

DURBAN UNIVERSITY OF TECHNOLOGY

ANNUAL REPORT

2016



VISION

A preferred University for developing leadership in technology and productive citizenship

MISSION STATEMENT

The University's mission is to excel through:

- A teaching and learning environment that values and supports the University community
- Promoting excellence in learning and teaching, technology transfer and applied research
- External engagement that promotes innovation and entrepreneurship through collaboration and partnership





CONTENTS

Report of the Chair of Council	3
Message of the Vice-Chancellor and Principal on Management and Administration	7
Annual Performance Assessment Report	22
Report of the Senate to Council	29
Council Statement on Sustainability	53
Council Statement on Transformation	55
Report of the Institutional Forum	58
Council Statement on Corporate Governance	61
Council and Committees of Council	67
Statement on Internal Administration/Operational Structural Controls	79
Report on Risk Exposure Assessment and the Management	81
Report of the Chief Financial Officer and the Chairperson of the Finance Committee	83
Acknowledgements	88





REPORT OF THE CHAIR OF COUNCIL

“ The year 2016 was one of the most memorable years for Durban University of Technology. There were a number of major developments on its campuses as outlined below. The University was successful in its main business of teaching and learning, research and innovation and engagement, and demonstrated resilience in the context of a national higher education sector that experienced intense instability. ”

DUT was relatively stable despite the higher education sector events of 2016, in particular, the #FeesMustFall campaigns. There was minimal loss of lecture time and minimal damage to property in comparison to a number of universities across the country that experienced outbreaks of violence resulting in the destruction of property. Council commends the students and Management for the manner in which they negotiated and dealt with unprecedented challenges.

In 2016, DUT recorded an increase in both the number of Masters and Doctoral degrees, graduates and research publication units. On 30 November 2016, the Annual Research and Innovation Awards Programme (ARIAP) event honoured researchers and students who contributed towards building the research and innovation profile of the University.

Communication Channels between Council and the DUT Community

Council regards it crucial to communicate periodically its deliberations and resolutions to the University community. Hence,

at the end of each scheduled Council meeting, the Secretary to Council through the Office of the Registrar distributes Council communiqués as a means of apprising staff and students. In order for Council to familiarise itself with on-going activities on the different campuses, the following presentations were made during the course of the year:

1. Professor A C Bawa, Vice-Chancellor and Principal: DUT's key projects;
2. Dr D Parker, Deputy Director-General: University Education, Department of Higher Education and Training (DHET): Higher Education within the Post School System
3. Professor M Marks (Research Professor and Head: Urban Futures Centre): research of the Urban Futures Centre at DUT;
4. Mr A Khan, Senior Director Corporate Affairs: Corporate Affairs: Marketing and Institutional Development.

DUT Finances

The DUT budget process is underpinned by the principles of a

balanced budget, financial sustainability, supporting infrastructure and ensuring alignment to the Strategic plan of the University. The University produced a balanced budget for the 2016 financial year-end and received an unqualified financial audit by the University's external auditors, Ernst and Young. It is pleasing to note that the University has realised a surplus of Income over Expenditure, and this is attributed to the good financial controls and fiscal discipline by Management. At its 19 March 2016 meeting, however, Council expressed concern that the University's expenditure budget was escalating at a much faster rate than the income. Subsequently, at the November 2017 Council workshop Council and Management put a concerted effort into unpacking and finding solutions to this challenge.

DUT Student Enrolment

The student enrolment target for 2016 was 28 520. Although the University failed to meet its target by a small margin, Council noted an increase in student numbers from the previous year. Headcounts for students for 2015 and 2016 were 27 023 and 28 334 respectively.

The Internationalisation of DUT

Council embraces and encourages the realisation of principles enshrined in the DUT Strategic plan of 2015-2019, namely, the internationalisation of the University. Council welcomed the following activities and achievements related that demonstrated the internationalisation of the University:

1. DUT became the first University in Africa to be accepted into the Collaborative Online Internationalised Learning (COIL) Consortium. This consortium is led by the State University of New York (SUNY) and involves 23 other international partner universities. This ground-breaking initiative will ensure that more DUT students and staff will be able to engage internationally and benefit from joint e-classrooms. This methodology is both inclusive and cost effective and is in keeping with the broader Internationalisation of the Curriculum drive as outlined in our Strategic plan.
2. DUT was chosen as one of six universities as the South African representatives on the BRICS University Network by the South African government.

3. The Dassault System, France and the French Ministry of Education granted DUT a three year fully funded project, which involves access to a technology system that is of industry standard and used by major engineering companies. A French professor will also be seconded to the University as part of the project.
4. Kresge Foundation, one of DUT's international sponsors, visited DUT on 27 June 2016 to examine the progress of a student success project, Siyaphumelela, and the Advancement Office, both of which are funded by the Foundation.
5. DUT is the only University of Technology in South Africa to have a Confucius Institute (CI). In 2016, the CI continued to advance relations, working closely with Chinese Diplomatic missions in South Africa, South African governmental agencies, DUT and the Durban Chinese Community. The CI hosted and co-hosted a series of versatile and colourful cultural functions and collaborative programmes, a total of 29.

Key Council Activities and Staff Accolades

Awards: At the Council Awards Function on 18 March 2016, the Chancellor and Council through the following categories of awards, acknowledged staff on achievements related to advancing University principles espoused in the 2017-2019 Strategic plan.

1. *Engagement:* Mr Leonard Rosenberg for the ROCS Project Initiatives.
2. *Building sustainable student communities of living and learning:* Ms Gillian Cruikshank and Ms Derna Fynn for the Language Lab project, on behalf of the Faculty of Health Sciences.
3. *Building research and innovation for development:* Dr Ian Lazarus for the Saphumula School Project.
4. *Greening the University:* Dr Ian Lazarus and Dr Ramkishore Singh for the DUT GreenRide project.

Council approved the awarding of an Honorary Doctorate in the Faculty of Management Sciences to Mrs G T Serobe.

Visits: It has become a tradition that Council members tour the different campuses in order to familiarise themselves with the facilities and programmes offered on the campuses. Council members undertook a tour of student residences of the Durban and Midlands Campuses on 2 September 2016.

Council Workshop: A Council Workshop was held on Friday, 18 November 2016 and was attended by Council members and DUT's senior management team. The workshop covered areas such as DUT's strategic plan and critical foundational matters, risks and opportunities pertaining to the five-year financial plan, the human resources plan and the enrolment plan/curriculum renewal, the confluence of planning, risk management and quality assurance, top ten 2017 risks, research and innovation and broader engagement. Significant discussion took place on these topics and Council provided advice and engaged positively with DUT's Management in advancing the strategic plan and DUT's vision going forward.

Changes in Council Membership

Council bid farewell to Dr J Reddy whose Council Chair tenure expired at the end of the third Council meeting, 03 September 2016, and Judge CN Patel who tendered his resignation. Council welcomed newly elected members: Chair of Council, Mr NZW Madinane; Vice-Chair of Council, Ms D Hlatshwayo; SRC President, Ms Z Mncube; and Support and Service Staff member, Ms R Pankhurst.

Changes in Executive Management

At a Council dinner on 18 March 2016, Council bid farewell to Professor AC Bawa, Vice-Chancellor and Principal. At its 19 March

2016 meeting, Council made the following interim appointments: Dr J Volmink as Interim Vice-Chancellor; Professor T Andrew as the Acting Deputy Vice-Chancellor: Operations and Professor S Moyo as the Acting Deputy Vice-Chancellor: Engagement.

Council appointed Professor TZ Mthembu as the Vice-Chancellor and Principal of the Durban University with effect from 1 October 2016 – 30 September 2021. At its 19 November 2016 meeting, Council approved a long-term executive management structure, with immediate effect, which was in turn, communicated to DUT stakeholders on 23 November 2016.

Concluding Remarks

Considering the internal and external pressures experienced in a volatile and turbulent year, Durban University of Technology has remained focussed on its core activities of teaching and learning, research and societal engagement. Council wishes to commend the leadership, management, administration, academic staff and students for the considerable achievements that have been delineated above. Council has undertaken its fiduciary responsibilities in a constructive manner in overseeing the core activities of the institution while providing the space for the leadership and management to carry out the vision, mission and strategic plan of the University. Council is confident that the University remains on a sound developmental trajectory and will continue to provide the country with high-level skilled and educated personnel for its transformative mission.



Mr NZW Madinane
Chairperson of Council





MESSAGE OF THE VICE-CHANCELLOR AND PRINCIPAL ON MANAGEMENT AND ADMINISTRATION

“ The University saw a change of leadership in 2016 at both governance and executive levels. Professor AC Bawa, Vice-Chancellor and Principal since 2010, tendered his resignation at the beginning of the year and left the University for his new position as CEO at Universities South Africa at the end of April 2016. Professor TZ Mthembu, the new incumbent, began his term of office as Vice-Chancellor and Principal of the University on 1 October 2016. ”

At the governance level, long-standing Chair of Council, Dr Jayaram Reddy, concluded his final term of office and Mr NZW Madinane, previous Vice-Chair, was elected as Dr Reddy's successor. Ms D Hlatshwayo was elected as Vice-Chair.

This 2016 report on management and administration at DUT thus spans a year in which three different individuals performed the role of chief accounting officer of the University.

Overview

Student unrest

Like many other higher education institutions in the country, DUT was also affected by student unrest. While the #FeesMustFall national unrest has raised valid concerns over decolonisation of

the curriculum, funding and access to higher education and the challenges of outsourcing, student politics continue to reflect patterns of national political turmoil resulting in tensions and power struggles amongst student political formations. While DUT, having experienced student unrest for many years prior to the #FeesMustFall protests, has had a significantly less turbulent time than many other universities, this still resulted in the academic programme being interrupted a number of times. Much credit must also go to the Student Leadership who worked well with the Management to find appropriate solutions to difficult problems that arose in a number of areas including student funding.

Fees

The year 2016 was the first time that public universities in South

Africa had no tuition and residence fee increases. This in turn led to severe income and budget shortfalls. While the Department of Higher Education and Training (DHET) bridged the funding gap experienced by universities at varying levels because of the no fee increase, DUT, although receiving a substantial amount to fund part of the deficit, still had to operate on a stressed budget, carrying part of the shortfall for the year. In effect, the decision not to increase fees resulted in a significant number of students being tardy in paying their fees. In order to continue to operate and provide services at levels of quality comparable to 2016 or even better, the University requires additional income. In this respect, the Minister of Higher Education and Training announced in September 2016 that government would cover such additional income to the tune of up to 8% from the 2015 tuition fee base. Council thus resolved to have the additional income pegged at the maximum 8% allowable by the Department.

Fees Commission

The University made a submission to the Fees Commission on Higher Education and was invited to make an oral presentation at the public hearings in Durban on 30 August 2016.

Insourcing/outsourcing of cleaning and security services

The #FeesMustFall campaign and other protest action at the end of 2015 created an expectation of both falling student fees and the reintegration of previously outsourced operational activity ("insourcing"). For DUT this entails two major outsourced activities viz. cleaning services and security services and, additionally, garden services at the Midlands Centre that falls under the Cleaning Contract. A Management Task Team was constituted by the Vice-Chancellor in 2015 and undertook much of its investigations during the course of 2016. A number of reports on the insourcing of cleaning and security services were presented to the Finance Committee of Council at its meetings of May, August and October 2016. Discussions were held with unions, the SRC and other internal stakeholders. The initial report contained four options and through discussions in the Finance Committee of Council, this report has undergone various iterations. The current consideration before Council points to, that over and above the current amount spent on the outsourcing

of both security and cleaning services which is R54 million, there needs to be an additional amount of R20 million that ought to be found to insource all the current staff. This matter remains work-in-progress through the Finance sub-committee of Council and will be finalised in early 2017 by Council.

Strategic direction

The University has almost reached the mid-term of its 5-year strategic plan; it is thus appropriate to reflect on its applicability and relevance for the remaining period (until end 2019). As part of the broader planning and resourcing considerations, there have been discussions pertaining to the confluences of planning, budgeting, risk management and quality assurance. This will arrive at an integrated planning, budgeting, risk and quality framework, to be submitted to Council at its first meeting in 2017.

Staffing

Senior appointments

In addition to the appointment of an Interim Vice-Chancellor and Principal, acting appointments were made to two vacant Deputy Vice-Chancellors' positions, viz. Professor Theo Andrew to the post of DVC: Operations (later renamed People and Operations) Professor Sibusiso Moyo as DVC: Engagement (later renamed Research, Innovation and Engagement). Council re-affirmed the acting appointments of these individuals until the search processes, begun in late 2016, culminate in confirmed appointments and commencement of duties. Council approved a long-term executive management structure, with immediate effect from November 2016. This also included some consolidation of student services and affairs as part of our student centeredness strand. The Student Services Division was moved to the Registrar's division, as well as some changes in reporting lines. This was designed, as per a Council communique, to:

- ▶ align the executive structure with the core elements of the strategic plan (for example, how the DNA strands are reflected in the executive structure);
- ▶ consolidate a number of closely inter-related functions so that there will be better and systematic coordination, quicker decision making and better services to our students and staff;



- usher in a multi-faceted systems approach to our work that involves matrix management and dual reporting;
- provide space for transversal University functions in executive management engagements and decision making;
- instil discipline, responsibility and accountability in and among the functional lines.

Equity

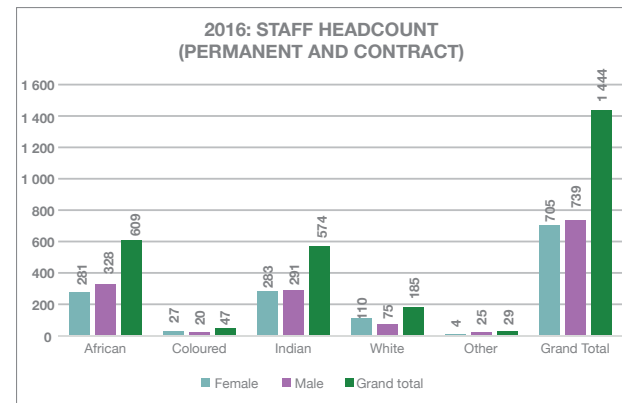
From the Employment Equity Analysis process conducted in terms of SI9 of the EEA during 2016, DUT identified a number of employment barriers faced by designated groups (Africans, Indians and Coloureds). Amongst these perceived barriers were:

- The promotion of women/female employees into senior management positions is rather slow;
- Promotion of Africans into senior management positions is also slow;
- The number of people with disabilities seeking promotion is limited;
- To date, DUT has not focused on promoting representation of people with disabilities and hence had limited focus on reasonable accommodation for people with disabilities. The physical working environment also creates a barrier. DUT has not sufficiently focused on the specific needs of current People with Disabilities nor has it considered adequately what potential changes are required to ensure reasonable accommodation of People with Disabilities.

The Human Resources Department together with other entities such as the Employment Equity Forum are working to address these barriers.

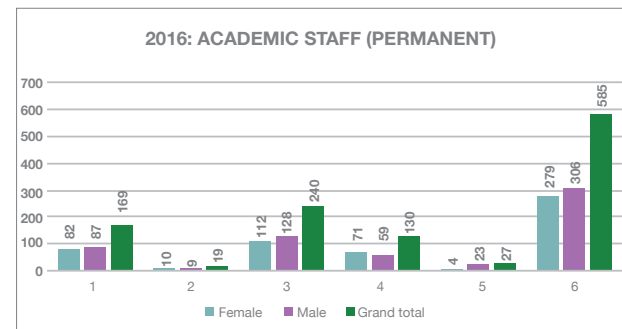
Size and Shape of the Workforce

Figure 1: Staff headcount – gender and race



The academic sector, in particular, still requires considerable transformation of attracting African and Coloured staff to join the academy:

Figure 2: Permanent academic staff – gender and race







Some areas of the University are severely under-resourced; there has been minimal incremental increase in staff numbers, resulting in staff to student ratios falling outside of acceptable norms and resulting in heavy staff workloads. This is particularly challenging given the University's attempt to manage its salary basket to more acceptable levels as well as balancing resource requirements in a multi campus environment.

Leadership development

A successful HE Leadership Conference hosted by DUT was held at the Durban ICC in August 2016. A number of prominent speakers shared some of their experiences, insights and knowledge on the complexities of Leadership in the 21st Century. The speakers included the Public Protector; Advocate Thuli Madonsela; Professor Ahmed Bawa, Professor Pumla-Gobodo Madikizela; Professor Monique Marks; Ms Ela Gandhi; Professor Thenjiwe Meyiwa; Professor Brian Figaji; Professor Sibusiso Moyo and Professor Loyiso Nongxa.

Student Services

Student Services and Development enhances the quality of student life at the University and plays a critical role in ensuring a vibrant and holistic student experience that is structured on the principles of Student-centeredness and Engagement. The various departments in the Student Services Division, operating in the Durban and Midlands campuses, enhance the quality of student life at the University and play a critical role in ensuring a positive student experience. Student Services comprises of Student Counselling, Student Health, Student Housing, Student Life, Student Governance and Development, Sports and Financial Aid.

The division has engaged in a series of rigorous processes including panel reviews, Student Services Indabas, the Quality Enhancement Project, the introduction of DUT Graduate Attributes and the DUT Strategic plan to develop and align the divisional strategic plan. It further seeks to intentionally engage with the Pathways Methodology to promote high impact practices into the educational experiences of students. Student Services is currently a partner in several strategic interdepartmental collaborations with Faculty namely the First Year Student Experience, the

Siyaphumelela Student Success Project, the Durban Leadership Initiative (DLI), Student Leadership Development Project, the Co-Curriculum Project and the General Education Programme. These collaborations are premised on the tenets of integrated service delivery, interdepartmental collaboration and the consideration that learning happens outside the classroom as well – the second curriculum as a site of learning. The DLI Student Leadership initiative seeks to develop and capacitate students who are currently in leadership positions and who aspire towards serving in leadership positions by immersing them in a model of ethical leadership development based on service learning, community engagement and mentorship. The focus is on developing a group ethos of mutual support in the development of young leaders. DLI has successfully secured the services of a Fulbright Scholar to strengthen the theoretical and research components of the programme and to consider the concept of an academy. Across the various departments, there has been an increased participation in research initiatives, leading to a number of conference presentations and journal publications.

In meeting the University's and the division's strategic objectives the various departments offer the following core activities: Psychotherapy, Career Counselling and Assessments, Psycho Educational Training and Development and Campaigns, Primary Health Assessments, Health Education Programmes and Fairs, Management of Emergencies and Referrals, HIV and Aids Testing and Counselling and ARV Down Referral Programs, HIV/AIDS Peer Educator Programmes, Competitive and Recreational Sport Programmes, Co-Curricular Programmes, General Orientation Programmes, SRC Elections, a variety of Leadership Development Programmes Community Outreach. Both the Durban and the Midlands campuses are accredited counselling internships sites approved by the HPCSA.

Our students continue to excel in the various sporting codes offered at the University, with a number performing at provincial and national level, particularly in karate and football. Our rugby team was promoted from the C to the B section for 2017. We secured an ABSA league women football team that is currently playing in the eThekweni Regional League.

Financial Aid and Scholarships in 2016 administered funding to the amount of R432 702 385 to a total of 10 762 students. With the new NSFAS system being implemented, the Financial Aid Department has been restructured. Some staff has been redeployed to Finance who will be responsible for administering NSFAS funding.

IT Infrastructure and Applications

DUT agreed to be the beta test site for the latest release of the ITS software suite, Integrator/4, in exchange for dedicated support and waiver of the usual upgrade costs. The upgrade to Integrator/4 is a significant technology step up, forms part of our technology strategy to move away from deprecated/end-of-life components of the system, and makes the system more compatible with the fully virtualised data centre infrastructure that the University deployed in 2015. Additionally, the new version moves toward being fully web-based, which will reduce end-user support issues, associated with the existing Oracle Forms plugin components.

The year also saw increased usage in cloud-based services. The Information Technology Support Services (ITSS) department has increasingly been using the Microsoft Azure cloud for test/development deployments. Additionally, DUT staff now has access to the full suite of MS Office 365 online applications and collaboration tools such as Skype4Business. As a further benefit, our students are now able to download and install the full MS Office suite to their own laptops, desktops and mobile devices under the Office 365 pro plus licensing model.

Networking

DHET ICT infrastructure funding was used to extend the wireless network (Wi-Fi) access in the DUT-owned residences in both Durban and the Midlands. The network was operational in three of the Durban residences by the end of 2016 and all residences should be complete by end of March 2017. This represents a 60% increase in the wireless network footprint at DUT. The

convenience of the residence Wi-Fi service will add to demand for Internet bandwidth at the University. Fortunately, TENET has been reducing the charges for bandwidth as the capital costs of our collective investment in the dedicated TENET circuit on the SEACOM cable have been repaid. This allowed us to increase our International internet capacity by 25% to 500Mbps/sec while keeping our monthly costs unchanged.

