



POLICY ON DEVELOPING, RETAINING AND REWARDING RESEARCHERS

(RESEARCH POLICY II)

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A: POLICY STATEMENT

1. Purpose statement

The purpose of this sub-policy is to reaffirm the commitment of the University to being a research-led University with a strong core of competent and productive researchers, and to establish measures to ensure that the University attracts and retains the best researchers, as well as building the depth of research staff at the University.

2. Introduction and background

2.1. The University's goal is to be a pre-eminent centre for research and scholarship, but to attain and maintain this goal, the University recognises that:

- It must attract and retain top research academics at all levels, including at junior level, to be nurtured into leading researchers of the future;
- It must retain the skill and expertise of senior and retiring staff through, *inter alia*, honorary research appointments;
- It must provide proper support for research activities, including but not limited to efficient and enabling administrative support, funding and the development of leading facilities and resources; and
- It must recognise, acknowledge and reward the research achievements of researchers.

2.2. This Policy is therefore underpinned by the following:

2.2.1. The strength and reputation of a University depends to a large extent on the quality of its research.

2.2.2. The University Council, the Senate and Executive, through their statements and actions, recognise and endorse the centrality of research and scholarship to the Vision and Mission of the University.

2.2.3. To make concrete this philosophy, the University invests significant funding in creating and maintaining a strong research ethos, in the nurturing of research and the development of researchers.

2.2.4. To support its research endeavours the University continuously builds a research support system, research administrative processes, financial and human resource policies and processes, which are non-bureaucratic, user-friendly and enabling. These will be administered by well-trained, caring support staff that share the pride of the academic staff in the academic success of the University, and see themselves as contributing to it. All policies will be applied to and be supportive of the entire spectrum of disciplines in the University.

2.2.5. To meet its goal of being a pre-eminent centre for research and scholarship, UKZN attracts and retains identified national and international research leaders, fosters those who have the potential to develop into research leaders, identifies and nurtures the next generation of research leaders, and broadens the demographic base of researchers. In the appointment of academic staff, the University places emphasis on the research record (or, where more appropriate, research potential) of candidates, and seeks through such appointments to strengthen the quality of the University's research.

2.2.6. The future of the University depends on the pool of young researchers from whom future research leaders will emerge. The University works hard to attract such young researchers and addresses their needs so that it provides a suitably enabling research environment.

2.2.6.1. Mechanisms have been developed to identify outstanding young researchers within the University and to attract outstanding young researchers from other institutions.

2.2.6.2. Investment of time and money in the development of outstanding young researchers is a significant investment in the future of the University.

2.2.6.3. The University needs to ensure that the new generation of researchers is drawn from a diverse range of the population so as to address the deep racial and gender imbalances that characterise the national research system.

2.2.7. To remain competitive as a research university, UKZN has policies and procedures in place to create and maintain suitable research infrastructure: laboratory and equipment facilities, well stocked and maintained discipline specific as well as general libraries, a responsive reward system, and a vibrant ethos and environment. This allows the University to retain its best researchers and those with the most potential.

2.2.8. To stimulate research the University invests funds to provide active researchers with the necessary funding for equipment and research infrastructure, to provide for their basic research expenses and to assist them to leverage additional external research funds.

2.2.9. As part of a nationally observed phenomenon across most disciplines, the University will be losing a large number of active researchers through retirement during the next few years. This underlines the critical need to develop the next generation of researchers.

2.2.9.1 Active, retired researchers are a resource that the University can draw upon to assist in nurturing and developing the research leaders of the future, as well as postgraduate students.

3. Definition of terms

Author Unit (AU)

An AU is the proportion of UKZN affiliated staff/students on an accredited research output as defined by the Department of Higher Education.

Productivity Unit (PU)

A PU is a weighted value of the AU allocated to different categories of UKZN accredited research outputs.

Research Productivity Support Grant

The Research Productivity Support Grant is an annual payment of incentive linked directly to PUs and is calculated as follows:

$AU \times PU \times Rand \text{ value of PU}$

4. Scope

4.1. The policy applies to all staff, students and affiliates of the University engaged in research at or in collaboration with the University.

4.2. This sub-policy provides guidelines/direction on the University's position in respect of attracting and retaining top research staff, and providing the appropriate research environment for such staff.

4.3. The objectives of the policy are to:

4.3.1. Enhance the standing of the University as a first-rate research institution and the premier centre of African scholarship and research.

4.3.1.1. Establish a critical mass of expertise with active postgraduate and research Schools centred on nationally and internationally recognised research leaders.

4.3.1.2. Derive maximum benefit from the strategies of the National System of Innovation, from international research funding organisations and relevant government departments such as the Department of Higher Education and Training (DHET) and the Department of Science and Technology (DST), Science Councils and other national funding bodies for postgraduate students and research output.

