

## THE COLLEGE DEAN OF RESEARCH

### ROLES AND RESPONSIBILITIES

#### 1. Role of the Deputy Vice-Chancellor Research

1.1. Providing strategic leadership at the University level, with respect to the implementation of the following objectives in Goal 3 of the strategic plan:

- Development of research thrusts to advance African scholarship;
- Establishing UKZN as hub for the dissemination of African scholarship;
- Establishing collaborative partnerships in research and innovation;
- Research capacity development;
- Attracting and nurturing postgraduate students and postdoctoral scholars.

1.2. Developing of policies and procedures which will ensure a coordinated approach in the implementation of activities aligned to the strategic objectives.

1.3. Monitoring and evaluation, which will entail analysis of data, generation of relevant reports for informed decision making.

#### 2. Role of the University Dean of Research

The University Dean of Research is responsible for supporting the DVC Research in providing leadership to the Research Office with respect to: Research management, capacity building, interaction with funding agencies, research linkages and partnerships as well as well office organisation, management and control. Specific responsibilities include:

- Development and implementation of policies
- Research data management including submissions to the Department of Higher Education and Training(DoHET)
- Monitoring and evaluation of research output
- Research data management systems
- Research capacity building
- Interaction with NRF and other external funding agencies
- Management of national and international research linkages and partnerships
- Ethics
- Grants and contracts

#### 3. Role of the College Dean of Research

The proposed interaction between the Research Office and the Colleges is as per the Recommendations 7 in the Report of the College Review Panel. According to the recommendation, the College Dean of Research is to:

- Provide academic leadership for research;

- Coordinate research;
- Formalise collaboration across schools in the college.

The College Dean will also be a member of the Research Strategy Group which shall be responsible for developing policy and ensuring consistent implementation of centrally agreed decisions and strategic initiatives.

#### **4. Role of the Postgraduate and Research Capacity Development Director**

The Director, who shall report to the University Dean of Research, will be responsible for providing institutional coordination in the management and implementation postgraduate and research capacity development initiatives. Specific responsibilities will include:

- The development, coordination and implementation of research capacity building initiatives, such as writing workshops and doctoral enrichment programmes;
- Monitoring and reporting on progress in the implementation of Senate recommendations for increasing staff research productivity;
- Coordination and implementation of initiatives to increase postgraduate enrolment and throughput as well as postdoctoral enrolment;
- Monitoring and providing regular reports on the performance of postgraduate programmes;
- Liaising with Colleges on implementation of initiatives to increase postgraduate throughput and research productivity.

#### **5. Interaction with the Colleges**

In the proposed structure, the College Dean of Research shall also be responsible for the devolved functions. The College Deans will have a functional reporting line to the DVC Research and an operational interaction with the University Dean of Research with regard to the management of various initiatives such as: research capacity development, grants and contracts, formation of review panels and research related training programmes (Figure 1).

#### **6. The Research Strategy Group (RSG)**

The RSG shall have the responsibility of developing policies and procedures, monitoring and evaluating implementation of various institutional postgraduate research development strategies. The Group shall meet on a monthly basis and it shall make recommendations to CAAQBs. Its membership will include:

- DVC Research(Chairperson);
- University Dean of Research;
- College Deans of Research and PG Studies;
- Director of PG & Research Capacity Development.
- Director of Libraries
- The RSG shall interact with CAAQBs through the DVC Research and the respective College Deans of Research.

#### **7. Reporting to Senate**

The DVC Research shall make recommended submissions and relevant reports to Senate in consultation with CAAQBs and the RSG.

