for:</b>		
Depreciation and amortisation	108 809	94 616
Impairment of assets	-	4 867
Losses on revaluation of property, plant and equipment	-	3 521
Dividend income	(1 509)	(675)
Interest income	(53 396)	(50 223)
Finance costs	9 117	10 299
Profit on sale of financial assets at fair value through other comprehensive income	(33)	(178)
Loss on sale of shares	-	258
Post retirement cost	(41 174)	(10 919)
Other non-cash costs	3 005	2 300
Movements in employee benefits	1 298	7 541
<b>Changes in working capital:</b>		
(Increase)/decrease Inventories	11 374	(82 084)
(Increase)/decrease in receivables	(3 176)	(3 704)
Increase/(decrease) Trade and other payables	(8 247)	38 309
Increase/(decrease) Deferred government grants	(27 270)	400 004
	<b>188 573</b>	<b>572 016</b>



# University of Zululand

Consolidated Annual Financial Statements for the year ended 31 December 2021

## Notes to the Consolidated Annual Financial Statements

	2021	2020
	R '000	R '000

### 21. 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	45 924	49 078
University contribution to DHET grants	100 320	104 217
	<b>146 244</b>	<b>153 295</b>

Grants funded by the Department of Higher Education and Training (DHET)

Phase 2 Main infrastructure project	512 217	506 836
Infrastructure and efficiency grant: 2011/12	2 647	1 535
Infrastructure and efficiency grant: 2016/17	71 710	71 844
Infrastructure and efficiency grant: 2017/18	47 616	57 529
Infrastructure and efficiency grant: 2018/19 to 20/21	341 505	334 334
Infrastructure and efficiency grant: 2016/17 Student Housing	96 358	96 358
Infrastructure and efficiency grant: 2017/18 Student Housing	61 671	58 940
Historically disadvantaged institutions - 2016/17	106 310	143 578
	<b>1 240 034</b>	<b>1 270 954</b>

#### Operating leases – as lessor (income)

##### Rentals for premises receivable as follows:

- within one year	129	31
- in second to fifth year inclusive	198	134

Certain of the University's property is held to generate rental income. Lease agreements are non-cancellable and have terms from 3 to 5 years. There are no contingent rents receivable.

At the reporting date, the following amounts were approved and contracted for but not recognised in the consolidated annual financial statements as no cost was incurred:

Approved and contracted for	48 082	7 287
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### 22. Contingent liabilities

Contractual damages	89 657	89 387
General damages	6 390	6 390
Labour related	2 490	1 831
	<b>98 537</b>	<b>97 608</b>

Included in the Contingent liabilities is a contractual damages claim from a built environment professional service provider for R89,4 million (2020: R89,4 million). The university is defending this claim and the matter is due to go to trial. The university expects that the case will be in its favour based on legal advice.

# University of Zululand

Consolidated Annual Financial Statements for the year ended 31 December 2021

## Notes to the Consolidated Annual Financial Statements

	2021	2020
	R '000	R '000

### 23. 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.

The University of Zululand Foundation is a wholly owned subsidiary which was created to advance to provide financial assistance to the University. The Foundation was established by a donation made by the University.

#### Relationship

Subsidiaries

University of Zululand Foundation

Members of key management

#### Related party balances

##### Loan accounts - Owing (to) by related parties

University of Zululand Foundation	56 696	41 893
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Inter-company balances between the University of Zululand and University of Zululand Foundation have been eliminated on consolidation.

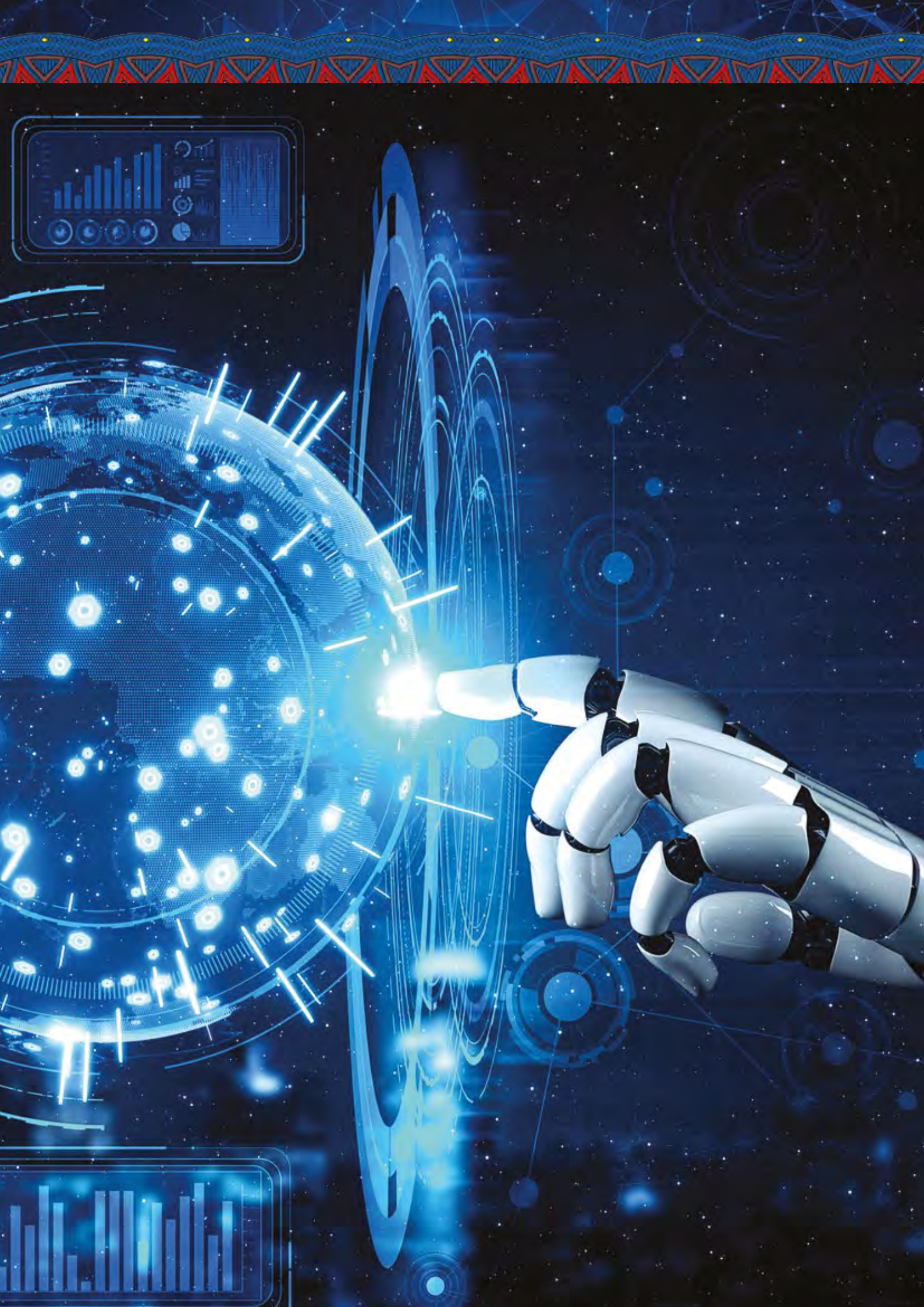
#### Related party transactions

##### Bursaries paid to University of Zululand students

University of Zululand Foundation	(5 338)	(8 572)
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All transactions between the University and University of Zululand Foundation have been conducted at arm's length.









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