4.3.2. Attract outstanding young researchers to the University, develop those at the University, and grow them as the next generation of leaders in research and scholarship in order to broaden the research base of the University.

4.3.3. Diversify the research base of young researchers through policies that address, in particular, the needs of researchers from under-represented groups.

4.3.4. Attract to the University, and retain, research leaders.

4.3.4.1. Provide an environment in which they can flourish as researchers, and gain in stature, internationally.

4.3.4.2. Benefit from their expertise to assist in research capacity development.

4.3.5. Establish an internal research funding mechanism that provides appropriate support for active researchers and enables them to leverage external funds. The mechanism should reflect their productivity in a transparent, efficient, effective manner with minimum bureaucracy.

4.3.5.1. Provide suitable research funding possibilities for new staff, for early career staff and for staff who are resuscitating their research activity.

4.3.6. Provide for the continued research involvement of active retirees, and establish mechanisms for the University to benefit from their accumulated expertise in research and in research capacity building.

The following institutional policies/ guidelines will have a bearing:

- Policy on Honorary appointments
- Framework for Teaching Workloads
- Policy on Private Remunerative Work

5. The Policy

The policy is set out in terms of principles.

5.1. Policy Principles for a Conducive Ethos, Environment and Infrastructure for Research

5.1.1. The University is proud to have built up a research ethos of considerable strength, and through its actions will continue to strengthen it further.

5.1.2. Research flourishes in an environment that is conducive to research.

- 5.1.3. An environment that encourages research is based on a strong research ethos, driven by the academic staff, the Senate and the Executive, and accepted, endorsed and implemented by the University Council, management and support staff.
- 5.1.4. Research and other creative activities are nurtured by an administrative environment that concentrates on being supportive and enabling.
- 5.1.5. In particular, the administration of research policies, and the administrative support offered to the research community should be efficient, effective and user-friendly.
- 5.1.6. Quality research requires significant infrastructure in the form, for instance, of libraries, computer facilities, and equipment, as well as technical and other support staff.
- 5.1.7. University research is dependent on a cadre of research-oriented students and postdoctoral researchers.
- 5.1.8. The University recognises the importance of reducing bureaucracy in its policies and their administration and takes active steps to ensuring that policies are supportive and nurturing rather than obstructionist. The effective, non-bureaucratic administration of these policies is enhanced by staff training and recognition of the importance of quality support staff.
- 5.1.9. The Research Office is intent on developing further the efficient and effective administration of research policies, and to provide appropriate personal support and advice to researchers in their efforts to secure external research funding, and develop their research productivity.
- 5.1.10. The University already invests, and will take action to grow its investment in, the infrastructure required to support the research endeavour.
- 5.1.11. The University recognises the importance of developing a strong group of potential researchers amongst its undergraduates and postgraduates, and seeks to enhance that through its selection policies, its teaching and the ethos, environment and facilities that it offers students.
- 5.1.12. Recognising the importance of postdoctoral researchers to its research activity, the University has established and will grow its Postdoctoral Fellowship scheme.

5.2. Policy Principles for Developing Young (“Early career”) Researchers

5.2.1. Advising/Mentoring

5.2.1.1. Young researchers need a nurturing environment and a system of support in the early stages of their careers. The term “young” is deemed to include “early career” researchers, i.e. older researchers who join academia relatively late.

5.2.1.2. The implementation of a mentoring (advising) system will provide all new staff with an appropriate induction to University procedures and processes and an ongoing supportive framework.

5.2.1.3. The advising should cover not only the research process, from conceptualisation to publication, but also provide support in terms of development of research proposals and applications for grants and mobilisation of research funds, mobilisation of funds, exposure to researchers of high standing, opportunities for networking, etc.

5.2.1.4. It should be noted that even established researchers, particularly if joining the University from outside South Africa, benefit from some advising, so as to facilitate their entry into the University system and the national research system.

5.2.2. Recognition/Appreciation

Recognition or acknowledgement of progress and achievements is an important incentive for researchers.

5.2.2.1. Such recognition is not restricted to, but may include, financial reward expressing the appreciation of the University, awarding time, and generally providing a supportive environment.

5.2.2.2. The creation of formal opportunities for recognition by the University is to be encouraged.

5.2.2.3. The establishment of a personal link between a young researcher and the Research Office and research management is important. The Supervisor can be extremely helpful and supportive in this.

5.2.3. Teaching and/or Administrative Relief

It is recognised that researchers need time to undertake research, particularly in the case of young researchers who are still establishing their careers.