Network vulnerability audit issues continue to be a major concern. A database was created to import the results from the regular in-house network scans that ITSS started running in late 2015 and web applications for tracking remediation progress were developed to improve our reporting and overall network security posture. This allows ITSS to prioritise remediation efforts more effectively and to track the progress of remediation work and any regressions on our network vulnerability assessments.

E-Learning Integration and Support

Enrolment of students in classrooms on DUT's ThinkLearnZone (TLZ) e-Learning system was automated for the January 2016 registration. Students that were registered on the ITS system were automatically registered in their corresponding e-Learning classrooms by the next day. Improvements were made for the second semester registration that allowed incremental, rather than large-batch enrolment on the e-Learning system, thus enabling hourly updates to the online classroom enrolments. The implementation of this system was the subject of a presentation that two DUT staff gave at the #BbWorld16 conference in Las Vegas in July.

One goal of automated enrolment on the e-Learning system is to make the system more of a "system of record". Additional work was undertaken to make the automatic enrolment system more manageable by the e-Learning unit without having to depend excessively on the ITSS developer.

There is an ongoing concern about the licensing costs of the learning management system software that is used for DUT's



e-Learning platform. In consequence, there is a project to identify and evaluate alternative open-source or low-cost e-Learning systems such as Moodle, Canvas, Sakai or OpenEdX to understand the feasibility and migration effort involved with each of these. This project is making use of our Azure cloud infrastructure that allows us to deploy pre-installed instances of each of these platforms into the cloud for testing and evaluation.

Data Management and Quality

The institutional data owners working group that was formed in late 2015 has been reconstituted as a smaller Data Working Group as part of the Siyaphumelela project's Student Success Task Team. The Working Group has created a draft data catalogue of institutional data sources and has embarked on a project to identify and implement a full-stack data warehousing and business intelligence solution. The goals are to integrate our various sources of data, to facilitate the sharing of data and also to provide self-service query/reporting/dashboard facilities for the analysis of our data. The working group has also identified the needs for a data classification policy and data governance in the end solution.

Data quality

In terms of the statutory reporting requirements, the Valpac software is utilised to provide information to the Department of Higher Education and Training (DHET), for national higher education planning and determining the institution's subsidy.

Data from Valpac and the ITS Oracle database (which is the primary administrative information system for the University's financial, human resource, spatial and student information) is extracted and manipulated to generate information reports according to requested formats from the Management Information (MI) department's stakeholders.

The MI department monitors its activities through a range of processes, for example, generating various validations on the data in the ITS and Valpac databases, in order to maintain good data quality. Regular meetings are held with owners of data to ensure

data integrity. Two intrinsic factors contribute to the quality of student data. First, the Central Applications Office (CAO) captures student applications and biographical data; the CAO processes have resulted in high quality of student biographical data, which are imported programmatically into the DUT ITS database. Secondly, even though students now capture their own subject registrations through self-service web registration, the rigid nature of most DUT structured programmes makes it difficult to register for incorrect subjects.

Facilities and the Plant

Given the number of campuses spread over Durban and the Midlands, maintenance of the plant remains challenging, largely due to limited resources and an onerous salary bill that gobbles about 70% of our income. However, inroads are now being made through DHET infrastructure funding and additional funds being set aside by the institution to begin progress towards addressing our maintenance backlogs. Henceforth, the University will have to allocate resources carefully so that capex (infrastructure, maintenance, etc.) is not under-allocated. At the Indumiso campus new infrastructure of a large 500 seater lecture theatre and smaller sized venues, including a computer laboratory for nursing, a bank of toilets and a concourse was completed and handed over by the contractors. At the Durban campuses, after many delays the student residence project was completed and handed over. This residence comprises two blocks with 800 beds.

Various deferred maintenance work commenced in several areas with the most notable being the painting of the external facade of the ML Sultan Campus and a project to replace aging lifts over the next three years with three completed at the ML Sultan campus.

Changing Patterns in the Provision of Academic Courses

The Minister of Higher Education and Training has promulgated the final date of 31 December 2019 for the registration of new students on existing qualifications that are not aligned with the Higher Education Qualifications Sub-Framework (HEQSF). As of

2020, new students may only be registered on HEQSF-aligned qualifications. This has implications for the University with regard to a range of issues, such as marketing of new qualifications and the phase-out date for existing qualifications, articulation, implementing of new programmes in 2020 (compliance with all necessary regulatory requirements), etc. We are confident that the HEQSF alignment process is on track to meet the 2020 deadline, with the necessary CHE accreditation and DHET approval for subsidy.

In 2015, we reported that two significant projects relating to the provision of academic programmes were underway, namely the transformational project of curriculum renewal and the expansion of e-Learning via the University's Learning Management System.

The first, curriculum renewal, sees all new HEQSF aligned programmes containing a 30% General Education component, including a compulsory first year module known as Cornerstone. The General Education modules are designed to contribute to the DUT Graduate Attributes. The Graduate Attributes, in turn, are designed to help students think critically, develop values, understand traditions, respect diverse cultures and opinions, and most importantly, put the knowledge they engage with to use in a holistic and integrative manner. Students thus develop such attributes as the capacity to cope with daily challenges, master the self and understand their role in the broader context through social interaction. General Education, while grounded in the daily life of a person, aims to: (1) build a student-centred educational experience embedded in the local context; (2) to prepare students for an increasingly diverse and complex globalised work environment; and, (3) to cultivate an engaged and critical citizenry in the context of an emerging and fragile democracy in an ever changing world order.

The second, e-Learning. The institutional approach to e-Learning aims to embed blended online technology as a core teaching and learning practice at the University. The e-Learning project increased the number of online classrooms while simultaneously providing teachers with professional academic development to

make the best use of the affordances of the medium. A Policy for e-Learning was approved in 2016; as of 2017, online classrooms are to contain (at the minimum): Study Guide, Discussion Forum, Online quizzes. There is to be at least one Open Educational Resource (OER) per online classroom. OERs may be obtained from external sites or locally (DUT) designed and produced. The Senate Report to Council and the section above on e-Learning integration, reports further on the endeavours in this project, specifically to increasing the adoption figures of e-Learning in programmes, the development and Senate approval of an institutional E-Learning Policy and finally, the automatic enrolment of all students into online classrooms at the time of registration. A Collaborative Online International Learning (COIL) Project colloquium was held at DUT to consider the University's participation in this project. COIL is led by the State University of New York (SUNY) with the aim of opening up the world to students who lack the funds to travel or study abroad by allowing them to work collaboratively online. The ball was set rolling by linking Chinese students from the Fujian Agriculture and Forestry University (FAFU), with whom the University has an MOU. DUT is the first institution in Africa to formally participate in COIL.

Entrepreneurship Education and Development

DUT is a partner with the Dr Richard Maponya Institute for Entrepreneurship. As part of the agreement, DUT hosted an Entrepreneurship workshop, which concluded with the inaugural Dr Richard Maponya Lecture on Entrepreneurship. Professor Thandwa Mthembu, Vice-Chancellor of Central University of Technology at the time, delivered this. The University has identified the development of entrepreneurship amongst its students as a strategic priority that will be developed further, going forward.

The Enactus network, focused on preparing students for building leadership for business is active at the University. Students volunteer to participate in community projects and are partnered with business leaders who provide guidance and mentoring. The Centre for Social Entrepreneurship (CSE) was established at



Durban University of Technology (DUT) in July 2015 in partnership with the National Department of Small Business Development (DSBD). The primary objective for its establishment is the development of social entrepreneurship within communities through mentorship and other innovative strategies and within the University through student engagement, partnerships with relevant stakeholders and research. Since its inception, the CSE has become engaged in various projects in line with its objectives. Within the University, the CSE has been working with groups of students who will work closely with enterprises in the surrounding community to develop their business plans, through a Service-Learning programme. The CSE also collaborates with Enactus, the volunteer student body at the University that is involved with various community projects.

In 2012, DUT launched an innovation and technology business incubator, InvoTech. InvoTech has created 16 SMME's in the 2016/2017 financial year, of which five are DUT's projects, namely:

- ▶ Wisolve – Creative & Digital Technology Sector
- ▶ Inofid – Food & Agriculture Technology Sector
- ▶ Visionary start – Green Technology Sector
- ▶ Sky-high Innovations – Creative & Digital Technology Sector
- ▶ Black era – Other

Out of these five DUT projects, four are DUT students and the fifth a DUT staff member.

InvoTech's focus in 2016 was on encouraging entrepreneurship within students, at DUT particularly through the vehicle of the Faculty of Arts and Design's annual DigiFest. The main objective of the DigiFest was for DUT staff and students to display their creative work and to encourage an entrepreneurial spirit. DigiFest 2016's highlight was Talkfest – an event that provided a platform for the DUT community and the public to deliberate on the concept of social innovation and entrepreneurship.

The World of Work Careers Fair (WOW) has become a

signature event of DUT. This initiative aims to give students a better understanding of the careers they may wish to pursue to engage with potential employers. Events such as this are a good platform not only for companies to display opportunities but to create brand awareness as well. In 2016, 107 organisations participated, including companies that operate in Cape Town and Pretoria. The event saw about 15 000 students engage with the companies.

Community Engagement

There are a number of community engagement programmes ranging from partnerships with government to the NGO sector. One example of the University's engagement with provincial departments and NGOs is the Faculty of Health Sciences Clinic whereby a partnership has been established with the local Cato Ridge community leadership and the Department of Cooperative Governance and Traditional Affairs. This project is multi-fold and includes provision of basic primary healthcare and behavioural change communication to the community of the Mkhizwana village and surrounding areas of the greater Cato Ridge Area. This requires new-age thinking and a comprehensive approach; all stakeholders of a healthcare system have to work together in seeking sustainable solutions that promote universal access to care.

The Urban Futures Centre (UFC) engages with local government and communities in an array of projects ranging from working with eThekwin Metro Police to improve its functioning, to approaching crime prevention through environmental design (Imagining a city without walls) and leading community integration projects with drug abusers (Street level drug use). Focusing on quality of urban life, the UFC utilises University capacity and resources to design sustainable urban solutions to everyday problems. Imagining urban futures raises questions on the types of thinking and practices required to make cities great places to live in. The UFC received a Blue Skies Grant award on "Narratives of home and neighbourhood and possibilities for reimagining urban planning" for R2.37 million over three years to allow DUT with outreach and community engagements from 2017-2019.



DUT re-activated its signed Memorandum of Understanding with the Moses Kotane Institute (MKI) and collaborated in the Science week in 2016 through outreach activities in rural KwaZulu-Natal by mentoring young girls to choose careers in Science through the Research, Innovation and Engagement portfolio. The MKI continued to sponsor students from KZN to study in high schools and at University level.

DUT was awarded the first Carnegie African Diaspora Fellowship (CADF) grant for graduate training on “principle-led gendered research, curricular and graduate training”. This grant allowed engagements with the DUT, CGE (Commission for Gender Equality), ASSAf (The Academy of Science of South Africa), the University of Alberta, Canada, and other associations.

The work of Research Centres that engage with their communities around research projects is covered in the Senate Report to Council.

Innovation in approaches to education arrangements

The Imbali Education Precinct project is a project that emanates largely from a vision of the Minister of Higher Education and Training, Dr B E Nkomo to build on a unique mix of educational institutions (including preschool, special education, primary and high schools, TVETs and universities adult based education offerings) in a relatively confined geographic space within Imbali, Pietermaritzburg. It aims to make education relevant to the learning needs of the City and establish the Precinct as a place of innovation in education that is relevant on a national scale. DUT is a key partner in this initiative.

Promoting innovation alternatives for energy use

In a bid to help mitigate South Africa's power shortage crisis through knowledge, the University, in collaboration with partners, launched a national community engagement project – a first of its kind in Africa – that will raise awareness about alternative energy resources as well as climate change. The DUT energyDRIVE Project, which is being run in partnership with the

Energy and Water Seta (EWSETA), Nedbank, Caltex Chevron and Conlog, was launched in December. This was initiated because of the current global challenges relating to climate change and renewable energy. The project – which has set its sights on making a significant impact on the lives of approximately 500 000 pupils nationwide – will drive its aims using a truck with a custom designed container equipped with renewable energy equipment. The University's Energy Technology Station (IEETR Centre) staff designed the framework of the container.

International collaboration on engagement

While by no means the only international engagement, a strategic initiative from the Vice-Chancellor's office, to consider various forms of engagement and understanding the University in its context resulted in an invitation to Dr Ira Harkavy, Director of the Netter Centre for Community Partnerships, University of Pennsylvania. Dr Harkavy's weeklong visit included presentations to NGOs in Pietermaritzburg, a workshop with the Senior Management Team and an interactive session with the South African Higher Education Community Engagement (SAHECEF) Board. During the visit, Dr Harkavy became aware of the NRF funded Community Engagement research initiative underway at DUT. He consequently invited members of the research team to visit the Netter Centre. In September, on route to present a conference paper at the 16th Conference of the International Association for Research on Service Learning and Community Engagement (IARSLCE) in New Orleans, members of the team spent a week at the Netter Centre. In both visits, the notion of using (a) carefully chosen high school(s) as an anchor(s) for community engagement activities was mooted. The Netter Centre works well largely due to external generous funding, as well as generous support from the University of Pennsylvania.

Research on articulation with the Post School Education and Training Sector

In March, the Memorandum of Agreement that constituted the SAQA-DUT Research Partnership on Articulation was signed and work commenced immediately. The most significant accomplishment of the Partnership team last year was the

National Articulation Baseline survey. All public Technical Vocational Education and Training (TVET) Colleges and all public Higher Education Institutions (HEIs) were included in the survey. A 98% response rate resulted in a comprehensive overview of the state of articulation across the Post School Education and Training (PSET) sector in South Africa. The National Baseline Report will be presented by SAQA to the Minister of Education will shortly be in the public domain.

Six in-depth case studies are being undertaken under the auspices of the SAQA-DUT Research Partnership on Articulation. Each of these is exploring a variety of enablers and/or impediments of successful articulation. The role of DUT in each of these case studies will eventually surface consequently a comprehensive overview of the DUT approach to articulation will be captured. More details of research and innovation engagements are reported in the Senate Report to Council.

University's engagements and financial sustainability

One arm of the University's Cooperative Education Unit focuses on developing relationships and engaging locally, regionally, nationally and internationally, including considerable engagement with various SETAs. These relationships provide support for student stipends, as well as bursaries and funding for Masters and Doctoral students and staff sabbatical replacements.

The Enterprise Development Unit (EDU) is the host to the e-skills hub and runs a number of projects that are funded by external agencies including SETAs with the aim of contributing to the third stream income enterprise at DUT.

The Centre for Continuing Professional Education (CCPE) was established as a mechanism for third stream income generation as well as for broadening access to the University's programmes through short course provision, amongst others. While still in the building phase of its operations, a number of academic departments were active in short course provisioning through the administrative support proffered by the CCPE. The CCPE collaborated with GlobalNxt University in Singapore to offer the Faculty Certificate in Online Teaching, a purely online distance

education training initiative, in which 20 DUT staff participated. Initiatives to create a third stream income culture as reflected in the University strategic plan did not materialise in 2016. A process was initiated towards the end of 2016 to review the relevant policy, consolidate all units that focus on third stream income so that with effect from 2017, we could start to have a more concerted effort in this field.

Statement of Self-assessment of the Vice-Chancellor and Principal

As indicated earlier, DUT has seen changes in its chief accounting officer during the year. This statement of the Vice-chancellor and Principal thus straddles the terms of office of three different officers. The year under review was challenging for the University, in a national context of disruption, protest action and economic uncertainty. Understanding our environment and context is critical if we are to provide long term and innovative solutions to ensure the sustainability of our University for future generations.

Challenges in meeting our enrolment targets are evident in our performance report, as we failed to meet the agreed upon numbers for first-time entering students and marginally for the full headcount enrolment. The University introduced a Strategic Enrolment Management Task Team during the year to drive interventions to mitigate against this in the future; in the first semester, strategies were developed by which to support academically strong performing Means Test Unfunded (MTU) students. The Strategic Enrolment Management Team is one mechanism being used to build integrated and systemic thinking and doing as part of a learning organisation, and to guard against disjointed and siloed operations. We are in a process of incremental change towards building systemic thinking and acting accordingly.

Our teaching and learning endeavours exceeded the success rate target of 78.4% for the year, achieving a rate of 83%. There has been pleasing performance in the research and postgraduate activities of the University and while we have not surpassed the unprecedented performance in 2015 we have exceeded the targets set for 2016.



Annually, the University holds a strategic planning workshop that involves the full Council and the senior executive team. This is usually prior to a Council meeting. The 2016 workshop, convened with a new Chair of Council and a new Vice-Chancellor, covered areas such as DUT's strategic plan and critical foundational matters, risks and opportunities pertaining to the five-year financial plan, the human resources plan; the enrolment plan/ curriculum renewal; the confluence of planning, risk management and quality assurance; as well as considerations around research, innovation and broader engagement. Significant discussion took place on these topics and Council provided advice and engaged positively with DUT's management in advancing the strategic plan and DUT's vision going forward.

Earlier in this report on Management and Administration, we reported about the changed executive structure. As part of this process, the Vice-Chancellor reviewed the membership of the Executive Management Committee and expanded this. The main principle is based on the notion that an apex executive structure is meant to provide for transversal and trans-disciplinary consolidation of executive management functions. The new Executive Management Committee is composed of the Vice-Chancellor and Principal, Deputy Vice-Chancellors (x3), Registrar, Executive Deans (x6), Chief Financial Officer, Chief

Risk Officer, Senior Director: HR and Senior Director: Policy, Planning and Projects.

A review of all committee structures, membership and terms of reference was agreed upon for 2017 with an identified team to drive this process and make proposals on how best these structures could be composed, coordinated and managed. As an urgent and immediate consideration, the University Planning and Resources Committee (UPRC) and the Senior Executive Team (SET) meetings were consolidated into the University Planning and Resources Forum to ensure that our planning, risk management, quality assurance and budgeting system is well coordinated as the year 2017 starts.

Finally, Council, stakeholder bodies, staff and students warmly received me as the Vice-Chancellor for the next 5 years, for which I remain grateful. I look forward to contributing towards developing the University over the next five and taking it to greater heights.


Professor TZ Mthembu
Vice-Chancellor and Principal



STEVE
BIKO

PHAZAMISA
UBUDLWENGU

DISRUPT RAPE

STOP THE
WAR ON
MEN'S
DIS

PHAZAMISA
UBUDLWENGU

DISRUPT RAPE
CULTURE

PEP FOR
ALL WHO
NEED IT
NOW!

STOP THE
WAR ON
WOMEN
BODIES

End Gender-Based Violence
Solidarity with Survivors

AHF

ANNUAL PERFORMANCE ASSESSMENT REPORT

Strategic Focus Area	Key Performance Indicators	Actual year n-2 (2015) Audited	Target year n-1 (2016)	Achieved year n-1 (2016)	Achieve	Reasons for deviation
I. Sustainable communities of living and learning	Access					
	Headcount totals					
	First-time entering undergraduates	7 045	7 432	6 872	x	There are a number of reasons for deviations in these headcount indicators; firstly, NSFAS funding implications for both first time entering and returning students; secondly, a number of new programmes to have been offered in 2016 were not offered due to either internal or external approval processes taking longer than anticipated. The University introduced a Strategic Enrolment Management Task Team during the year to drive interventions to mitigate against this in the future, as well as seeking ways in which to support Means Test Unfunded (MTU) students. Further engagement with NSFAS is planned, as this fluid situation occurs year on year. Total Headcount enrolments fall within the 2% fluctuation not penalised by DHET.
	Headcount enrolments	27 023	28 520	28 334	–	
	Headcount enrolments (Foundation Provisioning)	1 471	1 833	1 697	x	
	Headcount enrolments total UG	26 055	27 605	27 156	–	
	Headcount enrolments total PG	968	915	1 178	✓	The University embarked on project 500 within the Management Sciences faculty to try to increase the percentage of postgraduate students from 2% to 4% of UG enrolments. Also increased recruitment in identified research focus areas.



