

UNIVERSITY OF PRETORIA
DEPARTMENT OF RESEARCH SUPPORT

Regulations for the establishment and operation of units, centres, institutes and bureaus

1. OBJECTIVE

The objective of the regulations is to provide a consistent and coherent framework to allow for growth, expansion and consolidation of current and past research activity within identified strategic research foci at the University.

2. PRINCIPLES

The regulations are based on the following principles:

1. Separation between basic research, services, social responsibility activities and activities which have primarily a commercial focus.
2. None of the entities whose formation is defined in this document should have the primary responsibility for offering degree programmes. Degree programmes should be offered by departments or schools, with the participation of the members of these entities.
3. That full or part-time members of the entities would normally be appointed within academic departments.
4. That research entities are evaluated at regular, pre-determined intervals to be determined by the Vice-Principal (Research) and/or in consultation with the Senate Research Committee
5. That entities already established prior to these regulations being approved are to be re-evaluated with a view to making their position congruent within the broader framework provided by this document.
6. The Research Office will be responsible for the maintenance of an institutional database of all active research entities and their status as determined by the Vice-Principal (Research) and/or the Senate Research Committee (SRC).

3. CATEGORISATION OF ENTITIES IN TO STREAMS

In order to make the University's current research profile more coherent and to give added shape and purpose to it, various research and research-based activities will be classified into different streams.

The first stream will be characterized by those activities focused on primary research and the development of new knowledge (Research Stream). The second stream will encompass activities which although not exclusively concentrated on the generation of primary data and the development of new knowledge, nevertheless embrace research-based activities addressing issues of contemporary social responsibility and, on occasion require training designed to enhance operating efficiencies within community-based projects. (Social Responsibility Stream). The third stream encompasses contract research and continuing education programmes that primarily target commercial activity (Business Stream).

Activities conducted by an entity in any one stream may contain elements of work that is characteristic of another stream/s. The defining characterisation of an entity in any

particular stream would depend on the major activity within the entity. The University's regulations pertaining to contract research and the ownership of intellectual property will apply to members of all the entities described in this document.

4. ENTITIES WITHIN THE STREAMS

4.1. RESEARCH STREAM

The entities within the Research Stream will be involved in research including contract research that is either wholly defined by the academic or jointly defined by the head of the entity and his staff in consultation with the client. The entities will be established for an initial period of five years and subsequent cycles of renewal will be dependent on evaluation and approval of academic performance. The Vice-Principal (Research) may, after consultation with the SRC, determine the composition of the review panel who may have one or more outside experts in the field to help determine the level of the entities performance and arrive at a decision regarding the continuation of the entity.

Three different levels of research activity are envisaged to exist within the stream. In ascending order these are Research Units, Research Centres and Research Institutes. Under normal circumstances, academic progress and finances permitting, the Vice-Principal (Research) and the SRC, in keeping with UP's research strategy and Faculty Research Plans would envisage units developing into centres and where appropriate, centres of proven excellence, developing into institutes. The defining characteristics of each of these entities is given below:

4.1.1 Research Units

4.1.1.1 Characteristics

Recognises the achievement of researchers, usually at the start of their career or entering mid-career at the university. The individual academic will have achieved national recognition in a particular field and have established a research team of Masters and Ph.D. students and may have technical support. The individual will normally have been successful in attracting external funding to support the activities of the unit.

4.1.1.2 Establishment

The Unit would be headed by a Unit Director and established within a Department and approved by the relevant Faculty Board after having considered the constitution and business plan of the unit. The business plan of the unit will have to be approved within the overall framework of the Faculty Plan. The motivation for the establishment of the Unit and appropriate supporting documentation on which the Faculty Board based its decision to establish a unit will be sent to the Senate Research Committee for approval.

4.1.1.3 Governance

The Unit Director will be a member of a Department and report to the Head of Department. The constitution and strategic plan will be developed and recorded by the Department and Faculty. A copy of all the documentation should be deposited with the Research Office. The financial, budgeting and reporting procedures are outlined in Annexure A.

4.1.2 Research Centres

4.1.2.1 Characteristics

A centre will be developed around an outstanding researcher who has achieved national and international recognition working within a defined area. The centre will in addition consist of other academic staff members working in closely related cognate areas. The Head of the centre and the other academic members will have established teams of Masters and PhD students and may have technical support. The academic members of the centre will have been successful in attracting external funding to support the activities of the centre.