5.2.3.1. Teaching loads of young staff members should be carefully managed by Deans and Heads of Schools.

5.2.4. Career Advancement

The advancement of outstanding young researchers is a priority. Care should be exercised to prevent the notion of "serving time" from acting as an impediment to the career advancement of young research "stars".

5.2.4.1. The promotion system within the University should be able to accommodate young research "stars".

5.2.5. Development of Young Researchers in Designated Groups

The need to diversify the pool of young researchers and to strengthen the equity programme of the University is a high priority.

5.2.5.1. Special programmes are in place and new ones will be developed to support and encourage young researchers from designated groups.

5.2.5.2. The need to be proactive and identify highflying students in designated groups needs to be emphasised.

5.2.6. Attracting Outstanding Young Researchers to the University

The University needs to be proactive to attract outstanding young researchers.

5.2.6.1. "Head-hunting" of young "stars" in strategic research areas is to be encouraged.

5.2.6.2. Strategic research areas include not only the strategic research initiatives of the University (see Research Policy III: Collaborative Research and Strategic Research Initiatives), but also areas where there is a dynamic and established team of active and well-resourced researchers who can provide a supportive environment.

5.3. Policy Principles for Attracting and Retaining Research Leaders

5.3.1. Identification of Research Leaders

The University has a number of mechanisms to identify researchers who show potential to be research leaders, and to foster and support them, and these need to be enhanced. The University identifies 'research leaders' carefully as individuals who are high-quality scholars and are doing ground-breaking research.

5.4. Policy Principles in Respect of Support from the University

5.4.1. Recognition or acknowledgement of research achievements

Recognition or acknowledgement of research achievements is an important incentive. A feeling of being valued motivates researchers to greater achievements.

5.4.1.1. Such recognition may include financial reward, time, celebration by the University of the researchers' achievements, and in particular, an enabling, non-bureaucratic environment.

5.4.1.2. The creation of formal opportunities for recognition by the University Leadership is to be encouraged.

5.4.1.3. The establishment of a strong link between research leaders and research management is important.

5.4.1.4. The University encourages leading researchers to form research teams.

5.4.1.5. The University provides support in facilitating applications for research funding.

5.4.2. Teaching and/or Administrative Relief

It is recognised that researchers need time to undertake research, and in an environment in which paperwork and administration loom large, leaders of research groups are increasingly under pressure. The University, through the Deans and Heads of Schools, must adopt strategies to make time available for research.

5.4.3. Attracting Research Leaders to the University

The University needs to be proactive to attract appropriate research leaders from outside. This would entail "head-hunting" with the ability to provide suitably designed packages.

5.5. Policy Principle in Respect of the Society of UKZN Fellows (University Fellowship Award)

5.5.1. The University gives recognition to those on its staff who have distinguished themselves through their outstanding research and scholarship, or creative performance.

5.5.2. At the same time it recognises the contribution that such academics, individually or as a group, can make to the academic ethos and scholarship of the University, and calls upon them to play a wider role in the University.

5.6. Policy Principles in respect of University Research Funding: Rewarding Research Outputs

5.6.1. It is in the interests of the University to provide funding support to researchers – such funding is, in fact, an investment for a research-oriented institution.

5.6.2. In line with a commitment to efficiency and effectiveness in research administration, the research awards should be made with a minimum of bureaucracy.

5.6.3. The aims of such an investment are to enable productive researchers to continue their activity, to widen the pool of productive researchers, and to enhance postgraduate research.

5.6.4. The bulk of the awards should be based on research productivity, as is the case for the national research funding policy.

5.6.5. The researcher should have maximum freedom in the use of the Research Productivity Support Grant, as long as it is used for *bona fide* research purposes.

5.6.6. In the interests of capacity building, there is a need for a separate mechanism to support new researchers on a competitive basis.

5.6.7. In addition to rewarding productivity, in terms of quantity some mechanism is also required to recognise and reward the quality of research output.

5.6.8. Honorary staff members who publish research in the name of the University should have access to the same Research Productivity Support Grant as is the case for paid staff members.

5.6.9. The University should continue to provide funds for the capital equipment needs of researchers.

5.6.10. In addition to funding individuals, as set out above, the University sets aside limited funds to enable researchers to collaborate, so that the University gains recognition for depth of expertise in certain niche areas.

5.7. Policy Principle for Retaining the Capacity of Retired Academics

The University notes that a significant number of active researchers have recently retired, or will be retiring shortly. It recognises that such retirees can continue to make a valuable contribution to the promotion and enhancement of the research culture of the University in general, and specifically to research capacity building. It therefore has instituted mechanisms to enable such retirees to continue to do research and to act as mentors, and wishes to use the experience and ability of the retired academics for the benefit of the overall research endeavour.