Strategic Focus Area	Key Performance Indicators	Actual year n-2 (2015) Audited	Target year n-1 (2016)	Achieved year n-1 (2016)	Achieve	Reasons for deviation
I. Sustainable communities of living and learning	Enrolments by Major field of study					
	Science, Engineering, Technology	13 240	12 945	13 477	✓	The University is shifting its shape towards a greater SET representation.
	Business/management	8 921	9 566	9 825	✓	This increase is largely due to the enrolment of postgraduate students in the Faculty of Management Sciences' Project 500.
	Education	994	1 747	1 004	x	Student applicants in this category come from low-income groups and without funding, they are not able to take up the offers made to them. This matter has been raised and discussed at Faculty Quality Committee meetings and appears as a matter of concern in Annual Quality Monitoring reports for the past three years. Revised enrolment plans have reduced the size of this field of study.
	Other humanities	3 868	4 262	4 028	x	The growth in the SET and Business/management fields of study has been at the expense of this category.
	% Science, Engineering, Technology	49%	45%	48%	✓	The University is shifting its shape towards a greater SET representation.
	% Business/management	33%	34%	35%	✓	This increase is largely due to the enrolment of postgraduate students in the Faculty of Management Sciences' Project 500.
	% Education	4%	6%	4%	x	Please see comment in Education headcount, above.
	% Other humanities	14%	15%	14%	x	The growth in the SET and Business/management fields of study has been at the expense of this category.
	FTE enrolment	19 586	21 533	20 792	x	In addition to the reasons provided above for headcount enrolments, which remains pertinent for the FTE enrolment being lower than planned, a further reason could be attributed to the way students structure their workload packages and these could be linked to reasons associated with failing and repeating modules, not meeting prerequisites to proceed to next levels of study.

Strategic Focus Area	Key Performance Indicators	Actual year n-2 (2015) Audited	Target year n-1 (2016)	Achieved year n-1 (2016)	Achieve	Reasons for deviation	
I. Sustainable communities of living and learning	Number of students in residences	7 698	7 118	Sem 1: 6 880 Sem 2: 6 545	x	The number of NSFAS packages offered to our students mainly dictates residence capacities. With the introduction of the new NSFAS centralised system this fluctuated drastically in 2016 where a large number of students did not receive full packages at both Durban and Midlands Centres. This group was referred to as MTUI6 (Means Tested Unfunded 2016) as there were no additional funds for them despite qualifying for funding based on the means test conducted (NSFAS).	
	% Students in residence	28%	25%	Sem 1: 24.3% Sem 2: 23.1%	x		
	First year students as % total of residence population	25%	15.9%	Sem 1: 19.6% Sem 2: 20.6%	✓		The University has focused on increasing first year student numbers in its residences.
	% DUT courses with an online component on Blackboard		60%	57.1%	x		The expected target was not reached because the tracking of online usage was disrupted during urgent maintenance to the system during July-August 2016. The system was partially down, preventing the accurate measurement of usage during this period.
	Success						
	Graduates UG	6381	6 232	6 682	✓	University interventions for improving pass and graduation rates are bearing fruit in improved student success.	
	Graduation rate	24%	22.5%	24%	✓		
	Undergraduate output by scarce skills						
	Engineering	1 243	1 012	1 189	✓	University interventions for improving pass and graduation rates are bearing fruit in improved student success.	
	Life and physical sciences	118	149	142	–	The faculty had not met the planned undergraduate numbers in the previous years and this has an effect on the graduate numbers.	
	Animal and human health	641	729	603	x	Departments fell short on returning students' enrolment at undergraduate levels	
	Teacher education	203	213	223	✓	University interventions for improving pass and graduation rates are bearing fruit in improved student success.	
	Success rate	84%	78.4%	83%	✓		



Strategic Focus Area	Key Performance Indicators	Actual year n-2 (2015) Audited	Target year n-1 (2016)	Achieved year n-1 (2016)	Achieve	Reasons for deviation
2. Research and Innovation for Development	Efficiency					
	Instructional/Research Professional Staff					
	Headcount of permanent instructional/research professional staff	577	650	585	x	The total number of academic posts as part of the staffing establishment as at end 2016 was 653. The deviance in headcount can be attributed to part-time appointments, contract appointments and unfilled vacancies.
	FTEs of permanent instructional/research professional staff	627	756	662	x	
	% Staff with Doctoral degrees	22%	17.0%	22%	✓	We have managed to maintain the percentage of staff with Doctoral degrees despite staff fluctuations. We expect this percentage to increase, as it will be tied in with a retention plan for highly talented faculty and emerging researchers.
	% Growth rate of instructional and research staff with Doctoral qualifications	3%	0.5%	0.05%	x	Staff numbers have fluctuated and this impact on the percentage gain of staff with Doctoral qualifications. It takes an average of 3 years minimum to complete a doctorate. To maintain a higher growth rate both retention and recruitment of staff with doctorates will affect this indicator.
	Number of s staff		6	2	x	DHET approved 5 posts of which 2 were filled in 2016. The other 3 were transferred to phase 2 due to the following: Radiography – No applications received; Physics – Candidates accepted offers elsewhere; Financial Accounting – No suitable candidate from applicants interviewed.
	Ratio of FTE students to FTE instructional/ research staff	31.2	28.5	31.4	x	Student numbers have increased but there has not been a concomitant growth in staff numbers, exacerbated by staff fluctuations.

Strategic Focus Area	Key Performance Indicators	Actual year n-2 (2015) Audited	Target year n-1 (2016)	Achieved year n-1 (2016)	Achieve	Reasons for deviation
2. Research and Innovation for Development	Research output					
	Publication units per FTE staff	0.41	0.07	0.34	✓	There has been a focused programme on publications outputs with faculties running writing retreats and a centralised programme on writing for publication.
	Publication output	235.62	56	213	✓	
	% Growth in publication outputs	55%	6%	-9.6%	x	The unanticipated growth in 2015 has resulted in a negative percentage growth in 2016.
	Research Masters graduates	121	119	117	–	Supervision capacity, staff workloads and reduced funding for competitive scholarships that implies students have to get part-time jobs to sustain themselves.
	Doctoral graduates	29	15	39	✓	Staff workloads and funding values for scholarships.
	Number of research outputs	443.62	220	447	✓	The University invested in a postdoctoral programme to support research focus areas and invested in research capacity building and publication writing programmes for staff in order to increase productivity.
	Research output per instructional and research staff	0.77	0.34	0.76	✓	Linked to publication outputs and the comments above apply.
	% Growth rate of postgraduate students	27%	12%	21%	✓	Mostly in project 500 and linked to supervision capacity and programme carrying capacity.
	Graduates PG	167	185	189	✓	Supervision capacity is still a challenge to manage the high demand for PG studies at DUT. In one faculty, there is a waiting list.
	External funding for research and innovation		R40 000 000	R81 745 065	✓	The Water Institute attracted significant funding through the JICA project and through the Gates Foundation.
	International collaborations – research		12	26	✓	A number of mobility grants through the NRF were successful in the reporting year resulting in the increase.
	International collaborations – other			5		New indicator.



Strategic Focus Area	Key Performance Indicators	Actual year n-2 (2015) Audited	Target year n-1 (2016)	Achieved year n-1 (2016)	Achieve	Reasons for deviation
2. Research and Innovation for Development	Research output					
	Number of postdoctoral fellows	55	21	25	✓	Dependent on Research Development Grant funding for postdoctoral programme.
	Number of research associates		10	17	✓	Dependent on Research Development Grant for the postdoctoral programme.
	Number of research fellows		4	3	–	Dependent on Research Development Grant funding which reduced significantly in the funding year.
3. A learning organisation	Number of staff in a learning programme funded by DUT		695	696	✓	An increase of one additional person.
	Management/ Leadership mentoring		130	169	✓	A Leadership Conference hosted by the University saw an increase in the number of staff exposed to management/ leadership mentoring.
4. A sustainable University	Ratio of instructional and research to support staff	1:1.45	1:1.36	1:1.47	x	Student numbers have increased but there has not been a concomitant growth in staff numbers, exacerbated by staff fluctuations.
	3rd stream income		R18 000 000	R10 438 896	x	The target was set based only on income from short courses. The new CCPE unit that was set up to deliver on this mandate was not adequately resourced in terms of both adequate and appropriate staffing and adequate bouquet of offerings in the reporting year. The University has now drafted a policy on maximising and diversifying income streams and is looking at capacitating and strengthening the coordination of its 3rd stream income generating units.
	Staff compensation: recurrent income		0.67	0.63	✓	The decrease is attributed largely due to a number of posts remaining vacant during the year.


Professor TZ Mthembu
 Vice-Chancellor and Principal


Mr NZW Madinane
 Chairperson of Council





REPORT OF THE SENATE TO COUNCIL

Changes to Academic Structure

There were no changes to the academic structure in 2016.

Composition of the Senate

Voting members

1. Vice-Chancellor (Chairperson of Senate)
2. Deputy Vice-Chancellors
3. Executive Deans of Faculties
4. Deputy Deans of Faculties
5. Heads of Academic Departments or Schools
6. Senior Academic Staff (that is, all appointments above Senior Lecturer)
7. Staff membership in accordance with the Institutional Rules as approved by Senate and Council, namely:
 - 7.1 Director: Research and Postgraduate Support
 - 7.2 Director: Technology Transfer and Innovation
 - 7.3 Director: Library Services
 - 7.4 Director: Centre for Equity, Change and Diversity Management
 - 7.5 Director: Centre for Excellence in Learning and Teaching
 - 7.6 Director: International Education and Partnerships
 - 7.7 Director: Co-operative Education
 - 7.8 Director: Enterprise Development Unit
 - 7.9 Director: Centre for Quality Promotion and Assurance
 - 7.10 Director: Centre for Continuing and Professional Education
 - 7.11 Dean of Students
 - 7.12 Director: Midlands Campus
 - 7.13 Senior Director: Policy, Planning and Projects
8. One Academic Staff Member of each Trade Union elected respectively by each Trade Union
9. Three students appointed by the SRC, at least one of who must be a postgraduate student at least one of who must be a member of the SRC
10. Two members of Council elected by Council who are neither staff nor students

Non-voting members

11. Registrar (Secretary to Senate)

Significant Developments and Achievements

The year 2016 saw the culmination of a number of strategic projects at the Durban University of Technology. Of note is the implementation of a number of new HEQSF aligned academic programmes as well as the roll out of General Education (Gen Ed) modules to approximately 3 000 students. Furthermore, continued focus on improved e-Learning uptake, internationalisation of the curriculum as well as improving the total student experience for success has led to some palpable – albeit not dramatic – achievements.

Teaching and Learning

In line with the 2015-2019 Strategic Plan, the Institution set itself a number of priority areas with respect to teaching and learning in 2016; including: (a) the Curriculum Renewal Project (CRP), (b) the e-Learning Project (c) and an intensified focus on student success. The remainder of this section of the report will therefore share DUT's significant developments in these three areas.

The Curriculum Renewal Project

The Curriculum Renewal Project (CRP), launched in 2011, continues to be a major transformational project at DUT. Significant achievements with respect to the CRP in 2016 were as follows:

The Faculties of Management Sciences, Health Sciences and Applied Sciences admitted first cohorts of students in a number of new and HEQSF aligned undergraduate degrees and diplomas. Hence,

- ▶ In the Faculty of Health Sciences, six (6) four-year professional Bachelors' degree programmes integrating General Education were offered in 2016.
- ▶ In Management Sciences, a new three-year diploma incorporating 10 specialisations was offered for the first time in 2016.
- ▶ The faculties of Applied Sciences (n = 3), Accounting and Informatics (n = 2) Engineering and the Built Environment (n = 1) also rolled out new diploma qualifications all of which are three-year diplomas one 240 credit diploma (Diploma in Civil Engineering).
- ▶ A new Bachelors Honours Degree in Visual Communication Design was offered in 2016 for the first time in the Faculty of Arts and Design.
- ▶ All new programmes implemented in 2015-2016 have a General Education requirement. Hence, 2 275 students were registered for the Cornerstone Module, a compulsory Gen Ed module for all programmes at DUT. A number of elective Gen Ed modules were offered in the 2016 academic year, namely:
- ▶ Environmental Sustainability, (b) Constitutional Law and Human Rights, (c) Information and Communication Technology Literacy and Skills, (d) Law for life (e) Leadership (f) Me, My World, My Universe; a quantitative reasoning module, (g) Values in the Workplace (h) KZN Maritime Heritage and (i) Sustainable Earth Studies.

The e-Learning Project

- ▶ The e-Learning Project, one of DUT's priority projects aimed to: (a) develop institutional capacity, (b) establish

working relationships between University operational areas affecting e-Learning

- ▶ (c) Promote the value of online teaching and learning.
- ▶ Senate approved an e-Learning policy and guidelines in September 2016. The e-Learning guidelines include minimum quality requirements for on-line classrooms.
- ▶ Work on the integration of the student information system (ITS) and Think Learn Zone (TLZ) (the University's learning management system) was completed in December 2015. The academic year 2016 saw the success of automatic student enrolment into-e-Learning classrooms for all DUT modules. For all modules taught online, lecturers are required to upload E-Study Guides on the e-Learning classrooms.
- ▶ Professor Graham Stewart (e-Learning Coordinator), during his visit to Fujian Agriculture and Forestry University (FAFU) College of Law and Humanities, conducted a collaborative online course involving eight DUT students from the Faculty of Arts and Design and ten students from FAFU. Videos on local heritage and culture were produced. The course was based on the SUNY COIL (Collaborative Online International Learning) principles.
- ▶ In 2016, 17 DUT lecturers successfully completed a Faculty Certificate in Online Training (FCOT). FCOT is a fully online professional development course offered by GlobalNxt (Manipal) University. The next group of staff training will commence in June 2017.
- ▶ Dr Alex van der Merwe completed two openly licensed E-textbooks for use as prescribed/recommended introductory texts in the Department of Economics. Work on this project commenced in March 2016 and was completed in February 2017 with the publication of the second textbook. The two textbooks are (a) Principles of Microeconomics – DUT Open Text and (b) Principles of Macroeconomics – DUT Open Text. The high quality of the Open Education Resource (OER) material provides an excellent exemplar for staff intending to follow the same online publication route.
- ▶ All faculties have responded well to adopting e-Learning platforms as part of their mode of delivery. The Faculty



of Engineering and the Built Environment reports that the usage of e-Learning platforms such as Blackboard and Moodle as teaching and learning tools has been adopted in the Faculty. Staff have been encouraged to work through this medium to assist students both as a source of course content as well as for tutorials. This is still in the developmental phase with members of staff getting to grips with the software and its functionality. Staff have undertaken to work towards a proposal of online assessments with at least 25% in the new qualification offerings in 2018. The Department of Civil Engineering (Pietermaritzburg) has expanded the use of on-line platform Edmodo, with numerous lecturers now including videos of their lectures to aid the learning process.

- In the Faculty of Accounting and Informatics departments such as Finance and Information Management (FIM) as well as Information Technology (IT), all modules are registered on the Think Learn Zone (TLZ). The “flipped classroom” teaching strategy was implemented with great success in departments, such as Information and Corporate Management (ICM), where students were given sections to research prior to the lecture. Novel delivery modes were used such as screening of pertinent videos to help students conceptualise areas of difficulty. The Department of Higher Education & Training (DHET) granted funding for a 4-year foundation programme in the Diploma in ICT in Applications Development. The Department of IT purchased 60 devices for the Foundation students registered for this diploma in 2016. An extra five devices were purchased for Foundation lecturers and tutors. However, on finalisation of the paperwork it was established that some parents did not wish to accept liability for the devices while other students who already owned their own also chose not to receive one from the Department. A total of 42 devices were thus provided to students, with the balance of devices accruing to the class of 2017.
- This initiative supported flexible learning, motivated students immensely and encouraged them to engage in learning at various times and at different locations.

- A number of lecturers have taken to social media platforms in an effort to ensure contact and communication with students. For instance, staff from the Graphic Design programme are using social media platforms, specifically Facebook and Instagram, to promote the Graphic Design Programme and attract sufficient student applications for 2017. These platforms highlight student projects and allow DUT students to engage with prospective students.

Student Success

The institution intensified its effort to rally faculties, academic departments, administrative and academic support divisions to work together on projects and/or interventions aimed at helping students succeed; these include the repurposing of teaching and learning spaces (library), the Siyaphumelela Project, the First Year Student Experience, and Residence Education Programme mentoring and tutoring interventions.

This collaborative work with a number of divisions and/or units across the Institution has created an awareness of the importance of the role that various support and administrative divisions can play in contributing to student success – and that student success is not just the academic departments’ role. The Siyaphumelela Project in particular, has seen collaboration between academic departments/ faculties, academic development, quality assurance, student services, students, Management Information, IT Support Services, Finance, Library, Writing Centre and Student Academic Administration and various centres. The student success task team, established in 2016, identified a number of themes around what projects aimed at helping students succeed would be implemented in 2017. These include (a) cohort studies; (b) engagement surveys (c) student success interventions (d) understanding our students and (e) data integration. The appointment of an Institutional Researcher to lead data analytics and evidence based work on student success is one of our significant achievements. The Institutional Researcher’s work starts in earnest in 2017.

As part of the Siyaphumelela project, the South African Survey on Student Engagement (SASSE) and its lecturer equivalent the

Lecturer Survey on Student Engagement (LSSE) was conducted across the University. This is a student engagement tool that measures student's engagement with both their academic and non-academic activities within a University setting. SASSE also looks at how the institution facilitates opportunities of learning and overall engagement. In the LSSE, the units of analysis are the lecturers. LSSE measures the lecturers' expectations with regard to student engagement. In addition to these surveys, the University agreed to pilot the Classroom Survey on Student Engagement, which focuses on engagement between students and lecturers at the classroom level. Five modules were identified to pilot this in 2016 and two modules, namely Physics (in Textile Technology) and Maths (Maritime Studies) were conducted. Data derived from this were used to consider with the relevant lecturers, how to improve teaching and learning practises in the classroom towards improving student success.

In the Faculty of Accounting and Informatics, a multi-disciplinary Gen Ed module that introduces students to business concepts as well as inducts students into the higher education landscape, co-taught by student services and the library, was offered for the first time in 2016.

A purposeful and deliberate effort to help students succeed is the focus of every faculty at DUT. In 2016, the Faculty of Engineering and the Built Environment reports that:

- ▶ The development of the construction laboratory has assisted student learning by providing visual access to concepts being taught. The department of Architecture started the development of mixed studios as an integrated mode of teaching and learning, which is making the most of limited spatial and IT resources. The use of smartboards by staff now allows for immediate electronic interfaces in the classroom.
- ▶ Exemplary practices to be continued include the visiting lecturer programme, which was well-received by students and added greatly to their understanding of the topics dealt with at the workshop.

- ▶ The Electronic Engineering Department engaged in identifying bottleneck subjects by analysing the throughput and graduation rates of students over the past few years. The department employed more tutors to assist students in order to improve the pass rates in bottleneck subjects. The department is also engaging in innovative teaching methodology to address these problems.
- ▶ Mr S Gumede, a National Diploma: Engineering: Computer Systems student secured internship at Western Digital (an international company at the forefront of manufacturing computer hard drives) as part of his work-integrated learning (WIL) during 2016. This partnership between DUT and Western Digital was formed in agreement with Thailand authorities. The student was hosted by a Thai University.
- ▶ Mr KE Moorgas attended an Erasmus DC Project workshop in the Netherlands, the aim of this project is to produce high quality same level programmes in renewable energy and direct current (DC) technology. The projects and programmes will be developed together with engineers, technologists and collaborators from universities in Belgium, Germany and the Netherlands. The project will also address the electrification of rural areas in developing countries through DC-technologies and smart grids.

The Faculty of Accounting and Informatics established a number of management structures, including a Teaching, Learning and Assessment Committee (TLAC), a Student Success Project Committee (SSPC) and the Faculty Quality Committee (FQC) to create space for a focused attention on teaching and learning. The following are some of the significant developments and achievements noted from the Faculty of Accounting and Informatics:

- ▶ The annual e-Learning symposium and the Scholarship of Teaching and Learning (SoTL) workshops have played a pivotal role in the execution of student-centered teaching, learning and assessment (TLA). The Teaching and Development Grant (TDG) has been used astutely for the improvement of student success.

- ▶ The IT Department boasts a vibrant and active TLAC driven towards the improvement of student success, facilitating creativity and innovation in teaching and assessment as well as triangulation of performance statistics to improve decision-making concerning infrastructure support and TLA resources.
- ▶ Together with feedback from class representative meetings and an open and constructive discussion forum with staff, several innovative ideas were implemented around TLA activity in the departments. Some of these included the introduction of integrated projects in all years of study and the extension of the student orientation programme to include e-Learning, social media, peer-to-peer sharing of success stories, presentations by industry experts, the importance of student and staff evaluation questionnaires and a forum on how to stay active during student strike action. In addition, the IT Department identified coordinators in each level of study to help drive the TLA agenda. Similarly, the Departments of Financial Accounting (FA) and Finance & Information Management (FIM) hosted regular TLA meetings. TLA issues addressed at these fora included the drafting of assessment schedules that were equitable based on student and staff workloads, integration of content at various levels and achievement of vertical articulation from level one to four for common topics.
- ▶ Research on best TLA practices was conducted and staff presented their research at national and international conferences in 2016 such as the UniZulu first Teaching and Learning Conference in May 2016 and the HELTASA/ICED Conference in November 2016. TLAC members attended the MUT TLDC Colloquium in May 2016 to network with other academics and share best practices.

