

INTEGRATED ANNUAL REPORT
2021

**GREATER
THAN**



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NWU Integrated Annual Report – 2021

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NWU INTEGRATED ANNUAL REPORT 2021

1 About this report

1.1 Becoming greater than before

With the Covid-19 pandemic still raging in 2021, we continued to pull out all the stops to ensure that the NWU's business of teaching-learning, research and community engagement continued successfully.

Early in the year, we realised the need to be greater than before and build on what we had accomplished during 2020, when we first faced the pandemic. We understood that the NWU and its community have the potential to push the boundaries of greatness if we stand together and work harmoniously.

As a result, **Greater than** became the theme running through all our activities in 2021 and is now also the golden thread weaving the story we tell in this integrated report.



In our **Greater than** story, we show how we mobilised and affected our resources, skills and relationships, known as our “capitals”, for the greater good.

There are six capitals: intellectual, human, social and relationship, manufactured, natural and financial.
(Read more about our capitals on page 57.)

Although we aim to increase value in all instances, our capitals can also undergo either a net decrease or experience no net change. In such cases, value is eroded or preserved.

Despite our aim to **become greater** as an institution and empower our stakeholders to **become greater**, we realise that changing circumstances in our internal and external environment may hamper our efforts to increase value at all times.

We include these instances – where value is maintained or even eroded – in our integrated report, as we aim to tell our value creation story in a balanced way.

1.2 Our story is for you

The story of how we as a university **became greater** and also empowered others **to become greater than before**, is intended for you, our stakeholders.

We see our stakeholders as those individuals or groups whom we affect through our activities and services, and whose actions can also affect our ability to successfully implement our strategy and achieve our goals.

This integrated report refers mainly to our primary stakeholders. They are our students, alumni, Council, staff, the Department of Higher Education and Training, our peers, our collaboration partners and our business communities (as future employers of our students).

However, we believe that our story will also be of value to the other stakeholders we engage with at the NWU, as shown on page 34.

It is important to mention to you that Dr MB Tyobeka had been appointed by the NWU Council as principal and vice-chancellor of the university on 1 June 2022.

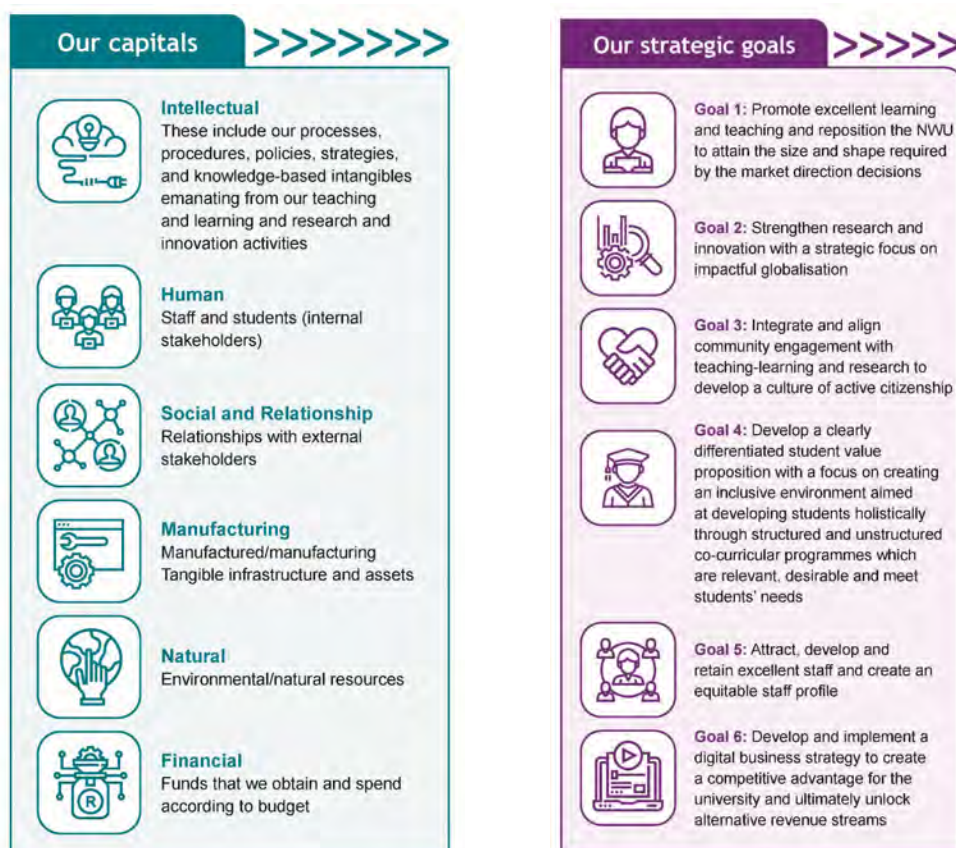
1.3 How we tell our story

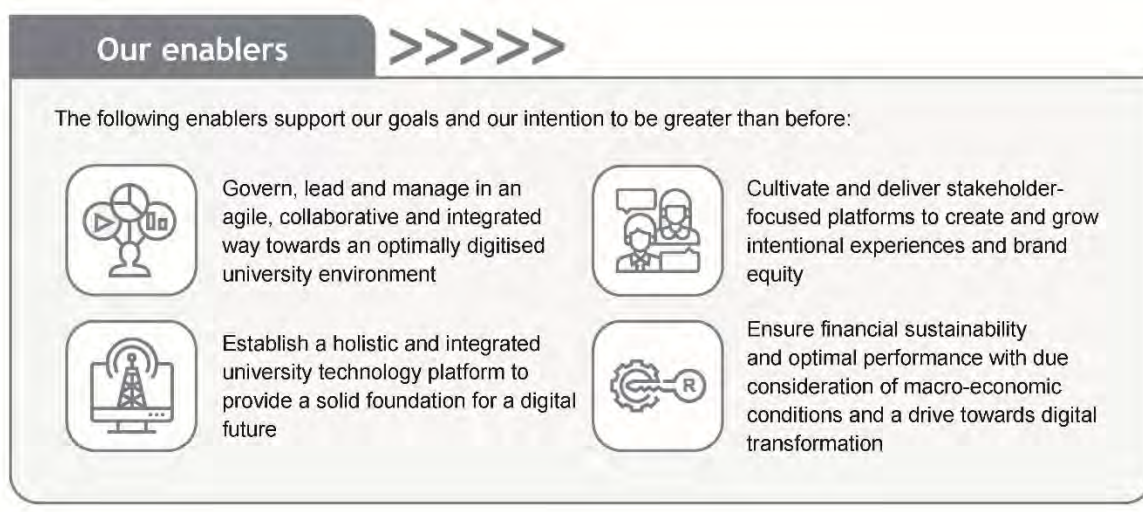
At the beginning of our story, we give an overview of the NWU (page 6) and explain how we interacted with our external environment (page 7) and specifically how we experienced and reacted to the impact of the Covid-19 pandemic.

On page 16 you will find a graphic of our business model, followed by the risks and opportunities that affect us, and how we are dealing with these (page 41). The section on our strategy (page 51) aims to inform you on where we want to go to and how we intend to get there, while the section on how we performed against our capitals depicts the story of what we did to achieve our strategic objectives (page 57).

1.4 How to navigate our story

We use different icons to show the connectivity between the various sections in our integrated report.





1.5 Materiality of the report content

We use the concept of “materiality” to decide what information to include in this report. As set out in the International Integrated Reporting Council’s (IIRC) Integrated Reporting Framework, we see material matters as issues that:

- substantively affect the university’s ability to create value over the short, medium and long term; and
- are important to any stakeholder wishing to make an informed assessment of the NWU’s ability to generate value.

1.6 How we identify relevant matters

In this report, we discuss the factors with the greatest potential to impact our ability to create value. Identifying these material factors was the work of our integrated reporting task team, led by the NWU’s registrar and including the deputy vice-chancellor for planning and the chief strategy officer in the office of the vice-chancellor. The team identified those matters with the highest potential to impact our ability to create value.

In the process, we took the following frameworks into account:

- The NWU’s *Annual Performance Plan (APP) that puts the strategic plan into action;
- The common strategic assumptions that underpin our strategy;
- The **institution-wide risk register;
- The IIRC’s Integrated Reporting Framework; and
- The Department of Higher Education and Training’s (DHET’s) reporting regulations.

* The goals, enablers and strategic assumptions, as included in the APP, resulted from the process the university Management Committee members used to identify material matters to be included when developing or revising the APP.

** Our key risks and opportunities are the result of an institution-wide identification and prioritising process, as described on page 41.

We also considered any factors in our external environment (see page 7) that substantially affect our ability to create value.

In addition, materiality was informed by the matters our stakeholders raised during their interaction with the university. These are described in the section on how we engage with our stakeholders on page 34, in the table under the subheading: *Issues raised*.

1.7 Reporting period and scope, and suite of reports

Our integrated report reflects the performance of the NWU across our three campuses for the period 1 January to 31 December 2021.

Information about our performance is both financial (pages 75 and 155 onwards) and non-financial. This includes facts about our non-financial performance, risks and opportunities and the internal and external factors that substantially influence our business. Where material, we discuss the real and potential impact of these matters on our ability to create value.

Reporting cycle	Annually in December
Contact point for questions	marlene.verhoef@nwu.ac.za
Suite of reports	<p>Our integrated report is the primary vehicle for reporting to our stakeholders. It is supplemented by the following:</p> <ul style="list-style-type: none">• Annual financial statements for the year ending 31 December 2021, which can be found on the NWU website at: http://www.nwu.ac.za/content/nwu-annual-reports• Documents for various stakeholders, which can be accessed at https://www.nwu.ac.za/content/nwu-our-publications
Our reporting framework	This integrated report has been prepared in accordance with the IIRC's International Integrated Reporting Framework and the DHET's Regulations for Annual Reporting by Higher Education Institutions (published in June 2014 and incorporating principles from the King IV Report).

Assurance

Internal and external assurance providers give us assurance about the effectiveness of the internal controls at the NWU. Their input has been incorporated into this report.

We have also ensured that our reporting is accurate by taking the following steps:

- After compiling the integrated report, we submitted it to the University Management Committee. The committee considered the completeness and accuracy of the content and provided feedback where necessary, which was then incorporated into the integrated report. Only then did we submit the report first to the Audit, Risk and Compliance Committee and then to Council for approval.
- The student and staff data in this report was obtained from our Institutional Planning and Strategic Intelligence Department, which is also responsible for submitting NWU data to the Higher Education Information Management System (HEMIS).

The summarised, audited consolidated financial statements in this report were extracted from the audited consolidated financial statements, prepared in accordance with the IFRS and independently audited by our external auditors, PricewaterhouseCoopers.

Our auditors also independently audited the information in our performance assessment report (refer to page 119).

The financial statements, including the auditors' report can be obtained in Annexure 6, page 165 onwards.

More information about combined assurance can be found in the risk section of this report (page 41).

Council approval

Council upon advice from its Audit Risk and Compliance Committee is responsible for overseeing the integrity, accuracy and completeness of this integrated report.

Council confirms that it has reviewed the contents of the report and applied its collective mind to the preparation and presentation of this report.

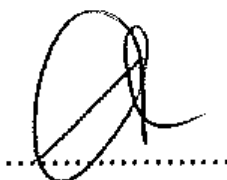
Furthermore, Council believes that it has appropriately considered the accuracy and completeness of the material matters, as well as the reliability of the information presented in this report.

Council has sufficiently considered and materially presented these matters in accordance with the Integrated Reporting Framework of the IIRC.

The NWU Council approved the 2021 Integrated Annual Report on 23 June 2022.



**MR BERT SORGDRAGER
CHAIRPERSON OF COUNCIL**



**MR THABO MOKGATLHA
CHAIRPERSON OF THE AUDIT, RISK AND COMPLIANCE COMMITTEE**

2 Overview of the NWU

14 484 qualifications awarded in 2021 (2020: 15 454)
215 postdoctoral fellows in *2020 (2019: 231)
R2,69 billion financial aid administered by the offices on the three campuses (2020: R 1 565 million)
89.2% undergraduate success rate in 2021 (2020: 92,3%)
264 PhDs awarded in 2021 (2020: 251)
263 NRF-rated researchers in *2020 (2019: 248)
9 830 distance students enrolled (2020: 11 640)
R163 million spent on infrastructure and facilities (2020: R273 million)
position 922 out of 20 000 universities globally ranked by Center for World University Rankings (nationally: among the top seven) (2019: ranked 869 out of 8000 universities)
1536.59 article equivalents approved in *2020 2019: 1541.14
5 NWU centres of excellence (2019: 5)
7 hosted research entities (centres, platforms, institutes) (2019: 7)

* Please note that the research figures lag two years behind

2.1 Who we are

The North-West University is one of the 26 public higher education institutions in South Africa. We have three campuses: two in the North West province and another in Gauteng.

We have a single set of policies, systems and standards, and are driven by a set of constitutionally based values, a core value being ethics in all our endeavours.

We wish to foster engaged and caring staff and students, ensuring a suitable environment in which we can reach our purpose and realise our dream.

Our purpose >

To excel in innovative learning and teaching and cutting-edge research, thereby benefitting society through knowledge.

Our dream >

To be an internationally recognised university in Africa, distinguished for engaged scholarship, social responsiveness and an ethic of care.

Our strategy >

To transform and position the NWU as a unitary institution of superior academic excellence, with a commitment to social justice.

2.2 What we do

Our core business is teaching-learning and research, with community engagement and innovation intertwined in these activities.

Ultimately, though, our core business is about creating value in the form of outputs and outcomes, while pursuing an ethic of care.

2.3 Where we operate

We operate in South Africa but collaborate extensively with institutions and people all over the world. In 2021, the NWU had approximately 2 147 active collaboration agreements.

2.4 What sets us apart

- The NWU ranks in the top 4,7% of universities worldwide.
- The NWU was ranked as the safest university in Africa.
- We had more than 1 600 international students from over 60 countries in 2021.

2.5 Our external environment

Various factors in our external environment affect our capitals and consequently our ability to create value for ourselves and our stakeholders. The event that took the world by storm during 2020 and 2021 and severely influenced life as we knew it, was undoubtedly the Covid-19 pandemic.

Harnessing the Covid-19 storm

The Covid-19 pandemic had a far-reaching social and economic impact on how institutions conduct their business and people live their lives. It also had a huge transformative impact on the higher education sector, triggering new innovations and what might be described as a revolution in how universities teach, and students learn.

The NWU was no exception. Although not discussed below as a separate influencing factor in our external environment, the impact of the pandemic has been extensive.

Like a golden thread running through this integrated report, you will see how adapting to the new normal was intertwined with all our activities, influencing our value-creation story and taking us on a journey to **become greater than before**.

In the text below, we discuss other material factors in our external environment that affect us directly or indirectly. We also indicate how these are linked to our strategic goals and risks, and how these impact our value-creation ability.

2.5.1 Rapidly changing societal roles/views/perceptions

The university environment is a microcosm of the larger South African and global society, where evolving views on gender, cultural, sexual and religious diversity are mirrored within student communities.

We have been seeing increasing support among students for social movements focused on the eradication of racism and gender-based violence, the reconceptualisation of gender roles and norms, improved engagement and service delivery, sustainable transformation and cultural reforms. As an institution comprising people from diverse socio-economic, cultural, religious, racial and other backgrounds, there is still much to do to achieve the envisaged diversification and sustainable transformation of the NWU.

Societal inequalities are echoed in the student community, as we have seen since the outbreak of the Covid-19 pandemic that exposed inequalities in students' access to technology and the basic infrastructure needed to effectively engage in university business and services. These noted inequalities and a lack of access to resources have added an additional layer of complexity to the management of student matters. We are only now starting to better understand the true impact of inequality on student access and success.

Strategic matter affected: development of a clearly differentiated student value proposition (goal no 4)

Capitals affected: human, social and relationship, financial

Risks involved: 2 and 5 – refer to page 41

Effect on value creation

An effective way to manage potential conflict in an institution is to timeously recognise and effectively address changing societal perspectives and needs. The inability to do so poses a risk in that inaction can be seen as further excluding and marginalising the people impacted by such changes. This could erode the relevance of the student value proposition that we promote. Therefore, we have to ensure that our value proposition is sufficiently agile and reflexive to enable the university to respond appropriately and timeously.

Our strategic response

Understanding the challenges posed by sporadic and once-off reactions to changing societal perspectives and needs, we continue to refine our student governance model and feedback mechanisms to ensure effective consultation processes. Our strategic response consists of purpose-driven engagements and structured feedback mechanisms, which ultimately inform our decision-making and policy development processes.

This approach allows us to engage and respond to projected changes proactively and with the necessary agility, which contributes to our ability to maintain a relevant and valuable student experience.

2.5.2 Possible social instability in the higher education sector

Social instability within the higher education sector could influence the way our students receive and respond to university messages. If there is scepticism and resistance, this could be compounded by a lack of understanding of how the higher education sphere functions at a national and institutional level.

Strategic matter affected: development of a clearly differentiated student value proposition (goal no 4)

Capitals affected: human, social and relationship, financial

Risks involved: 2 and 5 – refer to page 41

Effect on value creation

When stakeholders resist NWU messages, this could delay and frustrate the development and eventual implementation of sustainable resolutions that advance the business of the university.

Our strategic response

Our communication and consultation strategy is inclusive, involving staff, students and community stakeholders. One of our aims is to enhance stakeholders' understanding of the functions, roles and responsibilities of the university. With this in mind, we emphasise the development of the key elements of the student value proposition. This goes beyond co-curricular offerings and includes efficient and interactive service delivery across the NWU's service-orientated spheres.

2.5.3 The Fourth Industrial Revolution

No longer an abstract or futuristic concept, the Fourth Industrial Revolution (4IR) is under way. Higher education is one of the sectors most substantially affected, which is to be expected considering its role in developing skills for rapidly changing economies.

With the public spotlight tends to fall on new 4IR skills that universities should be teaching students, the impact of technological advances is also being felt in academic administration and student support. Not only must new skills be acquired in these areas but outdated modes of operation, as well as mind-sets, must be unlearned.

On the technology side, standalone systems and software are being replaced with agile, integrated systems that can keep up with the swift rate of change. In the race to adapt, universities will increasingly compete for scarce ICT innovation skills, which will play an increasingly important role in facilitating the provision of teaching and learning and support throughout the student life cycle.

Strategic matter affected: teaching and learning (goal no 1), financial sustainability (enabler 4)

Capitals affected: All capitals

Risks involved: 2, 3, 5, 6 and 8 – refer to page 41

Effect on value creation

The NWU is focused on keeping pace with the 4IR and seizing the opportunities it offers to create value and make us greater than before. These opportunities lie in implementing ICT innovation to support our core business, broadening access to tertiary studies through online teaching and learning and being part of global trends such as the multiversity, the unbundled university and the blockchain university.

Our strategic response

The development of an NWU digital business strategy for the 4IR was already well under way when the Covid-19 pandemic changed the world as we knew it. The ensuing lockdown and accompanying shift to online learning saw us accelerating our digital journey in teaching and learning, student support and workplace practices.

Some of the milestones in the NWU's digital transformation so far, include the planned implementation of a leading-edge student information system and an automated system for managing students' work-integrated and service-learning placements.

We have also introduced a new digital workplace environment to improve workplace efficiencies and mobilised a team of education technologists to assist staff with the integration of technology into their teaching strategies.

2.5.4 Academic staff shortages

The pool of academic staff in South Africa is limited, especially from designated groups at senior levels and in the scarce and critical skills. The university has to take these shortages into account in its human-capital planning, policies and processes.

Strategic matter affected: teaching and learning (goal no 1)

Capitals affected: intellectual, human, social and relationship, financial

Risks involved: 2 and 3 – refer to page 41

Effect on value creation

The cornerstone of our reputation for excellent teaching and learning, innovative research and community engagement with impact, is our ability to recruit and retain high-calibre academic staff. Failing to attract sufficient staff with the requisite demographic diversity, skills and experience may detract from our reputation and, amongst others, limit our capacity to implement functional multilingualism. Recruitment challenges also cause an overreliance on temporary staff, which is far from ideal for our core business capacity.

Another staff-related constraint is the pressure to optimise employment costs. The Covid-19 pandemic has added to the financial pressures on the university and necessitated special cost-containment measures such as placing a moratorium on positions, transferring the associated funds to the central budget, and reducing costs in line with the Staff Cost Risk Mitigation Plan. Careful consideration is being given to academic positions so that the academic service offerings are not compromised.

Our strategic response

A strategic priority for the NWU is to improve the representation of employees from designated groups. Our line managers have been tasked with identifying and fast-tracking professionally qualified academics from these groups, among other strategies.

Our talent-management strategy strives to offer staff at all levels opportunities to build successful and satisfying career paths, and provides incentives and professional development to attract and retain scarce skills, particularly in regard to black academics.

In 2021, we resumed the individual remuneration review process, which is used to ensure fair, market-related pay. The process was implemented despite uncertainties associated with the Covid-19 pandemic, demonstrating the importance we attach to staff remuneration. The pandemic also amplified the value of our strategic initiatives to cultivate a supportive and caring working environment and construct a welcoming and unified culture.

2.5.5 Fee-free higher education affects financing model

Two main factors have affected the way we administer financial aid and necessitated changes to our financial model. The first is the marked increase in the past few years in the number of students qualifying for funding from the National Student Financial Aid Scheme (NSFAS). The other is the evolving administrative system of NSFAS.

These challenges have accelerated since government announced fee-free higher education for households whose income is below a minimum threshold of R350 000, and these are expected to increase significantly through the impact of Covid-19 and other global developments on the economy. Any potential that NSFAS might not be sustainable in its current form would therefore pose a significant financial risk to NWU and our students.

The number of NSFAS-qualifying students has increased by approximately 396% since 2015, placing pressure on all our internal business processes dealing with financial aid. Where there were 4 837 approved NSFAS students in 2015, the number climbed to 23 996 in 2021.

Strategic matter affected: teaching and learning (goal no 1), financial sustainability (enabler 4)

Capitals affected: financial, human, intellectual

Risks involved: 1, 3, 5 and 8 – refer to page 41

Effect on value creation

The implications of the current higher education financing model for the university are twofold. On the one hand, the model has the potential to disrupt our systems; on the other, it might hold financial value for the NWU and our students. For example, fee-free higher education has opened up access to higher education opportunities to students who would previously not have been able to afford it, while also bringing temporary financial stability to the sector.

A further effect of the fee-free model is that it has led to changes in our enrolment patterns. Managing enrolment targets has become more complex, as has the administration of registrations. The greatest risk to value creation, though, remains the potential unsustainability of the NSFAS model and the proposed Fee Regulation Model, and the financial impact these could have on the NWU and our students.

Our strategic response

In 2021, in managing the challenges posed by the increased number of students qualifying for NSFAS and the associated administrative demands, we harnessed effective administrative processes and kept staff and students informed of developments around financial aid. We also continued to build our long-standing relationship with NSFAS and the DHET as valued stakeholders.

2.5.6 Fee Regulation by the DHET

Together with the increase in NSFAS funding, the DHET is in the process of formulating a Fee Regulation Framework for the public higher education system. This has the potential to significantly influence the financing model of the NWU. In the meantime, the Minister has recommended CPI-related increases in fees since fee-free education was announced and that also has a significant influence on the funding model of the NWU. A tuition-fee increase of 4,7% was implemented in 2021 in line with the recommendation from the Minister.

Strategic matter affected: financial sustainability (enabler no 4)

Capitals affected: financial, intellectual, human

Risks involved: 1 – refer to page 41

Effect on value creation

Fee regulation could put our financial stability at risk if the permitted increases do not reflect our cost structure and internal inflation rate. This may ultimately affect the quality of the services we provide.

Another issue is that regulations such as these have the potential to erode the autonomy of universities.

Our strategic response

We have a multifaceted strategy to manage the complex task of maintaining financial stability and the quality of our services. This includes participating actively in and making a positive contribution to the consultation process on the proposed Fee Regulation Framework. We are also diversifying our income streams and identifying opportunities to increase our income, such as by extending our continuing education offering and focusing on fund-raising activities. Our strategy further includes managing our budget process and improving operating cost efficiency.

2.5.7 State funding

The Rand value of the block allocated to the university increased by 3,5% and the value of the earmarked grants allocated to universities decreased by 19,5% from 2020 to 2021. This was after adjustments were made in order to assist NSFAS in partially funding the shortfall for 2021. The increase in the block grant, coupled with the expected growth in funded units and the lower-than-required increase in tuition fees, will not fully cover higher-education inflation in the long run, and in fact represents a decline in state funding in real terms.

Strategic matter affected: teaching and learning (goal no 1), research and innovation (goal 2), student value proposition (goal 4) staff profile (goal no 5), financial sustainability (enabler 4)

Capitals affected: human, financial, intellectual

Risks involved: 1, 3 and 8 – refer to page 41

Effect on value creation

If we were to experience funding shortfalls, we would have to respond with budget cuts and would not then be able to fund all operational and strategic activities. In the short and medium term, however, the funding provided by the state does contribute to financial stability, bearing in mind that the impact of Covid-19 on future state funding is still unknown.

Our strategic response

We continue to practise prudence. This means prioritising wisely when allocating the funds available while reviewing current activities and continuously investing in opportunities to improve cost effectiveness, build reserves, practise disciplined cost management, evaluate the viability of academic programmes and focus on supporting cost reduction. As a longer-term strategy, the NWU's focus is to become less dependent on state funding by diversifying income generation.

2.5.8 External research funding declines

Owing to the pandemic, most government and industry funding agencies experienced budget cuts. This led to the reduction or even discontinuation of research funding and support.

Postgraduate funding declined following funding cuts and the implementation of the new NRF funding instrument, which saw fewer students being funded, although the amount per student increased.

Strategic matter affected: research and innovation (goal no 2)

Capitals affected: financial, intellectual, human, social and relationship

Risks involved: 3 and 7 – refer to page 41

Effect on value creation

Less external research funding may adversely affect our research productivity and the standing of the university in national and international rankings. At this point, however, research journal outputs have not been negatively affected. On the other hand, as was to be expected given the international travel bans in 2021, international conference proceedings outputs declined.

Our strategic response

Cushioning the impact of external funding cuts, we provided support in the form of mobility grants (R1 507 505) and research mentorship (R708 700), including assistance with NRF-rating applications. We also contributed R1 168 760 to the salary component of the research chairs.

2.5.9 Demand for Intellectual Property (IP) reduced

Amid economic constraints, there was less private sector interest in licensing our intellectual property (IP) and technology, and a reduction in the flow of early-stage, seed and venture capital funding for NWU start-ups.

Strategic matter affected: research and innovation (goal no 2)

Capitals affected: financial, intellectual, human, social and relationship

Risks involved: 3 – refer to page 41

Effect on value creation

Some of the possible consequences of low uptake of our IP and technologies are lost income and reduced licensing and spin-off activities.

Our strategic response

Vulnerability to funding fluctuations across economic cycles can be mitigated by taking a long-term view of funding and taking steps to develop and maintain good relationships with funders. By engaging with industry, we gain a deeper understanding of their needs and challenges and can respond with relevant solutions and innovations.

We are also strengthening our prospects of continuing to attract funding, collaborators, commercialisation partners and licenses by improving our marketing of NWU IP, technologies and innovative research.

(For more information, see Create value through innovation and technology on page 64.)

2.5.10 Challenges in recruiting international students

Stricter visa requirements for international students and heightened competition among universities for good postgraduate students are making it more difficult to recruit students from the Southern African Development Community (SADC) and other African countries. The DHET requirement that the universities should prioritise South African students for postgraduate studies could also be a contributing factor to the decline in recruiting international students.

Many international students were unable to resume or complete their studies in 2020 and 2021, when the pandemic was at its peak, resulting in a decline in the number of international students registered with the NWU.

The ongoing negative effects of the pandemic on the world economy may continue to impact on decisions to enrol, particularly among international students. This could be offset by offering and marketing favourable study bursaries for international students.

Strategic matter affected: research and innovation (goal no 2)

Capitals affected: financial, human, social and relationships

Risks involved: 3 – refer to page 41

Effect on value creation

The number of international students enrolled at the NWU decreased from 6% of the total cohort of postgraduate students in 2016 to about 3% in 2021, which may lead to lower global rankings. As already mentioned, the pandemic had a serious impact on international enrolments in 2021 compared to 2019.

Our strategic response

The NWU now has global engagement offices on all three campuses, enabling us to offer higher levels of administrative assistance to international students and making it easier for them to study with the NWU.

2.5.11 National call for curriculum change and transformation

Curriculum change and transformation are imperatives in their own right in South Africa, where decolonisation of the curriculum is considered a priority in higher education. Two other factors that are driving curricular innovation are the Covid-19 pandemic, which continues to change the way we teach and the way students learn, as well as the advent of the 4IR.

In response to the shifts occurring on multiple fronts, the NWU has deliberately embraced internal and external scrutiny of our modules and programmes to expand on teaching and learning opportunities and enhance the relevance, responsiveness and transformational potential of our academic offering.

In some cases, we have introduced new programmes while in others, we have adapted existing ones. New programmes that have received clearance or been registered in the past two years include five new postgraduate diplomas in nursing, three higher certificates in health, palliative care and theology and several qualifications in early childhood care and education, agriculture, and theology.

Two examples of curriculum transformation of existing programmes happened in the Schools of Music and Social Sciences:

In the School of Music, the revision of the validity and relevance of the traditional undergraduate “Western classical/art music survey” produced changes to the curricula and pedagogy of three undergraduate music programmes, namely the BA (Music), BMus and Dip (Music). The revised programmes are diverse, inclusive and decolonised and also boast innovative pedagogical approaches that embrace the possibilities of new media and technology.

In the School of Social Sciences, a new programme, Social Inclusion and Development, was added to the PhD in Social Sciences. The transformational focus of the MA with Positive Psychology resulted in its recurriculation to ensure alignment of module content to module purpose, outcomes and credits, and the inclusion of African contextualisation.

Strategic matter affected: teaching and learning (goal no 1)

Capitals affected: intellectual, human, social and relationship, manufactured, financial

Risks involved: 2 and 3 – refer to page 41

Effect on value creation

During 2021, South Africa remained in a state of disaster with lockdown levels fluctuating between levels 4 and 1 throughout the academic year. As in the previous year, this posed challenges for teaching and learning at the university.

Our strategic response

The NWU demonstrated its agility by using a hybrid modality for teaching and learning throughout the year. As soon as lockdown levels allowed, staff and students were invited to return to campuses according to levels of prioritisation. The first to introduce an adapted form of contact were programmes that required practicals and those subject to regulation by professional bodies. After that, all faculties introduced purposeful contact with smaller groups of students. Students at risk academically and those whose learning experience was hampered by circumstances elsewhere, were invited back to campuses and residences.

In most modules, synchronous online contact sessions were offered, according to the published NWU lecture timetable. Recordings of these sessions were made available on the zero-rated learning management system eFundi. In some instances, recorded lectures were supplemented by interactive online or face-to-face contact sessions. All academics were available for consultation with students, either online or in person during published consultation hours. The eFundi access rate of undergraduate students ranged between 98% and 99% throughout the year.

The university continued to supply laptops to students with limited resources. Over the course of the project, 4 726 students were offered the option of receiving a laptop. Some 3 200 laptops were distributed and at the end of 2021, students were given the choice to either purchase or return the laptops. Data was supplied to students who did not have internet access off campus, up to the end of December 2021.

All academics were provided with capacity development opportunities to ensure effective use of the learning, teaching and assessment modalities. The Centre for Teaching and Learning continuously updated and expanded its “keep on teaching and learning” website with focused lecturer-, contact- and distance-student support pages and offered a range of free workshops for staff and students.

Despite being faced with a second challenging academic year, the NWU could continue its core activities without interruption and complete the 2021 academic year. All faculties were required to submit TL assessment plans at the beginning of each semester – cascaded down to school, programme and module levels. Sit-down assessments were conducted in programmes regulated by statutory bodies, on our campuses and at the Unit for Open Distance Learning’s Learning Support Centres throughout South African and Namibia. In most other programmes, continuous assessment took place. An online proctoring system was tested to assist with off-site assessments that require invigilation.

The office of the deputy vice-chancellor for TL hosted a virtual colloquium, *Imagining the transitions: The future of TL @NWU*, on 23 and 24 August 2021. Six recommendations emanated from the workshop:

- That the NWU opt for a broad-based and integrated digital transformation of all its TL structures.
- This transformation should include the revision of the TL Strategy; an alternative TL model; the transformation of the PQM; TL principles (“pedagogy”); TL delivery platforms (i.e. the creation of a select number of physical TL spaces across the spectrum of size and use); a fundamental digital expansion of digital platforms and systems; e-assessment practices; and the capacitation (training, development, and support) of academics and students.
- Digital acumen of academics and students, as well as other TL skills, must be developed and supported, focusing on increased online delivery and self-directed learning.
- The traditional campus-based model should be renewed to such an extent that the NWU’s unique value proposition draws excellent staff and students.
- The NWU should revisit its PQM to focus on acquiring transferable skills as part of the drive towards foundation provision in the curriculum, as well as the way in which these curricula are prepared to be conducive to the digital transformation of TL.
- The DHET should be requested to develop a funding approach that can best afford the physical and technological infrastructure needed to support HyFlex teaching and learning capacity for venues so as to enable a hybrid teaching and learning experience to serve the South African student population. (HyFlex venues enable simultaneous face-to-face and online teaching and learning.)
- Alternatively, the restrictions applied to the number of credits offered online for the contact/blended mode should be reviewed in lieu of programmes designed for delivery in a hybrid modality. Thus, a differentiated funding model that is not as narrowly linked to the two current modes of provision should be considered.

The NWU is thus continuously reviewing its TL strategy, ensuring that our graduate attributes are attained even when faced with unprecedented disruptions.

2.5.12 National call for greater access to universities

It remains a priority for the NWU to widen access to as many qualifying students as possible.

The Faculty of Health Sciences plans to expand into the emerging field of public health and health promotion. The entry level qualification is the new Higher Certificate in Health Promotion, which is awaiting its accreditation outcome. The higher certificate will open access to the four-year professional bachelor's degree in Public Health, also a new qualification to be developed. Two new higher certificates in cosmetic chemistry and animal health have been identified for development.

The Faculty of Economic and Management Sciences is in the process of rearticulating 14 extended curriculum programmes for enhanced agility and responsiveness to industry and society needs, and also for improved student success. These two alternative admission pathways, carefully articulated and with defined articulation pathways, will allow students who do not meet admission requirements an opportunity they would otherwise not have had to access higher education.

Strategic matter affected: teaching and learning (goal no 1)

Capitals affected: intellectual, human, social and relationship, financial

Risks involved: 2, 3 and 5 – refer to page 41

Effect on value creation

In 2021, through entry-level access qualifications, we continued our pursuit of higher education for the public good. The prospective students we target are persons already active in their respective fields, meaning that value is added immediately to the communities. These qualifications will progress to further qualifications in higher education, resulting in additional benefits for the students and the community.

We are also expanding our academic and counselling support services and programmes for students, creating an opportunity to generate even more value and increase our intellectual and human capital.

Our strategic response

Still on the subject of wider access, the NWU continues to offer extended curriculum programmes (ECPs), 26 in the BSc sphere, 14 in the BCom field and four in the BAdmin area, as well as an extended LLB programme. We are looking forward to reviewing the ECPs in the Faculty of Economic and Management Sciences in 2022.



Academic and support staff (human capital)

Personnel category	Permanent	Temporary	2019	2020	2021
Crafts/trades	>		23	26	26
		>	0	0	24
Executive/administration/management professional	>		90	83	85
		>	5	3	5
Instructional/Research professional	>		1 575	1 632	1 648
		>	450	373	1 414
Non-professional administration	>		1 289	1 285	1 321
		>	3 765	3 329	3 452
Service	>		327	323	304
		>	40	57	51
Specialised/support professional	>		522	492	510
		>	229	184	234
Technical	>		251	245	246
		>	50	46	79
Grand total			8 606	8 078	9 398

Graduates:
educational subject matter
distribution (human capital)

Total: 14 484



ACTIVITIES

Spending according to the APP (financial capital)

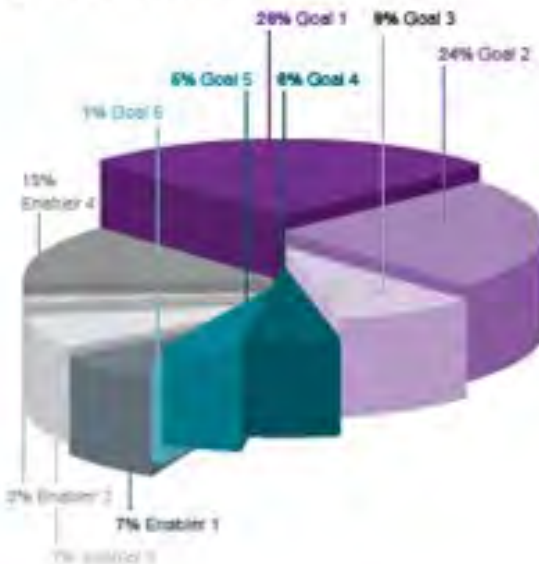
Goal

- Goal 1 (teaching and learning)
- Goal 2 (research and innovation)
- Goal 3 (community engagement and sustainability)
- Goal 4 (student value proposition)
- Goal 5 (staff and student equity)
- Goal 6 (digital business strategy)

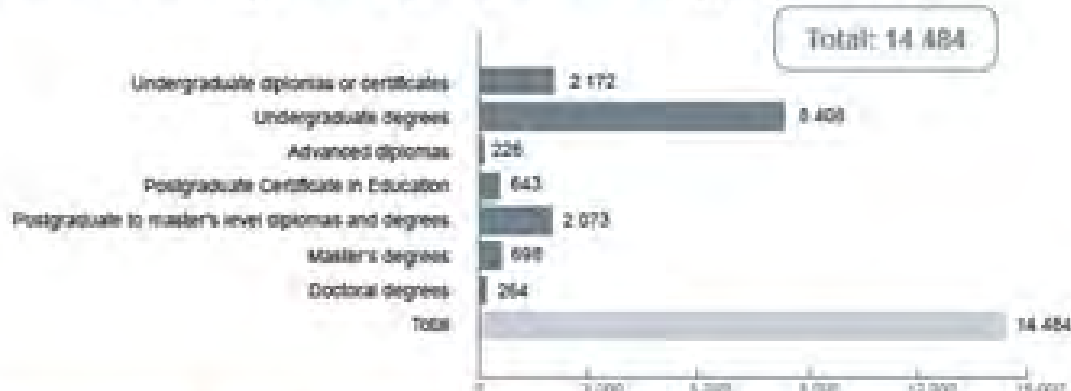
Total: R4 778 million

Enabler

- Enabler 1 (govern, lead and manage)
- Enabler 2 (integrated technology platform)
- Enabler 3 (communication and stakeholder engagement)
- Enabler 4 (financial sustainability)



Total number of graduates per qualification type (human capital)



62,64%

Number of graduates who completed their studies in minimum time

R238,8 million

The university, from its own resources, contributed R238,8 million or 8,9% of the total funds allocated for financial aid.

97%

Success rate of the NWU merit bursary holders

R67,6 million (28%)

of the funds allocated to financial aid used to award students for academic performances

Collaboration

(Social and relationship capital)

We had in access of 2 147 active agreements and memoranda of understanding

Financial sustainability

(Financial capital)

R1 422,6 million

Net surplus for 2021 as reflected in the consolidated statement of comprehensive income

Research output 2020 (intellectual capital)

Journal articles	1 204,3
Conference proceedings	38,64
Books and chapters	233,43
Total article equivalents published	1 536,58
Master's degrees conferred	722
Research master's	521,608
Research master's weighted	521,608
Doctoral degrees conferred	251
Doctoral degrees weighted	753
Total weighted research output	2 811,1814
Postdoctoral fellows	216
Publication units per permanent academic staff member	0,93

OUTCOME

The Times Higher Education (THE) World Rankings announced on 13 October 2021 indicated that we excelled in the field of law and education and was placed globally in the 201+ and 401 to 500 categories respectively. It also shone in social sciences and business and economics, where it was ranked in the 501 to 600 category.

The external environment sets the context in which we use our business model to create value.

Student support activities:

academic support, health care, and cultural and sport activities

Read more on page 20

Caring for our students; Academic support, career-related support

Material matter: student value proposition

Read more on pages 66 and 67

Staff development activities

(human capital)

Read more on page 21

Caring for our staff – building staff capacity

Read more on page 68

Read more about Develop and retain excellent staff and create an equitable staff and student profile on page 68

Conducting research

(intellectual capital)

Read more on page 24

Read more about Empowering our researchers on page 66

Community engagement

(social and relationship capital)

Read more on page 72

3.2 NWU value chain

In 2021, our value-creation story was about empowering people and taking them along on a challenging but exciting journey to discover their strengths and harness their skills to **become even greater than they were before**.

We invested in our students because we believed in their potential (our input), we created value for them by exploring new possibilities and expanding our vision so that they could continue to grow and flourish (our activities), enabling them to evolve into critical thinkers (our output) and eventually enter the labour market and society as value creators themselves (our outcome).

Throughout our value chain, we access, use and transform our capitals. For instance, as part of our input, we use our sources of income (financial capital), our skilled staff members (human capital), buildings and equipment (manufactured capital) and our academic programmes (intellectual capital) to create value for our students (human capital).

During our daily activities, for example our community engagement initiatives, we reach out to communities, thereby strengthening our social and relationship capital. Our research results (intellectual capital) are part of our output. As a result, we build good relationships with the outside world, thereby increasing our social and relationship capital.

We apply these results to find solutions to problems in society and in our country, thereby changing lives and creating a better future for people, which is part of our outcomes.

Our value chain also depends on the responsible use of our natural capital. In fact, all our capitals are based on the availability of natural resources. We need water, for instance, to sustain the lives of our staff and students (human capital) and land to build on (manufactured capital).

In the following discussion of our value chain, you will see how we draw on our various capitals as inputs and, through our activities, convert them to outputs and outcomes.

3.3 Input: Invest in people's potential

3.3.1 Our students

Our student body is an invaluable input into our value chain. The table below shows the composition and size of the student body in 2021 as compared to 2020:

	2020	2021
African (%)	64.40%	65.00%
Coloured (%)	4.3%	4.37%
Indian (%)	1.40%	1.38%
White (%)	29.90%	29.24%
Female (%)	64.00%	62.96%
Male	36.00%	37.04%

3.3.2 Student recruitment

Student recruitment remained one of the crucial activities for the university despite the continued challenges posed by Covid-19 regulations. The eased regulations allowed us to visit some schools to recruit students and share information about the NWU. We continued to implement virtual and hybrid student recruitment events that have proved to be effective and beneficial for both the NWU and stakeholders, particularly schools, prospective students and their parents/guardians.

3.3.3 Broadening access to studies for students of the NWU

Prospective students who do not meet the admission requirements for specific formal degrees may enrol for one-year UnivPrep programmes. These Senate-approved programmes potentially offer access to formal studies in the faculties of Humanities, Theology and Economics and Management Sciences at the NWU. Each year, above 50% of successful UnivPrep participants become eligible to apply for formal studies in these faculties. The development of higher certificates to replace some of the Univprep programmes is in progress.

3.3.4 Financial aid

In 2021, the NWU's financial aid offices administered R2,69 billion. The bulk of this was government funding and a substantial amount also came from the NWU's own funds. A limited amount of other external funding accounted for the rest.

Government funding for bursaries amounted to R2,19 billion (81,3% of the total amount allocated for as bursaries, including Funza Lushaka bursaries administered by NSFAS).

We contributed R238,8 million to student bursaries, which is 8,9% of the total funds allocated for financial aid. This contribution helps to increase our throughput rate and the value of our human capital. It also demonstrates our commitment to social justice and an ethic of care.

3.3.5 Student development and support

Through ongoing and focused academic support, we enable our students to achieve academic success. *(More information about how we increase student success is available on page 68.)*

In addition, we offer non-academic support such as psychosocial, health, sport and arts and cultural services aimed at developing our students holistically.

3.3.6 Our staff

A significant input into our value chain is our staff complement.

The following table shows how our number of permanent academic staff compares with those of other South African higher education institutions (*Please note that this is based on 2020 audited HEMIS data*):

Institution	Total
University of South Africa (Unisa)	1 830
North-West University	1 632
University of KwaZulu-Natal	1 257
University of Johannesburg	1 309
University of Cape Town (UCT)	1 176
University of Pretoria	1 241
University of the Witwatersrand (Wits)	1 220

In 2021, we had a total of 4 140 permanent staff members, comprising 1 648 academics and 2 492 support employees.

Staff development and support

Our staff members are an invaluable part of our human capital and we invest continually in providing the support and development they need to excel.

Important tools for this are academic promotions and awards programmes, discussed below, and caring for the holistic well-being of our employees. We realise that the year has been a challenging one, in which staff experienced higher than normal levels of stress and burnout. We have responded by intensifying support through our Employee Assistance Programmes and increasing their reach through online support. For more details about this aspect of staff development, turn to page 68 in the section on how we perform against our strategy.

Academic promotions and awards programmes

The annual academic promotions process is a recognition programme for our academic, underpinning the importance of building mutual value for both the academic and the NWU.

The principle underpinning academic promotions is the importance of creating mutual value both for the academic and the NWU.

Academic promotions 2020 vs 2021							
Promoted from:	Promoted to:	Black		White		Total	
		2020	2021	2020	2021	2020	2021
Junior lecturer	Lecturer	9	13	5	10	14	23
Lecturer	Senior lecturer	10	20	22	27	32	47
Senior lecturer	Associate professor	11	7	23	36	34	43
Associate professor	Professor	5	6	17	18	22	24
Grand total		35	46	67	91	102	137
Percentages		34,3%	33,7%	65,7%	66,3%	100%	100%

For 2021, there were 137 promotions approved which is 35 more than 2020.

Although the percentage of black academics' share of promotions decreased by 0,6% overall from 2020 to 2021, the actual number of promotions increased in 2021 (46) when compared to 2020 (35).

Caring for our staff

One of the greatest challenges we face in recruiting and retaining staff is the competition among South African universities for academic talent. Our response to this challenge, which relates to risk cluster 3 (academic matters) revolves around ensuring we keep our employees engaged by creating an environment that is underpinned by an ethic of care. The well-being of staff has become cardinal during the Covid-19 pandemic where employees are faced with rapid changes, health and psychosocial challenges.

The NWU has a comprehensive employee health and wellness programme that consists of psychosocial support, health awareness as well as organisational wellness interventions. Psychosocial services are rendered through counselling services on a 24/7 basis throughout the year. These services also include legal and financial advice. Organisational well-being interventions encompass team well-being assessments, team well-being interventions and workplace well-being training.

Consultancy services are also provided through the wellness offices in terms of the link between performance management and individual psychosocial concerns of employees. The NWU Wellness Unit provided various training opportunities focused on overall workplace well-being, supervisory training, stress management, resilience, gender-based violence, substance abuse and interpersonal relationships. The primary focus for 2021 was to create a nurturing environment for staff at the NWU to flourish within the workplace. This focus will continue in 2022.

3.3.7 Funding

Research funding

NRF funding of R116,5 million was received in 2021 for research and innovation. The table below shows different funding pots from NRF:

Grant Programme	Number of awards	Total Amount R'000
Thuthuka	21	1 865 960.86
MRC funding	8	2 647 967.14
Other grant holder awards	145	40 043 553.71
Grant holder linked bursaries	47	5 306 666.67
Block grants	4	1 590 000.00
Freestanding bursaries	346	44 159 174.64
Freestanding postdoctoral bursaries	11	2 491 667.00
Freestanding postdoctoral funding	10	490 000.00
SKA student bursaries	5	769 570.00
SKA student equipment	5	40 487.88
SKA student travel grants	1	70 000.00
2021 grant deposit		17 000 000.00

Researchers in some of the NRF programmes were given the opportunity to move their 2021 funds to 2022 or any future year, which meant this funding was not lost to the researchers concerned.

In a significant funding change, the grant-holder linked and block-grant bursaries are being phased out. Students will only receive freestanding bursaries in future.

Funding for technology transfer and innovation

Four grants of up to R500 000 each were made available from the pre-seed fund of the Technology Transfer and Innovation Support Department. This fund is for qualifying early-stage technology development projects and complements the seed fund programme of the Technology Innovation Agency (TIA). Seed funding from the Technology Innovation Agency (TIA) remains at a low level due to budget restrictions.

Many of the traditional sources of funding for technology transfer have either been frozen or reallocated since the outbreak of the pandemic. The Technology Transfer and Innovation Support team has therefore been concentrating on building new funding relationships. The university again made a special allocation of strategic funds available for key Covid-19-related projects.

(More information about our efforts to increase research funding can be found under Six goals to realise our strategy on page 52.)

International funding

The table below shows the international funding each faculty received during 2021. The total amount, R28,8 million, was twice the amount received in the previous year.

International funding for research	Actual as confirmed from faculties R'000
Faculty of Economic and Management Sciences	1 334 758
Faculty of Education	290 082
Faculty of Humanities	855 287
Faculty of Engineering	360 170
Faculty of Health Sciences	13 343 911
Faculty of Natural and Agricultural Sciences	12 623 339
Grand total	28 807 547

3.4 Activities: Explore and expand for continuous growth

3.4.1 Teaching-learning activities

In the fast-changing world of work, transferable skills and flexible mindsets are becoming as important as specialised and technical skills. Both the university and our students have to be agile enough to adapt to the new skills demands.

In striving to keep our academic offering relevant, we are focusing on incorporating skills such as analytical thinking and innovation, active learning and learning strategies, complex problem-solving, critical thinking and analysis, and creativity, originality and initiative. These are the top five skills that will be in demand by 2025, according to our environmental scanning.

We are also continuing with academic programme alignment so that we offer comparable academic programmes across our campuses and meet external quality standards.

For more information, refer to page 58 in the section on how we performed against our strategy and increased our intellectual capital.

Greater student access and success

The NWU has a consistently high student retention rate. This indicates the effectiveness of the mechanisms our Centre for Teaching and Learning (CTL) uses to enable student access and success, especially among first-time entering students who, without sufficient support, may be most at risk of dropping out. These mechanisms include peer mentoring, reading development and supplemental instruction.

During the Covid-19 lockdown, these different forms of support to students were provided online and were also extended to our distance learning students.

Promoting continuing education

The Unit for Continuing Education (UCE) offers a comprehensive range of short courses designed for those needing just-in-time learning opportunities. Competition for employment opportunities has stimulated interest in the market for courses that meet the need of economically active people to develop specific skills and obtain knowledge and experience in a given area.

During 2021, both the UCE and NWU Business School presented short courses, reaching 4 567 learners participating in 162 short course events. These numbers are expected to increase over the next year as new tailor-made short learning programmes are being developed.

The demand for online learning escalated over the pandemic period of 2020 and 2021. The 14 self-paced online short courses that the UCE has developed are popular and have so far attracted 298 participants in 20 intakes. The aim is to continue harnessing technology innovatively to provide short learning programmes that address the evolving needs of the labour market.

Improving graduate employability

The Career Centre serves as a dependable link in producing well-rounded and resourceful graduates who are ready to enter the workforce, either as employees or as self-employed individuals. We have established a strong and efficient interface with industry to improve NWU graduates' employability and entrepreneurship potential.

A notable accomplishment of 2021 was the Career Centre's hosting of virtual career fairs using cutting-edge international technology that only three universities in the country were using. A total of 91 companies participated in these virtual career fairs (57 in 2018), and more than 3 000 students were reached. This was a significantly greater number than the 1 300 participants in 2020.

Our entrepreneurship and work-readiness training sessions also reached many more students than in 2020. According to our records, 6 056 students attended these sessions in 2021, an increase of 43% on the 4 222 in the year before.

Confirming the Career Centre's success in supporting its graduates, it was runner-up in the Best Employer Liaison category of the South African Graduate Employers Association (SAGEA) Awards.

Turn to page 68 for a breakdown of entrepreneurship and work-readiness training on each campus.

Focusing on academic and professional development

The professional development of our academics is enormously important as excellent university teachers are fundamental to student success. Some of our professional development initiatives are the induction programme for new academics and the University Teaching Excellence Awards (see page 25). Others are the annual Teaching and Learning Conference and activities related to the scholarship of teaching and learning.

3.4.2 Research activities

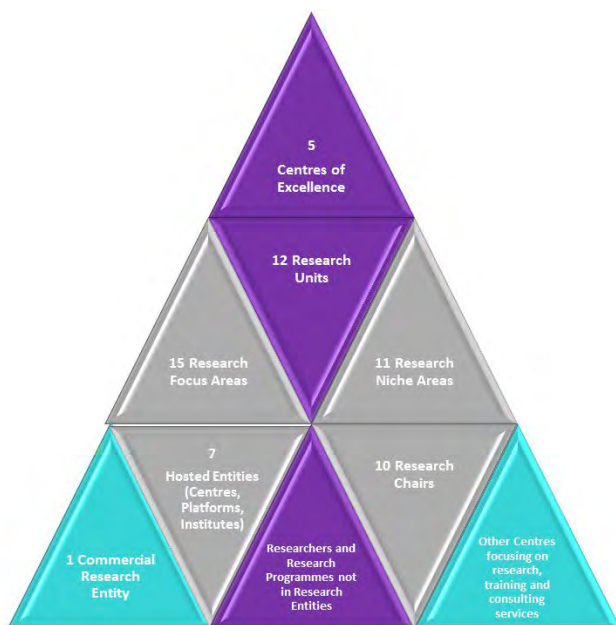
Our research activities were conducted predominantly in our 61 research entities, consisting of 10 research chairs, seven hosted entities, one commercial research unit and 43 NWU research entities. These 43 entities comprised five centres of excellence, 12 research units, 15 research focus areas and 11 research niche areas. We also supported researchers and research programmes outside the research entities model.

Through regular external and internal evaluations of our research entities, we ensure that these continue to create maximum value for our stakeholders. Although the external evaluations were postponed in 2021, the internal evaluations went ahead, focusing on quality, productivity, sustainability and good management practices.

We took our PhD review online, resulting in a self-evaluation report and improvement plan.

In striving to improve our research standing, the university provides focused support to researchers at all levels. The Library and Information Services (LIS) took this further in February 2021, by appointing a director responsible for research and open scholarship. One of the new director's first priorities was to organise group and one-on-one sessions to improve the research skills of both postgraduate students and early-career researchers.

The current NWU research landscape is shown in the following figure:



3.5 Output: Evolve to become critical thinkers

3.5.1 Teaching learning output

We are proud of our student success rates, which can be ascribed to the high level of teaching excellence, and academic and student support available at the university.

Our contact success rate has stayed over 85% for the past three years. The contact undergraduate degree graduation duration factor stood at 1,09 in 2021, lower than in 2020, and indicates that most students complete their degrees in the minimum time. The calculation of the graduation duration factor takes the duration that a student studies (in years), divided by the minimum duration of the qualification. Thus, the closer this indicator is to 1, the better.

The student-to-academic staff full-time equivalent (FTE) ratio is 28,41:1 (29,17:1 for 2020), meaning that one academic staff member is available for every 28,41 full-time equivalent students.

In the case of the first-time entrants, the dropout rate for contact degrees decreased from 11,48% in 2020 to 8.96% in 2021, and remains low in comparison to sector norms. The impact of the Covid-19 pandemic is evident in these rates.

The following graph shows the number of graduates per field of study for 2020 and 2021:

Field of study	2020		2021	
	Graduates CESM weighted	% of total	Graduates CESM weighted	% of total
All other humanities and social sciences	3 020,417	19,54%	3143.000	21.70%
Business and management	3 539,750	22,91%	3372.750	23.29%
Education	5 690,750	36,82%	5029.167	34.72%
Science, engineering and technology	3 203, 083	20,73%	2939.083	20.29%
Total	15 454	100%	14 484	100%

The following table shows how our number of graduates compare with those of other South African higher education institutions (based on 2020 audited HEMIS data):

Institution	Total
University of South Africa	64 423
North-West University	15 454
Tshwane University of Technology	14 897
University of Pretoria	12 852
University of Johannesburg	13 035

Teaching and learning awards

The NWU Excellence Awards are held annually to acknowledge and celebrate the exceptional output of our academic staff in teaching and learning practices and innovation.

Six new teaching awards were introduced in 2021. These were the Faculty Teaching Award, Teaching with Information and Communication Technologies (ICT), Innovation in Teaching and Learning, Online Teaching Award, Novice Teacher Award and the University Teaching Excellence Award (UTEA).

All candidates for the awards submitted a portfolio of evidence for evaluation and attended a two-day writing retreat. Internal panel evaluations and external moderation took place, culminating in a virtual awards event on 25 November 2021.

There were four winners in the category for novice teaching, one in online teaching, one in innovation and learning and one in teaching with ICT. Two University Teaching Excellence awards were awarded. They went to Ms Veruschka Pelsers-Carstens from the Faculty of Economic Management and Science and Dr Sune van der Linde from the Faculty of Natural and Agricultural Sciences. Both have been nominated for the 2022 CHE/HELTASA National Teaching Awards.

3.5.2 Research output

The Library and Information Services (LIS) ensured that all research outputs relating to theses and dissertations and to some extent, journal articles, were uploaded onto Boloka, the university's institutional repository that enables wider online access of such output. This is in line with the NRF and other funders' mandates for publicly funded research output.