B. PROCEDURES AND GUIDELINES FOR IMPLEMENTATION

1. Mechanisms for Developing Young (“Early career”) Researchers

1.1. Advising/Mentoring

1.1.1. Deans and Heads of Schools, College Deans of Research and the Executive all have a responsibility to support and develop young researchers, and all new staff should get appropriate and effective induction in respect of research matters.

1.1.2. An advisor should be appointed for each young, active researcher. An advisor should also be appointed for a newly-appointed established researcher, where the Head of School deems it to be appropriate.

1.1.2.1. The advisor should be appointed as soon as an appointment is made, so as to ensure that opportunities for funding applications are not missed, and that any other research-related problems or queries can be dealt with quickly.

1.1.2.2. The advisor would normally be appointed by the Dean and Head of School after consultation with the advisee (where appropriate), and/or School Academic Leader: Research. Advisees have the option of switching to a different advisor once they have had time to interact with staff.

1.1.3. The advisor should have the ability to interact and communicate, and would preferably have the necessary expertise in the advisee's research field/discipline. An advisor could be a senior staff member, or an active retired staff member (Senior Research Associate). Mentors need not necessarily come from the same School as the mentee.

1.2.4. The advisory role would normally be a voluntary one. However, an incentive may be provided to advisors to encourage more researchers to take on this role. The nature of the incentive will be recommended by the University Research Strategy Group to the DVC (Research).

1.2. Recognition/Appreciation

Recognition may be given to researchers in the following ways:

1.2.1. Acknowledgment of achievements by researchers (e.g. awards at conferences, medals for best paper, etc.) in the form of a personal letter from the Research Office or DVC (Research) or College Dean of Research.

1.2.2. Publication of research achievements in a University newsletter.

1.2.3. Recognition by the University of NRF-rated academics, particularly of those receiving a P-rating.

1.2.4. An annual meeting of the DVC (Research) with all early career appointees, for the first three years after appointment, to discuss, *inter alia*, research goals, progress and obstacles.

1.2.5. At least one annual prestigious award, viz. the Vice-Chancellor's Research Award (Appendix A), to recognise particularly outstanding young researchers.

1.2.6. Consideration should be given to introducing additional awards for promising young researchers, the number and level of such awards to be recommended by the University Research Strategy Group, subject to budgetary considerations.

1.3. Teaching and/or Administrative Relief

1.3.1. In the first year of appointment, they should not normally be allocated a full teaching load, as this is a critical period for a newly appointed academic to establish his/her research activities.

1.3.2. Deans and Heads of Schools should exercise care in assessing the teaching loads that staff members carry and be innovative in shaping the teaching commitments in a way that provides for periods of focus on research.

1.3.2. Teaching relief (e.g. buying out of teaching time) should be considered in appropriate cases, especially where external grants are available to fund the teaching relief.

1.3.4. Administrative loads on young researchers should be held to a minimum.

1.3.5. Consideration should be given to allowing the award of an early sabbatical to those with available sabbatical leave, for instance, to expedite the completion or publication of the results of a large project.

1.4. Career Advancement

1.4.1. Accelerated promotion should be considered for outstanding young researchers.

1.4.2. P-rated researchers should be appointed at suitable levels and not be restricted to appointment at the lecturer level.

1.5. Development of Young Researchers in Designated Groups

1.5.1. The need to start mentoring for designated groups at the undergraduate and Honours level should be seen to be a responsibility of the College Research Panel.

1.5.2. The University should continue its strong support of the Thuthuka and similar programmes, and its efforts in seeking additional donor funding to sponsor such activity.

1.6. Attracting Outstanding Young Researchers to the University

1.6.1. The role of existing research leaders within the University is important in the process of attracting outstanding young researchers to the University.

1.6.2. Postdoctoral Scholars are an important means to stimulate this process. More such positions should be created by the University, subject to budgetary considerations.

1.6.3. Consideration should be given to the creation of supernumerary posts to attract outstanding young researchers as an interim measure until a permanent post becomes vacant.

1.6.4. Salaries for highly promising young researchers offered by UKZN must be competitive with those of other universities.

1.6.5. Access to excellent library facilities, equipment, workshops, laboratories, high-speed computer networks, and technical and administrative support should be ensured.

1.6.6. A supportive, non-bureaucratic University administrative support structure is vital.

2. Mechanisms for Attracting and Retaining Research Leaders

2.1. Identification of Research Leaders

2.1.1 The DVC (Research) and Research Office, together with College and School research structures, monitor the research performance of all staff, and identify potential research leaders. They also ensure that suitable mentorship is available when this is needed.

2.1.2 Such future research leaders should be encouraged and supported in their quests to find external funding and to build up a research group.