The Faculty of Management Sciences intensified its effort to improve student success in 2016. Among other things, the faculty set itself an 80% success rate target for all departments. Consistent monitoring and tracking of students at risk of failing coupled with implementation of on-time interventions ensured that seven out of 11 departments achieved the 80% success rate.

A faculty teaching, learning and assessment review workshop was held in order to analyse practices and interventions towards student success. A tutor support initiative and the integration of digital technology, including social media platforms contributed to student success.

A number of significant achievements in teaching and learning were noted in the Faculty of Arts and Design as well. These are as follows:

- ▶ The Department of Fashion and Textiles has attempted to integrate teaching and learning at all three levels of the programme. Improvements in 2016 included a collaborative engagement project with other departments within the faculty – the 2nd year fashion students collaborated with the 3rd year Graphic Design students and 3rd year Jewellery design students in the 'Rise of the OXX' project that was showcased at the Faculty's annual DigiFest. Third year Fashion and Textiles students collaborated with third year Jewellery Design students to design jewellery pieces for the 'Night at the Circus' project. The garments and jewellery were exhibited in a live installation at the DUT annual fashion show.
- ▶ Several DUT journalism students and alumni participated in the leadership programme offered by the Durban Leadership Institute, a joint project of DUT, the African Centre for the Constructive Resolution of Disputes (ACCORD) and the International Centre of Nonviolence (ICON).
- ▶ The Visual Communication Design Graduate employment rate was high and staff assisted greatly in the process. In the Graphic Design programme, students engaged in a number of simulated WIL industry projects. After the final exhibition, almost the entire third year class were placed for internships at local agencies, such as TBWA, THB Disturbance, Blue Pig, Whalley and Associates, ChilliSoft, ITI and Cytec Supplies.
- ▶ The Department of Drama and Production Studies had a number of significant achievements in teaching and learning in 2016, including:



- ▶ Prof Debbie Lutge was selected as the first African director to present at the Folkwang Shakespeare Festival 2016 hosted by the Folkwang Universität der Künste and invited to present a 12 cast African production of Much Ado about Nothing, which involved experiential learning for the students.
- ▶ The hip-hop group, Soul City from Reunion Island gave a two-day workshop to Drama Students, culminating in a public performance with a Q and A session after the show.
- ▶ Another award-winning professional company from Reunion Island returned to the Courtyard Theatre and gave a two-day workshop in contemporary circus acts as well as working closely with the departmental technician in the Courtyard Theatre. The four-day engagement ended with a public performance in the Courtyard Theatre to a packed house and an interaction with the artists after the performance.

Academic support divisions continued to be an integral part of teaching and learning in 2016. For instance:

- ▶ In its attempts to contribute more positively and directly to teaching outcomes, the Library's strategic thrust focused on academic integration. This meant working closely with academic departments and engaging in new ventures such as General Education, Extended Curriculum Programmes, First Year Student Experience, Residence Educational Programme led by the Centre for Excellence in Learning and Teaching and the Siyaphumelela project.
- ▶ The Library concentrated intensely on strengthening current Information Literacy programmes, incorporating innovative services and contemporary technology, developing new initiatives and enhancing support for instruction and scholarship to promote excellence in research, teaching and learning.

- ▶ A number of initiatives to improve and expand the level of library interventions in teaching, learning and research were introduced for both undergraduate and postgraduate students. The ultimate outcome was to assist students in acquiring content knowledge in their selected disciplines as well as develop their ability to find, evaluate use information efficiently and ethically. It is the role of the subject librarian to guide students to navigate a constantly shifting environment of information and communication technologies.
- ▶ Planning and course design took precedence during both semesters and the result was the successful integration of Information Literacy (IL) into Cornerstone and the faculty general education modules. The Information Literacy general education module was offered across several departments within the faculties of Management Sciences and Accounting and Informatics.
- ▶ To ensure equity of access and provision, Executive Management approved the establishment of a new Writing Centre at the Ritson Campus – a campus that houses over 8 000 students from the faculties of Accounting and Information and Health Sciences. This is a remarkable achievement and ensures access to writing assistance at five of the seven DUT delivery sites.
- ▶ Usage of the Writing Centre continues to show a steady increase. The grand total for Writing Centre usage by students in the year 2015 was 9 181. This figure was far surpassed by the 2016 total which stands at 11 185, a growth rate of 21.8%. This indicates that students are beginning to understand writing as an iterative process that requires Writing Centre users to have several follow-up sessions. Both students and staff have commended the success of the existing five Writing Centres. The following excerpts from students and staff bear testimony to these observations:

“The Writing Centre has helped me a lot with my grammar, research methodology, understanding my topic better, writing skills, developing ideas for my research topics, etc. in my B-Tech Year, Truly I would not have made it without the help of the all the tutors there. (I got a 72% for my final bound Research Methodology). Whenever I walked into the Writing Centre without a booking, available tutors would be more than happy to assist me. The Writing Centre is very much beneficial to all students studying at DUT. THANK YOU GUYS, SEE YOU AGAIN NEXT YEAR FOR MASTERS.” (Student)

“... [Names a Writing Centre tutor] was a very helpful and willing tutor who showed dedication to her work and love to help people. Consulting with her has helped me improve my academic writing abilities and I will forever be grateful because it has even helped me get DP. The Writing Centre and the service it provides for students are very important in our varsity career the other tutors were also friendly and helpful.” (First year student)

“Thank you very much for your academic writing presentation that you did yesterday. This collaborative work will help many of our post-grad students with their research. Your passion for academic writing and research is infectious. The students expressed their appreciation for the information. I will definitely be using Writing Centre services in future.” (Lecturer)

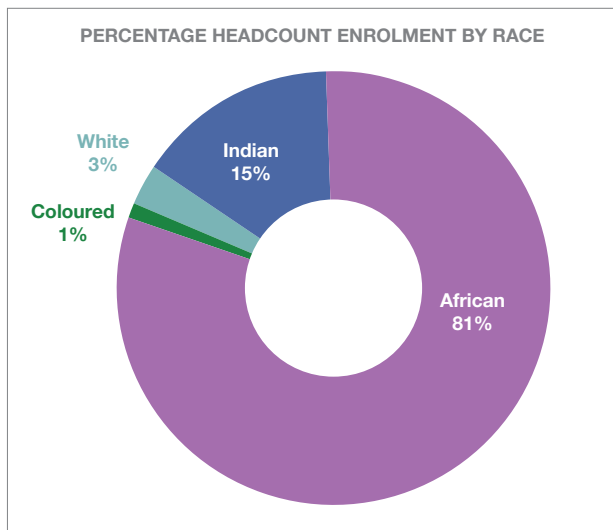
“I think the main thing my students gained was an awareness of their own authorial voices. Previously they considered writing a highly artificial activity in which you would try to convey the ‘right’ knowledge – and propositional or declarative knowledge at that. They didn’t really appreciate that what they might think about the essay topic or theory should appear in their writing.” (Lecturer)



Composition and Size of the Student Body

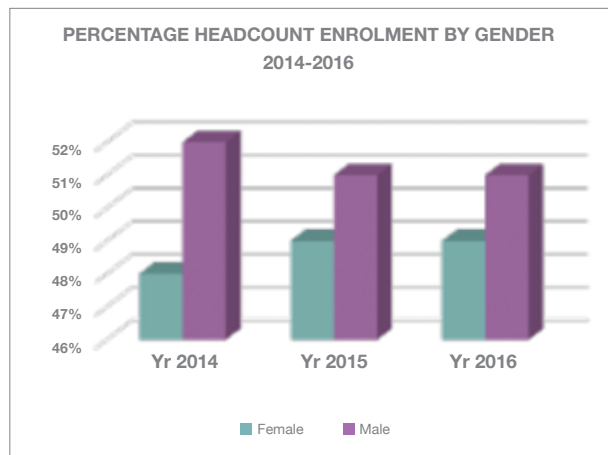
Headcount enrolment in 2016 was 28 334. This translates to an increase of 5% headcount enrolment from 2015, which was 27 023. The distribution of headcount enrolment by racial demographics changed slightly in comparison to 2015. As indicated in Figure 3 below, African students were at 81%, Indian students at 15%. Coloured and White students were at 1% and 3% respectively.

Figure 3: Percentage Headcount Enrolment by Race



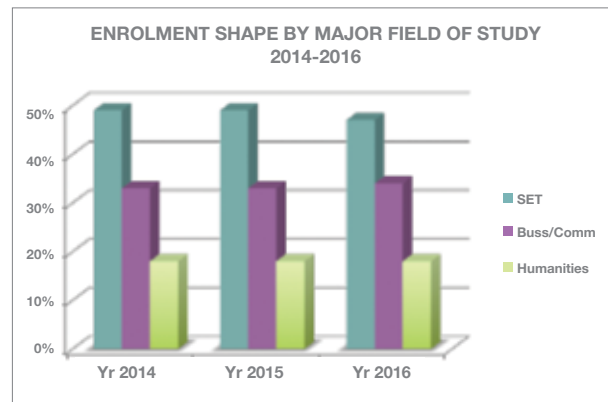
Enrolment by gender remained at 49% for females and 51% for males from 2015-2016. See Figure 4. Postgraduate enrolment increased from 968 in 2015 to 1178 in 2016; an 18% increase in PG enrolment figures. However, PG constitutes 4% of the total headcount for 2016 – a 1% increase compared to 2015- where PG headcount enrolment was at 3%.

Figure 4: Percentage Headcount Enrolment by Gender 2014-2016



Science, Engineering and Technology (SET) enrolment decreased from 49% in 2015 to 47% in 2016. Enrolment in the Business/Commerce major fields of study increased from 33% to 34% in 2016, with Humanities and Education accounting for the remaining 18% of student enrolment. This augurs well for a UoT. However, there is a need to ensure that SET enrolment remains at a higher level. See Figure 5 on the next page.

Figure 5: Percentage Enrolment Shape by Major Field of Study – 2014-2016



There has been a noticeable decline in **international students'** enrolment from 2014 (n = 704) to 2016 (n = 606). Hence, overall international students' enrolment has declined from 3% of the total DUT student population in 2014 to 2% in 2015 and 2016. Of the 606 international students enrolled at DUT in 2016, 436 (72%) were from SADC countries. The institution continues to review and revise its admission policies to try to achieve a more facilitative process in the recruitment and selection of international students. Of concern is that DUT still falls short of SADC enrolment target (5%) for the country's HEIs.

There was a notable decline in the enrolment of **students with disabilities** from 173 in 2014 to 154 in 2016. Access for disabled students remains very low. The physical layout of the Institution, especially as this relates to traffic congestion, lack of/or out of order lifts in some buildings remains a challenge. Hence, disabled student enrolment has continued to decline over the years.

Levels of Academic Progress

This section of the report focuses on levels of academic progress. There has been noticeable improvement in student academic success at DUT over the years. The year 2016 was no exception. This section of the report covers (a) limitations to access, (b) success rates (2016), (c) graduation rates (2014) and (d) cohort studies up to the 2014 first time entering students.

Limitations on access to certain courses

DUT currently has no qualification alignment allowing for progression to higher degrees that allows for registration as Professional Architect (Pr. Arch.) The South African Council for the Architectural Profession requires a Master's level degree by practice (M.Arch.Prof) for professional registration as Professional Architect – a programme that is only offered in traditional universities in South Africa. DUT BTech graduates have been forced to leave KwaZulu-Natal in order to access the required

honours and coursework Master's degree in order to register as professional architects. The Department of Architecture at DUT has been waiting for permission/accreditation to offer the Bachelors of the Built Environment which would articulate into the Bachelors of the Built Environment (Honours) and subsequently the Masters of the Built Environment.

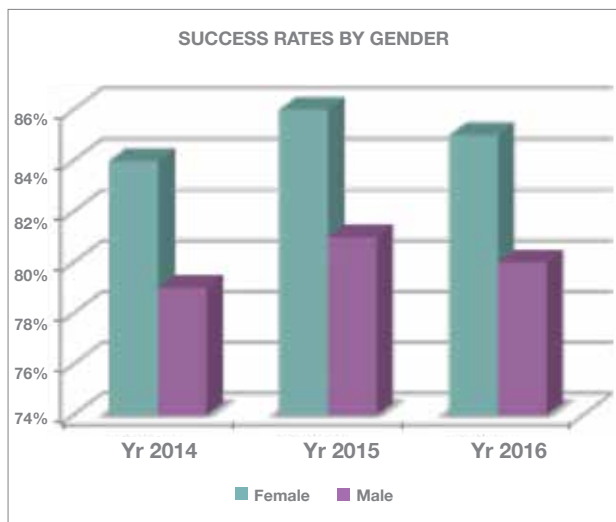
Large numbers of students posed many challenges for teaching and learning in 2016 in the Faculty of Management Sciences. This was especially a challenge for at risk subjects. The average lecturer to headcount student ratio in this faculty is one to sixty. This adversely affects quality of teaching and learning. DUT is desperately in need of large teaching venues.

Success rates

Data on student performance show that DUT continues to meet DHET approved targets in respect of success rates (78.4%), with an overall success rate of 83% in 2016. The Institution has instituted a number of interventions aimed at helping students succeed. These measures include, but are not limited to, identifying and tracking students at academic risk, tutoring and mentoring, First Year Student Experience and Residence Education Programme.

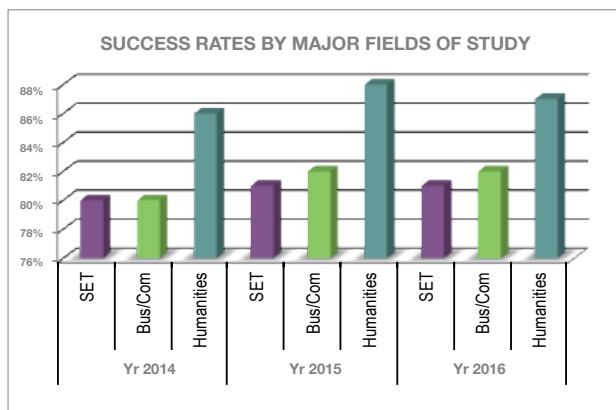
Success Rates by Gender (Figure 6 over the page) shows that, generally, female students out-perform male students. For instance, in 2016 success rates for female students stood at 85% compared to male students success rate, which was 80%. This pattern has continued throughout the three years under review. There was not much difference in success rates by **race** among Africans (83%), Coloureds (83%) and Indians (84%) in 2016. Success rates for White students in 2016 were 87%. Overall, these indicators remained above 80% in the period 2014-2016 for the four major South African race groups. However, the success rates for foreign nationals (other) were at 66%, 42% and 60% in 2014, 2015 and 2016 respectively.

Figure 6: Success Rates by Gender



DUT's success rates continue to be higher than 80% in all **major fields of study**. This data were at 81%, 82% and 87% for Science, Engineering and Technology, Business/Commerce and Humanities respectively in 2016. Figure 7 below presents data on success rates by **Major Field of Study**.

Figure 7: Success Rates by Major Field of Study



Graduation rates

Of the 28 334 students registered for various qualifications at DUT in 2016, 6 871 (24%) completed their studies at the end of 2016. This exceeds the 22.5% target set by DHET. This data have remained between 24% and 25% for the years 2014-2016. More female students (53%) completed their studies compared to male students (47%) in 2016. Racial composition of the completing students in 2016 was as follows: Africans – 79%, Coloureds – 1%, Indians – 17% and Whites – 3%.

Of the 6 871 students who completed their studies at the end of 2016, 2 978 (44%) were in SET, 2 378 (35%) in Business/Commerce and the remaining 1 515 (20%) were in Humanities. This is in line with the Institution's enrolment by major field of study. Of the 44% 2016 SET completions, 25% were males and 19% were females.

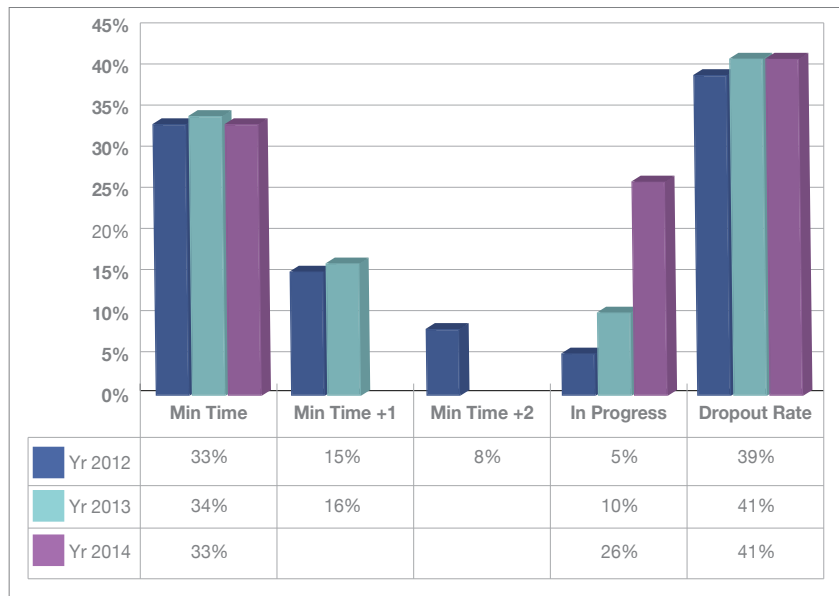
Cohort studies

Figure 8 illustrates data on completion rates by cohorts of students registered for National Diploma from 2012-2014. The percentage of students who graduated in minimum time was at 33% for the 2012 and 2014 cohorts, whereas 34% of the 2013 cohort graduated in minimum time. National Diploma cumulative completion in 5 years for the 2012 cohort was at 56% with 5% of students still in progress. Fifty percent (50%) of the students registered for the national diploma for the first time in 2013 had completed their studies in four years, 10% was still in progress.

Data on dropout rates raises some questions. This data took a reverse turn from 39% for the 2012 cohort to 41% for the 2014 cohort. Only 26% of the 2014 first-time entering students were still in progress in 2016, an indication that this cohort's dropout rate may still increase beyond 41%. See Figure 8. There is a need to interrogate this data in an effort to identify predictors of dropout, success and persistence at DUT. We trust that the Siyaphumelela cohort studies project will help shed some light as to the factors that could be attributed to this pattern of results and help determine appropriate intervention strategies.



Figure 8: Throughput Rates 2012-2014 Cohorts



Awards and Achievements

A number of DUT students in the creative and design arts claimed awards in 2016. For instance:

- ▶ Third year Fashion and Textiles students won 11 out of 25 places in the semi-finals and six out of ten in the finals, of the Young Designer Award category at Vodacom Durban July Event. Sheskia Ramnath won second prize on race day.
- ▶ The DUT annual fashion show was the highlight of the year. The competition among the class forced the students to extend themselves by incorporating fabric printing and fabric manipulation techniques, such as wet felting, tufting, beading and macramé, to enhance their designs.
- ▶ Eight students were selected to participate in the Durban Fashion Fair (DFF). This is a mentorship programme offered by the eThekweni Municipality. Tayla Horn won in two of the categories and Paige Garbutt won in one category.

- ▶ In the Jewellery Design Programme, Mr Thomy Vencatasamy, now doing his Bachelors of Technology degree, was the winner of the Angloplat Platinum Jewellery Design competition in 2016.
- ▶ A DUT Journalism alumnus (ND Journalism and BTech Journalism graduate) and The Mercury reporter Sphelele Ngubane, received the prestigious Chevening scholarship to study towards a Master's degree. Mr Ngubane was accepted at Westminster University in England and at Cardiff University in Wales. He chose to go to Cardiff University.
- ▶ The Sharon Wilson Award Winner for the top student in English and Communication last year was Miss Noorain Manjoo from Human Resources Management who achieved a mark of 87%.

The Faculty of Arts and Design was part of the bid committee that secured the 24th International Symposium

on Electronic Art (ISEA) to be held in Durban in June 2018. ISEA requires the organising committee to attend preceding conferences. The Executive Dean and Mr Greg Streak (Faculty Rep) attended ISEA205 in Hong Kong.