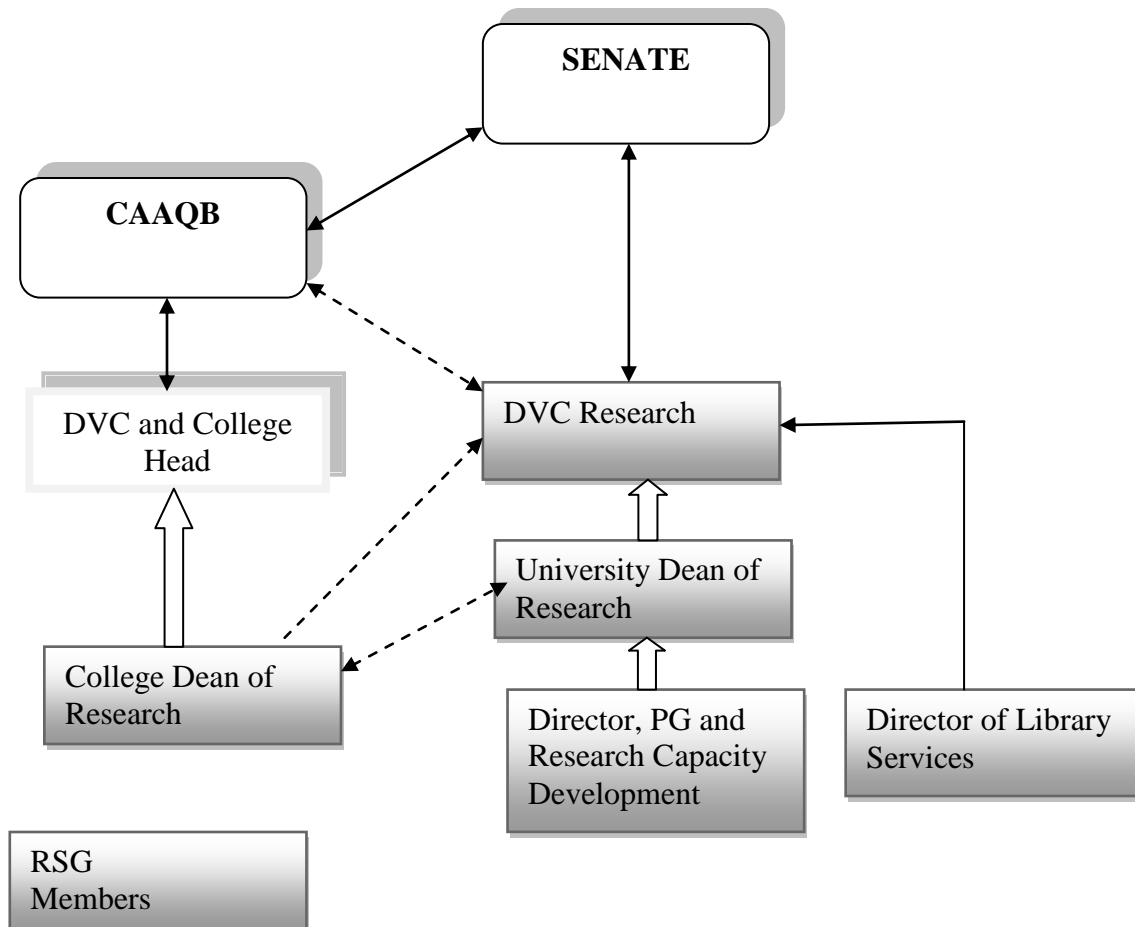


Figure 1:

The responsibilities of the College Dean of Research, with regard to the devolved functions shall entail the following:

a) Ethics

- Liaison with the University Dean of Research in the formation of Ethics committees

b) Publications

- Facilitating formation and ensure functionality of school committees for preliminary review of conference publications and books;
- Liaising with University Dean of Research for the training sessions on the research data management system and setting up of panels to review books and conference proceedings;
- Ensuring that schools maintain an updated data base of honorary appointees;

- Encouraging heads of schools for to follow up staff on logging information onto the research data management system.
- c) Grants and Contracts
- Signing Forms 1 and 2 for submissions of grants and contracts to the Research Office;
  - Liaising with the University Dean of Research in monitoring projects' performance;
  - Liaising with the Research Office in informing researchers of projects funding opportunities.
- d) Awards
- Evaluating applications from schools for research honorary appointments;
  - Presenting research honorary appointments applications to the RSG and CAAQBs with recommendations;
  - Facilitating formation of appropriate committees at school level to review applications to the Research Office for funds for competitive research grants, research development equipment, doctoral and postdoctoral scholarship awards as well as for funding from NRF and similar organisations;
  - Setting up appropriate systems to monitor use of funds disbursed from the Research office for the different awards.
- e) Research Information and Marketing
- Ensuring that research information relevant for marketing is communicated to the Research Office;
  - Facilitating communication links between the Research Office and the College PRO.
- f) Intellectual Property and Technology Transfer
- Liaising with the Director of the IPTTO in the creation of awareness in the College, on the requirements of the IP Act
  - Encouraging researchers to report research outputs with potential IP
- g) Postgraduate and Research Capacity Development
- Liaising with the University Dean of Research and the Director with regard to implementation of various initiatives as well as monitoring performance of postgraduate students and postdoctoral scholars;
  - Promoting participation of staff in various research capacity development initiatives;
  - Ensuring that postgraduate student supervision is in accordance with the University processes and procedures;
  - Assisting schools in the development and implementation of research plans;
  - Driving College strategies for increasing enrolment and throughput of postgraduate students;
  - Being a member of school committees responsible for research and postgraduate matters.

