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| NMMU LOGOD\_404\_08\_(31-05-2012\_09h34)  **INSTITUTIONAL REGULATORY CODE (IRC)**  **(Policies, Procedures, Rules etc.)** | | | | | | | | | |
| ***To be completed by initiator of policy/policy owner:*** | | | | | | | | | |
| 1**. POLICY** **TITLE**: | | | **POLICY FOR THE ESTABLISHMENT, OPERATION AND REVIEW OF RESEARCH ENTITIES** | | | | | | |
| 2. **FIELD OF APPLICATION**:       (All persons to whom policy applies) | | | | | | All Staff | | | |
| 3. **COMPLIANCE OFFICER(S)**:  (Persons responsible for ensuring policy       implementation) | | | | | | All Managers | | | |
| 4. **STAKEHOLDER CONSULTATION**  (State the stakeholder group/s consulted during policy formulation/revision) | | | | | | MANCO, Senate, ECS, RTI Committee, Faculties, Entities | | | |
| 5. **DESIGNATION OF** **POLICY OWNER**:  (Person responsible for maintaining policy) | | | | | | Deputy Vice-Chancellor: Research and Engagement | | | |
| 6. **NAME OF POLICY OWNER:** | | | | | | Prof T Mayekiso | | | |
| **POLICY HISTORY *(To be completed by policy owner)*** | | | | | | | | | |
| **Decision**  **Date**  (Compulsory) | **Status**  (New/Revised/  No Changes) | **Implementation Date**  (Compulsory if “new” or “revised”) | | **Approving Authority**  (If ”new” or “revised”. N/A if no changes) | | | **Resolution Number**  **e.g.** 07/11-10.2  (Minute number. N/A if no changes) | **Policy Document Number**  (e.g. D/…./07 N/A if no changes) | **Pending date for next revision**  (Compulsory) |
| 23/09/2005 | New | August 2005 | | Council | | | C05.38.1.10 | D/448/05 | June 2008 |
| 6/08/2008 | Revised | Oct 2008 | | Senate | | | S08.48.1.2 | D/404/08 | June 2013 |
| 25/09/2008 | Revised | Oct 2008 | | EMCOM | | | 08/14-6.12 | D/404/08 | June 2013 |
| 26/09/2008 | Revised | Oct 2008 | | Council | | | 08/36.3.3.1.1 | D/404/08 | June 2013 |
| 28/05/2012 | Revised |  | | Senate | | | S12.16.4.5 | D/404/08 (31-05-2012 09h34) |  |
|  | Revised |  | | Council | | |  |  |  |
| ***For office use only*** | | | | | | | | | |
| **SUBJECT** (Broad policy field): | | | | | Research , Innovation and Engagement | | | | |
| **SUBJECT NUMBER**: | | | | | 400 | | | | |
| **CATEGORY** (Policy sub-field): | | | | | RTI Management | | | | |
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**D404/08**

**NELSON MANDELA METROPOLITAN UNIVERSITY**

**RESEARCH ENTITIES POLICY**

1. **INTRODUCTION**

Entities are intended to strengthen existing scholarly activities as well as to open up new fields of research and scholarship that are consistent with the University’s strategic direction and priorities. The entities will not only foster high standards of scholarly inquiry but will also enrich the educational environment for staff and students. It is envisaged that the cutting-edge research will improve the quality of life locally, nationally and internationally.

It is in this regard, that the University encourages the formation of collaborative research entities, both within and across traditional disciplinary boundaries.

The establishment of research entities is therefore intended to position the NMMU at the forefront of national and international research and to give effect to the institution’s research and innovation strategy.

The establishment and determination of the entity category will be informed by the following:

* National imperatives;
* Institutional research themes;
* Research capacity development initiatives;
* Track record of researchers including post-graduate supervision;
* Multi/inter/cross/trans-disciplinary research;
* Internal and external collaborations/partnerships/linkages/networks;
* Overall research standing of the researchers including the leader of the proposed entity;
* The scope of the research activities; and
* The quality and impact of research outcomes and outputs.

1. **PURPOSE**

The purpose of this policy is to:

* 1. Provide a framework for the establishment, operation and review of entities;
  2. Outline procedures for the amendment of existing entities;
  3. Facilitate the development of multi/inter/cross and trans-disciplinary research teams; and
  4. Facilitate the enhancement and promotion of the University’s research strengths in line with Vision 2020 Strategic Priority 3.

**3. PRINCIPLES**

3.1 Institutional and faculty research themes normally form the basis for the creation of entities, with the aim of encouraging interdepartmental and interfaculty collaboration and thereby enhancing research relevance and excellence.

3.2 Entities are instrumental in creating, promoting and fostering an environment that is conducive to research.

3.3Entities may normally not conduct formal academic programmes except per mandate of the relevant Faculty Management Committee (FMC).