- ▶ The Executive Dean was selected to form part of the South Africa – Réunion Island 2040 Scenarios and Strategic planning process, organised and sponsored by the French Embassy and prefecture La Réunion. Through this engagement, Dr Smith (Executive Dean) was able to meet with management of the Ecole Supérieure d'Art de La Réunion to explore a partnership and mobility project. This was coordinated by the Jules Verne-sponsored French Lecturer at DUT, Dr Delphine Colin.
- ▶ Three lecturers and their students from Ecole Supérieure d'Art de La Réunion (ESA), a College of Fine Art in La Réunion visited the Faculty of Arts and Design. The lecturers gave presentations on their work in a Research Seminar, while the students stayed for two months completing projects in Jewellery Design, Sculpture, Drama and Fashion Design.
- ▶ In November, the interchange with the Ecole Supérieure d'Art de La Réunion resulted in three staff members from the Faculty, the Deputy Dean, a lecturer in Fashion Design and a lecturer in Fine Art along with five Fine Art students, visited the College. The students stayed for two weeks and benefitted from the experience. The two lecturers (Ismail Farouk and Lee Scott) gave presentations on their work and taught in the College. We plan to offer further exchanges like this for staff and students in future.
- ▶ Another important exchange was a visit by staff from the Beijing Institute of Fashion Technology (BIFT) to the Faculty. Arising from the Executive Dean's visit to BIFT in December 2015, as identified by Professor Bawa the then Vice-Chancellor and facilitated by our DUT Confucius Institute, a BIFT delegation visited DUT in 2016 to meet with faculty in Fashion and Jewellery Design. They attended the annual DUT Fashion Show and have since invited a delegation from the Faculty and the Fashion

Design Department to display at BIFT in May 2017.

- ▶ The Faculty continued its partnership with Camoes Institute, which sponsored a senior academic, Professor Maria Albuquerque, to drive Portuguese offerings in 2016.
- ▶ The Journalism programme hosted Specialist Fulbright Scholar, Professor Aashish Kumar from Hofstra University in the USA. It also hosted Professor Alicia Torres from Portugal.

From the Faculty of Engineering and the Built Environment, awards and achievements in teaching and learning included:

- ▶ Students Senzekile Mlambo and Milona Ramnarain worked tirelessly in the launch of the South African Council for the Architectural Profession (SACAP) initiated Women in Architecture South Africa (WiASA) from April to August 2016.
- ▶ Shreshta Singh received the Silver Medal for the best BTech student from the South African Institution of Chemical Engineers.
- ▶ Shreshta Singh, from the Chemical Engineering Department obtained the award for the Best Female BTech student at a University of Technology, nationally.
- ▶ Trishen Reddy, from the Chemical Engineering Department obtained the award for the Best Male BTech student at a University of Technology, nationally.
- ▶ Valencia Parsaraman was nominated as one of the top 100 University students across South Africa for the GRADSTAR awards in 2016.
- ▶ The Chemical Engineering Department has a MOU with École nationale supérieure des ingénieurs en arts chimiques et technologiques (ENCIASET) in France for student and staff exchange for collaboration on research. The department hosted three students for the BTech: Chemical Engineering programme.
- ▶ The Urban Futures Centre (UFC) was awarded a number of grants for a variety of projects. Some of these include:
 - UFC-City Alliance funding is for a project that the UFC is doing in collaboration with the Democracy Development Project entitled 'Migrancy and Social Inclusion'

- UFC-Open Society Foundation – this funding award was allocated for the community theatre production, *Ulwembu*, which is an in-depth exploration, through theatre, of the complex pathways into and out of drug use. *Ulwembu* was given six awards by the Durban Theatre Awards in November 2016, including for best production and for best lead actor.
 - UFC-STIAS – this funding was provided for carrying out dreaming workshops that investigate the way in which high school students imagine the future and ways to attain their future dreamed society.
 - UFC-Ahmed Kathrada Foundation – this funding supported the hosting of anti-racism forums in Durban, making use of a number of innovative mechanisms for creating dialogue amongst individuals with vastly different views and lived experiences of ‘race’.
- ▶ Electrical Power Engineering obtained a Grant of R50 000 from ESKOM Tertiary Education Support Programme (TESP).
 - ▶ Mr Tom McKune the HOD of the Department of Civil Engineering in Pietermaritzburg was awarded the SAICE Transportation Division’s Chairman’s award for 2016. The Chairman’s award is awarded to an individual who is a registered Civil Engineering professional, a member of SAICE and has contributed significantly to the Transportation Engineering profession.

Research and Innovation

In early 2014, DUT developed its research executive strategic plan¹ that recognised the need to create competitive and prestigious research centres and focus areas sponsored by both public and private funding sources by 2018. Part of the plan meant

that there would be an initial investment as seed funding to get the established units on their feet and enable them create capacity to participate in competitive research and innovation activities as well as compete for external funding. Since 2015 there has been remarkable growth in research activities, increasing the pool of postgraduate students in these centres that are funded increased engagement internally and externally with key stakeholders by the research focus areas themselves.

This is evident, for example, in the Institute for Water and Waster Water Technology (IWWT), the institute of Systems Science (iSS) and the Peace Programme within the International Centre of Non Violence (ICON), where postgraduate research is increasing and with it the concomitant number of publications by both staff and postgraduate students.

Research focus areas

Research focus areas² are places where young, novice and emerging researchers can be mentored to develop their own niche focus areas so that they can also become established, mentor others and apply for NRF ratings. The postdoctoral forum and pool of postgraduate students form a community of emerging researchers who also contribute significantly to the University’s research profile and research culture. To this end, we delineate the various research and postgraduate indicators that we are required to report on as well as others like grant acquisitions, NRF ratings, research impact, collaborations and partnerships.

There has been considerable focused attention on strengthening the few Research Focus Areas (RFAs) which the University identified. Attention has also been given to increasing the number of instruments and grants to support the University’s research capacity development programme, pre-Doctoral mentoring

1. Research executive strategic plan, <http://ddt72ar9zv4px.cloudfront.net/wp-content/uploads/2015/11/Research-Strategic-Plan.pdf>
 2. Research Focus areas at DUT, <http://ddt72ar9zv4px.cloudfront.net/wp-content/uploads/2015/11/Research-Focus-Areas.pdf>.

programme, research ethics and integrity training, grantsmanship, science communication and research skills training. In terms of science and communication and creating a number of engagement platforms, the first interdisciplinary postgraduate conference

at DUT was held and attended by both internal and external stakeholders. This is envisaged to become an annual event.

Table 1: Research Focus Areas

Research Focus Area	Leader	Host
Established Areas		
Water	Prof Faizal Bux	Institute for Water and Wastewater Technology
Enzyme Technology	Prof Suren Singh	Faculty of Applied Sciences
Nanotechnology	Prof Krishnan Kanny	Department of Mechanical Engineering
Food and Nutrition Security	Prof Carin Napier	Faculty of Applied Sciences
Computational Modelling and BioAnalytical Chemistry	Prof Krishna Bisetty	Department of Chemistry
Systems Science	Prof Kevin J Duffy	Institute of Systems Science
Urban Futures	Prof Monique M Marks	Faculty of Engineering and the Built Environment
Peace Studies (ICON)	Prof Geoffrey Harris	Faculty of Management Sciences: ICON
Indigenous Knowledge Systems and Drug Delivery Systems a. Plant Biotechnology b. Indigenous Knowledge Systems	Prof Bharti Odhav Prof Nceba Gqaleni	Faculty of Applied Sciences
Emerging Areas		
Management Studies	Prof Renitha Rampersad	Faculty of Management Sciences
Energy	Dr Ian J Lazarus	Department of Physics
ICT and Society	Prof Oludayo O Olugbara	Faculty of Accounting and Informatics
Health Studies	Prof Nokuthula Sibiya	Faculty of Health Sciences
Transformation through the Arts and Design	Dr Maleshoane Rapeane-Mathonsi	Faculty of Arts and Design

Research productivity

The total research productivity units are expected to exceed 443.65³ in the 2016 reporting year. This effectively would mean that DUT would have exceeded its 0.565 per FTE weighted productivity profile which is estimated to be 0.739. Despite this growth, the University needs to try and increase participation rates amongst women and particularly Black South Africans, as bibliometric analysis of DUT Research shows the need to devise strategies of attracting and building a pool of strong young Black academics as part of the active research base of the University.

The year 2016 saw the University grow its research and innovation profile significantly with increased publication units from 152.13 (2014) to over 235.65 in 2015 (audited and reported in 2016). The estimated publication count based on 2016 publications to be reported in 2017 shows the following status:

Table 2: Publication Count per Publication Type

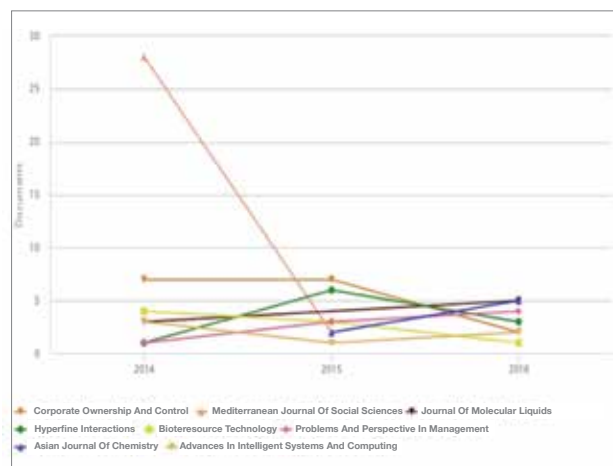
Publication type	Number of publications
Accredited journal articles	216
Non-accredited journal articles	35
Book chapters	24
Books	3
Conference proceedings	78
Number of authors (staff and students)	279

Other research output related indicators (such as percentage of academic staff with Doctoral qualifications, postgraduate student numbers and graduation rates, number of postdoctoral fellows, etc.) are reported in the University's Annual Performance Review, elsewhere in this report.

Research impact and citations based on Scopus and Web of Science records

Between 2014 and 2016 there were 656 documents published with DUT affiliation through the Scopus database. The quality of journals, in which staff have been publishing from 2014 to 2016, has improved and also diversified. All these journals are peer reviewed and accredited. Figure 9 below shows the profile of journals which have a high percentage of DUT articles published. With an increase in the number of journals and the risk of predatory journals as well, staff and students are encouraged to verify journal information before publishing according to DHET accredited lists. The Mediterranean Journal of Social Sciences was removed from the list of accredited journals.

Figure 9: Journals 2014-2016 with High DUT Publication Count



- Awaiting DHET approval to be announced in due course and final DHET report not available at the time of writing the report.

Research Focus Areas and Institutional Collaborations by Publication Affiliation

Figure 10: DUT Scopus Publications – Institutional Collaborations (2014 to 2016)

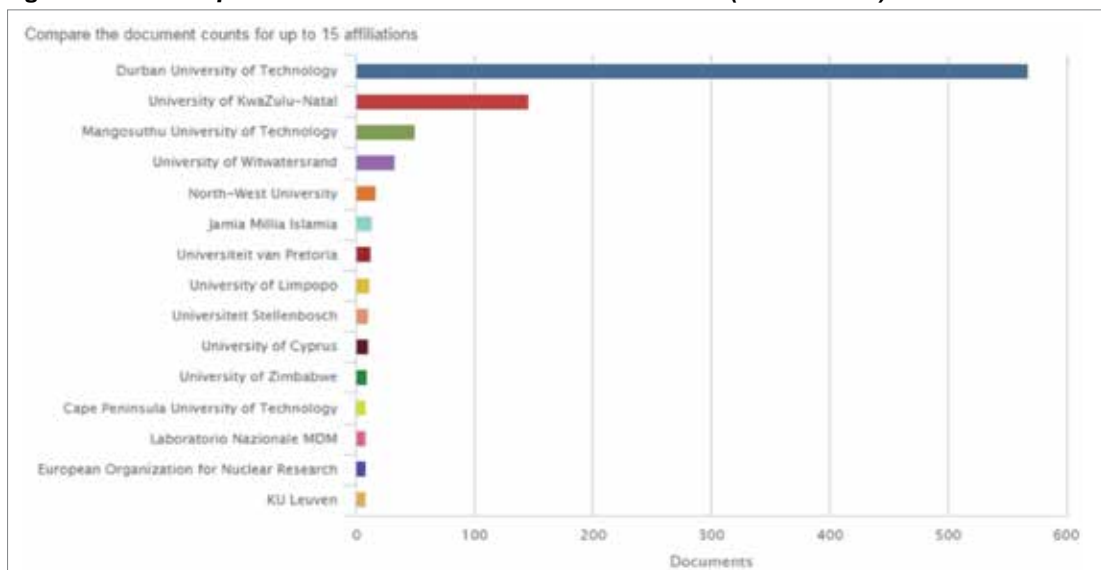


Figure 11: DUT Scopus Publications (2014 to 2016) by Subject Area

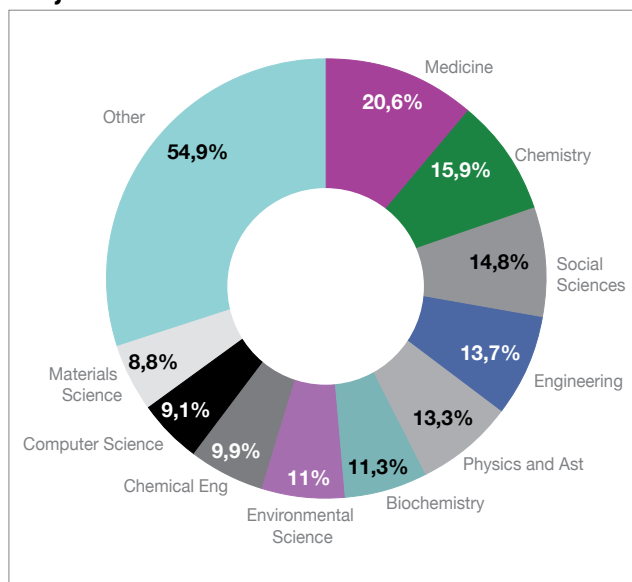
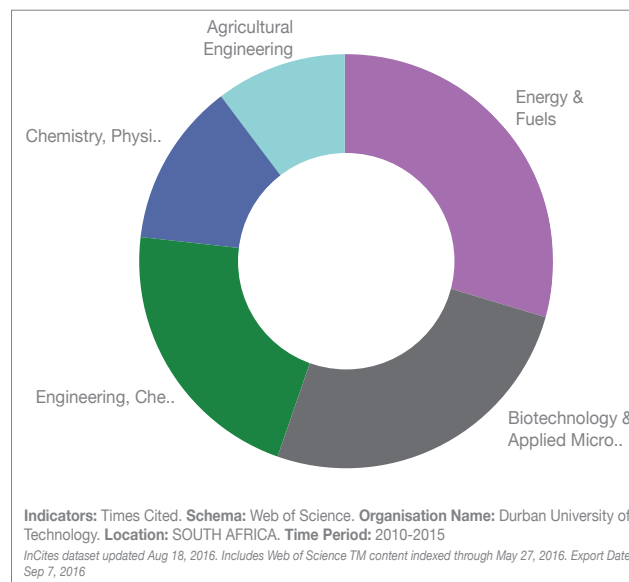


Figure 12: DUT WoS Publications (2010 to 2015) Top Cited Research Focus Areas



Postgraduate enrolments and graduations

Table 3: 2016 Postgraduate Enrolment and Graduations by Faculty

Postgraduate Headcount and Graduates per Faculty for 2016						
Faculty	Headcount			Graduates		
	Masters	Doctorates	Grand Total	Masters	Doctorates	Grand Total
Accounting and Informatics	73	18	91	11	2	13
Applied Sciences	114	48	162	17	11	28
Arts and Design	56	16	72	10	0	10
Engineering and the Built Environment	105	29	134	19	7	26
Health Sciences	243	38	281	50	5	55
Management Sciences	266	172	438	43	14	57
Grand Total	857	321	1178	150	39	189

(Source: 2016 Hemis Submission 2)

While these numbers mark an increase from the previous years it is important to note that there is a need for a strategic recruitment plan for postgraduate students with matching resources for both supervision and competitive scholarship funding for deserving students in order to grow the postgraduate enterprise.

Rated researchers

Table 4: DUT Rated Researchers 2016 by Category Rating

Rating as at 2016	Surname	Init	Title	Specialisation
A2 Leading international researcher	Chapman	MJF	Prof	Literary criticism, Literary culture, English literature
B2 Internationally acclaimed researcher	Marks	M	Prof	Community development, Community based research, Policing Studies, Security management, Ethnography, Community engagement, Urban studies
B3 Internationally acclaimed researcher	Bux	F	Prof	Wastewater technology, Algal biotechnology, Wastewater bioremediation, Biological wastewater treatment
	Preece	J	Prof	Adult education, Lifelong learning, Community engagement
	Stenstrom	TA	Prof	Applied and Environmental Microbiology, Environmental Impacts, Applied environmental science, Advanced microbiology
CI Established researcher	Singh	S	Prof	Environmental enzymology



Rating as at 2016	Surname	Init	Title	Specialisation
C2 Established researcher	Bharuth-Ram	K	Prof	Nuclear Physics, Materials Research, Ion implantation in diamond and related materials, Emission channeling, Radioactive ion beams, Hyperfine Interactions, Nuclear Physics, Materials Research and technology, Ion implantation, Hyperfine Interactions, ion irradiation
	Collins	AJL	Prof	Critical psychology, Gender studies, Media studies, Counselling psychology, Cultural studies
	Govender	M	Prof	Relativistic astrophysics, Thermodynamics, Gravitation, General relativity (Physics)
	Harris	GT	Prof	Development studies, Economics, Education, Development economics, Peace studies
	Kanny	K	Prof	Nanomaterials, Conductive polymer nanocomposites, Analytical polymer science, Natural fibre reinforced composites, Robotics, Nanoclay polymers, Nanostructures, Plastic design of structures, Fatigue and fracture
C3 Established researcher	Bisetty	K	Prof	Computational chemistry, Bioanalytical chemistry
	Deenadayalu	N	Prof	Thermodynamics, Ionic liquids, Pulp and paper, Solvent extraction, Phase equilibria, Chemical thermodynamics, Activity coefficients, Lignocellulose, Pulp and paper Biotechnology, Chemical biotechnology
	Dorasamy	N	Prof	Governance and public management, Public administration Ethics, Values based leadership
	Duffy	KJ	Prof	Mathematical modelling, Ecological modelling, Monte Carlo methods, Computational mathematics
	Gqaleni	N	Prof	African traditional medicine, Indigenous health system, African traditional medicine
	Kuttan Pillai	SK	Dr	Applied and Environmental Microbiology, Biological wastewater treatment, Biohydrogen, Microalgae
	Meyiwa	T	Prof	Gender and culture, Self-directed learning
	Odhav	BO	Prof	Antimalarial drugs, Anticancer drug development, Biochemistry (Medicinal plant), Cellular and molecular biology, Food – Nutrition, Anti-tb compound tests, Anti-diabetic drugs – Research, HIV drugs, Plant tissue culture, Algae biotechnology
	Permaul	K	Prof	Enzyme application in biocatalysis, Microbial enzymes, Directed evolution, Enzymes – Industrial application
	Zloschastiev	KG	Dr	Superfluidity, Gravitation, Quantum physics, Degenerate quantum gases, Open quantum systems, Quantum field theory, Elementary particles, Cosmology, Differential equations, Nonlinear and complex systems

Rating as at 2016	Surname	Init	Title	Specialisation
Y2 Promising young researcher	Amonsou	EO	Dr	Food processing, Food chemistry- specialising in legume proteins: functional characterisation of protein-polysaccharide complexes
	Erwin	K	Dr	Sociology, Urban, Community based research, Ethnography, Sociology – Race, Class and Gender, Urban housing, Race
	Kudanga	T	Prof	Biocatalysis, Bioactive compounds, Antioxidants, Biotransformations, Antimicrobials, Environmental biotechnology, Lignocellulose
	Venugopala	K	Dr	Antimicrobial screening, Pharmaceutical sciences, Antimalarial compounds, Antituberculosis drugs, X-ray crystallography, Anticancer plant products, Antimicrobial peptides, Isolation and structural elucidation, Antioxidants, Anticancer drug development

Grant acquisitions and external funding

The external research funding for projects has grown significantly. Good quality research and innovation, by its own nature, has the ability to attract strategic funding and partnerships. It is also the quality of research staff and their outputs that play a significant role. In 2016, we have seen this indicator on grants grow and diversify beyond reliance on NRF grants only to over R71 000 000 for specific projects.

The growth in seed funding from the Technology and Innovation Agency (TIA) for projects that have an innovative and technological application capacity is also significant. We envisage that this will lead into patents and spin offs. We have had at least one spin off application in the reporting year from the Faculty of Applied Sciences in Food Technology.

Research and engagement go hand in hand and the University has seen growth in both the number of collaborations through co-publications and the increase in the number of functional MoUs with key stakeholders. In addition, there are extensive regional and international collaborations.

The following grants are from various science councils and funders across the board including the Gates Foundation that funded one of the first projects at DUT headed by Prof TA Stenstrom, the SARCHI Chair of the Institute for Water and Wastewater Technology.