## **8. Functions of the Research Office**

Functions of the Research Office are carried out in the different Clusters as detailed in the

Table1. Some of the functions will be devolved to Colleges to be managed by the College Deans of Research. In the proposed model, the Research Office will have access to performance data of the devolved functions, for the purpose of maintaining an institutional oversight and ensure equitability in research and development.

**Table 1: Details of Research Office functions**

| CLUSTER      | FUNCTIONS  | REMARKS  |
|--------------|--|--|
| ETHICS       | <p>The cluster is established to ensure ethical integrity of all research conducted by UKZN researchers and legal compliance. Manages the approval and monitoring process for the use of humans and animals in research at UKZN and its affiliated research institutes. All research involving humans and animals conducted by faculty, staff, students or external researchers attached to UKZN or its affiliated institutes, must be approved by one of the three UKZN Research Ethics Committees:</p> <ul style="list-style-type: none"> <li>• Biomedical Research Ethics Committee(BREC)</li> <li>• Animal Research Ethics Committee(AREC)</li> <li>• Humanities and Social Sciences Research Ethics Committee (non-Biomedical)(HSSREC)</li> </ul> <p>This cluster organizes the monthly meetings and deals with follow-up and logistical matters.</p> | <p>To remain centrally located to ensure effective quality control and minimise institutional risk.</p> <p>The College Dean of Research shall liaise with the University Dean of Research in the formation of Ethics committees.</p> |
| PUBLICATIONS | <p>The cluster compiles, through the IRMA net system, and validates an annual count of UKZN's research output for submission to the Department of Higher Education and Training (DoHET) for research subsidy. The submissions are for journal articles, peer-reviewed books and chapters, and peer-reviewed conference proceedings.</p> <p>In addition there are other research output categories that do not get a government subsidy but are recognized by UKZN e.g. Creative Contributions and Editorials, supervision of masters and doctoral students and NRF rating. The publications cluster applies the same methods of validation to these categories as well.</p>  | <p>The Cluster needs to be centrally operated. The University Dean of Research will liaise with College Deans of Research for the training and setting up of panels to review books and conference proceedings.</p>                  |

|                      |   |   |
|----------------------|---|---|
|                      | <p>The cluster also is responsible for:</p> <ul style="list-style-type: none"> <li>• Providing training to researchers, through workshops and one-on-one interactions, on the use of the University's research data management system.</li> <li>• Maintaining a data base of all researchers</li> <li>• Maintaining a data base of productivity units, which is shared with DMI</li> <li>• Issuing productivity award letters to the researchers.</li> </ul>  |   |
| GRANTS AND CONTRACTS | <p>This cluster provides assistance to UKZN researchers with respect to accessing funding from national and international research funding agencies, government and the private sector, in terms of formulation, negotiation and management of agreements and contracts. It also provides:</p> <ul style="list-style-type: none"> <li>• Technical assistance for preparing and monitoring funding applications, proposals, tenders and contracts.</li> <li>• Advice on costing and pricing of research and consultancy projects and programmes.</li> <li>• Information to researchers of possible funding sources and University consultancy opportunities.</li> <li>• Advice on the claims to and protection of intellectual property.</li> </ul> <p>The services of this cluster are available for researchers making applications for grants and for consultants entering into commercial contracts. The legal aspects of the contracts are handled through the University Legal Office.</p> | <p>The Cluster needs to be centrally operated to ensure coordination with external funders as well as consistency and tight monitoring of overhead recoveries. College Deans of Research shall liaise with the University Dean of Research to ensure that the submitted projects proposals are supported by the College as well as in monitoring projects implementation.</p> |
| AWARDS               | <p>The Cluster processes the following awards and/or grants:</p> <ul style="list-style-type: none"> <li>• The University Fellowships.</li> <li>• The Vice-Chancellor's award.</li> <li>• Book Prizes.</li> <li>• Doctoral Grants.</li> <li>• Post-Doctoral Grants (including NRF ones).</li> <li>• Competitive Grants.</li> </ul> <p>Additionally, the Cluster is responsible for the following::</p>   | <p>The following functions can be devolved to the Colleges:</p> <ul style="list-style-type: none"> <li>• Management of grants for doctoral students and postdoctoral scholars (the allocated funds can be sent to the colleges. The University Dean of Research will need</li> </ul>  |