4.1.2.2 Establishment

A Centre is established within a Department, School or a Faculty. The business plan of the centre will have to be approved within the framework of the Faculty Plan. The Centre would be headed by a Director. It's establishment needs to be recommended to the Senate Committee on Research by the Faculty Board after having considered the motivation for the establishment of the centre, its constitution and business plan. The Senate Research Committee will consider the proposal and recommend the approval of the establishment of the Centre to the Senate.

4.1.2.3 Governance

The Centre Director will be member of a department, however he/she will report to the Chair of a School or the Dean of a particular Faculty. The constitution and a strategic plan will be developed and recorded by the Department and Faculty. A copy of all the documentation should be deposited with the Research Office. A Centre must have an Advisory Board whose composition is defined in its constitution. The financial, budgeting and reporting procedures are outlined in Annexure A.

4.1.3 Research Institutes

4.1.3.1 Characteristics

An Institute will be created in a particular research field where the University has exceptional and widespread competencies. Institutes will be built around a substantial core of talented research staff. The Director of an Institute will be an exceptional and highly regarded research leader within a particular field. The Institute will further consist of a number of research groups headed by established researchers. The activities within an institute however will be relatively broad. It will be highly advantageous for an Institute to span more than one Faculty but this will not be a requirement.

4.1.3.2 Establishment

An Institute will be established within a Faculty/s. The Institute will be headed by a Director. The head of an Institute will be a member of Senate. It's establishment needs to be recommended to the Senate Committee on Research by the Faculty Board after having considered the motivation for the establishment of the Institute, its constitution and business plan. The business plan of the institute will have to be approved within the framework of the Faculty/s Plan. The Senate Research Committee will consider the proposal and recommend the approval of the establishment of the Institute to the Senate. An Institute must have an Advisory Board whose composition is defined in its constitution.

4.1.3.3 Governance

Members of the Institute will have appointments in appropriate department/s. An Institute will have an advisory board with the Dean of the Faculty being the Chair of the board. The constitution and strategic plan will be developed and recorded by the Faculty. A copy of all the documentation should be deposited with the Research Office. The Institute will issue an annual report to the Senate Committee on Research which will recommend its adoption by the Senate. The financial, budgeting and reporting procedures are outlined in Annexure A

4.2 SOCIAL RESPONSIBILITY STREAM

Centres will be the only entity within the social responsibility stream. The mission of a centre will be structured around a basic research, training and services mandate that will define their mission.

4.2.1 Characteristics

A Centre will be created around a respected leader in a field that has high relevance to the society in which we live. The field of activity will be relatively broad. The Centre will also have a number of senior staff members with a track record in research and/or service and/or community involvement. It will be highly advantageous for the Centre to span more than one Faculty but this will not be a requirement.

4.2.2 Establishment

A Centre within the social responsibility stream will be established in consultation with the Executive of the University. The executive will determine its placement within University structures and its mode of operation. The Center will be headed by a Director. The Constitution and business plan of the Centre will be lodged with an appropriate administrative structure of the University which will be determined by its mode of operation.

4.2.3 Governance

The Director of the Centre will report to a Vice-Principal or a Dean and should have a status equivalent to a head of department. Members of the Centre will have appointments in appropriate department/s. The financial, budgeting and reporting procedures are outlined in Annexure A.

4.3 BUSINESS STREAM

A Bureau will be the only entity within the Business Stream operating within the academic domain.

4.3.1 Characteristics

A Bureau will be constituted around a senior academic in the University. The major function of a bureau will be to provide services, training and contract research where the research is defined largely by the client. A Bureau will also have a number of senior staff members. Members of the Bureau will have appointments in appropriate department/s.

4.3.2 Establishment

A Bureau can be established within a Department, School or a Faculty. The Constitution and business plan should be lodged with the faculty, BE@UP and the Research Office and approved by the Senate Committee on Research. It's establishment needs to be recommended to the Senate Committee on Research by the faculty Board. The Senate Research Committee will consider the proposal and recommend the approval of the establishment of the Bureau to the Senate. A Bureau must have an Advisory Board whose composition is defined in its constitution. The business plan of the unit will have to be approved within the framework of the Faculty Plan.

4.3.3 Governance

The Director of the Bureau will report to a Dean. Members of the Bureau will have appointments in appropriate department/s. The Bureau will have an advisory board chaired by the Dean of the Faculty. The constitution and a strategic plan will be developed and recorded by the Faculty. A copy of all the documentation should be deposited with the Research Office and with [BE@UP](#). The financial, budgeting and reporting procedures are outlined in Annexure A.

5. FORMATION OF AN ENTITY

The formation of a of a new research Unit, Centre, Institute or Bureau, must be motivated and reflect the past and expected outputs and expertise of the prospective members of the entity.