Table 5: DUT Research, Innovation Funding 2016

Description	Amount
TIA seed funding	R4 777 500
AU/EU funding	R3 976 079
Global foundation – HEADS	R657 500
HIVOS	R1 917 994
Technology station – Mechanical Engineering	R3 219 240
Medical Research Council	R1 491 575
Water Research Council	R432 852
NRF (RPS)	R41 590 879
Agricultural Research Council	R1 263 620
CSIR/DST	R2 298 515
SAQA	R710 000
EDTEA	R466 650
NIHSS	R360 000
Foundation for Open Society	R380 734
STIAS	R62 200
RDG	R7 827 000
GCRO	R40 000
Umgeni Water	R100 000
ESKOM	R270 000
NSN Funding	R228 000
EW SETA	R1 298 735
DST (indigenous knowledge)	R3 000 000
TOTAL	R76 369 074

Research Ethics

Research ethics and integrity is also one of the focus areas that, we believe, will help our researchers carry out responsible research that protects research participants and adds value to the well-being of our communities. It also influences the research culture of the University and promotes ethical behaviour. We thank the Institutional Research Ethics Committee (IREC) for all its work and the DUT Gatekeeper's Committee (DGC) for the role they play to ensure that the institutional reputation is maintained.

Conclusion

The year 2016 was a busy but productive year at DUT. This is especially so with respect to curriculum renewal, e-Learning and student success initiatives. We continue to show slow, yet noticeable improvement in our efforts to help students succeed. The graduation rates in particular have remained in the mid-twenties. It is clear though, that we still have considerable work to do with respect to improving retention.



Professor TZ Mthembu
Chairperson: Senate





COUNCIL STATEMENT ON SUSTAINABILITY

The challenged economic climate of South Africa and the higher education sector events of 2016, in particular the #FeesMustFall campaigns sharply brought a recognition to Council that it is pivotal to plan, guide and exercise tight oversight on the sustainability of the University. DUT Council considers sustainability in a serious manner. Two of the four Strategic Focus Areas of the University's Strategic plan relate to sustainability, namely:

- ▶ Building a sustainable University
- ▶ Building sustainable student communities of living and learning

The fact that the majority of our students are drawn from the lower Living Standards Measure (LSM) categories, the University's lack of large reserves to draw upon, the poor state of our infrastructure, the fact that subsidy levels per FTE are in decline and the increasing costs of staff remuneration all contribute to the concerns about sustainability. Student protest actions against fee increases, indeed, for free higher education, have exacerbated these concerns. Sustainability is also about ensuring that we have a University in place for future generations.

The financial stability of DUT is an element of governance that Council guards quite closely. We ensure that we are aware of the University's operating margins and interrogate mitigating risks through the annual Council workshop attended by Council members, executive and the senior management team. Arising

from the Council November 2016 workshop and mandates given to Council sub-committees (Risk and Audit and Finance Committees), Council closely monitors and exercises oversight to ensure sound governance processes. With the stringent national economic climate, declining state funding, as well as the #FeesMustFall campaigns tensions exist within operational expenditures. Hence, there are plans to find sustainable solutions to curtail costs and for sourcing funds. In 2016, Council cast a sharp eye on the growth in third stream income mainly through reviewing the work and opportunities of the Centre for Continuing and Professional Education (CCPE), which was approved by Council in September 2014 and led to the CCPE functioning fully in 2015 to manage and promote third stream income-generation. Further, cognisant of the Engagement imperative of the University's 2015-2019 Strategic plan, Council had oversight and noted the realisation of the University's engagement with the external community through short-term programmes offered by CCPE in 2016. Subsequently, in 2016, the University extended its reach-out activities to its immediate community and in turn contributed positively towards its development.

Council acknowledges that any discussion in respect of insourcing of outsourced services has, on the one hand, costs and efficiency (sustainability) as a key criterion for assessment on the other, the imperative of social justice (equity and fairness). Both these criteria have to be weighed up in arriving at a decision against the backdrop of a debate that has become highly politicised.



Parsons University of Technology
Rajshahi Engineering College
Dhaka, Bangladesh

Sl. No.	Name of the Candidate	Roll No.	Grade
1	ABU BAKAR	101	B
2	ABU HASAN	102	C
3	ABU JAFAR	103	A
4	ABU KHALIL	104	B
5	ABU LATIF	105	C
6	ABU MANSUR	106	A
7	ABU NUR	107	B
8	ABU RAHMAN	108	C
9	ABU SAJJAD	109	A
10	ABU TALIB	110	B
11	ABU YOUSUF	111	C
12	ABU ZAKARIA	112	A
13	ABU ZUBAYR	113	B
14	ABU ZUBAYR	114	C
15	ABU ZUBAYR	115	A
16	ABU ZUBAYR	116	B
17	ABU ZUBAYR	117	C
18	ABU ZUBAYR	118	A
19	ABU ZUBAYR	119	B
20	ABU ZUBAYR	120	C



COUNCIL STATEMENT ON TRANSFORMATION

The Durban University of Technology's 2015-2019 Strategic plan espouses the University's broad transformation aspirations from which the institutional Transformation Plan, 2017-2019 emanates. As DUT operates within the public South African Higher Education (HE) landscape and cognisant of the imperatives of the Department of Higher Education and Training (DHET), it is crucial for DUT's Council to embrace transformation, reconstruction and development. In turn, Council acknowledges that the University should be informed by various national policies, plans and strategies, including the Higher Education Act (No.9 of 2016); the National Development Plan; recommendations of the National Planning Commission; the White Paper for Post-School Education and Training in South Africa and the Department of Higher Education and Training (DHET) 2014-2019 Enrolment Plan. The National Plan for Higher Education (February 2001) identifies a number of key strategic goals for the country's higher education system, including education for economic and social development through educational relevance, achieving equity through improving student access and success and sustaining and promoting research.

Subsequently, the 2016 Council Workshop used the transformational imperatives for the higher education sector as the backdrop of the workshop. It is to this end that Council supports and exercises oversight over the University's set of established and unfolding transformative projects. Council requires presentation of progress reports at scheduled Council meetings; for example, the Curriculum Renewal Project launched in 2011 is regarded as one of the vehicles of transformation. Other transformation projects and persuasions relate to reviewing the University's Language Policy and the University's Equity Plan, which is focused on building numbers of African staff at all levels and has plans for developing and retaining such talent.

Evidently, drawing from the 2015-2019 Strategic plan, Council acknowledges that it is crucial that these projects should have a student-centred focus that ensures that all endeavours are geared to the holistic development of its students and the advancement of the two 'DNA strands' of the University as espoused in the Strategic plan, namely Student-Centredness and Engagement.

Figure 13: Staff Profile by Race and Gender

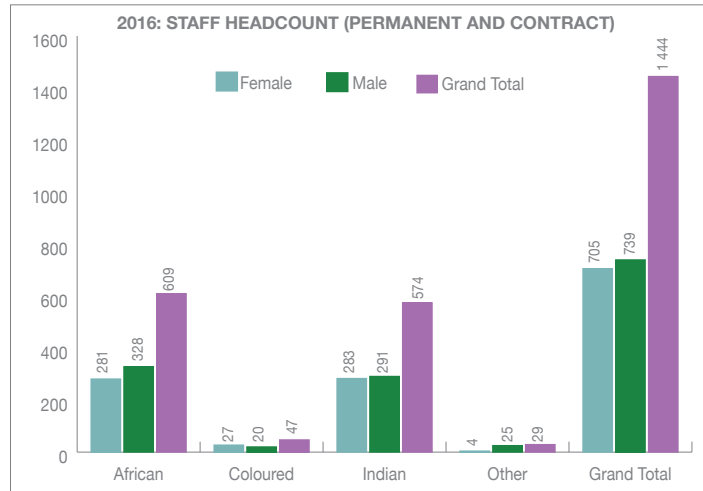
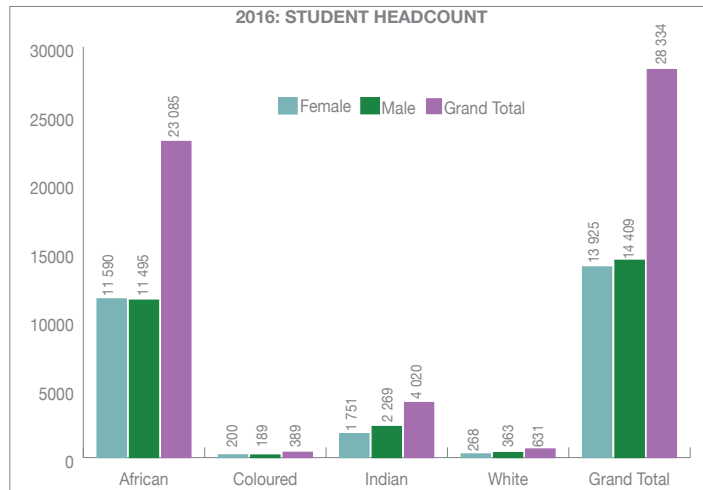


Figure 14: Student Profile by Race and Gender



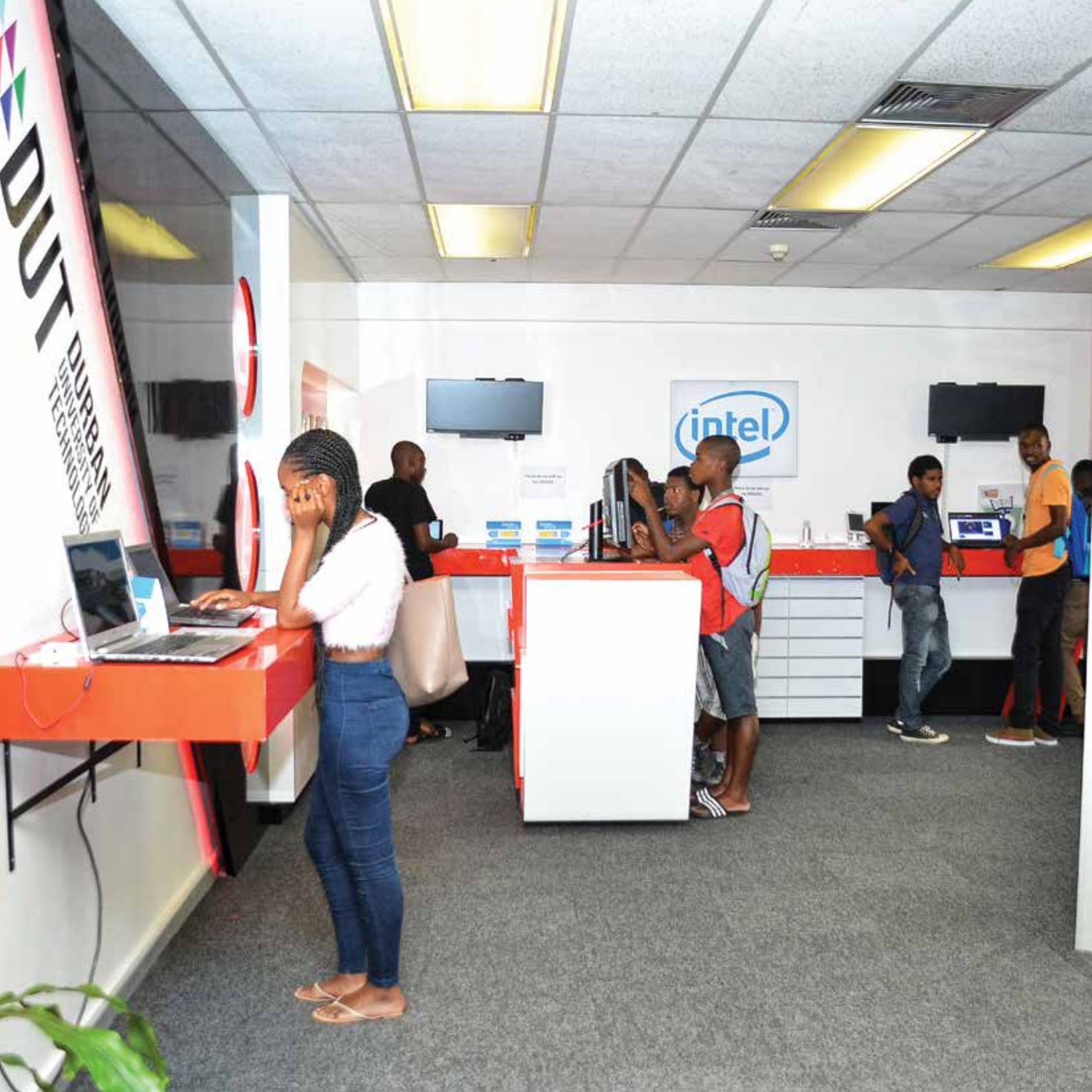
Note: the table above does not include "Other" viz. 116 Female, 93 Male, 209 Total.



Professor TZ Mthembu
Vice-Chancellor and Principal



Mr NZW Madinane
Chairperson of Council





REPORT OF THE INSTITUTIONAL FORUM

“ The Institutional Forum in the early stages of 2016 saw a significant change in the composition of its membership due to the expiration of the term of office of five internal stakeholders (two Representatives of the Academic Employees, two Representatives of the Professional, Administrative, Support Service Employees and one Senate Representative). ”

The forum held three scheduled meetings and three special meetings. Much of the deliberations of the scheduled meeting centred on the area of Transformation and a task team was established to take the process forward. The task team obtained a commitment from the Vice-Chancellor in respect of the funding of initiatives around transformation. The team identified areas such as: the curriculum, teaching and learning, student-centredness and employment equity which need to be considered in the broader transformation debate. There was consensus among Forum members that an initial dialogue takes place in 2017 so that the entire University Community has a common understanding of the concept of transformation. Thereafter, a conference would be hosted with at least two invited keynote speakers.

The Draft Social Media Policy, which the Forum was tasked with finalising, was sent to faculties for comments. The Forum

expects the inputs to be tabled at its scheduled meeting in 2017 to consider inputs and compile a final policy for submission to Council for approval.

The Institutional Forum Language Policy task team is finalising the policy for circulation to the wider stakeholders. The team members experienced a challenge in obtaining attendance from the SRC Transformation sector and also with securing the assistance of a linguistics expert. The team was nevertheless drafting the policy taking into consideration that aspects related to signage must be incorporated.

As part of its obligation to advise Council, the Forum was tasked with a review of Human Resource Policies. With the assistance of the Senior Director Human Resources, the Acting DVC Operations, and Labour, the Forum members spent an enormous amount of time and energy to see the process through. The task



was accomplished and a report of the recommendations will be presented to the Human Resources Committee of Council in May 2017.

An area of concern that the Forum noted was the physical state of the campus. The Forum is aware that this matter has been raised in previous years and that there was very little progress in this regard. The state of lecture venues and access for physically challenged persons in terms of elevators are areas of priority.

The Forum was actively involved in the process of advising Council on the interim appointments regarding the Vice-Chancellor and Deputy Vice-Chancellors' posts. Later in the year, the Forum was also part of the selection process for the appointment of a substantive Vice-Chancellor and submitted its deliberations to Council for consideration.

It is hoped that during 2017, there would be more robust debate and discussion on the aspects of student fees and the financial sustainability of the University.

The postponement of the Annual Institutional Forum Dinner and Dance was unavoidable due to the academic calendar being

extended to late in the year. The venues were booked for examinations and there was inadequate time and finances to have the function at an off-campus venue. The Forum has agreed to have the Dinner dance during the middle of 2017.

The work of the Forum in terms of its statutory obligations has been an interesting one especially for new members. It is hoped that during 2017 a workshop will be facilitated between Council, the Institutional Forum and Executive Management so that the roles and functions are made clearer and the structures are able to work together in the best interest of the University.

Dr Naresh Sentoo
Chairperson, Institutional Forum





COUNCIL STATEMENT ON CORPORATE GOVERNANCE

“ The Durban University of Technology Council is responsible for ensuring that, as a collective, we conduct University business in accordance with the law and proper standards and that finances are safeguarded and properly accounted for used economically and efficiently. ”

The Annual University Council's Statement explains how the University has complied with the stipulated governance framework for the year 2016. In accordance with Regulations for Annual Reporting by Public Higher Education Institutions published in Government Notice No. R. 464 in Government Gazette No 37726 of 09 June 2014, the DUT Council is required to present this report. The Council considers that it has materially complied with these reporting requirements. In this statement, we provide a brief overview of the University's governance structures, legal status and corporate governance practice.

The composition, powers and responsibilities of the Council are in accordance with the Higher Education Act No 101 of 1997 (as amended), the Durban University of Technology's Statute, Code of Ethics and Code of Conduct for Council members. The Council's responsibilities include the ongoing strategic direction of the University, approval of the budget, major developments and policies and the receipt of regular reports from Executive Management on the day-to-day operations of the University. Council comprises

thirty members, nineteen (63%) of whom are external members who are neither employees nor students of DUT. The role of the Chairperson of the Council is clearly separated from that of the University's Chief Executive, the Vice-Chancellor.

On 18 November 2016, Council facilitated its Annual Workshop. Council regards the workshop as a significant forum to closely engage and guide the University Executive and Senior Management on key governance matters. The Workshop was attended by Council members and the University's senior management team. The workshop covered areas such as DUT's strategic plan and critical foundational matters, risks and opportunities pertaining to the five-year financial plan, the human resources plan and the enrolment plan and curriculum renewal, the confluence of planning, risk management and quality assurance, the top ten 2017 risks, research innovation and broader engagement. Significant discussion took place on these topics and Council provided advice and engaged positively with DUT's Management in advancing the Strategic Plan and DUT's vision going forward.

In accordance with scheduled times, Council met four times in 2016 and had two additional special meetings related to the milestone of any University, the appointment of the Vice-Chancellor and Principal. The first 2016 Council meeting in March 2016, was preceded by a Council awards annual function on the evening before the meeting at which Council acknowledged staff and students who had excelled in their various University activities in the previous year. The Chair of Council's report in this respect, refers. Three Council scheduled meetings were preceded by guest speakers presenting on matters particularly related to DUT activities and the higher education environment. Council regards these as a significant platform through which it is kept abreast of current activities and challenges. In a concerted effort to ensure good governance, Council and in particular its Executive Committee, held special meetings to advise and provide guidance to the University Management during the "Fees Must Fall" campaigns.

Council Committees

In discharging its overall responsibility, DUT Council is also responsible for putting in place proper arrangements for the governance of University affairs and facilitating the effective exercise of its functions through Council Committees. Through these Committees the Council secures good governance and continuous improvement in the way in which the University exercises its functions.

All Council Committees are formally constituted with terms of reference and comprise mainly external members of Council. In addition, one external Council member serves on each of the University's Student Services Board and the Vice-Chancellor's Risk Management Committee; two external Council members serve on the Senate, Institutional Forum and Professorial Appeals Committee, respectively. The Chairperson of Council and three external and two internal members of Council serve on the Electoral College for Chancellor.

Details of the Council Committees are as follows:

Executive Committee, which, inter alia:

- (a) acts on behalf of the Council in urgent matters with subsequent reporting to Council;
- (b) considers and makes recommendations to the Council on matters referred to the Council by committees of the Council, the Senate and its committees, Executive Management joint committees of the Council and the Senate, thus serving as a "clearing house" for the Council;
- (c) makes recommendations on appeals by staff members who have been found guilty of misconduct;
- (d) investigates and finalises any matters delegated by the Council;
- (e) makes recommendations to the Council on policy issues;
- (f) refers any matter which it deems necessary in the interest of the University to the Senate or any committee;
- (g) acts on behalf of the Council with full powers during the University's vacation period;
- (h) considers nominations for vacancies on Council for recommendation to Council.

Audit Committee, which provides assistance to Council with regard to inter alia:

- (a) ensuring compliance with applicable legislation, the requirements of regulatory authorities and matters relating to financial management and internal control, accounting policies, reporting and disclosure;
- (b) reviewing and recommending to Council all external audit plans, findings, problems, reports and fees;
- (c) reviewing and recommending to Council all internal audit plans, findings, problems, reports and fees;
- (d) reviewing the annual financial statements for fair presentation and conformity with international financial reporting standards and assessing whether they reflect appropriate accounting practices and principles;
- (e) reviewing accounting policies;
- (f) recommending to Council the appointment of the internal and external auditors;
- (g) ensuring compliance with all areas of risk and the management thereof. The Council Risk Committee reports to the Audit Committee;
- (h) ensuring adherence to the Internal Audit Charter.

Both the internal and external auditors have unrestricted access to the Audit Committee, which ensures unimpaired independence. They attend Audit Committee meetings and are also afforded separate opportunities to meet with the Committee. The Chairperson of Council is not a member of the Audit Committee.