|                                    |  |   |
|------------------------------------|--|---|
|                                    | <ul style="list-style-type: none"> <li>• Research Development Equipment.</li> <li>• Honorary appointments</li> <li>• Applications for establishment of Units and Centres.</li> <li>• Biosafety applications.</li> </ul> <p>Furthermore, the cluster processes applications to South African Netherlands Research Programme on Alternatives in Development (SANPAD), Medical Research Council (MRC) and the National Research Foundation (NRF) programmes. NRF programmes include (but are not restricted to):</p> <ul style="list-style-type: none"> <li>• Thuthuka Funding.</li> <li>• International Liaison.</li> <li>• National Equipment Programme.</li> <li>• THRIP.</li> <li>• Evaluation and Rating of Researchers.</li> <li>• South African Research Chairs Initiative.</li> <li>• Incentive Funding Programme.</li> <li>• Centres of Excellence Programme.</li> </ul> | <p>reports for monitoring and evaluation purposes )</p> <ul style="list-style-type: none"> <li>• Honorary appointments(the DVC will have an input at CAAQBs)</li> <li>• Biosafety applications(can be processed through BREC)</li> </ul> <p>The rest of the responsibilities to be centrally managed. The College Deans of Research will liaise with the University Dean of Research in setting up panels for reviewing applications for postdoctoral scholarships and doctoral awards, competitive grants and book prizes. The College Deans will liaise with University Dean of Research in setting up panels to review NRF applications as well as monitoring performance of various programmes.</p> |
| FINANCE                            | <p>Cluster is responsible for the management of the following:</p> <ul style="list-style-type: none"> <li>• Portfolio operating budgets.</li> <li>• Research development budgets.</li> <li>• Overhead recoveries.</li> <li>• Processing of payments such as productivity awards and page fees.</li> </ul> <p>The Finance Manager liaises very closely with the Director of Finance for Research.</p>   | To be centrally operated  |
| Information Management & Marketing | <ul style="list-style-type: none"> <li>• This cluster is responsible for the following: Coordination and management of the research data management systems (e.g. IRMANet, InfoEd).</li> </ul>   | <ul style="list-style-type: none"> <li>• To be centrally operated.</li> <li>• To liaise with DMI, ICT, Corporate</li> </ul>   |

|  |   |   |
|--|---|---|
|  | <ul style="list-style-type: none"> <li>Facilitating the marketing of research conducted by UKZN researchers. In this respect, the cluster manages the office's website, compiles publications such as:</li> <li>The annual research report, quarterly research newsletter and other research related publications.</li> <li>Representing the University at research related national exhibitions.</li> <li>Generating research output and other research related data for the use by other clusters, the university community.</li> <li>Preparing data for submissions to world university ranking organizations.</li> </ul>  | <p>Relations and College PROs</p> <p>The College Deans of Research shall be responsible for ensuring that appropriate information and data is available from the Colleges</p>   |
| Intellectual Property and Technology Transfer Office | <p>This office coordinates the process of identifying, evaluating, protecting and marketing selected inventions and other IP creations of UKZN. These will include creations of the mind such as designs, trademarks and copyright-protected works (writings, plays, films, artistic works, etc.).</p> <p>In addition, the office also facilitates the commercializing of UKZN's intellectual property and research products for economic and social benefit.</p> <p>The IPTTO assists UKZN staff and students to protect their inventions and other IP creations by filing patent applications or other IP registrations as appropriate. It also assists UKZN inventors, by developing strategies to market and license the technologies to relevant industries.</p> | <ul style="list-style-type: none"> <li>To be centrally managed.</li> <li>To liaise closely with UKZN Innovation (or equivalent structure)</li> </ul> <p>The office and its operations are currently funded by the Department of Science and Technology. The Office could very well reside in the re-structured UKZN Innovation.</p> |
| POSTGRADUATE AND RESEARCH CAPACITY DEVELOPMENT       | <p>The unit is responsible for:</p> <ul style="list-style-type: none"> <li>The development, coordination and implementation of research capacity building initiatives, including implementation of Senate recommendations for increasing staff research activity;</li> </ul>  | <p>To remain central.</p> <p>The Director and the University Dean of Research will work closely with the College Deans of Research and Heads of Schools for implementation of various initiatives.</p>  |



|  |  |  |
|--|--|--|
|  | <ul style="list-style-type: none"> <li>• Coordination and implementation of initiatives to increase postgraduate enrolment and throughput as well as postdoctoral enrolment;</li> <li>• Monitoring and providing regular reports on the performance of postgraduate programmes;</li> <li>• Liaising with Colleges on implementation of initiatives to increase postgraduate throughput and research productivity.</li> </ul> |  |
| <p><b>9. <u>Library Services</u></b></p> <p>The Libraries should remain central, providing campus-wide services. The Campbell's Collections and the Alan Paton Centre can be moved to College of Humanities as components of the Centre for African Studies.</p> <p><b>10. <u>UKZN Press</u></b></p> <p>The unit should remain central</p> |  |  |