3.4 NMMU entities are integral parts of the academic project.

3.5 Entities will normally be faculty-based, with the exception of university-based entities that will report to the DVC: RE.

**4. TYPES OF RESEARCH ENTITIES**

The policy recognises two types of research entities that may be faculty-based or university-based:

4.1 **Research Entity**

A Research Entity is normally an entity where a minimum of eighty percent (80%) of activities are research-related and the remaining twenty percent (20%) comprises of activities on learning, teaching and engagement linked to the entity’s research agenda.

4.2 **Research and Engagement Entity**

A Research and Engagement entity (hybrid entity) is normally an entity where research-related activities fall between eighty percent (80%) and sixty percent (60%) and where the remaining activities are on learning, teaching and engagement linked to the entity’s research agenda.

Both types of research entities will be designated as “research entities” .

# 5. ENTITY CATEGORIES

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The University recognises three categories of research entities.

Entity categories are hierarchical in nature in terms of scope, complexity and research leadership ranging from Institutes (upper end) to Units (lower end). A Unit may evolve into Centre status and a Centre may evolve into Institute status.

5.1 **Institutes**

5.1.1 Institutes have a broad research mandate and are characterised by an integrated, multi/inter/cross/trans-disciplinary approach, research partnerships/collaborations /linkages nationally and internationally and a research capacity building component.

5.1.2 The core research staff should have the following skills/competencies/attributes:

* proven track record of postgraduate supervision at the doctoral level;
* national and international research standing;
* track record of high quality research outputs (e.g. publications, disclosures, patents and creative outputs); and
* track record for securing funding.

5.2 **Centres**

5.2.1 Centres have a broad research mandate that normally spans across two or more disciplinary areas. These Centres are characterised by research partnerships/collaborations/linkages nationally and with the potential for international partners and a research capacity building component.

5.2.2 The core research staff should have the following skills/competencies/attributes:

* proven track record of postgraduate supervision;
* national research standing;
* track record of research outputs (e.g. publications, disclosures, patents and creative outputs); and
* track record for securing funding.

5.3 **Units**

5.3.1 Units are characterised by a focused research mandate that may span across one or two disciplinary areas and a research capacity building component.

5.3.2 The core research staff /leader should have the following

skills/competencies/attributes:

* proven track record of postgraduate supervision;
* national research standing;
* track record of research outputs (e.g. publications, disclosures, patents and creative outputs); and
* potential for securing funding.

# 6. ESTABLISHMENT OF ENTITIES

6.1 Any person or group of persons (“the proposer”) wishing to establish an entity must submit an application on the prescribed form/template.

6.2 The application must present a compelling case for the establishment of the entity in terms of the criteria outlined in 5.1. to 5.3.

6.3 **Institutes and Centres**

6.3.1 Faculty-based Institutes and Centres will be established after the Faculty Boards’ proposal have been approved by Senate after it has considered the recommendations of the NMMU RTI Committee via the Executive Committee of Senate (ECS) and Management Committee (MANCO).

6.3.2 University-based Institutes and Centres will be established after consultation with the DVC: RE, and recommendation by the NMMU RTI Committee has been approved by Senate via ECS and MANCO).

6.4 **Units**

6.4.1 Faculty-based Units will be established after approval by the relevant Faculty Board on the recommendation of the FMC.

6.4.2 University-based Units will be established after approval by the NMMU RTI Committee.

6.5 The Department of Research Management must be informed of the establishment of the entity.

**7. GOVERNANCE**

7.1 **Institutes**

7.1.1 An Advisory Board of a faculty-based Institute chaired by the DVC: RE or his/her nominee, must be appointed by the relevant Dean and Director in consultation with the DVC: RE, to provide strategic leadership to the entity. The Advisory Board will include both internal and external members.

7.1.2 An Advisory Board of a university-based Institute chaired by the DVC: RE or his/her nominee, must be appointed by the Director in consultation with the DVC: RE, to provide strategic leadership to the entity. The Advisory Board will include both internal and external members.

7.1.3 A Management Committee of a faculty-based Institute must be appointed by the relevant Dean in consultation with the relevant Head(s) of Department and Director(s) of School, on the recommendation of the Director. The Dean (or his/her nominee) of the Faculty in which the majority of activities of the entity will be conducted, chairs the Committee.

7.1.4 A Management Committee of a university-based Institute must be appointed by the Director in consultation with the DVC: RE. The Director chairs the Committee.

7.1.5 The term of office of Advisory Board and Management Committee members is three (3) years and membership may be renewed.

7.1.6 Deviations from the approved membership categories of Advisory Boards/ Management Committees during their three (3) year term should be approved by the NMMU RTI Committee.

7.1.7 The head and leader of an Institute will normally be designated as a Director who may be assisted by a Deputy Director.

