RESEARCH AND SCHOLARSHIP ENTITIES

FRAMEWORK

Procedures governing the establishment, reporting, and review of Research and Scholarship Entities at Rhodes University

July 2009

1. Introduction

Rhodes University recognises the value that research and scholarship entities contribute to the intellectual environment, the reputation, and the competitiveness of the University. This framework is intended to give support, encouragement, and formal recognition to Institutes, Centres, Units, Groups, Chairs, and Affiliates as integral components of the University's overall research, teaching, and community engagement responsibility.

Groups, Units, Centres, and Institutes are broadly conceptualised as a range of entities distinguished by their scope, complexity, and longevity. It is expected that entities may sometimes seek to move to a different recognition category as their activities mature.

Where it makes sense for identity, status, and funding purposes, collaborating groups should seek formal recognition in terms of this framework. This framework should be regarded as part (and not all) of the University's commitment to recognising the intellectual value of working collegially. Not every group or collaborative effort needs formal approval, and all members of the university are encouraged to engage collaboratively in scholarly work.

2. Research and Scholarship Entities at Rhodes University

Entities at Rhodes University are not permitted to use the designations recognised in this framework without formal approval, or unless their existence pre-dates this framework and they have not yet been reviewed[1].

Although much of the wording in this framework assumes that the entity has primarily a research focus, this framework also applies to entities (particularly in the categories of Centre and Unit) which are not principally focussed on research activities, but which are intended to promote professional, vocational, or community based programmes.

Rhodes University recognises the following research and scholarship entities:

2.1 INSTITUTES[2]
The establishment of an Institute is one way in which the University marks a long-term strategic commitment to a particular area of research. The formal recognition of an Institute signifies the institution's recognition of a substantial research track record in a particular area by a number of individuals over a significant period of time, and demonstrates an institutional desire to lend prestige and standing to this area. A Research Institute will normally conduct research within a range of related areas of study. It will NOT be hosted within a Faculty, Department, or School, and will have a distinct physical presence. The head or director will report to a board or steering

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[1] Entities at Rhodes University have in the past enjoyed the status of formal recognition without assuming one of the labels described by this framework. An example of a formally recognised entity that does not use the designation Institute, Centre or Unit in its title is ILAM – the International Library of African Music, which is a hybrid of a library collection and a research centre. It is envisaged that this naming flexibility may continue in the future, but that the entities should be aligned in structure with one of the categories of this document.

[2] Current examples of Institutes at Rhodes University are the ISER (Institute for Social and Economic Research), ISEA (Institute for the Study of English in Africa), IWR (Institute for Water Research), and IEBRU (Institute for Environmental Biotechnology Rhodes University).

committee for strategic and financial reporting, and in planning and accountability issues, and to one of the DVCs for daily operational issues that might need institutional authorisation or personal accountability. However, where an Institute offers an academic course, the course must be located within a Faculty and report to a Dean. Similarly, postgraduate students supervised by staff members of an Institute must be registered through a Faculty Dean. While the University will normally provide some aspect of the funding to support an Institute (generally determined by the level and consistency of research outputs which directly attract funding), a Research Institute will only be established if there is demonstrable potential for significant external support from funding agencies and donors. Institutes are expected to have a governing board or steering committee, a constitution, and to be concerned with such long term considerations as leadership succession. They will be subject to periodic review.

2.2 CENTRES

The designation Centre is used to denote a range of formally constituted entities at Rhodes University, ranging from self funding centres, to those largely internally funded to support a strategic university imperative, and from those which report to an individual such as a DVC, Dean, or HOD in all matters, to those which operate under joint board/executive governance structures. They range further from those primarily focussed on research activities, to those which incorporate professional, vocational, or community based programmes.

This document distinguishes two flavours of Centre, based upon their reporting structure:

> Centre 1 – which has a direct executive reporting structure[3] (usually a Centre set up as a university support structure, or an externally funded centre which is hosted wholly within a department or school.)
> Centre 2 – which has a board or steering committee[4] (usually a Centre which is responsible for generating its own funding from external sources, and operates either within or outside of a department or school.)

In both cases, the purpose of the Centre is to recognize and give identity to a group dedicated to developing and supporting a particular sphere of research and scholarship.

The mission and scale of the Centre should include a continuity of existence beyond the terms of service of individuals (but will be subject to periodic review).