Our peers in the scholarly community are the best judges of the quality of our research and innovation output. They give their stamp of approval by publishing our articles in peer-reviewed journals and inviting our academics and postgraduate students to give presentations at accredited conferences. Master's and PhD students graduated is another important yardstick of quality.

The following table confirms that the quality and quantity of research at the NWU continues to improve:

	2019	2020
Journal articles	1233.18	1264.32
Conference proceedings	118.75	38.84
Books and chapters	189.22	233.43
Total article equivalents published	1541.1503	1536.59
Master's degrees conferred	798	722
Research master's	574.872	521.605
Research master's weighted	574.872	521.605
Doctoral degrees conferred	314	251
Doctoral degrees weighted	942	753
Total weighted research output	3058.0223	2811.1914
Postdoctoral fellows	231	215
Publication units per permanent academic staff member	0.98	0.93

Research output 2020 (intellectual capital)

Read more about our research output on page 63 in the section on how we create value against our strategy, thereby strengthening our intellectual capital.

NWU Excellence Awards

We celebrate our researchers' hard work and exceptional output at the annual NWU Excellence Awards, held towards the end of each academic year.

As with the 2020 celebration, the 2021 awards were held virtually owing to the pandemic. We presented 43 awards in 2021, consisting of 34 awards for NRF ratings, eight Research Excellence Awards and one International Scholar Award.

Prof Marius Nel from the Faculty of Theology was named the most productive senior researcher of 2020, while Dr Jess Auerbach from the Faculty of Humanities was named the most productive emerging researcher.

3.6 Outcomes: Enter society as value creators

The first links in our value chain are our inputs and activities, as discussed in previous sections of this report. The next stage of the value chain consists of our outcomes, which are intended to create longer-term value.

This future focus means that sustainability is an integral element of our outcomes. After we have taken care of immediate and medium-term needs, there must be sufficient capitals left to use for future value creation.

Financial stability is a good example of an outcome that supports our sustainability. When the NWU is financially stable, we are in a position to generate other outcomes, such as delivering skilled graduates to enhance the knowledge economy of the country. Sustainable financial stability is a factor of our external environment and risk cluster 1, as it is influenced by uncertainties in the higher education environment (see page 7).

Our research output is also an outcome. It strengthens our reputation (another outcome) so that we can attract high-quality scientists, further building our human capital and ensuring our future sustainability. This leads to another outcome in the form of solutions to real-life problems that leverage our research and innovation results.

In addition, the third leg of our core business, namely community engagement, creates outcomes by empowering people to improve their lives in a sustainable way.



DR BISMARK TYOBEKA
CHAIRPERSON OF SENATE

4 Our Vice-Chancellor's review

4.1 Introduction: Looking at 2021

Teaching and learning had to be managed in 2020 and 2021 through contingency planning based on our experiences of past disruptions and emergencies.

As time passed, Senate and the faculty governing bodies and committees developed a routine of refining and adjusting the faculty assessment plans in such a way that our responsiveness to changing lockdown levels, and the associated Covid-19 “waves”, has become more normalised. (This in no way downplays the gravity of our situation as a nation, or the loss and pain experienced as a result of the impact that Covid-19 has had on lives, families, communities and workplaces.)

This normalisation has made reflection (rather than reaction) possible and has improved our ability to learn from and act on past experience. In the case of 2021 and 2020, past experience is available to us in the form of shared institutional, sectoral and international experience, whether in the form of teaching and learning activities or through seminars, webinars, colloquia or scholarship. Our academics and leadership have drawn visibly from these experiences.

As the end of the 2021 academic year approached, the university was able to take forward the insights gained and use these experiences to prepare for the new academic year. Planning was based on various assumptions that are themselves contingent upon the changing nature of our circumstances and our capacity to identify and deal with new waves, as well as new variants, of Covid-19.

The pandemic has also necessitated a relook of our student value proposition in relation to teaching and learning, which may be described as follows: the NWU offers a contact teaching and learning experience, with students in contact with academics for both the contact and distance modalities.

What has changed is that face-to-face teaching-learning now takes place in small groups, as does online (synchronous) teaching and learning. This is in anticipation of the continued threat of Covid-19 and the need for physical distancing. There is a possibility of a lasting shift towards the “flipped” classroom, whereby large-group lectures are available online and purposeful smaller-group teaching and learning takes place in a face-to-face setting.

Within this hybrid approach, technology is used to enable better self-pacing, self-direction and collaborative learning (asynchronous and synchronous) in online and face-to-face contact teaching and learning. These dimensions also allow for adjustment in relation to further fluctuations in lockdown levels.

4.2 Our managerial and administrative activities

Since the outbreak of the Covid-19 pandemic and the commencement of the national lockdown at the middle of March 2020, we have proven ourselves to be an agile institution, ready to embrace change.

Our new approach to teaching and learning has been supported with an investment in technology infrastructure. It also provides us with an opportunity to reconsider our staff value proposition and to implement a more flexible work environment. We have now moved from an emergency remote teaching and learning strategy to a more personalised student experience.

4.3 Adequacy of staffing levels, particularly in critical areas

Talented, energised staff who are innovative and highly skilled are key to our aspirations as an internationally recognised university.

As such employees are in demand in the higher education sector, we are responding by using talent management mechanisms such as strategic workforce planning, talent attraction and management, recruitment, optimal remuneration management, training and development and performance management, as well as succession planning to attract and retain staff.

We broadened the scope of our scarce and critical skills programme. Having already implemented this programme in the academic environment, we attended to the roll-out in the support environment in 2021.

The total staff headcount stood at 9 399 in 2021, up from 8 078 in 2020.

As the following table shows, this growth is mainly in the support environment where our support cohort increased from 6 074 in 2020 to 6 337 in 2021, an increase of 263 employees. There was an increase of 1 057 in our academic staff from 2 005 in 2020 to 3 062 in 2021.

Future staffing levels are sure to be affected by budget cuts that we know are on the horizon for the higher education sector, among others. In both 2020 and 2021, the Covid-19 pandemic had a substantial adverse impact on sectoral functioning and the national economy, affecting the funding basis for public and private sector sustainability.

In light of this, and to safeguard the economic sustainability of the NWU as a public institution affected by the national circumstances, we have developed a cost-mitigation plan as part of the consultation processes undertaken with support divisions and faculties of the NWU. In essence, the aim of this plan is to effect savings so as to mitigate the impact of the anticipated sectoral budget cuts and protect the core business of the university, ensuring it remains academically and financially viable.

Since we have had to reprioritise our budget and optimise our staff-cost budget, only mission-critical positions were filled in 2021.

Total staff headcount – 2020 vs 2021						
Classification	Permanent		Temporary		Total	
	2020	2021	2020	2021	2020	2021
Academic	1 632	1 648	373	1 414	2 005	3 062
Support	2 454	2 492	3 619	3 845	6 073	6 337
Grand total	4 086	4 140	3 992	5 259	8 078	9 399

The overall attrition rate is 6,0%, well within our projected attrition rate of under 10%.

Realising equity targets in the workplace

Employment equity targets continued to be closely monitored. The two committees of Council that oversees our progress against these targets are the People and Culture, Employment Equity Committee and the Transformation Oversight Committee.

Our current employment equity plan runs from January 2021 to December 2023. The targets and outcomes for 2021, based on the three-year plan approved by Council on 10 September 2020, are shown in the following table.

Race	2021 Target		% Total	31 Dec 2021 Actuals		31 Dec 2021 % Total	Difference	Target Achieved Y/N
	Male	Female		Male	Female			
African	21,02%	19,58%	40,60%	19,61%	18,68%	38,29%	2,31%	N
Coloured	3,09%	3,89%	6,98%	2,96%	3,97%	6,93%	0,05%	N
Indian	0,82%	1,05%	1,88%	0,73%	0,83%	1,56%	0,32%	N
White	18,71%	30,71%	49,42%	19,38%	32,09%	51,47%	-2,05%	N
Foreign nationals	0,9%	0,23%	1,12%	1,38%	0,38%	1,76%	-0,64%	N
	44,54%	55,46%	100,00%	44,06%	55,94%	100,00%	0,00%	

For the second year, the moratorium on staff vacancies to contain costs in response to the Covid-19 challenges negatively affected our ability to reach the employment equity targets.

The new employment equity plan for 2021 to 2023 has proportional targets for blacks, women and people living with disabilities. The new plan, which Council has approved, focuses on the following four main strategies:

- Removing barriers for attracting people from the designated groups and people living with disabilities
- Succession planning for key positions
- Retention strategies
- Establishing an enabling organisational culture

4.4 The quality of information available to management

In 2021, we undertook initiatives aimed at enabling data-driven management decisions. We introduced a new platform to make integrated institutional data sets available to our different stakeholders, and developed and launched PowerBI dashboards, with training for end-users. (PowerBI is Microsoft's interactive data visualisation and analytics tool for business intelligence, or BI.)

These developments enhanced our ability to use learning analytics and conduct scenario planning. The integrated information from PowerBI was invaluable during the budget-planning process, especially in identifying priorities and ensuring equity of provision, and we used this to inform our risk mitigation strategy.

High-quality, reliable information is essential for decision-making that secures the long-term financial sustainability of the NWU and manages the impact of the Covid-19 pandemic on our financial position. Consequently, we are focusing strongly on financial viability modelling and scenario planning.

The following graphic representation indicates how the landing page of the NWU-dashboard looks:



4.5 Student services and co-curricular activities

Student support services and co-curricular activities are designed to encourage a sense of belonging, develop well-rounded students and celebrate diversity. Throughout 2021, we continued offering our students the most critical and valuable segments of support and opportunity amid the ongoing disruption brought about by the Covid-19 pandemic.

While addressing the challenges associated with the pandemic, we identified key areas of development and improvement in student service delivery such as student finances, university residence processes and student academic administration systems.

The Student Life portfolio managed to retain the most critical and valuable segments of support and opportunity available to our students during the 2021 academic year.

The immediate impact of the pandemic resulted in a reduction of face-to-face interactions between our students and the university. Offsetting this as best we could, we migrated contact-based activities and -services to the online environment.

Although many of our students embraced the virtual space and platforms, such interaction could not replace the entire co-curricular and student-services offerings. However, this necessary migration still created valuable platforms for student engagement and continued student service delivery.

Notable improvements included the successful execution of the student-leadership electoral processes by means of digital and online resources, resulting in increased access and participation by eligible student voters and candidates. Similarly, arts, culture and social-cohesion activities continued through smaller virtual engagements.

Counselling support services and psycho-social crisis interventions were accessible to all students through eFundi and telecommunications and video-conferencing platforms. Campus Health Care Centres (CHCCs) resumed primary health care services as students gradually returned to campuses throughout the various national alert levels. The CHCCs worked with stakeholders such as Higher Health to educate students on the risks and measures for managing and preventing the spread of Covid-19 in the university environment.

We also used virtual platforms to continue offering students and student leaders opportunities to obtain valuable skills in project management, fundraising, teamwork, social responsibility and cultural integration.

Concurrently, we identified critical shortcomings in student-service delivery and put mitigating measures in place to provide interim solutions while planning and developing long-term solutions. These had to do with the DIY service platform and systems, administration of student finances and academic matters and the development of applications to engage students on transformation and diversity.

For more information about our academic support activities for students, turn to the section on how we create value through our performance on pages 58 to 61.

4.6 Changing patterns in the provision of academic courses

We are making steady progress in executing our strategy of enrolling more students in the fields of science, engineering, technology and commerce.

In total, 53 469 students were enrolled at our three campuses in 2021. Female enrolments decreased from 35 915 to 33 665, while male enrolments, at 19 804, decreased from 20 150 as in 2020.

Since receiving ministerial approval for the NWU qualification and programme offering in August 2020, our faculties have been hard at work developing or establishing qualifications.

All eight faculties amended programmes, most of which were in education, health sciences and natural and agricultural sciences. Two new pioneering qualifications have been accredited and registered. The BEdHons (Language Education) affords students the opportunity of specialising in any of seven South African languages and supports the NWU multilingualism policy. The Bachelor of Human Resource Development Honours is the first honours degree in South Africa solely in the field of human resource development, emphasising the shift from management towards development.

Academic programmes that extend the NWU niche-area offering are the addition of e-science to the MA (Development and Management), which will be offered from 2022. Work is progressing on the MSc equivalent in e-science for 2023 implementation. Both programmes will be joint degrees offered in collaboration with the University of the Witwatersrand under the auspices of the Council for Scientific and Industrial Research (CSIR).

The new Master of Commerce in Information Systems is aligned with current international trends. Similarly, we have added Social Inclusion and Development to the Doctor of Philosophy in Social Sciences. The Bachelor of Health Sciences Honours in Sport Science is intended to contribute to the scarce skills field of human science.

4.7 Self-assessment of our achievements

In hindsight, it is clear that we were more prepared for the disruption that Covid-19 caused than we had thought at the time of the outbreak in 2020. The university already had several strategies and mechanisms in place that had an effect on our readiness and made it possible for us to switch to an emergency remote modality within a month. These included:

- The NWU's distance education capabilities: two years before the pandemic, the university decided to expand the use of distance delivery by making more off-campus offerings available. This gave students and staff the experience to work in an offline-online space. As a result, the NWU's structures, management, staff and students were reasonably well prepared for the Covid-19 disruptions. For example, lecturers were already equipped to teach on the eFundi learning management system and were able to implement emergency remote teaching and learning fairly quickly.
- Responsiveness in addressing inequities: the university provided learning materials, devices and data to students experiencing digital inequalities.
- Visionary thinking: the proactiveness of the Innovative Teaching and Learning with Technology Community of Practice helped the NWU community to adopt and adapt to the emergency remote approach. (A community of practice is a group of people sharing an interest and learning to do it better by working together).
- Future proofing: the 21 Futures Task Team, a relatively small team of experts from across the TL environment and key support units, strategised and initiated a variety of initiatives for 2021 amid the challenges experienced in 2020. This has put the NWU in a better position to face further possible disruptions.

The results of all our efforts are visible in the improvement in our dropout rate from 11.48% in 2020 to 8.96% in 2021. This is an indication of the success of our efforts to reach all our students and to continue and successfully complete the academic year.

4.8 Looking to the future

The pandemic has also brought significant changes and constraints in the research sphere at the NWU, which nevertheless remains in the top seven institutions in South Africa in terms of research outputs.

It is interesting to note that African scientists' share of the world's publications has been increasing over the past 20 years, rising from 1,5% to 3,85% of the total contribution to the world's research publications. The top seven institutions in South Africa published about four times more than the contributions from all other institutions combined in Africa, showing that the NWU is indeed fulfilling its dream to be an internationally recognised university in Africa.

Finally, we envisage embracing the 4IR and supporting our staff members to become involved in national and international research collaboration.



DR BISMARK TYOBEKA
VICE-CHANCELLOR

4.9 Meet our 2021 University Committee members

Meet our University Management Committee members



Prof Dan Kgwadi
Principal and Vice-Chancellor



Prof Daryl Balia
Deputy Vice-Chancellor:
Information Technology and
Potchefstroom Campus
Operations



Prof Marlene Verhoef
Registrar



Ms Elmarie de Beer
Executive Director:
Finance and Facilities



Prof Linda du Plessis
*Vice-Principal and
Deputy Vice-Chancellor:*
Integrated Planning and
Vanderbijlpark Campus
Operations



Dr Mala Singh
Executive Director:
People and Culture



Prof Robert Balfour
Deputy Vice-Chancellor:
Teaching and Learning



Mr Clement Manoko
Executive Director:
Corporate Relations and
Marketing



Prof Jeffrey Mphahlele
Deputy Vice-Chancellor:
Research and Innovation



Dr Sibusiso Chalufu
Executive Director:
Student Affairs



Prof Sonia Swanepoel
Acting Deputy Vice-Chancellor:
Community Engagement and
Mahikeng Campus Operations

5 How we engage with our stakeholders

5.1 Creating value for ourselves and our stakeholders

Our core business of teaching and learning, research and innovation and community engagement requires that we involve our stakeholders, as far as possible, in our planning and implementation of programmes and activities. We do this because we recognise that our long-term sustainability depends on the mutually beneficial relationships between us and our stakeholders. Diversity and inclusiveness are the cornerstone of our stakeholder engagement approaches and activities.

Using the feedback we received from our stakeholders during the course of the year under review, we continued to engage and support our stakeholders in various ways. The interactions and engagements with our stakeholders contributed to a successful academic year.

5.2 How we react to our stakeholders' interest and expectations

The manner in which we respond to our stakeholders' needs determines value creation for us and our stakeholders.

The following tables show how we responded to key stakeholders, including prospective students, current students, employees, alumni, donors and the business community.

Stakeholder group: prospective students	
How we engage	Issues raised (material matters)
<ul style="list-style-type: none"> • Visits to schools • One-on-one and group career advice sessions • Marketing (direct and indirect) • Open days • Sports events sponsorships 	<ul style="list-style-type: none"> • Career choice • Connectivity (devices and data) • Equity of student experience • Health and safety • Application for admission
Our response	
<p>We continued with our hybrid interventions to reach prospective students.</p> <p>These interventions include open days, virtual tours and webinars, as well as interactive electronic material. Interventions for the year included six virtual open days, digital media campaigns, videos, interactive electronic brochures, events and promotions, collectively reaching an audience of approximately 8 765 450 people. Expanding our way of doing things has proved to be successful, as prospective students have generally responded positively to these online interventions.</p> <p><i>These are some of the responses from our prospective students, their parents and schools:</i></p> <ul style="list-style-type: none"> – "Yesterday was a great day for us at school. Thanks for the support. We are really humbled." – School – "It's my pleasure to have worked with Jason Beukes; he did a wonderful job in marketing the university (NWU). I have even registered my son for the first year of a BCom degree with the Vaal campus. Most learners from my school developed an interest in your university because of Jason and myself and I am optimistic to bring more. I love the campus and the special Res, Kumba. Thanks." – Teacher – "Last year you were also leading with all these technical advances for prospective learners. You are the absolute best when it comes to these digital innovations." – Teacher – "Thank you for arranging our tour of NWU. Never have I been so impressed with a learning institution and with you, you are an asset and ambassador!" – Parent – "Your willingness to go the extra mile for your university is noted and your ability to put the best interests of its students first, is a testimony of the integrity you maintain in performing your duties." – School 	

Stakeholder group: current students	
How we engage	Issues raised (material matters)
<ul style="list-style-type: none"> • Webinars • Website • Social media • Meetings • Communiques • SMS 	<ul style="list-style-type: none"> • Connectivity and data • Financial assistance/NSFAS • Equity of experience • Health and safety
Our response	
<p>eFundi remained a crucial source of information for our students in terms of teaching and learning, particularly because contact classes could not take place for much of the year. The teaching-learning material, as well as general Covid-19-related information on e-Fundi, played a crucial role in ensuring the successful completion of the academic year.</p> <p>Owing to issues raised about connectivity and data, the university requested all students to return to campuses. Free WiFi had been available on campuses to enable students to access their learning material and interact with each other, lecturers and academic support staff.</p> <p>During 2021, there was an increase in health-related problems among students. The Campus Health Centres remained crucial in offering relevant services and support to students.</p> <p>Owing to NSFAS payment delays, the university made advance payments to all NSFAS-qualifying students. Bursaries were facilitated or offered to academically qualifying students who did not qualify for NSFAS payments.</p> <p>New buildings, such as residences and administration facilities, were opened across the NWU in line with our commitment to ensure equity of experience for our students and staff.</p> <p>In order to ensure effective communication with students, an internal communication survey was conducted again in 2021. The survey focused on students' channel preferences, as well as their preferred topics for updates and other kinds of communication. Respondents were particularly satisfied with communication from the vice-chancellor.</p> <p><i>These are some of the responses from our students and their parents:</i></p> <p>"Milena is now successfully registered for the BCom Financial Accounting programme. Many thanks for all your guidance and assistance. Your quick response, support and kindness is greatly appreciated." – Parent</p> <p>"I indicated yes because I was one of the students who had to wait for financial clearance, which resulted in me being conditionally registered; but because of the NWU app that I downloaded during the Reception and Orientation period, I was able to attend a few sessions from some of my modules. The NWU app was a reminder of what is going to happen in the registration processes, and it also included the dates for various faculties. The orientation made things simple for me." - Student</p>	
Stakeholder group: industry and business community	
How we engage	Issues raised (material matters)
<ul style="list-style-type: none"> • Integrated report • Webinars • Publications and videos • One-on-one and group engagements 	<ul style="list-style-type: none"> • Assurance on stability and sustainability • Partnerships and collaboration • Graduate attributes • Research
Our response	
<p>We continued to demonstrate our resilience and adaptability in handling new challenges and uncertainties. Our researchers worked with partners and collaborators in the private and public sectors to respond to industry and societal needs. We implemented three targeted engagements with business role players located around our campuses. These engagements helped us to appreciate the issues raised and intervene accordingly.</p> <p><i>Here is one of the responses we received from businesses and alumni:</i></p> <ul style="list-style-type: none"> – Gender based violence awareness campaign feedback: "Loving that a university is actually talking about this and not trying to avoid the subject. It gives me hope that if everyone can develop this sense of equality and wanting to better society, then we will completely beat what's trying to get us down." – Participant 	

Stakeholder group: employees	
How we engage	Issues raised (material matters)
<ul style="list-style-type: none"> • Intranet • Email • Website • Webinars • Publications and newsletters 	<ul style="list-style-type: none"> • Health and safety • Conducive work environment • Employee equity • Remuneration and compensation • Skills development and empowerment • Ethics and transparency
Our response	
<p>The Covid-19 Response Team continued to guide the university on regulations and protocols. The Faculty of Health Sciences, the Campus Health Care Centres and other departments played a key role in the roll-out of the vaccination programme for NWU staff, students and members of the community.</p> <p>We partnered with stakeholders such as the SAPS, South African Banking Risk Information Centre (SABRIC), the North West Province Traffic Department, Disaster Management, Gauteng Province Social Development Department and the National Prosecuting Authority to host crime summits.</p> <p>The summits sought to share information that would assist in fighting crime across the NWU and in the vicinity of our campuses. We continued engaging with staff representatives on remuneration and reached agreements on key aspects of employees' benefits.</p> <p>We organised webinars focusing on health support programmes to empower our staff on how to deal with health-related issues, especially during the pandemic.</p> <p>Recognising the different circumstances affecting our employees, we introduced a staggered return of staff to their campuses and offices. This was to ensure their health, safety and well-being.</p> <p>We used our Organisational Citizenship Behaviour Project (OCBP) to inform employees which behaviours are encouraged and would make the NWU a better place for all. In addition, we launched the NWU Culture Celebration project to reinforce and celebrate values-driven behaviours; and cultivate a shared interpretation of an ethic of care.</p> <p>We continue to prioritise the appointment of staff in line with our commitment to staff equity, diversity and inclusivity. As ethical conduct is crucial and remains a priority within our university, we continued with the interventions and awareness programmes that address some of the issues raised in the ethics survey conducted previously.</p> <p>An internal communication survey was conducted during 2021 to understand the effectiveness of our communication and interactions with staff. The feedback received showed high levels of satisfaction among staff about the information shared with them, particularly communication from the vice-chancellor.</p>	

Stakeholder group: alumni	
How we engage	Issues raised (material matters)
<ul style="list-style-type: none"> • Webinars • SMS • Events • Newsletters • One-on-one and group engagements • Website • Social media 	<ul style="list-style-type: none"> • Stability • Sustainability • Partnerships • Reputation
Our response	
<p>Alumni play a crucial role in building the NWU brand and reputation. Although we could not engage face-to-face with our alumni, we hosted alumni engagements via our online platforms and shared information about developments at the NWU. More than 160 alumni joined the Convocation in 2021 and approximately 75 alumni gave their time and expertise to support different activities of the NWU.</p> <p>The Alumni Committees at our three campuses played a key role in advising our Alumni Office about issues affecting NWU alumni.</p> <p><i>Some feedback from winners of the alumni awards:</i></p> <ul style="list-style-type: none"> – "Thank you, again, for a wonderful evening in Sandton! It was so great to be again in the company of my NWU family and to see the diverse group of alumni and all the great things they are doing in the world. NWU is a special place." – "Thank you for all the arrangements you have done for me. It goes a long way. Your communication skill and dynamic are magnificent." 	

Stakeholder group: donors	
How we engage	Issues raised (material matters)
<ul style="list-style-type: none"> • Integrated report • One-on-one and group interactions • Publications • Website • Meetings 	<ul style="list-style-type: none"> • Stability and performance of the higher education sector in general and the NWU in particular • Long-term sustainability of the Government's funding model • Student access and success
Our response	
<p>We shared information about the university's performance, including our financial position, with our Board of Donors. We also shared our Covid-19 response plans with our donors to assure them about the university's ability to respond to the potential threats and challenges. Donors continued to support the NWU during 2021. To demonstrate their commitment to student access and success, the Board of Donors began discussions about better ways of managing the distribution of bursary funds to students.</p> <p>We conducted a campaign to acknowledge the contribution of our donors in supporting our students and programmes.</p>	

Stakeholder group: government and regulatory bodies	
How we engage	Issues raised (material matters)
<ul style="list-style-type: none"> • Publications • One-on-one and group engagements • Conferences • Workshops 	<ul style="list-style-type: none"> • Compliance with legislation • Financial accountability and reporting • Quality and standards
Our response	
<p>We continued to share our performance information through prescribed progress reports, the integrated report and course-specific reports. Compliance with legislation such as the Occupational Health and Safety Act was a priority.</p>	

Ga gona kgomo ya boroko
- Idiom

"This means: 'You snooze, you lose.' We acknowledge the need to proactively engage with our stakeholders and to ensure that our systems and processes are agile, responsive, and serve as a catalyst towards enhanced intentional experiences."

6 Our transformation journey

6.1 The journey with Covid-19, the academe and students

The NWU transformation journey continues to be an arduous yet exciting and fulfilling endeavour, resulting in several changes that relate to policies, demographics, systems and structures.

These changes cut across many of the 10 key transformation pillars that we have identified as critical in the successful achievement of our goals. The transformation pillars are Diversity, Access, Alignment, Redress, Equity, Resource Allocation, Increased Unity, Student Experience, Success and Quality.

Issues around access, redress and equity have come to the fore amid the Covid-19 pandemic, which has exposed inequalities in students' access to and competencies on technology and its functions. In response, we have adjusted and continued to refine our internal platforms for teaching, learning and research to make the online environment more accessible to our students.

These online platforms were zero-rated and devices and data were provided to students who needed these, ensuring that our students had the opportunity to complete the academic programme online and remotely, and to participate in university life on an equal footing.

As our understanding of the pandemic increased, we took a structured approach towards the reintegration of at-risk students to the campuses and continued to refine our internal mechanisms and responses for the safe and organised reintegration of our students.

6.2 Monitoring transformation

Our ability to monitor the progress of transformation across the NWU has become more and more sophisticated, thanks to mechanisms such as the transformation dashboard, which we have been constantly refining.

Procurement was an ongoing focus in 2021, having been added to the transformation dashboard in the previous year. The attention paid to the transformation of procurement has resulted in achievements such as the development of a preferential procurement strategy involving SMMEs.

Within the student leadership and governance environment, the critical role of student leaders in driving sustainable transformation at a grassroots level was strengthened in 2021. Specific student-leadership portfolios were established, tasked with the development of transformation and diversity within the student domain, as guided by the transformation directives of the Council.

We can safely say that at the NWU, reporting on transformation has become more comprehensive and coherent, in line with the broader institutional goals and objectives.

6.3 Overseeing transformation

Several structures reporting to Council play an oversight role in ensuring that the university remains on track with its transformation targets and goals. The Council subcommittees concerned are the Transformation Oversight Committee, the People and Culture and Employment Equity Committee and the Student Life Oversight Committee.

The Institutional Forum (IF) is a statutory committee that fulfils an important advisory role on transformation matters. In 2021, the IF was chaired by the Executive Director: Student Life, Dr Sibusiso Chalufu, whose assigned function at NWU is transformation.

In addition to these formal governance structures, transformation is considered a primary objective for staff and students who are encouraged to seek innovative and practical mechanisms to create a diverse student population and student leadership cohort.

6.4 Adding value

We stepped up efforts to remove barriers for students living with disabilities. Standardised assistance and opportunities for these students were further enabled by the review and approval of guiding policy documentation during 2021. The successful review and subsequent approval by Council of the Policy on Students Living with Disabilities, Gender-Based Violence Policy and the Transformation Charter, marked major milestones for us as an institution.

We also improved the guiding documents and processes that enable the practical and sustainable diversification and transformation of the student environment. This included the Student Life Language Plan guiding multilingualism and the development of the NWU Language Portrait App. The latter enables interactive and meaningful reflection and engagement on language diversity and capacity.

Student Life and People and Culture collaborated in the successful review of the guiding values of the university and contributed further to the understanding of both staff and students on these values and the associated values-driven behaviours.

In 2021, our staff participated in various sectoral transformation initiatives. These included the 2nd Higher Education Conference themed: “The Engaged University.” At this conference, Dr Sibusiso Chalufu, was one of the speakers in a plenary session that focused on student-centered universities. Participation in such events helps ensure that the NWU’s senior management are attuned to transformation trends across the higher education sector.

6.5 Pursuing and enabling equity

We regard transformation synonymous with justice, culture, performance indicators, communal well-being, excellence and relevance.

Transformation is also about being responsive to environmental and political changes, and being relevant to the needs of the communities we serve.

The Employment Equity Plan for the period 2021-2023 was approved by Council in September 2020. This plan gives expression to the Employment Equity Policy, which ensures that the university creates equal opportunities for all its employees and prospective employees and addresses all related barriers.

Council resolved that, in order to accelerate the pace of transformation, the following targets will be incorporated into the new Employment Equity Plan:

- Appointment of black employees: 70% (at least);
- Appointment of people living with disabilities: 2%; and

Targets have been incorporated into the university's APP and cascaded to individual performance agreements.

All individual performance agreements for line managers have been redesigned to incorporate the people management key-performance area (KPA) for managing employment equity, diversity and promoting the preferred NWU culture.

6.6 Academic transformation

The Covid-19 pandemic continued to stimulate new responses in the transformation of teaching-learning.

Although we continued to rely on online teaching and learning in 2021, students began returning to our campuses. Contact teaching resumed in phases, starting with programmes where contact delivery was necessary for laboratory, workshop or internship work or to comply with the requirements of regulatory bodies such as the South African Institute of Chartered Accountants (SAICA) and the Engineering Council of South Africa (ECSA).

By the end of the year, all students had been invited to return to our campuses.

We also commenced the language audit and survey process associated with the review of the NWU Language Policy. The Language Directorate provided support by translating materials and offering online assistance with interpreting. The latter was introduced to meet pandemic conditions and we look forward to a more normalised offering as the pandemic recedes.

In another positive step for academic transformation, we finalised the content areas for the Short Learning Programme in Sesotho.

Aspects of transformation were highlighted during the three major cross-curricular themed weeks that we hosted during the year on topical issues in society and university. Race Awareness Week, coordinated by the Faculty of Economic and Management Sciences, was held in April 2021 and attracted record numbers of participants. Gender Awareness Week, coordinated by the Faculty of Engineering, took place in August. It focused on women and science and saw various local schools participating. Finally, Language Awareness Week, coordinated by the Faculty of Education, was held in September and dealt with language diversity and celebrated the multilingual and creative contributions of students and staff.

Recognising the impact the Covid-19 pandemic has had on teaching-learning, the university approved an internal quality review of assessment (known as Cov-ARC). All faculties participated across a range of postgraduate and undergraduate programmes, and staff and students were invited.

6.7 Looking ahead

Although we continue to make significant progress in our transformation trajectory, there is a lot more to be done. We believe we are up to the challenge. Our primary motivation for continuing and accelerating our transformation journey, is that it is the right thing to do and it accords with our values.

We stay committed to further building our unitary institution, establishing an institutional culture and a unique NWU way of life that supports our strategy and speaks of care, equality and fairness for all. That is why transformation will stay high on our future agenda.

Transformation remains our collective objective and responsibility through which we aim to create a university that cherishes inclusivity, celebrates diversity, upholds social justice, and works tirelessly towards the realisation of the goal of creating an internationally recognised institution known for engaged scholarship, social responsiveness and an ethic of care.

6.8 Statement on transformation

STATEMENT ON TRANSFORMATION

"The NWU believes that value-adding transformation should be deeply embedded in all our activities, from the transformation of the curriculum to transformation of the institutional culture. All our members are required to further the transformation objectives of the university and to be change champions of transformation initiatives. We are committed to making meaningful changes that will impact positively on the lives of our staff and students."

Statement approval obtained from the NWU Council on 23 June 2022.



MR BERT SORGDRAGER
CHAIRPERSON OF COUNCIL



DR BISMARK TYOBKA
VICE-CHANCELLOR

7 Material risks and opportunities impacting value

7.1 Risk governance and management processes

Using a strategic approach to risk and opportunity management, we identify and prioritise risks and opportunities that could influence our ability to implement the university's strategy, and we adopt appropriate risk mitigation strategies and initiatives. In doing so, we take into account the demands of and uncertainties in the external environment (see page 7) and we align our risk management processes with the King IV Report on Corporate Governance for South Africa. This approach ensures streamlined processes and procedures in accordance with the prescripts of the code.

7.2 How we prioritise our risks and opportunities

The point of reference for prioritising, defining and assessing our risks is the NWU's strategic goals. The main mechanisms are the defined risk appetite and the the combined assurance frameworks adopted by the University Management Committee and endorsed by the Audit, Risk and Compliance Committee.

For risk identification and risk definition, we use a template, coupled with a comprehensive process of implementing internal controls, setting future controls and agreeing on action plans to address the relevant risk reasons towards managing the risks to an acceptable level. All risks above appetite are prioritised and highlighted for focused management actions and reporting purposes.

Certain risks tend to be interrelated and can often be grouped into clusters. For the past few years, we have been using a risk-cluster categorisation approach to identify the material risk clusters that are important for the university's strategy, governance and management, performance and future planning.

These clusters are listed in the following table and make up the core of the risk-management process. The accompanying description provides an overview of the risks and opportunities related to each cluster, and includes a short summary of the associated strategies.

Risk cluster	Risks
1	<p>Uncertainties in the higher education sector, largely related to uncertainties about financial matters and the funding model for universities</p> <p>Related material matter providing the opportunity: Ensure financial sustainability and optimal performance with due consideration of macro-economic conditions and a drive towards digital transformation (2021 APP, Goal 6, Enabler 4).</p> <p><u>Summary of risks</u> relevant to this cluster:</p> <ul style="list-style-type: none"> The financial and related impacts of Covid-19 were added to the risk register in 2020 and remained a risk in 2021. A large number of additional expenses, coupled with reduced income levels brought about by complying with the lockdown and the accompanying regulations, created a risk for the NWU. Lack of clarity about the proposed fee regulation model led to uncertainty around sustainability and remained a risk for the NWU. Declining external financial support to postgraduate students resulted in loss of student income and subsidy income, and affected the continuity of students from the undergraduate to postgraduate environments. A related risk is that postgraduate enrolment numbers remain dependent on the availability of bursaries. The risk that the government's funding model of higher education is not sustainable has not abated, especially given uncertainties around the details of the planned funding model and its impact on public higher education institutions. The concerns about sustainability are supported by the overdependence of the university on a single source of income (government subsidies and NSFAS assistance to students). Student debt is increasing as a result of the culture of non-payment, exacerbated by uncertainties around the sustainability of the NSFAS model. <p><u>Mitigation measures</u> included the internal development of a financial impact model that is updated continuously and accounts for all variables that might impact on the financial performance of the NWU. The mitigation strategies include focusing on fundraising and endowment initiatives to ensure new and sustainable sources of income, building available reserves to cover one year of operational expenses, engaging in optimal relationships with funders and facilitating start-up capital by the Technology Transfer and Innovation Support Department.</p> <p>Various committees receive comprehensive, regularly updated reports on the three-year rolling financial plan, focusing each time on specific goals/targets in terms of ongoing performance measurement. Some of these performance goals are linked to strategic initiatives, such as the Staff Cost Mitigation Project. There is also a focus on increasing throughput in the academic environment to ensure the optimal generation of subsidy funding.</p>

Risk cluster	Risks
2	The demand for organisational change and ongoing transformation
	<p>Related material matter providing the opportunity: Govern, lead and manage in an agile, collaborative and integrated way towards an optimally digitised university environment (2021 APP, Enabler 1).</p> <p><u>Summary of risks</u> relevant to this cluster:</p> <ul style="list-style-type: none"> • Insufficient levels of diversity exist in the staff and student environment. • Dependencies on key people leads to loss of institutional knowledge and creates vacuums in key functional areas should they leave the NWU. • Lack of competitive salaries in the academic environment might lead to an exodus of talent. • Challenges that affect staff morale, such as perceived non-implementation of retention strategies, result in difficulty in recruiting and retaining qualified and talented staff. • The university has had to adapt to a significant change in stakeholder behaviour in its management of the Covid-19 situation. While ensuring business continuity in its mission-critical functions, the NWU has had to ensure adequate alignment of quality teaching and learning in relation to student access and success and fit-for-purpose workforce utilisation. <p>The preceding factors indicate that the NWU might have to re-invent its business model to enable it to continue competing in these shifting circumstances and, in some cases, take advantage of demands and opportunities presenting themselves in this dynamic environment.</p> <ul style="list-style-type: none"> • Some uncertainties remained with regard to the implementation of the functionally multilingual language policy and also in pursuing the unitary business model, leading to the possibility of instances of disruption. <p><u>Mitigation measures</u> included the implementation of a student-recruitment and -admission process** in line with the approved enrolment plan and in accordance with the diversity targets contained in faculty enrolment plans and the Corporate Relations Marketing plans. Other measures entailed the drafting and approval of faculty language plans that make provision for the implementation of the NWU Language Policy, making provision for a scarce-skill allowance in the employee environment and building employment equity targets into the performance agreements of management members and measuring these as part of the performance evaluation process. Furthermore, we focused on retention strategies and on compiling clear position profiles for senior management indicating roles and responsibilities.</p> <p><i>**Despite these measures, the first-time enrolments for 2021 were more than 800 heads below target.</i></p>
3	Risks related to academic matters (teaching and learning, research and innovation and academic administration)
	<p>Related material matters providing the opportunity: Strengthen research and innovation with a strategic focus on impactful globalisation (2021 APP, Goal 2) and promote excellent learning and teaching; also reposition the NWU to attain the size and shape required by market direction decisions. (2021 APP, Goal 1).</p> <p><u>Summary of risks</u> relevant to this cluster:</p> <ul style="list-style-type: none"> • Research funding and research has declined, raising the possibility of inadequate quality of research products. • Limited and inadequate infrastructure planning for teaching may result in loss of opportunity income, subsidy and loss of return, loss of students and staff and compromised teaching quality. • An insufficient global engagement/internationalisation effort could limit the NWU's international exposure and hence its ability to attract international staff, students, investment and research sponsorships. • Standards gap between basic and tertiary education lead to school leavers being ill-prepared for tertiary education. • Apparent unpreparedness for functioning in a blended learning environment, exacerbated by the perception that technology does not optimally support the teaching and learning effort, leads to missed opportunities for blended learning. • Slow external processes for approval of qualifications/programmes may result in missed opportunities and dilute the relevance of the NWU programme offering. • Over and under enrolment might result in financial losses. • If graduates do not find employment quickly enough, the NWU could be perceived as unable to meet marketplace expectations. • The possibility exists that undergraduate and postgraduate academic offerings and related services may not be sufficiently responsive, price-appropriate and of the required quality and standard. • Decline in student throughput and student success may possibly be caused by external factors such as NSFAS rules and internal factors such as inadequate student support. <p><u>Mitigation measures</u> included the enrolment plan (2020-2025) being developed and approved; the functioning of the Institutional Budget Committee to make provision for infrastructure planning in budgeting planning; the establishment of a space management project to optimise governance and management of space across NWU (teaching spaces and non-teaching spaces). Other measures included the approval of our Internationalisation Policy and a business process established to ensure the management cooperative agreements by the DVC R&I; the exploration of commercialisation and investment opportunities in international markets and campaigns targeting alumni living abroad for donations. With regard to throughput quality admission tests and placement tests are performed to guide admission into qualifications and allocation of students to second and third choices if admission requirements to preferred choice have not been met and putting in place measuring tools to trace and track student success.</p>

Risk cluster	Risks
4	Ensuring compliance
	<p>Related material matter providing the opportunity: Govern, lead and manage in an agile, collaborative and integrated way towards an optimally digitised university environment (2021 APP, Enabler 1).</p> <p><u>Summary of risks</u> relevant to this cluster:</p> <ul style="list-style-type: none"> • The lack of focus and clarity regarding the placement, functioning and monitoring of environmental management at the NWU poses a risk to both sustainability and compliance. • Inadequacies around a focused approach to information governance, disaster recovery and business continuity could also hamper the NWU's operations. • The risk that fraudulent activities could be prevalent in some business process environments could impact negatively on the reputation of the NWU. • Inconsistent application of the NWU Policy on Academic Integrity could negatively affect the reputation of the university through the issuing of penalties, revocation of qualifications and loss of income from subsidised publications. • Non-compliance with health and safety laws could cause injury or loss of life, along with financial losses and business closure. • Lack of compliance with legislation, statutory requirements, licences and other legal requirements could lead to financial losses, possible imprisonment and penalties. <p><u>Mitigation strategies</u> included business continuity and contingency planning for mission-critical processes such as registration. This was done in addition to the large-scale focus on business continuity amid the Covid-19 situation and was reported to the University Management Committee and the relevant council committees. The groundwork was done towards implementing the digital business strategy and has been reported on at all levels of management and the relevant Council committee level.</p> <p>The compliance management process unfolded in accordance with the NWU's Three-year Rolling Plan and progress was reported to all Council committees.</p> <p>Training on the Protection of Personal Information Act (POPIA) was made compulsory for all staff and is to be repeated every four years.</p> <p>A decision was made to position environmental management strategically to assist in addressing the risk of inadequate environmental management.</p> <p>Continual occupational health and safety (OHS) training and monitoring were conducted, per schedule and budget, to mitigate OHS risks. Reports were submitted to the relevant committees.</p> <p>The NWU has appointed departmental health and safety representatives.</p> <p>The NWU Policy on Academic Integrity was reviewed after an intensive consultation process in 2021. Owing to greater awareness among academics about the risks of possible transgressions of the Policy in the online teaching-learning environment, especially during the Covid-19 pandemic, the faculties commenced the process of developing standard operating procedures that give effect to the Policy in both the Teaching-Learning and Research and Innovation environments.</p>
5	Risks related to student life, both in the academic and non-academic environments
	<p>Related material matter providing the opportunity: Develop a clearly differentiated student value proposition with a focus on creating an inclusive environment aimed at developing students holistically through structured and unstructured co-curricular programmes that are relevant, desirable and that meet students' needs (2021 APP, Goal 4); at the same time, promoting excellent learning and teaching, and repositioning the NWU to attain the size and shape required by market direction decisions. (2021 APP, Goal 1).</p> <p><u>Summary of risks</u> relevant to this cluster:</p> <ul style="list-style-type: none"> • Varying student experiences across campuses might lead to dissatisfaction because of the possible negative effect of "standardising" student life across campuses and the management of student life in the university structure. • A reputational risk could arise if the public and stakeholders do not believe the university is living up to its promise of social justice. This could affect the perceptions of stakeholders with regard to the NWU's standing in comparison with other universities. • Inadequate measures to create a welcoming student environment at the NWU. • Inadequacies in student leadership skills could lead to possible infringements of human rights and other values, resulting in a student offering that leaves much to be desired. • Student safety on and off-campus is at risk due to the escalation in criminal activities on and around campus, including an increase in gender-based violence. <p><u>Mitigation strategies</u> included making emergency contingency plans for student unrest; conducting awareness and training programmes on LGBTQ+ and other human rights matters; offering leadership-coaching and mentoring programmes, and continually reviewing and measuring attitudes towards the student offering and its acceptance among the student body.</p> <p>Well-defined processes are in place to mitigate the impact of possible student protest action; these involve joint operating teams with the SAPS, Public Order Policing and Intelligence Services and have been established over time.</p> <p>The NWU has policy and rules on gatherings and demonstrations, supported by standard operating procedures and emergency contingency plans.</p>

Risk cluster	Risks
	For risk mitigation in respect of campus safety, all campuses are access controlled and have implemented the principles of the Cachet Park City Improvement District Non-Profit Company (Cachet Park CID NPC) initiative.
6	IT risks (including cyber security) and university systems
	<p>Related material matter providing the opportunity: Establish a holistic and integrated university technology platform to provide a solid foundation for a digital future (2021 APP, Enabler 2), as well as govern, lead and manage in an agile, collaborative and integrated way towards an optimally digitised university environment (2021 APP, Enabler 1).</p> <p><u>Summary of risks</u> relevant to this cluster:</p> <p>Worldwide, cyber security risk is regarded as the number one IT issue, necessitating more stringent cyber security measures at the NWU. The risk of a cyber-security attack is heightened in a period of digital transformation, which the NWU is currently undergoing.</p> <ul style="list-style-type: none"> IT provisioning for certain administrative and academic functions might not be regarded optimal as IT staff have high workloads owing to inadequate human resourcing of the IT department. Furthermore, uncertainties about the direction of the digital business strategy could possibly lead to delays in new system design and implementation. Possible inadequate disaster-recovery planning within IT could halt the operations of the NWU. Possible inadequacies in the processes and systems that drive the core business could result in loss of students and student income. <p><u>Mitigation measures</u> include implementing a comprehensive cyber-incident and execution management system and developing a cyber-security strategy. The university has successfully deployed a security information and event management plan that works by collecting log and event data generated by host systems and firewall applications. Bringing all these together into a single centralised platform supported by dashboarding and artificial intelligence enables abnormalities in the NWU's IT environment to be identified and escalated to the cyber-incident response team.</p> <p>Anomalies in terms of cyber-security matters are also identified by the above.</p>
7	Commercialisation
	<p>Related material matter providing the opportunity: Promote excellent learning and teaching, and reposition the NWU to attain the size and shape required by market-direction decisions (2021 APP, Goal 1), and strengthen research and innovation with a strategic focus on impactful globalisation (2021 APP, Goal 2).</p> <p><u>Summary of risks</u> relevant to this cluster:</p> <ul style="list-style-type: none"> The failure of licensees or spin-out ventures to commercialise could result in wasted resources. Exposure to commercialisation risks such as the offering of non-compliant short learning programmes could deflect income away from the NWU. The university could miss out on commercialisation opportunities. <p><u>Mitigation measures</u> included establishing and maintaining a proper governance and management environment to ensure accountability and optimal functioning of the commercialisation space within the technology-transfer environment. All NWU-related entities structures have been overhauled and reports submitted to the relevant management and governance structures. Provision has been made for an effective financial and operating model for commercialised entities, focusing on due diligence and standardised licensing agreements. The management structure of the Centre for Continuous Education has been renewed to allow the increase of commercialisation opportunities.</p>
8	Operational risks
	<p>Related material matters providing the opportunity: Govern, lead and manage in an agile, collaborative and integrated way towards an optimally digitised university environment (APP, Enabler 1) and ensuing financial sustainability and optimal performance with due consideration of macro-economic conditions and a drive towards digital transformation (APP, Enabler 4).</p> <p><u>Summary of risks</u> relevant to this cluster:</p> <ul style="list-style-type: none"> The NWU academic project could be in jeopardy through ineffective and inefficient support functions, possibly leading to loss of income and potential growth, a potential loss of staff and a negative impact on the reputation of the NWU. Low staff morale could result in absenteeism and loss of valuable staff. <p><u>Mitigation measures</u> included a productivity and human resource allocation model, providing clarity on roles and responsibilities to guide the implementation of the responsibility matrix within the support staff environment and in the academic administration environment. In combination with this, a process is under way to reinvent business processes in preparation for the implementation of a new student information system. A project was concluded in 2021 to optimise space management and to implement an electronic space-booking system and, with the prospect to be followed later with an electronic timetabling system. In addition, the NWU received a grant from the DHET to optimise our infrastructure development.</p> <p>We are also further strengthening our integrated planning for academic infrastructure.</p>

Focus on the management of risks related to the Covid-19 situation

A number of risks pertinent to the mitigation of the short, medium and long-term risks pertaining to the Covid-19 pandemic continued to receive priority attention in 2021.

The Audit, Risk and Compliance Committee advised on the importance of ensuring sufficient coverage of risks related to the uncertainties and challenges of the Covid-19 situation. To this effect, a risk was added to the strategic risk register to account for possible inadequacies around a focused approach on the management of the pandemic as this might impact directly on the NWU's governance and management.

The risk impact was categorised as severe and the likelihood as certain, resulting in an inherent risk rating of 25.

We considered all relevant controls that had been established (among others, the drafting and continuous updating of a financial impact model with the mitigation plans approved by Council and the functioning of a Covid-19 response team whose mandate it was to advise the vice-chancellor and the university management committee in timeous manners). These controls were rated as adequate, resulting in the residual risk rating coming down to 12, which is still above the NWU's risk appetite.

On completing the first level of assurance during the latter part of 2021, we concluded that the provisioning of an adequate governance and management environment to deal with matters related to Covid-19 in the short and medium term was regarded as fair assurance.

The challenge is to continue glean insights over the medium to longer term from the lessons learned about business continuity during the pandemic.

7.3 Using our opportunities

Our risk-cluster approach ensure focus in our ongoing risk management project. As part of this approach, we continually identify opportunities to adapt to our changing environment.

In accordance with the definition and refinement of goals and enablers in our APPs over time, the following threads remain visible as strategic opportunities that:

- continually safeguard the financial sustainability of the university;
- enable us to implement our new strategy, structure and operating model;
- promote excellence in teaching and learning and research and innovation;
- establish a clearly differentiated student value proposition;
- develop and retain excellent staff and create an equitable staff and student profile;
- enable the deployment of best-in-class information technology to support the core business; and
- provide an effective financial model, policies and structure for continuing education offerings and increased commercialisation opportunities.

7.4 Steps taken in 2021

We continued to refine risk management in order to provide assurance on the top 10 risks and, concurrently, strengthen the internal control environment to provide evidence of assurance provisioning.

The ongoing review of policies since the restructuring of the NWU between 2015 and 2017 has contributed to the strengthening of the control environment. In addition, the ongoing drive to strengthen governance and the management of ethics has created an environment conducive to ethical behaviour.

In 2021, we improved the description of internal controls. This assisted in the mitigation of risks by contributing to a better understanding of risks and risk causes. As a result, we were able to improve risk management to fairly acceptable levels and for the provisioning of first-level assurance.

The continued implementation and improvement of electronic risk management contributed to more systematic risk management.

The focus on an encompassing risk identification, risk definition and risk appetite also continued to provide a basis for the achievement of strategic objectives.

Our concerted effort in 2021 to commence with the provisioning of first-level assurance paved the way towards greater maturity in risk management.

The focus on the monitoring of risk management continued in 2021 by means of bi-annual engagements with risk owners, followed by reports to management and governance structures. Council committees, in particular the Audit, Risk and Compliance Committee, have a defined role to fulfil in the ongoing monitoring of risk management. To this end, all Council committees, as well as Senate, continued to status reports on risk management on the relevant areas of interest at their May and October meetings.

The following graph indicates the status in 2021 of residual risks in the NWU strategic risk register, after consultation with risk owners:

**The number in the top corner indicates the residual risk rating and the # indicates the number of risks at that particular rating on the NWU risk register*

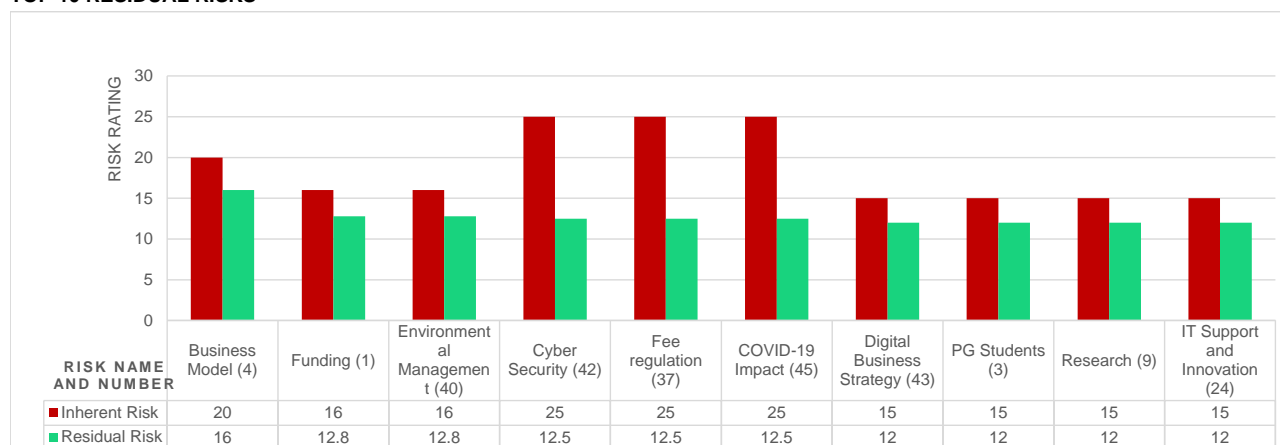
21 #0	22 #0	23 #0	24 # 0	25 #0
16 #1	17 #0	18 #0	19 #0	20 #1
11 #0	12 #5	13 #2	14 #0	15 #0
6 #7	7 #1	8 #4	9 #0	10 #4
1 #0	2 #4	3 #6	4 #7	5 #0

Key to risk indicators

Name	Value	Description	Colour
Minor	4	A risk event that holds no significant threat to the organisation, employees or other stakeholders.	
Low	10	A risk that is unlikely to occur, but if it does occur it can be managed under normal operating conditions.	
Medium	15	The risk could have a serious impact on operations. A risk that can be managed with some additional resources, budget and maintenance effort.	
High	25	The risk is potentially disastrous and will hinder the achievement of objectives and/or lead to the collapse of business and/or project.	

To follow, the top-ten risks on the NWU Strategic Risk Register graphically depicted and clarified by means of short description of each:

TOP 10 RESIDUAL RISKS



Rank	Risk No	Risk Owner	Type	Risk Name	Description	Inherent Risk	Residual Risk
1	42	DVC IT	Strategic	Cyber Security	The risk exists that cybersecurity is not adequately addressed at the NWU, while it remains to be the number-one IT issue worldwide. An attack on the NWU is likely. Digital transformation will increase the cyber security risk.	25	20
2	4	VC, UMC Members	Strategic	Business Model	The lockdown forced a change in stakeholder behaviour and habits. The approach to being a university and how people interact has fundamentally changed. The organisation has had to adapt to a significant change in stakeholder behaviour whilst ensuring adequate alignment of quality teaching and learning in relation to student access and success and fit-for-purpose workforce utilisation. Universities have had to re-invent their business models to ensure that they could compete in these shifting circumstances and, in some cases, ensure that they take advantage of unprecedented demand.	20	16
3	1	UMC - IP, SALA, ExDir FF	Strategic	Funding	Government funding model is not sustainable, and the HE sector experiences not to be sufficiently informed by the DHET, also the impact is not known, exacerbated by an over-dependence on a single source of income (government subsidies and sustainability of NSFAS).	16	13
4	40	UMC	Strategic	Environmental Management	The lack of focus and clarity in regard to the placement, functioning and monitoring of environmental management at the NWU poses a risk to sustainability and compliance.	16	13
5	45	UMC	Strategic	Covid-19 Impact	Inadequacies around a focused approach on the management of the Covid-19 situation as this impact directly on the NWU's governance and management, could hamper the NWU's sustainability on the short-, medium- and long-term.	25	12
6	37	ExDir: FF	Strategic	Fee regulation	Insecurities regarding the proposed fee regulation model leading to uncertainty around sustainability.	25	12
7	3	DVC R&I, ExDir FF	Strategic	PG Students	Insufficient financial support to PG students resulting in loss of student income and continuity from UG to PG. Furthermore, postgraduate numbers' dependency on bursaries.	15	12

Rank	Risk No	Risk Owner	Type	Risk Name	Description	Inherent Risk	Residual Risk
8	43	DVC IT	Strategic	Digital Business Strategy	Digital transformation will have a severe impact on operational models, structures, people, processes and roles.	15	12
9	24	DVC IT; UMC	Strategic	IT Support and Innovation	IT provisioning for certain admin and academic functions not optimal; indications exist that individual IT staff are overburdened due to inadequate human resources in IT; uncertainties evident about the direction in regard to digital business strategy leading to delays in new system design and implementation.	15	12
10	26	DVC IP; Registrar, DVC IT, DVC TL, Deans DVC R&I, ExDir FF	Strategic	Business Processes	Loss of students and student income due to the processes and systems that drive the core business being inadequate.	12	10

7.5 Statement on risk management

STATEMENT ON RISK MANAGEMENT

The NWU Council, as the final decision-making body of the university, affirms that it is endowed with the responsibility and accountability for the effectiveness and efficiency of the risk-management process. It is continually apprised of developments by means of management and audit reports on the management and risk coverage processes; and had been provided sufficient assurance over the past year from all relevant assurance providers.

Statement approval obtained from the NWU Council on 23 June 2022.