Submissions must be accompanied by a draft constitution containing the following:

- A mission statement
- The aims and purpose of the grouping
- How membership of the grouping is constituted
- The modus operandi of the grouping
- The manner in which its outputs will be disseminated
- A business plan of the grouping and the source of the resources required for its operation.

In the case of institutes, bureau's and centres it will be necessary to establish an advisory board, with at least two members from outside bodies of standing in the academic or wider community. The purpose of this board is to advise the institutes, bureaus and centres and to ensure that the activities undertaken by them are appropriate and comply with internationally recognized standards, and that they are functioning at an appropriate academic level comensurate with their standing in the university's research structures. The composition of the advisory board is defined in the constitution of the entity. The appointment of the members of an advisory board is undertaken by the Dean in consultation with the appropriate Vice-Principal and the Vice-Principal (Research).

5. EVALUATION OF ENTITIES

The evaluation of Units, Centres, Institutes and Bureaus will form part of the normal evaluation processes of schools and faculties. This evaluation will consider the role of the Units, Centres, Institutes and Bureaus within the overall framework of the school or faculty. In addition the Units, Centres, Institutes and Bureaus will be evaluated by a group of peers appointed by the Dean of the Faculty in consultation with the Research Office and the Office for Quality Assurance. The terms of reference for the review will be based on criteria appropriate to the activities of the entity being reviewed and will be used to make a decision regarding the continuation of the Unit, Centre, Institute or Bureau. It is

anticipated that Institutes would have a longer lifespan than other entities defined in this document.

Entities already established will be evaluated after the regulations have been approved. The criteria for the evaluation of the entities will be determined by the Vice-Principal (Research) in consultation with the Senate Committee on Research. The protection of brand equity will constitute one of the criteria for the evaluation of the entities already established.

6. TERMINATION OF ENTITIES

The existence of an entity will depend on the outcome of the review processes that would be undertaken every five years. If the review recommends that an entity should be closed, a suitable period will be allowed for the winding up of the entity.

UNIVERSITY OF PRETORIA

REGULATIONS ON THE FINANCIAL CONTROL OF UNITS, CENTRES,
INSTITUTES AND BUREAUS

1. INTRODUCTION

The purpose of this annexure is to outline the financial regulations applicable to Units, Centres, Institutes and Bureaus (hereafter called "entities"). The document should be read in conjunction with the main document outlining the regulations for these entities in general.

The financial policies and procedures of the University have been developed to serve the best interest of the University and all its stakeholders and therefore assumes preference over any arrangements, conventions and agreements flowing from any contractual arrangement. Deviations from the financial policies and procedures may result in disciplinary action. This document should be read in conjunction with the financial policy on "External Funds – Management and Control" (**Rt 450/97**).

Although the financial control measures for all these entities are substantially the same, in the case of Units, being relatively small entities accommodated within a departmental structure, financial control is exercised through the normal financial control mechanisms pertaining to the academic department where the Unit resides.

2. BUDGET

2.1 The Budget of an entity forms part of the annual budgeting process of the University.

2.2 An entity is responsible for the drafting and submission to the Budget and Planning Committee, of an annual budget in accordance with specific requirements as set out in the annual budget documentation. Before submission, this budget is approved by the entity's advisory board or equivalent governance structure, as well as the Dean of the faculty where the entity resides.

2.3 Research entities are largely self-funded. Income is primarily derived from external agencies, research foundations and other external sources.

2.4 Subsidy income generated by means of research outputs are allocated by the Vice-Principal responsible for research to faculties, who then distribute these funds to academic departments, units, centres, institutes and bureaus in accordance with faculty policies, practices and procedures.

UNIVERSITY OF PRETORIA		
FACULTY NAME	Total	
Cost centre	2006	2005
Budget		
Income	R	R
Research funds: Centrally allocated		
- UP Research allocation		
- NOP		
- Research fellows		
- Publications		
-		
Research councils		
- NRF Programmes		
- THRIP		
- Innovation fund		
- MNR		
- NKV		
- LNR		
- WNK		
-		
Government - South Africa		
- Government departments		
- Other		
-		
International		
- EU		
- VN		
- NIH		
-		
Foundations		
- Mellon foundation		
- Ford foundation		
- Microsoft foundation		
-		
Private sector		
- Contracts / Services - VAT Applicable		
- Contracts / Services - VAT Exempt		
Development funds		
Other		
- Donations		
- Interest		
Total income	0	0
Expenses	R	R
Direct expenses of the Institute / Buro / Centre	XXXX	XXXX
Direct - Staff Costs		
Direct - Operating expenses		
Direct - Capital expenses		
Project related expenses	XXXX	XXXX
Project Staff Costs		
Project operating expenditures		
Project related capital expenditure		
Total expenses	XXXX	XXXX
SURPLUS / (DEFICIT)	XXXX	XXXX
UP - Allocated Expenses		
- Staff		
- Other operating expenses (provide details)		
Nett surplus / (deficit)	XXXX	XXXX