For a Centre to qualify as a Institute, a convincing case should be made that it is primarily research focussed with a significant track record that will convince colleagues from other disciplines that it warrants recognition as an institutional research thrust, that it can sustain a complex and largely self funded programme of activity, that it articulates meaningfully with other areas of teaching/research/community engagement activity within the University, and that it enjoys recognition as a leading centre of expertise outside of the university.

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[3] Examples of a Centre of type 1 – which have a direct executive reporting structure – are CHERTL (Centre for Higher Education Research, Teaching, and Learning), placed institutionally and reporting to a DVC, or CEJA (Centre for Economic Journalism in Africa), placed within a school and reporting to the Head of School, or the DST/Mintek NIC-Sensors (Nanotechnology Innovation centre), placed within a department and reporting to a Chair, or UCEWQ (Unilever Centre for Environmental Water Quality), placed within an Institute and reporting to the Director.

[4] An example of a Centre of type 2 - which has a board or steering committee – is the CSDem (Centre for the Study of Democracy), situated within a faculty, or the CoE (Centre of Excellence) in Distribute Multimedia, situated within a Department.

2.3 UNITS

A Unit[5] is most often formed around an individual, usually an eminent researcher with a strong research track record and a well defined research programme, or a small group of closely collaborating individuals. A unit is normally hosted within a department or school, but may attract contributions from more than one department or school. The leader of a Research Unit may be designated the Unit Head or Director (refer to "Staffing" below for more detail), and the Unit will usually comprise a research team consisting of students, junior associates and post-doctoral fellows working on projects within his or her research programme. Research Units are not normally expected to continue should their leaders retire or leave the employ of the University, but may do so under exceptional circumstances. A Research Unit may be built around a Research Chair.

For a Research Unit to qualify as a Centre, it would require a wider research mandate than would be expected of a Unit, more complexity of activity, as might be evidenced through the substantial involvement of more than one leading researcher, or through multiple external partnerships with other universities, governments, non-profit organizations or businesses, and should have a perceivable healthy life beyond the involvement of the current leader.

This description of a unit has been written with Research Units in mind. Rhodes University also make provision for support units to be recognised, which provide broad based support for research and scholarship activities, and which are primarily supported by University resources, usually accompanied by some level of transactional cost recovery[6].

2.4 GROUPS

A Research Group is an informal grouping of researchers, set up by them to facilitate their research activities. The Group typically consists of a relatively small collection of researchers and research students (and possibly also external collaborators) with an agreed-upon focus, which shares common and complimentary research interests. Research Groups may be formed informally within and across departments, schools, and faculties at Rhodes University, and may advertise their activities and focus on the web sites of the host department or school. No formal institutional permission is required for the formation of a Group, and they are not required to maintain governance and reporting structures other than those already in place within their host department or school. Groups function as a collective of individuals, and are required to negotiate the use of departmental and instructional facilities in the same way that an individual would be required to do; a representative leader is required to represent the Group in such situations. The life span of a Research Group will depend on the ability of its members to sustain their collaboration and related research productivity.

2.5 CHAIRS[7]

A chair in the context of this framework is an endowed or externally funded position, which is established to advance the university's research, teaching, or community engagement goals. The

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[5] The BioBRU (Biomedical Biotechnology Research Unit), sited within a department, or the EESU (Environmental Education and Sustainability Unit) and BRU (Biopharmaceutics Research Unit), both sited within faculties, are prominent examples of Research Units.
[6] Examples of support units are the EMU (Electron Microscopy Unit), reporting to a DVC, and the GSU (Graphics Services Unit), reporting to an administrative director.
[7] Chairs in the context of this document refer only to prestigious externally funded scholarly chairs. It is acknowledged that full professor positions funded from the core university budget are also commonly referred to as chairs.

establishment of the chair provides the university with an opportunity to recognize a benefactor and to honour a scholar. The holder of the chair will be appointed into an academic post.

To be granted a chair and accorded the title of professor, the appointee must have a distinguished record, similar to that which might be required for academic promotion to the level of professor (or associate professor). A less senior academic may be appointed against a chair position (at the level of lecturer/senior lecturer) if circumstances so require, but will not be entitled to use the title of Professor or Chair.

Chair proposals may come from any part of the university, but should serve before the Institutional Planning Committee (IPC) for approval, before an appointment process is initiated. The proposal should detail the resource and space requirements of the Chair, how the proposer intends meeting these, the proposed scholarly focus of the Chair, how it will interact with current programs, and how it might be sustained following the initial period of funding should this be the intention. Depending on the space, resource, department, or faculty impact, the IPC may refer the proposal to Faculty then Senate, or directly to Senate (in a case where the Chair will simply add capacity to an existing area).