PROF MARLENE VERHOEF
REGISTRAR DESIGNATED WITH RISK RESPONSIBILITY

7.6 Report on internal/administrative structures and controls

The North-West University maintains a system of internal control to provide reasonable assurance for the achievement of effectiveness and efficiency of operations, the reliability of financial reporting and overall compliance with relevant laws and regulations, the prevention of loss of resources and assets, and reduce legal liability.

Particular attention is given to financial reporting and safeguarding assets against the unauthorised acquisition, use, or disposal of such assets. The internal control system is designed to provide reasonable assurance regarding an operational environment that promotes safeguarding the university's assets and the preparation and communication of reliable financial and other kinds of relevant information. This assurance is provided to the university as well as the university council.

Internal control objectives are pursued to ensure the fostering and enhancement of a strong ethical climate.

The control objectives include ensuring completeness, accuracy, and proper authorisation concerning documented organisational structures, setting out the division of responsibilities, and establishing policies and procedures, including a code of ethics and a communication programme to make these known throughout the university.

Internal control practices are maintained as far as policies and procedures are documented, implemented and monitored by the University Management Committee, the Council and evaluated by the Internal Audit department. The updates of policies are coordinated by the Corporate Information and Governance Services Department, following a regular schedule that includes consultation with all relevant structures. After Council approves new and reviewed policies, it is communicated to and available on the internet for all university employees and stakeholders.

In addition, a performance management system with adequate job descriptions in line with key performance indicators is utilised at the NWU to ensure individual accountability and proper assignment of responsibilities.

Regarding information systems, modern information technology is utilised at the university that, amongst others, entails the development and implementation of core systems in accordance with defined and documented standards to ensure efficiency, effectiveness, reliability and security.

Accepted standards are applied to protect privacy and ensure control over data, like disaster recovery plans and backup procedures. Password controls are strictly maintained, with users required to change passwords regularly, except where otherwise approved.

Regular reviews are done to ensure no clashes in user-access rights and ensure that the basic internal control concept of division of duties is maintained. Where, for capacity reasons, occasional conflict does occur, sufficient manual controls are in place to ensure that these clashes are mitigated. Systems are designed to promote ease of access for all users.

In addition, the systems are integrated to minimise duplication of effort and ensure minimum manual intervention and reconciliation procedures. The development, maintenance and operation of all systems are controlled by competently trained staff.

The NWU maintains its cyber-security maturity by information security awareness, training, business continuity and risk management plans. The action plans include budgetary and resource plans for regulatory incidents aimed at reducing legal- and compliance-related risks, the classification of information, the compilation of an information-asset list management program, the regular updates of its cyber-threat profile and its cyber-strategy performance targets. The NWU prepares budgeting and resource plans for its overall cybersecurity defence programme that is aligned to business objectives and risk profile. Not all of the IT systems at the university are centralised, with the consequence that differing levels of control exist at the various management levels, including that of the respective faculties. The NWU strengthened their cyber detection capabilities by implementing a Security Information and Event Management system (SIEM). Our restore and recovery capabilities are well established.

Against the background of the preceding, it is evident that the university is aware that there are inherent limitations to the effectiveness of any internal control system, including the possibility of human error and the circumvention or overriding of controls.

Accordingly, even an effective control system can only provide reasonable assurance concerning financial statement preparation and the safeguarding of assets.

The Audit, Risk and Compliance Committee, which exercises the primary oversight role on behalf of the university council on the effectiveness of internal controls, believes that the university's internal control system as at 31 December 2021 (as included in the finance policy, the procurement policy, the policy on delegations, the financial guidelines in support of the finance policy, the guidelines for records management of financial records, as well as various other financially-related guidelines and procedures available to employees) has met the criteria for effective internal control over financial reporting.

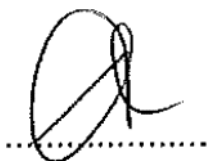
The compliance with all relevant policies, guidelines and procedures related to financial reporting is monitored continuously by both the internal and external audit functions and the relevant financial divisions and employees assigned with the responsibility. The monitoring takes place regularly while transactions are being processed and during the execution of internal and external audits.

The University Management Committee and operational managers on different levels regularly identify, report, review, and manage all related risks. The risk register is updated and maintained regularly with feedback requested from risk owners, executive managers, the members of the Combined Assurance Forum and various operational managers.

Assurance is provided by four levels of assurance, of which one is the internal audit function. On this level, it includes audits according to the risk-based internal audit plan, as approved annually by the Audit, Risk and Compliance Committee, and provides for the evaluation of relevant systems, procedures, and controls in areas considered high risk. The internal audit function is responsible for identifying significant control deficiencies and reporting these to the relevant responsible managers, the University Management Committee, and the Audit, Risk and Compliance Committee. Furthermore, Internal Audit will follow up regularly that recommendations and action plans are implemented as agreed-upon by Management to ensure the improvement of the control environment. The progress with the tracking of all unresolved findings will be reported to the Audit, Risk and Compliance Committee.

In light of the above, the Audit, Risk and Compliance Committee is confident that, as at 31 December 2021, the NWU systems of internal control over its operational environment; information reporting, safeguarding of assets against the unauthorised acquisition, and use or disposal of assets, met the criteria for effective control for financial reporting purposes. The committee is also confident that internal control measures assisted the NWU to achieve its goals in effective and efficient ways.

The Audit, Risk and Compliance Committee of the NWU Council reviewed this report on internal administrative/operational structures and controls for the 2021 financial year under review at its meeting of 30 May 2022 (which was quorate), and confirms that the documentation for approval by the Committee was circulated through the meeting agenda that reached members in advance and with due notice.



MR THABO MOKGATLHA
CHAIRPERSON: AUDIT, RISK AND COMPLIANCE COMMITTEE



MS MADELEIN VAN DER MERWE
DIRECTOR: INTERNAL AUDIT

8 Our strategy to create value

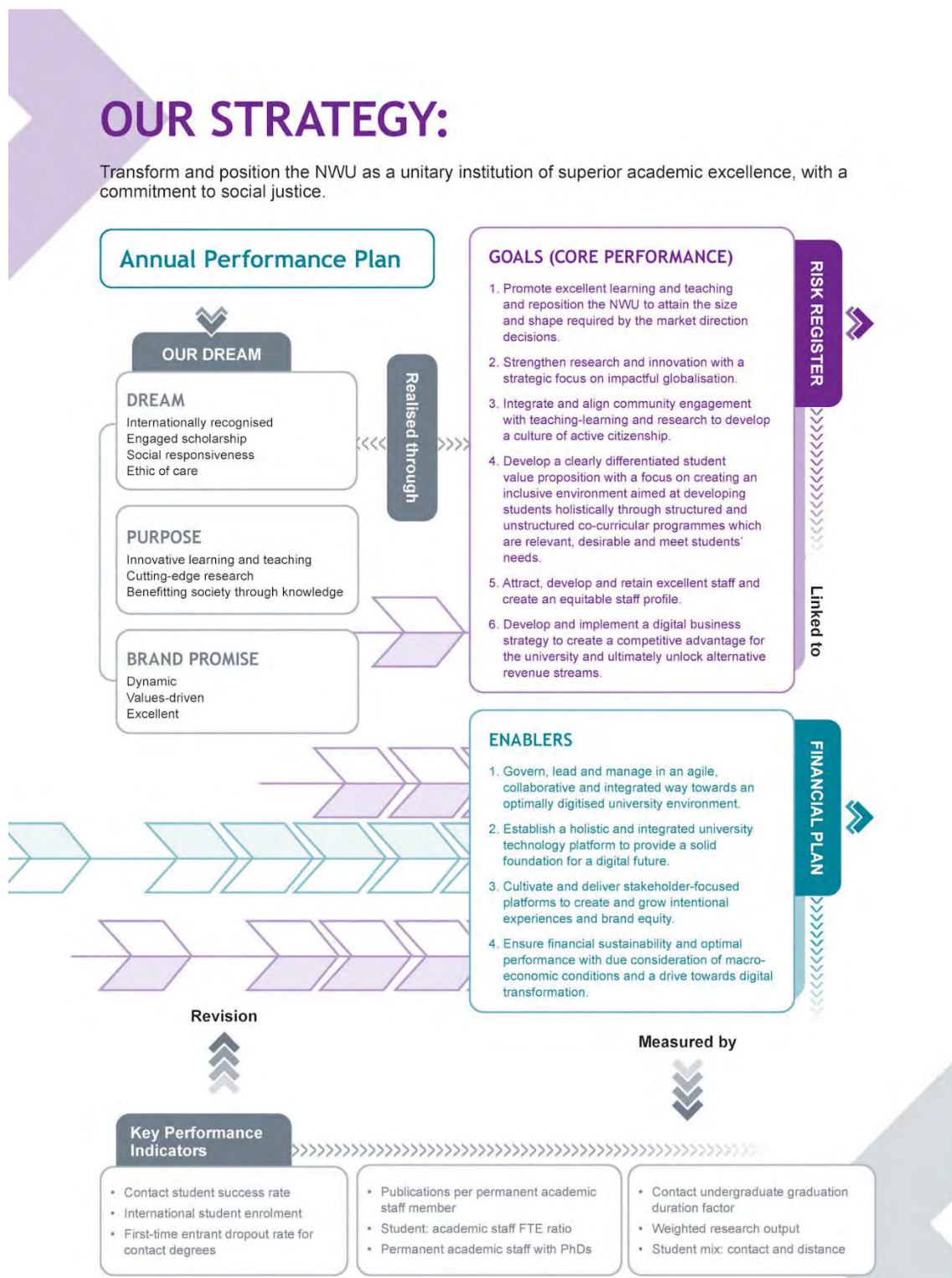
8.1 Introduction

Here, we describe how our strategy and APP keep us moving forward with purpose, thus creating value for our shareholders.

Our strategy stretches over a 10-year period, currently 2015 to 2025, while our APP is for 12 months, in this case 1 January to 31 December 2021.

8.2 Explaining our strategy

In the following diagram, we depict how our identity (purpose, dream and brand promise) drives our strategy, which informs our long-term goals and enablers. Each year, we review and agree on our annual objectives that we capture in our APP. These objectives anchor the broad direction in concrete actions through which we create value.



8.3 Six goals to realise our strategy

	How we get there
We want to promote excellent learning and teaching and reposition the NWU to attain the size and shape required by the market direction decisions.	<p>We are taking a multipronged approach towards promoting excellent teaching and learning: The Centre for Teaching and Learning is enhancing its support to the faculties, using research to inform best practices.</p> <p>Our proven student academic development and support initiatives continue to advance student retention and success.</p> <p>We are systemically transforming and renewing the curriculum to equip graduates for 21st century challenges.</p> <p>We have aligned the teaching and learning environment with the Centre for Teaching and Learning's operational plans and teaching and learning plans of the faculties.</p> <p>While providing professional services to the community, we explore opportunities to generate third-stream income through continuing education offerings.</p> <p>We ensure that the PQM is responsive, viable and relevant.</p> <p>Through well-managed and appropriate work-integrated learning (WiL) and service learning, we enhance the employability of our graduates.</p>
It is our goal to strengthen research and innovation with a strategic focus on impactful globalisation.	<p>We aim to achieve this goal through a myriad of activities that are intended to enhance the visibility, impact and footprint of our research. These activities include increasing publications in Scopus/ISI journals, sustaining, strengthening research integrity, improving the NRF ratings of our researchers and, through memoranda of understanding (MoUs) and memoranda of agreement (MoAs), expanding our partnerships with reputable international institutions so that more joint degrees and co-publications can be achieved.</p> <p>We assessed and evaluated the NWU research landscape, research funding mechanisms and research project portfolio in light of the pandemic.</p> <p>Furthermore, we managed the research activities of our 61 research entities, including those falling under the South African Research Chairs Initiative (SARChI), and made progress with establishing the joint Namibia-RSA chair.</p> <p>Local funding always matters. In this regard, we successfully concluded the evaluations for research funding applications to the NRF, South African Medical Research Council (SAMRC) and other local funders. Research funding opportunities were widely publicised on NWU online platforms as they were received. Several local research grants were concluded. The NRF grants included grant holder linked bursaries, block grants, freestanding travel grants and bursaries (although travel was restricted during lockdown), freestanding postdoctoral research grants and bursaries, SKA student travel grants and bursaries and Thutuka, in addition, SAMRC, DTI/THRIP and NWU postdoctoral grants were concluded.</p> <p>Creating and maintaining an environment conducive to sustaining, supporting and advancing research excellence considered to be key to flourishing as a research-intensive institution. Thus, training sessions on funding and ethics for researchers and students were conducted as part of an annual programme.</p> <p>An online research ethics application system and administrative support to faculty research ethics committees was initiated and piloted.</p> <p>The LIS arranged workshops and webinars on areas such as open access and research data management, which help to increase the impact and visibility of NWU research. In addition, the LIS initiated a project to digitise pre-1990 print theses and dissertations, thus enriching the online content available.</p> <p>Through presentations and information sharing, we also provided publishing literacy awareness material to the NWU community to reduce the possibility of predatory publishing.</p>
We want our community engagement to be integrated and aligned with our teaching and learning and research, and to develop a culture of active citizenship.	<p>During the second year of the Covid-19 pandemic, our approach to community engagement (CE) evolved. While continuing to contribute to meeting the basic needs of our community stakeholders, we resumed more standard CE activities in 2021, emphasising engaged scholarship that furthered academic citizenship and an ethic of care. A total of 490 activities were reported compared to the 175 in 2020.</p> <p>Our efforts to align and integrate CE with teaching and learning and research are bearing fruit and 6% of our CE activities now reflect engaged scholarship. We are also working towards promoting sustainability principles that are linked to regional and international imperatives such as the Sustainable Development Goals (SDGs) and Agenda 2063 for Africa.</p> <p>The progress made in aligning CE with the core academic and research business of the NWU</p>

	How we get there
	<p>has been possible thanks to the support received from the faculty management structures and the alignment of our CE strategies.</p> <p>Access to communities was still limited to online and mobile interactions in 2021, which had an impact on student volunteering and opportunities for work-integrated learning and service learning. NWU staff have responded by investigating and applying e-service-learning options.</p> <p>In the sphere of environmental responsibility, we promoted the theme of waste management among our students on the three campuses. Some students ran clean-up campaigns in and around their campuses and others made videos about their activities in their own communities.</p> <p>The first virtual NWU CE symposium was held, highlighting the Sustainable Development Goals and engaged research, and how to implement service-learning into the curriculum.</p> <p>At the annual CE awards, 22 recipients were recognised for their contributions.</p>
It is important to develop a clearly differentiated student value proposition, including an inclusive environment where our students can develop holistically.	<p>In 2021, despite the limitations imposed by the pandemic, we were able to organise and present a number of programmes to enhance our student value proposition, using multi-modal approaches, including innovative digital platforms.</p> <p>An outstanding example of the effectiveness of these programmes was the NWU S&R Competition that had 19 000 people watching on the YouTube livestream. Numerous other virtual and face-to-face events and activities contributed to the dynamism of Student Life, thanks to the commitment and dedication of our staff and the creativity and indefatigable spirit of our students.</p> <p>Work on the enhancement of our policies and guidelines with the aim of ensuring the standardisation and alignment of all Student Life activities, proceeded unabated in 2021.</p>
We want to attract, develop and retain excellent staff and create an equitable staff profile	<p>Striving for staff and student equity is an important aspect of promoting social justice and diversity on all campuses. In the case of student equity, steps taken include:</p> <ul style="list-style-type: none"> • introducing an online application process for residences on all three campuses, enabling better control over placements. • requiring all our residences to base their enrolments on the NWU's enrolment targets for 2025 by following the plans and processes put in place for this purpose. • standardising Career Centre offerings, such as virtual career fairs, across the three campuses. <p>In respect of staff equity, our targets are set out in the Employment Equity Plan that Council approved in September 2020 and that complies with all the Department of Employment and Labour's requirements. The plan was implemented from 1 January 2021 and focuses on removing barriers to the recruitment of persons from the designated groups and persons living with disabilities. It also addresses succession planning for key positions, retention strategies and the establishment of an enabling organisational culture.</p> <p>A leadership intervention has been successfully implemented for senior management. The objectives were to promote cohesion and seamless execution of university goals and objectives, and to solidify and growth the behaviour required to achieve this. In 2021. The majority of the Senior Management Committee members completed the group and individual coaching sessions.</p> <p>The implementation of the leadership programme, which is ongoing, has resulted in clear recommendations for effecting some changes to the organisation's leadership culture.</p> <p>The objectives of the leadership intervention were to promote cohesion and a successful seamless execution of the university's goals and objectives. A leadership committee has been established to lead, monitor and report on the progress of this project.</p>
It is our goal to develop and implement a digital business strategy to create a competitive advantage for the university and ultimately unlock alternative revenue streams	<p>The NWU Digital Business Strategy (DBS) was approved by Council and published in the second half of 2021. It incorporates the digital experience gained and lessons throughout the Covid-19 pandemic, and aligns our IT goals with the NWU's character as a unitary institution of superior excellence with an ethic of care.</p> <p>Effectively, the introduction of the DBS is a signal that technology/digital transformation is a core component of the NWU strategy.</p> <p>The purpose of the DBS is to direct digital transformation at the NWU, preparing the university for the future educational landscape.</p> <p>The digital initiatives envisaged in the DBS focus on maximising business agility through the rapid rollout of shared services and building a technology ecosystem that integrates students, partners, employees and things (as per the internet of things [IoT]). The intention is to deliver</p>

	How we get there
	<p>exceptional customer experience and to establish an IT operating model that combines flexibility, competent people, best practices and a culture of innovation.</p> <p>The DBS is organised into several goals and enablers. The goals provide a framework for the types of digital projects we envisage for various environments, while the enablers pinpoint specific digital initiatives. One such example is the renewal and replacement of the Student Information System (SIS) that is core to the student lifecycle. The SIS will support at least two pillars of the DBS, namely operating efficiency and intentional experiences.</p> <p>Combined, the digital projects and initiatives contained in the DBS will ultimately bring about new competitive advantages for the NWU at a time when higher education is becoming increasingly commoditised and institutions that stand out are institutions that differentiate themselves on customer experience and service quality.</p>

8.4 Four enablers to help us realise our strategy

Where we want to go (our enabler)	How we get there
Govern, lead and manage in an agile, collaborative and integrated way towards an optimally digitised university environment.	<p>We have an integrated and holistic approach to ensure the realisation of the 2015 – 2025 NWU Strategy.</p> <p>The Council ensured that the outcomes of the 2020 external review had been accounted for in an improvement plan, in regard of which the implementation thereof was concluded at the end of 2021.</p> <p>Our management model promotes accountability across divisions to achieve organisational outcomes. The tone is set from Council and management, and our values are central to our identity and influence our policy framework at all levels of operation.</p> <p>The implementation of our DBS that has been fast-tracked due to the Covid-19 pandemic, will have a vital influence on the way in which we govern, manage and lead in future.</p>
Establish a holistic and integrated university technology platform to provide a solid foundation for a digital future.	<p>We incorporate the digital experience gained during the Covid-19 pandemic into the future proofing of our operations and align our IT goals to the NWU's positioning as a unitary institution of superior academic excellence with an ethic of care.</p> <p>As a future-proofed institution, our backbone is the Next Generation Digital Environment (NGDE). This modern integration platform supports the delivery of various digital initiatives intended to optimise and automate processes, create quality stakeholder experiences, enable new offerings and provide integrated reporting and analytics.</p> <p>Our high-quality IT capabilities proved equal to the challenges of keeping the NWU running throughout the pandemic and the lessons learnt will inform our ongoing digital transformation.</p> <p>Our focus remains on maximising business agility through rapid deployment of standardised shared services, ensuring a secure digital environment, and starting to build the technology ecosystem that integrates students, partners, employees and things.</p> <p>The intention is to deliver exceptional customer experience and establishing a responsive operating model in IT, known for flexibility, competent people, best practices, innovative culture and well-looked-after staff.</p>
Cultivate and deliver stakeholder-focused platforms to create and grow intentional experiences and brand equity.	<p>A positive stakeholder experience presents opportunities for beneficial stakeholder engagements, retention and loyalty. To this end, the development and implementation of targeted communication platforms/channels remained crucial for the year under review.</p> <p>The interactions with our stakeholders via appropriate channels that lead to intentional experiences play a key role towards the achievement of an enhanced NWU brand equity.</p>

Where we want to go (our enabler)	How we get there
Ensure financial sustainability and optimal performance with due consideration of macro-economic conditions and a drive towards digital transformation.	<p>The financial impact model and mitigation plan that were developed in response to the possible impact of Covid-19, together with a three- year rolling budget for 2021 to 2023 continued to receive primary attention during 2021.</p> <p>The NWU continued with this model, updating it for 2022 to 2024. The intention is to ensure medium- and long-term sustainability, with a focus on cash-flow management for the shorter term.</p> <p>The Continuing Education Strategic Project is expected to optimise and expand our continuing education income and includes developing and implementing a financial model.</p> <p>The Integrated Work Management System implementation was completed at the end of July 2021. Its purpose is to increase the effective and efficient use of buildings and facilities.</p>

8.5 Strategic projects per goal/enabler

The APP serves as an important instrument to realise the NWU strategy and to implement strategic projects.

Strategic projects are those projects that impact significantly on the achievement of our goals and the realisation of our strategy. These also play a significant role in determining the university's overall direction.

The following summary provides an overview of the implementation of strategic projects in the relevant APP goals and enablers.

Goal 1: Promote excellent learning and teaching and reposition the NWU to attain the size and shape required by the market direction decisions

- Continuing with the Medical School project.
- Establishing a Centre for Higher Education Professional Development (CHEPD) at the Faculty of Education in partnership with the Centre for Teaching and Learning.
- Providing MBA leadership coaching to 25 students.
- Establishing a UNESCO Chair on Multimodal Learning and Open Educational Resources in the Faculty of Education.

Goal 2: Strengthen research and innovation with a strategic focus on impactful globalisation

- Establishing a Statistics Consulting Centre to support postgraduate students and staff with data analysis and research methodologies.
- Establishing a joint 4IR-enabled Therapy and Rehabilitation Surveillance Centre, involving Engineering and Health Sciences.
- Developing exoskeletons for participation in Cybathlon (Bionic Olympics) – involve the medical device and digital health fields.

Goal 3: Integrate and align community engagement with teaching and learning and research to develop a culture of active citizenship

- Installing various micro-grid hybrid solar systems for alternative energy supplies on campuses, starting with a pilot project.
- Enhancing energy efficiency by implementing an integrated utility accounts system.

Goal 4: Develop a clearly differentiated student value proposition with a focus on creating an inclusive environment aimed at developing students holistically

- Strengthening student leadership at the Vanderbijlpark Campus through the Griffins Student Leadership Academy.

Goal 5: Attract, develop and retain excellent staff and create an equitable staff profile

- Training the employees of the Unit for Distance Learning employees on the use of online platforms and software.

Goal 6: Develop and implement a digital business strategy to create a competitive advantage for the university and ultimately unlock alternative revenue streams

- Automating and digitising the Health Sciences Ethics Office's ethics processes.
- Enabling digital advertising content management solutions for Finance and Facilities.
- Investigating automation opportunities supporting Finance and Facilities.
- Investigating the use of robotics process automation (RPA) for Finance Payroll.
- Investigating automation opportunities and initiatives supporting the full HR life cycle.
- Hosting online e-sport tournaments to stimulate a more vibrant online student life.
- Establishing a Digital Scholarship Centre as a teaching, learning and research facility to support staff and students.
- Introducing library robotics and e-Resources authentication for LIS.
- Updating the MyNWU app as an integrated communications platform for the NWU.
- Establishing a digital business strategy Accelerator Fund to fast-track funding for small to medium-sized digital projects within the NWU.
- Establishing a digital business strategy Agility Hub to fast-track prototyping and development for time-critical or innovation-driven, exploratory projects.
- Improving data governance and architecture at the NWU and source data experts for advice Implement electronic project portfolio management across the university.

Enabler 3: Cultivate and deliver stakeholder-focused platforms to create and grow intentional experiences and brand equity

- Live-streaming of top NWU sports events for national and international audiences.
- Reaching more prospective sport students through a recruitment and bursary system for NWU Sport.
- Upgrading the systems at NWU River FM for the migration from analogue to digital.

*To see how we financed these strategic initiatives,
turn to page 57 in the section on our performance against our strategy.*

8.6 Annual Performance Plan

8.6.1 How the APP fits in with our strategy

The APP sets out what we must do in a particular year to implement our strategy so that we deliver value to all our stakeholders and ensure that we support national priorities.

In drafting our APP, the starting point is to understand the external and internal operating environment. With this in mind, the senior management team held a strategic planning session where we performed a SWOT analysis to identify the NWU's strengths, weaknesses, opportunities and threats.

The SWOT analysis entailed an objective investigation into the core function and available resources, as well as the in-house expertise and skills that the NWU either possesses (strengths) or lacks (weaknesses). The analysis was performed against the current macro environment, as influenced by economic, social, technological, physical, political-legal and institutional considerations. The aim was to identify favourable (opportunities) or unfavourable (threats) circumstances, which need pro-active management to either pursue or ward off.

8.6.2 How the APP was revised in 2021

The APP is aligned with our 2015-2025 strategy and our 2020-2025 enrolment plan. Our enrolment plan was approved by Council and submitted to the DHET in March 2019.

The purpose of the enrolment plan is to ensure that our budget is linked to national planning on student enrolment and funding (state subsidy) of public universities.

Our state subsidy is divided into block and earmarked grants. Block grants are consolidated into a single transfer and the funds are available to be used for any legitimate university purpose as approved by Council. Earmarked

grants, on the other hand, are funds that may only be used for specific purposes designated by the Minister of Higher Education.

Another important planning process commenced in 2021 when we began drafting an institutional self-evaluation report to prepare for the Council on Higher Education institutional audit that will take place in 2022. The university's steering committee has established working teams from all business environments to compile the self-evaluation report through reflexive praxis.

Our annual revision of the common strategic assumptions and performance planning for the next year considers the national imperatives as outlined in the *National Development Plan (2011)*, *The White Paper for Post-school Education and Training (2013)*, *Building an Expanded, Effective and Integrated Post-school System (2014)*, and the African Union's *Agenda 2063: The Africa we want*.

8.7 Future outlook

An important assumption that informs our planning is that Covid-19 will not disappear in the near future, and that we will continue to function within a regime of health-related caution.

Covid-19 has also accelerated the implementation of our digital business strategy. Our future digital platform will integrate students, partners, employees and things, in order to connect people to contextualised information and services.

This connected environment will feature modern digital delivery channels and a resilient integration platform sitting on top of stable, hybrid, responsive, manageable and secure infrastructure and enabling systems. These will support our business and operating models, provide analytics-driven insights and enable exceptional customer experience, all aimed at differentiating this university from others.

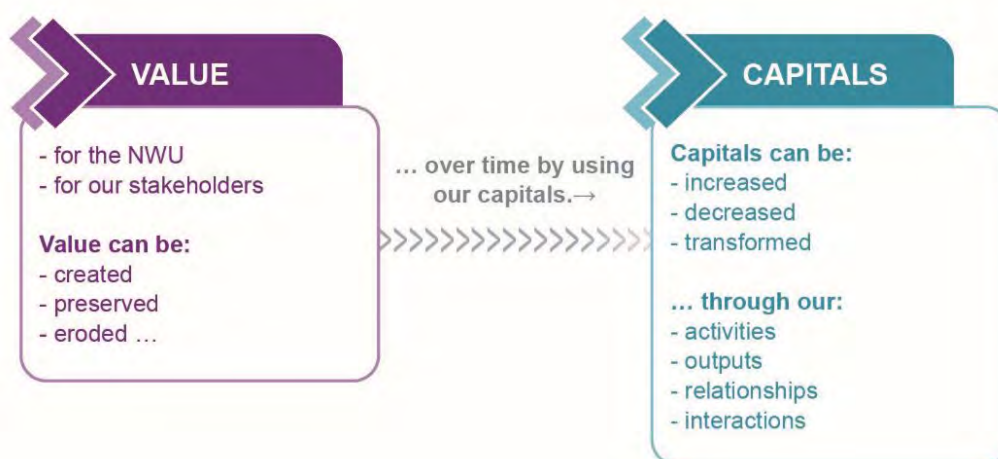
9 Our performance against our strategy: Creating value through the capitals

This part of the annual report is about the value-creation processes at the NWU.

Here we would like to show you how we respond to our stakeholders' needs through our business activities, and how these activities lead to outputs and outcomes, thereby transforming the value of our six capitals.

These capitals represent the value we create for ourselves and our stakeholders; our performance against these shows how we are faring in achieving our strategic goals.

The image below illustrates the relationship between the value creation process and our capitals:



9.1 Our intellectual capital

Our intellectual capital is all about our knowledge-based intangibles that result from our core business activities.

This refers to the way we use our knowledge resources to create more knowledge, as well as the activities, policies, strategies and procedures in place to support our business activities, to the benefit of stakeholders.

Stakeholders who will benefit from our intellectual capital	If we increase our intellectual capital, all our stakeholders who are interested in the knowledge that we create through our research or our teaching and community engagement activities will benefit. The stakeholders include our staff, current and prospective students and their parents, the Department of Higher Education and Training (DHET), communities, donors, alumni, employers, business and industry, and professional bodies.
Material matters (goals or enablers) involved	Teaching and learning, research, community development, ability to govern, lead and manage, information and communication technology.
Risks involved	The risks include the demand for organisational change and ongoing transformation (for instance concerning the decolonising of the curriculum), risks related to academic matters (teaching-learning, research and innovation and academic administration), the risk of non-compliance (for instance with the standards and regulations of professional bodies), risks related to IT, university systems and commercialisation of our innovation and research results. For the mitigation of these risks, turn to page 41.

9.1.1 How we created, preserved or eroded value

This section is about how we created value for ourselves and our stakeholders through our teaching and learning, research and community engagement activities.

We will also show you how we created value through our support activities. This is for instance how we govern and manage the university through our structures, policies, processes and systems, and how we support our core business by maintaining and further developing our information and communication technology.

9.1.2 Academic literacy tests and modules

All first-year students take a compulsory academic literacy test. They may then be required to register for specific academic literacy modules in academic writing, reading, computer and information literacy and study skills. These modules have been redesigned to incorporate discipline-specific content wherever possible, allow contact and multimodal offerings to be seamlessly integrated and focus more on self-directed learning.

A concern is that students struggle with self-directed learning, particularly online, underlining the importance of in-person support for at-risk students.

9.1.3 Expand distance learning

Distance learning has strategic importance as it increases access to education and training by eliminating barriers posed by time, place and pace of learning.

We continued to expand our academic offering via distance learning in 2021.

SAQA registration has been received for the PGDip (Industrial Engineering), Bachelor of Theology Honours in Theology, AdvDip (Intermediate Phase Mathematics Education), AdvDip (Education Management and Leadership) and PGDip (Special Needs Education). The AdvDip (Intermediate Phase Mathematics Education) received accreditation with NQF registration pending. Meanwhile, PQM clearance has been received for various distance offerings, namely the AdvDip (Foundation Phase Education), AdvDip (Intermediate Phase Education), AdvDip (FET Phase Education) and BEdHons (Early Childhood Development).

9.1.4 Material matter: Teaching and learning

In fostering academic success, we invest in staff and student development and in strengthening the quality and diversity of teaching and learning activities. We also align our academic programmes across the university, ensure these are evaluated regularly and use ICT and multimedia resources to expand the reach of our distance-learning offerings.

9.1.4.1 Increase student access and success

Extensive, value-adding academic support is offered to students, as discussed in the following section.

9.1.4.2 Extended curriculum programmes

In several academic programmes, students can complete their studies over an extended period of time. The value of these programmes is evident from their overall student success rate of approximately 90%. In 2020, we had 1 275 first-time entering students on extended programmes and a total enrolment of 4 404 students. By the end of 2020, some 15% of this group of students had graduated.

9.1.4.3 University Preparatory Programme (UnivPrep)

UnivPrep is a one-year preparatory programme approved by Senate to provide an access opportunity to prospective students who do not meet the admission requirements for specific formal degrees. The programmes offered increase access to formal studies in the Faculty of Humanities, Theology and Economics and Management Sciences at the NWU.

Each year, above 50% of successful UnivPrep participants become eligible to apply for formal studies at the aforementioned faculties.

9.1.4.4 Tutorial programmes 2021

Tutorial support is an important pedagogic tool for lecturers to use in small group settings. Supplemental instruction (SI) and tutoring are two of the main forms of tutorial support provided.

Between SI and tutoring, approximately 50% of modules identified as at-risk were served by academic peer support. Online tutoring via eFundi, Zoom and social media platforms continued during the first and second semesters of 2021 to support remote online teaching and learning.

A total of 82 tutors were appointed during the first semester of 2021. Just over half were based on the Potchefstroom Campus, while the Mahikeng and Vanderbijlpark Campuses had 20 tutors each. The tutors were appointed in 55 modules, of which 24 were at the Potchefstroom Campus, 15 at the Mahikeng Campus and 16 at the Vanderbijlpark Campus.

Table: 1st semester tutoring per campus

Campus	Number of tutors	Number of participating lecturers	Number of modules with tutoring	Number of at-risk modules Identified	Number of at-risk modules tutored
Mafikeng	20	17	15	35	4
Potchefstroom	42	23	24	35	3
Vanderbijlpark	20	16	16	20	3
TOTAL	82	56	55	90	10

For the second semester of 2021, we appointed 82 tutors for a slightly higher number of modules, 61. The Mahikeng and Potchefstroom Campuses had 33 tutors each and there were 15 tutors at the Vanderbijlpark Campus. Tutors were responsible for 25 modules at the Mahikeng Campus, 22 at the Potchefstroom Campus and 14 at the Vanderbijlpark Campus.

Table: 2nd semester tutoring per campus

Campus	Number of tutors	Number of participating lecturers	Number of modules with tutoring	Number of at-risk modules Identified	Number of at-risk modules tutored
Mafikeng	33	22	25	29	4
Potchefstroom	33	19	22	13	0
Vanderbijlpark	16	13	14	14	0
TOTAL	82	54	61	56	4

Tutors were appointed in five faculties across campuses during the first semester of 2021: 11 in Economic and Management Sciences, three in Health Sciences, eight in Humanities, 24 in Law, and 36 in Natural and Agricultural Sciences.

9.1.4.5 Supplemental instruction (SI)

All SI services to students continued online throughout 2021 owing to ongoing Covid-19 restrictions. This included peer collaboration and small-group study, which were conducted primarily through WhatsApp and Zoom sessions. Although more emphasis was placed on targeting historically difficult modules (at-risk modules), most modules on the programme were not classified as at-risk.

In all, SI was offered in 531 modules across the three campuses in 2021. In the first semester 433 SI leaders were appointed and 335 in the second semester. A total of 48 397 students attended the more than 17 706 sessions held during the year.

9.1.4.6 Academic peer mentors

In the academic peer-mentoring programme, high-performing senior students support first-year students to adapt to university life. Despite the challenges resulting from the Covid-19 pandemic, the 70 academic peer mentors recorded 5 179 interactions with 2 837 mentees (students in their first year at the NWU).

9.1.4.7 Taking the contact offering into the online environment during the Covid-19 pandemic

In 2021, we adapted our TL strategies, moving from the emergency remote TL used in 2020 to a hybrid TL model. This included asynchronous and synchronous online offers, limited face-to face interaction in small groups and personal consultation with students. We enabled the development of graduate attributes by offering practicals or other forms of contact on a rotational basis.

After scrutinising the exceptionally good results for the 2020 academic year, we flagged matters related to the possible integrity of online assessment as a concern. Faculties were encouraged to schedule time assessments and to offer a limited number of opportunities to complete online tests and quizzes. An online proctoring tool was tested and acquired for use.

All faculties submitted assessment plans for approval by the Senate and most elected to conduct continuous assessments with or without invigilated sit-down assessments. Sit-down assessments were conducted on the NWU campuses and the Unit for Distance Learning's (UDL) Support Centres in instances where the professional requirements of our programmes necessitated such.

We continued providing data to students in need and to run the call centres established in 2020 to support students. The Centre for Teaching and Learning again offered virtual support to staff and students on the intricacies of teaching and learning in an online environment. Library and Information Services ensured students had access to resources and information services.

We commissioned a formal Covid-19 Assessment Review of the drastic changes brought about by the pandemic. Where 2020 was a year of reaction to the pandemic, 2021 brought a critical rethinking of pedagogies and all aspects to TL at the NWU. We await the Quality Enhancement Department's final report on the internal review of assessment practices to be concluded in 2022.

The deputy vice-chancellor of teaching and learning summarised the shift brought about by the impact of Covid-19 as follows in the conclusion of his address titled "Cresting the Wave: the impact of Covid-19 and academics' professional development" at the NWU's annual Teaching-Learning Conference on 20 October 2021:

"Put simply, Covid-19 has galvanised progressive as well as orbital practices and perspectives, and the need for a dedicated scholarship of teaching and learning on how to take advantage of the progressive momentum, through the pedagogic examples we have seen develop over these last two years, is urgent unless we are comfortable with disappearing beneath, rather than cresting the wave of change as NWU."

9.1.4.8 Student success rate

As indicated earlier, we maintained a good contact success rate of 87%.

Our 2021 contact undergraduate graduation duration factor was 1,09, improving from the 1,12 of 2020. This can be attributed to enhanced strategies for student support, early identification of at-risk students and NSFAS funding with provision for books and accommodation.

How much value we created, compared to previous years:

Academic performance	2017	2018	2019	2020	2021
Contact student success rate	86%	85%	85%	90%	87%
Contact undergraduate, graduation duration factor	1,15	1,13	1,13	1,12	1.09
Graduation rate*	25,6%	25,1%	23,5%	27%	27%

* It is expected that approximately a third of any cohort should graduate from an education institution where the education offering consists mostly, but not exclusively, of three-year programmes. The NWU figure is reassuring given that, in any given year there will be a small percentage of academic failure and dropouts or stop-outs.

How much value we created, compared to our targets:

Academic performance	Target	Definition	Actual
Contact student success rate	87%	Based on HEMIS data. Completed FTEs divided by enrolled FTEs on a module level	87%
Contact undergraduate, graduation duration factor	1,2	Based on HEMIS data. This time (in years) it takes a student to graduate divided by the minimum time to complete the qualification	1,09

9.1.4.9 Align academic programmes

As a unitary institution, we are committed to ensuring that students across our campuses have access to equivalent resources and benefit from comparable high-quality teaching and learning. It is also important that academic programmes are sustainable and always relevant, so that graduates have an equal opportunity to find work or to develop into entrepreneurs who create jobs for others.

9.1.4.10 Ensure high-quality academic programmes

The NWU is expected to provide good-quality higher education that enhances the likelihood of student success. We therefore undertake systematic and continuous quality assurance and enhancement processes, using a reflexive approach of self-reporting and evidence-based practices. These processes entail internal programme evaluation (IPE) and external programme evaluation (EPE).

In 2021, the Quality Enhancement Department scheduled 30 IPEs across the eight faculties and engaged in EPEs of three programmes, namely the Master of Philosophy in the Faculty of Humanities, the Diploma in Coaching Science in the Faculty of Health Science and the BAHons in Public Governance in the Faculty of Humanities.

There were also two mid-cycle reviews of programmes that had already been subject to EPEs, namely the PGDip in Nuclear Science and Technology in the Faculty of Engineering and the BSc Agriculture with Agricultural Economics in the Faculty of Natural and Agricultural Sciences.

The NWU acknowledges that quality is multidimensional and contextual and should take cognisance of the different interests of a variety of stakeholders, including staff, students, employers, the state, professional and statutory bodies, learned societies and civil society. The Quality Enhancement Department is ready to support all NWU stakeholders in preparing for the upcoming CHE Institutional Audit during 2022.

9.1.4.11 Contingency plan for emergency remote teaching and learning

The strategy developed in 2020 for emergency remote teaching and learning was updated to a hybrid teaching and learning model. This was the responsibility of the Centre for Teaching and Learning (CTL), which also regularly updated the keep-on-teaching webpage. The CTL then spearheaded the establishment of a learning analytics task team to generate information on students' data access, connectivity and technology access.

9.1.4.12 Learning design

Amid the pandemic, there was a need to redesign modules and study materials while migrating to the online environment and later a hybrid environment. Lecturers received continuous guidance and support from the Centre of Teaching and Learning to transition from emergency remote teaching-learning to hybrid teaching-learning in 2021, in preparation for HyFlex TL in 2022.

9.1.4.13 Digital teaching and learning environment

The infrastructure of the university's learning management system, eFundi, has been upgraded to support the explosion in digital traffic associated with the move to online and hybrid learning environments. The number of servers has doubled from 10 to 20 and a project is underway to expand the footprint of Panopto, a digital platform used for the uploading of video materials.

We completed and introduced an on-screen PDF marking system and implemented a call centre and service management system to deal with the sudden increase in service requests to the eFundi help desk.

9.1.4.14 Work-integrated (WIL) and service-learning system

The development of a centralised system for WIL and service learning (WISL) was finalised in 2021 and the WISL centralised office was established. The office has a help desk function and plays an advisory role in supporting faculties in rolling out the WISL system. Faculties and schools that are integrated on the WISL system are Education, Nursing, Pharmacy, Biokinetics, Social Work and Dietetics.

9.1.4.15 Our output: graduates

The number of graduates is lower than planned due to the drop in distance enrolments. We experienced a drop in our distance numbers due to the Advanced Certificate in Education, the NPDE and the BEd Honours phasing out faster than anticipated and the approval of our new distance offering taking longer than expected. The impact of Covid-19 on new programme development, at the NWU and in the sector, cannot be underestimated. That said, planning for new programmes has proceeded apace with 16 new programmes receiving internal/external approval for the period 2020 and 2021.

How much value we created, compared to previous years:

Graduates	2017	2018	2019	2020	2021
Overall	16 004	15 350	14 961	15 454	14 484
Contact	9 931	10 650	11 191	11 697	11 191
Distance	6 073	4 700	3 770	3 757	3 293

How much value we created, compared to our targets:

Output	Target	Definition	Actual
Graduates	15 044	Based on HEMIS data; number of graduates in reporting year.	14 484

This is how our graduation rates compare to other South African higher education institutions:

This is how our graduation rates (for undergraduate students) compare to other South African higher education institutions: NWU graduation rate for students in 2021: 27%

(The national average for 2020 was 21.7%.)

9.1.4.16 Challenges in teaching and learning

In addition to dealing with the impact of the pandemic on teaching and learning, we had to continue addressing priorities such as the further decolonisation of the curriculum and the Africanisation of appropriate sections of our offerings and explore opportunities to promote multilingualism in teaching and learning spaces.

A further imperative was to ensure that all our offerings were nationally and internationally comparable, appropriately designed and to incorporate accessible ICT to address teaching and learning challenges such as those associated with the Covid-19 pandemic.

Our experience in responding to the pandemic has sharpened our ability to act swiftly and systematically when dealing with change. We have seen the value of teamwork, having mobilised various teams to deal with different aspects of teaching and learning affected by the pandemic, from the task teams activated to address the emergency remote teaching and learning strategy and e-assessment platforms to the 21 Futures task team (responsible for addressing capacity and spatial challenges associated with Covid-19 protocol adherence going into 2022).

Teamwork will become ever more important as the NWU moves forward with the digital business strategy which, in the teaching and learning context, calls for the development of appropriate learning analytics to deliver information needed for decisions on student access and success. Our ability to generate and apply such information will play a pivotal role in differentiating the university and its offerings in the increasingly competitive higher education sector.

9.1.4.17 Future outlook

In 2022, our teaching and learning priorities will include finalising the revised Language Policy and the revised Policy on Continuing Education. We will also develop a framework for micro-credentials to link our curriculum offering more closely with the world of work.

More technological development is in the offering. We plan to equip more venues with teaching and learning technology to supplement those venues already equipped in 2021. This will go hand in hand with the development of the NWU's open educational resources (OER) footprint as we refine our approaches to TL modalities and prepare to pilot block teaching in selected programmes in the Faculties of Engineering and Economics and Management

Sciences. (Block teaching refers to concentrated periods of time allocated to subjects sequenced on a curriculum which can be completed, on completion of the 'block'.)

Several new brick-and-mortar teaching and learning projects are planned. Important building projects are the new Psycho-social Health Building at the Vanderbijlpark Campus, the completion of the new Law Clinic at the Mahikeng Campus and the construction of the new Faculty of Education Sciences Library at the Potchefstroom Campus.

We are well prepared to support our planned adapted contact learning, having ensured that we maintain an adequate staff presence throughout the pandemic.

Even so, the transition will not be simple and, given the university's position not to adopt mandatory vaccinations, it will be important for staff and students to remain diligent and vigilant in observing Covid-19-related regulations as applicable to teaching-learning spaces and activities. Our commitment to imbuing all teaching and learning activities with an ethic of care will carry us through any challenges we encounter along the way.

9.1.5 Material matter: Research

By finding affordable, workable solutions to real-life problems, our researchers and inventors increase our intellectual capital and create value for ourselves and our stakeholders.

9.1.5.1 Research output

We again recorded an increase in NRF ratings, from 232 in 2018 to 263 in 2020. This is important as NRF-ratings are a key indicator of the calibre of a university's researchers.

The following table shows the numbers of researchers in the different rating categories.

NRF	2018	2019	2020
A	2	0	0
B	25	27	26
C	150	161	181
P	1	2	1
Y	54	58	55
TOTAL	232	248	263

* Please note that the research figures lag two years behind

For more information about the different NRF rating categories, visit:

https://www.ru.ac.za/media/rhodesuniversity/content/research/documents/Definition_of_rating_categories.pdf

- A – Leading international scholars
- B – Internationally recognised researchers
- C – Established researchers
- P – Young researchers (normally under 35)
- Y – Young researchers (40 years or younger)

9.1.5.2 Publications

How much value we created, compared to previous years:

Research	2017	2018	2019	2020
Publications per academic staff member	0,86	0,94	0,98	0,93
Weighted research output	2 605,507	2 708,941	3,058,0223	2 811,1914

9.1.5.3 Increase our global standing and visibility

Our existing international partnerships remained intact. Some of the prestigious institutions with which we have partnerships are the Corporación Universidad de la Costa in Colombia, the University of Leeds in the United Kingdom and the University of Hong Kong in Asia. Research collaborations with these and other partners range from joint degrees and co-chairs to collaborative research and innovation programmes, skills development and international student recruitment and exchange.

The NWU also belongs to several strategic inter-institutional collaborations. One is the Southern African Regional Universities Association (SARUA) which has a memorandum of understanding with the OBREAL Global

Observatory. Another is our membership of the Southern African-Nordic Centre (SANORD), which advances strategic, multilateral academic collaboration between institutions in the Southern African and Nordic regions.

The NWU is an active partner in BRICS research collaborations and has knowledge and skills-sharing agreements with several BRICS universities.

9.1.5.4 Create value through innovation and technology

The university embarked on several new international collaborative initiatives in health research. These initiatives will build capacity in exciting areas of health research, such as vaccine development, and serve as a platform to stimulate and produce new innovations and technologies.

In one such initiative, the NWU and Walter Sisulu University established the Sisulu Foundation for African and Pandemic Disease Response in May 2021. The foundation brings together a group of leading African scientists and institutions, as well as researchers from Germany and Slovenia, to work on vaccine development and pandemic response in public health systems on the continent.

The NWU founded the Grace Onyango Foundation for Digital Health in Africa in collaboration with three Kenyan universities, namely Great Lakes University of Kisumu, Jomo Kenyatta University and Masena University, and two other South African institutions, Walter Sisulu University and Sefako Makgatho University. The Foundation aims to deploy industry 4.0 solutions in public health systems in order to bring universal access to health services in Africa.

The NWU's relationships with industry and communities are vital enablers of innovation and industry-led research. The Technology Transfer and Innovation Support Department continues to identify opportunities for new partnerships and plays a catalysing role in getting research and innovation projects off the ground.

"The university is evolving its approach to innovation. Instead of focusing on intellectual property (IP) curation, we are shifting to the transfer or monetisation of our IP portfolio. This includes trimming the low-value or mature patents, and taking more relevant technologies to the marketplace."

9.1.5.5 Challenges with research output

The global health crisis of 2020 and 2021 has exacerbated existing research funding constraints, which has implications for our ability to continue increasing our research output.

What we have in our favour is the sophistication of our research infrastructure, our relationships with funders and our ingenuity in finding and tapping into new sources of funding.

This opportunity will be pivotal in addressing the lack of sufficient incentives for our most productive researchers. Currently, only 20% of our academics deliver almost 80% of our research output, a situation that must be addressed in the interests of research sustainability.

9.1.5.6 Future outlook

It is imperative that we succeed in expanding our pool of productive researchers. There is room for contributions from researchers in all disciplines, from law and education to the natural and social sciences and the economic and management sciences.

It is envisaged that those not yet participating actively in research and innovation activities will begin to do so as this is in their professional best interests. The requirement to contribute to research has been formalised through the setting of research output targets in the faculties, in consultation with the relevant academics.

The NWU has also been generous in providing support mechanisms such as research leave, relief from teaching at selected times dedicated research time for each academic and the integration of research into teaching and learning activities.

We continue to consider additional strategies to encourage and guide academics who do not deliver research output, and to retain those who are active researchers.

9.1.6 Material matter: Govern, lead and manage

Our governance structures and approach to ethics, as well as our strategy, values, success model and APP, guide us to create optimal value through good governance and management.

These, together with the systems, processes, procedures and policies that support governance and management, are part of our intellectual capital.

For more information about how our management activities increase our intellectual capital, refer to the report of the vice-chancellor on page 28 and, for information about governance, turn to page 83 in the section on governance supporting and protecting value.

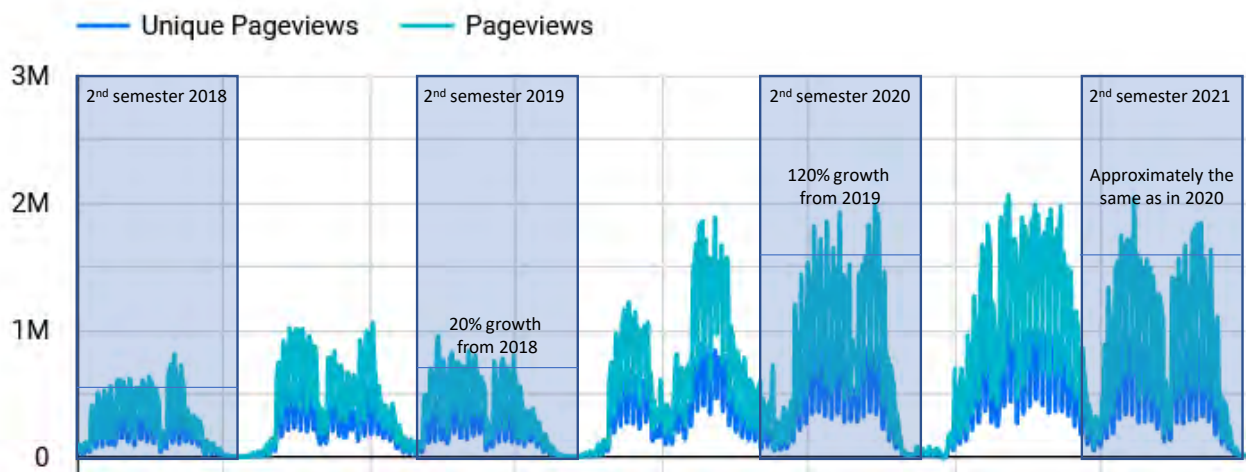
9.1.7 Material matter: Information and communications technology

Information and communications technology (ICT) and digital resources underpin all elements of the NWU's core business and support services.

ICT has a bearing on two of our capital, intellectual capital and manufactured capital. Intellectual capital includes software programmes, IT support services and the e-learning system eFundi, while manufactured capital is our physical ICT infrastructure, such as networks and hardware.

Most of the university's technological capabilities were within the ambit of the Information Technology (IT) department, which has a comprehensive product-, project- and services-portfolios.

Demand for IT products and services is high across the university community. eFundi, our primary learning platform, is one of the most widely used services, as shown in the image below.



Between 2018 and 2020, when online learning started, the daily use of eFundi by students more than doubled. The high usage levels were sustained in 2021, when the Covid-19 pandemic continued to affect learning and teaching.

On average, approximately 45 terabytes of traffic have been flowing to and from eFundi each month and lecturers have loaded about 25 terabytes of content on the system since 2020.

As in 2020, we again experienced huge demand for online meeting services in 2021, mainly through Zoom and Microsoft Teams.

The Covid-19 pre-screening app we developed for staff to gain access to the campuses has been used nearly 3 million times since it went into production. IT also developed an application to upload vaccination certificates.

As the university moves ever deeper into the digital era, we anticipate strong continued growth in IT-products and IT-services.

9.1.8 Council statement on Information Technology

COUNCIL STATEMENT ON INFORMATION TECHNOLOGY

"Council affirms, as the final decision-making body of the university, that it is endowed with the responsibility and accountability for the effectiveness and efficiency of information technology processes, including the IT governance framework, alignment with NWU objectives, significant IT investment, risk management, assets, policies and strategies, and compliance with statutory requirements. Council is continually apprised of developments, by means of management and audit reports to the Technology and Information Governance Committee, and received sufficient assurance over the past year from all relevant assurance providers."

Statement approval obtained from the NWU Council on 23 June 2022.

9.2 Our human capital

Of all our capitals, human capital is one of the most expansive in that it influences and is influenced by all our other capitals. The two major stakeholder groups that make up the university's human capital are staff and students, for whom we create value through our activities, outputs and outcomes.

Using the infrastructure and support we offer them, our staff undertake research and teaching activities that increase the value of our intellectual and social and relationship capital. In much the same way, students use the various forms of support and high-quality study and residence facilities (manufactured capital) to succeed academically and in other avenues of student life, creating value for the university and strengthening our other capitals.

When students pay tuition fees, they increase our financial capital; and in turn, students increase our social and relationship capital when they graduate and contribute to society.

The prominent role our staff and students play in the NWU value chain comes across in this section.

Stakeholders who will benefit from human capital activities	Our human capital activities mainly affect our staff and students, although their families are also indirectly affected by our activities.
Material matters/goals involved	Almost all material matters affect our staff and students. These matters are teaching and learning, research, community engagement, student value proposition, staff and student profile, ability to govern, lead and manage, information and communication technology, and financial sustainability.
Risks involved	Our main risks are uncertainties in the higher education sector, the demand for organisational change, risks related to academic matters, compliance matters, risks relating to student life, IT risks and operational risks. Almost all of these risks have a bearing on our staff and students.

9.2.1 How we created value

Creating value for our staff and students entailed developing their skills and promoting their well-being through activities that demonstrate social justice and an ethic of care. In this section, we elaborate on the core business and support activities that created value for these two groups.

9.2.2 Material matter: Teaching and learning, research, community engagement

9.2.2.1 Caring for our students

When entering the labour market, graduates require a combination of technical, professional and life skills that enable them to adapt to the changing world of work and contribute as responsible global citizens. This is why we place such emphasis on social, cultural, arts and sport activities that ensure all-round development. After the outbreak of the pandemic, we moved some of these activities to online platforms, along with psychological health and well-being services.

We strive to be agile in adapting our service delivery and student engagement as and when needed, ensuring that our students have the life skills needed in a changing world. More information is available in the vice-chancellor's report on page 28.

9.2.2.2 Academic support

Information on how we assist prospective students to gain access to the university and, once enrolled, to complete their studies successfully, can be found in the section on our value chain on page 20, and in the section on our intellectual capital on page 58.

9.2.2.3 Career-related support

The NWU Career Centre remained functional and productive throughout 2021. We accelerated the drive to automate career service, revised service levels and data processing agreements to facilitate interaction between employers and students and to utilise online platforms to host virtual career fairs and conduct entrepreneurship and work-readiness training.

In 2021, there was a 43% increase in the number of students attending this training, which entailed an annual training event and seven monthly events on all three campuses.

It was an especially busy year for the Mahikeng Campus: The CV writing and interviewing workshop attracted 1 536 students and 3 477 students had active profiles on our career service management portal. This represents 26 percent of the Mahikeng Campus' 2021 enrolled students. The campus also recorded excellent participation in the Universum survey, with 1 619 students participating, as well as in the Graduate Destination study, in which 695 students from the campus participated.

Participation was also strong at the Vanderbijlpark Campus, where 957 students attended CV writing and interview training, 625 students participated in the 2021 Virtual Career Fair and 1 966 students responded to the Universum survey.

The Career Centre again expanded the content on its Career Zone portal, which gained 28 new materials, including 24 video presentations. The Career Centre website was also enhanced and now has 76 items, including articles, publications, web links and a how-to guide.

9.2.2.4 Caring for our staff

Building staff capacity

Our staff continue to benefit from internal and external skills development opportunities, as well as formal training. These interventions build our employees' capacity and support their career development, which in turn increases our human capital.

About 20% of our training spend was used for in-house training, mainly in people skills, leadership and diversity management skills, and business etiquette. We capacitated NWU's less experienced academics (junior lecturers) through a structured and formalised mentoring programme aimed at accelerating their readiness for senior roles.

We also presented an employee learnership programme to staff with a Grade 12 certificate as their highest qualification and hosted a SETA graduate internship programme for participants who included people living with disabilities. Amongst others, these initiatives enabled the university to contribute towards reducing the level of youth unemployment.