2.2. Support from the University

The Research Office should ensure the following forms of recognition of research leaders:

- 2.2.1. Acknowledgment of achievements by researchers in the form of a personal letter from the Vice-Chancellor, DVC (Research), DVC and College Head or Research Office.
- 2.2.2. Publicising of research achievements in a University newsletter and dissemination thereof to the media and the wider public.
- 2.2.3. Recognition by the University of high-flying NRF-rated academics and South African Research Chairs Initiative (SARChI) chair holders.
- 2.2.4. Regular meetings of the DVC (Research) with all leading researchers, to discuss, *inter alia*, research goals, progress and obstacles.
- 2.2.5. Prestigious awards, such as the University Fellowship (see below), to recognise particularly outstanding researchers.
- 2.2.6. Support for collaboration and the formation of Centres and Units (see Research Policy IV: Institutes, Centres and Units) by providing additional research funding where such groupings provide added value, but expecting enhanced research productivity in exchange.
- 2.2.7. Proactively providing support and advice to researchers seeking external research funding.

2.3. Teaching and/or Administrative Relief

- 2.3.1. Teaching loads within Schools should make allowance for time spent by leading researchers on postgraduate teaching and mentoring, as well as on administration of research groups.
- 2.3.2. Teaching relief (e.g. buying out of administration or teaching time) should be considered in appropriate cases, especially where external funds are available to support this.
- 2.3.3. Consideration should be given to allowing periods of unpaid leave in special circumstances, for instance, to expedite the completion or publication of the results of a large project.
- 2.3.4. The University should give consideration to the creation of a limited number of academic posts with a reduced teaching and administrative load, appointments to them being for periods of 3 years, on a competitive basis, and renewable.
- 2.3.5. The University should give consideration to the creation of a limited number of "research assistantships", available to leading researchers on a competitive basis.

2.4. Attracting Research Leaders to the University

- 2.4.1. The University should, where appropriate, make use of "head-hunting" of outstanding researchers to draw them to the University. This would imply proactive action by key members of selection committees, and would require an ability to offer suitably attractive "packages" (in regard to salary, research infrastructure, support and start-up funding, as well as research support, e.g. through Postdoctoral fellowships).
- 2.4.2. The role of existing research leaders within the University is important in the process of attracting other outstanding researchers to the University.
- 2.4.3. School and College research structures play an important role in assisting new research leaders in settling down in the University.
- 2.4.4. Making Postdoctoral positions available to research teams is an important means to attract research leaders, and more such positions should be created by the University, subject to budgetary constraints.
- 2.4.5. Salaries offered by UKZN to research leaders must be competitive with those of other universities.

2.4.6. Access to excellent library facilities, equipment, workshops, laboratories, high speed computer networks and technical and administrative support should be ensured.

2.4.7. An enabling, non-bureaucratic University administration is essential.

3. The Society of UKZN Fellows (University Fellowship Award)

3.1. The University has established the University Fellowship Award to give recognition to its research leaders and to its outstanding creative performers.

3.2. Fellowship carries with it no remuneration, nor does it, of itself, give rise to special advantages in regard to research funding.

3.3. Typically, approximately three new Fellows are selected annually. In line with international norms in learned societies and academies, selection to Fellowship is essentially in the hands of existing Fellows. Details of the criteria and selection procedures are set out in Appendix B.

3.4. The University Fellows formally play a wider role in University research policy in that they are represented in Senate and on the Selection Committee for the Vice-Chancellor's Research Award. They can be coopted in the Research Strategy Group for specific tasks.

3.5. As leaders in the University scholarly community, Fellows are expected, as individuals, to play an active role in guiding young researchers and in research capacity building, to advise in the development of curricula, and generally to be active in enhancing the scholarship and academic ethos of the University.

3.6. In the above context, the University Fellowship should give consideration to organising regular academic/public lectures, to act as an intellectual powerhouse within our research community, to encourage cooperation and communication among academics from different fields of interest, and to increase scholarly pride in our institution.

3.7. The Society of UKZN Fellows meets on a biennial basis with support from the University's Research Office. Representatives of the Fellows meet with members of the Executive once every semester to interact as an entity with the University.

3.8. The University has the right to withdraw the title of Fellows from individuals who damage the reputation of the University through the practice of poor or unethical research conduct.

4. University Research Funding: Rewarding Research Outputs

4.1. The University will continue to dedicate a fraction of its main fund for research endeavours by allocating a percentage of its budget to support research.

4.2. The College Research Office will also assist staff in obtaining external funding so as to grow the pool of available research funds.

4.3. Linking University research funding directly to research productivity provides an easily administered, efficient, non-bureaucratic method of distributing funds in a way that provides productive researchers with the means to be productive in the future.

4.3.1. Differential rewards are provided, for instance, for journal articles, conference presentations, books, patents and successfully graduating research students (see Appendix C).