The appointment process for Chairs in indicated in the table at the end of this document.

2.6 AFFILIATED INSTITUTIONS[8]
Affiliated institutions are completely autonomous and separately funded institutions with a scholarly purpose, which are affiliated to the university through a formal agreement or a memorandum of understanding, intended to govern a relationship of collaboration and mutual benefit.

3. Staffing a Research and Scholarship Entity:

Members of research and scholarship entities will frequently be students or employees of departments or schools within the university who, although they associate themselves with the work of the entity for scholarly or collaboration reasons, will continue to fall primarily under the discipline of their host department or school for contractual arrangements with the University.

3.1 Research and scholarship entities which reside wholly within a host department or school:
 3.1.1 The Head or Director of the entity will report to the Head of the host department or school for purposes of personal accountability (probation reports, leave forms, notification of absence from the university on business, and so on), for the registration of postgraduate students, and for the use of departmental resources. Annual and progress reports to other institutional structures, and the use of institutional resources, should be directed to the relevant authority.
 3.1.2 The designation "director" is not automatically accorded to the head of an entity, and must be approved as part of the appointment of the incumbent, or by a screening process administered through the processes of the HR division.

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[8] Current Affiliated Institutions of Rhodes University are SAIAB (the South African Institute of Aquatic Biodiversity), SAEON (the South African Environmental Observation Network), the Albany Museum, and NELM (the National English Literary Museum).

3.1.3 Staff of the entity may report to the entity's Head or Director in the first instance, but shall remain accountable to the Head of the host department or school in terms of their contract with Rhodes University.

3.1.4 All staff employed by any entity within the university, whether remunerated from external funding or core university funds, must be employed through the processes and offices of the Human Resources Division (i.e. no entity at Rhodes is empowered to employ staff in the name of the University without HR participation).

3.1.5 Postgraduate students will be registered through the department or school.

3.1.6 Research outputs of staff members and students will normally accrue to the host department or school, but may be reflected against the entity if so desired by the relationship agreed between the entity and its host.

3.2 Research and scholarship entities which reside outside of a host department or school (this would normally apply only to an Institute and certain categories of Centre).

3.2.1 The entity must have a clearly identifiable Head or Director. The Head or Director of the Institute or Centre will report to one of the DVCs (or another senior member of staff where that makes better line reporting sense) for daily operational issues that need institutional authority, and for personal performance and staff management issues (probation reports, leave forms, notification of absence from the university on business, and so on). The Head or Director must also report to the Entity's governance board or steering committee, in the areas of performance of the entity, strategy, planning, and finances.

3.2.2 The designation "director" is not automatically accorded to the head of an entity, and must be approved as part of the appointment of the incumbent, or by a screening process administered through the processes of the HR division.

3.2.3 Other members of staff (academic or support) who are employed within the Institute/Centre will report to the Director/Head.

3.2.4 All staff of the entity who perform scholarly and research supervision work should be members of the Faculty most appropriate to their field of engagement.

3.2.5 Staff of the entity will report to the entity's Head or Director, and collaborating staff whose employment contracts are associated directly with a home department or school will report to the head of that department or school.

3.2.6 All staff employed by any entity within the university, whether remunerated from external funding or core university funds, must be employed through the processes and offices of the Human Resources Division (i.e. no entity at Rhodes is empowered to employ staff in the name of the University without HR participation).

3.2.7 Postgraduate students working within the scope of the entity and supervised primarily by employees, whose employment contracts are associated with the entity, may be registered directly with a Faculty through the Head or Director of the entity.

3.2.8 Research outputs of staff members and students will accrue to the entity for staff and students whose employment contracts or registrations are associated directly with the entity, and to a home department or school otherwise.

4   General:

4.1 Faculty Membership

Where an entity operates across disciplines, schools or faculties, it is necessary for the purposes of programme approval and student registration for the entity to associate itself with a

primary faculty. In the absence of other clear factors, the home faculty of the head or director is normally used to determine the primary faculty.

4.2 Virtual Entities

Centres, Units, and Groups may be entirely virtual in nature, with all members and resources coming from one or more departments, schools or entities within the University[9], but may nonetheless be recognised formally as an entity within the University for identity, status, and funding purposes.