In 2021, we spent over R26,8 million on study discount benefits, a form of financial aid that allows our staff and their dependants to study at the NWU. A total of 873 people benefitted, consisting of 393 staff and 480 dependants. In all, 412 participants were historically disadvantaged South Africans and 481 were female.

Development programmes such as these support our strategic goals and the internal success model that form part of our 2015 to 2025 NWU strategy.

We have various incentivising initiatives for staff development, such as the annual awards for both teaching and research excellence. Information on this is on page 23 in the section on our value chain.

9.2.2.5 Empowering our researchers

Capacity-building workshops are available to researchers at all levels, ensuring they have the research skills and acumen to contribute to the university's research outputs.

In addition, as part of the larger research community in South Africa, we leverage external development opportunities. In 2021, these included research training/workshops and webinars covering topics such as research ethics and integrity, article writing, grant writing, mentorship and postgraduate supervision. All training costs (R2 836 442) were covered through the Informal Research Development project grant under the Universities Capacity Development Grant (UCDG).

Emerging researchers are encouraged to further their studies. During the year, they received study funding support of over R1,192 million from our own University Capacity Development Programme. In addition, NWU staff busy with their master's and doctoral studies received support worth R2 442 000 through the NWU Staff Discount Scheme.

A total of 227 researchers attended 12 research capacity-building workshops on supervision and article writing.

Our annual Research and Innovation Excellence Awards fulfilled a dual role: recognising outstanding researchers for their contribution and inspiring others. You can read more about these on page 26 in the section on our value chain.

9.2.3 Material matter: Student value proposition

Our students are our primary stakeholders, and we continuously refine the services, programmes and offerings available to them, ranging from academic support and career advice to wellness support services and skills development programmes.

Our campus health care centres, together with counselling and social welfare services, support our students' overall physical and psychosocial well-being. Social welfare projects such as the Meal-a-Day programme support students from disadvantaged socio-economic backgrounds. The campus disability rights units see to it that the needs of students living with disabilities are addressed.

We also provide crisis interventions to identify and support at-risk students through Thuso, through which registered psychologists provide services that promote the psychological well-being of students. When the Covid-19 pandemic broke out, we used online, telephonic and SMS platforms to provide psychosocial support.

The student value proposition is further strengthened by the arts, sport and student media-related platforms that expose our students to related activities at university, regional, national and international levels. The continued achievements of our student sportsmen and -women, artists and media ambassadors confirm the vital role of co-curricular activities in broad and holistic student development.

9.2.3.1 Dropout rates

Our student to staff ratio decreased from 29.17 to 28.41 in 2021. Our first-time entrant dropout rate has decreased from 10,48% in 2020 to 8,96% in 2021.

How much value we created, compared to previous years:

Dropout rate	2017	2018	2019	2020	2021
First-time entrant dropout rate for contact degrees	11,11%	9%	10,78%	10,48%	8,96%

How much value we created, compared to our target:

	Target	Definition	Actual
Academic staff full-time equivalent ratio : students	26,3	Based on HEMIS data and refers to the enrolled student full-time equivalent divided by the permanent instruction/research professionals full-time equivalent.	28.41
First-time entrant dropout rate for contact degrees	Below 13%	First-time entering students in contact degree qualifications who register in the reporting year but do not return in the next year.	8.96%

9.2.4 Material matter: Develop and retain excellent staff and create an equitable staff and student profile

9.2.4.1 Our employees matter

Our wellness offices support the all-round well-being of our staff through services that encompass biopsychosocial and spiritual facets.

We have a comprehensive employee wellness assistance programme, CareWays, for NWU employees and their immediate families. The programme provides access to experienced counselling professionals who assist with personal, family and work-related problems. This free service is available 24 hours a day.

Our Campus Health Care Centres offer health services to staff, while our campus offices for people living with disabilities provide support for staff living with disabilities, in line with our Disability Policy. We also host an HIV and AIDS workplace programme and a toll-free emergency number that operates 24 hours a day, seven days a week.

Campus Protection Services and the Occupational Health and Safety Policy and Department contribute towards a safe and secure working environment.

9.2.4.2 Staff profile

In striving to create an equitable staff profile, we are guided by our employment equity plan that is running from January 2021 to December 2023. The freezing of vacancies necessitated by the staff- cost risk mitigation plan due to the Covid-19 challenges had an adverse impact on our ability to reach the employment equity targets.

How much value we created, compared to previous years:

	2016	2017	2018	2019	2020	2021
African (%)	33,5%	34,5%	35,9%	37,5%	38.3%	43.4%
Coloured (%)	5,7%	5,7%	6,3%	6,5%	6.6%	5.1%
Indian (%)	1,2%	1,3%	1,3%	1,5%	1.6%	1.8%
White (%)	59,6%	58,5%	56,5%	54,5%	53.4%	49.7%

How much value we created, compared to our equity targets:

	2021 target	Actual
African (%)	40,60%	43.4%
Coloured (%)	6,98%	5.1%
Indian (%)	1,88%	1.8%
White (%)	49,42%	49.7%

9.2.4.3 Council statement on conflict management

COUNCIL STATEMENT ON CONFLICT MANAGEMENT

The university is committed to principles of collective bargaining, progressive discipline, restorative justice and alternative dispute resolution as far as possible, in order to address conflict situations.

"During 2021, the NWU successfully dealt with potential conflicts that could possibly harm the institution's reputation at the lowest level. This includes, among others, bargaining forums with recognised trade union(s), internal disciplinary procedures, grievance procedures, mediation processes, etc.

The main focus is always to act in the best interest of the institution, while creating a 'win-win situation' for all, as far as possible.

Statement approval obtained from the NWU Council on 23 June 2022.

9.2.4.4 Council statement on worker and student participation

COUNCIL STATEMENT ON WORKER AND STUDENT PARTICIPATION

The Recognition Agreement between the NWU and SAPTU was revised in August 2019. In terms of this agreement, all employee issues of mutual interest are addressed through the University Bargaining Forum, either by means of negotiation or consultative processes. In order to be a recognised trade union at the NWU, a trade union must meet the membership threshold of 30% across the university.

"An Organisational Agreement between the NWU and NEHAWU regulates the relationship between the parties in terms of the Labour Relations Act. We have ongoing management and trade union consultative forum meetings.

An organisational agreement was entered into between Solidarity and NWU after they attained a 11% membership which is slightly above the mandatory 10% which is required for recognition of organisational rights.

Statement approval obtained from the NWU Council on 23 June 2022.

9.2.5 Material matter: Govern, lead and manage; information and communication technology; and financial sustainability

Good governance is an important way of supporting and protecting our human capital. This is part of the responsibilities of the Council and some of its committees, such as the Remuneration Committee, the People and Culture and Employment Equity Committee and the Student Life Oversight Committee.

We also have several policies that provide guidelines for the fair and just people management of the university, thereby protecting and increasing our human capital.

These include policies on conflict of interest, governance oversight and management control, human rights, remuneration, performance management, staff learning and development, employment equity and disabilities, to name just a few.

ICT is a key enabler of student success and staff effectiveness, necessitating equitable access to IT recourses and services. We have adopted a centralised approach to system delivery and a decentralised model for service delivery, thus ensuring that our systems are well maintained across all three campuses and that staff and students have the necessary hardware, software and help desk support.

Lastly, it is our responsibility to make sure that our university stays financially sustainable. This ensures that our current staff and students, as well as future generations, will have a financially stable institution to work and study at. More information about how we do this is in the section on our financial capital on page 75.

9.3 Our social and relationship capital

As a university we appreciate that a substantial part of our success in creating value depends on the relationships we have with individuals, groups and communities outside the NWU – locally, nationally and internationally. These relationships constitute our social and relationship capital.

When our stakeholder relationships are sound, these contribute to our social licence to operate, meaning that our stakeholders broadly approve of what we do.

Effective engagement with our external stakeholders increases the value of our social and relationship capital.

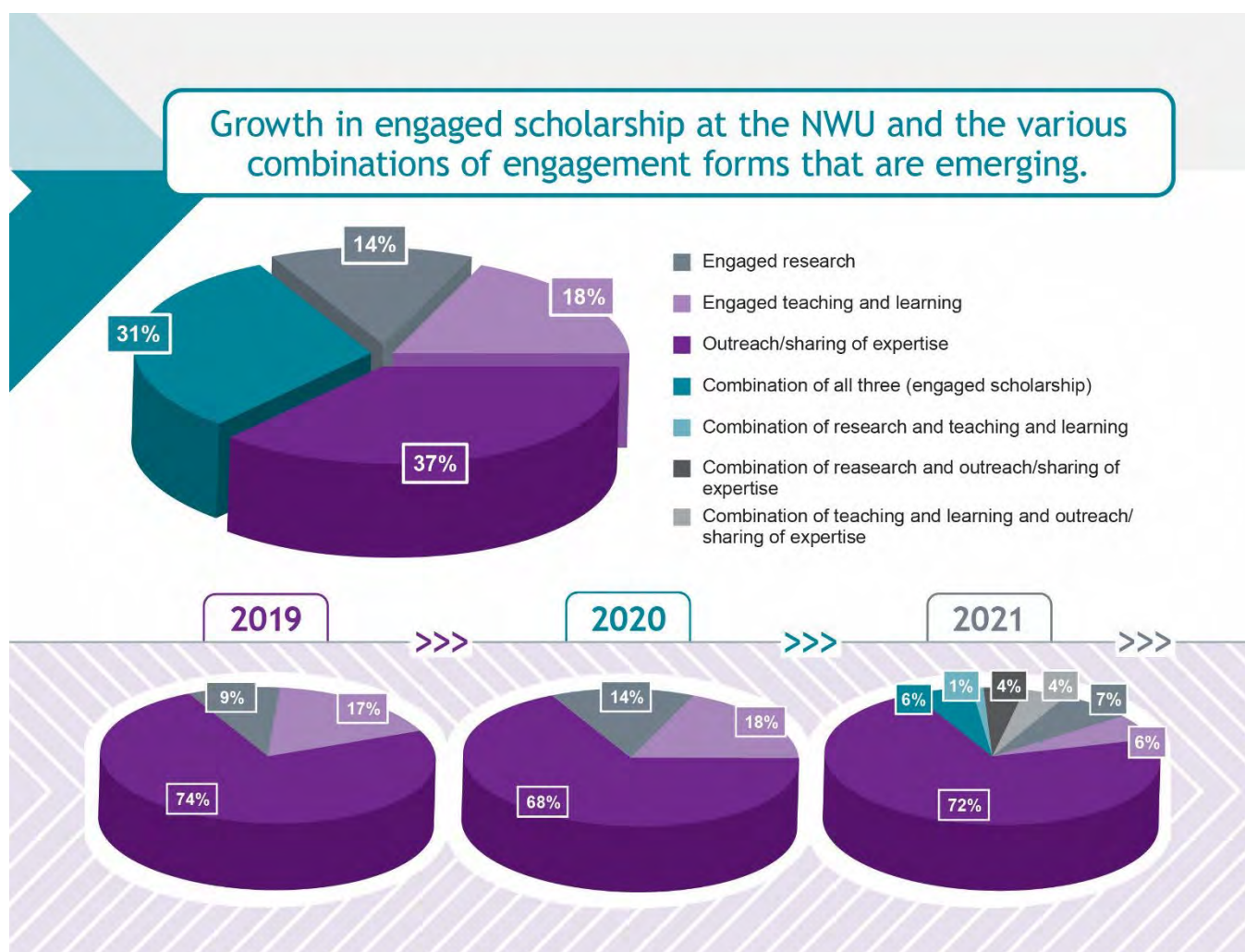
Stakeholders who will benefit from effective engagement with the NWU	External stakeholders who need to benefit from our engagement with them include the parents of our current and prospective students, communities surrounding our campuses, donors, alumni, employers, business and industry, professional bodies and the Department of Higher Education and Training (DHET).
Material matters (goals or enablers) involved	Our relationships with external stakeholders directly or indirectly influence all our goals as a university that strives to benefit society through knowledge. In increasing the value of our social and relationship capital, our communication, marketing and stakeholder engagement activities also fulfil an important role.

Risks involved	<p>Communities surrounding our campuses may withdraw their support for WIL or service-learning opportunities, on which the NWU and our students are reliant, or may decline to participate in research initiatives involving community engagement.</p> <p>Parents of students may be affected by the uncertainties in the higher education sector, the demand for organisational change and risks relating to student life. (Matters that may concern them include state funding, tuition fees and the safety of our campuses in the event of unrest.)</p> <p>Other risks that affect our external stakeholders include risks related to academic matters, compliance and commercialisation of intellectual property.</p>
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9.3.1 How we created value

By integrating our community engagement activities with teaching and learning and research, we could create greater value for our external stakeholders than would otherwise be possible.

Engaged scholarship incorporates three elements: engaged research, engaged teaching and learning, and outreach and the sharing of expertise. The figure below shows the growth in engaged scholarship at the NWU and the various combinations of engagement forms that are emerging.



Service learning (SL) for students is an important part of our community engagement work. We have started to update our list of local non-governmental organisations (NGOs), public benefit organisations (PBOs) and religious organisations with a view to update our database of legitimate SL partners for student placements. This remains an ongoing process and creating trust with partners in this ever-changing environment remains challenging due to the pandemic.

9.3.2 Material matter: Teaching and learning; research; community engagement

Many of our teaching and learning activities incorporate community engagement, often through opportunities for work-integrated learning (WIL) and service learning (SL) for students. Even student outreach can contribute to the acquisition of planning, negotiation and collaboration skills and staff are encouraged to include SL assignments into the curriculum where possible.

We have improved our ability to track student placements for WIL and SL by using an integrated reporting system called the Work Integrated Service Learning (WISL) database.

In addition, we reviewed the NWU's guidelines for WIL and SL, and continue to update our database of credible SL partners for student placements.

Many of our faculties continued with their efforts to alleviate pandemic challenges in communities in 2021:

- The Faculty of Theology made WhatsApp videos to support grade 12 learners in Promosa.
- Communication students compiled a communication strategy and communication plan for two NGOs as part of an SL and outreach project.
- Health Sciences students visited clinics and hospitals to conduct patient training on stroke symptoms and how to recognise these. They also provided basic health information to school children in Ikageng and Promosa and raised awareness of the South African Bone Marrow Registry.
- The Mahikeng and Potchefstroom Science Centres participated in National Science Week, which was held online. Limited visits to schools were made in the Potchefstroom area.
- Staff and students of the Faculty of Economics and Business Sciences facilitated donor linkages to distribute food and clothing to vulnerable people in Mahikeng. They also partnered with MTN's "Compufied" project for existing and prospective entrepreneurs in Vanderbijlpark.
- MBA syndicate groups provided free strategic consulting to companies/organisations and NGOs.
- BEd honours students and staff provided psycho-educational support to various partners, and Teachers without Borders assisted rural schools with science and maths.
- The Potchefstroom Law Clinic and the staff of the Mpumalanga Access to Justice Cluster in Nelspruit collaborated on legal education, legal services and capacity-building programmes for paralegals and community members.
- The Law Clinic also provided legal services at more than 15 community-based paralegal advice offices in the North West and Mpumalanga provinces. This included holding 2 646 consultations, attending 432 court appearances, opening 203 files and closing 158 files.
- The Mahikeng Law Clinic provided free professional legal services to the public in Mahikeng and surrounding villages. This entailed 425 consultations, 214 court appearances, opening 212 files and closing 176 files.

9.3.3 Material matter: Research

By conducting research with, in and about communities and the real-life problems they face, we contribute to community empowerment and quality-of-life improvements, while increasing our social and relationship capital.

Engaged research activities ranged from providing information about trees and water quality to high altitude ballooning. In many cases, these activities combined engaged teaching and learning or outreach and research.

Some examples follow:

- The database used to develop tree routes on NWU campuses is being used to advise municipalities and schools about the tree species most suited for the environmental conditions in Potchefstroom and Mahikeng. The NWU conducted nine assessment projects for NWU departments and three for companies in Potchefstroom.
- On several occasions, the High Altitude Radiation Monitor project launched high altitude balloons carrying tracking equipment and environmental sensors. The latest launch was used as an outreach activity to raise public awareness about radiation exposure levels at aviation altitudes during commercial flights.
- For Water Week, the Faculty of Natural and Agricultural Sciences embarked on a series of community roadshows in collaboration with the JB Marks Local Municipality.
- The North West Nguni cattle development project that started in 2006 in partnership with the Industrial Development Corporation (IDC) and the Department of Rural, Environment and Agricultural Development, continued to expand and now has 122 sites across the province.
- The Faculty of Engineering conducted a community-based campaign on its low-emission, semi-continuous stove to improve air quality in low-income households.
- In participatory research, the Faculty of Education used storytelling to support in-service teachers in the Umzinyathi District to improve their teaching of learners with diverse educational needs and abilities.
- The Faculty of Health Sciences' NOW-NOW project is supporting health-related and sustainability challenges in communities and strengthening health promotion in the North West Province through a formal collaboration with the Western Cape Department of Health.

Research study on local communities completed

The Sustainability and Community Impact Unit completed its 2021 research study on the needs, assets and well-being of the local communities of the NWU. Conducted between March and August 2021, this research project measured various domains of community well-being.

According to the findings, there is a significant need among a substantially large group of community members for interventions aimed at increasing their quality of life. The communities' greatest challenges are safety and security, followed by political conditions, lack of employment and then environmental conditions and recreational challenges.

The NWU's current areas of impact, namely in the areas of education, health, financial, social, neighbourhood and leisure, appear to be misaligned with community priorities around safety, political considerations, employment and so on. We have therefore recommended that the NWU focus at least some of its community-engaged activities on the needs identified in this study.

9.3.4 Material matter: Student value proposition; develop and retain excellent staff

Social justice, social responsiveness and an ethic of care are embedded in our strategy and dream and form the crux of our annual CE performance plans.

We encourage our staff and students to contribute to society through volunteering. Many of our student outreach projects provide assistance with basic necessities such as food, clothing and housing. This included providing food for first-year students who had not yet received their NSFAS bursaries.

In 2021, our students undertook a total of 138 community engagement activities:

- The Student Campus Council of the Mahikeng and Vanderbijlpark campuses collected food, clothing and toys and distributed these at early childhood development centres. The Sedibeng House Committee in Vanderbijlpark donated clothing and non-perishable food to community partners, while our Mahikeng students assisted learners with school studies, sport coaching and mentorship. Soccer Institute players donated a soccer kit to the Amatariana Football Club of Pimville in Soweto.
- Through the Phelophepa train project, pharmacy students provided primary healthcare services to community members and gained exposure to interdisciplinary patient care.
- The deputy vice-chancellor's office for community engagement supported the feeding scheme programme in primary schools around Mahikeng by assisting with vegetable gardens. The Unit for Environmental Sciences and Management in Potchefstroom teamed up with the Ikageng police station, Ministers Fraternal and Promosa Community Policing Forum (CPF) to undertake weekly youth outreaches in the Promosa area during February and March 2021. They addressed topics such as crime, bullying, domestic violence and violence against women and children.

9.3.4.1 Challenges and future outlook

The Covid-19 pandemic has exacerbated poverty, inequality and unemployment in many of the communities around our campuses, and amplified our obligation to contribute to poverty alleviation and community capacity-building.

Technology development and online education have the ability to make the university and our services more accessible to communities. However, as a result of the digital divide, not all external partners are equally equipped in terms of connectivity, hampering efforts to advance social justice.

The communities we work with are also accustomed to face-to-face interaction and it will require a "cultural reset" to use online tools to build new relationships and maintain existing ones. We are in the process of negotiating partnerships that contribute to socio-economic solutions that are sustainable and can stimulate development in all of our communities.

Entrepreneurship and environmental responsibility and digital literacy are key areas of focus in our efforts to contribute to the Sustainable Development Goals (SDGs) and the African Agenda 2063, which will be a direct indicator of how we are sharing our expertise to contribute to development.

9.4 Our natural capital

The Covid-19 pandemic has highlighted how vital it is for our society to safeguard natural resources such as water, soil and clean air. These are fundamental to the sustainable operations of the university and our ability to add value to our other capitals.

Without a healthy supply of water, the university would literally not be able to function. We use land and resources such as soil and water to construct buildings and strengthen our manufactured capital. However, by building on the land and using natural resources and creating waste during the construction process, we decrease the value of our natural capital.

As part of our student awareness campaigns for 2022, the focus will be on water as a resource.

Stakeholders who will benefit from strong natural capital	All our stakeholders need natural capital to exist and flourish.
Material matters (goals or enablers) involved	We will not be able to realise any of our goals or implement our enablers without natural resources as input. The material matter "to promote sustainability" (part of goal three in our APP is particularly relevant here.
Risks involved	Risks include those related to academic and operational matters, student life, compliance (for instance with environmental regulations) and IT (infrastructure needs an energy source).

9.4.1 How we created value

Our commitment to reducing the environmental footprint of our activities entails using natural resources responsibly, decreasing our energy use and complying with environmental regulations. These are part of the draft strategy and policy we have compiled and which we will share with our stakeholders in 2022.

Our use of resources such as energy and water was considerably lower than in previous years, which likely would have a positive effect on our environmental footprint. Depending on how universities resume operations in 2022, this could be a temporary or more lasting scenario. Water and energy consumption are being taken into account in our environmental impact strategy and measurement processes.

9.4.2 Material matter: Promoting sustainability

This section focuses on the environment as an important element of sustainability.

(For information about general sustainability at the NWU, see the Council statement on sustainability on page 107.)

Environmental audit

For the past six years, since conducting an institution-wide environmental audit, we have been systematically correcting the non-compliance issues found. We expect that compliance-related work, which was interrupted as a result of the pandemic, will resume in 2022.

The different role players identified in the initial environmental compliance audit are still responsible for finalising outstanding compliance issues. Where applicable, responsibility for achieving these targets will be included in task agreements.

9.4.3 Material matter: Student value proposition

As indicated, the Covid-19 pandemic affected the various green campus initiatives to save energy and water, and raise awareness of environmental sustainability. With less-than-normal students living in the residences or only partially active on campus during the recent periods, the annual energy-saving competition was again postponed. Although a waste-management training initiative was rolled out, limits were placed on how many students could participate. However, there was no lack of enthusiasm among students on the Vanderbijlpark Campus students with their green activities in and around the campus.

Students from our faculties had many opportunities to participate in engaged scholarship around the environment:

- The South African Research Chair in Cities, Law and Environmental Sustainability (CLES) is seeking opportunities for its postdoctoral fellows and postgraduate students to conduct engaged research on law and governance in relation to urban development and environmental sustainability, such as basic service delivery failures at local municipalities. CLES has continued to incorporate environmental sustainability issues into the curriculum. Current offerings include modules on Environmental Philosophy and Marine Spatial Planning, which cover issues such as marine pollution, microplastics and fishing pollution. Third-year tourism management students continued to undertake eco-tourism recycling projects.
- The e-Agro-Tourism CoLab funds e-agriculture skills within communities in the North West Province and runs a food-security project at various schools. The CoLab is funded by the National Electronic Media Institute of South Africa (NEMISA) and assists schools to start their own vegetable gardens and gain environmental insights.
- All final-year engineering students take a course with significant environmental content. Tools such as MiniSASS are well suited to school groups involved in environmental monitoring, in this case, the health of rivers. MiniSASS was developed by our Unit for Environmental Sciences and Management.

9.4.4 Challenges and future outlook

In late 2021, we began taking steps to address our limited operational expertise in environmental remediation and sustainability. We prepared a draft strategy and policy on environmental responsibility and intend to finalise it in 2022.

We have benchmarked ourselves against other universities to determine proper placement of the environmental management office. Indications are that this office should be part of the facilities department which is busy appointing an environmental expert who will be responsible for coordinating environmental issues at the university.

The Sustainability and Community Impact Office will continue raising awareness about different aspects of sustainability such as littering, water and electricity usage. As students and staff return to our campuses, we will be able to resume activities such as the Flip-the-Switch campaign launched in March 2019 to highlight energy consumption and the impact it has on the environment.

Additionally, we plan to place more bins on our campuses to separate waste. The “cradle-to-death” disposal process in some of our municipalities remains a challenge that we are trying to resolve with the various stakeholders.

The cradle-to-death process encompasses the environmentally responsible design, manufacturing and application of products and the disposal of used or redundant products.

Unfortunately, it is not easy for us to track the products we use and how these are disposed. Even if we separate our waste products for recycling or upcycling purposes, these sometimes end up as mixed waste on municipal dumps – outcomes that we cannot always control or track.

We are encouraging our campuses to celebrate important days such as Arbor Day during the first week of September and have planted some indigenous trees at two of the three campuses in 2021.

Generally, universities and related higher education institutions are lagging behind in localising the Sustainable Development Goals (SDGs). Identifying champions within and across disciplines and institutions can be invaluable in this regard.

The NWU is part of the Higher Education Sustainability Community of Practice (HESCoP), which aims to reorientate universities' SDG strategies by convincing them to review all strategic documents, starting with their visions and missions. HESCoP also seeks to identify pockets of initiatives that drive sustainability.

Our director of Sustainability and Community Impact is the current chair of HESCoP's localising subcommittee, whose role it is to create awareness and advocacy within local South African universities.

9.5 Our financial capital

The sources of our financial capital are state funding, debt and grants, as well as revenue generated through our operations and investments. We use this capital to provide services and maintain and improve our infrastructure so that we can create value for the NWU and our stakeholders.

Managing our income and spending, as expressed in our annual budget, is the key to the health and stability of our financial environment, which is a prerequisite for achieving our strategic objectives as a unitary institution of superior academic excellence.

Stakeholders who will benefit	All our stakeholders benefit when the NWU's financial capital is strong. Financial stability enables us to keep our tuition fees within reach of our current and future students and their families, while offering them high quality education. It also means we are able to afford fair remuneration for our staff and reassure our donors and the DHET that we spend their donations and funding wisely, serving the national priorities for higher education.
Material matters (goals or enablers) involved	Although Enabler 4 (financial stability) is the main focus, all our goals and other enablers are also implicated, as we need money to achieve and implement these.
Risks involved	The main risks are uncertainties in the higher education sector (for instance the drive towards fee regulation), and the demand for organisational change (for instance, free education resulting in higher dependency on state funding). The other top risks in our risk register are also implicated, as we need money for all the activities linked to them. (These are the risks related to academic matters, compliance – for instance with financial laws and regulations – risks relating to student life, IT risks, commercialisation and operational risks.

9.5.1 How we created value

In planning, managing and investing our financial capital, we practise stringent financial discipline. This ensures we have access to adequate funding for operational requirements, sufficient capital expenditure to meet these needs and to ensure a healthy balance sheet.

9.5.2 Material matter: Ensure the financial sustainability of the NWU

By distributing our resources in a way that supports our core business strategies, we secure the university's long-term financial sustainability.

In the interest of improved medium-term planning, we compiled a detailed three-year rolling budget for 2021-2023. As it is important to incorporate the unknown financial impact of Covid-19, we compiled a base budget against which to measure the financial impact of the pandemic. This was done before taking into account any possible financial impact that the pandemic will have in future years.

In seeking to evaluate the possible financial impact, we built different scenarios based on a set of general and financial assumptions and risk factors (the so-called Financial Impact Model).

For the short- and medium-term (2021 to 2024), our focus was on assessing the sensitivity of the NWU's income sources for the assumptions and risk factors. The base income budget, adjusted with the financial impact of the most probable scenario, was used during the budget process as the high-level budget framework for 2021 – 2024. This Financial Impact Model was accepted as best practice by Universities South Africa (USAf).

We are continuously updating our Financial Impact Model and mitigation plan as and when more information becomes available, using the model as the baseline to guide decision-making, which can be scaled up or down. The main focus is on cash flow management and on including the financial impact forecast in revising the 2021-2023 budget.

The three-year rolling budget was compiled according to a set of approved principles and shaped by the realistic prediction of income, which was then translated into expenses that would be "affordable" for the university. The calculation of the key sources of income received in-depth attention, taking into account all the latest relevant information available. The 2020 budgeted cash-flow expense ratios, as listed below, were used as the basis for calculating the high-level expense budget.

- Staff cost as a percentage of income
- Operating cost as a percentage of income
- Capital cost as a percentage of income

In the following sections, we explain how we financed our strategic initiatives in 2021 and allocated our funds to achieve our goals and implement our enablers.

9.5.2.1 Financing our strategic initiatives

We use our strategic fund to invest in specific strategic projects in addition to aligning all activities and allocating resources (by means of the normal operating budget) with the strategy and success model of the university. *(Read more about these strategic projects on page 55 in the section on our strategy.)*

The university management committee approved the allocation of strategic funds.

Strategic funds allocated per goal/enabler

APP Link	Rand value of allocation R'000	% of allocation
Enabler 3	1 148 000	2%
Goal 1	2 995 931	6%
Goal 2	5 000 000	10%
Goal 3	3 349 060	7%
Goal 4	900 000	2%
Goal 5	201 800	0%
Goal 6	36 405 209	73%
Grand Total	50 000 000	100%

9.5.2.2 In the near future: opportunities and challenges in executing our strategy

The annual across-the-board tuition fee increase that the DHET has recommended since 2016, has been based on the consumer price index (CPI). The CPI rate does not adequately capture the costs associate with running a university and we regard the so-called Higher Education Price Index (HEPI) as a better yardstick.

The historical subsidy increase for universities has resulted in a deficit in real terms – a deficit that is widening because higher education inflation is outpacing the subsidy increases. Universities would need to adjust their expenditure in line with price changes as (calculated by the HEPI) to maintain the same level of quality and real output. However, when estimating total budgetary requirements, universities also need to take cognisance of volume changes based on the so-called Higher Education Volume Index (HEVI), giving rise to a Higher Education Budget Index (HEBI). The Bureau of Economic Research (BER) analysis of the 2017 – 2019 HEPI data set found that the cost of higher education was higher than headline inflation at the time.

The short and medium-term financial impact of the Covid-19 pandemic can be added to our challenges for the foreseeable future.

As part of the mitigation plan to ensure our future sustainability, we have drawn from our financial impact model and included various risk factors into our 2021-2023 rolling budget. These include the possible impact of a lower block grant subsidy stemming from decreased 2021 outputs and lower block grant and earmarked funding available to universities due to the financial difficulties that government is experiencing, among other things.

The said, there is a limit to what universities can achieve without a sustainable national funding model. Our view is that the NSFAS model is not sustainable and that, owing to the considerable increase in the number of NSFAS-qualifying students, the model poses a sustainability risk for the higher education sector.

We also see certain opportunities to improve our utilisation of resources, especially as we expedite our digital business strategy and blended-learning model.

9.5.2.3 Future outlook: how to maintain financial sustainability

In striving to maintain our healthy financial position, we will be closely monitoring developments around the funding of higher education and the as-yet unknown impact of the pandemic. Internally, our focus will continue to be on diversifying and optimising our income streams, improving operating cost efficiency and effectiveness, optimising the use of infrastructure and managing our mitigation plan and cash with the utmost care.

We cannot overstate the importance of ensuring that the higher education and NSFAS funding model support the financial sustainability of public higher education institutions. If not, the financial position of these institutions may be jeopardised to such an extent that some may lose their competitive edge in the market and the ability to contribute to the skills and knowledge economy of South Africa.

The NWU will continue to participate actively in the modelling of the future funding design. We remain committed to working with the DHET to ensure a well-functioning and sustainable NWU and, more broadly, the stability and sustainability of the South African higher education sector.

9.5.2.4 Council statement on borrowings

COUNCIL STATEMENT ON BORROWINGS

The university entered into a new long-term borrowing agreement with the Development Bank of South Africa in 2021 as per the Annual Financial Statements.

Statement approved by the NWU Council on 23 June 2022.

9.5.3 Financial review

This is the report of the chairperson of the Finance Committee of Council and the Executive Director: Finance and Facilities.

The purpose of this report is to present a summary of our financial results for 2021 and to provide information about the budgeting and budgetary control processes, as well as to give an overview of financial achievements.

9.5.3.1 Budgeting and budgetary control processes

During the budget process, we used a high-level budget as the budget framework, which took into account the approved APP, the viability and sustainability indicators, the impact of the Covid-19 pandemic, the NWU mitigation plan and other financial information available. This is the revised budget process approved by the Finance Committee and Council at their meetings in May 2020 and July 2020 respectively.

Several other planning processes ran in parallel with the budget process and informed the budget, ensuring more integrated planning. These processes were the revision of the NWU strategy and APP, workforce planning and infrastructure and macro maintenance planning.

Budget discussions took place on various management levels focusing on the following matters:

- a financial overview of each income stream;
- the impact of the pandemic on 2020 outputs and enrolment planning for 2021-2023;
- redirection of operating and capital budgets towards the new way of working and post-Covid-19 demand;
- staff planning including staff cost mitigation plan for the medium term; and
- possible risks and concerns and the link with the strategy and APP.

9.5.3.2 Financial overview

Please see Annexure 5 on page 155 for the full financial overview.

9.6 Our manufactured capital

Our manufactured capital is the physical infrastructure that supports our core business activities and helps us to provide services to our stakeholders. It consists of buildings and infrastructure, including lecture halls and laboratories, as well as teaching technology, research equipment, IT systems and infrastructure that enable our staff to teach our students and do research and community engagement. When we put our facilities and infrastructure to work, we increase our intellectual, human and social and relationship capital and support the execution of our strategy.

Stakeholders who will benefit from our manufactured capital	Our staff and students are the main beneficiaries. However, we also use our building and maintenance projects to create business and jobs for people outside the university community. Furthermore, our donors and the DHET have stakes in our manufactured capital as they fund many of our projects.
Material matters (goals or enablers) involved	Teaching and learning, research, student value proposition, our ability to govern, lead and manage, information and communication technology, communication, marketing and stakeholder engagement, financial sustainability.
Risks involved	Uncertainties in the higher education sector (for instance state funding), demand for organisational change (equity of resources), risks related to academic matters, compliance (for instance with building regulations), IT and operational risks.

9.6.1 How we created value

Through our various building and maintenance programmes and IT infrastructure, we created value for our stakeholders and increased our manufactured capital.

9.6.2 How we continued to weather the Covid-19 storm

Students in our residences

The Covid-19 pandemic continued to impact on student accommodation in university residences. All residence students were allowed to return to campuses and residences, subject to high levels of compliance to residence protocols. Through the implementation of strict compliance rules, we managed to contain the spread of the virus to the bare minimum. The residence protocols were adjusted throughout the year to keep up with the changes in the national regulations.

Safety on our campuses

During 2021, a safety and community summit was presented on all three campuses of the NWU to ensure the safety of students and staff and improve the overall student experience.

We reviewed the university disaster recovery plan during 2021 to optimise the university's ability to continue operating after a major natural catastrophe and to reduce the risk of disasters caused by human error, deliberate destruction or equipment failures. The focus of this review was on ensuring the safety of all students, employees and visitors, protecting vital information and records and safeguarding materials, supplies and equipment.

The university's protection services strategy was fine-tuned, encompassing proactive, information-led interventions and enhancing problem-solving capacity. We also revisited the organisational structure of the protection services unit and its ICT capacity. Relatively low levels of crime on and around our campuses were reported in 2021. This can be attributed to the Covid-19 lockdown levels that were in force, the university's online learning approach, which meant there less-than-normal numbers of students and staff at or in the vicinity of our campuses who could be targeted by criminal elements. Visible policing was also very much in evidence.

At and around our campuses, NWU Protection Services officers, the South African Police Service and the South African National Defence Force carried out regular patrols, serving as a deterrent to potential offenders. Covid-19 safety protocols were applied at all our sites and were mandatory for all contractors and suppliers.

9.6.3 Infrastructure development

We spent a total of R481 million for capital works, macro maintenance and minor works across the university in 2021. This funding was from the DHET and our own funds. The following table provides a spending breakdown.

		Potchefstroom Campus	Mahikeng Campus	Vanderbijlpark Campus	Project Across Campuses	Total
R'000						
DHET	Student Housing 2016-2017	-	277,608,164	-	-	277,608,164
	Student Housing 2017-2018	-	2,815	-	-	2,815
	Funding 2017-2018	-	-	-	303,761	303,761
	Funding 2018-2021	1,193,972	34,460,794	24,953,919	18,727,756	79,336,262
Capital Works	New	31,230,003	7,375,808	47,218,992	269,585	86,094,388
	Upgrade	1,966,295	7,124,520	10,752,922	1,092,391	20,936,128
Macro Maintenance		7,455,661	1,384,413	715,144	6,967,342	16,522,560
Minor works		284,193	267,927	100,456	-	652,577

9.6.4 DHET grant funding

The total amount spent in 2021 from DHET grant funding from various funding cycles amounted to R357 251 001. This excludes R107 030 516 from NWU capital funding and R17 175 137 in maintenance expenditure.

9.6.5 Accommodation for our students

Collectively, student housing on and in close proximity to the three campuses has the capacity to accommodate 11 066 students. This housing consists of 41 university-owned residences and four leased accommodation facilities being operated as formal residences.

Through a joint initiative by the NWU, the Development Bank of Southern Africa and the DHET, we are building additional residences on the Mahikeng Campus to accommodate 1 728 more students. Construction started in August 2020 and progressed according to plan, delivering two residences with 593 beds ready for the 2022 intake.

When our students have access to safe accommodation on or around our campuses, we strengthen our student value proposition by providing for their safety and security and spaces conducive for studying. In turn, this helps to build our human capital.

Apart from aligning residences and the associated fees, we ensure all residences comply with the national policy on norms and standards for public universities in South Africa. These deal with residence staffing levels, location, health and safety, governance, professional development of residence staff, policies and procedures and student discipline.

9.6.6 Complying with norms and standards

New student residences are developed in line with approved minimum norms and standards for student housing as prescribed by the DHET. When residences are upgraded, we ensure that the changes and improvements comply with these standards.

The standards for student housing are currently under review and the NWU is actively participating in the development of the future standards.

All suppliers of private student accommodation must be accredited and we have made good progress with this process, in line with the DHET's expectations.

As it is not feasible to have one set of guidelines for all public universities in South Africa, the DHET has allowed universities to develop their own accreditation criteria based on their unique circumstances. The NWU's guidelines are used to identify the accommodation needs and available spaces on each campus. The accreditation department is funded from the proceeds of the accreditation process.

9.6.7 Construction and refurbishment

The impact of the Covid-19 pandemic on construction activities remained apparent during 2021. We are still catching up on the construction backlog caused by the 111 calendar days lost in 2020. World-wide supply chain issues also resulted in delays in construction programmes.

9.6.8 Large capital projects completed during 2021

The completion of the new Administration Building at the Vanderbijlpark Campus was a highlight for 2021; another was the first phase of consolidating the space of the School for Biokinetics, Sport and Recreation at the Potchefstroom Campus. A third highlight was starting the construction of a new 1 728-bed housing complex at the Mahikeng Campus.

Some projects are nearing completion or are in the final phase and will be completed during the course of 2022. The focus has been on investing in teaching and learning spaces.

9.6.9 Macro maintenance projects completed during 2021

The total expenditure for deferred maintenance projects amounted to R16 522 560 in 2021 and was mainly for completing projects that were initiated in 2020, such as the Faranani Residence.

9.6.10 Smaller projects completed during 2021

Smaller projects with a combined value of R652 577 were completed as part of the minor building works at the Vanderbijlpark Campus.

9.6.11 Facilities strategic optimisation project

In an effort to optimise the facilities environment, a strategic project was implemented to improve the business processes of the Facilities and related departments. The aim was to bring about optimal integration and alignment of role players, systems and processes to support the NWU's unitary strategy. The project was initiated in 2019 and gained good momentum in 2020 despite the challenges of social distancing and working from home. The project was completed at the end July 2021.

9.6.12 Projects carried over to 2022

We are planning to complete several projects aimed at creating additional teaching and learning spaces in 2022. The new Psychosocial Health Building at the Mahikeng Campus is nearing completion and construction of a similar facility is planned for the Vanderbijlpark Campus. The new lecture spaces at the Vanderbijlpark Campus will also be completed.

Several DHET-funded projects are awaiting approval and these focus on supporting the NWU's Digital Business Strategy and HyFlex way of teaching and learning. We are also prioritising the move towards greater energy efficiency by planning a pilot project at the Vanderbijlpark Campus.

9.6.13 Council statement on additional investment in infrastructure

COUNCIL STATEMENT ON ADDITIONAL INVESTMENT IN INFRASTRUCTURE

All additional investments in infrastructure at the NWU during 2021 were duly authorised

Statement approved by the NWU Council on 23 June 2022.

9.6.14 Plans for the future

The coming year will see further renewal of the buildings and infrastructure on the three campuses.

The continuation of the project to convert lecture venues into HyFlex learning environments will be aligned with the university's infrastructure planning over the next few years.

At the Vanderbijlpark Campus, we are on track to commence with the conversion of the old administration building into a new multi-purpose hall. A pilot project for energy efficiency has also been planned for the campus.

New student life facilities will be constructed in phases to ensure that the student experience of students is aligned across the NWU.

New laboratory spaces for the Faculty of Natural and Agricultural Sciences will be completed in phases to ensure it has the required spaces to grow its academic programmes.

A highlight at the Mahikeng Campus will be the completion of the final phase of the new student residences. The first two clusters, consisting of 594 additional beds, are already in operation. Other plans are to finalise sustainable water provision for the campus and to start constructing additional lecture venues at the campus, which will support the new HyFlex way of teaching and learning.

At the Potchefstroom Campus, additional computer laboratories for undergraduate programs in the School of Computer Science and Information System in the Faculty of Natural and Agricultural Science are planned in support of the growth in enrolments.

9.6.15 IT infrastructure and developments

IT is pervasive across the university's operations and few, if any, aspects of its business have not benefited from the advent of technology. It is ubiquitous across teaching and learning, research, the student life cycle, staff development and the continuous professional development of our graduates and others.

In 2021, our intellectual and human capital was strengthened through the application of technology in the following settings:

- Emergency remote learning, as well as work from home: almost all services, including students' PC lab applications, could be accessed from anywhere.
- Security, one of our greatest priorities: we performed a thorough security landscape exercise in preparation for a coordinated cyber security programme.
- The initiation or completion of many major teaching and learning and support projects:
 - Council approved a decision to establish a Student Information System (SIS) platform.
 - 80 new Hyflex classrooms were equipped so that teaching and learning could take place face to face and remotely, at the same time.
 - The Integrated Work Management system is in production.
 - The Work Integrated and Service Learning system is in full production.
 - A Robotics Process Automation pilot was completed.
 - The Digital Workplace ProjectDWP project kicked off with the replacement of the old Groupwise e-mail system. The target date for completion is July 2022.
 - 650 laboratory PCs were replaced.
 - The new eAssessment platform was improved.
 - The security information and event management service was expanded.
 - Disaster recovery and cyber security plans were revised.
- New strategies were introduced, examples being composable infrastructure and Cloud Smart. IT resolved 44 200 incidents and dealt with 154 329 incoming and outgoing calls.
- Staff and students continued to receive uncapped, unshaped internet services at a speed not matched by most universities in South Africa.

9.6.16 Future outlook

IT proved itself up to the task of keeping the university's IT networks and services running throughout the Covid-19 pandemic, including when demand reached record highs. The uptime of most of our critical systems is well above 99% and mostly above 99,5%, highlighting the stability of our IT services.

The pandemic experience, coupled with years of applying good principles in planning and design, augurs well for the future of IT at the NWU. It will be much easier to focus on digital business transformation going into the future and participating to the full in the 4IR.



10 Governance: supporting and preserving value

10.1 Council statement on governance

COUNCIL STATEMENT ON GOVERNANCE

"The NWU is committed to the principles of discipline, transparency, independence, accountability, responsibility, fairness and social responsibility, as advocated in the King IV Report.

Accordingly, Council endorses the Code of Practices and Conduct and the Code of Ethical Behaviour and Practice as set out in King IV, and has applied these in a rigorous way during the period under review. In supporting these codes, Council recognises the need to conduct the business of the NWU with integrity and in accordance with generally accepted good practices.

The monitoring of the NWU's compliance with these codes forms part of the mandate of the Audit, Risk and Compliance Committee.

A distinct difference exists in the roles and responsibilities of the chairperson of Council and that of the Vice-Chancellor."

Statement approval obtained from the NWU Council on 23 June 2022.

10.2 The role and function of Council and its committees

As the overall custodian of good corporate governance, the NWU Council takes its oversight and guidance role seriously.

We carry out this responsibility by setting strategy, ensuring proper governance, driving compliance and risk management and monitoring the material activities of the university. The intention is to provide a sound foundation for the creation of value, long-term growth and sustainability.

We act in strict accordance with the stipulations of the Higher Education Act and the NWU Statute, which was reviewed and published on 8 May 2020. In 2021, the NWU Council approved revisions to the Statute. The promulgation of the revised Statute was still awaited as at 31 December 2021.

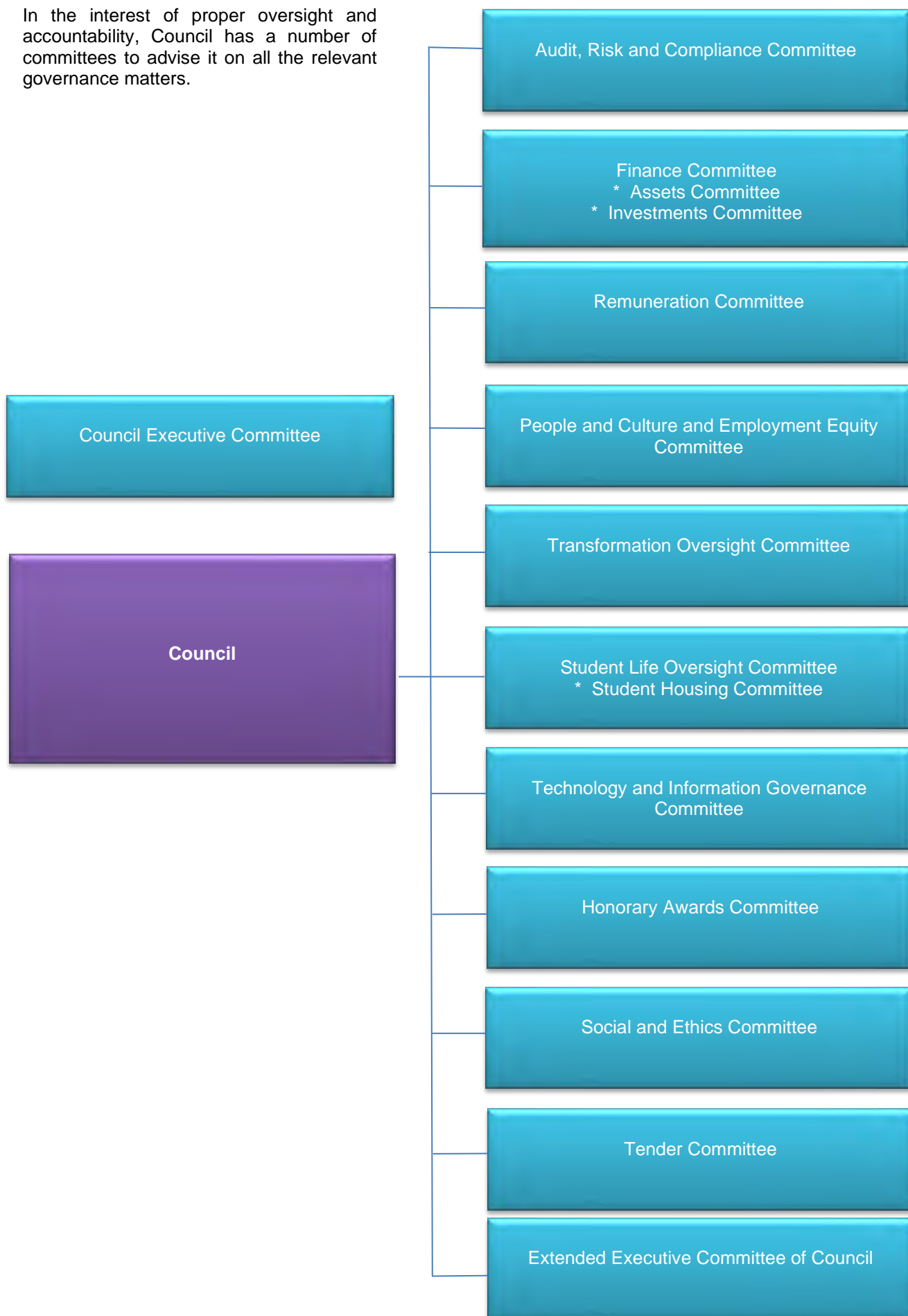
For the period under review, under Council's leadership the NWU continued to adhere to high governance standards while creating a value-driven governance landscape.

The composition of our Council is in accordance with the guidelines provided by the Higher Education Act and the university's Statute.

Of the 30 Council members, 60% are external and 40% internal, ensuring independence in the governance environment.

Council members externally elected or designated		Council members internally elected or designated	
Ministerial appointees	5	Management: vice-chancellor and vice-principal	2
Donors	3	Senate	3
Convocation	4	Academic staff	2
Community leaders	3	Support staff	2
Specific expertise	3	Student Representative Council	3
	18		12

In the interest of proper oversight and accountability, Council has a number of committees to advise it on all the relevant governance matters.



The Finance Committee, Assets Committee, People and Culture and Employment Equity Committee and Honorary Awards Committee meet twice a year and also report to Council twice a year. The remaining committees that meet more often are the Executive Committee of Council, the Audit, Risk and Compliance Committee, the Remuneration Committee, the Transformation Oversight Committee, the Tender Committee, the Investments Committee, the Technology and Information Governance Committee, the Student Life Oversight Committee and the Social and Ethics Committee.

In March 2021, Council approved the establishment of an Extended Executive Committee. The purpose of the newly established Extended Executive Committee of Council was to:

- provide advice to Council on the overall effectiveness and efficiency of the functioning of Council committees in fulfilling their respective mandates, and
- optimise the performance of Council.

The Extended Executive Committee of Council meets twice yearly to discuss high-level issues, monitor the relevance and responsiveness of the NWU Quality Manual and monitor the effectiveness and efficiency of the implementation of Council action plans formulated in response to internal and external evaluations, as well as serve as a monitoring and evaluation platform for the implementation of Council resolutions.

At the 2021 November Council meeting, Council approved the establishment of a Student Housing Committee as a subcommittee of the Student Life Oversight Committee. This committee was newly established in terms of provisions in the Higher Education Act, the Policy on Minimum Norms and Standards for Student Housing at Public Universities and the Statute of the North-West University. Even though the guidelines for student housing committees had not yet been received from the Department of Higher Education and Training, NWU took the initiative and proceeded with the establishment of the Student Housing Committee. The committee's membership is made up of an equal number of functionaries/management members and students; the vice-chancellor, in his/her capacity as a member of Council, is the chairperson.

In September 2021, Council approved a revised terms of reference for the Finance Committee. The Tender Committee was removed as a subcommittee of the Finance Committee and became a full committee of Council.

The following new members joined the Council during the year under review:

- Prof P Smit – elected by the academic staff
- Prof WJ du Plessis – elected by the academic staff
- Adv PG Seleka SC – appointed by the Minister of Education
- Adv M Kruger – elected by the Convocation
- Ms R Kenosi – appointed by Council for specific expertise
- Ms T Molefi – designated by the SRC
- Mr M Motaung – designated by the SRC
- Ms H Potgieter – designated by the SRC
- The following members re-joined the Council for subsequent terms:
 - Prof Heleen Jansen van Vuuren – elected by Senate (second term)
 - Mr C Mabe – appointed by the Minister of Education (second term)
 - Mr S de Bruyn – elected by the Board of Donors (third term)

10.3 Council training

10.3.1 Induction programme

On 18 March 2021, Council approved a revised induction programme for newly appointed Council members, along with an ongoing capacity-building programme for members of Council and Council committees.

In response to the recommendation from the external peer review team appointed by Council in 2020 to advise on the effectiveness and efficiency of Council, it was affirmed that the previous induction programme did not suit its purpose. One of the shortcomings identified was that the programme was conducted only once a year when new members were joining throughout the year. Another shortcoming was that feedback from internal evaluations indicated members were unclear about their roles and responsibilities because they were not sufficiently capacitated.

The following matters were incorporated into the new induction programme:

1. Embarking on a deliberate process of linking skills to the mandate of a committee during the allocation of members to committees.
2. Rolling out an annual capacity-building programme at committee level.
3. Drafting two induction packs, one for chairpersons of Council committees and one for members.
4. Holding twice yearly meetings of chairpersons of Council committees to share experiences and provide guidance for optimising committee structures. Feedback would then be given to the Executive Committee of Council at the June and November meetings.

5. Decentralising the induction of members of Council and Council committees by making the committee structures responsible for induction and providing a brief induction to a new member before s/he attends for the first time.
6. Giving members greater responsibility in meetings by allocating agenda slots for the relevant committee members to lead the discussion of those items.

10.3.2 Council workshop

All Council members attended a workshop on 17 March 2021.

The workshop was chaired by the Chairperson of Council, Dr MB Tyobeka, and covered three topics.

1. The NWU during and after the Covid-19 pandemic;
2. Recommendations from the external peer review panel of Council (that reviewed the Quality Manual and Self-evaluation of Council in 2020) and in the internal self-evaluation report, and the implementation of these; and
3. Ethics opportunity and risk assessment.

Each of these is briefly discussed below.

10.3.2.1 The NWU during and after the Covid-19 pandemic

During the Council workshop, the vice-chancellor and members of the University Management Committee (UMC) made presentations on Covid-19. The topics covered were integrating the digital business strategy into university operations, investing in technology to improve the NWU's student and staff value proposition, delivering an agile business strategy, servicing students as a key focus, empowering our staff and taking advantage of opportunities for collaboration with stakeholders. These topics were discussed in relation to functional areas such as teaching and learning, research and innovation, community engagement, finance and facilities, technology, people management, student life and the environment.

10.3.2.2 External review panel and internal self-evaluation report

It was resolved at the Council meeting held on 26 September 2019 that a process should be initiated to embark on an external review process of the effectiveness and efficiency of the NWU Council and its committees. In preparing for the review, Council oversaw the development of a quality manual that was approved on 19 March 2020. Council then undertook a self-evaluation process of matters described in the quality manual. During 8 to 9 September 2020 an external peer review took place of the NWU Council that utilised the quality manual and the self-evaluation report as the basis for the review process of the effectiveness and efficiency of the NWU Council.

The external peer review panel, apart from having made general recommendations, also made recommendations aimed at enhancing the functioning of council committees.

In response to these recommendations, the chairpersons of these committees presented the improvement plans for the enhancement of the effectiveness and efficiency of their committees by taking into consideration the recommendations of the external review panel and the internal self-evaluation report.

10.3.2.3 Ethics opportunity and risk assessment

Feedback on the ethics opportunity and risk assessment that the Ethics Institute South Africa conducted in 2020 at the request of the NWU was provided at the Council workshop. The feedback was presented by Dr Paul Vorster, Senior Research Specialist at the Ethics Institute. The ethics risk assessment was used to compile the current ethics opportunity and risk profile of the NWU and its campuses. One of the recommendations from the assessment was that three key areas of ethics risk should be addressed in an ethics management strategy and ethics management plan (EMP):

1. The leadership of the university should demonstrate continual commitment to an ethical culture (talking the talk, walking the talk, transparency) by ensuring as follows:
 - That students and employees at all levels are held sufficiently accountable and responsible for their behaviour through the application of consistent, fair, transparent and appropriate sanctions for unethical conduct and decision-making when it may occur.
 - That the university stimulate "ethics talk" by ensuring a safe and conducive environment in which staff and students can speak up/out. This should happen in a judgment-free environment, making it essential to eliminate any form of intimidation, bullying or victimisation over ethics issues.
 - That senior/executive management visibly support ethics in the organisation, protect employees who stand up for the right thing, hold employees accountable for their behaviour and serve as role models of ethical behaviour.
2. The NWU should further refine and implement a comprehensive ethics management programme and raise awareness about the confidential ethics reporting system the university uses. Employees should know how to use the system, be comfortable with it and trust that their identity, if used, will be protected.

Identified ethics risks should be incorporated into the organisation's risk register and be subject to ethics risk mitigation interventions. Attention should be given to ensuring that all employees adhere to university rules and policies at all times. People practices, particularly appointments and promotions, should be seen to be fair. Poor performance must be addressed.

10.4 Code of Conduct and declarations of interest

All Council members are required to adhere to a Council Code of Conduct, which is revised as and when needed, most recently in March 2018. At the beginning of 2021, the members of Council pledged their commitment to the Code by taking part in the annual signing process. All new Council members are also required to sign the Code of Conduct at the time of their appointment.

The Higher Education Act prescribes annual declarations of directorships and interests by members of Council and Council Committees. We consider this requirement to be of the utmost importance and expect members of Council and Council committees to make such declarations regularly. This is to ensure absolute integrity in our behaviour at governance level.

The registrar of the university keeps the register of all these declarations, which our Council Executive Committee (Council Exco) scrutinises regularly in its capacity as council membership committee.

At each ordinary meeting of the Council Exco, its members review the declarations of interest and engage on these. Council Exco also scrutinises the transactions between the NWU and companies in which council and council-committee members held a direct or indirect interest.

At the November meeting of Council, it was noted that the registrar had contacted members who defaulted on their declaration of interest obligations, requesting them to check and update the information on their declarations.