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2.5 Personnel funding from University sources are granted to faculties on the basis of the normal resource allocation procedures and model. Only in highly exceptional circumstances where prior approval has been obtained, is central personnel funding granted to Units, Centres, Institutes and Bureaus. Should a faculty decide to deploy part of its personnel resources to these entities, such deployment should be properly accounted for in the annual budget and the annual financial report of the entity.

2.6 The following is an example of the format and style of the annual budget summary:

2.7 The following schedules are appended to the annual budget:

- A list of permanent full-time and temporary full-time staff members employed by the entity. A distinction should be made between posts that are externally funded, and those that are funded from internal sources.
- A calculation of the recoupment of overheads in accordance with agreed recoupment rates, as well as other direct costs, including computer usage, space utilisation and the use of university facilities.

3. ANNUAL FINANCIAL REPORT

3.1 An entity is responsible for the drafting and submission to the Budget and Planning Committee, of an annual financial report. Before submission, this report is approved by the entity's advisory board or equivalent governance structure, as well as the Dean of the faculty where the entity resides.

3.2 The following is an example of the format and style of the annual financial report:

1	Name of Entity	Budget Information						
		2006			Explanation of material variances	2005		
		Budget	Actual	% Vairance		Budget	Actual	% Vairance
Budget								
Income		R	R		R	R		
Research from own resources		200,000	180,000	10	a			
Research councils								
Government - South Africa								
International								
Foundations								
Private sector								
Development funds								
Other								
Total income		200,000						
Expenses		R	R		R	R		
Direct expenses of the Institute / Buro / Centre								
Direct - Staff Costs								
Direct - Operating expenses								
Direct - Capital expenses								
Project related expenses								
Project Staff Costs								
Project operating expenditures								
Project related capital expenditure								
Total expenses		0						
SURPLUS / (DEFICIT)		200,000						
UP - Allocated Expenses		0						
- Staff								
- Other operating expenses								
Nett surplus / (deficit)		200,000						
2 Asset register								
#	Description	Opening	Additions	Disposals	Closing*			
1	Furniture	10,000	15,000	2,500	22,500			
2	Office equipment				0			
3	Computer hardware and software				0			
4	Research equipment				0			
5	Vehicles				0			
	Total	10,000	15,000	2,500	22,500			
* Details should be provided for each category, as follows:								
1 Furniture								
#	Description of furniture	Asset number	Date purchased/sold	Supplier/Buyer	Location	Amount		
1	Visitor chairs - Sleighbase arm chair	IN2028	2000/11/15	Contract Interiors	Board room	10000		
2	Library/Wallunit as per drawing in maple Veneer	IN4005	2004/06/30	Contract Interiors	Board room	15000		
3	Credenza with Roll door	IN2014	2004/07/01	Incredible Services	-	-2500		
						22500		
3 Directors declaration								
I the undersigned, hereby declare that the relevant financial information contained in this report is just and accurate as reflected on 31 December 2006.								
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4. ACCOUNTING OFFICER

4.1 An entity appoints an Accounting Officer, usually the Faculty Accountant or the Faculty Manager. The responsibilities of the Accounting Officer are as follows:

- To ensure that the financial transactions of the entity are conducted in accordance with UP policies and procedures;
- To implement and maintain relevant measures to ensure that the financial activities of the entity is managed in the best interests of the University;
- To take responsibility for the compilation and presentation of the annual budget to the Budget and Planning Committee and monitoring of approved expenses against the approved budget;
- To take responsibility for the compilation and presentation of the annual financial statements to the advisory board or equivalent body; and
- To advise the governing structures of the entity on the viability of projects to ensure sustainability.

5. CONTRACTING BY ENTITIES

5.1 All agreements relating to research should be submitted to the Research Office for evaluation before conclusion of the agreement. The evaluation of a proposed research contract or equivalent agreement by the Research Office of the University will include a legal and financial review.

5.2 The Research Office determines whether the financial requirements as set out in the proposed contract are compatible with the financial policies and procedures of the University. Should any incompatibility exist, the matter is referred to the Director: Finance, who will decide, in consultation with the Director: Research, whether the proposed contract is sufficiently meritorious for it to be finalised, as well as the proposed basis of finalisation.