4.3.2. Based on the publication output in DHET accredited journals, Top 30 published positions will be rewarded (Appendix D).

4.4. Subject to some constraints that may be imposed by other University policies, the researcher shall be free to use the research award for *bona fide* research purposes at his/her discretion, for instance, for running costs, conference attendance, equipment, or staffing, on a time-scale that suits the researcher's work.

4.4.1. Contract staff who are actively involved in research will be rewarded similarly. Funds received for this category of staff should be allocated to a School account to be used for further research by contract staff.

4.5. As it is recognised that an individual's publication rate is likely to fluctuate from one year to another, it is important for researchers to plan for the associated variable research funding that follows.

4.6. Although individuals are rewarded for their productivity, collectives may wish to pool their resources for specific projects.

4.7. In implementing the policy, it is important that the Research Office makes payment of the awards as soon as possible after publication date, and that regular and transparent payments be made for all categories of award, including DHET recognised journal articles, books and book chapters, creative contributions, students, etc. Furthermore, where possible, researchers should be provided with a list of accepted outputs and the number of productivity units awarded for each output.

4.8. Consideration should be given by the Colleges of initiatives for the provision of additional seed money to support promising young researchers, including funding to attend conferences, and a possible higher research productivity reward, to assist and motivate young researchers until they become established.

4.9. The process of evaluation for productivity rewards shall, as far as possible, be transparent and, where appropriate, contributors should be furnished with reasons for rejections.

4.10. As one attempts to reward quality, the University provides an award for an improvement in NRF rating (see Appendix C).

4.11. Senior Research Associates, Honorary Research Fellows and other Honorary staff of the University who publish research in the name of the University are eligible for research reward funding in the same way as paid staff members.

4.12. Over the past several years, national funding by the NRF for the acquisition, repair and maintenance, and replacement of capital equipment for research has been minimal. There is thus a great need for the University to continue to provide funding both for moderately expensive research equipment (< R50 000), and for expensive capital equipment (R50 000 or more).

4.12.1. Research equipment that is necessary for well-motivated proposals that fall within the research programme of a College/School, and costing up to R50 000, should be budgeted for in the respective School's annual budget.

4.12.2. Grants for expensive capital equipment needed for research and costing R50 000 or more, are available on a competitive basis. Factors taken into consideration in awarding grants include (a) that the research falls within the School's or College's research programme, (b) the research productivity of the applicant, (c) the number of likely users, including postgraduate students, and (d) the extent to which the equipment could be funded from external sources.

4.12.3. Very expensive equipment should be funded as a regional facility, and with the support of external funders.

4.12.4. For the urgent repair and maintenance of expensive research equipment, applications can be submitted for consideration for funding by the University through funds administered by the Research Office.

4.12.5. For funding purposes, expensive specialised texts, legal publications, electronic resources or museum pieces that may be of great importance to researchers in the Humanities, are treated as essential "research equipment".

4.13. In order to encourage researchers to form teams and collaborate, limited funds are available for collectives, to enable them to add value to their research activity

through collaboration (see Research Policy III: Collaborative Research and Strategic Research Initiatives).

4.14. The University will develop an Expensive Capital Equipment Plan to maintain the competitiveness of its laboratories and research facilities.

5. Retaining the Capacity of Retired Academics

5.1. The University has established the position of Senior Research Associate (SRA), for which retired academics may apply.

5.1.1. In principle a 3-year appointment, the position provides for much of the infrastructure needed by a researcher to continue with her/his activity beyond retirement.

5.1.2. SRAs are eligible for University research funding as set out above (see 7.2.8).

5.1.3. To this end, SRAs shall be given a staff number, have access to IRMA, and, like paid staff members, have discretion over their research funds, subject to established approval mechanisms.

5.1.4. SRAs are also eligible for research funding through the NRF, subject to any constraints that the NRF may impose.

5.1.5. There is no remuneration associated with the position as such, but appointees may be paid for specific activities on behalf of the University.

5.1.6. Details of the method and term of appointment, and the privileges associated with the appointment are covered in other policies already approved by Senate and Council in 2004.¹

5.2. SRAs may participate in the undergraduate and postgraduate teaching programmes of the University, and be paid for such activity as temporary lecturers, independently of their role and privileges as SRAs.

5.3. Amongst retired academics there are some with special skills in research capacity building and mentoring, both of postgraduate students and of junior (academic and technical) staff. It would be to the advantage of the University to tap into this reservoir of research leadership, experience and expertise, drive and enthusiasm, and retain these skills resident in its retired academic staff.