Highlighting the importance of declarations of interest by Council and Council committee members, Council noted on 17 June 2021 that sanctions would be imposed on members who did not comply with the legal requirements for declarations of interest.

During 2021, Exco also continued with the practice of regularly noting and discussing all declarations made by members of the UMC and referring any inquiries to the vice-chancellor.

10.5 Meet our Council members (Council membership as at 31 December 2021)

10.5.1 Composition of Council

Meet our Council members (Council membership as at 31 December 2021)



**1. PROF ND KGWADI
(53)**

*Principal and
Vice-Chancellor*

Qualifications: BScEd (University of North West), MSc (Physics) (Ball State University, USA), MPhil (Environmental Law and Management) (North-West University), PhD (Physics Education) (Potchefstroom University for Christian Higher Education (PU for CHE)), PhD (Management – honoris causa) (Hanseo University, South Korea)

Membership of Council Committees:

All Council committees (except Audit, Risk and Compliance Committee – not a full member)

Term on Council:

Appointed for a four-year term from 2020 to 2024.
Currently two years and seven months into second term.

Number of committee meetings as council member and average attendance:

83 meetings | 75% attendance

Directorships: USAf



**2. PROF L DU PLESSIS
(52)**

Vice-Principal

Qualifications: PhD (Education), MSc (Computer Science), BScHons, BSc (PU for CHE), Certificate for Environmental Educators (Unisa), Leadership in Higher Education (Institute for Educational Management, Harvard), Certificate in ICT in Education for Policy Implementers (Wits, Oracle University)

Membership of Council Committees:

Council Exco

Term on Council:

Appointed in 2020 for a three- year term coinciding with her term as deputy vice-chancellor: Assigned functions and Vanderbijlpark Campus Operations. Currently one year and five months into second term.

Number of committee meetings as council member and average attendance:

44 meetings | 100% attendance

Directorships: None



**3. PROF HH JANSE
VAN VUUREN
(57)**

Elected by Senate

Qualifications: MCom (Accountancy), BComHons – CTA, BComHons (Cost and Management Accounting), BCom (Accounting) (NWU)

Membership of Council Committees:

Student Oversight Committee | Honorary Awards Committee | Social and Ethics Committee

Term on Council:

Appointed for a three-year term from 2021 to 2024.
Currently nine months into second term.

Number of committee meetings as council member and average attendance:

16 meetings | 94% attendance

Directorships: Vektor Electrical Services PTY LTD





4. PROF AF KOTZÉ
(56)

Elected by Senate

Qualifications: BPharm, MSc, PhD (NWU)

Membership of Council Committees:

Honorary Awards Committee | People and Culture and Employment Equity Committee | Medical School Task Team (as Executive Dean)

Term on Council:

Appointed for a three three-year term from 2019 to 2022.
Currently two years, 11 months into first term

Number of committee meetings as council member and average attendance:

13 meetings | 100% attendance

Directorships: Innovation Highway Enterprises | Hanks TB Diagnostics



5. VACANT

Elected by Senate



6. PROF PA SMIT
(60)

Elected by academic staff members

Qualifications: PhD (Labour Relations Management)

Membership of Council Committees:

Not yet allocated at the end of 2021

Term on Council:

Appointed for a three-year term from 2021 to 2024.
Currently three months into first term.

Number of committee meetings as council member and average attendance:

1 meeting | 100% attendance

Directorships: None



7. PROF WJ DU PLESSIS
(42)

Elected by academic staff members

Qualifications: BA in International Relations, LLB, LLD

Membership of Council Committees:

Transformation Oversight Committee | Social and Ethics Committee

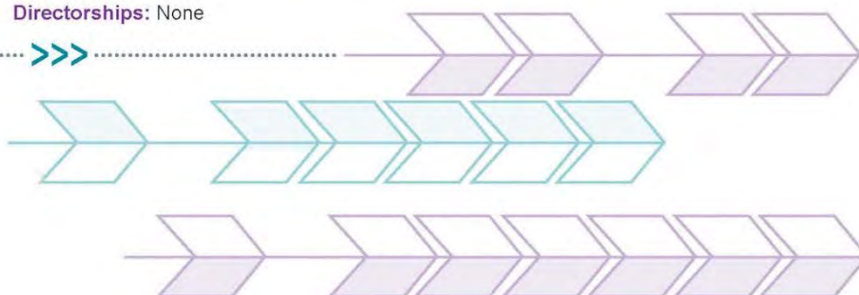
Term on Council:

Appointed for a three-year term from 2021 to 2024.
Currently nine months into first term

Number of committee meetings as council member and average attendance:

6 meetings | 83% attendance

Directorships: None





**8. MR FM NKOANA
(59)**

*Elected by support
staff members*

Qualifications: BA in Administration

Membership of Council Committees:

People and Culture and Employment Equity Committee

Term on Council:

Appointed for a three-year term from 2019 to 2022.
Currently two years and nine months into first term.

Number of committee meetings as council member and average attendance:

7 meetings | 100% attendance

Directorships: None



9. VACANT

*Elected by support
staff members*



**10. MS T MOLEFI
(26)**

*Designated by the Student
Representative Council*

Qualifications: Honours in International Relations.

Enrolled for Bachelor of Social Science

Membership of Council Committees:

Student Life Oversight Committee

Term on Council:

One month into one-year term.

Number of committee meetings as council member and average attendance:

No meetings were held after appointment in 2021.

Directorships: None



**11. MR M MOTAUNG
(21)**

*Designated by the Student
Representative Council*

Qualifications: Enrolled for BEd Physical Science for Education

Membership of Council Committees:

Student Life Oversight Committee

Term on Council:

One month into one-year term.

Number of committee meetings as council member and average attendance:

No meetings were held after appointment in 2021.

Directorships: None



**12. MS H POTGIETER
(22)**

*Designated by the Student
Representative Council*

Qualifications: Enrolled for LLB

Membership of Council Committees:

Student Life Oversight Committee

Term on Council:

One month into one-year term.

Number of committee meetings as council member and average attendance:

No meetings were held after appointment in 2021.

Directorships: None





13. MR OE MONGALE
(50)

*Appointed by the Minister of
Higher Education, Science
and Innovation*

Qualifications: Studying towards a Master's of Philosophy in Conflict Transformation, (Nelson Mandela University), PGDip in Management, Master's in Industrial Psychology (NWU), Honours in Industrial Psychology, Bachelor's in Administration (UniBo)

Membership of Council Committees:

Executive Committee | Tender Committee | Medical School Task Team | Extended Exco

Term on Council:

Appointed for a three-year term from 2020 to 2023.

Currently one year, three months into second term.

Number of committee meetings as council member and average attendance:

32 meetings | 88% attendance

Directorships: The Hub Farming Enterprise | Sego Programme and Project Managers | The Hub People Development Institute | Mochwa Investments | Bachen | Kehu Projects | Teki Project and Programme managers



14. ADV PG SELEKA
(47)

*Appointed by the Minister of
Higher Education, Science
and Innovation*

Qualifications: LLB

Membership of Council Committees:

Transformation Oversight Committee | Social and Ethics Committee

Term on Council:

Appointed for a three-year term from 2021 to 2024.

Currently four months into first term.

Number of committee meetings as council member and average attendance:

7 meetings | 71% attendance

Directorships: None



15. MR C MABE
(43)

*Appointed by the Minister of
Higher Education, Science
and Innovation*

Qualifications: BCom (University of North West), Dip AIBM (Finances), Diploma in Financial Management (Business Management Training College of Southern Africa), Certificate in Managing the Employment process (Unisa), MBA (NWU)

Membership of Council Committees:

Finance Committee | Remuneration Committee | Extended Exco

Term on Council:

Appointed for a three-year term from 2021 to 2024.

Currently four months into second term.

Number of committee meetings as council member and average attendance:

19 meetings | 100% attendance

Directorships: JEPA 321 (Pty) Ltd | JEPA Resources Trading Enterprise (Pty) Ltd | CM2510 (Pty) Ltd | Tapologo HIV and Aids Programme | NH2606 (Pty) Ltd | K2017228855 (South Africa) | Thapo Vision Group





16. MR TC KGOMO
(54)

*Appointed by the Minister of
Higher Education, Science
and Innovation*

Qualifications: BCom (University of North West)

Membership of Council Committees:

Tender Committee | People and Culture and Employment Equity Committee | Transformation Oversight Committee | Advisory Board for Innovation Highway Enterprises | Extended Exco

Term on Council:

Appointed for a three-year term from 2020 to 2023.
Currently one year, three months into third term.

Number of committee meetings as council member and average attendance:

18 meetings | 100% attendance

Directorships: Henjen Petroleum (Pty) Ltd | Tlhabanelo Trading Enterprises (Pty) Ltd | RR Travel (Pty) Ltd | Sky Chrome Mining (Pty) Ltd



17. MR MSJ THABETHE
(47)

*Appointed by the Minister of
Higher Education, Science
and Innovation*

Qualifications: National Diploma in Information Technology, BTech in Information Technology (TWR), MCom in Information Systems (University of the Witwatersrand)

Membership of Council Committees:

Audit, Risk and Compliance Committee | Technology and Information Governance Committee | Social and Ethics Committee | Advisory Board for Innovation Highway Enterprises | Extended Exco

Term on Council:

Appointed for a three-year term from 2020 to 2023.
Currently one year, three months into second term.

Number of committee meetings as council member and average attendance:

20 meetings | 100% attendance

Directorships: None, only shareholding



18. MR JDS DE BRUYN
(70)

*Elected by the
Board of Donors*

Qualifications: BCom (Accounting Science), BLuris, LLB (PU for CHE)

Membership of Council Committees:

Audit, Risk and Compliance Committee | Tender Committee | Senate

Term on Council:

Appointed for a three-year term from 2021 to 2024.
Currently six months into third term.

Number of committee meetings as council member and average attendance:

17 meetings | 82% attendance

Directorships: None



19. VACANT

*Elected by the
Board of Donors*





20. MS UAD
BARRAVALLE
(38)

*Elected by the
Board of Donors*

Qualifications: BSc (Chemistry and Biochemistry), BSc (Chemistry), (Hons) (RAU), LLB (Unisa)

Membership of Council Committees:
Executive Committee | Assets Committee

Term on Council:
Appointed for a three-year term from 2019 to 2022.
Currently two years and one month into first term.

Number of committee meetings as council member and average attendance:
10 meetings | 100% attendance

Directorships: DM Kisch Inc | Kisch Africa | Kisch Investments Limited



21. MR A SORGDRAGER
(62)

Elected by the Convocation

Qualifications: BJuris and LLB (PU for CHE), International Executive Programme (INSEAD Business School)

Membership of Council Committees:
Executive Committee | Audit, Risk and Compliance Committee | Investments Committee | Student Life Oversight Committee | Honorary Awards Committee | Remuneration Committee | Student Electoral Commission | Medical School Task Team | Extended Exco

Term on Council:
Appointed for a three-year term from 2020 to 2023.
Currently one year, five months into second term

Number of committee meetings as council member and average attendance:
49 meetings | 94% attendance

Directorships: Vaalrivier Steiltes Aandeleblok (Edms) Bpk | Florida Buitemuurs

22. VACANT

Elected by the Convocation

23. VACANT

Elected by the Convocation



24. ADV M KRUGER
(56)

Elected by the Convocation

Qualifications: B.Juris, LLB

Membership of Council Committees:
Student Life Oversight Committee | Technology and Information Governance Committee

Term on Council:
Appointed for a three-year term from 2021 to 2024.
Currently four months into second term.

Number of committee meetings as council member and average attendance:
3 meetings | 100% attendance

Directorships: None



**25. REV CANON DP
DINKEBOGILE
(67)**

*From among the
community leaders*

Qualifications: Diploma in Theology (St Peter's College), Master's in Christian education (MACE) (USA-Virginia Theological Seminary)

Membership of Council Committees:

Executive Committee of Council (alternate member) | People and Culture and Employment Equity Committee | Student Life Oversight Committee | Remuneration Committee | Extended Exco

Term on Council:

Appointed for a three-year term from 2019 to 2022.
Currently two years and six months into second term.

Number of committee meetings as council member and average attendance:
21 meetings | 95% attendance

Directorships: Sharpeville Care of the Aged | Sharpeville Tshwaranang Trust



**26. PASTOR PM
TLHABANYANE
(58)**

*From among the
community leaders*

Qualifications: Dip PA, BPA, BAHons (Theology)

Membership of Council Committees:

Social and Ethics Committee

Term on Council:

Appointed for a three-year term from 2020 to 2023.
Currently one year and nine months into first term.

Number of committee meetings as council member and average attendance:
9 meetings | 100% attendance

Directorships: None



**27. MS S BRITZ
(60)**

*From among the
community leaders*

Qualifications: Matric, NQF5 Real Estate

Membership of Council Committees:

Executive Committee (alternate member) | People and Culture and Employment Equity Committee

Term on Council:

Appointed for a three-year term from 2020 to 2023.
Currently one year and nine months into first term.

Number of committee meetings as council member and average attendance:
7 meetings | 86% attendance

Directorships: IDUC NPC | Tlokwe Crisis Centre





28. MS RA KENOSI
(50)

*Appointed by Council
for specific expertise*

Qualifications: BComp Accounting, BComp Accounting (Hons), CA(SA)

Membership of Council Committees:

Executive committee (alternate member) | Audit, Risk and Compliance Committee | Finance Committee

Term on Council:

Appointed for a three-year term from 2021 to 2024.
Currently nine months into first term.

Number of committee meetings as council member and average attendance:

10 meetings | 100% attendance

Directorships: Anova Health Institute NPC | Bridging Concepts Financial Services (Pty) Ltd | Fraudsmiths (Pty) Ltd | Onderstepoort Biological Products (SOC) Ltd | K20132299696 SA (Pty) Ltd



29. DR MB TYOBEKA
(47)

*Appointed by Council
for specific expertise*

Qualifications: BScEd and MSc (Applied Radiation Science and Technology) (University of North West), MSc and PhD (Nuclear Engineering) (Penn State University, USA), MSc (Management) (Colorado Technical University)

Membership of Council Committees:

Executive Committee | Finance Committee | Honorary Awards Committee | Remuneration Committee | Medical School Task Team | Extended Exco

Term on Council:

Appointed for a three-year term from 2020 to 2023.
Currently one year and one month into third term.

Number of committee meetings as council member and average attendance:

52 meetings | 98% attendance

Directorships: None



30. MR TV MOKGATLHA
(47)

*Appointed by Council
for specific expertise*

Qualifications: BCom (Accounting) (NWU), HonsBCompt/Certificate of Theory in Accounting (CTA) (Unisa)

Membership of Council Committees:

Audit, Risk and Compliance Committee | Finance Committee | Assets Committee | Remuneration Committee | Extended Exco

Term on Council:

Appointed for a three-year term from 2019 to 2022.
Currently two years, six months into first term.

Number of committee meetings as council member and average attendance:

14 meetings | 86% attendance

Directorships: Yebo Yethu | Yebo Yethu Investment Company (RF) (Pty) Limited | Baphlane Siyanda Chrome Company | MTBG Investments | South African Blood Services NPC (SANBS) | Philasini | Baphalane Ba Mantserre Investment Holdings | Atonatic Trading | Stokfella | Baphalane Property Holdings | His Crown Apostolic Ministries | BBMIH Food | Hyprop Investment LTD | BBMIH Textile | BBMIH Manufacturing



10.5.2 Diversity of skills and experience

Our Council members boast a variety of valuable skills and experience. Their fields of expertise are given below:

- Governance and ethics in general
- Higher education governance
- Student management and governance
- General management, business, industrial psychology
- Science/innovation, technology, engineering
- Communication, languages
- General legal expertise
- Psychology and theology
- Labour relations
- Audit and chartered accountancy
- Theological expertise

Having resolved in November 2018 to pursue the establishment of a particular skills set, the NWU Council took these skills into account in 2021 when seeking to fill vacancies in membership. The coloured blocks in the diagram below represent the skills that are given emphasis.

1	General legal expertise
2	Environment, land and indigenous law
3	Global engagement expertise
4	Data analytics expertise
5	Audit and accounting expertise
6	Investment expertise
7	Fundraising expertise
8	Finances and business expertise (medium to macro enterprises)
9	Business administration and/or strategy expertise
10	Governance and ethics expertise
11	Corporate communication expertise
12	Information technology expertise
13	Technology transfer expertise
14	High positive public profile – science
15	High positive public profile – community engagement
16	Arts/people management

10.6 Council transformation

Council continued to focus on transformation targets for its membership and approved the following equity targets for Council to achieve by January 2025:

African female	African male	Indian/Coloured male/female	White female	White male	Total
7	8	2	6	7	30
23.3%	26.7%	6.7%	20.0%	23.3%	100%

As at 31 December 2021, the equity profile of Council was as follows:

African female	African male	Indian/Coloured male/female	White female	White male	Vacancies	Total
1	12	1	7	4	5	30
3.3%	40%	3.3%	23.3%	13.3%	16.7%	100%

10.7 Council decisions impacting value creation and the business impact of Covid-19

10.7.1 Value-creation issues

Management highlighted several value creation issues during 2021 and Council responded by taking key decisions on the following:

- Augmenting the NWU Strategy
- Approval of the updated financial impact model

10.7.2 Key decisions taken by Council in 2021

The following table gives a summary of Council's value-creating decisions and their possible effect on future value creation.

Strategy and structure
<ul style="list-style-type: none"> • Approved the "common strategic assumptions" in the APP. • Noted that the structure of the digital business strategy was based on goals, providing the framework for the types of digital projects the NWU would endeavour to engage in, and enablers to support the attainment of these goals. • Approved the re-organisation of the roles of members of the UMC, as recommended by the UMC and endorsed by Senate, by removing the following functional areas from the portfolio of the deputy-vice chancellor: teaching and learning, and re-allocating them as follows: <ol style="list-style-type: none"> 1. Career Centre: Move to Corporate Relations Management 2. Library and Information Systems: Move to deputy vice-chancellor: research and innovation 3. Business School and Unit for Continuing Education: Move to vice-principal. • Approved the shift in reporting lines for the director of the UCE from the deputy vice-chancellor: teaching and learning to the chief Director of the Business School and give approval to the chief director of the Business School being added as a member of the UCE Advisory Committee. <p><i>How these governance decision affect future value creation:</i></p> <p><i>As Council we are confident that the ongoing implementation of the strategy, structure and brand is shaping the NWU's operations and efficiency.</i></p> <p><i>We remain confident that the realisation of the strategic agenda of the NWU adds to the improved positioning of the university in the South African higher education landscape.</i></p>
Policies and rules
<p>The Policy Refinement Committee continued with its activities in the drafting and review of policies.</p> <p>In ensuring compliance with national directives and mitigating possible risks facing the university, we approved 23 policies (either revised or new) in 2021:</p> <ul style="list-style-type: none"> • Community Engagement Policy • Policy on the Awarding of Collaborative Degrees • Business Continuity Policy • Alumni Relations Policy • Policy on Academic Integrity • Policy on Academic Promotions • Smoking Policy • Information Governance Framework • Personal Information Policy • Policy on the Reporting of Irregularities and Maladministration • Gender-based Violence Policy • Breastfeeding Policy • Rules on the Nomination, Election, Designation and Appointment of Council Members • Animal Care and Use Policy • Intellectual Property Policy

- Quality Policy
- Institutional Rules on Student Governance
- Constitution of the Students' Representative Council of the North-West University
- Fundraising and Development Policy
- Rules for the Appointment of Office Bearers
- Policy on Students Living with Disabilities
- Rules for the Board of Donors
- Policy on the Promotion of Academic Staff

How these governance decision affect future value creation:

The NWU's success model indicates that the university is committed to the continued adoption of responsible risk-embracing strategies and transformational practices.

In line with this undertaking, and in adhering to the prescripts of the Statute, the university continually drafts and revises policies and rules.

Financial matters

We, as Council, approved the audited financial statements for 2021 and the financial overview for 2021.

In addition, the following financial approvals were among the highlights of 2021:

- Approval of the revision of the 2021-2023 three-year rolling budget based on the updated financial impact model.
- Approval that the staff cost mitigation plan be based on Scenario 1 of the Financial Impact Model.
- Approval of the consolidated statements of financial position and comprehensive income for the year ended 31 December 2020.
- Approval that PricewaterhouseCoopers be retained as external auditors for the next financial year.
- Approval of the financial overview for 2020.
- Approval of a three-year commitment from the North-West University to make a donation to the Rapport Onderwysfonds for the period January 2022 to December 2024 at a total cost of R540 000 per year, on condition that management can, by the time the finances for financial aid are approved next year for the following year, source a similar fund that espouses one of the other two languages, Setswana or Sesotho.
- Approval of the procurement of the services of Anthology as a vendor of a new student information system, and to mandate the project team, as overseen by UMC at management level, and the Technology and Information Governance Committee at governance level, to proceed with the project implementation.
- To approve that the NWU advance the cash for the pay-out of allowances to NSFAS students in order to support the start of the 2021 academic year, as had been recommended by the Finance Committee.
- Approved the rolling budget 2022-2024, which will also form part of the APP to be submitted to the Department of Higher Education and Training, subject to the principle that it might need to be reviewed once the Ministerial Statement regarding subsidy allocation and a fee increase adjustment recommendation is issued.
- Approved the 2022 infrastructure project list and allocations for minor building works and macro-maintenance projects (specifically including the projects submitted for funding by the sixth Infrastructure and Efficiency Grant cycle allocation, where NWU funds had had to be allocated from reserves when funding was not received from DHET).
- Approved the 2022 tuition fee inflation adjustment on all campuses to be the projected consumer price index (CPI) rate for contact students. This was in line with the preliminary indications received from the Department of Higher Education and Training in terms of the Minister's recommendations.
- Approved the 2022 residence fee inflation adjustment to be the projected CPI for 2022 plus 2%. This was in line with the preliminary indications received from DHET in terms of what the Minister recommended.
- Approved the amounts payable on registration in 2022.
- Approved the following sections of the mid-year report financial information:
 1. Earmarked grants for 2021/22 (funding envelopes and infrastructure projects)
 2. Budget 2021 vs revenue and expenditure as of 30 June 2021
 3. Earmarked grants for 2022/23 (funding envelopes and infrastructure projects).

How these governance decision affect future value creation:

We are confident that the right decisions were taken in the short term to enable the university to realise the goals in the APP and to continue pursuing its strategic agenda.

However, Council is on record that it expressed concerns on the medium to long-term effects of the national uncertainties around the sustainability of South African higher education. These uncertainties relate predominantly to the funding of public higher education.

Tender matters
<ul style="list-style-type: none"> Approval of the awarding of tender TR109/2021VC - Provision of Protection Services for the North-West University, Vanderbijlpark Campus Approval of the awarding of Tender TR130/2021VC - Supply of Student Accommodation for the North-West University, Vanderbijlpark Campus. Approval of the extension of Tender TR093/2020PC that had been awarded to Takealot Online (RF) Pty Ltd for the supply and distribution of study material to UODL students for a further period of two years to 31 August 2023 whilst the review of the principle of book supply was underway. Approval that for all future tenders where suppliers did not meet the required BBBEE levels 1-3, local participation of 30% would be mandatory. Tender for Panels of Professional Consultants in Construction Disciplines: to approve the appointment of the members of the respective panels in each discipline for a period of three (3) years, with an option to extend for a further two (2) years. Approval of the awarding of tender TR109/2021VC - Provision of Protection Services for the North-West University, Vanderbijlpark Campus to Stallion Security (Pty) Ltd as recommended by the Tender Committee, for a total calculated cost of R63,257,978 for three years including VAT, but excluding escalation. Conditional approval of the awarding of Tender TR130/2021VC for the supply of student accommodation for the North-West University, Vanderbijlpark Campus, as follows: <ol style="list-style-type: none"> To Buhle Houses 1 (Pty) Ltd for 520 beds at a rate of R2 900 per month per room at a total cost of R54 288 000 for three years, excluding escalation; and To Amorispan (Pty) Ltd for 660 beds at a rate of R2 950 per month per room at a total cost of R70 092 000 for three years, excluding escalation, provided that NSFAS does not introduce a R33 000 residence cap, in which case the tender would not be awarded. <p><i>How these governance decision affect future value creation:</i></p> <p><i>As Council we ensure that the university procures services by means of a process that is fair, equitable, transparent and cost-effective, while also ensuring the realisation of transformation objectives.</i></p> <p><i>We are confident that the tenders that were awarded adhered to the principles laid down in relevant legislation.</i></p>
Appointment of office bearers
<p>We oversaw the process of appointing senior office bearers and approved the following:</p> <ul style="list-style-type: none"> To appoint Prof Jeffrey Mphahlele as deputy vice-chancellor: research and innovation, to commence duties on 1 July 2021 To appoint Prof Sonia Swanepoel as deputy vice-chancellor: assigned functions and Mahikeng campus operations for a term commencing 1 January 2022. That the contract of Mr Clement Manoko as executive director: corporate relations and marketing be extended by four years. That the contract of Prof Robert Balfour as deputy vice-chancellor: teaching and learning be extended by five years. That the contract of Dr Mala Singh as executive director: people and culture be extended by 2 years. Council also noted that the vice-chancellor had resigned and that, in accordance with the Statute, the vice-principal, Prof Linda du Plessis, will take up the position as acting vice-chancellor and principal of North-West University from 1 February 2022 until the post has been filled substantively. <p><i>How these governance decision affect future value creation:</i></p> <p><i>We made sure that the appointment of these office bearers was informed by the Statute and relevant rules.</i></p> <p><i>The calibre of those who are appointed is key to achieving the NWU's strategic objectives.</i></p>
Governance matters
<p>Key resolutions related to governance included the following:</p> <ul style="list-style-type: none"> Approval of the following revised and new terms of reference for Council committees: <ul style="list-style-type: none"> Executive Committee of Council Extended Executive Committee of Council Asset Committee Remuneration Committee Student Life Oversight Committee Tender Committee People and Culture and Employment Equity Committee Finance Committee Investments Committee Transformation Oversight Committee Social and Ethics Committee Honorary Awards Committee

- Student Housing Committee
- Approved amendments to the NWU Statute in relation to the following paragraphs:
 - 4(2) – membership of Council
 - 5(2) – nomination of Council members to account for diversity, competency requirements and skills as required by Council
 - 6(2) – term of office of Council members
 - 11(3) and (4) – clarity on the role of Exco
 - 13(1) – membership of Senate
 - 26(3) – designation of Student Campus Committee SCC members to the SRC
 - 34(1) – meetings of the Convocation
 - New paragraph 4 relating to the composition of the university
 - 84 – repeal of the Statute
- Approved the revised programme for the induction of newly appointed Council members and ongoing capacity building for members of Council and Council committees.
- Approved the revised PwC engagement letter as recommended by the Audit, Risk and Compliance Committee.
- Approved the OpenCollab Statement of Work 2021 as recommended by the Technology and Information Governance Committee.
- Approved that an Organisational Rights Agreement be entered into with Solidarity trade union. Further, to note and record that the organisational rights included granting Solidarity permission to represent its members with disciplinary and/or grievance matters pending the finalisation and signing of the Organisational Rights Agreement.
- Approved the DHET Governance Scorecard 2020 as recommended by the Executive Committee of Council.
- Approved the proposals at statutory, policy and practical levels for purposes of creating an enabling governance, management and monitoring environment to ensure sufficient levels of diversity and skills at Council.
- Approved various requirements for the streamlining of the nomination process for Council Members as proposed.
- Approved to continue with the search for a unifying symbol with as much stakeholder engagement as possible, to be presented to Council for approval. Subsequently, a Public Artworks Committee was established, with representation of two Council members.
- Approved the donors included as significant donors of the NWU for the period 2019-2021.
- Approved the 2020 Integrated Annual Report as recommended by the Audit, Risk and Compliance Committee.
- Approved the amendment of the clauses of the existing Organisational Agreement with NEHAWU that still made reference to the pre-unitary model and to approve that the current Organisational Agreement be applicable until the adjusted agreement is signed.
- Approved the candidates for the NWU Biennial Alumni Excellence Awards 2021.
- Resolved to give the external review panel feedback on the implementation of the improvement plan regarding the external evaluation of Council.
- Approved the mid-year performance report as recommended by the UMC and endorsed by Senate for submission to the DHET.
- Approved the APP 2022 for submission to the DHET.
- Approved the revised Conditions of Service as recommended by the UMC and the People and Culture and Employment Equity Committee.
- Approved the revised Transformation Charter as recommended by the UMC and the Transformation Oversight Committee.
- Approved the PricewaterhouseCoopers final engagement letter as recommended by the Audit, Risk and Compliance Committee.
- Approved the 2020/2021 annual reports EEA2 and EEA4 for submission to the Department of Employment and Labour as recommended by the UMC.
- Approved the NWU Statement of Strategic Ethical Intent and the NWU Ethics Strategy.
- Significant matters as recommended by Senate:
 - Approved that the autumn recess from 29 March to 1 April 2021 be utilised for teaching-learning of first-year students, as recommended by Senate.
 - Approved that the honorary degree, Doctor Philosophiae, honoris causa, be conferred on Dr Geraldine Fraser-Moleketi.
 - Approved the framework for the 2022 academic calendar as recommended by the Senate.
 - Approved the Glossary of Teaching-Learning-related acronyms, concepts and designations as recommended by Senate for inclusion in the General Academic Rules.
 - Noted the NWU Review of Doctoral Qualifications and that the NWU Improvement Plan would be revised and aligned with CHE recommendations.
 - Approved that the Chancellor's Medal be awarded to Mr Danie Hefer.
 - Approved that the academic year at the North-West University commence on 21 February 2022, with details left to management to decide. Should it become apparent that the date is not feasible, an alternative date has to be proposed for consideration either by Council by round-robin or the Executive Committee of Council at a special meeting. The academic calendar commences on 21 February 2022, while first-year students would arrive at the campuses from 14 February 2022 and commence with their classes on 17 February 2022, with management having the flexibility to decide on details.

10.7.3 Council and Covid-19 in 2021

During 2021, Council received update reports on the NWU's continued handling of the Covid-19 pandemic.

The focus had been on the launching of the new academic year for returning students, as well as preparation for the Registration and Orientation programme for first-year entrants.

Particular reference was made to the manner in which NWU was dealing with the challenges regarding NSFAS and the resultant uncertainties, as well as some demands received from the SCCs at the Mahikeng and Vanderbijlpark campuses respectively.

The Audit, Risk and Compliance Committee had requested a full description of risks relating to the Covid-19 pandemic, together with the current strategy and future plans.

The first hybrid graduation ceremony was successful; however, it was hoped that the honorary doctorate could be presented at an in-person event.

The Executive Director: Student Life worked towards compliance with Covid-19 protocols to ensure that student life did not suffer and that catering services remained open, along with clubs and sports clubs.

The chairperson of Council commended management for all their efforts to keep life on campus as normal as possible. He reiterated that management could not do it alone, and that reckless behaviour by students would be counterproductive and waste money. He pleaded with student leaders to continue cooperating with measures to combat the spread of Covid-19 as this would save lives.

There had been a 60% occupancy rate in residences during recess; any student who needed support was required to be on campus; some faculties had requested students to be present in contact sessions.

Hard work had been invested in the student life environment to optimise student experiences, always cognisant of the protocols to ensure compliance with Covid-19 regulations.

Outreach vaccination sites had been established on the Mahikeng and Potchefstroom campuses in collaboration with the North West Department of Health and, to date, almost 10 000 vaccinations had been administered.

Spring graduation ceremonies would be hybrid events, with only the PhD graduates and the honorary doctoral candidates present in person.

Council also noted and discussed a "back to campus" approach, reflecting the view that the approach to opening up of the campuses should be "We are going back to campus, and to achieve that we will put the following in place".

There would be greater visibility on campuses as from September 2021 as service delivery could not be neglected. Also, the vaccination drive was an important incentivising process.

A hybrid, flexible teaching and learning strategy had been created to engage with students.

Asynchronous teaching, whereby students could view recorded lectures at any time they chose, would be replaced with synchronous teaching, where students were required to log in and participate in class at a specific time. Students would not be given access to recorded lectures by default as it was found that they did not listen to them. Instead, they had to apply for access, giving reasons why they were not logged into class.

In an attempt to create a value proposition and adhere to regulations, another model was being considered whereby 50% of a class would be accommodated in a venue and, at the same time, an interactive classroom would be made available online to the remaining students. Block sessions were also being considered, where one subject would be taught for a full day, with maximum interaction with students.

Council also discussed mandatory vaccinations. A risk assessment was being conducted with the assistance of experts, for finalisation by 22 November 2021.

Council noted that, should an employer decide to implement a mandatory vaccination policy, it should consider the guidelines in the directives, which included:

- Notifying employees of their duty to vaccinate;
- Including the right to refuse on either medical or constitutional grounds;
- Providing transport to and from vaccination sites;
- Providing sick leave if side effects are encountered;
- Counselling employees who refuse to take the vaccine; and
- Taking reasonable steps to accommodate employees who refuse to vaccinate.

Reasons for refusal would have to be substantively motivated and adjudicated and each exemption assessed on its own merits. Also, the refusal to vaccinate would not result in automatic dismissal but the employee would be precluded from certain privileges. Decided cases in the international higher education environment had weighed in favour of public health and safety and declared that mandatory vaccination policies were not unlawful or unconstitutional.

There were parallel risk assessment processes, one relating to staff where staff and unions were consulted, and one for students involving the SRC and the Senate.

It would be legitimate to process employee information for operational purposes within the health clinic where it was deposited under strict measures of confidentiality.

The DIY-service on the staff intranet would include an app to allow employees to upload their vaccination certificates.

10.7.4 Remuneration of externally elected Council members

Since 2009, following a Council resolution to this effect, the university has paid an honorarium to external members of Council and of Council committees.

The honorarium is considered a token of the NWU's gratitude for members' time and effort.

The honorarium fee is paid twice a year, in August and December. The fee is linked to the university's annual cost-of-living adjustment (COLA) process, which the Remuneration Committee approves before implementation. In 2021, the Council approved changes to the honorarium paid to external experts on Council committees, the chairperson of a Council committee that fulfilled a statutory role (Finance Committee, Audit, Risk and Compliance Committee, Remuneration Committee, Tender Committee and Technology and Information Governance Committee), as well as the deputy chairperson of Council.

The following table shows the honoraria paid for each meeting attended.

Chairperson of Council	R6 929
Deputy chairperson of Council	R5 197
Council-appointed external expert in a structure, but not a Council member	R5 197
Chairperson of a Council committee that fulfills a statutory role	R5 197
Chairperson of a Council committee	R4 364
Council member	R3 467

10.7.5 King IV as the guiding framework for value creation through governance

After King IV came into effect on 1 April 2017, the NWU initiated an internal process to ensure compliance by aligning structures, policies and procedures with the necessary requirements. The connections between King IV and the corresponding internal structure or responsibility are shown below:

KING IV requirement	<Integrated Report> content element	Relevant governance structure
Leadership and ethics	Stakeholder engagement and relationships; governance	Council Social and Ethics Committee
Performance and reporting	Strategy and resource allocation; performance; outlook	Council Executive Committee Finance Committee Senate Council
Governance structure and delegation	Governance and remuneration	Council Council Executive Committee Remuneration Committee
Risks and opportunities	Stakeholder engagement and relationships; risk and opportunity	Audit, Risk and Compliance Committee (as primary committee for oversight purposes) Other committees of Council (for risks and opportunities relevant in the said area of oversight) Senate Council
Technology and information	Governance, risk and opportunity; strategy and resource allocation	TI Governance Committee Audit, Risk and Compliance Committee Executive Committee Council
Compliance	Governance	Audit, Risk and Compliance Committee Other committees of Council (for compliance matters relevant in the said area of oversight) Council
Remuneration	Stakeholder engagement and relationships; remuneration	Remuneration Committee Council
Assurance	Governance; basis of preparation and presentation	Audit, Risk and Compliance Committee Finance Committee Senate Council
Stakeholder relationships	Stakeholder engagement and relationships	Social and Ethics Committee People and Culture and Employment Equity Committee Transformation Oversight Committee Student Life Oversight Committee Institutional Forum Student Representative Council Convocation Board of Donors Council

Governance structures of the NWU



The mandate of the **Extended Executive Committee** is to discuss high-level issues, to monitor the relevance and responsiveness of the NWU Quality Manual, to monitor the effectiveness and efficiency of the implementation of Council action plans formulated in response to internal and external evaluations and to serve as monitoring and evaluation platform for implementation of Council resolutions.

The purpose of the **Tender Committee** is to advise the Council on matters related to governance and oversight as these pertain to the NWU's procurement processes and to ensure that these are fair, equitable, transparent, cost-effective and compliant to all relevant regulations and rules.

The **Student Housing Committee** provides strategic direction in regard to the NWU's pursuit of a clearly differentiated student-value proposition as contained in the NWU Strategy 2015 to 2025 on matters related to the provisioning of student housing. The Student Housing Committee also aims to provide strategic direction towards inculcating a sense of belonging and a diverse and integrated student life across campuses, particularly as this pertains to the provisioning of student housing in university-owned, university-leased and privately owned and university-accredited facilities. The committee also guides the development of policies, guidelines and rules in regard to matters included in the DHET Minimum Norms and standards regulations.

10.7.7 Value creation through Council committee work

As indicated earlier, the Council committees assist us with our performance as Council.

All these committees are formally constituted, have terms of reference and consist of a majority of Council members who are neither employees nor students of a public higher education institution. They are chaired by external independent members with the necessary expertise and skills.

10.7.8 Quality manual and external review followed by improvement plan

A Council quality manual was approved on 19 March 2020. The NWU Council Quality Manual is based on the norms prescribed by the DHET Governance Scorecard

The quality manual documents all aspects of achieving, sustaining, monitoring, and quality-enhancing all levels of activity of the NWU Council, and assists with the following matters:

- ascertaining the desired norm against which processes, and procedures of Council are benchmarked;
- putting forward the monitoring mechanisms to determine the effectiveness and efficiency of the activities of Council;
- identifying risks relevant to the functioning of Council; and
- applying the relevant measurements to ensure consistent achievement of good results in all areas of operation.

10.7.9 External review of Council 2020 and the implementation of the improvement plan

An external review of Council took place in 2020. In summary, the external evaluation panel focused on the following matters and made commendations and recommendations:

- strategic leadership, vision, mission, context and transformation;
- governance of the core functions of the university (teaching and learning, research and innovation and community engagement) and matters concerning student life;
- the governance of resources (financial, human, equipment and infrastructure) and business ethics;
- the governance of institutional accountability, including public reporting;
- Council and Council committee meetings, and how Council business is conducted; and
- management of internal risks, quality assurance, administration and record keeping.

The external review panel released its report in September 2020, after which we began drafting an improvement plan for Council and its committees.

An Extended Executive Committee of Council was established at the Council meeting held on 17 March 2021, with terms of reference focusing on the ongoing quality enhancement of the NWU Council and its committees. The aim is to ensure continuous oversight on matters related to the effectiveness and efficiency of the governance of the NWU.

The following is a summary of the key findings regarding improvement and what has already been implemented as at the end of 2021:

Induction, capacity-building and training opportunities have been identified as key ways to capacitate Council members and allow their active participation.

In this regard, the following have already been implemented:

- decentralised induction, where new members of Council committees and chairpersons of committees are inducted at the committee level;
- Arrangements to have some agenda items chaired by external members of the Technology and Information Governance Committee and the Social and Ethics Committee, giving these members optimal exposure; and
- the establishment of the Extended Exco, whose terms of reference include the optimised functioning of Council and its committees, to advise Council regularly on capacity-building and training needs.

Understanding the role and responsibility of Council Exco vis-à-vis that of Council

The following have already been implemented:

- revised terms of reference for Council Exco, which were approved by Council on 18 March 2021; and
- Suggested amendments to relevant paragraphs of the Statute dealing with the role of Exco, as submitted to the DHET in September 2021.

Improved oversight on matters related to community engagement

The following have already been implemented:

- Dedicated reporting on community engagement matters in the regular report by the vice-chancellor, as these matters are pertinent from a management perspective; and
- Regular reporting on community engagement matters to the Social and Ethics Committee, whose terms of reference include accountability for community engagement.

Improved communication from Council and from Council Exco

The following have already been implemented:

- A video recording by the Council chair is made after Council meetings and added to the Council Newsletter issued after council meetings; and
- Further enhancement of meetings and meeting documentation.

In regard to the improved functioning of Council Committees

The following have already been implemented:

- Council approved amendments to the NWU Statute, the reviewed version of which has been forwarded to the DHET for the consideration of the Minister.
- The terms of reference of the following committees have been amended, submitted to Council for approval and been approved:
 - Technology and Information Governance Committee
 - Social and Ethics Committee
 - Audit, Risk and Compliance Committee
 - Council Exco
 - Finance Committee
 - Student Life Oversight Committee
 - Tender Committee
 - Asset Committee
 - Investment Committee
 - Transformation Oversight Committee
 - Honorary Awards Committee
 - Student Housing Committee
- The terms of reference of the Audit, Risk and Compliance Committee already make provision for an external member of the Finance Committee to be nominated and the process of nominating and appointing such member to the committee is under way.
- A “guiding agenda” is made available to members and includes the executive summaries of each of the reports.

Enhancing black female representivity on Council and in Council Committees

The following have already been implemented:

The call for nominations in respect of vacancies, which includes the current and approved diversity profile and points out the need to account for the agreed-upon profile during the nomination process.

Refer to Annexure 2 on page 125 for meeting dates and attendance, and Annexure 3 on page 127 for the composition of the committees.

10.8 Council statement on sustainability as value add

COUNCIL STATEMENT ON SUSTAINABILITY AS VALUE ADD

At the NWU we define sustainability as the ability of the university to create value in the short-, medium- and long-term by promoting a stakeholder-inclusive approach to developing a strategic response to the risks and opportunities faced. We consider material matters, whether financial or non-financial in nature.

Refer to page 1 for our materiality determination process.

Statement approval obtained from NWU Council on 23 June 2022.

Material matters of a social and environmental nature are as important as financial and economic issues in determining the overall value created by the NWU.

The five-year strategic plan and the business plan for implementing the strategy are integral to the value-creation process and to ensuring our sustainability. The six long-term goals and the four enablers of the NWU Strategy 2015 to 2025 (as referred to on page 52 onwards) underpin the commitment of the university in this regard.

Statement approval obtained from NWU Council on 23 June 2022.

10.9 Ethics in action at NWU

10.9.1 Council statement on ethics and values

COUNCIL STATEMENT ON ETHICS AND VALUES

"The NWU Code of Ethics commits the university to the highest standards of integrity, behaviour and ethics in dealing with all its stakeholders and society at large.

We expect Council members and staff to observe the NWU's ethical obligations in order to conduct its business through the use of fair and commercially competitive practices.

The values statement in the NWU Strategy 2015 to 2025 determines that the NWU will foster engaged and caring staff and students and will embed the following foundational values that are based on the constitutional values of human dignity, equality and freedom:

- Ethics in all endeavours
- Academic integrity
- Academic freedom and freedom of scientific research
- Responsibility, accountability, fairness and transparency
- Embracing diversity."

Statement approval obtained from NWU Council on 23 June 2022.

10.9.2 Ethical leadership and corporate citizenship

In line with our values statement, the university's leadership at all levels of governance and management is based on integrity.

While we remain fairly confident that all governance and management structures at the NWU continue to strive for sustainable economic, social and environmental performance, we are also aware that negative consequences might arise from decisions taken at the university.

This necessitates that we create an environment conducive to countering any possible negative outputs on financial, societal and environmental practices. The necessary policies and rules have been approved and implemented to assist us in managing such challenges.

The Social and Ethics Committee of Council fulfils an important role in advising Council on all matters relevant to ethical leadership and corporate citizenship. The committee emphasises matters that relate to the interdependencies between the university and the society in which it functions. This approach positions the NWU to fulfil its responsibility in terms of the environmental impact of its behaviour and supports value creation to its stakeholder communities.

The outcome of the ethics opportunity and risk and Assessment conducted in 2020 indicated the following salient matters:

- With regard to ethics culture maturity, the NWU has demonstrated an underdeveloped ethical culture. We need to do substantial work to develop our ethics culture maturity and ensure that a fully aligned ethical culture is embedded across the institution, our employees and all our stakeholders. In short, the recommendation is that the NWU would need to prioritise ethics. Being classified mostly in the “underdeveloped” domain means that employees may not always perceive ethics to be a primary value that underpins the organisational culture; therefore, the university might be at risk of ethical inadequacies, may have a contingent of demotivated or disillusioned employees and may be at risk of alienating its stakeholders over the long term if the ethical culture is not improved.
- In terms of ethics behaviour risks (and as benchmarked nationally), the NWU scores indicate moderate levels of risk behaviour.

High-risk areas indicated were (i) the “bypassing of rules” and (ii) perceived “unfair people practices”.

Moderate-risk areas indicated were the (i) apparent “abuse of university resources” and (ii) “employee relations”.
- At the level of ethics risk management, participants in the survey indicated a lack of knowledge about the following issues:
 - mechanisms for reporting unethical behaviour
 - training of employees on ethics
 - advice on ethics
 - communication on ethics.

From May to September 2021, feedback was provided to stakeholder groups on the outcome of the ethics opportunity and risk assessment, facilitated by the Ethics Institute. A brochure on ethics management was published and the Ethics Institute hosted a series of workshops on the development of an NWU Statement of Strategic Ethical Intent, as well as an Ethics Strategy and an Ethics Management Plan.

On 17 November 2021, the NWU Council approved the NWU Statement of Strategic Ethical Intent, the Ethics Strategy and noted the Ethics Management Plan.

10.9.3 Behavioural manual for staff

Consistent standards of behaviour are a prerequisite for harmonious workplace relations, fair labour practices, mutual respect, fairness and effective operations. For this purpose, the NWU has a behavioural manual that is governed by the Behavioural Policy.

Disciplinary action was taken against 32 employees across the NWU in 2021. Of these cases, 23 were of such a serious nature that university hearings were held where dismissals could be the appropriate sanction.

Seven employees had their services summarily terminated while a mutual separation agreement was reached with one employee, who resigned. In the rest of the cases, written warnings were imposed.

Eight CCMA cases were dealt with successfully.

10.9.3.1 Ombud office for language

The approach of the Language Directorate is to resolve language matters directly or as close as possible to the point where these originate and not to allow these to escalate.

Reporting can be done to the Ombudsman in the Language Directorate via any of the NWU reporting channels or directly via email to the Ombud. Reported matters are investigated, resolved and reported on.

10.9.3.2 Dealing with sexual harassment

The NWU is committed to creating a safe working environment free from the fear of sexual harassment.

Cases dealt with during 2021:

One sexual harassment case was reported for the period under review. The individual responsible for the harassment was dismissed.

10.9.3.3 Matters reported by employees or the public

In line with the Policy on the Reporting of Maladministration and Irregularities and the Protection of Disclosure, reports are received via reporting boxes placed on the campuses. As of 2021, an email address (REPORT-FRAUD@nwu.ac.za) has also been created where members of the public and/or employees can report matters.

No reports were received via the reporting boxes for 2021. This compares to five cases opened in 2020 after reports of alleged irregularities. The other investigations were received via internal requests and/or referral.

10.9.3.4 Ongoing investigations

Internal Audit plays an important role in the ongoing investigation of suspected irregularities.

Cases dealt with during 2021:

Of the investigations reported in 2020, a total of 21 investigations were completed while 10 are still currently being investigated. In 2021 a total of five investigations were completed while nine were in progress.

10.9.3.5 Fighting fraud

After verifying the facts of the reported irregularities, Internal Audit handed several investigations over to prosecuting authorities. Various fraud awareness sessions were then held on the campuses.

Cases dealt with

There has been no significant improvement in the working relationship with and assistance of the authorities with regard to reporting of cases.

We have handed over cases mainly in regard to forgery and uttering. It is difficult to allocate a value to these in relation to the approximately R51 000 handed over in 2020 as the NWU did not suffer any financial losses in this regard. We are continually striving to strengthen our relationship with the authorities.

In line with the university's Anti-Fraud Strategy, anti-fraud awareness sessions were held in 2021. These were conducted online given the Covid-19 regulations that were in place. One of the sessions took place during August 2021, while the other, presented by the Association of Certified Fraud Examiners (ACFE), took place in November 2021 in support of Fraud Awareness Week.

The NWU's Anti-Fraud Strategy calls for a specific focus on Internal Audit's proactive and continuous audit monitoring of transactions related to procurement and payroll. Various tests are continually run and are reported to operational managers regularly.

10.9.3.6 Compliance with laws, codes and standards

The Compliance Committee, which is a subcommittee of the UMC, coordinates and reports on all compliance activities. The UMC then submits reports to the Audit, Risk and Compliance Committee who, in turn, reports all compliance issues to Council.

During a compliance assessment in 2021, compliance with the following pieces of legislation was self-assessed:

Competition Act, Pharmacy Act, Safety at Sports and Recreational Events Act, Rental Housing Act and the Disaster Management Act.

A monitoring process was also embarked on to ensure that the self-assessment did not become a box-ticking exercise, but rather that controls and evidence are in place for all requirements indicated as compliant. Monitoring was done on the following legislation:

Basic Conditions of Employment Act, Broad-Based Black Economic Empowerment Act, Employment Equity Act, Labour Relations Act, Occupational Health and Safety Act, Promotion of Access to Information Act, Prevention and Combating of Corrupt Activities Act, Prevention of Organised Crime Act, Skills Development Levies Act, Value-Added Tax Act, Trade Marks Act.

The risk and compliance coordinator, a staff member who is part of the Corporate and Information Governance Services Department, monitors compliance on an ongoing basis. EXCLAIM compliance software is used for compliance assessment and monitoring.

A Risk and Compliance Policy was finalised and approved by Council on 19 March 2020 and subsequently followed by Risk and Compliance Management Rules by the UMC in April 2021.

10.9.3.7 Promotion of Access to Information Act requests

The NWU subscribes fully to the Promotion of Access to Information Act (PAIA), 2 of 2000.

In 2021, the information manual was updated and copies were sent to the South African Human Rights Commission (SAHRC).

As per PAIA, the manual is available in three languages (English, Afrikaans and Setswana) and published on an NWU web page. The manual provides information about the promotion of access to information and the protection of personal information.

The compulsory section 32 report was also delivered to the SAHRC. This was also the last time the reporting was submitted to the SAHRC; from 2022 the report will go to the Information Regulator.

The section 32 report covered the period from April 2020 to March 2021, during which 14 requests were received and six granted in full. Six requests were refused in full and two partially refused. Three requests were refused on the basis of the mandatory protection of the personal information concerned (section 34); one was refused based on the mandatory protection of commercial information of a third party (section 36(1)(b)); two were refused based as the records requested could not be found or do not exist (section 23), and two requests were refused based on the requester not using the correct platform or the request being unclear.

10.9.3.8 Providing integrated assurance

A Combined Assurance Forum (CAF) has existed at the university since 2012 and has aligned its functioning with King IV. The intention of the committee is to manage and limit the risk exposure of the university, and to provide assurance.

Cases dealt with

The mandate of the NWU CAF is to provide an adequate and effective control environment and to ensure the integrity of reports for better decision-making, while also establishing an assurance model.

A risk assurance map was tabled during 2020 and, although still in a draft format in 2021, was developing into a mature document. The way in which risk appetite was calculated had been re-established: the risk appetite would be determined by the annual performance aims and would be done at an individual risk level during 2022.

The forum also assisted the Audit, Risk and Compliance Committee to fulfil its responsibility in giving assurance to Council.

Specifically, it provided assurance that the university's risk management, risk control and governance processes are fairly adequately addressed. CAF also provided a platform for discussions on optimising risk management at the NWU and addressing management concerns about the processes for managing risks.

The CAF met on 5 May 2021 and 25 August 2021.

10.9.3.9 Human rights matters

The Human Rights Committee met five times in 2021 (16 February, 7 April, 5 August, 30 August and 30 September) and considered six complaints. Of these complaints, five were found to be administrative in nature and were subsequently referred to the departments involved.

The Human Rights Committee was unable to resolve the remaining complaint as it was retracted by the complainant; the statements made by the witnesses were also retracted. The Human Rights Committee expressed its disapproval of any conduct that could be perceived as hate speech and supported disciplinary action in such cases due to the serious nature thereof. The committee also indicated its support for residence programmes aimed at raising awareness among students as a preventative measure.

In addition, the Human Rights Committee considered a request by the North West Province Human Rights Commission in relation to vaccination. The Committee was of the opinion that no constitutional rights had been infringed upon and supported the stance of the NWU relating to the vaccination of staff and students.

10.10 Council statements

10.10.1 Council statement on going concern

COUNCIL STATEMENT ON GOING CONCERN

We can confirm that the NWU is considered a going concern now, and in the foreseeable future.

Statement approval obtained from the NWU Council on 23 June 2022.

10.10.2 Council statement on financial controls outside financial statements

COUNCIL STATEMENT ON FINANCIAL CONTROLS OUTSIDE FINANCIAL STATEMENTS

Internal controls and administrative systems, which have been designed to provide reasonable assurance regarding the integrity of the financial statements and that assets have been protected and transactions carried out in terms of the university's policies and procedures, are in place and are properly maintained on a cost-effective basis.

Statement approval obtained from the NWU Council on 23 June 2022.

10.10.3 Council statement on tenders

COUNCIL STATEMENT ON TENDERS

The NWU requests tenders from the market for all purchases of goods and services with a total contract value exceeding R250 000.

Tenders are evaluated and approved strictly in line with tender policies and procedures and within approved authorisation mandates, including the Broad-Based Black Economic Empowerment Act No 53 of 2003, with a focus on fairness and transparency.

The tender document forms the basis of the envisaged supply agreement, and the standard template was therefore checked and approved by the Legal Services Department of the NWU.

The evaluation criteria as specified in the tender document is:

- For tenders with a total contract value of less than R1,5 million, 80% is awarded for price and 20% for the level of BBBEE.
- For tenders with a total contract value exceeding R1,5 million, 90% is awarded for price and 10% for the level of BBBEE.

Council has mandated the Tender Committee to evaluate and approve tenders with a total contract value of between R15 million and R50 million. For tenders with a total contract value exceeding R50 million, the Tender Committee will evaluate the tenders received and make a recommendation to Council for approval.

Statement approval obtained from the NWU Council on 23 June 2022.

10.10.4 Council statement on financial health and viability

COUNCIL STATEMENT ON FINANCIAL HEALTH AND VIABILITY

As a tertiary institution with the core business of teaching-learning, research and community engagement, the NWU again added material value to the economy and was able to achieve its financial goals. In this regard the following can be highlighted:

- NWU still provides affordable higher education.
- 14 484 students received degrees and diplomas during 2021.
- The university, from its own resources, contributed R238,8 million or 8,9% of the total funds allocated for financial aid.
- R67,6 million (28%) of the funds allocated to financial aid were used to award students for academic performances.
- The university continued to supply laptops to students with limited resources. Over the course of the project, 4 726 students were offered the option of receiving a laptop. Some 3 200 laptops were distributed and at the end of 2021, students were given the choice to either purchase or return the laptops.
- Data was supplied to students who did not have internet access off campus, up to the end of December 2021.
- A total of R481 million was spent for capital works, macro maintenance and minor works across the university in 2021.
- The total amount spent in 2021 from DHET grant funding from various funding cycles amounted to R357 251 001. This excludes R107 030 516 from NWU capital funding and R17 175 137 in maintenance expenditure.
- Through a joint initiative by the NWU, the Development Bank of Southern Africa and the DHET, we are building additional residences on the Mahikeng Campus to accommodate 1 728 more students. Construction started in August 2020 and progressed according to plan, delivering two residences with 593 beds ready for the 2022 intake.
- The total expenditure for deferred maintenance projects amounted to R16 522 560 in 2021 and was mainly for completing projects that were initiated in 2020, such as the Faranani Residence.
- Smaller projects with a combined value of R652 577 were completed as part of the minor building works on the Vanderbijlpark Campus.
- The maintaining of a sound solvency position and optimal liquidity levels during the 2021 financial year to ensure that the NWU remains a going concern.
- Council and Management are jointly committed to managing the NWU in such a way that the sound financial position will be sustained in 2022, as well as in the medium and long term. It needs to be pointed out that our two largest sources of income, namely state subsidy and tuition fee-related income totaling 77,1% of turnover (2020: 77,3% and 2019: 73,6%) - keep emphasising our dependence on these income stream one funds.
- R1 422,6 million net surplus for 2021 is reflected in the consolidated statement of comprehensive income.

Statement approval obtained from the NWU Council on 23 June 2022.

10.10.5 Statement on penalties, sanctions and fines

COUNCIL STATEMENT ON SANCTIONS AND FINES

The NWU has no material regulatory penalties, sanctions or fines for contraventions or non-compliance with statutory obligations to disclose.

Statement approval obtained from the NWU Council on 23 June 2022.

10.10.6 Council statement on contract management, Service Level Agreements and monitoring of suppliers' performance

COUNCIL STATEMENT ON CONTRACT MANAGEMENT, SERVICE-LEVEL AGREEMENTS AND MONITORING OF SUPPLIERS' PERFORMANCE

The NWU has a centralised procurement management structure that provides control and coordination without inhibiting evaluation, recommendation and authorisation powers in respect of procurement needs on a decentralised divisional level.