7.2 **Centres**

7.2.1 An Advisory Board of a faculty-based centre chaired by the relevant Dean or his/her nominee of the Faculty must be appointed by the FMC in consultation with the relevant Head(s) of Department and Director(s) of School. The Dean or his/her nominee of the Faculty in which the majority of activities of the entity will be conducted, chairs the Advisory Board. The Advisory Board will include both internal and external members.

7.2.2. A Management Committee of a university-based Centre must be appointed by the DVC: RE in consultation with the Director.

7.2.3 The term of office of the Advisory Board and Management Committee members is three (3) years and may be renewed;

7.2.4 Deviations from the approved membership categories of the Advisory Board and Management Committees during their three (3) year term should be approved by the NMMU RTI Committee.

7.2.5 The head and leader of a Centre will normally be designated as a Director who may be assisted by a Deputy Director.

7.3 **Units**

7.3.1 A Management Committee of a faculty-based Unit must be appointed by the Dean in consultation with the relevant Head(s) of Department and Director(s) of School, and will be chaired by the Dean (or his/her nominee).This Committee should where applicable provide an advisory function as well. Units may establish Advisory Boards if deemed necessary.

7.3.2 A Management Committee of a university-based Unit must be appointed by the DVC: RE in consultation with the Head of the Unit.

7.3.3 The term of office of Management Committee members is three (3) years and may be renewed.

7.3.4 The head and leader of a Unit will normally be designated as the Head of the Unit.

7.4 **Functions of the Advisory Board**

The Advisory Board advises the entity on matters pertaining to the entity, including, but not

limitedto:

7.4.1. Vision, mission, goals and objectives.

7.4.2. Risk management.

7.4.3. Compliance with all statutory requirements and sound governance.

7.4.5. Annual Report

7.4.6. Annual Budget.

7.5 **Functions of the Management Committee**

The Management Committee must:

7.5.1 Ensure that appropriate policies, strategies and financial objectives are implemented and monitored;

7.5.2 Approve and review the entity’s annual budget;

7.5.3 Approve and review any deviations from the approved business plan or the capital and operating budgets;

7.5.4 Review the performance of the entity annually;

7.5.5 Endorse the entity’s annual report;

7.5.6 Monitor the activities of the entity and its financial affairs on a regular basis; and

7.5.7 Perform such other functions as determined by the FMC and/ NMMU RTI Committee.

**8. FINANCIAL MANAGEMENT**

8.1Faculties should, to the extent possible, make the necessary arrangements to provide for the sustainability and continuity of faculty-based entities.

8.2 Directors of university-based entities in collaboration with the Management Committee and/or Advisory Board should, to the extent possible, make the necessary arrangements to provide for the sustainability and continuity.

8.3 Faculties may allocate Council funds to support entities.

8.4 Entities should primarily utilise their own funds (non-Council funds) to appoint staff, purchase or lease equipment, support and/or cover operating expenses in terms of a budget approved by the Management Committee.

8.5 Entities should be financially managed with the aid of annual budgets approved by the relevant governance structure.

8.6 Entities shall comply with NMMU financial policies including the accumulation, utilisation and disposal of reserves.

8.7 The Department of Finance will assist with the preparation of annual and external financial reports and oversee the financial arrangements and systems of the entity.

8.8 The financial requirements of external funders, if different from those of the NMMU, will be accommodated to the extent possible within the context of the NMMU’s financial policies and procedures.

**9. HUMAN RESOURCES MANAGEMENT**

9.1 Entities shall comply with NMMU Human resources policies.

9.2 The NMMU Employment Equity Plan should be taken into account when appointments are made.

9.3. Secondary appointments for faculty-based entities staff may be considered by the FMC on the recommendation of the entity’s Management Committee.

**10. REPORTING**

The purpose of the annual report is to create a mechanism for feedback and strategic alignment with NMMU’s mission and vision.

10.1 Every entity must submit an annual report on the prescribed template to the NMMU RTI Committee by the end of April.

10.2 In the case of faculty-based Institutes and Centres, the annual report should be submitted by the Faculty Board through the Office of the Dean to the NMMU RTI Committee and to Senate for approval.

10.3 In the case of university-based Institutes and Centres, the annual report should be submitted by the Director through the Office of the DVC: RE to the NMMU RTI Committee and to Senate for approval.

10.4 The annual reports of faculty-based Units should be approved by the Faculty Board.

10.5 The annual reports of university-based Units should be approved by the NMMU RTI Committee.

**11. REVIEW PROCEDURES**

11.1 Institutes and Centres will normally be reviewed every five (5) years by a review panel. This process will be initiated and funded by the DVC: RE, who will determine the procedures to be followed after consultation with the relevant role players. The review will be conducted by internal and external experts. The majority of the experts will normally be external.