4.3 The Governing Board (or Steering Committee), where this kind of structure applies to Institutes and Centres, should be composed roughly as follows:

    4.3.1   The Head/Director of the Institute/Centre/Unit (ex officio)

    4.3.2   The VC/ DVC / Dean of Faculty / Head of School /HOD (as may be appropriate – ex officio)

    4.3.3   One member appointed by Senate

    4.3.4   External members as may be appropriate to the Institute/Centre/Unit

    4.3.5   Additional members from the staff as appropriate

The chair of the Board should not be the head or director of the entity.

4.4 Annual Report

The entity should produce an annual report suitable for circulation to funders, external partners, members of Senate and Council, cognate departments and other entities within the university, and for making available on the institute/centre web site if intellectual property considerations make this possible.

4.5 Litigation

An entity may not instigate litigation in the name of the University. Should any litigation be necessary, it should be initiated through the office of the Registrar.

4.6 Ethics

All entities must adhere to the highest levels of ethical practices in all activities, and should refer proposals where appropriate to the Rhodes University Ethical Standards Committee (RUESC) for approval.

4.7 External Fund Raising

All entities must coordinate any fund raising done in the name of the University with the Development and Communications Division, and process any contracts to be signed through the Research Office, Research Finance Office, and Registrar's Division, in accordance with the standard procedure.

4.8 Publications

Full-time and part-time Students and Staff members of all entities (whether paid from core University budgets or external funds) must publish exclusively in the name of Rhodes University and must submit records of published work and research students supervised to the Research Office for inclusion in the DoE research output returns. In the case of part-time staff members where there is a potential conflict of interest, a clear contract related to work and publications thereof should be drawn up.

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[9] A current notable example of a virtual centre is the Centre for Chemico- and Biomedicinal Research (CCBR).

4.9   Intellectual Property

All activities within all entities must conform to the Intellectual Property policies and practices of the University.

4.10 Honorary Titles

Entities may nominate individual scholarly collaborators for consideration by the Institutional Planning Committee for formal recognition by the University in terms of the Honorary Titles Framework.

4.11 Membership of Senate

The Head of a Research Institute will normally enjoy an ex officio seat on Senate (provided this is agreed to when the constitution of the Institute is approved), but the head of other entities will not normally have an ex Officio position on Senate, but may participate in their capacity as full professors should they hold this rank.

4.12 Review

The University will review its relationship with each self standing Institute or Centre periodically (but approximately every 5 years, or at the end of any other period that may be specified in the contract or memorandum of understanding). Entities that fall within a department or school should be included in the review of the host department or school.

4.13 Financial Accounts and Equipment

In accordance with the University's reputation risk controls, no entity may run financial accounts outside of the accounting procedures and systems of the University. All funds received by a research entity shall be deemed University funds for audit and accounting purposes. All equipment purchased from such funds is the property of the University, unless specific arrangements dictate otherwise, such as when such equipment is purchased by a partner institution.

4.14 Levies on External Funds

All entities are required to budget for the levy on external funds in their operating finances. The purpose of the levy is to provide adequate administrative and broad infrastructural support for externally funded research and entrepreneurially orientated activities within the university, and to provide a sustainable mechanism for scaling up this sort of activity.

ENTITY	ACADEMIC SCOPE	ESTABLISHMENT	GOVERNANCE	REPORTING AND ACCOUNTABILITY	FUNDING AND OTHER SUPPORT	STAFFING
INSTITUTE: Examples: ISER ISEA IWR I.EBRU	• Research • Higher degrees as approved by Faculty Board, IPC and Senate • Professional development courses as regulated by IPC • Community engagement	• Proposal by Faculty Board and IPC, or IPC after consultation with Faculty Board, and with approval of IPC, Senate and Council	• Board / Steering Committee constituted in consultation with Faculty Board/IPC and Senate • Director or Head	• To Faculty Board and/or Senate via Management Board/Steering Committee • Director reporting to Management Board (strategic) and DVC or similar (operational) • Director a member of Faculty Board (possibly Senate) • To Faculty Board and Senate for higher degrees • DVC:R&D approval and C&D notification for external fundraising	• University funding as negotiated • Externally funded • University support for external funding • Levy on external funds • Space and infrastructure as negotiated with University	• University funded, as negotiated • Externally funded • Director appointed by IPC secondment or HR process, with approval of Senate and Council • Other staff appointed by HR process in consultation with Management Board
CENTRE 1: Direct executive reporting structure Examples: CHERTL NIC CEJA UCEWQ	• Research • Higher degrees as approved by Faculty Board, IPC and Senate • Professional development courses as regulated by IPC • Community engagement	• Proposal by Faculty Board and IPC, or IPC after consultation with Faculty Board, and with approval of IPC, Senate and Council	• Director or Head	• Director reports to VC/DVC/HOD as appropriate • To Faculty Board and Senate for higher degrees • Director/Head a member of Faculty Board (possibly Senate) • DVC:R&D approval and C&D notification for external fundraising	• University funding as negotiated • Externally funded • University support for external funding • Levy on external funds • Space and infrastructure as negotiated with University	• Director/Head is University or externally funded as established or negotiated • Director/Head appointed by HR process and/or IPC approval, with approval of Senate and Council • Other staff appointed by HR process in consultation with Head/Director (may be university or externally funded, depending on the