This authority is regulated by the Policy on Delegations and the Schedule of Financial and Contractual Authorisation Levels as approved by Council.

We continually strive to obtain the best value for money on each procurement transaction while not compromising the requirements of fair and transparent trade ethics.

We also strive to adhere to the standards as required by the Public Procurement Act, and our tender processes are strictly controlled and monitored by the internal and external audit functions.

We place a high value on obtaining the university's requirements from BBBEE-qualified suppliers with a qualified BBBEE contribution exceeding 70%. The Preferential Procurement Strategy was approved during 2020 which enables a much more focused approach to preferential procurement.

Contract management and service level agreements are decentralised to a divisional level, while problems with contracts and service delivery are escalated to the centralised procurement department for action.

Statement approval obtained from the NWU Council on 23 June 2022.



MR BERT SORGDRAGER
CHAIRPERSON OF COUNCIL

10.11 Report of the Institutional Forum

The Institutional Forum (IF) is an advisory body that assists the NWU Council to maintain good governance and safeguard stakeholder value creation.

We advise Council on the implementation of the Higher Education Act and national higher education policy, and assist it in developing an institutional culture of tolerance and respect for human rights. In addition, we help promote an environment where effective teaching-learning and research can flourish.

Specific matters on which we usually advise Council are senior management appointments, policies on race and gender equity, codes of conduct, management of cultural diversity and policy on mediation and dispute resolution procedures.

During 2021 the following matters received our attention:

National legislation and policy

The IF took note of the revised Statute of the NWU as approved by the Minister of Higher Education and Training in April 2020. The revised Statute was published in Government Gazette 43288 on 8 May 2020.

The IF also noted the following:

- the briefing about the Higher Education Conference that was organised by Universities South Africa (USAf), taking place in October 2021. The main theme of the conference was “The Engaged University.” Dr S Chalufu was nominated to be part of the organising committee on behalf of the Transformation Strategy Group (TSG);
- the second USAf Higher Education Conference 2021, from 6 to 8 October 2021, was presented in collaboration with the Council on Higher Education (CHE);
- the UMC had recommended the Transformation Charter for approval by Council (November 2021);
- drafted standard operating procedures on gender-based violence to be implemented;
- the development of the Mental Health and Wellness project for students;
- the NWU's Covid-19 vaccine awareness programme; and
- the Transformation Managers' forum webinar October 2021.

Advice on senior appointments

At the first meeting of the IF in 2021, the IF resolved that it should meet and discuss senior management appointments and make a recommendation. The IF also elected the following three representatives to selection panels: Dr L Lefenya, Prof WCJ Grobler and Ms E Kilian.

The IF (as a whole or represented by some of our individual members) advised on the appointment of five university management members: Prof Jeffrey Mphahlele (Deputy Vice-Chancellor Research and Innovation), Prof Sonia Swanepoel (Deputy Vice-Chancellor Assigned functions and Mahikeng Campus Operations), Prof Robert Balfour (Deputy Vice-Chancellor Teaching and Learning), Mr Clement Manoko (Executive Director Corporate Relations and Marketing) and Dr Mala Singh (Executive Director People and Culture).

We also advised the selection panels constituted to consider the appointment of executive deans and deputy executive deans of three NWU faculties.

Institutional culture and transformation

The IF discussed a report on the management of cultural diversity across the university. As part of the joint venture project in developing the organisational culture of NWU staff members and students, the Organisational Citizenship Behaviour Project (OCBP) aimed to complement and support the establishment of the “To Be” culture of the institution (Phase 2 of the NWU Culture Project). Due to the limitations and restrictions brought about by the Covid-19 international pandemic, this project functioned as a stock-taking exercise on how both staff and students understand the values of the university, and, more importantly, how they experience the values in their everyday lives.

In 2021, during Phase 3 of the project, staff and students were invited to share short personal messages of how they live and experience the NWU values; with their permission, these stories will be shared through various NWU communication channels. The expectation was for employees and students to understand which behaviours are encouraged and for each employee to commit to do something different to make NWU a better place for all.

The IF also received the feedback on the NWU ethics opportunity and risk assessment. The IF noted some of the observations made from the ethics assessment, such as the need to ensure employees know how to report ethical issues, that employees are appointed on merit and that management is responsible for addressing poor performance in the organisation. Further, transparency in all processes had been regarded as important. The IF also noted that the university had a “slightly less supportive culture” for ethics as compared to most organisations sampled in South Africa, and needs to do substantial work to develop its ethics culture maturity.

Another observation was that the university needed to ensure an aligned ethical culture across the institution, its employees and all its stakeholders. Furthermore, developing the ethics culture maturity would reduce the NWU's overall ethics risk and improve staff morale and staff conduct and ensure long-term sustainability for the university. The observation on the extent to which employees broke rules, disregarded policies, engaged in illegal activities and bypassed organisational procedures was mentioned as a high risk to the university.

The IF noted that the outcome of the survey would inform the NWU Ethics Strategy and Ethics Management Plan.

The Deputy Vice-Chancellor Teaching and Learning provided feedback to the forum about Gender Awareness Week (GAW) in August 2021 and Language Awareness Week (LAW) in September 2021.

These events provided distinctive cross-curricular opportunities for students to come together with staff to listen to a series of presentations, participate in panel discussions and contribute to creative production opportunities offered by a cross-section of academics and experts within and beyond the NWU. In GAW 2021, the Faculty of Engineering reached out to the Faculty of Natural and Agricultural Sciences, Faculty of Health Sciences and Faculty of Humanities to create a multi-faceted programme, whilst the LAW 2021 event was coordinated by the Faculty of Education, Faculty of Humanities and the Language Directorate.

One of the activities was the translation of audio into different languages. The main aim was to focus on diversity in languages, and for students and staff to see how the NWU could have meaningful conversations around language. The main aim was to listen and witness the ease with which staff members communicated while speaking eight different languages, both local and international.

Following the UMC's decision in 2020 of a to review the Transformation Charter of the university, which the Council had approved in 2012, a broad-based consultation process with staff and students has been unfolding. Members of the IF were requested to provide inputs to the revised Transformation Charter.

Reviewing policies on transformation

The IF received and gave input into the Policy on Students with Disabilities and the NWU Gender Based Violence Policy.

Human rights matters

The IF received reports from the Human Rights Committee for noting.

Transformation and equity

The forum received regular reports from the Executive Director: Student Life on transformation initiatives within the NWU and the higher education sector at large.

People and Culture, in collaboration with Student Life, acquired funds for internships, which would be offered to graduates with disabilities. With a view to accelerating the recruitment of employees with disabilities, the university sourced a database of students with disabilities and has recruited eight graduates.

Through engagements with the Employment Equity Managers Forum (EEMF), the NWU tabled a proposed model for higher education sector employment equity targets.

In October 2021, the IF noted the university's second quarter Employment Equity Progress report. The forum also noted that the NWU, as a designated employer, must submit its report annually at a DoEL office on the first working day of October for immediate capturing or by 15 January of the following year for online reporting. The annual report was submitted on the EEA2 form to enable NWU to comply with Section 21 of the Employment Equity Act, 55 of 1998, as amended. The other form for the reporting was the EEA4 which was an Income Differential Statement. This form enables NWU to comply with Section 27 (1) of the Act, which requires the NWU to consult on matters regarding employment equity, to achieve employment equity targets and to implement affirmative action measures for people from designated groups, through the implementation and monitoring of the NWU Employment Equity Plan.

Composition of the IF

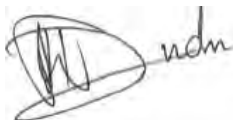
In accordance with the NWU Statute (par 24(2)), an Executive Committee was elected at our first meeting, consisting of Dr S Chalufu as the chairperson of the IF, Dr Kesolofetse Lefenya as the deputy chairperson and Mr L Malan as the secretary.

The IF may have up to 25 members representing a broad range of stakeholder constituencies. The following table lists these constituencies, together with their representatives as at December 2021.

Constituency	Members: December 2021
Council	Father PD Dinkebogile
University Management Committee	Mr Clement Manoko
Senate	Prof WJ Grobler
	Prof W Dudu
	Dr H Marais
Academic staff	Vacant
	Ms E Kilian
	Dr KO Lefenya
Recognised union	Vacant
	Vacant
	Vacant
	Vacant
Support staff	Mr N Tom
	Mr L Malan
	Mr P Mahoko
Campus Student Representative Councils – CSRCs	Ms H Potgieter
	Mr T Tlale
	Mr P Ndlovu
	Vacant
	Mr T van Wyk
	Vacant
NWU Convocation	Adv M Kruger
	Mr N Mongale
Special expertise	Dr S Chalufu
	Dr A Geduld

Meeting dates in 2021

The IF convened on 20 April, 10 May, 26 May, 12 August and 27 October 2021.



PROF WASHINGTON DUDU
CHAIRPERSON OF THE INSTITUTIONAL FORUM

11 Incentivising for achievement

As part of our strategy to encourage high performance and harness the productive energies of our staff, we offer performance incentives that are attractive and sustainable and are applied fairly and consistently.

We use integrated performance management to recognise superior organisational, team and individual performance.

11.1 Remuneration mix aligned to strategy

Market-related remuneration is essential for recruiting and retaining the best staff. By aligning our remuneration strategy to the overall NWU strategy, business drivers and values, we ensure a good skills and culture fit.

Our remuneration mix has variable and fixed elements and includes monetary and non-monetary rewards. Variable pay includes performance bonuses and various value-adding allowances and is paid according to the results of individual remuneration reviews.

Annually, we do benchmarking to ensure continued competitiveness of guaranteed pay. Employees contribute 7,5% to the pension fund and can choose an employer contribution of 12%, 15%, 17,5% or 20%.

11.2 Remuneration governance and management

Through its Remuneration Committee, the NWU Council fulfils its oversight function for remuneration. This committee understands how the income differentials between the higher and lower salary bands affect fair and responsible remuneration and contribute to the positioning of the NWU as a value-adding institution for employees and other stakeholders.

It is important to close the income differentials and to address the enhancement of salaries of academic staff. The salary increases agreed on through the collective bargaining process for 2021 supported this by building on the differentiated increase that was introduced in 2019 to cater for academic staff and staff at the lower income bands.

11.3 Executive contracts

Council oversees and approves the appointment of senior officer bearers, in line with our Statute and the Council's Rules on these appointments. The Council process applies to the appointment of the vice-chancellor, deputy vice-chancellors, the registrar, executive directors and deputy vice-chancellors for assignable functions and campus operations.

11.4 Current year incentives: University Management Committee

Name	Basic Salary	Employee Benefits	Other allowance payments	Total cost to NWU 2021
R'000				
Prof RJ Balfour	2 153 185.80	205 660.75	317 872.99	2 676 719.54
Prof DM Balia	1 983 671.90	349 365.32	239 734.63	2 572 771.85
Dr JS Chalufu	1 770 654.91	149 144.28	149 505.04	2 069 304.23
Ms E de Beer	2 398 472.74	221 028.13	735 026.92	3 354 527.79
Prof LA du Plessis	2 176 499.41	233 269.78	233 269.78	3 264 567.68
Prof ND Kgwadi	3 841 364.90	310 506.76	1 562 023.73	5 713 895.39
Mr C Manoko	1 880 858.59	183 961.40	223 857.03	2 288 677.02
Prof MJ Mphahlele*	1 091 401.81	95 604.94	59 585.54	1 246 592.29
Prof BMP Setlalentoa	876 499.37	65 966.41	1 158 287.03	2 100 752.81
Dr M Singh	2 030 149.07	170 077.68	265 434.08	2 465 660.83
Prof S Swanepoel	839 413.67	164 578.90	643 311.38	1 647 303.95
Prof MM Verhoef	2 405 883.91	231 304.09	700 372.49	3 337 560.49
Prof FB Waanders	875 000.00	-	143 787.98	1 018 787.98
Grand Total	24 323 056.08	2 380 468.44	7 053 597.33	33 757 121.85

- Prof FB Waanders acting until July 2021
- Prof MJ Mphahlele appointed from July 2021
- Prof BMP Setlalentoa until May 2021 (Leave pay-out in October 2021)
- Prof S Swanepoel acting as DVC May 2021 until December 2021

11.5 External members' fees

The remuneration of members of Council and Council committees, comprises an honorarium paid as a token of our gratitude for their time and effort. The honorarium, paid in August and December, is linked to our annual cost of living adjustment (COLA) process and approved by Council's Executive Committee. (The honoraria members received for each meeting attended, are stated on page 102.)

Honoraria payments (gross remuneration to Council members) in 2021:

Council member	R'000
Ms UA Davey Baravalle	31 203
Ms S Britz	20 802
Prof AL Combrink	65 873
Mr JDS de Bruyn	51 165
Rev PD Dinkebogile	71 134
Mr XV Hadebe	8 728
Ms RA Kenosi	32 100
Mr TC Kgomo	67 788
Adv Mr Kruger	13 868
Dr D Laufs	6 934
Mr CS Mabe	68 621
Mr SM Mohapi	29 516
Mr TV Mokgatlha	54 689
Mr OE Mongale	97 133
Mr CP Mulder	38 137
Adv PG Seleka	10 401
Mr LE Sellane	19 955
Ms T Semane	45 071
Mr AM Sorgdrager	272 599
MS E Stander	19 122
Mr MSJ Thabethe	79 079
Mr PM Tlhabanyane	27 736
Mr MB Tyobeka	319 430
Mr WA Van Rooy	24 269
Ms M Van Zyl	19 122
Grand total	1 494 475

11.6 Organisational culture

For the past three years, the NWU has been focusing on building an inclusive, enabling and welcoming environment and organisational culture. One of the first milestones in this journey, known as *The NWU Way*, was reached in February 2020, when the NWU Culture Baseline Report was finalised, with input from staff and students. Another key milestone came in July 2020, when the Organisational Citizenship Behaviour Project (OCBP) was launched.

The project functioned as a stock-taking exercise to gauge how staff and students understand the values of the university and, more importantly, how they experience the values in their everyday lives.

The OCBP platform was used to inform employees which behaviours are encouraged and to appeal to each employee to commit to do something different to make the NWU a better place for all. Employees were encouraged to show up with a spirit of hope and optimism to inject energy into the way we approach our values.

Celebrating values-driven behaviour is a crucial part of building a unifying organisational culture and, with this in mind, we launched the NWU Culture Celebration project. Its aims are to celebrate the culture journey completed so far, to identify examples of exemplary values-driven behaviour and to measure stakeholders' current perceptions of values-based behaviours.

In a key success for the Culture Celebration project, the NWU values were revised and approved. The revised values are:

- Caring and inclusive
- Embracing diversity
- Transparency
- Excellence in all endeavours
- Ethics in all endeavours
- Responsibility and accountability
- Academic freedom and freedom of research.

Further goals of the Culture Celebration project are to build a common understanding and acceptance of the revised NWU values, reinforce and celebrate values-driven behaviours; and cultivate a shared interpretation of an ethic of care.

The values will be launched in 2022 during an event for the university's senior and top management leaders, who are expected to lead by example.

In distinguishing the NWU from other institutions competing for talent, our comprehensive talent management strategy is critical.

Components of this strategy are an employee value proposition that increases engagement and belonging, competitive compensation and a programme for the recruitment and retention of scarce and critical skills.

12 Future outlook for the NWU

We have invited all students to return to our campuses. This will be managed in accordance with the relevant government regulations and lockdown levels as the pandemic ensues.

The teaching-learning presentation at the NWU as a contact university will take place in any of the three following modalities:

- face-to-face teaching-learning for small groups (in anticipation of the continued threat of Covid-19 and the need for physical distancing);
- an on-line modality for small groups to allow for optimal participation; and
- lectures being broadcast to large groups, with lecturers who are available online during the broadcasts, facilitating contact where needed.

Senate is confident that this approach will allow for an optimised approach to Covid-19 while ensuring that in-person contact for students and staff is possible, and at the same time, that staff use technology to improve student access through online offerings.

This combination would ensure that the university provides sufficient opportunities for students to perform as well as possible, while remaining true to our identity as a contact and distance education institution.

12.1 An unstable environment

Short-term expectations

We have learned important lessons during Covid-19 and have now reached a point of maturity in our ability to respond to the uncertainties of the pandemic. Regarding the university's finances, we are guided by a financial risk mitigation plan that was approved in 2021.

Medium-term expectations

Our focus will be on smaller group teaching and learning in a student-centred approach. This enables teacher-facilitation and learning-support intervention, and learning that is self-directed, self-paced and collaborative and cooperative in nature.

Student-centred teaching demonstrates curriculum design that enables facilitation and demonstration more than instruction and transmission, and that can be monitored to identify learning challenges and interventions to support and enhance performance.

We are seeing a growing move towards ensuring synergy between pedagogic mode, assessment approach and outcomes as the fundamental premise for effective curriculum design, where critical thinking and comprehension are valued above mere memorisation.

Another trend likely to affect teaching and learning at the university is the increasing emphasis in higher education globally on modalities of engagement, as opposed to presence.

Presence entails evidence of being present (signed-on or visibly present, in-person) and may be a requirement for engagement to occur but is not evidence of engagement. This could influence university business in ways which are still opaque.

Long-term expectations

We expect that teaching and learning in the future will be self-paced, self-directed and cooperative, incorporating service learning, work-integrated learning and community engagement.

12.2 Using opportunities and addressing challenges and uncertainties

The Covid-19 pandemic represented an educational watershed that has compelled higher education systems to sift the proverbial "wheat from the chaff" in terms of what did and did not work well before, and what has been proven to work better in terms of presence and engagement.

Importantly, these insights are founded in decades of education scholarship but have been foregrounded as a result of the pandemic. Synchronous online (in person in real-time), asynchronous online and offline (for example, activities like reading and self-study), hybrid (the combination of in-person and real-time learning online) and HyFlex are concepts that have come to prominence to further nuance an already long-established scholarship concerning blended or multimodal education. (HyFlex combines the terms "hybrid" and "flexible", and refers to learning that integrates complementary face-to-face [synchronous] and online learning [asynchronous] experiences. HyFlex allows student to participate in classes online or in-person.)

Learning analytics can provide information on areas that students have difficulties understanding and assist them to become more self-directed. Areas with which students have difficulty can then be the focus of small-group teaching.

Considering the substantial challenges experienced in the 2020 and 2021 academic years, which impacted on the university's ability to engage with existing and prospective students, a series of proactive strategies and support programmes have been set in motion to ensure the student experience in 2022 remains valuable and meaningful.

We have made university-wide intervention plans to support the NWU's 2022 enrolment targets and are introducing cross-disciplinary stakeholder portfolios. (These portfolios will ensure activities and events address the holistic student experience and also take cognisance of the fact that students still attend a lot of classes online and need to be supported in different ways.)

12.3 Our most important targets and plans for the future

In the short- to medium-term

These are our most important objectives in the short- to medium-term:

- advance student academic access and improve student academic retention and success through excellent student academic development and support initiatives;
- engage in a systematic process of curriculum transformation and renewal to equip graduates to address the challenges of 21st century society;
- establish, develop and maintain an enabling teaching and learning environment aligned with the Centre for Teaching and Learning's operational plan and faculty integrated teaching and learning plans;
- sustain and provide professional services to the community while supporting and seeking opportunities to create third-stream income for the university;
- ensure an NWU PQM that is responsive, viable and continuously relevant;
- Ensure that the NWU enhances the employability of graduates by way of well-managed and appropriate work-integrated learning and service-learning opportunities; and
- create and maintain a conducive, sustainable, and supportive environment to advance research excellence, build a pipeline of commercialisable technologies and increase the rate of commercialisation, and strengthen research and innovation with a strategic focus on internationalisation.

In the long-term

In the long-term, we would like to accomplish the following:

- improve research productivity through research excellence and global leadership,
- create and maintain a conducive, sustainable and supportive environment to advance research excellence, build a pipeline of commercialisable technologies and increase the rate of commercialisation, and strengthen research and innovation with a strategic focus on internationalisation.

12.4 In summary

During the Covid-19 pandemic, it was not possible to maintain our lively student life. The limitations we experienced during that time also made us aware of the inequalities in the availability of resources to which our students had access to. This led to a renewed focus on the university's student value proposition we offer to our students.

In order to address the limitations that prevailed during 2020-2021, we devoted a substantial amount of time and energy to developing the governance environment within the Student Life portfolio. We created, aligned and improved a number of policies, frameworks and rules that enable the university to offer a student experience that is equitable across campuses and comparable to that of other leading universities.

As far as the development and effect of the Covid-19 pandemic is concerned, we are confident that we will be able to move to a more normalised situation in 2022.

We are optimistic that the national vaccination programme and the continued observance of measures to contain the spread of the virus and will allow us to implement an optimally normalised situation as soon as possible.

However, we remain mindful of what might still play out with regard to the pandemic in future, and will ensure our contingency plans are ready to implement, should the pandemic flare up and preventative regulations be enforced again.

13 Annexures

13.1 Annexure 1: 2021 Performance Assessment Report

Performance vs Targets

The following performance indicators link to the relevant goals in the APP.

Goal 1: Promote excellent learning and teaching and reposition the NWU to attain the size and shape required by the market direction decisions

	Relevant performance indicator	Actual 2020	Target 2021	Actual 2021
1	Contact student success rate	90%	87% ¹	87%
Online learning and continuous assessment that was implemented during COVID-19 meant students had a higher level of engagement ensuring higher participation and success. This was continued throughout 2021 and students reacted positively to the flexibility in the academic presentation as can be seen in their success rates.				
2	Contact undergraduate, graduation duration factor	1.12	1.20 ²	1.09
The attainment of this target can be attributed to enhanced strategies for student support, early identification of at-risk students and improved NSFAS funding with provision for books and accommodation.				
3	International student enrolment	3.18%	4.84% ³	2.95%
Our largest number of foreign students are enrolled for distance programmes. The drop in distance enrolments as a result of the phasing out of diplomas and certificates, had a detrimental impact on the percentage of foreign students.				
4	Headcount Enrolments	56 425	61 054	53 469
Our enrolment targets are set for a three-year cycle consequently we experienced a drop in our distance numbers due to the Advanced Certificate in Education, the NPDE and the B. Ed. Honours are phasing out faster than anticipated and the approval of our new distance offering are taking longer than expected.				
5	First-Time Entering Enrolments	13 048	12 263	9 708
In 2021 the NWU had a significant under-enrolment in First Time Entrants. This is due to a decline in funding available to students as a result of COVID-19. A root cause analysis of all the factors that could have contributed to the under enrolment.				
6	Graduates	15 454	15 044	14 484
We have not reached our graduates target due to a lower number of distance enrolments and graduates.				
7	Graduation Rate	27%	25%	27%

¹ A deviation of 2% is allowed on either side of target for achievement of the KPI

² A deviation of 0.05 is allowed on either side of target for achievement of the KPI

³ A deviation of 1% is allowed on either side of target for achievement of the KPI

We are within the range of our target in terms of the graduation rate. This is mainly due to a lower total enrolment count while maintaining a high contact graduate count. We have however seen a notable decrease in our distance graduation rate.

Goal 2: Intensify research and innovation

	Relevant performance indicator	Actual 2019	Target 2020	Actual 2020 ⁴
8	Publications per permanent academic staff member	0.98	0.97 ²	0.93
The restructuring process took additional commitment for academic, whilst affording us the opportunity to strategically reposition the academic environment to reach our strategy. Our focus has also moved from purely quantity to quality and high impact journals.				
9	Weighted research output	3058.0223	2828 ¹	2811.186
We delivered a record number of 251 Doctorates in 2020 resulting in a good weighted research output.				

Goal 4: Develop a clearly differentiated student value proposition

	Relevant performance indicator	Actual 2020	Target 2021	Actual 2021
10	Student: Academic Staff FTE ratio	29.17 : 1	26.3 : 1 ⁵	28.41 : 1
The academic staff component did not grow significantly over the past few years. The NWU's ratio is influenced by the fact that contact and distance students are included in the calculation of the ratio. At the start of the pandemic, several vacant positions were lifted.				
11	First time entrant dropout rate for contact degrees (as on 1 May 2022)	11.48%	Below 13%	8.96%
Online learning, continuous assessment the provision of paper-based material, laptops and data that was implemented during COVID-19 meant students had a higher level of engagement ensuring higher participation and lower drop-outs.				

⁴ 2020 final approved research publication units are reported as the approved 2019 publications are only received from the DHET later in 2022

⁵ A deviation of 3 is allowed on either side of target for achievement of the KPI

Goal 5: Develop and retain excellent staff and create an equitable staff and student profile

	Relevant performance indicator	Actual 2020		Target 2021		Actual 2021	
12	Student mix: NWU Contact & Distance; All Campuses	African (%)	64.4%	African	59%	African (%)	65%
		Coloured (%)	4.3%	Coloured	5%	Coloured (%)	4.4%
		Indian (%)	1.4%	Indian	2%	Indian (%)	1.4%
		White (%)	29.9%	White	34%	White (%)	29.2%
		Female (%)	64%	Female	63%	Female (%)	63%
		Male	36%	Male	37%	Male	37%
Due to the increase in NSFAS funding as well as better funding for private accommodation and the accreditation of private accommodation, our student profile deviates from the original submitted and approved enrolment plan.							
13	Staff mix	African (%)	38.3%	African	40.6%	African (%)	39.4%
		Coloured (%)	6.6%	Coloured	6.98%	Coloured (%)	7%
		Indian (%)	1.6%	Indian:	1.88%	Indian (%)	1.6%
		White (%)	53.4%	White:	49.42%	White (%)	52%
				Foreign National	1.12%		
Our recruitment strategy paid off and we made positive progress in attracting professional and academic staff from designated groups							
14	Permanent academic staff with PhDs	49.02%		53% ¹		55.76%	
Under Covid-19 staff had more flexibility to complete their higher qualifications as noted in the increase in staff with a PhD. We also implemented better tracking mechanisms on the DIY portal of the NWU so that staff members can ensure that the correct qualifications are loaded and captured on our Oracle system							

13.2 Annexure 2: List of Council committee meetings and attendance

Committee	List of meetings	% attendance 2016	% attendance 2017	% attendance 2018	% attendance 2019	% attendance 2020	% attendance 2021	Self-evaluation undertaken
Council	18 March 2021 17 June 2021 9 September 2021 18 November 2021	80%	80%	88%	84%	94%	94%	✓
Council Executive Committee (Exco)	4 February 2021 8 March 2021 6 May 2021 14 May 2021 7 June 2021 6 August 2021 30 August 2021 7 October 2021 8 November 2021 13 December 2021	91.8%	85%	92%	92%	97%	95%	✓
Finance Committee	1 February 2021 8 March 2021 29 May 2021 28 October 2021	55%	80%	64%	83%	91%	83%	✓
Transformation Oversight Committee	22 February 2021 18 May 2021 19 October 2021	91.7%	67%	73%	73%	89%	84%	✓
Student Life Oversight Committee	29 January 2021 1 March 2021 4 June 2021 29 October 2021 3 September 2021	86.7%	64%	70%	85%	82%	83%	✓
People and Culture and Employment Equity Committee	17 May 2021 20 October 2021	83.3%	67%	92%	100%	92%	83%	✓
Tender Committee	9 March 2021 4 May 2021 5 October 2021 2 November 2021	62.5%	71%	64%	75%	85%	93%	✓

Honorary Awards Committee	23 April 2021 2 September 2021	60%	100%	100%	83%	100%	92%	Not undertaken due to membership changes
Audit, Risk and Compliance Committee	2 March 2021 3 June 2021 17 August 2021 15 October 2021	81.3%	75%	91%	88%	88%	88%	✓
Remuneration Committee	8 March 2021 4 June 2021 6 August 2021 8 November 2021 3 December 2021	81.8%	88%	89%	100%	96%	100%	✓
Assets Committee	4 May 2021 5 October 2021	100%	83%	88%	88%	75%	100%	✓
Investments Committee	12 March 2021 7 May 2021 2 August 2021 1 October 2021 4 November 2021	80%	67%	68%	85%	92%	71%	✓
TI Governance Committee	2 March 2021 11 May 2021 17 August 2021 14 October 2021	Not applicable	83%	62%	64%	74%	93%	✓
Social and Ethics Committee	11 February 2021 1 March 2021 11 May 2021 14 October 2021	Not applicable	Not applicable	Not applicable	71%	79%	77%	✓

13.3 Annexure 3: Composition of committees (as at 31 December 2021)

13.3.1 Composition of Senate

	Reference to Statute	Description	Member name / Vacancy	Ex officio Senate member	Campus
Vice-Chancellor					
1	13(1)(a)	Vice-Chancellor (Chairperson)	Kgwadi, ND, Prof	Ex officio member	Potchefstroom Campus
Vice-Principal					
2	13(1)(b)	Vice-Principal	Du Plessis, L, Prof	Ex officio member	Vanderbijlpark Campus
Deputy Vice-Chancellors					
3	13(1)(c)	Deputy Vice-Chancellor: Teaching-Learning	Balfour, RJ, Prof	Ex officio member	Potchefstroom Campus
4	13(1)(c)	Deputy Vice-Chancellor: Research and Innovation	Mphahlele, J, Prof	Ex officio member	Potchefstroom Campus
5	13(1)(c)	Deputy Vice-Chancellor: IT and Campus Operations (Potchefstroom)	Balia, D, Prof	Ex officio member	Potchefstroom Campus
6	13(1)(c)	Deputy Vice-Chancellor: Community Engagement and Campus Operations (Mahikeng)	Swanepoel, S, Prof (acting)	Ex officio member	Mahikeng Campus
-	13(1)(c)	Deputy Vice-Chancellor: Strategic Planning and Campus Operations (Vaal Triangle)	Du Plessis, L, Prof		
Registrar					
7	13(1)(d)	Registrar	Verhoef, M, Prof	Ex officio member	Potchefstroom Campus
Executive Directors					
8	13(1)(e)	Executive Director: Finance and Facilities	De Beer, E, Ms	Ex officio member	Potchefstroom Campus
9	13(1)(e)	Executive Director: Corporate Relations and Marketing	Manoko, NC Mr	Ex officio member	Potchefstroom Campus
10	13(1)(e)	Executive Director: People and Culture	Singh, M, Dr	Ex officio member	Potchefstroom Campus
11	13(1)(e)	Executive Director: Student Life	Chalufu, S, Dr	Ex officio member	Potchefstroom Campus
Executive Deans					

	Reference to Statute	Description	Member name / Vacancy	Ex officio Senate member	Campus
12	13(1)(f)	Executive Dean: Law	Morei, N, Dr	Ex officio member	Mahikeng Campus
13	13(1)(f)	Executive Dean: Natural and Agricultural Sciences	Modise, D, Prof	Ex officio member	Vanderbijlpark Campus
14	13(1)(f)	Executive Dean: Engineering	Van Dyk, L, Prof	Ex officio member	Potchefstroom Campus
15	13(1) (f)	Executive Dean: Health Sciences	Kotzé, AF, Prof	Ex officio member	Potchefstroom Campus
16	13(1)(f)	Executive Dean: Theology	Goede, H, Dr	Ex officio member	Potchefstroom Campus
17	13(1)(f)	Executive Dean: Education	Conley, L, Prof	Ex officio member	Potchefstroom Campus
18	13(1)(f)	Executive Dean: Humanities	Moyo, D, Prof	Ex officio member	Potchefstroom Campus
19	13(1)(f)	Executive Dean: Economic and Management Sciences	Moroke, N, Prof (acting)	Ex officio member	Mahikeng Campus
Deputy Deans					
20	13(1)(g)	Deputy Dean: Humanities (Research and Innovation)	Nel, M, Prof	Ex officio member	Vanderbijlpark Campus
21	13(1)(g)	Deputy Dean: Humanities (Teaching and Learning)	Chaka, M, Prof	Ex officio member	Mahikeng Campus
23	13(1)(g)	Deputy Dean: Education (Teaching-Learning)	Reyneke, M, Prof	Ex officio member	Potchefstroom Campus
24	13(1)(g)	Deputy Dean: Education (Research and Innovation)	Dudu, W, Prof	Ex officio member	Mahikeng Campus
25	13(1)(g)	Deputy Dean: Natural and Agricultural Sciences (Teaching-Learning)	Drummond, H, Prof	Ex officio member	Mahikeng Campus
26	13(1)(g)	Deputy Dean: Natural and Agricultural Sciences (Research and Innovation)	Van der Westhuizen, F, Prof	Ex officio member	Potchefstroom Campus
27	13(1)(g)	Deputy Dean: Economic and Management Sciences (Teaching-Learning)	Van der Merwe, HJ, Prof	Ex officio member	Vanderbijlpark Campus
28	13(1)(g)	Deputy Dean: Economic and Management Sciences (Research and Innovation)	Surujlal, B, Prof	Ex officio member	Potchefstroom Campus
29	13(1)(g)	Deputy Dean: Health Sciences (Research and Innovation)	Du Plessis, J, Prof	Ex officio member	Potchefstroom Campus
30	13(1)(g)	Deputy Dean: Health Sciences (Teaching and Learning)	Hanekom, G, Prof	Ex officio member	Potchefstroom Campus

32 Academic staff members elected by academic staff in the faculties								
Faculty Economic and Management Sciences								
	Reference to Statute	Description	Member name/ Vacancy	Category	Term starts	Terms ends	Term notes	Campus
31	13(1)(h)	(1) Academic staff elected by academic staff in the Faculties	Janse van Vuuren, H, Prof	Associate Professor	10-Mar-19	10-Mar-22	2nd term	Vanderbijlpark Campus
32	13(1)(h)	(2) Academic staff elected by academic staff in the Faculties	Grobler, WCJ, Prof	Professor	10-Mar-19	10-Mar-22	2nd term	Vanderbijlpark Campus
33	13(1)(h)	(3) Academic staff elected by academic staff in the Faculties	Macintyre J Ms	Senior Lecturer	18-Nov-19	18-Nov-22	1 st term	Potchefstroom Campus
34	13(1)(h)	(4) Academic staff elected by academic staff in the Faculties	Els, C, Prof	NRF rated researcher	29-Mar-21	29-Mar-24	1 st term	Potchefstroom Campus
Faculty of Education								
35	13(1)(h)	(1) Academic staff elected by academic staff in the Faculties	Vacant	Associate Professor				
36	13(1)(h)	(2) Academic staff elected by academic staff in the Faculties	Mentz, E, Prof	NRF rated researcher	10-Mar-19	10-Mar-22	2nd term	Potchefstroom Campus
37	13(1)(h)	(3) Academic staff elected by academic staff in the Faculties	Marais, LM, Dr	Senior Lecturer	29-Mar-20	29-Mar-24	1 st term	Potchefstroom Campus
38	13(1)(h)	(4) Academic staff elected by academic staff in the Faculties	Mentz, PJ, Prof	Professor	05-Jul-21	05-Jul-24	2nd term	Potchefstroom Campus

	Reference to Statute	Description	Member name/ Vacancy	Category	Term starts	Terms ends	Term notes	Campus
Faculty of Engineering								
39	13(1)(h)	(1) Academic staff elected by academic staff in the Faculties	Helberg, ASJ, Prof	Professor	14-Oct-21	14-Oct-24	1 st term	Potchefstroom Campus
40	13(1)(h)	(2) Academic staff elected by academic staff in the Faculties	Grobler, MJ, Prof	Associate Professor	06-Apr-21	06-Apr-24	1 st term	Potchefstroom Campus
41	13(1)(h)	(3) Academic staff elected by academic staff in the Faculties	Marais, H, Dr	Senior Lecturer	14-Mar-19	14-Mar-22	1 st term	Potchefstroom Campus
42	13(1)(h)	(4) Academic staff elected by academic staff in the Faculties	Ntwampe, SK, Prof	NRF rated researcher	06-Apr-21	06-Apr-24	1 st term	Potchefstroom Campus
Faculty of Health Sciences								
43	13(1)(h)	(1) Academic staff elected by academic staff in the Faculties	De Ridder, H, Prof	Professor	30-Oct-19	30-Oct-22	2nd term	Potchefstroom Campus
44	13(1)(h)	(2) Academic staff elected by academic staff in the Faculties	Moss, SJ, Prof	NRF rated researcher	12-Jul-21	12-Jul-24	1 st term	Potchefstroom Campus
45	13(1)(h)	(3) Academic staff elected by academic staff in the Faculties	Coetzee, B, Prof	Associate Professor	18-Mar-20	18-Mar-23	1 st term	Potchefstroom Campus
46	13(1)(h)	(4) Academic staff elected by academic staff in the Faculties	Bisschoff, CA, Dr	Senior Lecturer	06-Apr-20	26-Apr-23	1 st term	Mahikeng Campus
Faculty of Humanities								
47	13(1)(h)	(1) Academic staff elected by academic staff in the Faculties	Holtzhausen, L, Prof	Associate Professor	21-Apr-20	21-Apr-23	1 st term	Potchefstroom Campus
48	13(1)(h)	(2) Academic staff elected by academic staff in the Faculties	Van Schalkwyk, P, Prof	NRF rated researcher	01-Oct-19	01-Oct-22	1 st term	Potchefstroom Campus
49	13(1)(h)	(3) Academic staff elected by academic staff in the Faculties	Verhoef, AH, Prof	Professor	16-Mar-21	16-Mar-24	1 st term	Potchefstroom Campus
50	13(1)(h)	(4) Academic staff elected by academic staff in the Faculties	Botha, YV, Dr	Senior Lecturer	17-Mar-21	17-Mar-24	1 st term	Potchefstroom Campus

	Reference to Statute	Description	Member name/ Vacancy	Category	Term starts	Terms ends	Term notes	Campus
Faculty of Law								
51	13(1)(h)	(1) Academic staff elected by academic staff in the Faculties	Carnelley, M, Prof	Professor	16-Mar-21	16-Mar-24	2nd term	Potchefstroom Campus
52	13(1)(h)	(2) Academic staff elected by academic staff in the Faculties	Mmusinyane, BO, Prof	Associate Professor	21-Apr-20	21-Apr-23	1 st term	Mahikeng Campus
53	13(1)(h)	(3) Academic staff elected by academic staff in the Faculties	Geduld, AJN, Dr	Senior Lecturer	16-Mar-21	16-Mar-24	1 st term	Potchefstroom Campus
54	13(1)(h)	(4) Academic staff elected by academic staff in the Faculties	Agbor, A, Prof	NRF rated researcher	16-Mar-21	16-Mar-24	2nd term	Mahikeng Campus
Faculty of Natural and Agricultural Sciences								
55	13(1)(h)	(1) Academic staff elected by academic staff in the Faculties	Molale-Tom, LG, Dr	Senior Lecturer	10-Mar-19	10-Mar-22	1 st term	Potchefstroom Campus
56	13(1)(h)	(2) Academic staff elected by academic staff in the Faculties	Bezuidenhout, CC, Prof	Professor	10-Mar-19	10-Mar-22	1 st term	Potchefstroom Campus
57	13(1)(h)	(3) Academic staff elected by academic staff in the Faculties	Claasens S Prof	Associate Professor	18-Nov-19	18-Nov-22	1 st term	Potchefstroom Campus
58	13(1)(h)	(4) Academic staff elected by academic staff in the Faculties	Louw, R, Prof	NRF rated researcher	23-Mar-21	24-Mar-24	1 st term	Potchefstroom Campus
Faculty of Theology								
59	13(1)(h)	(1) Academic staff elected by academic staff in the Faculties	Yates, H, Dr	Senior Lecturer	25-Jul-19	22-Jul-22	2nd term	Potchefstroom Campus
60	13(1)(h)	(2) Academic staff elected by academic staff in the Faculties	Viljoen, FP, Prof	Professor	16-Mar-21	16-Mar-24	2nd term	Potchefstroom Campus
61	13(1)(h)	(3) Academic staff elected by academic staff in the Faculties	Stoker, HG, Prof	Associate Professor	10-May-19	10-May-22	1 st term	Potchefstroom Campus
62	13(1)(h)	(4) Academic staff elected by academic staff in the Faculties	Du Toit, PLG, Dr	NRF rated researcher	16-Mar-21	16-Mar-24	1 st term	Mahikeng Campus

Non-academic staff elected by non-academic staff (support staff)							
	Reference to Statute	Description	Name	Term starts	Terms ends	Term notes	Campus
63	13(1)(i)	(1) Non-academic staff elected by non-academic staff (support staff)	Vacant				
64	12(1)(i)	(2) Non-academic staff elected by non-academic staff (support staff)	Du Plessis, GI, Dr	29-Jul-20	29-Jul-23	1 st term	Potchefstroom Campus

	Reference to Statute	Description	Name	Term starts	Terms ends	Campus
65	13(1)(j)	SRC President (SRC chairperson)	Molefi, F, Ms	Dec-2020	Dec-2021	Mahikeng Campus
66	13(1)(j)	Students designated by the SRC: Transformation and Diversity Officer with current affairs	Selema, M, Mr	Dec-2020	Dec-2021	Mahikeng Campus
67	13(1)(j)	Students designated by the SRC: Legal Officer and Secretary General	Potgieter, H, Ms	Dec-2020	Dec-2021	Potchefstroom Campus
68	13(1)(j)	Students designated by the SRC: Treasurer-General	Chirara, T, Mr	Dec-2020	Dec-2021	Vanderbijlpark Campus

Chairperson of Council or delegate and one other council member							
	Reference to Statute	Description	Name	Term starts	Terms ends	Term notes	Campus
69	13(1)(k)	Chairperson of Council or delegate and one other Council member elected by Council	Tyobeka, MB, Dr	25-Nov-20	24-Nov-23	Term on Council	External
70	13(1)(k)	Chairperson of Council or delegate and one other Council member elected by Council	De Bruyn S Mr	22-Jun-21	21-Jun-24	Term on Council	External

Academic staff members co-opted by the Senate upon the advice of the Senate Standing Committee (Faculty Board)							
	Reference to Statute	Description	Name	Term starts	Terms ends	Term notes	Campus
71	13(1)(l)	Academic staff members co-opted by the Senate upon the advice of the Senate Standing Committees	Vacant				
72	13(1)(l)	Academic staff members co-opted by the Senate upon the advice of the Senate Standing Committees	Naidoo, S, Dr	19-May-20	19-May-23	1 st term	Potchefstroom Campus
73	13(1)(l)	Academic staff members co-opted by the Senate upon the advice of the Senate Standing Committees	Du Plessis, C, Ms	28-Feb-19	28-Feb-22	1 st term	Potchefstroom Campus
74	13(1)(l)	Academic staff members co-opted by the Senate upon the advice of the Senate Standing Committees	Ramolai, P, Ms	12-Apr-21	12-Apr-24	1 st term	Vanderbijlpark Campus
75	13(1)(l)	Academic staff members co-opted by the Senate upon the advice of the Senate Standing Committees	Vacant				
76	13(1)(l)	Academic staff members co-opted by the Senate upon the advice of the Senate Standing Committees	Vacant				
77	13(1)(l)	Academic staff members co-opted by the Senate upon the advice of the Senate Standing Committees	Ngobeni, D, Dr	28-Feb-19	28-Feb-22	1 st term	Mahikeng Campus
78	13(1)(l)	Academic staff members co-opted by the Senate upon the advice of the Senate Standing Committees	Davis, SV, Ms	12-Oct-21	12-Oct-24	1 st term	Mahikeng Campus

13.3.2 Composition of the Finance Committee

As at the October meeting of the Finance Committee:

Name	Designation
Chairperson	
Mr C Mabe*	External member of Council
Standing members	
Mr TV Mokgatlha	External member of Council
Dr MB Tyobeka	External member of Council and chairperson of Council
Ms R Kenosi	External member of Council
Mr S Mohapi	Chair: Investment Committee
Prof ND Kgwadi	Vice-Chancellor
Prof M Verhoef	Registrar (ex officio secretary)
In attendance	
Ms E de Beer	Executive Director: Finance and Facilities

13.3.3 Composition of the Audit, Risk and Compliance Committee

As at the October meeting of the ARCC:

Name	Designation
Chairperson	
Mr TV Mokgatlha*	External member of Council
Standing members	
Mr JDS de Bruyn	External member of Council
Mr A Sorgdrager	External member of Council
Mr MSJ Thabethe	External member of Council
Ms M van Zyl CA(SA)	Independent audit specialist
Ms R Kenosi	External member of Council: Finance Committee
Prof M Verhoef (ex officio)	Registrar
In attendance	
Prof ND Kgwadi	Vice-Chancellor
Ms E de Beer	Executive Director: Finance and Facilities
Ms M van der Merwe	Director: Internal Audit
Mr A Dale, Mss F Bootha, Ms S Bootha	External Auditors: PwC
Mr PB van Zyl	Representative: Auditor General

13.3.4 Composition of the Remuneration Committee

As at the November meeting of the Remuneration Committee:

Name	Designation
Chairperson	
Mr C Mabe*	External member and chairperson of the Finance Committee
Standing members	
Dr MB Tyobeka	External member and chairperson of Council
Fr D Dinkebogile	External member and chairperson of PCEE
Mr TV Mokgatla	External member and chairperson of ARCC
Mr A Sorgdrager	External member of Council
Prof ND Kgwadi	Vice-Chancellor
Prof M Verhoef	Registrar (ex-officio secretary)
In attendance	
Dr M Singh	Executive Director: People and Culture
Ms E de Beer	Executive Director: Finance and Facilities

13.3.5 Composition of the Tender Committee

Note: The Reporting Regulations for Public Higher Education Institutions stipulate that the Tender Committee adjudicated on significant tenders during the year under review, details of the Tender Committee's terms of reference, activities and membership must be disclosed.

As at the October meeting of the Tender Committee:

Name	Designation
Chairperson	
Mr OE Mongale*	External member of Council
Standing members	
Mr S de Bruyn	External member of Council
Mr TC Kgomo	External Member: Council
Prof ND Kgwadi	Vice-Chancellor
Prof M Verhoef	Registrar (ex officio secretary)
In Attendance	
Ms E de Beer	Executive Director: Finance and Facilities

** All council committees are chaired by external independent members, with required skills and expertise.*

13.3.6 Composition of the Technology and Information Governance Committee

As at the October meeting of the TI Governance Committee:

Name	Designation
Chairperson	
Mr MSJ Thabethe *	External Council member
Standing members	
Adv M Kruger	External Council member
Vacant	External Council member
Prof HJ van der Merwe	Internal Council member
Mr XV Hadebe	Independent external IT expert
Ms E Stander	Independent external information expert
Prof ND Kgwadi	Vice-Chancellor
Prof M Verhoef	Registrar (ex officio secretary)
In attendance	
Prof D Balia	Deputy Vice-Chancellor: IT
Mr CE Pretorius	Chief Director: Information Technology

** All council committees are chaired by external independent members, with required skills and expertise.*

13.3.7 Council committee reports

13.3.7.1 Audit, Risk and Compliance Committee (ARCC)

The overall purpose of the ARCC is to provide independent oversight in assisting Council in fulfilling its oversight responsibilities in determining the effectiveness of the university's risk and compliance management, assurance functions and services.

There is a particular focus on combined assurance arrangements (including external auditors, Internal Audit and the finance function). Other key focuses are the integrity of the annual financial statements, the financial reporting process, the system of internal control, the risk management process, the internal and external audit processes, as well as the university's process of monitoring compliance with laws and regulations and codes of conduct.

The ARCC has scrutinised the financial activities at the NWU as reported in this integrated report as well as in the audited consolidated financial statements prepared in accordance with the IFRS and independently audited by our external auditors, PricewaterhouseCoopers.

As a result, the ARCC can declare that it is satisfied with the following:

- the expertise, resources, experience of the institutional finance function;
- the independence of the external auditor, the financial statements and the accounting practices; and
- the effectiveness of the internal controls and the internal audit function.

Reports to Council

For the period under review, the ARCC continued to report to Council on its statutory duties, on activities performed and on major findings of the internal audit functions and the external auditors.

The committee also continued to report on its communication and engagement with the external auditors, the risks reported to Council and the importance of certain compliance matters.

The ARCC streamlined its activities to allow for reporting on specific topics at each meeting throughout the year. March: General update – brief overview of matters, June: Annual Report and Financial statements as well as progress made by Internal Audit against the Audit plan, August: Focus on Risk and Compliance. Brief update by Internal Audit and October: Detailed planning of Internal Audit, performance or self-evaluations and brief mention of the other matters (risk and compliance); External audit planning

Key decisions and discussions in 2021

Key decisions: Recommendations to Council for approval
<ul style="list-style-type: none"> Recommended the Integrated Annual Report 2020 to Council for approval. Recommended the annual NWU financial statements to Council for approval. Committee to the NWU Executive Committee of Council. Recommended the annual financial statements for the year ended 31 December 2020 to the NWU Council for approval. Recommended the re-appointment of PricewaterhouseCoopers for a subsequent year as external auditors of the NWU on 3 June 2021.
Key decisions: Approvals
<ul style="list-style-type: none"> Approved the Internal Audit Plan for 2021 to 2022. Approved the report on internal/administrative structures and controls, for inclusion in the Annual Report.
Key decisions: Resolutions
<ul style="list-style-type: none"> Resolved to add the Covid-19 financial impact to the NWU Risk Register. Resolved that Internal Audit had to provide additional scrutiny towards the monitoring of the Taxation office as required. Resolved that a checklist on the financial controls be included as an annexure within the financial statements to be tabled at the 2021 June ARCC meeting.
Key discussions
<ul style="list-style-type: none"> Self-evaluation and improvement plan of the Audit, Risk and Compliance Committee. Risk management status report in March 2021 with the addition of the Digital Business Strategy and a risk description of the impact of the uncertainties related to COVID on the NWU. Focus on strengthening of the internal-control environment and the refined categorisation of relevant internal controls by means of Exclaim! Software. A considerable milestone was the inclusion of risk and compliance management as a KPA in the performance agreements of all levels of management. Compliance status report in March 2021, and that the following areas of focus existed for 2021: Management of Conflict of Interest, Occupational Health and Safety, Copyright management. Policy review process, Promotion of access to information, Eviction of students, Verification of qualifications at the NWU, Anti-corruption and fraud and Protection of Personal Information. Included in the report was the risk-based compliance plan for 2021-2023. The 68 acts included in the 3-year rolling risk-based compliance plan would be dealt with over a period of 3 years. The ARCC considered that the NWU regarded Environmental legislation as high importance and the external compliance consultant recommended that the NWU appointed an Environmental Specialist. I The National Water Act was categorised as topical on the regulatory universe and not posing any risk to the business or functioning of the NUW due to confirmation indicating that the NWU indeed had storage dams. The NWU had an internal process in place which dealt with plagiarism and publications in predatory journals which the doctoral review process had further sharpened. The revised manual on Higher Degrees studies also included a section on plagiarism indicating the roles and responsibilities conferred on students, study leaders and promoters. Internal Audit report in March 2021 which highlighted audit progress and continuous monitoring. The Institute of Internal Auditors SA (IIASA) for the upcoming 2021 External Quality Review far exceeded the budgeted amount. As alternative, Internal Audit conducted a Self-Assessment followed by a validation performed by IIA(SA) reducing the cost significantly. The key areas of focus for the external audit were: Management's override of controls; Revenue, Receivables, which focussed on student debt receivables, Procurement, Salaries and payroll, Related party transactions, Property, Plant and Equipment (PPE), Investment property, Equity, Employee benefit assets and obligations, Creditors, Investments, Deferred income, Contingent liabilities and Predetermined objectives. An additional area of focus was the assumption that the university was operating as a going concern. Materiality for the audit was set at R80 million following additional benchmarking and minor adjustments to additional grant receivables from the Department of Higher Education, Science and Innovation. The ARCC also noted detailed findings, corrected and uncorrected misstatements and Auditor General

reporting requirements. The ARCC took note of the Declaration of Interest non-compliance and further noted that the University Management Committee had adopted a zero-tolerance approach to non-declarations.

- 62 Policies had been approved by Council, 16 policies had been finally drafted and was in consultation phase and eight policies were in drafting phase.
- The matter of Related Entities was receiving the attention of the UMC and was an ongoing point of attention within the Deputy Vice-Chancellor: Research and Innovation's environment. The deregistration process of IHE was underway.
- Reports on business continuity planning as a result of Covid-19.
- Suggested risk appetite values and requested management to engage in internal and external consultations towards finalisation of the risk appetite.
- Satisfactory progress concerning risk management and the implementation of the COSO framework, focussing on the strengthening of the internal control environment.
- Fair progress had been made in regard to combined assurance.
- Progress made with the policy review process.
- Comprehensive Conflict of Interest report and that management had approved a zero-tolerance approach to non-declarations.
- Reports on the external evaluation of council.
- Report on applications for section 34(5) approvals and assurance that Conflict of Interest had remained high on the agenda of the university and that regular reports would be provided in this regard.

13.3.7.2 Finance Committee

The purpose of the Finance Committee and its subcommittees (Assets Committee and Investment Committee) is in general on financial and investment matters and on long-term development of university infrastructure.

It reinforces the governance function of the Council with regard to sound, responsible and effective financial planning, financial administration, financial governance and financial reporting.

Par 13.2 and 13.3.2 include the composition and meeting attendance information.

Reports to Council

The Finance Committee continued to report to Council on its statutory duties, the budget process and activities performed.

Key decisions and discussions in 2021

Key decisions: Recommendations to Council for approval
<ul style="list-style-type: none"> • Recommend the advance of the paying out of allowances to NSFAS students in order to support the start of the 2021 academic year. • Recommend the revision of the Budget 2021-2023 rolling budget. • Recommend the Budget 2022-2024 rolling budget (as part of the APP to be submitted to the DHET to the NWU Council for approval. • Recommended the 2020 financial overview to the NWU council for approval. • Recommended the list of donations made for 2020 to the NWU Council for noting. • Recommended the variance report to the NWU council for noting. • Recommended the student finances report to the NWU council for noting. • Recommended the quarterly report on residence finances to the NWU Council for noting. • Recommended the sundry debtors report to the NWU council for noting. • Recommended the report on residence rebates for 2020 to the NWU council for noting. • Recommended the financial performance of the six months ending 30 June 2021 as part of the mid-year report to the NWU Council to be submitted to DHET.
Key decisions: Approvals
<ul style="list-style-type: none"> • Approved and recommended the 2020 financial overview to the NWU Council for approval.
Key discussions

- Abridged financial statements and management financial statements of the year-ending 31 December 2020.
- Risk, compliance and business continuity amongst COVID-19 reports.
- Reports on the external evaluation of Council and the Finance Committee's functioning.
- Reports from the Assets and Investments Committee.
- NWU management statements as at 30 September 2021.

13.3.7.3 Tender

The purpose of the Tender Committee is to advise the Council on matters related to governance and oversight as these pertain to the NWU's procurement processes and to ensure that these are fair, equitable, transparent, cost-effective and compliant to all relevant regulations and rules.

Reports to Council

The Tender Committee reported to Council on tenders considered for specific contracts within its mandate and the Schedule of Financial and Contractual Authorisation Levels.

Key decisions and discussions in 2021

Key decisions: Recommendations to Council for approval
<p>Recommended to the NWU council approval of the following tenders:</p> <ul style="list-style-type: none"> • TR073/2020NW - Appointment of a panel of professional consultants in construction disciplines. • Tender TR130/2021VC – Supply of Student Accommodation for the NWU Vanderbijlpark Campus. • Tender TR109/2021VC - The provision of protection services for the North-West University Vanderbijlpark Campus.
Key decisions: Approved by the Tender Committee
<p>The Tender Committee approved the following tenders:</p> <ul style="list-style-type: none"> • Tender TR099/2020PC – Provision of cleaning services in the student residences on the Potchefstroom Campus. • Tender TR101/2020PC – Provision of catering personnel for food and beverage services at the Potchefstroom Campus. • Tender TR053/2021MC – Proposed new student housing roads and parking on the Mahikeng Campus. • Tender TR093/2020PC Supply and distribution of study material to UODL students. • Tender TR103/2021NW - Provision of mass secure printing services.

13.3.7.4 Remuneration Committee (RemCom)

The mandate of the Remuneration Committee is to assist Council in carrying out its responsibilities towards the conceptualisation and implementation of a fair and responsible remuneration philosophy that is evident in remuneration policies and strategies.

Reports to Council

For the period under review, the committee continued to report to Council on its statutory duties.

Par 13.2 and 13.3.4 include the composition and meeting attendance information.