5.3.1. To this end, consideration should be given to making available within each College a limited number of part-time mentoring posts, appropriate to the research development needs of the College. These would be made available by Heads of Schools, on a competitive basis, to be applied for by SRAs to assist in research leadership, co-supervision of postgraduate students, mentoring of both academic and technical staff (including junior and new staff), and capacity building. Remuneration could be in line with the mentoring emoluments paid in the framework of the NRF-University Thuthuka programme.

5.3.2. Where supervision of postgraduate students is concerned, SRAs may supervise research students on the basis that the supervision be shared with young academic staff, so as to transfer skills and build supervision capacity.

5.3.3. SRAs play research leadership and mentoring roles.

5.3.4. At the discretion of the College DVC, retired academics from other institutions who, on retirement, are resident in KwaZulu-Natal, could also be eligible for appointment to these part-time mentoring positions.

¹ “University of KwaZulu-Natal Appointment Categories,” approved by Senate in November, 2004, and Council in December, 2004.

5.4. Professors Emeritis and Fellows of UKZN are initially also appointable as SRAs and given the same privileges as those enjoyed by SRAs. The renewal of their SRA appointment is subject to them meeting the conditions for renewal as stipulated in the guidelines for honorary appointments.

Appendix A

VICE-CHANCELLOR'S RESEARCH AWARD

The award is open to all academic staff who are under 40 years of age on 01 September in the year in which they are nominated. Researchers of exceptional quality and proven achievement with sustained records of scholarship or creative endeavour will be considered.

The following documents should be forwarded:

1. Curriculum vitae
2. Details of publications, reviews of publications (or cited references) and other evidence of distinction
3. The names of five referees (National and International) whom the Committee may consult. Please note that referees should be approached by the nominator(s)/applicant(s) to agree to act as a referee. Referees should be persons of standing (two of whom should be international where the field of activity makes this a reasonable requirement) in the candidate's discipline. The University reserves the right to call for assessor reports. Please provide full details: title, name, physical address, e-mail address, telephone and fax numbers.

One award will be made annually provided that there is a nominee whose work is of sufficiently high standard. The funds awarded may be used for self-initiated research or creative endeavour and would be given unconditionally for any legitimate research expense including equipment, running expenses, travel or a combination of these. The only requirements will be research/scholarly/creative productivity.

Please note that:

- This is a single award.
- The awards are made on merit and it is possible that in a given year there may be no award made
- The University reserves the right to withdraw the Award at any time if, in the opinion of the University the recipient's conduct or behaviour is considered to be unethical or not in conformity with the honour and status of the Award.

Appendix B

PROCEDURE FOR THE AWARD OF FELLOWSHIP OF THE UNIVERSITY OF KWAZULU-NATAL

The University Council may, on the recommendation of the Senior Awards Committee, award Fellowships of the University of KwaZulu-Natal to staff members in recognition of distinguished academic achievement, subject to the following conditions and procedures:

1) Nominees:

- Must be members of the permanent academic staff who have held an appointment at the University for a continuous period of 3 (three) years prior to the closing date for nominations.
- Must have distinguished themselves in academic and have scholarly work which is of such high quality as to merit special recognition.
- Should be either a Professor or Senior Professor of the University.

2) Nomination Procedure:

Nomination of candidates for a Fellowship must be supported by three members of the University staff and must be accompanied by:

- A brief motivation for the nomination, including the nominee's distinguished contribution(s) in his or her field.
- A curriculum vitae, including details of publications, reviews of publications (or cited references) and other evidence of distinction.
- Names and full contact details (title, name, physical address, e-mail address, telephone and fax numbers) of five referees (national and international), two of whom should be international referees. Referees should be persons of standing who have distinguished themselves in the relevant field. The University reserves the right to call for assessor reports.
- A letter of acceptance from the nominee.

3) The Senior Awards Committee, chaired by the Vice-Chancellor, is delegated by Council to make the awards in terms of the policy and then to inform Council and Senate accordingly.

4) The following shall be taken into consideration for the award of a fellowship:

- the originality and creativity of the nominee as manifested in research work or in other applications of the discipline;
- that publications (or their equivalent) are to be regarded as the main evidence of original distinguished academic work, and such publications should make a significant contribution in the field;

- that public presentation of work in the performing arts and in the fine arts as being equivalent to research and publication;
 - that evidence of the national/international recognition of a nominee's work can be required where the field or activity makes this a reasonable requirement, and should be based on NRF rating, membership on educational boards, etc.
- 5) The Senior Awards Committee may call for assessor reports in addition to referee reports. Referees will be invited to comment on, *inter alia*, whether the nominee is exceptional and worthy of being considered and, in respect of publications, the level of production, the media used for publications, the quality and depth, the standing within the discipline concerned and the international and/or national standing. Referee reports should comment solely on the productivity of the individual and not on their character, and shall be treated in the strictest confidence.
 - 6) Fellowships are conferred for life and are not restricted in anyway. Fellowships shall be entirely independent of promotion or other changes in a staff member's conditions of service.
 - 8) The University reserves the right to withdraw the Fellowship at any time if, in the opinion of the University the candidate's conduct or behaviour is considered to be unethical.
 - 7) The award of Fellowships shall be formally announced by the Vice-Chancellor at the appropriate graduation ceremony and the Fellow shall be presented with a certificate by the Vice-Chancellor. The graduation ceremony programme shall contain a citation of 200/250 words setting out the grounds for the award of the Fellowships. Such citation shall be prepared by the Deputy Vice-Chancellor: Research.