						situation)

ENTITY	ACADEMIC SCOPE	ESTABLISHMENT	GOVERNANCE	REPORTING AND ACCOUNTABILITY	FUNDING AND OTHER SUPPORT	STAFFING
CENTRE 2: Board or Steering Committee Example: CSDem	• Research • Higher degrees as approved by Faculty Board, IPC and Senate • Professional development courses as regulated by IPC • Community engagement	• Proposal by Faculty Board and IPC, or IPC after consultation with Faculty Board, and with approval of IPC, Senate and Council	• Board / Steering Committee constituted in consultation with Faculty Board/IPC and Senate • Director or Head	• To Faculty Board and Senate via Management Board • Director/Head reporting to Management Board (strategic) and Dean/Hod (operational) • Director/Head a member of Faculty Board (possibly Senate) • To Faculty Board and Senate for higher degrees • DVC:R&D approval and C&D notification for external fundraising	• Externally funded • University funding as negotiated • University support for external funding • Levy on external funds • Space and infrastructure as negotiated with University	• Director/Head is University or externally funded as established or negotiated • Director/Head appointed by HR process and/or IPC approval, with approval of Senate and Council • Other staff appointed by HR process in consultation with Management Board
UNIT: Research Unit Examples: BioBRU EESU BRU	• Research • Professional development courses as regulated by IPC • Community engagement	Proposal by Department/Institute/ Centre to Faculty Board and IPC, and with approval of Senate	• Director/Head	• Reports to the Head of the host department, school or Institute • Director / Head a member of Faculty Board • To host HOD/Director, Faculty Board and Senate for higher degrees • DVC:R&D approval and C&D notification for external fundraising	• Externally funded • Levy on external funds • Space and infrastructure as negotiated with Department/ Institute/ Centre or Dean of Faculty	• Externally funded • Director/Head appointed by HR process and/or IPC approval, with approval of Faculty, Senate and Council • Other staff appointed by HR process in consultation with HOD or Director of Institute/Centre, or Dean of Faculty

ENTITY	ACADEMIC SCOPE	ESTABLISHMENT	GOVERNANCE	REPORTING AND ACCOUNTABILITY	FUNDING AND OTHER SUPPORT	STAFFING
CHAIR:	• Principally research and higher degrees • Secondarily, professional development • Secondarily, Community engagement	• Proposal by Faculty Board and IPC, or IPC after consultation with Faculty Board, and with approval of IPC, Senate and Council • Operational plan needs IPC, Faculty, Senate, Council approval if the Chair represents new functionality or requires new resources.	• Professor status for appointed chairs • No professor status for other ranks appointed against a chair • May be the head of a Unit / Centre / Institute	• Reports to DVC, Dean, or HOD as determined by agreement with funder and approved by IPC • Chair a member of Faculty Board (usually Senate) • To Faculty Board and Senate for higher degrees (and HOD if appropriate) • DVC:R&D approval and C&D notification for external fundraising	• University funding as negotiated • Primarily Externally funded • Levy on external funds • Space and infrastructure as negotiated with Department/School /Institute/Centre	• Usually externally funded • Appointed by HR process, with approval of IPC, Senate and Council • Incumbent usually with a PhD, distinguished record, and a professor • Appointed with approval of Senate and Council
AFFILIATED INSTITUTION	• Autonomous	• Externally-initiated	• Autonomous	• None, other than through Faculty Boards for student supervision and course presentation. • No University support for external funding	• Externally self-funded • Fee or levy for space and infrastructure as negotiated with University • Staff education and related benefits as negotiated.	• No University support