11.2 The Review Panel of faculty-based Centres and Institutes will be appointed by the DVC: RE, on the recommendation of the relevant FMC.

11.3. The Review Panel responsible for reviewing a university-based entity (Unit/Centre/Institute) will be appointed by the NMMU RTI Committee on the recommendation of the DVC: RE.

11.4. Units will normally be reviewed every five (5) years by a Review Panel.

11.5. The review process for faculty-based units will be initiated and funded by the relevant dean, who will determine the procedure to be followed after consultation with the relevant role players. The review will be conducted by experts appointed by the dean on the recommendation of the relevant FMC.

11.6 The NMMU RTI Committee may at any time require the review of an entity registered under this

policy.

11.7 The criteria for such a review shall be:

11.7.1 Whether the research outputs including research-related engagement activities, where appropriate, for the period under review satisfy the expectations of the University as defined at the time the entity was established or at the time of the last review.

11.8 The review should make recommendations on the following:

11.8.1 The potential for the continuation of outputs at a satisfactory level;

11.8.2 The potential for continuation based on financial sustainability.

11.8.3 The appropriateness of the categorisation of the entity.

11.9 The Review Panel’s report and recommendations for faculty-based Institutes and Centres will serve at the relevant FMC and NMMU RTI Committee for recommendation of approval to Senate.

11.10 The Review Panel’s report and recommendations for faculty-based Units will serve at the relevant FMC for recommendation of approval to the relevant Faculty Board, who will inform the DVC RE accordingly of the outcome.

11.11 The Review Panel’s report and recommendations for University based Institutes and Centres will serve at the NMMU RTI Committee and will be recommended to Senate for approval.

11.12. The Review Panel’s report and recommendations for University based Units will serve at the NMMU RTI Committee for recommendation of approval.

**12. SUSPENSION OF ACTIVITIES AND DISSOLUTION OF ENTITIES**

12.1. **Suspension of activities**

12.1.1. Activities of an entity may be suspended if they are considered to be harmful to the interest of the NMMU pending the outcome of the investigation concerned.

**12.2. Dissolution of Entities**

Entities may be dissolved under the following conditions:

12.2.1. The continued existence of the entity no longer serves the interests of NMMU or the

faculty concerned;

12.2.2. The entity exposes (or is likely to expose) the NMMU to adverse financial, HR or

reputational risks; and/or

12.2.3. The entity has ceased to function.

**12.3. Institutes and Centres**

12.3.1 The process of suspending the activities / dissolving of a faculty-based Institute or Centre may be initiated by the NMMU RTI Committee or the FMC.

12.3.2 The process of suspending the activities/dissolving of a university-based Institute or Centre may be initiated by MANCO, the NMMU RTI Committee or the DVC: RE.

12.3.3 MANCO will on the recommendation of ECS (via NMMU RTI Committee) suspend the

activities/dissolve an Institute or Centre if it is of the opinion that the activities are or may be harmful to the interests of the NMMU.

**12.4. Units**

12.4.1 The process of suspending the activities/dissolving of a faculty-based Unit may be initiated by the NMMU RTI Committee or the FMC.

12.4.2 The process of suspending the activities/dissolving of a university-based Unit may be initiated by the NMMU RTI Committee or the DVC: RE.

12.4.3 The Faculty Board may on the recommendation of the FMC suspend the

activities/dissolve a faculty-based Unit.

12.4.4 NMMU RTI Committee may on the recommendation of the DVC: RE, suspend the

activities/dissolve of a university–based Unit.

12.4.5. MANCO will on the recommendation of ECS (via NMMU RTI Committee) suspend the

activities/dissolve a Unit if it is of the opinion that the activities are or may be harmful to the interests of the NMMU.

**13.** **AMENDMENTS**

13.1 **Institutes and Centres**

The NMMU RTI Committee will be the final approving structure, for Institutes and Centres, regarding the following:

13.1.1 name change;

13.1.2 re-categorisation of an entity;

* + 1. leadership change; and
    2. scope change (less than 50%).

Changes in scope, that represent fifty percent (50%) and more of the current scope, must be approved by Senate, via ECS on the recommendation of the NMMU RTI Committee.

13.2 **Units**

13.2.1 All amendments to faculty-based Units must be approved by the Faculty Board on recommendation of the FMC.

* + 1. All amendments to university-based Units will be approved by the NMMU RTI Committee via the DVC: RE.

**14 LEGAL REQUIREMENTS**

14.1 No entity may be established which may or is likely to in any way:

14.1.1 Affect the tax status of the NMMU;

14.1.2 Constitute a contravention of the Companies Act 71 of 2008, or any other legislation; and

14.1.3 Affect the legal status of the NMMU as a legal entity.

14.2 No entity may be established that is a separate legal entity.