Council Risk Committee is a Committee of the Audit Committee and is chaired by an elected external member of the Audit Committee. The Risk Committee:

- (a) recommends to the Audit Committee the risk philosophy, strategy policy and ensures compliance with such policy;
- (b) recommends to the Audit Committee concerning the levels of risk tolerance and risk appetite and ensures that risks are managed within the levels of tolerance and appetite;
- (c) reviews and assesses the integrity of the risk management systems and ensures that the risk policies and strategies result in a thorough understanding of risks faced by the University in the pursuance of its objectives, together with the methods employed to mitigate the impact of those risks;
- (d) monitors the reporting of risk by management with particular emphasis on significant risks or exposures and the appropriateness of the steps management has taken to reduce the risk to a tolerable level;
- (e) monitors external developments relating to risk management including emerging risks and their potential impact;
- (f) ensures that management also has a focus on “upside risk” i.e. making sure that the University takes advantage of opportunities;
- (g) ensures that a formal risk register is maintained with an indication of how the risk is managed and mitigated;
- (h) oversees that the risk management plan is widely disseminated throughout the University and integrated in the day-to-day activities of the University;
- (i) ensures that risk management assessments are performed on a continuous basis;
- (j) reviews reporting concerning risk management, that is to be included in the integrated report, for it being timely,

comprehensive and relevant;

- (k) considers the result of work performed and the conclusions of the internal Audit Function in relation to the risk management; and
- (l) liaises closely with the Audit Committee to exchange information relevant to risk.

To fulfil its responsibilities and duties in respect of IT Governance, the Committee:-

- (a) reviews the adequacy and effectiveness of the control framework and governance structures implemented within the IT environment;
- (b) satisfies itself that the risk management process sufficiently covers the IT environment and provides appropriate oversight of the risks identified within that environment;
- (c) reviews the arrangements management has implemented for disaster recovery and business continuity;
- (d) considers and reviews the reliance of the University on IT systems and obtains assurance that:
 - risk assessments were conducted to understand the risks; and
 - controls are in place to govern the IT risks within the environments that are highly dependent on systems and
- (e) considers the adequacy of controls around the management of information and the protection of personal information processed by the University.

Finance Committee, which:

- (a) recommends to Council the University’s annual revenue and capital budgets which includes students’ residences;
- (b) monitors performance, in relation to the approved budgets for Council.

The Finance Committee must, *inter alia*:

- (a) formulate, develop, maintain and recommend to Council all policies in respect of all matters pertaining to the financial management and administration of the University;
- (b) recommend to Council all matters of a financial nature;

- (c) appoint and mandate signatories to all documents, cheques and agreements of approved transactions of a financial nature;
- (d) recommend to the Audit Committee any amendments to the financial rules with a view to enhancing financial control and administrative efficiency;
- (e) ratify all tenders approved by the Tender Committee.

The following are **Committees of the Finance Committee** and are chaired by the Chairperson of the Finance Committee:

Tender Committee, which is responsible, *inter alia*, for:

- (a) approving and awarding tenders over R1 million, excluding VAT, per purchase;
- (b) setting the criteria for evaluating tenders from time to time.

Investment Committee, which is responsible for:

- (a) recommending an Investment Strategy to the Finance Committee;
- (b) setting benchmarks for the Portfolio Managers;
- (c) ensuring that the long term investments will adequately cover appropriate long term liabilities and capital commitments;
- (d) providing guidance to the Portfolio Managers;
- (e) making decisions on the Investment Portfolio based on recommendations made by the Portfolio Managers.

Joint Audit and Finance Committee which:

- (a) recommends the Annual Financial Statements for the preceding year to Council for approval;
- (b) such other matters stipulated by Council from time to time or as stipulated by the Finance or Audit Committee from time to time.

Human Resources Committee, which, *inter alia*:

- (a) formulates the conditions of service of employees of the University in accordance with the Higher Education Act (Act No. 101 of 1997) for approval by the Council;

- (b) recommends to Council to amend the conditions of service in accordance with the Basic Condition of Employment Act, the Labour Relations Act and related legislation;
- (c) ensures compliance with all labour related legislation;
- (d) develops, creates, reviews and amends all policy relating to conditions of employment at the University for approval by Council;
- (e) ensures that there is a mechanism developed to allow for all statistics and data to do with human resources which reflect the current situation and remuneration matters, and that a report on these is submitted at each meeting;
- (f) ensures that the best practice, as appropriate for the University, is established and operating efficiently within the University, including job grading systems and performance management systems;
- (g) develops and submits to Council a remuneration policy appropriate for the University;
- (h) considers and recommends to Council matters relating to, *inter alia*, a remuneration policy.

Remuneration Committee, which determines the salary mandate to enable Executive Management to proceed with negotiations with labour.

Code of Conduct Committee, which has the power to exercise the following functions in relation to a particular investigation:

- (a) make written recommendations to Council proposing amendments to the Council Code of Conduct;
- (b) require from a member of Council, in respect of whom a complaint of misconduct has been lodged, to appear before the Code of Conduct Committee, to answer such questions as may be put to him/her by the Committee and to make representations to the Committee. Any other person can be called to give evidence or provide information to the Committee.
- (c) make a finding after the conclusion of an investigation and to submit such finding to Council, either with or without a recommendation as to what action, if any, should be taken in pursuance of such finding.



- (d) if the Committee is convinced that continued participation by the member, against whom a complaint has been lodged, will compromise its investigation, the Committee must recommend to Council that the member be suspended from the activities of Council and its committees until the timely finalisation of its investigation and finding. Such recommendation to suspend will be taken by EXCO of Council. If it is against a member of the EXCO of Council, such member will be excluded from the EXCO when suspension is decided upon.

Selection Committee for Senior Management, which is constituted on an ad hoc basis whenever it is necessary to fill the position of Vice-Chancellor and Principal or that of any Deputy Vice-Chancellor.

Staff and Student Participation

The Durban University of Technology uses a variety of participating structures for issues that affect employees and students directly and materially.

Insofar as staff members are concerned, three trade unions enjoy organisational rights, namely the National Tertiary Education Union (NTEU), the National Educational Health and Allied Workers Union (NEHAWU) and the Tertiary Education National Union of South Africa (TENUSA).

Each trade union elects one academic staff member to sit on Senate, one staff member to sit on the Safety/Health and Environmental Committee, Employment Equity Committee and the Skills and Professional Development Committee, two staff members to sit on the Institutional Forum and five staff members to sit on the Labour Management Consultative Forum respectively. The Unions also have observer status on the Selection Committees for all staff and have membership of the Selection Committee for Senior Management and on the Professorial Committee.

In addition three seats on Council, one on each of the Finance Committee and the Human Resources Committee of Council and four on the Institutional Forum are reserved for elected staff members.

The participation by students in decision-making is ensured by the membership afforded to the Students' Representative Council (SRC) on various formal and working committees. In terms of the highest decision-making bodies, the SRC appoints two members on the Council, three members on the Senate, four members on the Institutional Forum, one member on each of the Executive Committees of Council and Senate, one member on the Finance Committee of Council, one member on the Safety/Health and Environmental Committee and four members on the Student Services Board. In addition one student representative from each Faculty and two student members on the Central Housing Council from the Durban and Midlands Campuses respectively sit on the Student Services Board.

Furthermore, one SRC member sits on each of the Library Committee, the Selection Committees for Executive Managers, the Student Disciplinary Tribunal and the Vice-Chancellor's Student Appeals Tribunal. They also serve on the HIV/Aids, Financial Aid, Fees and House Committees. Students also have representation on all Faculty Boards.

Statement on Ethics

The University's Code of Ethics, as approved by Council, is a statement of the ethical principles, values and behaviours expected of the staff and individuals associated with the University. Such persons are required to be careful, honest, responsible and efficient and to avoid impropriety or the appearance of impropriety in order to preserve the resources and assets of the University for the Public Good. The Code also seeks to promote the highest standards of scientific and professional integrity and to give due consideration to the ethical issues arising from the activities of the University.



Professor Thenjiwe Meyiwa
Registrar and Secretary to Council



COUNCIL AND COMMITTEES OF COUNCIL

Council Members as at 1 January 2016 – 20 July 2016

NAME OF MEMBER	CONSTITUENCY
Dr J Reddy	Council appointee and Chair of Council
Mr R Harichunder	Council appointees
Mr Z S Gumede	
Ms B Ntombela	
Judge C N Patel	
Ms G G Twala	
Ms S Sibiyi	
Mr B Singh	
Dr J Volmink ¹	
Ms K P M Baloyi	Minister's Nominees
Ms D Hlatshwayo	
Mr T B Hlongwa	
Mr S Johaar	
Dr N Makhanya	
Cllr. W L Mapena	eThekweni Municipality Nominee
Mr N Z W Madinane	Convocation
Mr N Chonco	
Mr S H Vezi	
Mr L K T Mehta	M L Sultan Charitable & Educational Trust
Prof. A C Bawa ²	Principal and Vice-Chancellor
Dr J Volmink ³	Interim Principal and Vice-Chancellor
Prof. N Gwele	Deputy Vice-Chancellors
Vacant until 1 May 2016	
Prof. T Andrew (Acting DVC) ⁴	Senate
Dr L Samuels	
Dr R Smith	Academic Staff
Mr Z B Ngubane	
Ms N Patchiappen	Professional and Administrative Staff
Mr R Haripersad	Support and Service Staff
Mr S Mthembu	Students' Representative Council
Mr S Nene	
Mr M Estrice	Institutional Forum

1 Member of Council 1 January – 30 April 2016

2 Only until 30 April 2016

3 1 May 2016

4 Member effective 1 May 2016



Art Gallery

Cecil Renaud Theatre
Alan Pittendrigh Library



Council Members as at 21 July 2016 – 31 December 2016

NAME OF MEMBER	CONSTITUENCY
Dr Reddy ¹	Council appointee and Chair of Council
Mr N Z W Madinane ²	Convocation appointee and Chair of Council
Mr Z S Gumede	Council appointees
Mr R Harichunder	
Ms B Ntombela	
Mr S Sibiya	
Mr B Singh	
Ms G G Twala	
Dr J Volmink ³	
Vacant	
Ms K P M Baloyi	Minister's Nominees
Ms D Hlatshwayo	
Mr T B Hlongwa	
Mr S Johaar	
Dr N Makhanya	
Cllr. W L Mapena	eThekweni Municipality Nominee
Mr M Shange	Convocation
Mr S H Vezi	
Mr L K T Mehta	M L Sultan Charitable and Educational Trust
Dr J Volmink ⁴	Interim Principal and Vice-Chancellor
Prof T Z Mthembu ⁵	Principal and Vice-Chancellor
Prof N Gwele	Deputy Vice-Chancellors
Prof T Andrew (Acting DVC)	
Dr L Samuels	Senate
Dr R Smith	
Mr Z B Ngubane	Academic Staff
Mr N Patchiappen	Professional & Administrative Staff
Ms R Pankhurst	Support and Service Staff
Ms Z Mncube	Students' Representative Council
Ms Y Manele	
Mr M Estrice	Institutional Forum

1 Until September 2016

2 From September 2016

3 From 1 October 2016

4 Until 30 September 2016

5 From 1 October 2016

Membership of Council Committees and Council Members on other University Committees as at 01 January 2016 – 20 July 2016

OFFICE BEARERS OF COUNCIL

CHAIRPERSON: DR J REDDY

VICE-CHAIRPERSON: MR N Z W MADINANE

1. EXECUTIVE COMMITTEE

Dr J Reddy: **Chairperson** of the Council and Executive Committee
Mr N Z W Madinane: Vice-Chairperson of the Council
Prof. A C Bawa: Vice-Chancellor (until 30 April 2016)
Dr J Volmink: Vice-Chancellor (from 1 May 2016)
Mr R Harichunder: Chairperson of Finance Committee
Mr N Chonco: External Council Member
Ms B Ntombela: External Council Member
Judge C N Patel: External Council Member
Dr L Samuels: Senate member on Council
Mr S Mthembu: Students' Representative Council

2. FINANCE COMMITTEE

Mr R Harichunder: **Chairperson** of the Finance Committee
Dr J Reddy: Chairperson of the Council
Mr N Z W Madinane: Vice-Chairperson of the Council
Prof. A C Bawa: Vice-Chancellor (until 30 April 2016)
Dr J Volmink: Vice-Chancellor (from 1 May 2016)
Mr Z S Gumede: External Council Member
Mr T B Hlongwa: External Council Member
Vacant: External Council Member
Mr R Haripersad: Internal Council Member
Mr S Mthembu: Students' Representative Council

Advisory Members

Prof. N Gwele: Deputy Vice-Chancellor
Prof. T Andrew: Acting Deputy Vice-Chancellor: Operations (from 1 May 2016)
Prof. S Moyo: Acting Deputy Vice-Chancellor: Engagement (from 1 May 2016)
Chief Financial Officer

2.1. INVESTMENT COMMITTEE

Mr R Harichunder: **Chairperson** of the Investment Committee
Ms D Hlongwa: External Council Member
Vacant: External Council Member

2.2. TENDER COMMITTEE

Mr R Harichunder: **Chairperson** of the Tender Committee

3. AUDIT COMMITTEE

Mr S Sibiya: **Chairperson** of the Audit Committee
Mr N Z W Madinane: Vice-Chairperson of the Council
Mr R Harichunder: Chairperson of Finance Committee
Ms K P M Baloyi: External Council Member
Mr B Singh: External Council Member

Advisory Members

Vice-Chancellor and Deputy Vice-Chancellors
Chief Financial Officer
Chief Risk Officer

By Invitation

A representative of the External Auditors
A representative of the Internal Auditors
A representative from the Office of the Auditor General of SA

3.1 COUNCIL RISK COMMITTEE

Voting Members

Prof. A C Bawa: Vice-Chancellor (until 30 April 2016)
Dr J Volmink: Vice-Chancellor (from 1 May 2016)
Mr S Sibiya: Audit Committee Member
Mr R Harichunder: Chairperson of the Risk Committee
Mr L K T Mehta: External Council Member

Advisory Members (Non-Voting)

Dr R Smith
Dr M Mandew
Chief Risk Officer

4. HUMAN RESOURCES COMMITTEE

Voting Members

Mr N Z W Madinane: Vice-Chairperson of the Council and **Chairperson** of the Council Human Resources Committee
Dr J Reddy: Chairperson of the Council

Cllr W L Mapena: External Council Member
 Dr N Makhanya: External Council Member
 Ms G G Twala: External Council Member
 Prof A C Bawa: Vice-Chancellor (until 30 April 2016)
 Dr J Volmink: Interim Vice-Chancellor (from 1 May 2016)
 Mr N Patchiappen: Staff representative on Council

Non-Voting Members

Deputy Vice-Chancellor
 Dr R Smith: Senate representative on Council
 Dr N Sentoo: Chairperson of the IF
 Chief Financial Officer
 Administrative Head of Human Resources Department

5. REMUNERATION COMMITTEE

Voting Members

Mr Z S Gumede: Finance Committee Member
 Mr R Harichunder: Finance Committee Member
 Mr T B Hlongwa: Finance Committee Member
 Vacant: Finance Committee Member
 Dr N Makhanya: Human Resources Committee Member
 Mr N Z W Madinane: Finance and Human Resources
 Committees Member

Cllr W L Mapena: Human Resources Committee Member
 Dr J Reddy: Finance and Human Resources Committees Member
 Ms G G Twala: Human Resources Committee Member

Non-Voting Member

Prof. A C Bawa: Vice-Chancellor (until 30 April 2016)
 Dr J Volmink: Vice-Chancellor (from 1 May 2016)

6. SENATE

Mr Z S Gumede: External Council Member
 Vacant: External Council Member
 Dr J Reddy: External Council Member (Alternate member)

7. INSTITUTIONAL FORUM

Mr L K T Mehta: External Council Member
 Ms G G Twala: External Council Member

8. STUDENT SERVICES BOARD

Mr S H Vezi: External Council Member

Membership of Council Committees and Council Members on other University Committees as at 21 July 2016 – 3 September 2016

OFFICE BEARERS OF COUNCIL

CHAIRPERSON: DR J REDDY

VICE-CHAIRPERSON: MR N Z W MADINANE

I. EXECUTIVE COMMITTEE

Dr J Reddy: **Chairperson** of the Council and Executive Committee
Ms K P M Baloyi: External Council Member
Mr N Z W Madinane: Vice-Chairperson of the Council
Dr J Volmink: Interim Vice-Chancellor (from 1 May 2016)
Mr R Harichunder: Chairperson of Finance Committee
Mr T B Hlongwa: External Council Member
Mr N Chonco: External Council Member
Dr L Samuels: Senate member on Council
Mr S Mthembu: Students' Representative Council

2. FINANCE COMMITTEE

Mr R Harichunder: **Chairperson** of the Finance Committee
Dr J Reddy: Chairperson of the Council
Mr N Z W Madinane: Vice-Chairperson of the Council
Dr J Volmink: Interim Vice-Chancellor (from 1 May 2016)
Mr Z S Gumede: External Council Member
Mr T B Hlongwa: External Council Member
Ms K P M Baloyi: External Council Member
Ms R Pankhurst: Internal Council Member
Mr S Mthembu: Students' Representative Council

Advisory Members

Prof N Gwele: Deputy Vice-Chancellor: Academic
Prof T Andrew: Acting Deputy Vice-Chancellor: Operations
Prof S Moyo: Acting Deputy Vice-Chancellor: Engagement
Chief Financial Officer

2.1. INVESTMENT COMMITTEE

Mr R Harichunder: **Chairperson** of the Investment Committee
Mr T B Hlongwa: External Council Member
Mr B Singh: External Council Member

2.2. TENDER COMMITTEE

Mr R Harichunder: **Chairperson** of the Tender Committee

3. AUDIT COMMITTEE

Mr S Sibiyi: **Chairperson** of the Audit Committee
Mr N Z W Madinane: Vice-Chairperson of the Council
Mr R Harichunder: Chairperson of Finance Committee
Ms K P M Baloyi: External Council Member
Mr B Singh: External Council Member

Advisory Members

Vice-Chancellor and Deputy Vice-Chancellors
Chief Financial Officer
Chief Risk Officer

By Invitation

A representative of the External Auditors
A representative of the Internal Auditors
A representative from the Office of the Auditor General of SA

3.1 COUNCIL RISK COMMITTEE

Voting Members

Mr R Harichunder: **Chairperson** of the Risk Committee
Dr J Volmink: Interim Vice-Chancellor
Mr S Sibiyi: Audit Committee Member
Mr L K T Mehta: External Council Member

Advisory Members (Non-Voting)

Dr R Smith
Dr M Mandew
Chief Risk Officer

4. HUMAN RESOURCES COMMITTEE

Voting Members

Mr N Z W Madinane: Vice-Chairperson of the Council and **Chairperson** of the Council Human Resources Committee
Dr J Reddy: Chairperson of the Council
Ms K P M Baloyi: External Council Member
Cllr W L Mapena: External Council Member
Ms G G Twala: External Council Member

Dr J Volmink: Interim Vice-Chancellor (from 1 May 2016)
Mr N Patchiappen: Staff representative on Council

Non-Voting Members

Deputy Vice-Chancellors
Dr R Smith: Senate representative on Council
Dr N Sentoo: Chairperson of the IF
Chief Financial Officer
Administrative Head of Human Resources Department

5. REMUNERATION COMMITTEE

Voting Members

Ms K P M Baloyi: Finance Committee Member
Mr Z S Gumede: Finance Committee Member
Mr R Harichunder: Finance Committee Member
Mr T B Hlongwa: Finance Committee Member
Mr N Z W Madinane: Finance and Human Resources Committees Member
Dr N Makhanya: Human Resources Committee Member
Cllr W L Mapena: Human Resources Committee Member
Dr J Reddy: Finance and Human Resources Committees Member
Ms G G Twala: Human Resources Committee Member

Non-Voting Member

Dr J Volmink: Interim Vice-Chancellor (from 1 May 2016)

6. SENATE

Mr Z S Gumede: External Council Member
Vacant: External Council Member
Dr J Reddy: External Council Member (Alternate member)

7. INSTITUTIONAL FORUM

Mr L K T Mehta: External Council Member
Ms G G Twala: External Council Member

8. STUDENT SERVICES BOARD

Mr S H Vezi: External Council Member

**Membership of Council Committees and Council Members
on other University Committees
as at 4 September 2016 – 31 December 2016**

OFFICE BEARERS OF COUNCIL

CHAIRPERSON: MR N Z W MADINANE

VICE-CHAIRPERSON: MS D HLATHWAYO

1. EXECUTIVE COMMITTEE

Mr N Z W Madinane: **Chairperson** of the Council and Executive Committee
Ms D Hlathwayo: Vice-Chairperson of the Council
Dr J Volmink: Interim Vice-Chancellor and Principal (until 30 September)
Prof T Z Mthembu: Vice-Chancellor and Principal (from 1 October)
Mr R Harichunder: Chairperson of Finance Committee
Mr Z S Gumede: External Council Member
Ms B Ntombela: External Council Member
Ms G G Twala: External Council Member
Dr L Samuels: Senate member on Council
Ms Z Mncube: Students' Representative Council