Key decisions and discussions in 2021

Key decisions: Approvals
<ul style="list-style-type: none"> • Approve the proposal in terms of the recommendations for new offers to executive management. • Revised terms of reference of the RemCom for recommendation to Council for approval in June 2021. • Approve the performance scores and the related performance bonuses for the UMC (including the Vice-Chancellor) for payment. • Approve that the practice of determining a retention bonus would in future be based on the recommendation from the Selection Committee for those members who were not of retirement age at the conclusion of their contracts, with an upper limit of 25% of the total package of the incumbent. This would be informed by factors such as performance, commitment to transformation objectives, internal equity, scarcity of skills etc. This would be tabled at Remuneration Committee for approval on a case-by-case basis and to Council via the Remuneration Committee report. • Approve that levels P1 to P4, be granted a COLA increase of 3.3% per annum for 2021 effective from 1 April 2021. • Approved differentiated honorarium payments for the chairperson of committees that fulfil a statutory role. • Approved a revised honorarium amount of R5197 to be paid to the Deputy Chairperson of Council. • Approved regarding performance bonuses, that the current 80:20 split be amended to allow more flexibility between the allocation of discretionary and non-discretionary apportionment as follows:

Key decisions: Approvals
<ul style="list-style-type: none"> ○ the central budget of should be apportioned between the range of 65% and 80%; and ○ the decentralised budget should be apportioned between the range of between 20% and 35% and the SOP should be amended accordingly. ● Approve the revised performance bonus percentages be adjusted with a 5% increase. ● Approved a 2% adjustment for the management bonuses. ● Approved the payment of performance and management bonuses which were within budget. ● Approved the payment of bonuses to the members of the Covid-19 Response Team Exco and Response Team members.
Key decisions: Resolutions
<ul style="list-style-type: none"> ● The feedback received from the members on the self-improvement plan would be consolidated by the Secretariat and prepare a PowerPoint presentation for approval by the Chairperson to be presented at the Council workshop on 17 March 2021. ● The Executive Director: People and Culture would reconsider the proposal of 12% of total package as retention bonus. The 12% retention bonus had been a previous resolution of the RemCom on the matter, and that the new proposal would also request that the previous resolution be rescinded. ● The approved refinement of the consistency process had been actioned for 2021. ● Regarding bonus payments to UMC members, that the Vice-Chancellor and the Chairperson of Council would be responsible for the ratings of the UMC members, and the ratings would then be submitted to the RemCom for noting. ● Recommended the revised conditions of service to Council for approval. ● An in-principle decision to pay retention bonuses 20% of the total cost to company once the subsequent appointments of the DVC Teaching and Learning and Executive Director Corporate Relations and Marketing had been approved by Council (according to the resolution taken by RemCom on 4 June 2021).
Key discussions
<ul style="list-style-type: none"> ● Finalisation of the matters related to accrued leave and the risks associated with the matter. Also, that the UMC had approved guidelines for payments of accrued leave in specific circumstances. ● Finalisation of the matter of NWU salary benchmarking and that the matter would be tabled annually in October when the RemChannel report on salaries became available. Mitigation strategies had been instituted to address the risk associated with the NWU salaries compared to that of other higher education institutions. ● Succession planning process for senior management ● Regular reports on ex gratia/ex lege payments and honoraria paid to Council members. ● The draft NWU Integrated Annual Report 2020 as sent to RemCom members as it pertained to remuneration matters. ● Regular reports on executive remuneration and the remuneration of the Internal Auditor. ● Regular reports on risks and compliance matters related to remuneration. ● That an acting allowance of 10% of the median of the acting position was paid to staff members who acted in vacant UMC members' positions. The principle was that the acting allowance put the staff member in the financial position of the full-time staff member in that position, taking into account that the full responsibilities of the position was taken on and the acting staff members had to be compensated as such.

13.3.7.5 Technology and Information (TI) Governance Committee

The TI Governance Committee is responsible for information technology governance and ensuring that Council fulfils its role as the overall governing body for information technology. Its mandate is to:

- Oversee the implementation of an TI governance framework that sets the direction for technology and information at the NWU.
- Recommend policy to Council that articulates and gives effect to the direction set.
- Hold university management accountable for the implementation and execution of effective technology and information management.
- Exercise ongoing oversight of technology and information management, including IT risk management, prevention of cyber-attacks and ensuring legal compliance.

Reports to Council

For the period under review, the committee continued to report to Council on its statutory duties.

Par 13.2 and 13.3.6 include the composition and meeting attendance information For the Council Statement on IT, see par 9.1.15

Key decisions and discussions in 2021

Key decisions: Recommendations
<ul style="list-style-type: none"> • The 2021 provisioning of OpenCollab to Council for approval. • The NWU Policy on Business Continuity to Council for approval. • The NWU Information Governance Framework to Council for approval. • The NWU Personal Information Privacy Policy to Council for approval. • The partnering with Anthology for the provisioning of a Student Information System to Council for approval. • Reappointment of Ms E Stander to serve on the committee for a second term.
Key decisions: Resolutions
<ul style="list-style-type: none"> • Agreed to present project status reports by means of a balance-score-card with timelines attached in dashboard format. • Agreed that the Digital Business Strategy report would be presented to Council at the November meeting. • Resolved that, in terms of the committee improvement plan possible themes for the meeting of 2022 would be identified. • To investigate possibilities to attend IoDSA-workshops to provide a grounding to hone the fiduciary duty skills. • To include the disposal of information stored on devices as a security risk in the report.
Key discussions
<ul style="list-style-type: none"> • Reports on the external evaluation of Council and the evaluation of the TI Governance Committee. • Strategic projects and processes to optimise the competitive advantage of the NWU. • Revision of the IT Strategy resulted in a change in the format from strategy to Statement of intent from which a strategy would finally be culminated, including indication of cost and supported by an operational plan. • Reports on investment and expenditure, indicating DHET projects, new investments, current investments and the status of the projects. The virtualisation project and Wi-Fi in residences project were completed in March 2021. • IT Product Portfolio. • IT Project Portfolio. • Report on third party providers indicating the mitigation of the risks with the focus on high and medium risk providers. • IT Transformation Plan and reports on Employment Equity appointments. • Development of IT policies in terms of Fair Use and ICT Governance as well as Rules and Guidelines in terms of e-Mail and Bring your own device. • Implementation of the Information Governance Framework after which an overview was noted of matters that had to be complied with by the university before POPIA became enforceable on 1 July 2021. • The POPIA compliant PAIA manual was drafted for submission to the Information Regulator by 31 December 2021. • Reports on the POPIA implementation plan, service providers requesting consent letters from the NWU, processing of personal information of children, processing of special personal information, third-party inquiries and POPIA and research matters. • Status reports on information management. • Reports on business continuity as a result of Covid-19. • Risk and compliance reports on information technology and information management matters. • The responsible disposal of obsolete technology and information and took note that in most cases IT hardware was disposed through the official NWU asset disposal process. • The TI-Gov Committee took note of a high-level report on the 2020 internal audits relevant to IT. • e-Assessments and the next steps that would entail to start with proctoring and the first pilot to commence towards the end of October 2021. • The development and finalisation of various policies to give effect to the Information Governance Framework, especially the Personal Information Privacy Policy. • Reports on Cyber Security with the Cyber Security Strategy based on the National Institute of Standards and Technology SD-800. The Security Information and Event Management software was implemented to increase detection capabilities. • A comprehensive report on the Oracle Audit Dispute providing background to the matter and the process followed. It was anticipated the NWU's Oracle footprint would decrease over time.

13.3.7.6

13.3.7.7 Council Membership Committee

The NWU Council resolved in 2015 to add to the mandate of the Council Executive Committee that of Council Membership Committee.

In this regard, Council fulfils the role of a Council Membership Committee (as per R464, 9 June 2014, GG37726, p 22) in (refer to paragraph 2.5 of the Exco terms of reference):

- considering nominations for vacancies related to council and council committee membership in terms of the University Statute;
- overseeing nomination and election processes for vacancies and noting the outcomes of election audit reports;
- dealing with all other membership matters as contained in the Code of Conduct for Council members and to take the necessary steps in order to empower Council to deal with membership matters on a higher level, including matters related to declarations of interest made by Council members and members of Council Committees;
- having the mandate to form and delegate authority to sub-committees as deemed necessary;
- overseeing the attendance of Council members at Council and Council committee meetings and taking corrective action;
- overseeing the self-evaluation results (appraisals) of the performance of the Council and its committees and taking corrective action where necessary; and
- in accordance with the Statute, recommending the establishment of committees necessary for the performance of the functions of Council, including joint committees with Senate where appropriate.

During 2021, Exco at each ordinary meeting noted and considered the vacancies on Council and the processes for filling and scrutinising these vacancies.

Exco also recommended the:

- Amendment of the Rules for the Nomination, Designation, Election and Appointment of Council Members by adding a new para 2.3. – *“The council has the authority to determine the requisite skills and diversity targets to ensure that due sensitivity to race, gender and disabilities is reflected in the membership of council and its committees and must put measures in place to ensure transparent, inclusive and pro-active processes towards realising skills and diversity in membership.”*
- Following process to be followed by Council Exco (in its capacity as council membership committee):
 - That the regular setting of a skills and diversity matrix (as the one approved by Council in November 2018) to guide the nominations and elections was continued and was to take place formally at three-year intervals.
 - That the process was managed pro-actively and in ongoing communication with the stakeholder constituencies (in the relevant categories, i.e. from which environments members would need to be nominated and elected.
 - That with the announcement of an imminent vacancy (six months before expiry), for Council Exco to consider the diversity and skills set profile of Council at the given time and to resolve on the particular need to be included in the call for nominations to the constituency.
 - That the call for nominations made known the identified skills- and diversity needs.
 - That the Council Exco was informed of the outcome of the nomination process before the commencement of the election process to determine the extent to which the requirements had been met.
 - That, in the instance that the relevant skills set and diversity criteria had not been displayed during the nomination process, one further round of nomination would be requested, after which the election process would continue.

The proposals were approved by Council in June 2021.

Exco also received a list of all vacancies in Council committees and made recommendations for the filling of these vacancies to Council for approval.

13.4 Annexure 4: NWU Risk Register as noted by the ARCC in August 2021

* Arranged in order of residual risk rating

Risk No	Risk Owner	Risk Name	Risk Description	Inherent			IR	CE	Residual Rating	Current Controls	Strategic Objective
				Impact	Likelihood	Exposure					
42	DVC IT	Cyber Security	Cyber security is not adequately addressed at the NWU and is the number one IT issue worldwide. An attack on the NWU is likely. Digital transformation will increase the cyber security risk.	5	5	R0	25	0,20	20	Foundation Security Information and Event Management (SIEM) implemented; - Phased two expanding SIEM to more spheres of IT not just Infrastructure but also Applications ; * Cyber security strategy; * Using the best in class Firewall solution; * Audit plan executed at regular intervals by Internal Audit, to cover ongoing auditing of the risk.; * Institution-wide use of network access control; * Penetration testing (internal and external) done every 3 months; * Identifies external security vulnerabilities on a daily basis.; * Auditing the network environment through network access control.; * Asset management process in place to determine the age of critical equipment. Contractual end-of-life agreements are also being monitored.; * 3 Monthly Nessus scans on the operating systems and some software.	Goal 6
4	VC, UMC Members	Business Model	The lock down forced a change in stakeholder behavior and habits. The approach to work (inclusive of work related to teaching, learning, research and community engagement) and how people interact has fundamentally changed. The organisation have had to adapt to a significant change in stakeholder behaviour whilst ensuring adequate realignment of working capital and workforce utilisation. Universities have had to re-invent their business models to ensure that they could compete in these shifting circumstances and, in some cases, ensure that they take advantage of unprecedented demand.	4	5	R0	20	0,20	16	Strategic projects facilitated by IT, the Centre for Teaching and Learning and Space Management to position the NWU (e.g. integrated facilities project; *student information system renewal project, the work-integrated learning and service learning (WISL) system, e-assessment and proctoring platforms/ software, further development of the NWU LMS with additional online functionalities), as overseen by Senate and UMC.; * IT Committee advises UMC on the optimisation of IT infrastructure to meet current and future business needs. ; * Strategic Intelligence Reports provided at regular intervals to FMCs and other structures for monitoring and informed decision-making purposes.; * CRM fast-tracked its digitisation and online engagement platforms targeting key areas such as student recruitment, events management and interaction with stakeholders. ; * Admission requirement for FTE students to have a device from 2021, approved by Senate.	Goal 6
1	UMC - IP, SALA, FF	Funding	Government funding model is not sustainable, the HE sector is not sufficiently informed by the DHET, also the impact is not known, exacerbated by an over-dependence on a single source of income (government subsidies and sustainability of NSFAS).	4	4	R2 200 000 000	16	0,20	13	Building available reserves by ExDir FF and financial team to cover one year of operational expenses.; * Building optimal relationships with funders; facilitating start-up capital by TTIS; * Undertaking initiatives with regard to fundraising and endowment to ensure new sustainable source of income; * Targeted initiatives focusing on alumni and potential international sources	Goal 6

Risk No	Risk Owner	Risk Name	Risk Description	Inherent			IR	CE	Residual Rating	Current Controls	Strategic Objective
				Impact	Likelihood	Exposure					
40	UMC	Environmental Management	The lack of focus and clarity in regard to the placement, functioning and monitoring of environmental management at the NWU poses a risk to sustainability and compliance.	4	4	R10 000 000	16	0,20	13	Audit plan executed at regular intervals by Internal Audit, to cover ongoing auditing of the risk.; * Awareness campaigns are driven by Internal Audit by means of the regular annual programme across NWU. ; * Policy and Rules on the governance and management of environmental issues drafted, approved, and implemented.; * Awareness campaigns are driven by Sustainability and Community Impact unit. ; * Facilities has appointed someone for OHS who has a EM qualification. The employee will assist with EM matters, the policy being one of them. Monitoring of the audit is executed and departments respond on improvements.	Goal 3
45	UMC	COVID-19 Impact	Inadequacies around a focused approach on the management of the COVID-19 situation as this impact directly on the NWU's governance and management, could hamper the NWU's sustainability on the short-, medium- and long-term	5	5	R0	25	0,50	12	HIRA's completed before staff returned to work. OHS conducted audits on all workplaces and the communication and implementation of assessments. ; * *The VC established a COVID-19 Response Team on 4 March 2020 to ensure the ongoing drafting of an appropriate response by the NWU on the risks posed by the pandemic. *The Response Team operates in accordance with an approved ToR and reports regularly to the VC, the UMC and all relevant governance structures. *Response plans for all mission-critical operations have been drafted, approved, communicated to the relevant stakeholders and are managed within the respective lines ; * *Guidelines and protocols have been drafted and approved, and communicated on the dedicated NWU internet platform. *In line with the NWU Crisis Communication Plan, communication is published only by the VC *In instances where discretion is to be exercised, the relevant approvals from management and governance structures are obtained, documented and communicated to relevant stakeholders by the responsible UMC member ; * *An NWU Financial Impact Model has been developed by the ExDir FF and is updated in an ongoing manner to ensure management control on the financial sustainability of the NWU *The DHET is updated on a monthly basis by the Office of the VC on matters relevant to key-performance indicators; * Redirection of existing funds, such as infrastructure grants. Building a reserve as a result hereof. ; * The DHET is updated on a monthly basis by the Office of the VC on matters relevant to key-performance indicators. * Teaching and Learning and Assessments plans, Faculty Integrated TL plans and Faculty Assessment plans, Faculty reintegration plans, Faculty TL Contingency plans assessed every semester.	Goal 1
37	ExDir: Finance and Facilities	Fee regulation	Insecurities regarding the proposed Fee Regulation Framework leading to uncertainty around sustainability.	5	5	R28 000 000	25	0,50	12	USAF fee regulation task team in which the ExDir FF is a member; * Initiatives in regard to fundraising and endowment to ensure new sustainable source of income	Goal 6

Risk No	Risk Owner	Risk Name	Risk Description	Inherent			IR	CE	Residual Rating	Current Controls	Strategic Objective
				Impact	Likelihood	Exposure					
3	DVC R&I, ExDir FF	PG Students	Poor financial support to PG students resulting in loss of student income and continuity from UG to PG. Furthermore postgraduate numbers' dependency on bursaries.	3	5	R0	15	0,20	12	Post-graduate funding model where merit bursaries are availed for qualifying students who received NSFAS funding during UG studies.; * Strategic funds are made available for PG bursaries for only a small number of potential candidates.	Goal 2
43	DVC IT	Digital Business Strategy	Digital transformation will have a severe impact on operational models, structures, people, processes and roles.	3	5	R0	15	0,20	12	Enterprise-wide Digital Business Strategy for the NWU as part of the strategic positioning of the NWU	Goal 6 Goal 4 Goal 3 Goal 2 Goal 1
24	DVC IT; UMC	IT Support and Innovation	IT provisioning for certain admin and academic functions not optimal; indications exist that individual IT staff are overburdened due to inadequate human resources in IT; uncertainties evident about the direction in regard to digital business strategy leading to delays in new system design and implementation.	3	5	R0	15	0,20	12	Clear position profiles for senior management indicating roles and responsibilities; * Strategic projects facilitated by IT, the Centre for Teaching and Learning and Space Management to position the NWU (e.g.*integrated facilities project; *student information system renewal project, the work-integrated learning and service learning (WISL) system, e-assessment and proctoring platforms/ software, further development of the NWU LMS with additional online functionalities), as overseen by Senate and UMC.	Goal 5 Goal 6
26	DVC Integrated Planning; Registrar, DVC IT, DVC TL, Deans DVC R&I, ExDir FF	Business Processes	Loss of students and student income due to the processes and systems that drive the core business being inadequate.	3	4	R100 000 000	12	0,20	10	BCP and Contingency planning in place at execution of key processes e.g. registration etc. BCP Policy approved by Council.	Goal 6

Risk No	Risk Owner	Risk Name	Risk Description	Inherent			IR	CE	Residual Rating	Current Controls	Strategic Objective
				Impact	Likelihood	Exposure					
180	Ex Dir SL and Ex Dir FF	Campus and Safety	Student safety on and off-campus at risk due to escalation in criminal activities on and around campus including an increase in gender-base violence.	3	4	R0	12	0,20	10	Protection services at all campuses operating in accordance with pre-determined SOPs; * All campuses are access controlled; * Well-described process to deal with any instances of crime as establishment of Joint Operating Teams including SAPS, liaison with Public Order Policing and Intelligence Services; ; * Protection services together with SAPS visits residences during R&O to conduct crime awareness by distributing pamphlets and discuss the abuse of alcohol and drugs. ; * Cachet Park City Improvement District Non Profit Company (Cachet Park CID NPC) and rolling out of initiative to other campuses; * To gain from the outcomes of the USAf-SAPS Task Team on Campus Safety, GBV and the Protection of Vulnerable People dealing with safety and security on and off campuses of PSET institutions, instances of GBV, interrelationships between private security, SAPS and institutions of higher learning, as well as matters related to student transport and student accommodation as these pertain to safety.; * GBV Policy approved by Council in June 2021.; * Higher Health telephone number to report any criminal activities.	Goal 4
6	ExDir P&C; All line managers; ExDir CRM; ExDeans	Diversity	Insufficient levels of diversity in staff and student environment	3	4	R0	12	0,20	10	EE targets built into the performance agreements of SMC members and is measured as part of the performance evaluation process.; * Clear position profiles for senior management indicating roles and responsibilities; * EESDF meets 4x per annum to monitor the effectiveness of implementation. ; * Staff cost mitigation plan; * Employment Equity Policy approved and in process of implementation.	Goal 4 Goal 5 Goal 6
41	ExDir P&C;	Staff	Lack of competitive salaries in the academic environment might lead to exodus of talent leading to possible loss of accreditation.	3	4	R0	12	0,20	10	IRR guidelines strictly applied for the purpose of addressing disparities.; * Provision for a scarce-skill allowance; * Clear position profiles for senior management indicating roles and responsibilities; * Private Work Policy; * Differentiated COLA for academic staff	Goal 5

Risk No	Risk Owner	Risk Name	Risk Description	Inherent			IR	CE	Residual Rating	Current Controls	Strategic Objective
				Impact	Likelihood	Exposure					
18	Registrar	Information governance, BCP and DRP	Inadequacies around a focused approach on information governance, disaster recovery and business continuity could hamper the NWU's operations	4	4	R0	16	0,50	8	BCP and Contingency planning in place at execution of key processes e.g. registration etc. BCP Policy approved by Council.; * Disaster Recovery Plan; * Using the best in class Firewall solution; * Institution-wide use of network access control; * UMC approved a 2 year plan to implement a BCP governance and management process. Process is underway. ; * TIGOV Committee provides oversight on information governance matters. ; * A POPIA project is documented and implemented in accordance with project deadlines to ensure compliance by 1 July 2021. This is done by the CIGS department and overseen by the Registrar. ; * Employees have access to the NWU IGF and know what the framework entails; Structures and projects have been established from the IGF to ensure implementation of IGF; * IGF approved, and policies to implement the framework are identified. ; * Employees have access to the NWU IGF and know what the framework entails; Structures and projects have been established from the IGF to ensure implementation of IGF.; * UMC Information Management Committee is operational and advises UMC on information management matters.; * A POPIA project is documented and implemented in accordance with project deadlines to ensure compliance to key aspects as identified by Information Regulator by 1 July 2021. ; * Structured programme for training and awareness implemented and overseen by IMCom.	Goal 6
28	Registrar; Ex.Dir.P&C; DVC R&I	Business processes	The NWU academic project could be in jeopardy because of ineffectiveness and inefficiencies of support functions, possibly leading to loss of income and potential growth, loss of staff, and negative impact on the reputation of the NWU.	4	4	R0	16	0,50	8	Productivity and Human Resource Allocation Model (P&C); * A controlled environment is established in SALA in which each of the sections understands the university policies relevant to their environments, the structure, and brown/yellow lines of operation.; * The job descriptions of support staff in the Registrar's portfolio are up to date and the annual performance appraisal process contains personal development plans to assist with knowledge enhancement.; * The assignment of authority within the SALA environment is clearly defined. ; * Clarity on roles and responsibilities guide the implementation of the responsibility matrix.; * A quality manual has been developed, approved, and is implemented.; * Scheduled meetings between Deputy Registrar and ExDeans.	Goal 6 Goal 5 Goal 4 Goal 2 Goal 1
9	DVC RI	Research Quality	Poor quality of research products due to decline or inadequate funding for research and research chairs.	3	5	R200 000 000	15	0,50	8	NWU budgetary process to focus on sustaining and enhancing the research function; * Processes to detect and manage instances of academic misconduct in place.; * Internal audit executing ongoing compliance audits on Policy on Academic Integrity; * SCIMAGO tool in place to independently determine the quality of research products before the research paper is sent to journals. ; * RISC webinars and awareness on academic integrity in place.	Goal 2

Risk No	Risk Owner	Risk Name	Risk Description	Inherent			IR	CE	Residual Rating	Current Controls	Strategic Objective
				Impact	Likelihood	Exposure					
30	ExDir FF	Infrastructure	Loss of opportunity income, subsidy and loss of return, loss of students and staff and compromise in teaching quality due to limited and inadequate infrastructure planning for teaching	3	5	R0	15	0,50	8	Enrolment plan (2020-2025) developed and approved; * Institutional Budget Committee makes provision for infrastructure planning in budgeting planning.; * Space management project established to optimise governance and management of space across NWU (teaching spaces and non-teaching spaces) IWMS	Goal 6 Goal 5 Goal 4 Goal 1
39	Vice-Chancellor	Staff	Key person dependencies leading to loss of institutional knowledge and create vacuums in key functional areas	3	3	R0	9	0,20	7	Leadership coaching and mentoring programme implemented in order to ensure capacity building and meeting position profile requirements. ; * Differentiated COLA for academic staff	Goal 5
33	Chief Director: TTIS, Directors of Companies, Shareholder Representatives	Commercialisation	Failure of licensee or spin-out to commercialise due to conflicting bureaucratic university processes.	2	4	R0	8	0,20	6	Building optimal relationships with funders; facilitating start-up capital by TTIS; * Establish and maintain proper governance and management environment to ensure accountability and optimal functioning.	Goal 2
5	Ex. Dir. P&C	Staff	Difficulty to recruit and retain qualified and talented staff due to challenges in staff morale due to change and uncertainties and perceived non-implementation of retention strategies.	2	4	R0	8	0,20	6	Provision for a scarce-skill allowance; * Succession Planning Framework in place.; * Communication of a clear employee value proposition; * Well-defined recruitment and admission process in place; * Scarce Skills Policy and Strategy developed, consulted, and approved.; * Differentiated COLA for academic staff	Goal 6 Goal 5
29	ExDir P&C	Staff	Absenteeism leading to loss of productivity and optimal functioning.	3	4	R25 331 618	12	0,50	6	Positions on P7 and below advertised internally first to provide growth opportunities for staff within the NWU; * Line managers have access to the P&C Dashboard reflecting absenteeism trends in their respective environments	Goal 6 Goal 5 Goal 4 Goal 1
23	DVC IT	DRP	Possible inadequate Disaster Recovery Plan within IT could halt the operations of the NWU	4	3	R0	12	0,50	6	Monitoring of machine rooms; * Disaster Recovery Plan; * Replicated site on campus	Goal 6
20	ExDir SL; Campus DVCs; DVC IT	Standardising	Varied student experiences across campuses might lead to dissatisfaction because of the possible negative effect of 'standardising' student life across campuses and the management of student life in new structure.	3	4	R0	12	0,50	6	Student satisfaction survey done annually. ; * IT service (Call centres, Wi-Fi) equally shared and aligned on all 3 campuses.; * Facilitated an e-learning environment during lockdown, by ensuring that students in need received a laptop and data are provided to students to participate optimally in the TL environments); * 0 rated website facilitated by IT after Covid started ; * CTL call centers on all 3 campuses.; * Monthly meetings at campus level with al SL Directors Forum aimed at alignment. ; * COSSS operating as a reporting forum of campus COSSS.	Goal 4 Goal 6

Risk No	Risk Owner	Risk Name	Risk Description	Inherent			IR	CE	Residual Rating	Current Controls	Strategic Objective
				Impact	Likelihood	Exposure					
8	DVC RI. ExDir CRM	Internationalisation	Global engagement/internationalisation effort not sufficient with the effect that the NWU has little international exposure in terms of attracting international staff, students, investment and sponsoring of research. Financial constraints hampering Internationalisation	3	4	R0	12	0,50	6	Internationalisation Policy approved by Council (Sept 2019).; * Business process established to ensure a well-organised process in place in regard to cooperative agreements by the DVC RI; * 'GE office' footprint established on MC and Vdb C; * Commercialisation and investment opportunities explored in international markets; * Campaigns targeting alumni living abroad for donations.	Goal 2
16	Registrar; ExDir FF	Fraud	The risk that fraudulent activities could be prevalent in some business process environments and could impact negatively on the reputation of the NWU.	4	3	R0	12	0,50	6	KFS process established and implemented by Finances to detect and prevent transactions between NWU and staff.; * Reporting to UMC and to ARCC which covers the risk.; * Awareness campaigns are driven by Internal Audit by means of the regular annual programme across NWU. ; * NWU Policy and Rules on Conflict of Interest and on the declaration of interest and of gifts approved and implemented.; * Internal Audit reporting to UMC and to ARCC the details of incidents.; * Antifraud Policy, incl antifraud strategy in place to guide the correct understanding of the subject matter and the prevention thereof.; * Audit plan executed at regular intervals by Internal Audit, to cover ongoing auditing of the risk.; * Training programme rolled out across NWU to create awareness around fraudulent activities.; * Zero tolerance approach in dealing with disciplinary cases where academic dishonesty is displayed.; * SCC Rules, Student Disciplinary Rules, and Residence Rules; * Secure process implemented for the drafting, printing and transport of examination papers.; * Policy and Manual on Student Discipline approved, implemented and monitored.	Goal 6
181	DVC TL and DVC RI	Programme Offering	Possibility that UG and PG academic offering and services related to offering are not responsive, price appropriate and that the quality is not of the required standard. Slow external approval process of qualifications/programmes leading to loss-of-opportunities and possible irrelevance of NWU programme offering.	3	3	R0	9	0,50	4	External (HEQC) and internal (Q&APP) workshops hosted to ensure a proper understanding of relevant regulatory frameworks.; * Clear internal and external business processes to ensure academic programme development, sufficient curriculum design, and clarity on internal and external approval processes in place. ; * NWU TL Strategy, Teaching-Learning and Assessment Policy and Rules clarifies the purpose and scope of sound academic programme development at macro, meso, and micro levels.; * Regular opportunities exist for the quality review of internal and external academic programmes.; * Productivity measurement tool has been implemented in all faculties. ; * Productivity and quality model designed for departments to give objective insight. ; * Rigorous planning process in place for new academic offerings, after the completion of the HEQSF process.; * Planned roll-out of IPEs and EPEs in faculties and support departments.; * Scheduled IPEs and EPEs evaluation in faculties and support department.	Goal 1 Goal 2

Risk No	Risk Owner	Risk Name	Risk Description	Inherent			IR	CE	Residual Rating	Current Controls	Strategic Objective
				Impact	Likelihood	Exposure					
27	ExDir: Student Life	Student experience	Inadequate measures to create a welcoming student environment at the NWU	3	3	R0	9	0,50	4	Thoughts and complaints line. Inclusive planning process takes place with all the stakeholders. Planning includes feedback from the Thoughts and Complaints line process.; * Defined process to appoint and train house parents; * Aligned R&O programme across all 3 campuses	Goal 4 Goal 6
2	ExDir FF	Student Debt	Increase in student debt as a result of non-paying culture, exacerbated by uncertainties on the sustainability of the NSFAS model	3	3	R500 000 000	9	0,50	4	Careful implementation of Financial Rules guidelines; * Consistent information-sharing and communication on NSFAS processes by Student Finance Department to NWU student population; * Building available reserves by ExDir FF and financial team to cover one year of operational expenses.; * Building optimal relationships with funders; facilitating start-up capital by TTIS; * Undertaking initiatives with regard to fundraising and endowment to ensure new sustainable source of income; * Process in place by Student Finance dept. to follow-up on student debt matters, such as ongoing communication with students; pre-registration finance committee structures at respective campuses, various options to students to pre-agree on settlement of debt.	Goal 6 Goal 5 Goal 4 Goal 3 Goal 1 Goal 2
17	Registrar	Academic Integrity	Inconsistent application of the NWU Policy on Academic Integrity resulting in negative impact on the reputation of the university, the issuing of penalties, revoking of qualifications and loss of income from subsidised publications.	3	3	R3 000 000	9	0,50	4	Audit plan executed at regular intervals by Internal Audit, to cover ongoing auditing of the risk.; * Policy and Rules on Academic Integrity approved by Council and implemented, incl clear rules on the manner in which alleged cases are to be interpreted and managed; * In student environment, the Writing Laboratories across campuses and the Student Judicial Office collaborate in regard of all cases related to transgressions pertaining academic integrity matters; * Ongoing refinement of capabilities to execute technical investigations in order to produce credible and trustworthy reports.; * Capability in regard to similarity software expanded by the implementation of homegrown application that focus on style and register of writing.; * DVC RI hosted webinars on academic integrity to enhance general awareness thereof in the research environment.; * Faculties embarked on awareness campaigns to enhance awareness to academic integrity amongst students.; * Policy and Rules on Academic Integrity were revised and approved by Council in June 2021.	Goal 6 Goal 1 Goal 2
38	DVC: TL	Business Model	Uncertainties in regard to the language plan implementation in the unitary model could lead to disruption	3	3	R0	9	0,50	4	Faculty language plans, CRM language plan and SL plans approved; * Leadership coaching and mentoring programme implemented in order to ensure capacity building and meeting position profile requirements.; * Monitoring and evaluation of implementation in place by Senate Committee.; * SLPs on multi lingual pedagogies developed for offering to academic staff.	Goal 6

Risk No	Risk Owner	Risk Name	Risk Description	Inherent			IR	CE	Residual Rating	Current Controls	Strategic Objective
				Impact	Likelihood	Exposure					
31	VC, ExDir FF, UMC	Compliance	Loss of lives, financial losses and closure of business due to non compliance to health and safety laws.	4	2	R100 000	8	0,50	4	Continuous OHS training and monitoring per schedule and budget. Departmental Health and Safety reps. Health and safety appointments such as 16(2)'s.; * NWU OHS management system implemented; * Awareness campaigns are driven by Internal Audit by means of the regular annual programme across NWU.; * Compliance to the OHS national legislative environment.; * NWU OHS Policy approved, supported by the relevant rules and standard operating procedures.; * Regular self-assessment compliance audits; also compliance audits by Internal Audit	Goal 6
13	DVC TL and ExeDeans	Student Throughput	Decline in student throughput and student success due to external factors such as NSFAS rules, lack of focus of student-support services and other factors	3	5	R0	15	0,75	4	Admission tests and placement tests are performed to guide admission into qualifications and allocation of students to second and third choices if admission requirements to preferred choice have not been met; * Measuring tools in place to trace and track student success; * Faculty plans in place to enhance and manage student throughput.; * Offering of supplemental instruction (SI) interventions, group, and individual tutorial interventions, and one-on-one student support and walk-in services. Each faculty has student advisors (usually honours or master's students) who mentor junior students.; * NWU 2015-2025, as well as subsequent APPs, determine the thresholds for student success.; * NSFAS rules set clear boundary conditions for eligibility in regard to NSFAS funding.; * Facilitated an e-learning environment during lockdown, by ensuring that students in need received a laptop and data are provided to students to participate optimally in the TL environments); * Keep on Teaching and Learning - Website of CTL	Goal 1

Risk No	Risk Owner	Risk Name	Risk Description	Inherent			IR	CE	Residual Rating	Current Controls	Strategic Objective
				Impact	Likelihood	Exposure					
11	DVC TL	Technology Based Learning	Apparent unpreparedness for functioning in blended-learning environment, exacerbated by the perception that technology does not support the Teaching-Learning effort in an optimal way, leading to missed opportunities for blended learning.	4	3	R0	12	0,75	3	Induction programme on blended teaching offered by CTL even within the online context.; * NWU Teaching-Learning and Assessment policy guides the implementation of a blended model aimed at enhancing access and success; * Bi-annual/Annual report on TL support activities to provide an update on the scope and extent of technology uptake in TL environment.; * Vigorous training programme for staff and students in the online and face-to-face context is continuous and often on a daily/weekly basis by the CTL staff.; * TL Strategy 2021-2025 has been approved after wide buy-in was sought from all the faculties and support departments and approved by all the relevant structures up to the level of Council - the blended approach and increased use of appropriate technologies during teaching and learning thus have wide support. All procedures are being updated that give operational effect to the TL strategy.; * Video platform Panopto: UCDG funding has been received to pilot its use through licensing. Lecture capturing hardware and software download. (more enabling environment for what is available in the CTL space). One button studios on campuses - technology for lecturers to capture the class and upload for students to watch repeatedly. Voice-over PowerPoints have become common and effective in the online environment.; * LMS functionalities have been well enhanced.	Goal 1 Goal 6
12	DVC Integrated Planning	Enrolment	Over and under enrolment resulting in financial losses	3	4	R100 000 000	12	0,75	3	Enrolment plan (2020-2025) developed and approved; * Well-defined recruitment and admission process in place	Goal 1 Goal 4 Goal 6
25	Registrar; DVC TL	Commercialisation	Commercialisation risks - offering of non-compliant SLPs; income not coming to NWU	3	4	R0	12	0,75	3	Oversight body - Registrar's Committee for TL-related agreements - established in 2014 to guide the approval process.; * Establishment of UCE with a clear mandate to work proactively with faculties towards income stream 3 to add value.; * Faculties implemented a process by means of which responsibility of ExDean and involvement of Legal Office are spelled out and reporting to mentioned committee.; * Monitoring by UMC and Senate in place.	Goal 3 Goal 6
22	ExDir CRM	Protecting the brand and reputation of the NWU	A reputational risk is evident if the public and stakeholders do not believe the university is living up to its promise of social justice. The perceptions of stakeholders with regard to the NWU's standing in comparison with other HEI's.	3	4	R0	12	0,75	3	The marketing strategy promoting multi lingualism; * The recruitment strategy currently focuses on quality of TL delivery; * Message to stakeholders focuses on the delivery of the promise of academic excellence and overtly moving away from any notion related to "campus niche".	Goal 1 Goal 4 Goal 6

Risk No	Risk Owner	Risk Name	Risk Description	Inherent			IR	CE	Residual Rating	Current Controls	Strategic Objective
				Impact	Likelihood	Exposure					
34	ExDir: Student Life	Student Leadership	Inadequacies in student leadership skills leading to possible human rights and other values infringements presenting a student offering no longer desired by students	3	4	R0	12	0,75	3	Awareness and training programmes on LGBTQ+ and other human rights issues - structures established in Societies Portfolios and also in Race Language Awareness programmes.; * Leadership coaching and mentoring programme implemented in order to ensure capacity building and meeting position profile requirements.; * Continuous process of review and measurement to gauge the student offering and its acceptance among the student body; * Template for dealing with concerns and giving proposals, by Student leaders for UMC members to respond. This leads to better communication to student leaders and regular meetings with key UMC members.	Goal 4
32	DVC Rl; Chief Director: TTIS	Commercialisation	Missing out on commercialisation opportunities	2	3	R0	6	0,50	3	Continuous engage with potential funders to understand funding criteria; * Recruit additional senior commercialisation specialists; * Governance Project completed and signatories defined.	Goal 2
10	DVC TL; Executive Deans	School Leavers	Standards gap between basic and tertiary education leading to ill preparedness of school leavers for tertiary education	3	3	R120 000 000	9	0,75	2	Admission tests and placement tests are performed to guide admission into qualifications and allocation of students to second and third choices if admission requirements to preferred choice have not been met; * Faculty plans in place to enhance and manage student throughput.; * Offering of supplemental instruction (SI) interventions, group, and individual tutorial interventions, and one-on-one student support and walk-in services. Each faculty has student advisors (usually honours or master's students) who mentor junior students.; * Offering of Academic Literacy module that runs over the whole first year including components of reading, writing and basic computer literacy; also providing guidance in terms of learning strategies.; * Offering of bridging courses to augment skills of university entrants; * NWU TL Strategy (2016-2020) indicating that the NWU student-value proposition is, amongst others, underpinned by the equity of access and an empowering and supportive learning experience.; * Strategic Intelligence Reports provided at regular intervals to FMCs and other structures for monitoring and informed decision-making purposes.	Goal 1 Goal 4

Risk No	Risk Owner	Risk Name	Risk Description	Inherent			IR	CE	Residual Rating	Current Controls	Strategic Objective
				Impact	Likelihood	Exposure					
19	ExDir Student Life; Campus DVCs; Registrar	Protest	Possibility of student protests/unrest on campuses disrupting academic activity and endangering staff and student safety.	3	3	R50 000 000	9	0,75	2	Well-described process to deal with any instances of crime as establishment of Joint Operating Teams including SAPS, liaison with Public Order Policing and Intelligence Services; ; * Protection services at all campuses operating in accordance with pre-determined SOPs; * Policy and Rules on Gatherings, Demonstrations and Picketing; * Emergency contingency plans in place.; * Continuous engagement with stakeholders ; * Monitor and identify any possibility for unrest at campus due to elections.; * Template for dealing with concerns and giving proposals, by Student leaders for UMC members to respond. This leads to better communication to student leaders and regular meetings with key UMC members.	Goal 4 Goal 6
15	Registrar	Compliance	Financial losses, possible imprisonment and penalties due to lack of compliance to legislation, statutory requirements, licenses and other legal requirements.	3	3	R0	9	0,75	2	Systematic annual review process implemented involving all owners of legislation with the aim to complete compliance checklists, draft improvement plans that are, in turn, monitored by management and governance structures; * Audit plan executed at regular intervals by Internal Audit, to cover ongoing auditing of the risk.; * Reporting to UMC and to ARCC which covers the risk.; * Risk and Compliance Policy approved by Council to guide institution-wide implementation.; * OHS committee functionaries (16(1) and 16(2)) and committee structures finalised and operational.; * Governance oversight done by ARCC who reports to Council	Goal 6
7	DVC TL	Market place Expectations	Perceived inability to meet market-place expectations in that graduates do not find employment quickly enough.	2	3	R0	6	0,75	2	Participation of NWU in ratings and rankings process by means of clear focus and strategy and with bespoke data.; * The NWU, through the development of graduate attributes and integrating these into module outcomes, better prepares its students to lead fulfilling and productive professional, public and personal lives and afford them a strategic edge in the world of work.; *Stronger focus on entrepreneurial skills through various initiatives within but also external to academic programmes.; * Through proper academic-programme planning and curriculum design, the NWU's PQM is relevant and responsive. ; * The NWU Career Office provides services to NWU students and potential employees to ensure the relevance of the graduate output of the NWU. ; * Through regular engagements with the industry, the NWU ensures that its graduate output meets professional demands.	Goal 1 Goal 4

13.5 Annexure 5: Annual Financial overview 2021

Report of the Chairperson of the Finance Committee and the Executive Director: Finance and Facilities

The purpose of this report is to present a summary of the financial results of the university for 2021 and to provide information regarding the following:

- Budgeting and budgetary control processes
- Overview of financial achievements

13.5.1 Budgeting and budgetary control processes in 2021

For 2021 a revised budget process was introduced whereby a rolling three-year budget would be compiled during the budget process. An interactive budget process was proposed where managers link their portfolio's/department's strategy and APP with resources, thus allocating R-values against the plans for the next 3 years. Certain assumptions, past trends, risks and concerns, benchmarking and zero-based budgeting principles, where possible, were tools that could assist managers during this process.

A pre-calculated high-level budget, taking into account the approved APP, the viability and sustainability indicators, the impact of the Covid-19 pandemic and the NWU mitigation plan as well as other financial information available were used as the budget framework during the process. As most of the managers were intensively involved in the process to save the 2020 academic year and had limited or no time available to work on detailed budgets, it was proposed that the Financial Planning accountant-team use the high-level budget framework, analyse it into the different portfolios and prepare the 2021-2023 budgets for discussion with the Executive Managers and Executive Deans.

The revised budget process for 2021 was approved by the Finance Committee meeting in May 2020 and the Council meeting in July 2020.

To improve on the integrated planning process, the revision of the NWU strategy and APP, workforce planning and infrastructure and macro maintenance planning were all processes implemented parallel to the budget process and informed the budget.

Budget discussions took place on various management levels. Consultation sessions were held with the Senior Management Committee (SMC) to consult on the NWU high level budget. Executive managers, with the assistance of the financial planning team, had various meetings with their management teams. Each Executive Manager also had the opportunity to discuss his/her portfolio budget with the University Budget Committee task team, focusing on the following:

- i) A financial overview per each income stream;
- ii) The impact of the pandemic on 2020 outputs and the enrolment planning for 2021-2023;
- iii) Redirection of operating and capital budgets towards the new way of working/new demands post Covid-19;
- iv) Staff planning, including the staff cost mitigation plan for the medium term;
- v) Possible risks and concerns; and
- vi) Linking the strategy and APP.

13.5.1.1 NWU high-level 2021-2023 rolling budget

A base budget against which to measure the financial impact of the Covid-19 pandemic was compiled before taking into account any possible financial impact that the pandemic will have in future years. To calculate the possible financial impact, different scenarios were sketched, based on a set of general and financial assumptions/risk factors. The main focus when determining the possible financial impact was the sensitivity of the NWU income sources to the assumptions/risk factors in the short and medium term (2020-2024) according to the Financial Impact Model (FIM) and principles. The base income budget adjusted by the financial impact of the most probable scenario was used as the 2021-2023 high-level budget framework during the budget process.

13.5.1.2 2021-2023 base budget overview

The high-level budget was compiled according to the set principles. As the budget was shaped by the realistic prediction of income, translating to expenses that can be "afforded", the calculation of the key sources of income received intensive attention, taking into account all the latest relevant information available. The 2020 budgeted cash-flow expense ratios were used as the basis to calculate the high-level expense budget.

13.5.1.3 Budget control process

As the performance agreements of all staff are linked to the APP, all the different levels of management remained involved in the management of the budget and therefore the budget control process did not change. In the course of any given year all staff members who deal with finances remain closely involved through the monthly variance reporting structures. Variance reports were monitored up to University Management level on a quarterly basis via the Management Statements that served at the UMC, and also reported biannually to the Finance Committee of Council. Furthermore, for source of funds (SOF) 2, 3 and 5, only income actually received was allowed to be spent.

13.5.2 Overview of financial achievements

The Covid-19 pandemic (past, current and ongoing) situation and the implications thereof in their entirety should be kept in mind when reading and referring to the analysis and interpretation of the content of this overview. Surplus should rather mostly be seen as “Unspent funds” and not interpreted as income in excess of expenses, as would “normally” be the case. Focus should be placed on the unprecedented times under which operations had to be conducted during 2020 and 2021 and the delay of, or the restrictions on, normal operating activities, giving rise to distorted spending patterns.

The financial review for the year ended 31 December 2021 is presented under the following headings:

- **Surplus and growth**

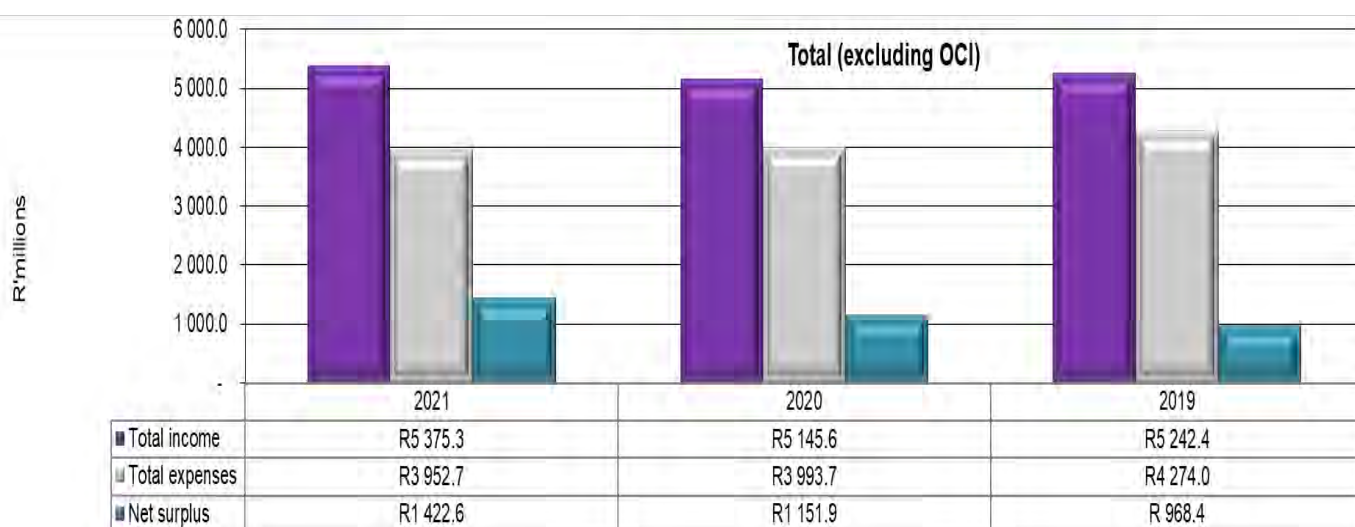
The total surplus for 2021 is R1 422,6 million (2020: R1 151,9 million and 2019: R968,4 million) and increased by 23,5% compared to 2020. Total surplus expressed as percentage of total income was 26,5% for 2021 (2020: 22,4% and 2019: 18,5%). Total surplus can be divided into surplus from recurrent activities of R1 282,2 million (2020: R1 107,8 million and 2019: R905,7 million) and surplus from non-recurrent activities of R140,4 million (2020: R44,1 million and 2019: R62,7 million). Expressed as a percentage, surplus from recurrent operations represents 23,9% of total income for 2021 (2020: 21,5% and 2019: 17,3%) and non-recurrent surplus 2,6% (2020: 0,9% and 2019: 1,2%).

The total income of the university increased by 4,5% during 2021 to R5 375,3 million compared to the previous year (2020: R5 145,6 million), and increased by 2,5% compared with 2019 (R5 242,4 million). Total expenditure of R3 952,7 million decreased by 1,0% for the 2021 financial year (2020: R3 993,7 million) and was therefore the main contributor to the higher surplus. Total expenditure had decreased by 7,5% since 2019 (R4 274,0 million). These ratios clearly indicate a deviation from normal operating activities and spending patterns, leaving a great amount of available budgeted funding unspent during 2021.

The impact of IAS19 valuations on expenses is an increase of R8,6 million for 2021 (2020: R12,2 million increase), compared to the decrease of R15,0 million for 2019.

Other comprehensive income for 2021 totalled a surplus of R87,4 million (2020: R23,1 million surplus and 2019: R69,1 million deficit). This gave rise to a reportable total comprehensive income for the year of

R1 510,0 million (2020: R1 174,9 million and 2019: R899,3 million).

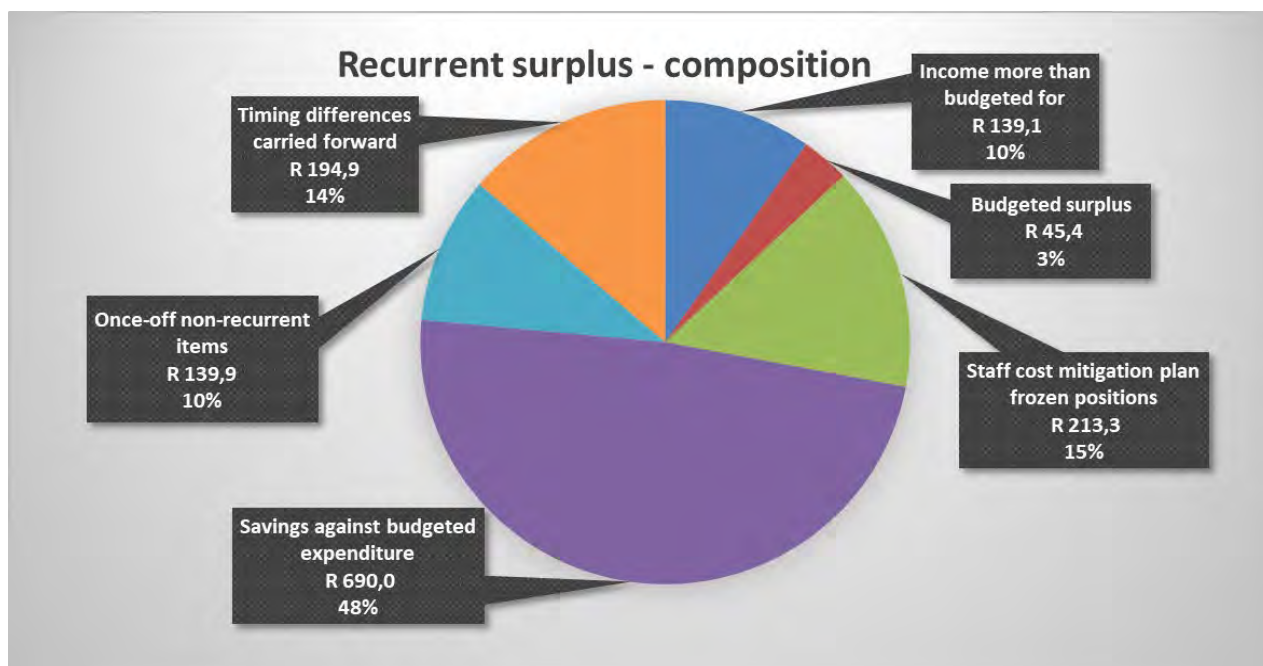


The income of the university from recurrent activities increased by 2,9% to a total income of R5 234,9 million, while the total expenses from recurrent activities decreased by 0,7% to a total expenditure of R3 952,7 million for 2021. The surplus for the 2021 financial year from recurrent activities represents 24,5% (2020: 21,8% and 2019: 17,9%) of the total recurrent income.

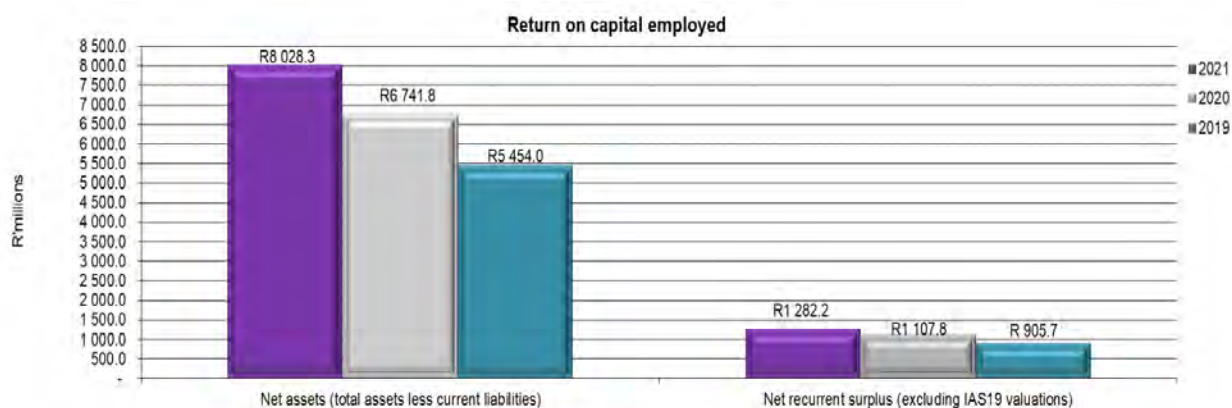
The material contributing items to the higher amount of unspent funds are the savings on operational costs, as well as staff costs, which are a resultant impact of Covid19 and the accompanying lockdown levels that prevented certain activities from continuing during 2020 and also 2021. Furthermore, savings on staff costs in the amount of R213,3m were planned in line with the medium to long term staff cost mitigation plan that was informed by the FIM. The increase in the surplus from recurrent activities can be attributed to a number of factors, including.

- The infrastructure efficiency earmarked grant for infrastructure projects is recognised only as and when the expenses are incurred;
- timing differences due to for example capital and macro-maintenance projects, as well as strategic projects not completed during the year, which were carried over to 2022;
- favourable investment returns on a growing long term investment portfolio;
- staff remuneration savings on vacant positions, etc.;
- staff remuneration savings in line with the medium to long term Covid-19 mitigation plan; and
- savings against operating budget allocations due to lower activity levels as a result of Covid-19.

Higher than planned expenses include the supplying of data, printed study material, and an increase in marketing and branding costs.



The university's return from recurrent operating activities on capital employed (total assets less current liabilities) decreased to 16,0% (2020: 16,4% decrease) but still compares satisfactorily to 16,6% in 2019. This is mainly due to an increase of 19,1% in net assets despite an increase in the recurrent surplus.



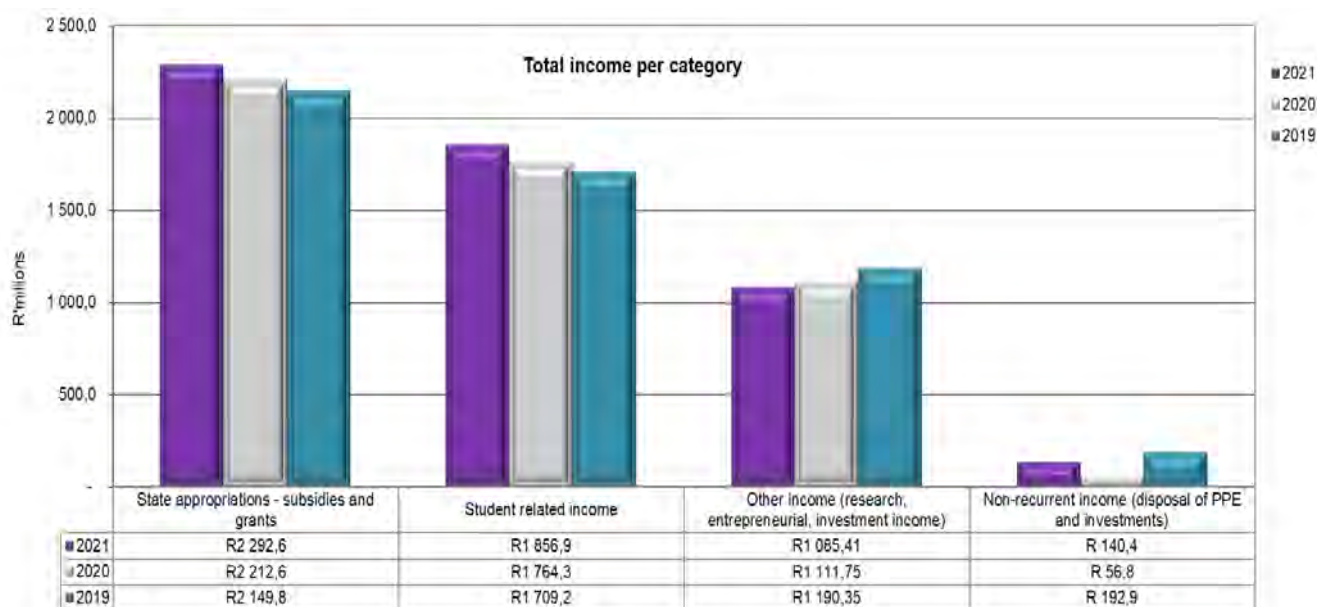
The University's return from recurrent operating activities on capital employed (total assets less current liabilities) decreased to 16,2% (2020: 16,4% decrease) but still compares satisfactorily to 16,6% in 2019. This is mainly due to an increase of 17,5% in net assets despite an increase in the recurrent surplus.