Appendix C

RESEARCH PRODUCTIVITY SUPPORT GRANT

Submission procedure

The Research Productivity Support Grant refers to funds allocated to staff based on their research productivity as indicated in the Table below. One AU is awarded when all the affiliated staff/students are from UKZN. AUs of students are awarded to supervisors/staff member. Where students who co-publish are also staff members, they will earn AUs as staff members. One AU is equal to one UKZN staff member (made up of the staff member alone, or in conjunction with his/her students) per accredited research output. When there are two or more UKZN staff members per accredited research output, then the AU is shared proportionally. If there are external authors, who are not UKZN affiliated, then that portion of the AU is lost, and the remaining proportion is allocated to the UKZN authors (staff). PUs per staff member are calculated as follows: AU x Value per research output category as indicated in the Senate approved Productivity Table below.

All staff members are invited annually to record all of their research outputs (i.e. journal articles, books, chapters in books, refereed conference proceedings, graduated masters and doctoral students, etc.) on the University research web-based database. With regard to the DHET accredited journal articles, the first and last pages (and any additional pages if the journal details do not appear on either of these two pages) of the articles are sent directly to the Research Office for validating and auditing purposes. Copies of outputs together with supporting documentation for other categories of research outputs such as books, patents, refereed conference proceedings, journal editorials, journal articles (non-DHET accredited), chapters in books, edited books, and creative contributions must be forwarded to the College Research Panel for evaluation and transmission (where applicable) to the Research Office. Further details of the submission procedures will be included in the Research Office annual call for submission of research output details.

Note that the Grant due for graduated students is calculated by the Research Office, on the basis of information recorded in the official university graduation programmes.

**PRODUCTIVITY AWARDS TABLE
(Amended Senate 3 November 2010)**

Category	Current Productivity Units	
Whole Book	100	
Patent	80	
Journal article	60	
Graduated doctoral student	60	
Staff graduated with doctoral degree	60	
Creative contribution (international)	50	
Book editorial	30	
Chapter in book	15	
Creative contribution (local)	15	
Graduated full dissertation masters students	16	
Refereed conference proceedings (DoHET/ISI listed)	10	
Journal editorial	8	
Graduated coursework masters students	8	
Refereed conference proceedings (non-DoHET/ISI listed)	4	
NRF Rating	Researchers who receive an A-rating for the first time	100
	Improvement in rating by moving between major categories.	100
	Researchers who receive a rating for the first time in other categories (i.e. other than A)	60
	Improvement in rating by moving within major categories (A,B,C) e.g. B2 to B1 or C2 to C1	60
	Retention of NRF rating in the case of A-rated scientists	60

Use of funds

Funds may be used for any research related expenditure, including (a) Personnel (e.g., research and teaching assistance); (b) Running Expenses (e.g., travel, subsistence, fieldwork, operating costs); (c) Equipment (including journal subscriptions and internet subscriptions for home-based research, books, etc.); (d) Conference attendance; (e) Membership of scholarly and professional societies, excluding fees payable to statutory licensing bodies; and (f) Study fees payable to another university where the UKZN staff member is the only specialist in a particular field and has to register at another institution for doctoral studies. The funds are spent at the discretion of the awardee for *bona fide* research purposes, and should not be taken as salaries, unless otherwise stipulated. There is no time limit for using the funds.

The deployment of these funds must comply strictly with UKZN's financial and other relevant policies and procedures.

The rate for the Research Productivity Support Grant shall be set annually by the University Executive Management Committee (EMC) on the recommendation of the Research Strategy Group.

Appendix D

TOP 30 PUBLISHED POSITIONS

Following the publication count, researchers who have accumulated the most amount of author units (AUs) for DoHET accredited journal articles are ranked from highest to lowest to establish the top 30 published researchers. The AUs are rounded off up to 5 decimal places. Where the scores tie, the position is shared. The monetary value of the award is determined by the DVC (Research) in consultation with the Research Strategy Group. The top 30 list is published in the Research Annual Report. The recipients are issued with certificates at the Research Annual Dinner.