2. FINANCE COMMITTEE

Mr R Harichunder: **Chairperson** of the Finance Committee
Mr N Z W Madinane: Chairperson of the Council
Ms D Hlathwayo: Vice-Chairperson of the Council
Dr J Volmink: Interim Vice-Chancellor and Principal (until 30 September)
Prof T Z Mthembu: Vice-Chancellor and Principal (from 1 October)
Ms K P M Baloyi: External Council Member
Mr Z S Gumede: External Council Member
Mr T B Hlongwa: External Council Member
Ms Z Mncube: Students' Representative Council
Ms R Pankhurst: Internal Council Member

Advisory Members

Deputy Vice-Chancellors
Chief Financial Officer
Chief Risk Officer

2.1. INVESTMENT COMMITTEE

Mr R Harichunder: **Chairperson** of the Investment Committee
Ms K P M Baloyi: External Council Member
Mr T B Hlongwa: External Council Member
Dr J Volmink: Interim Vice-Chancellor and Principal (until 30 September)
Prof T Z Mthembu: Vice-Chancellor and Principal (from 1 October)
Chief Financial Officer

2.2. TENDER COMMITTEE

Mr R Harichunder: **Chairperson** of the Tender Committee
Dr J Volmink: Interim Vice-Chancellor and Principal (until 30 September)
Prof T Z Mthembu: Vice-Chancellor and Principal (from 1 October)
Deputy Vice-Chancellors
Chief Financial Officer

3. AUDIT COMMITTEE

Mr S Sibiya: Chairperson of the Audit Committee
Ms D Hlathwayo: Vice-Chairperson of the Council
Mr R Harichunder: Chairperson of Finance Committee
Ms K P M Baloyi: External Council Member
Mr B Singh: External Council Member

Advisory Members

Vice-Chancellor and Deputy Vice-Chancellors
Chief Financial Officer
Chief Risk Officer

By Invitation

A representative of the External Auditors
A representative of the Internal Auditors
A representative from the Office of the Auditor General of SA

3.1 COUNCIL RISK COMMITTEE

Voting Members

Mr R Harichunder: Chairperson of the Risk Committee
Dr J Volmink: Interim Vice-Chancellor and Principal (until 30 September)
Prof T Z Mthembu: Vice-Chancellor and Principal (from 1 October)
Mr L K T Mehta: External Council Member
Mr S Sibiya: Audit Committee Member

Advisory Members (Non-Voting)

Dr R Smith
Dr M Mandew
Chief Risk Officer

4. HUMAN RESOURCES COMMITTEE

Voting Members

Ms D Hlatshwayo: Vice-Chairperson of the Council and Chairperson of the Human Resources Committee
Mr N Z W Madinane: Chairperson of the Council
Dr N Makhanya: External Council Member
Cllr W L Mapena: External Council Member
Ms G G Twala: External Council Member
Dr J Volmink: Interim Vice-Chancellor (until 30 September)
Prof T Z Mthembu: Vice-Chancellor and Principal (from 1 October)
Mr N Patchiappen: Staff representative on Council

Non-Voting Members

Deputy Vice-Chancellors
Dr R Smith: Senate representative on Council
Dr N Sentoo: Chairperson of the IF
Chief Financial Officer
Administrative Head of Human Resources Department

5. REMUNERATION COMMITTEE

Voting Members

Ms K P M Baloyi: Finance Committee Member
Mr Z S Gumede: Finance Committee Member
Mr R Harichunder: Finance Committee Member
Mr T B Hlongwa: Finance Committee Member

Ms D Hlatshwayo: Finance and Human Resources Committees Member
Mr N Z W Madinane: Finance and Human Resources Committees Member
Dr N Makhanya: Human Resources Committee Member
Cllr W L Mapena: Human Resources Committee Member
Ms G G Twala: Human Resources Committee Member

Non-Voting Member

Dr J Volmink: Interim Vice-Chancellor (until 30 September)
Prof T Z Mthembu: Vice-Chancellor and Principal (from 1 October)

6. SENATE

Dr N Makhanya: External Council Member
Mr Z S Gumede: External Council Member
Mr S H Vezi: External Council Member (Alternate member)

7. INSTITUTIONAL FORUM

Mr L K T Mehta: External Council Member
Ms G G Twala: External Council Member

8. STUDENT SERVICES BOARD

Mr S H Vezi: External Council Member

Council and Committees of Council: Meetings and Attendance: 2016

COUNCIL COMMITTEES	COUNCIL	COUNCIL W/SHOP	AUDIT	JOINT AUDIT & FINANCE	FINANCE	EXCO	HUMAN RESOURCES
NO. OF MEETINGS IN 2016	7	1	3	1	4	4	4
NAME OF COUNCIL MEMBER	NO. OF MEETINGS ATTENDED BY INDIVIDUAL COUNCIL MEMBERS IN 2016						
Prof. T Andrew	5 [5 mtgs held since app to Council]	1	Advisory	Advisory	Advisory		Non-voting
Ms K P M Baloyi	7	1	3	1	2 [2 mtgs held since app to Committee]		
Prof. A C Bawa	1 [2 meetings held before resignation]		Advisory			1 [2 meetings held before resignation]	1 [1 meeting held before resignation]
Mr N Chonco	5 [6 meetings held before end of term of office on Council]					2	
Mr M Estrice	6	1					
Mr Z S Gumede	7	1		1	4		
Prof N Gwele	5	1	Advisory	Advisory	Advisory		
Mr R Harichunder	5	1	2	1	4	3	
Mr R Haripersad	2 [2 meetings held before resign on Council]			1			
Ms D Hlatshwayo	5	1					
Mr T B Hlongwa	4	1			1		
Mr S Johaar	5	1					
Mr N Z W Madinane	7	1	1 [2 meetings held before he became chair of Council]	1	3	4	4
Dr J N Makhanya	6	1					2
Ms Y Manele	2 [2 meetings held since appointment to Council]	1					
Cllr W L Mapena	5	1					4
Mr L K T Mehta	7	1					
Prof T Z Mthembu	1 [1 meeting held since appointment]	1				1 [1 meeting held since appointment]	1 [2 meetings held since appointment]

COUNCIL COMMITTEES	COUNCIL	COUNCIL W/SHOP	AUDIT	JOINT AUDIT & FINANCE	FINANCE	EXCO	HUMAN RESOURCES
Mr S Mthembu	1 [1 meeting held before end of term on Council]	1			1 [2 meetings held before end of term on Committee]		
Ms Z Mncube	5 [5 meetings held since app to Council]	1			3	1 [2 meetings held since app to Committee]	
Mr S Nene	4 [4 meetings held before end of term on Council]						
Mr Z B Ngubane	7	1					
Ms B B Ntombela	6	1				4	
Mr N Patchiappen	6	1					1 [2 meetings held since app to Committee]
Ms R Pankhurst	5 [5 meetings held since appointment to Council]	1			2 [2 meetings held since appointment to Committee]		
Judge C N Patel	3 [6 meetings held before resignation]	1				2 [3 meetings held before resignation]	
Dr J Reddy	5 [6 meetings held before resignation]	1		1	3 [3 meetings held before resignation]	3 [3 meetings held before resignation]	2 [2 meetings held before resignation]
Dr L Samuels	5	1				4	
Mr S Sibiya	6	1	2	0			
Mr B Singh	4	1	0	1			
Dr R Smith	5	1					Non-voting
Ms G G Twala	6	0					4
Mr S H Vezi	7	1					
Dr J Volmink	5	0		1	3 [3 meetings held before end of term on Committee]		1 [1 meeting held before end of term on Committee]
Average Percentage of Attendance	84%	85%	55%	88%	86%	76%	83%

Key: Not applicable 





STATEMENT ON INTERNAL ADMINISTRATION/OPERATIONAL STRUCTURAL CONTROLS

Report on Internal Administrative/Operational Structures and Controls for the Year Ended 31 December 2016

Durban University of Technology (DUT) maintains systems of internal control over financial reporting and the safeguarding its assets. Such systems are designed to provide reasonable assurance to Council and the University in respect of the operational environment. These include among others, well-documented organisational structures setting out the division of responsibilities, established policies and procedures, including a Code of Ethics to foster a strong ethical climate and the careful selection, training and development of its people.

Up-to-date information technology systems are in use throughout the organisation. These have been developed, tested and implemented according to defined and documented standards to achieve efficiency, effectiveness, reliability and security. Established standards are applied to protect privacy and ensure controls over all data, including disaster recovery and “backup” procedures. Systems are designed to promote ease of access for all users. The development, maintenance and operation of all systems are under the control of competently trained staff and where necessary, reputable outsourced entities. The use of electronic technology to conduct transactions with staff and third parties necessitates close scrutiny and this is achieved through control procedures that are designed and implemented to minimise the risk of fraud or error and unauthorised access.

Internal auditors review the internal control systems and policies and report findings and recommendations to management and the Audit Committee of Council. Corrective actions are taken to address control deficiencies and other opportunities for

improving systems when identified. The Council, operating through its Audit and Finance Committees, provides oversight of the financial reporting process.

However, it is recognised that there are inherent limitations to the effectiveness of any system of internal control that include the possibility of human error and the circumvention or overriding of controls. Accordingly, even an effective internal control system can provide only reasonable assurance with respect to financial statement preparation and the safeguarding of assets. Furthermore, the effectiveness of an internal control system can change with circumstances.

Durban University of Technology reviewed its internal control requirements in conjunction with the internal auditors and developed a programme of internal audits to examine the systems, procedures and controls in those areas considered as high risk. The University believes that during the year ended 31 December 2016, its system of internal control over its operational environment, information reporting and safeguarding its assets met the requirements of its Internal Control Manual.

The Audit Committee approved this report at its meeting on 4 May 2017.

S Sibiya

Chairperson: Audit Committee

S Kharwa

Chief Risk Officer





REPORT ON RISK EXPOSURE ASSESSMENT AND THE MANAGEMENT

Oversight of the risk management function is exercised by the Council Risk Committee. The Council Risk Committee is a sub-committee of the Council Audit Committee.

The Committee's purpose is to assist the Council in fulfilling its oversight responsibilities with regard to the identification and management of risks within its risk appetite, both upside and downside and which may affect the University's ability to achieve its strategic goals and objectives. The Risk Committee consists of the Vice-Chancellor, two members of the Audit Committee, one external member of Council who is not a member of the Audit Committee, the Chief Risk Officer and two members (non-voting) from the Vice-Chancellor's Risk Management Committee who act as advisory members.

At an operational level the Vice-Chancellor's Risk Management Committee is responsible for overseeing the regular review and updating of the University's risk register. The risk register is the outcome of an annual risk assessment workshop.

The University recognises that identifying and managing risks are critical in ensuring that its strategic and operational objectives are met. In this regard the University has identified its top financial and non-financial risks as follows:

► Financial Risks

- Collection of student fees;
- Enrolment targets;
- Funding from NSFAS;

- Personnel costs in proportion to recurring income;
- Throughput and dropout rates;
- Funding of post-retirement medical aid.

► Non-financial Risks

- Academic administrative integrity;
- Ageing facilities;
- Reputational risks;
- Incidences of violent student unrest
- Quality of student accommodation.

The University is adequately covered by insurance policies against fire and allied perils, business disruption, theft, money, fidelity, public liability, accidental damage and employer's liability.

A detailed breakdown of the University's financial risk exposure is reflected in the notes to the Consolidated Financial Statements.

The University is satisfied there are appropriate control measures and other interventions in place to mitigate both the financial and non-financial risks to tolerable levels. In addition, the risk register has been used to inform both the University's annual and rolling three year internal audit plans.

R Harichunder

Chairperson: Risk Committee

S Karwa

Chief Risk Officer



Book stacks
Group rooms
Seminar rooms

Reference
Online
Catalogues

Media Centre
Study Lounge
Audio visual

News & Downloads

Heath

Reference



REPORT OF THE CHIEF FINANCIAL OFFICER AND THE CHAIRPERSON OF THE FINANCE COMMITTEE

This report provides an overview of the financial results and budgetary processes of the University for the 2016 financial year.

The Budget Process

Principles that underpin the budget process:

- ▶ The Ministerial Statement on University funding;
- ▶ Alignment to the strategic plan of the University;
- ▶ A key strategic focus area is the financial sustainability of the University. We practice conservative financial management by ensuring that there are effective mechanisms in place to maintain fiscal discipline.

Overview of the budget process

The budgets are prepared generally on zero based principles with each operating division providing input into the budget preparation. The process that is followed is set out below:

- ▶ The income for the University is projected;
- ▶ Funds are allocated for strategic priorities;
- ▶ Staff compensation costs are calculated as per the University's staff establishment;
- ▶ The institutional costs i.e. costs not directly associated with departments, e.g. electricity, rates, insurance, advertising, audit fees, etc. are calculated;
- ▶ An allocation is awarded to the respective sectors for their operating budgets; departments in turn are required to align their budgets in terms of their strategic and operation plans, also using zero based budget principles;

- ▶ Consultative meetings are held with the Vice-Chancellor, Deputy Vice-Chancellor: Academic and members of Senior Executive Team (SET);
- ▶ The SRC is consulted on the tuition and the residence fee adjustments;
- ▶ The final draft budget is discussed with the University Planning and Resources Committee (UPRC) which recommends it to the Finance Committee; and
- ▶ The Finance Committee in turn interrogates the budget and recommends it to the University's Council for approval.

Comments on the Financial Results

Unqualified audit opinion

The auditors have issued an unqualified audit on the consolidated financial statements of the University for the financial year ended on 31 December 2016.

Income

Subsidy income: (Council controlled recurrent)

Subsidy income increased from R670.437m in 2015 to R767.963m in 2016, an increase of 14.55%. Included in subsidy income is an amount of R40.80m in lieu of the 0% fee increase set by the state and an increase in the teaching inputs from 40 314 in 2015 to 43 509 input units in 2016 which translated to R34.40m. After taking the above into account, the Government subsidy effectively increased by 3.33%, which is well below the average inflation rate of 6.4% for the 2016 financial year.

Fee income (Council controlled recurrent)

Tuition Fee (Recurrent)

Tuition fees increased by 5.14% from R475.483m in 2015 to R499.946m in 2016. Tuition fees is dependent on two variables, i.e. annual student fee adjustments and head count enrolment. In this context, the tuition fee increase is attributed largely to the increase in head count enrolment of students from 26 935 in 2015 to 28 334 in 2016. There was no adjustment to student fees in 2016 as per the directive from DHET.

Expenditure

Academic and other staff compensation (Council controlled – recurrent)

The above costs increased by R33.434m from R769.272m to R802.706m. The effective increase in personnel compensation costs was 4.35%. This includes salary adjustments of 5.5% for the year under review. The reason for the non-correlation between the effective increase in personnel compensation costs and the salary adjustment is due to certain posts remaining vacant during the year.

Ratio of staff costs to recurrent income

The ratio of staff costs to recurrent income for the year under review was 63.31% (2015: 67%). Recurrent income is defined as state subsidy and fee income.

Post-retirement benefits

Pension:

Members who transferred from the AIPF (Government Pension fund) to NTRF in 1994 are entitled to a minimum defined benefit, which is guaranteed upon normal retirement age (60 years).

The University's obligation in terms of the above as at 31 December 2016 was R1.9m (2015: R14.5m).

This is a closed scheme.

Medical aid

The Post-Retirement Medical Aid (PRMA) Scheme of the University applies to eligible members who are former Technikon Natal staff who entered the medical aid scheme before 1 January 2000. No benefit is payable upon withdrawal.

This Scheme currently has 138 employed and 180 retired members.

The Actuarial Valuation of the post retirement benefit obligation as at 31 December 2016 was R160m (2015: R160m).

This is a closed scheme.

The above liabilities are unfunded and have been provided for in the Annual Financial Statements.

The total unfunded balance of Post-Retirement Benefits as at 31 December 2016, amounted to R161.396m (2015: R174.5m).

Other operating costs

Other operating costs decreased by 5.60% representing a net decrease from R315.284m in 2015 to R297.621m in 2016.

This is mainly attributed to the following:

- ▶ A decrease in student debt provision.
- ▶ Savings in the University's operational budget for Repairs and Maintenance. This is due to the University receiving funding from DHET for maintenance on infrastructure projects. This funding was utilised prior to the use of the University budget resulting in the saving.
- ▶ Savings in the Rates expenditure, which was realised due to prior year credits received from the Municipality. In line with the University's energy savings initiatives there were no significant increase in the Water and Electricity expenses in 2016.
- ▶ Other operating costs in respect of student accommodation decreased by 9.00% from R137.706m in 2015 to R125.329m in 2016. This is attributed largely to the decrease in provision for residence student debtors amounting to R12m.



Receivables and pre-payments

A cumulative provision of R306m (2015: R291m) for tuition and residence fee student debtors has been provided for as at 31 December 2016. Student debt, after the above provision, is R157m. The other major component of receivables is interest accrued (R46m).

Student debtors provision

Student debt provision increased by 5.23% compared to a 15.98% increase in 2015. The main reason for this decrease is that Government made additional funds available in order to fund historical NSFAS student debt.

The risk relating to student fees is mitigated by requiring students to pay an initial instalment in respect of tuition and accommodation fees at registration, the regular monitoring of outstanding fees and the institution of debt collection action. In addition, students with outstanding balances from previous years of study are only permitted to renew their registration after either settling their outstanding debt or the conclusion of a formal payment arrangement.

National Student Financial Aid Scheme (NSFAS)

The University received R262m from NSFAS in 2016 compared to R278m received in 2015, representing a decrease of 5.76%.

During the 2016 financial year concessions were awarded to a category of students who received full funding for the 2016 academic year, but had accrued debt over the previous years.

Student loans

The University has advanced loans to students to the value of R63.755m over the years. These loans are administered by NSFAS. The terms and conditions of the loans are identical to the loans granted by NSFAS, except that these are interest free loans and have no bursary element. The loan valuation model was amended during the year to accommodate the recent change in the law that prevents NSFAS from automatically making salary deductions from students when they obtain employment. The change in essence delays the commencement date for the loan repayment.

The value of student loans after fair value adjustment and provision for impairment is R21.482m (2015: R21.558m).

Total liabilities

- ▶ Deferred grants comprise 62% of total liabilities. The major portion of deferred grants are state funded projects (80.43%). These comprise of the unspent cash portion of grants and the deferred revenue for grant funded projects.
- ▶ Retirement benefit obligation make up 12.29% and trade and other payables, borrowings and provisions, 25.71% of liabilities.

Net surplus

The net surplus from the University's operations i.e. Council Controlled Funds is R240.730m.

Included in the surplus are realised gains on disposal of investments of R26.204m, interest and dividends from long-term Investments R14.705m and interest on student accounts R6.970m. The University has also received R24.7m more interest income from short-term investments in 2016, which is attributed to:

- ▶ An increase in the effective interest rates for a sustained period
- ▶ Improved cash flow, due to the University recovering R105m in historical debt through NSFAS students and savings in the Personnel compensation and operating budget for 2016.

Cash flow and liquidity

The University's cash flow continues to be positive. Cash and cash equivalents as at year-end increased from R968.361m to R1 257.292m.

The significant portion of cash relates to committed funds for the following:

- ▶ Unspent restricted Government grants and Research funds – R401.503m;

- ▶ Unspent funds designated to departments – R168.979m;
- ▶ Accounts payable – R145.588m; and
- ▶ The remaining R541.22m includes an unencumbered R375m retained for three months' working capital as required by DUT policy.

The current ratio is 5.8:1 which exceeds the accepted norm of 2:1.

Cash flow planning

The cash flow cycle at DUT has a low point at the end of January and peaks in October/November after a percentage of the fees and most subsidies have been received. Careful planning and management of our cash is crucial in maximising interest income.

The University's objective is to hold enough cash to fund at least three months operations at any point in time. After taking into account infrastructure costs, earmarked and restricted funds, the University is well placed to meet this objective.

Liquidity ratio

The University's liquidity ratio is 5.45:1 (norm 1:1), which indicates the University's short-term financial strength. Current debt and inventory have been excluded from this calculation.

Solvency ratio

The University's solvency ratio is 1.53:1, which is indicative of the financial soundness of the University. The formula used for this calculation is $\text{Total Assets less Property Plant and Equipment (PPE) / Total Liabilities}$.

Debt equity ratio

The debt equity ratio is 6.93%, which is well below the 50% borrowing limit, as per the University's policy.

Conclusion

State subsidies in respect of Council controlled activities, in particular subsidies relating to cost units continue to lag inflation. The economic circumstances are such that this trend is likely to continue and possibly worsen. This, together with the regulation of fee adjustments poses significant challenges to University.

Increasing the University's third stream income and containing costs must continue to be a key strategic objective for all stakeholders in order to ensure the financial sustainability of the University.



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