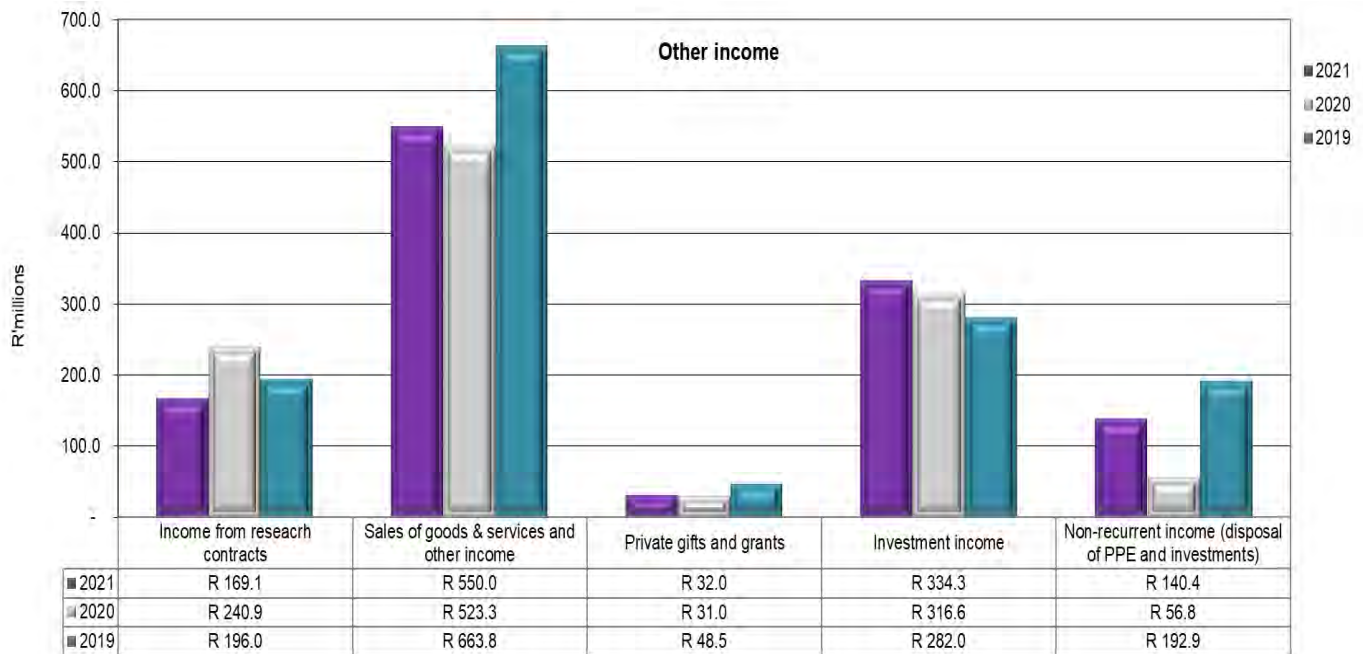
Income from state appropriations (subsidies and grants) represents 42,6% of total income (2020: 43,0% and 2019: 41,0%), an increase of 3,6% from 2020 to 2021 – compared to the 2,9% increase from 2019 to 2020. The block grant subsidy was revised during March 2021 and the DHET implemented a cut of 0,9% (R21,1 million) for the 2021 allocation. Total state subsidies comprise a 95,5% block grant and 4,5% earmarked grants. Earmarked grants to the tune of R121,7 million were deferred (2020: R162,0 million and 2019: R86,7 million). This amount includes R42,6 million received in advance regarding the final gap funding grant, which is being phased out. Universities will be responsible for surpluses and deficits in gap grant funding until the cohort of students who benefitted from the gap grant no longer enrol at the university.

Tuition fees increased by 4,7% for contact students and 5,4% for distance students for 2021 (2020: 5,4% for contact students and 5,3% for distance students, and 5,3% overall for 2019). Tuition fees of R67,7 million were deferred at the end of 2020 due to the 15 days extension of the academic year. This amount was recognised in 2021 and contributed to the higher percentage. Although our major growth driver, namely student numbers, decreased by 4,4% for 2021, student-related income was still 5,2% higher than in 2020 (2020: 3,2% higher and 2019: 10,3% higher) due to the deferral. For the same reason as tuition fees, deferred 2020 residence fees of R11,1 million were recognised in 2021. NSFAS funding to students enabled a higher number of enrolments.

The number of NSFAS students for 2021 was 23 897 (2020: 22 280 and 2019: 18 141 students). The total student-related income represents 34,5% of the total income (2020: 34,3% and 2019: 32,6%).



Other income represents 20,2% of total income (2020: 21,6% and 2019: 22,7%). This ratio excludes non-recurrent income (2,6% of total income), which may affect comparability depending on events and related amounts per year. Non-recurrent income was 2020: 1,1% and 2019: 3,7%.



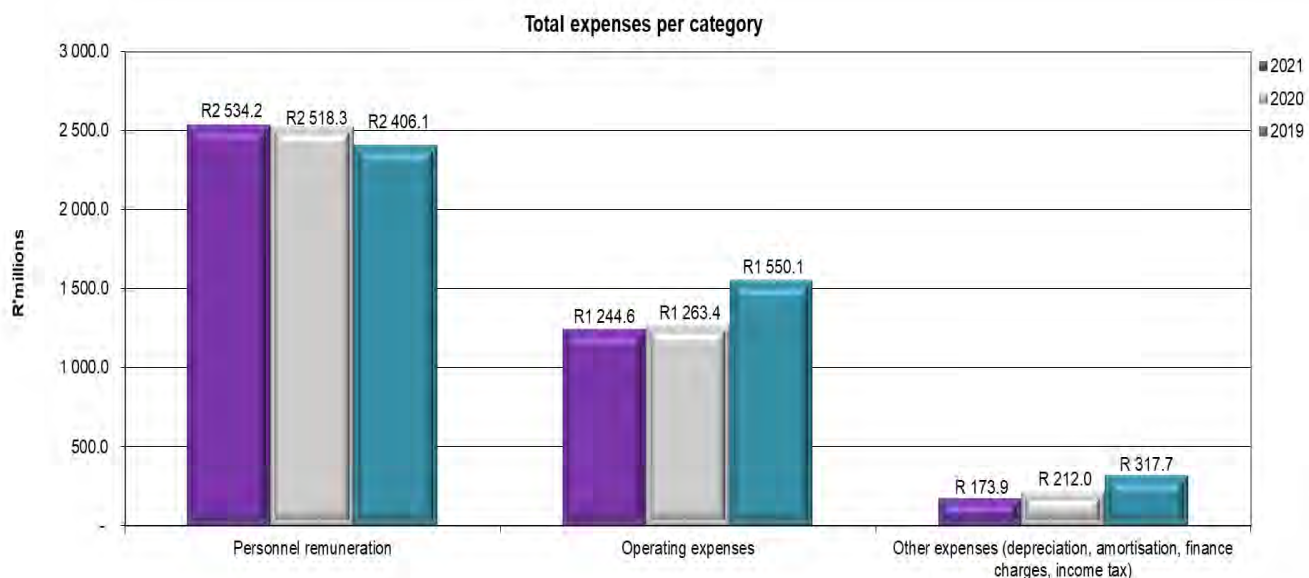
Total expenditure decreased by 1,0% (2020: decreased by 6,6% and 2019: increased by 9,7%). Note should be taken of the interruption in the trend of this ratio, as an increase would normally be expected in line with higher education inflation. Underspensing of funds on operations due to the impact of Covid-19 gave rise to a decrease in total expenditure compared to previous years.

Personnel remuneration increased by 0,6% compared to 4,7% for 2020 (2019: 7,2%). The increase reflects a combined weighted annualised average of the 4,31% Cost of Living Adjustment (COLA) and comprised a permanent carry-over component only. The total cost of personnel expenditure for 2021 decreased to 47,1% of total income (2020: 48,9% and 2019: 45,9%), mainly due to the increase in income and the impact of the IAS19 valuations. Council-controlled personnel expenditure is closely monitored to stay within the norm set by the Department, i.e. 57,5%-63,0%. This target includes amounts paid for services outsourced, while the university shows amounts paid for services outsourced as part of operating income. The ratio for total council-controlled personnel cost compared to total council-controlled income was 50,2% for 2021 (2020: 52,8% and 2019: 49,7%). The main reason for this decrease in 2021 is the increase in income, the higher-than-normal number of vacancies, and the result of the staff cost mitigation plan in response to the forecast medium to long term financial impact of Covid-19. The total effect of IAS19 valuations amounted to a R8,6 million increase in staff expenses (recurrent and non-recurrent) for 2021 (2020: R12,2 million increase and 2019: R15,0 million decrease).

Operating expenditure decreased by 1,5% compared to 2020 as a direct result of Covid-19 and the lockdown levels that prevented certain activities from continuing. During 2020 operating expenses decreased by 18,5% compared to 2019 (2019: 4,5% increase). Operating costs represent 31,5% of total income (2020: 31,6% and 2019: 36,3%), which is mainly due to the increase in income as well as the savings on operating expenses. This ratio is therefore below the maximum target of 42%. A number of projects had to be carried over to 2022 due to Covid-19.

Expenses include an amount of R50,9 million (2020: R54,9 million and 2019: R47,1 million) written off as irrecoverable and doubtful student debt. The student debt ratio (before impairment) is set to be less than the maximum norm of 20,0% for the sector. The NWU has a student debt (before expected credit loss) to tuition fees ratio of 14,3% for 2021 (2020: 17,8% and 2019: 12,2%). Provision for expected credit loss on student debtors decreased by R28,7 million or 31,2% in 2021 compared to the R30,5 million or 49,7% increase in 2020 (2019: R5,1 million or 9,0% increase). The impact of the expected credit loss on sundry debtors was a decrease of R0,5 million in expected impairment for 2021.

Other expenditure relating to depreciation and finance charges, also including non-recurrent expenditure, decreased by 18,0% (2020: 33,3% decrease and 2019: 89,8% increase).



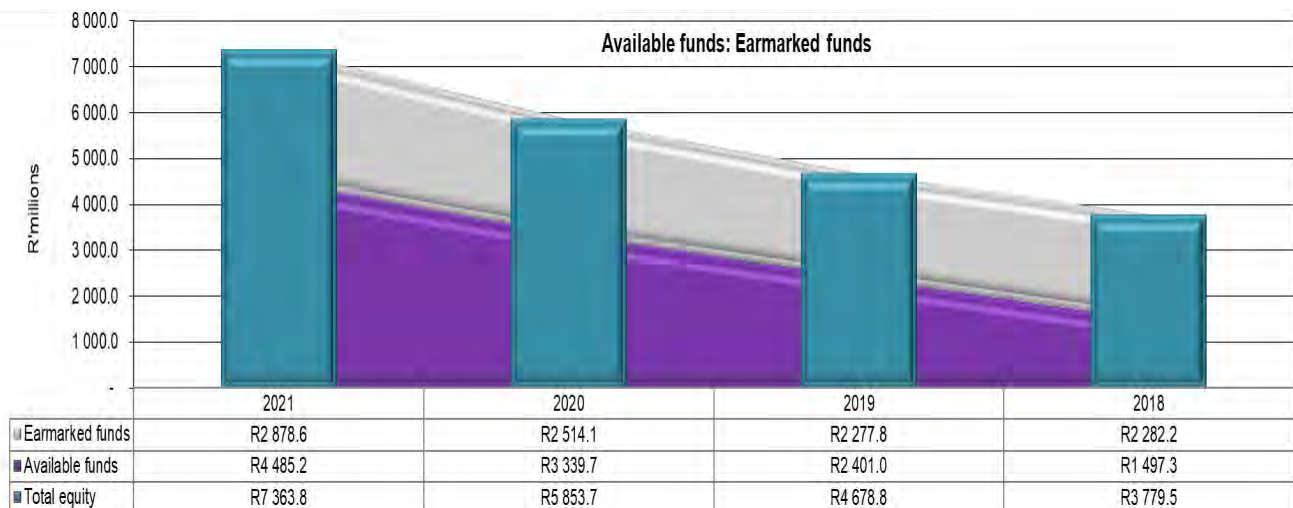
Strict monitoring of income and expenses together with tight budgetary controls, heightened awareness and behaviour regarding savings, as well as the impact of Covid-19 on activities, resulted in a higher surplus and therefore a positive contribution towards the university's available reserves. As mentioned above, a material portion of the savings can be attributed to timing differences and will result in a spending against reserves in 2022. The increase in assets serves as an indication that timing differences relating to 2020 were eliminated during spending in 2021, thereby creating potential for income generating operations.

• Equity

The university's equity increased by 25,8% in the 2021 financial year (2020: 25,1% and 2019: 23,8%), mainly due to the higher amount of unspent funds (surplus). An increase of R78,2 million in the net asset value of employee benefits (employer surplus account of the pension fund and disability reserve fund) on 31 December 2021 must be noted – as per external actuarial valuation in terms of IAS19 (2020: R0,7 million decrease and 2019: R53,2 million decrease). This increase is purely the return earned on the employer surplus portion of the pension fund investments in 2021 compared to the small deviation in 2020 attributable to all members being converted to defined contribution as opposed to the previous combination of defined contribution members and defined benefit members in 2019. Investment in property, plant and equipment contributed R83,1 million to the higher equity percentage. The unrealised fair value adjustment reserve increased by R126,4 million during 2021, compared to the increase of R56,8 million in 2020. This is the result of markets steadily recovering from the negative impact on markets worldwide during 2020 due to Covid-19 conditions and their impact.

The available funds increased to 60,9% of total equity (2020: 57,1% and 2019: 51,3%), mainly due to the recurrent surplus of 24,5%. Although the university has a normal target of 3% to 6% of turnover for surplus from recurrent activities, the current target is set higher, in an effort to increase the level of available Council-controlled reserves in order to reach the norm for the sector. The impact of Covid-19 on the university's activities had a material impact on the spending pattern. Some infrastructure and other projects were postponed due Covid-19 conditions, which placed practical restrictions on the NWU, while other projects commenced late in 2021 and will only be completed in 2022 – thus spending against carried-forward 2021 available reserves will take place during 2022.

The sustainability ratio of Council-controlled reserves over total expenditure for the year was 1,13 (2020: 0,84 and 2019: 0,56). This trend, as well as the vast improvement in Council-controlled reserves (which increased from R1 497,3 million in 2018 to R4 485,2 million in 2021), although on a lower-than-normal expense base, is indicative of the commitment of the NWU towards financial sustainability, and of good progress towards the DHET norm of 1,0. The university expects this ratio to decrease in future once spending patterns normalise from the fluctuations attributable to Covid-19-related conditions over the last two financial years.



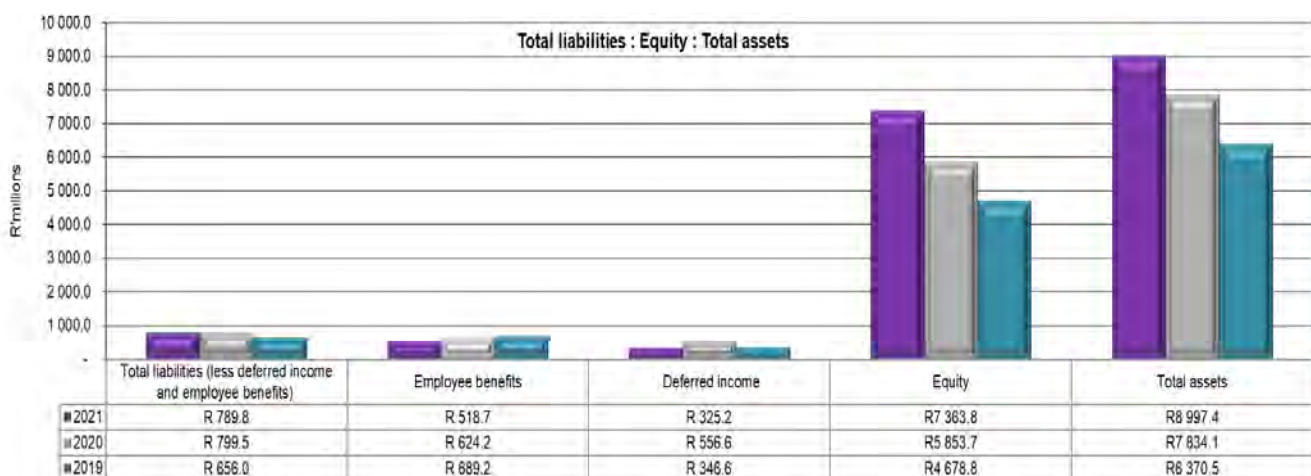
• Solvability

The total liabilities (R1 633,7 million) at year-end for 2021 expressed over total equity (R7 363,8 million) means the university's ratio of debt to equity is 0,22 (2020: 0,34 and 2019: 0,36). This is the result of an increase of 25,8% in equity (2020: 25,1% and 2019: 23,8%) for the reasons explained above, and a decrease of 17,5% in total liabilities (2020: 17,1% increase and 2019: 17,0% increase). The amount of R325,2 million (2020: R556,6 million and 2019: R346,6 million) (including accumulated interest) relating to the previous as well as the new cycle infrastructure grants, is included in total liabilities under deferred income. The 2021 academic year was successfully completed compared to the 2020 academic year that was extended by 15 days into 2021 in order to complete the year successfully. Tuition fees of R67,7 million and residence fees of R11,1 million were therefore deferred at the end of 2020 and included in income received in advance, with no comparatives for 2019 or 2021. The second of three accumulated leave pay-outs in the amount of R111,0 million was paid in January 2021 (January 2020: first pay-out of R130,1 million), resulting in a decrease regarding employee benefit obligations.

Infrastructure projects and capitalisation of buildings were able to continue during 2021, resulting in a deferred income decrease of R231,4 million, compared to an increase of R210,0 million for 2020. This was mainly due to Covid-19 restrictions that halted projects. A twenty-year long-term loan in the amount of R235,0 million was entered into with the Development Bank of Southern Africa and the amount of R111,9 million was taken up by the end of 2021 for the establishment of student housing on the Mahikeng campus.

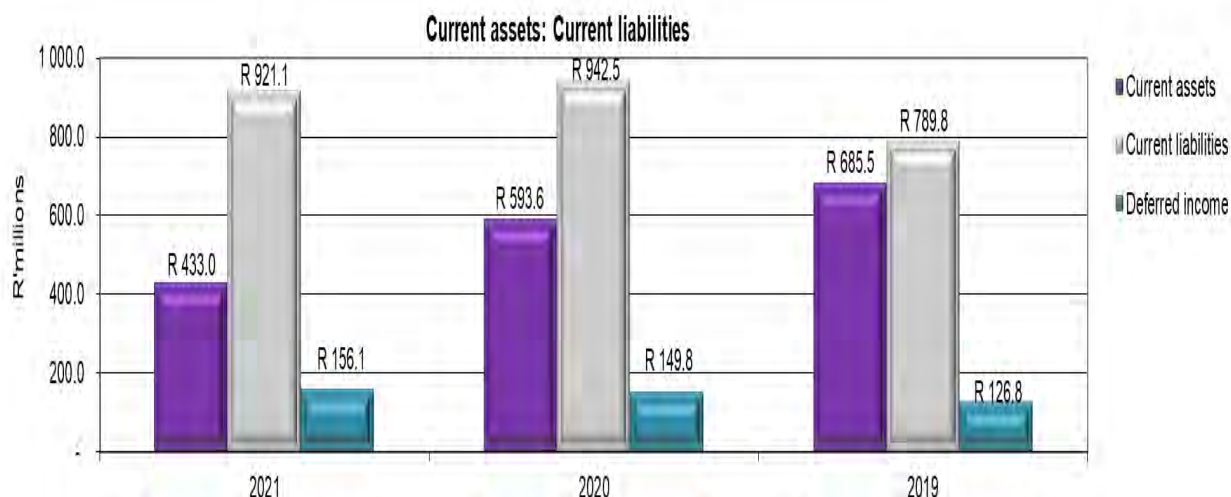
The total liabilities expressed over total assets indicate a ratio of 0,18 for the year (2020: 0,25 and 2019: 0,27). Thus total liabilities are covered 5,51 times by total assets (2020: 3,96 and 2019: 3,77 times).

The FIM built in response to the Covid-19 pandemic indicates that the university's income sources are highly volatile and therefore will result in a significant financial impact if any change occurred in the medium and long term, and therefore the university will be vigilant in monitoring and managing this potential impact on the current solvability and sustainability, while the current improvement on the solvency ratios will go a long way towards enabling the university to withstand the potential financial impact.



- **Liquidity**

The working capital ratio indicates that the current liabilities are covered 0,40 times by the current assets (2020: 0,54 times and 2019: 0,75 times). If the analysis is expressed in rand value, the current assets (excluding current portion of investments) decreased by R160,6 million for the 2021 financial year, whilst current liabilities for the same period decreased by R15,0 million. The working capital ratio decreased compared to 2020 due to the R145,6 million lesser decrease in current liabilities over current assets. This is due to the increase of R6,3 million in the current portion of deferred income (R156,1 million or 14,5% of total current liabilities) relating to infrastructure grants. For 2020 this portion of deferred income represented 13,7% (R149,8 million) of total current liabilities. Included in the current portion of employee benefits is R110,1 million representing the third and final accumulated leave pay-out that was made in January 2022 to qualifying employees (January 2021 second pay-out: R111,0 million and January 2020 first pay-out: R130,1 million). Council approved a change in the accumulated leave policy during 2019 to reduce the liability over a period of three years.



Funds invested in highly liquid instruments for 2021 improved to R6 445,6 million (2020: R5 510,5 million and 2019: R4 110,0 million), representing an increase of 17,0% from 2020 to 2021, compared to movement from 2019 to 2020 where funds increased by 34,1%. This total includes the amount of R1 904,9 million current portion of investments for 2021 (2020: R1 486,0 million and 2019: R710,1 million).

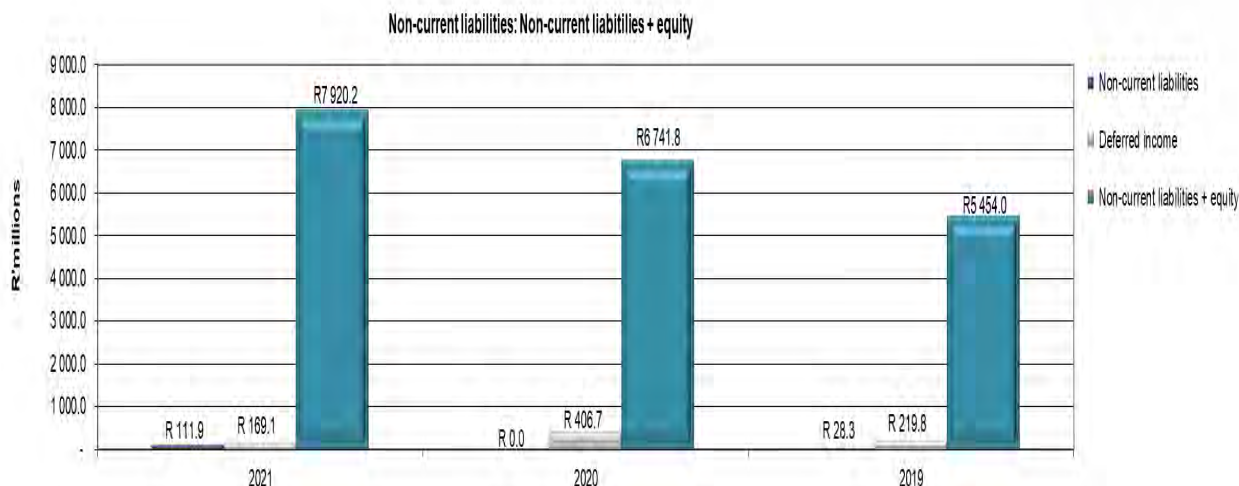
	2021	2020	2019
	R million	R million	R million
Cash and cash equivalents	141,4	285,3	424,5
Money market portfolio (NCDs)	4 199,5	4 150,1	3 125,3
Broker portfolio (listed shares and bonds)	2 051,7	1 022,0	543,2
Other investments (unlisted, including associates)	53,0	53,1	17,0
Total investments and cash	6 445,6	5 510,5	4 110,0

The cash-flow situation is monitored closely in order to achieve an optimal balance between long-term and short-term investments to optimise investment income without compromising cash flow for operational needs.

- **Gearing ratios**

Gearing ratios analyse the extent to which long-term finance is used as a source of financing. It is a longer-term indication of liquidity.

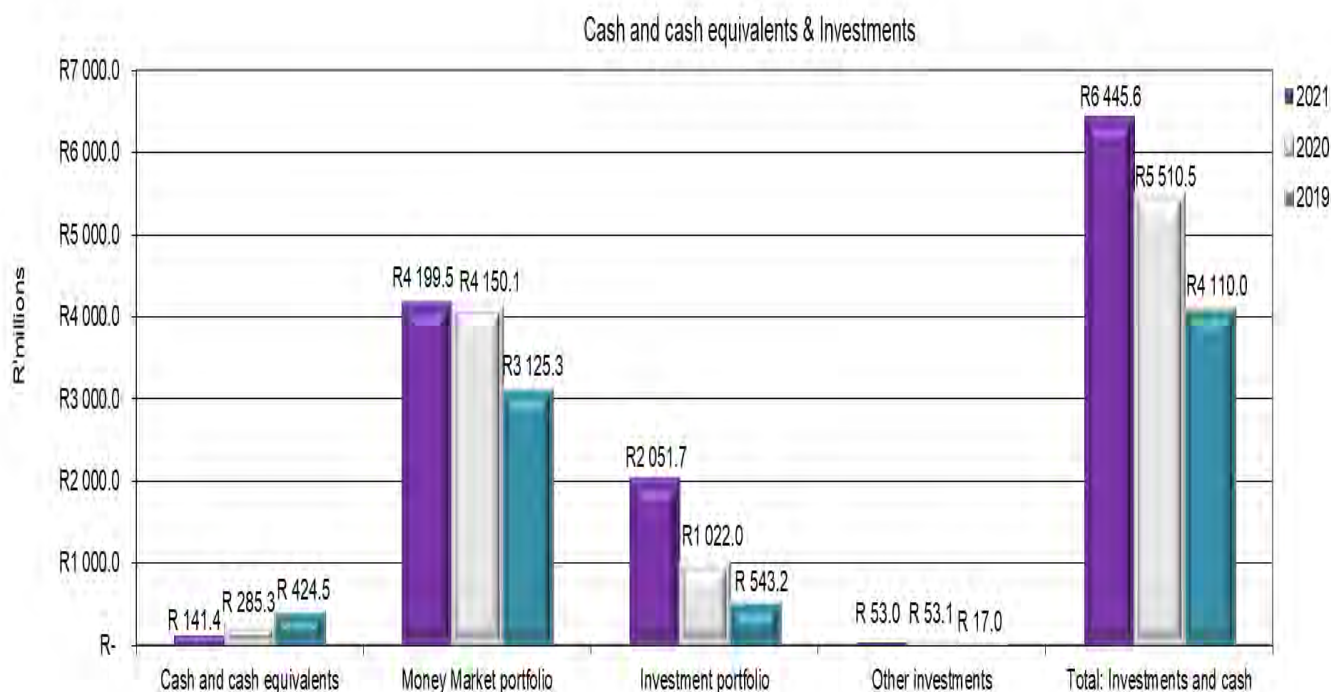
Non-current liabilities represent 7,0% of total funds employed (2020: 13,2% and 2019: 14,2%). This ratio decreased as equity increased by a large margin, even though borrowing commitments increased and infrastructure grant amounts expected to be utilised in 2022 were transferred to current liabilities. Furthermore, R111,0 million of the employee benefits liability was also transferred to current liabilities, representing the second accumulated leave pay-out.



• Cash flow

The University generated a surplus of R1 431,2 million for the 2021 financial year (2020: R1 164,0 million and 2019: R953,4 million), excluding total IAS19 adjustments, while the net cash flow amount generated from operating activities was R968,7 million (2020: R1 090,4 million and 2019: R1 045,6 million). The total net cash flow decreased by R143,9 million in 2021, taking into account inter alia R331,6 million of net investment income, transfers of cash and cash equivalents to longer term investments (R941,5 million), investment in property, plant and equipment (R353,4 million) and a R231,4 million decrease in deferred grant income. For the 2020 financial year the net cash flow decreased by R139,2 million and for 2019 it increased by R209,3 million.

The university manages and plans cash flow needs with great caution, especially in response to the potential financial impact of Covid-19, and effective decision-making resulted in the university currently being in a viable cash-flow situation, with reference to total cash and cash equivalents and investments. Although 34,6% of the money markets investment portfolio has maturity dates during 2022 and is included as part of current assets, the nature and purpose of these investments are long-term, focusing on investments with a period of 12 months and longer to optimise returns. Funds are reinvested as they become available on maturity, taking cash flow needs into consideration.



- **Conclusion**

With regard to the university as a tertiary institution with the core business of teaching-learning, research and implementation of expertise (including community service), the NWU again added material value to the economy, and was able to achieve its financial goals. In this regard the following can be highlighted:

- NWU still provides affordable higher education.
- 485 students received degrees and diplomas during 2021.
- The university remains committed to supporting and enhancing academic performance and awarded bursaries of approximately R238,7 million from own funds to students.
- The NWU's Financial Aid offices administered a total of R2,7 billion bursary funds in 2021.
- 29 301 students received data in the amount of R22,3 million in order to continue their studies online and finish the academic year successfully.
- Printing of study material and courier expenses totalled R23,0 million to assist students during difficult Covid-19 circumstances.
- 49 098 face masks were provided to our students and staff members to protect their health and to comply with the Covid-19 protocols.
- The cash flow investment in property, plant and equipment amounted to R353,4 million (2020: R210,2 million and 2019: R398,5 million), which is mainly attributable to DHET infrastructure and efficiency funding. (Not all projects have been completed, resulting in macro-maintenance to be carried forward to 2022). Total assets increased by 14,9% (2020: 23,0% and 2019: 21,9%).
- The increase in the available reserves to 60,9% of total equity from a very low base at the end of 2014 (although some spending against this reserve is to be expected, as explained above).
- Maintaining of a sound solvency position and optimal liquidity levels during the 2021 financial year to ensure that the NWU remains a going concern.

Council and Management are jointly committed to managing the NWU in such a way that the sound financial position will be sustained in 2022, as well as in the medium and long term. Noteworthy is that our two largest sources of income, namely state subsidy and tuition fee-related income totalling 77,1% of turnover (2020: 77,3% and 2019: 73,6%), keep emphasising our dependence on income stream-one funds. In addition, our number of students funded by NSFAS increased from 4 837 in 2015 to 23 996 in 2021, adding to the dependency on state funding. Income stream-three revenue decreased year on year as a percentage of total income, placing pressure on the viability of the university.

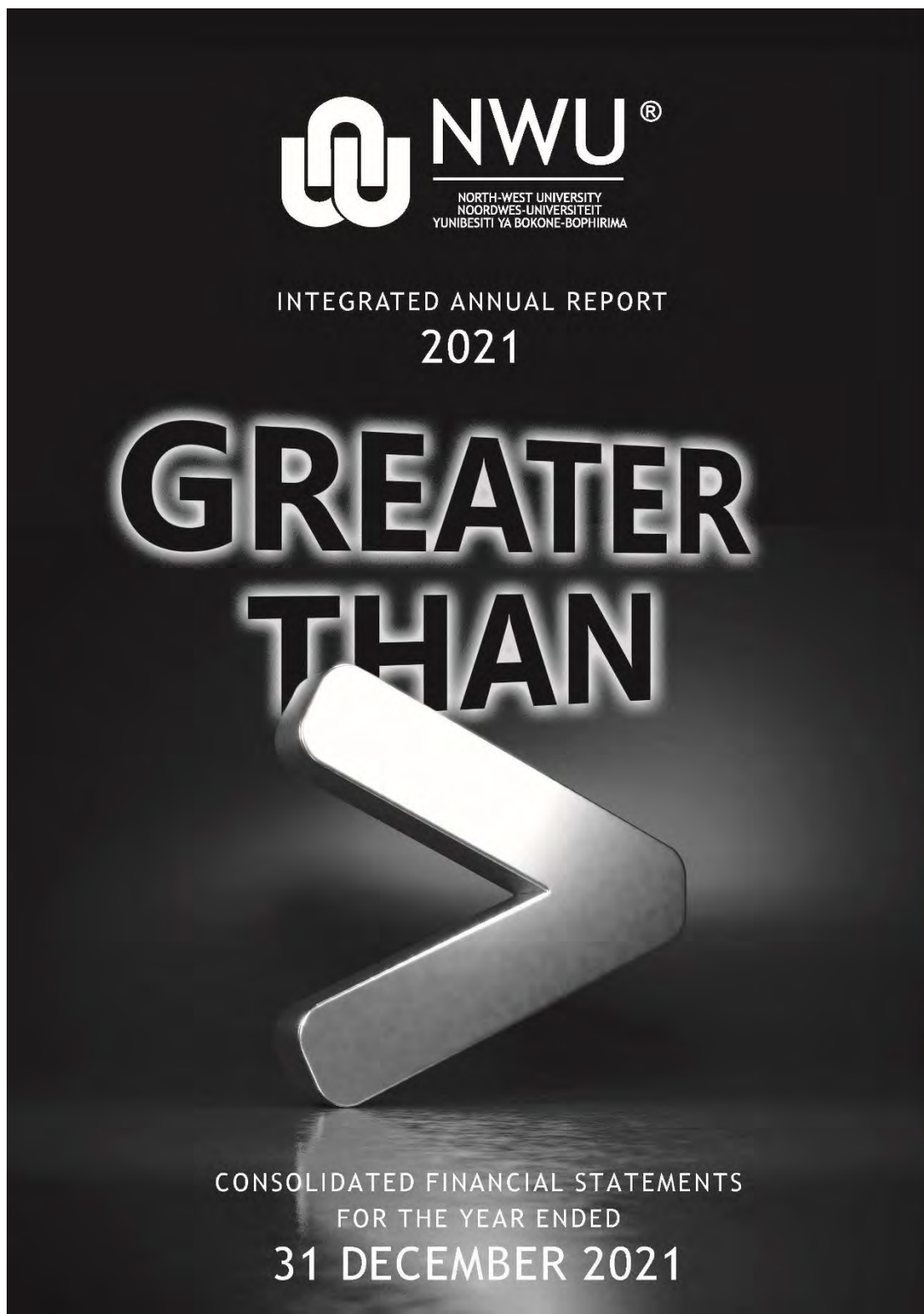
The biggest challenge for NWU and the Higher Education Sector as a whole in the months or even years to come, is the successful management of the continued uncertainties that the Covid-19 pandemic brings, and adapting to rapidly changing circumstances. Further pressure will definitely be added by the widespread weakened South African economy and conditions as experienced by other sectors and individuals also affected by the Corona virus, which will influence the university in many ways. The NWU Management and Council are of the opinion that the financial results of the past few years provide the basis for sound decision-making during these challenging times to steer the NWU, together with all stakeholders, through this difficult situation in a sustainable manner.



MR CLEMENT MABE
CHAIRPERSON: FINANCE COMMITTEE



MS ELMARIE DE BEER
EXECUTIVE DIRECTOR: FINANCE AND FACILITIES



13.7 Annexure 7: Requirements as per the regulations

Check list – NWU Integrated Annual Report as compared to the stipulations of the reporting regulations (Regulation Gazette, no 10209, 9 June 2014)

Requirements of the RR in regard of the format and content of the Annual Report		Reference to relevant section in Reporting Regulations ("RR")	Substantiation in 2021 Integrated Annual Report IAR/notes
<i>Alignment should be apparent between the institution's strategic plan, APP, AR, budget and mid-term performance report</i>			Paragraphs 8, 9 and Annexure 1
The APP to be the basis of the AR			Paragraph 8.5 and Annexure 1
Annual Report to reflect the following:			
1	1	Info on performance of institution for preceding year to be signed by council chair and VC	RR Impl Manual 7(a) <u>to be signed by council chair and VC</u> See paragraph 9
2	1	Must have a performance report in which the work of the univ as reflected in APP and the extent to which APP had been realised, are contained; as well as the extent to which the institution believes it has met objectives and goals contained in the strategic plan	RR Impl Manual 7(a) <u>to be signed by council chair and VC</u> See paragraph 9 and Annexure 1
3	2	Must include in the chairperson of council report the following:	See chair of council report in section 10 (governance) Paragraph 10
4	2	Council Chair report Council chair report assessing the performance and degree of progress iro objectives that were pursued by strat plan for the year under review, done in a way that gives due account to economic, social and environmental aspects. Also not confining itself to past issues	RR Impl Manual 7(b) Council chair Section 10 Paragraph 10
5	2	Council Chair report Effective ethical leadership and corporate citizenship	RR4 RR Impl Manual 7(b) Council chair Yes – para 10.9.2
6	2	Council Chair report Statement of council on IT in the report of the IT Governance Committee	RR Impl Manual 7(b) Council chair Yes – para 9.1.8
7	2	Council Chair report Compliance with laws, codes, standards	RR Impl Manual 7(b) – Council chair Yes - para 10.9.3.6

Requirements of the RR in regard of the format and content of the Annual Report				Reference to relevant paragraph in Reporting Regulations ("RR")	Substantiation in 2021 AR/notes
8	2	Council Chair report	Remuneration of externally elected council members	RR Impl Manual 7(b) Council chair	Yes – para 10.7.4 and 11.5
9	2	Council Chair report	Statement of council on sustainability	RR Impl Manual 7(b) Council chair	Yes – para 10.8
10	2	Council Chair report	Statement on going concern	RR Impl Manual 7(b) Council chair	Yes – para 10.10.1
11	2	Council Chair report	Statement on financial controls outside financial statements	RR Impl Manual 7(b) Council chair	Yes – para 10.10.2
12	2	Council Chair report	Financial control inadequacies considered material (individually or in combination with others) that resulted in actual financial loss, incl fraud and material losses	RR Impl Manual 7(b) Council chair	Yes – para 10.9.3.4 and 10.9.3.5 (Note: this paragraph does not strictly address inadequacies that led to material losses)
13	2	Council Chair report	Statement of financial health and viability	RR Impl Manual 7(b) Council chair	Yes – para 10.10.4
14	2	Council Chair report	Campus development; infrastructure development, facilities, major capital works events, student support, ODL, working with industry	RR Impl Manual 7(b) Council chair	Student support – Yes in VC report (para 4.5) Infrastructure/campus development/development, major capital work – para 9.6
15	2	Council Chair report	Statement on risk management (how council has dealt with the matter, council taking responsibility for RM and making a statement on the effectiveness of the process; also how it came to making the statement in an objective and independent way. Disclosing that a reporting system is in place to monitor changes in the risk profile of the university and gaining assurance that RM is effective)	RR Impl Manual 7(b) Council chair	Yes – para 7.6
16	2	Council Chair report	In respect of all council committees, that these are chaired by external independent members, with needed expertise and skills. Also reference to important matters dealt with by the relevant committees that affected the institution – also possible unresolved matters. Summaries of attendance of members to these committee meetings to be included.	RR Impl Manual 7(b) Council chair	Yes – para 10.7 , 10.9 and Annexure 3 para 13.3.7
17	2	Council Chair report	Statement on borrowings	RR Impl Manual 7(b) Council chair	Yes – para 9.5.2.4
Requirements of the RR in regard of the format and content of the Annual Report				Reference to relevant section in Reporting Regulations ("RR")	Substantiation in 2021 AR/notes

18	2	Council Chair report	Statement on tenders	RR Impl Manual 7(b) Council chair	Yes – para 10.10.3
19	2	Council Chair report	(Statement) Report of council on transformation	RR Impl Manual 7(b) Council chair	Yes – para 6.8 - statement Yes – paragraph 6 for report
20	2	Council Chair report	Statement on contracts management, SLAs, monitoring of suppliers' performance	RR Impl Manual 7(b) Council chair	Yes – para 10.10.6
21	2	Council Chair report	Statement of workplace ethics	RR Impl Manual 7(b) Council chair	Yes – para 10.9.1
22	2	Council Chair report	Report of council on governance of risk ⁶	RR Impl Manual 7(b) Council chair RR Impl Manual 7(i) <u>Report to be signed by officer/committee with designated risk responsibility and the chair of that committee</u>	Yes – Paragraph 7.9 Report on internal/administrative structures and controls
23	2	Council Chair report	PAIA requests	RR Impl Manual 7(b)	Yes – para 10.9.3.7
24	2	Council Chair report	Statement on penalties, sanctions, fines	RR Impl Manual 7(b) Council chair	Yes – para 10.10.5
25	2	Council Chair report	Events	RR Impl Manual 7(b) Council chair	Yes – paragraph 5
26	2	Council Chair report	Significant changes that took place	RR Impl Manual 7(b) Council chair	Yes – main paragraphs 3 , 4 , 8 and 9
27	3	Governance statement	Statement of council on governance	RR Impl Manual 7(c) <u>to be approved by council</u>	Yes – para 10.1
28	3	Governance statement	Council and council committees (incl statement that role of chairperson is distinct from that of VC; length of tenure of council chairperson); appraisal Also council attendance register	RR Impl Manual 7(c)(i) <u>to be approved by council</u> RR Impl Manual 7(4)(c)(ii)	Yes – para 10.1 , 10.2 and para 10.5 , Annexures 2 and 3 Yes - council percentage attendance (See Annexure 2, para 13.2) Attendance figures are provided to DHET separately
Requirements of the RR in regard of the format and content of the Annual Report				Reference to relevant section in Reporting Regulations ("RR")	Substantiation in 2021 AR/notes

⁶ Check compliance to these requirements and make sure that all elements are included

29	3	Governance statement	Remuneration committee to explain remuneration philosophy and how implemented; reference to any ex gratia/ex lege payments / disclosure of performance evaluation, and bonuses paid; and a note to the finance report that reflects disclosure of executive remuneration	RR Impl Manual 7(c)(i) <u>to be approved by council</u>	Yes – Annexure 3 , para 13.3.7.4 and paragraph 11
30	3	Governance statement	Finance committee	RR Impl Manual 7(c)(i) <u>to be approved by council</u>	Yes – Annexure 3 , para 13.3.7.2
31	3	Governance statement	Planning and resources committee – NWU has an Assets Committee and People and Culture and Employment Equity Committee	RR Impl Manual 7(C)(i) <u>to be approved by council</u>	Yes – para 10.2
32	3	Governance statement	Council membership committee – Exco is the Council membership committee	RR Impl Manual 7(c)(i) <u>to be approved by council</u>	Yes – Annexure 3 , para 13.3.7.6
33	3	Governance statement	Audit committee and Risk committee - NWU has Audit, Risk and Compliance Committee	RR Impl Manual 7(c)(i) <u>to be approved by council</u>	Yes – Annexure 3 , para 13.3.7.2
34	3	Governance statement	IT Governance committee – NWU has a Technology and Information Governance Committee	RR Impl Manual 7(c)(i)	Yes – Annexure 3 , para 13.3.7.5
35	3	Governance statement	Statement on conflict management	RR Impl Manual 7(c)(ii) <u>to be approved by council</u>	Yes – para 9.2.4.3
36	3	Governance statement	Statement on worker and student participation	RR Impl Manual 7(c)(iii) <u>to be approved by council</u>	Yes – para 9.2.4.4
37	3	Governance statement	Statement on workplace ethics	RR Impl Manual 7(d)(iv) <u>to be approved by council</u>	Yes – para 10.9.1
38	4	Sustainability statement	Statement on sustainability	RR Impl Manual 7(d) <u>to be approved by council</u>	Yes – para 10.8
39	5	Senate report	Report of Senate to Council	RR Impl Manual 7(e) – <u>to be signed by VC</u>	Yes – paragraph 3
40	5.	Senate report	Changes in academic structures	RR Impl Manual 7(e) – <u>to be signed by VC</u>	Yes – paragraph 3
41	5.	Senate report	Composition of senate	RR Impl Manual 7(e) <u>senate report to be signed by VC</u>	Yes – Annexure 3 , para 13.3.1
42	5.	Senate report	Significant developments and achievements iro TL & R	RR Impl Manual 7(e) <u>senate report to be signed by VC</u>	Yes – para 3.4.1 (TL) , para 3.4.2 (Research)
Requirements of the RR in regard of the format and content of the Annual Report				Reference to relevant section in Reporting Regulations ("RR")	Substantiation in 2021 AR/notes

43	5. Senate report	Composition and size of student body	RR Impl Manual 7(e) <u>senate report to be signed by VC</u>	Yes – para 3.3.1
44	5. Senate report	TL - Outputs– limitations on access to certain courses; levels of academic progress in different disciplines and levels of study; awards and achievements; outputs produced	RR Impl Manual 7(e) <u>senate report to be signed by VC</u>	Yes – para 3.5.1
45	5. Senate report	Research outputs – summaries of various programmes; awards; funding; outputs produced	RR Impl Manual 7(e) <u>senate report to be signed by VC</u>	Yes – para 3.5.2
46	5. Senate report	Access to financial aid – (for students and researchers)	RR Impl Manual 7(e) <u>senate report to be signed by VC</u>	Yes – para 2.5.5
47	6 IF report	Report of IF to council (activities as per statute; all instances of advice sought from IF; composition of IF; number of meetings)	RR Impl Manual 7(f) – <u>IF report to be signed by IF chair</u>	Yes – para 10.11
48	7 VC report on M/A	Report of VC on management and administration	RR Impl Manual 7(g)- <u>to be signed by VC</u>	Yes - paragraph 4
49	7 VC report on M/A	Principal <u>achievements</u> measured <u>in relation to plans, goals, objectives</u>	RR Impl Manual 7(g)- <u>to be signed by VC</u>	Yes – para 4.1
50	7 VC report on M/A	<u>Managerial and administrative aspects of the operations</u> of the university, incl new appointments at senior level	RR Impl Manual 7(g)- <u>to be signed by VC</u>	Yes – para 4.2
51	7 VC report on M/A	Achievement of admin structures and resources – re personnel and systems – to be assessed ito realistic expectations (Including diversity management; HR matters; adequacy of staffing, quality of information.	RR Impl Manual 7(g)- <u>to be signed by VC</u>	Yes – para 4.4 and onwards
52	7 VC report on M/A	Extra-curricular activities; changing patterns iro the provision for academic courses	RR7(g)- <u>to be signed by VC</u>	Yes - para 4.6
53	7 VC report on M/A	Statement on self-assessment of the achievement of the VC in attaining the objectives for the period under review, with detailed summary of realised achievements (or self-evaluation) to be included.	RR Impl Manual 7(g)- <u>to be signed by VC</u>	Yes – para 4.7

Requirements of the RR in regard of the format and content of the Annual Report				Reference to relevant section in Reporting Regulations ("RR")	Substantiation in 2021 AR/notes
54	8	Report on internal admin/operat structures and controls	Internal audit report (Statement to be signed: <i>The ARCC reviewed the report on internal administrative/operational structures and controls in the year under review at its meeting held 8 October 2019, which meeting quorated, and the documentation for approval by the committee was circulated with the meeting agenda in advance with due notice</i>)	RR Impl Manual 7(h) - <u>to be signed by ARCC chair and IA director</u>	Yes – para 7.7
55	9	Report on risk exposure assessment and the management thereof	Report of council on risk (exposure) assessment and management of risk, incl statement of risk management, reporting system iro risks, that univ risk management measures are effective.	RR Impl Manual 7(b) RR7(i) <u>Report to be signed by officer/committee with designated risk responsibility and the chair of that committee</u>	Yes – paragraph 7 Also Annexure 4
56	10	Annual financial review	Report by Chair of finance committee and CFO	RR Impl Manual 7(j) – <u>report to be signed by chair of Fin Comm and CFO</u>	Yes – Annexure 5 – paragraph 13.5
57	10	Annual financial review	To provide an overview of budget process and how resource allocation was done; how strat goals were supported and how operational sustainability is to be ensured	RR Impl Manual 7(j) – <u>report to be signed by chair of Fin Comm and CFO</u>	Yes – Annexure 5 – paragraph 13.5.1
58	10	Annual financial review	Indicate inclusivity of stakeholders – also attending to budgetary control mechanisms in maintaining financial discipline	RR Impl Manual 7(j) – <u>report to be signed by chair of Fin Comm and CFO</u>	Yes – Annexure 5 – paragraph 13.5.1.3
59	10	Annual financial review	Address salient features in statements re financial condition of institution and how primary strategic drivers were attended to. Intelligent comments needed. Statement needed distinguishing between financial consequences of the use of assets representing restricted and unrestricted funds.	RR Impl Manual 7(j) – <u>report to be signed by chair of Fin Comm and CFO</u>	Yes – Annexure 5, paragraph 13.5.2 (Information below the headings Surplus and Growth)
60	10	Annual financial review	Report to focus on operational finance – thus excluding non-current items or dramatic movements in investments (although latter matters could be mentioned, the focus should be on operations)	RR Impl Manual 7(j) – <u>report to be signed by chair of Fin Comm and CFO</u>	Yes – Annexure 5, paragraph 13.5.2 (Information under the headings Surplus and Growth)
61	10	Annual financial review	To be viewed as a thorough financial analysis of the institution, using all data in financial statements, and any other financial records	RR Impl Manual 7(j) – <u>report to be signed by chair of Fin Comm and CFO</u>	Yes – Annexure 5, paragraph 13.5.2 (Information under the headings Equity, Solvability, Liquidity, Gearing ratios)

Requirements of the RR in regard of the format and content of the Annual Report				Reference to relevant section in Reporting Regulations ("RR")	Substantiation in 2021 AR/notes
62	10	Annual financial review	Indicate access to financial aid and the provision thereof; incl financial aid by external bodies	<i>RR Impl Manual 7(j) – <u>report to be signed by chair of Fin Comm and CFO</u></i>	Yes – para 3.3.4
63	10	Annual financial review	Indicate changes in tuition fees	<i>RR Impl Manual 7(j) – <u>report to be signed by chair of Fin Comm and CFO</u></i>	Yes – Annexure 5, paragraph 13.5.2 (Information under the headings Surplus and Growth)
64	11	Audit Comm report	Report of the Audit Committee	<i>RR Impl Manual 7(k)- <u>to be signed by chair of ARCC and council chair</u></i>	Yes – para 7.7
65	11	Audit Comm report	Report indicative that the ARCC has satisfied itself with the expertise, resources, experience of the inst. finance function. Results of the review to be disclosed	<i>RR Impl Manual 7(k)- <u>to be signed by chair of ARCC and council chair</u></i>	Yes – Annexure 3, para 13.3.7.1
66	11	Audit Comm report	ARCC to report internally to Council re its statutory duties, and duties assigned to it by Council	<i>RR7(k)- <u>to be signed by chair of ARCC and council chair</u></i>	Yes – Annexure 3, para 13.3.7.1
67	11	Audit Comm report	ARCC to report on its statutory duties: how it was carried out; whether ARCC is satisfied with independence of external auditor; committee's view on financial statements and the accounting practices; whether internal controls are effective; and on the internal audit function	<i>RR Impl Manual 7(k)- <u>to be signed by chair of ARCC and council chair</u></i>	Yes – Annexure 3, para 13.3.7.1
68	11	Audit Comm report	ARCC to provide a summary of its role and details of its composition, number of meetings and activities	<i>RR Impl Manual 7(k)- <u>to be signed by chair of ARCC and council chair</u></i>	Annexure 3, para 13.3.3 and Annexure 1, para 13.2 Yes – Annexure 3, para 13.3.7.1
69	11	Audit Comm report	ARCC to recommend the integrated report to Council for approval	<i>RR Impl Manual 7(k)- <u>to be signed by chair of ARCC and council chair</u></i>	Yes – ARCC approval on 30 May 2022
70	12	Transformation report	Policies that promote transformation in HE and their effectiveness and impact	<i>RR Impl Manual 7(l) – <u>report to be signed by VC and council chair</u></i>	Yes – various sub-paragraphs in paragraph 6
71	12	Transformation report	Report to indicate initiatives that seek to assist people from historically disadvantaged backgrounds, women, people with disabilities.	<i>RR Impl Manual 7(l) – <u>report to be signed by VC and council chair</u></i>	Yes – various sub-paragraphs in paragraph 6 .
72	12	Transformation report	Transformation iro TL and R activities	<i>RR Impl Manual 7(l) – <u>report to be signed by VC and council chair</u></i>	Yes – 6.6 – academic transformation
73	13		Report of the independent auditor	<i>Annexure 6</i>	Yes – Annexure 6

Requirements of the RR in regard of the format and content of the Annual Report		Reference to relevant section in Reporting Regulations ("RR")	Substantiation in 2021 AR/notes
⁷⁴	14 Other info and supplementary financial data (verified by indep auditor); copies of approved minutes of each council meeting with agendas and attendance registers	Provided separately electronically to DHET	
⁷⁵	15 Dept may arrange for a visit to institution to discuss AR, if necessary		
⁷⁶	16 Three hard copies to be submitted by 30 June as well as electronic copy		

Summary of stipulations of RR in regard to core capabilities of structures/functionaries

Responsibilities of Council reflected as follows in the council report	
	To provide effective leadership based on ethics
	To ensure that this HEI is a responsible corporate citizen
	To ensure that this HEI's ethics are managed effectively
	To act as the focal point for and custodian of governance
	To understand that strategy, risk, performance and sustainability are inseparable
	To ensure that the ARCC is effective and independent
	To be responsible for risk governance and to ensure an effective risk-based internal audit function; to report on the institution's system of internal controls
	To be responsible for IT governance
	To comply and to ensure compliance with the laws
	To appreciate that stakeholders' perceptions affect the reputation of the HEI
	To ensure the integrity of the HEI's integrated report
	To act in the best interest of the HEI

Responsibilities of the Vice-Chancellor, through the executive team reflected as follows in management report
To see to adequate measures that would ensure economy, efficiency, effectiveness and ethical behaviour in accordance with relevant legislation
Amongst others, for planning, budgeting, authorisation, controls, evaluation of procurement and utilisation of resources
Important to see to best practices for general and management purposes.
Financial planning needs to be flexible and reporting to be flexible so that budgeting, allocation and employment of financial resources are to the best advantage of the institution.
Simultaneously seeing to high quality iro primary activities of TL and R
Council to ensure that these primary operations and management & administration functions are fully functional Council remains responsible for governance and the exec management for effective management and administration The annual report needs to show how and the extent to which these functions were executed.
Financial reporting in the AR needs to comply with IFRS, though the form and presentation of the AR may be adapted to acknowledge the different purposes for which funds are held and used at the HEI.

14 List of Acronyms

4IR	Fourth Industrial Revolution
ACFE	Association of Certified Fraud Examiners
APP	Annual Performance Plan
ARCC	Audit, Risk and Compliance Committee
BBBEE	Broad-based Black Economic Empowerment
BER	Bureau of Economic Research
Cachet Park CID NPC	Cachet Park City Improvement Districts Non-Profit Company
CAF	Combined Assurance Forum
CE	Community Engagement
CHCC	Campus Health Care Centre
CHE	Council on Higher Education
CHEPD	Higher Education Professional Development
CLES	South African Research Chair in Cities, Law and Environmental Sustainability
COLA	Cost-of-Living Adjustment
CPF	Community Policing Forum
CPI	Consumer Price Index
CTL	Centre for Teaching and Learning
DBS	Digital Business Strategy
DHET	Department of Higher Education and Training
DVC	Deputy Vice-Chancellor
DVC IT	Deputy Vice-Chancellor: Information Technology
DVC R&I	Deputy Vice-Chancellor: Research and Innovation
DVC TL	Deputy Vice-Chancellor: Teaching and Learning
ECP	Extended Curriculum programmes
ECSA	Engineering Council of South Africa
EEMF	Employment Equity Managers Forum
Efundi	E-learning system
EMP	Ethics Management Plan
EPE	External Programme Evaluation
ExDir FF	Executive Director: Finance and Facilities
FIM	Financial Impact Model
FTE	Full-time equivalent
GAW	Gender Awareness Week
HEBI	Higher Education Budget Index
HEMIS	Higher Education Information Management System
HESCoP	Higher Education Sustainability Community of Practice
HR	Human Resources
ICT	Information and Communication Technology
IDC	Industrial Development Corporation

IF	Institutional Forum
IFRS	International Financial Reporting Standards
IHE	Innovation Highway Enterprise
IIRC	International Integrated Reporting Council
IoT	Internet of Things
IP	Intellectual Property
KPA	Key-Performance Area
LAW	Language Awareness Week
LIS	Library and Information Services
NEMISA	National Electronic Media Institute of South Africa
NGDE	Next Generation Digital Environment
NRF	National Research Foundation
NSFAS	National Student Financial Aid Scheme
NWU	North-West University
OCBP	Organisational Citizenship Behaviour Project
OER	Open Educational Resources
OHS	Occupational Health and Safety
P&C	People and Culture
PAIA	Promotion of Access to Information Act
PDF	Portable Document Format – file format created in Adobe software
PhD	Doctor of Philosophy
POPIA	Protection of Personal Information Act
PQM	Programme Qualification Mix
RemCom	Remuneration Committee
RPA	Robotics Process Automation
R&O	Registration and Orientation
RR	Reporting Regulations
SADC	South African Development Community
SAGEA	South African Graduate Employers Association
SAHRC	South African Human Rights Commission
SAICA	South African Institute of Chartered Accountants
SALA	Student Academic Lifecycle Administration
SAMRC	South African Medical Research Council
SANORD	Southern African-Nordic Centre
SARChI	South African Research Chairs Initiative
SIEM	Security Information and Event Management System
SCC	Student Campus Council
SDG	Sustainable Development Goal
SMC	Senior Management Committee
SoF	Source of Funds
THRIP	Technology and Human Resources for Industry Programme
TL	Teaching and Learning

UCDG	Universities Capacity Development Grant
UCE	Unit for Continuing Education
UMC	University Management Committee
UNISA	University of South Africa
UnivPrep	University Preparatory Programme
UODL	Unit for Open Distance Learning
USAf	Universities South Africa
UTEA	University Teaching Excellence Awards
VC	Vice-Chancellor
WiL	Work-integrated Learning
WISL	Work-Integrated and Service Learning



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