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RULES ON ACADEMIC ENTITIES WITHIN, ACROSS AND ALONGSIDE DEPARTMENTS (OR EQUIVALENT FACULTY-BASED STRUCTURES) AND FACULTIES

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RULES ON ACADEMIC ENTITIES WITHIN, ACROSS AND ALONGSIDE DEPARTMENTS (OR EQUIVALENT FACULTY-BASED STRUCTURES[1]) AND FACULTIES

Type of document:	Rules
Purpose:	To provide a framework for the establishment and functioning of formally approved academic entities located within, across and alongside departments (or equivalent faculty-based structures) and faculties, namely centres, institutes, and schools (CIS)
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Date of next revision/frequency of revision:	2029
Previous revisions:	- Rules on academic entities within and alongside departments (or equivalent faculty-based structures) and faculties, 2018 - Centres, Bureaus and Institutes (CBI's) Policy, 2009
Owner[2]:	Co-owned by the Deputy Vice-Chancellor: Learning and Teaching, and the Deputy Vice-Chancellor: Research, Innovation and Postgraduate Studies
Curator[3]:	Senior Director: Research and Innovation
Keywords:	Academic Entities, Centres, Bureaus, Institutes, Schools, Type 1, 2, and 3, CIS rules
Validity:	The English version of this regulation is the operative version, and the Afrikaans version is the translation.

[1] Equivalent Faculty-based structures include, for example, the various Divisions found in Departments in the Faculty of Medicine and Health Sciences.

[2] Owner: Head(s) of Responsibility Centre(s) in which the rules functions.

[3] Curator: Administrative head of the division responsible for the implementation and maintenance of the rules

1. INTRODUCTION

To promote the effectiveness and impact of Stellenbosch University (SU), it is necessary to establish academic entities in specific strategic focus areas. Through these entities SU aims to attract outstanding students, employ talented staff, and provide a world-class environment: a place connected to the world, while enriching and transforming local, continental, and global communities. These rules provide a framework for organizing our research and innovation, teaching and learning focus areas into entities that can help consolidate and expand on new areas as our growth points and flagships for the University into the future. Such entities allow for academic innovation within disciplines as well as the formation of formal collaborative partnerships across different departments (or equivalent faculty-based structures) and faculties[4]. At SU, these entities are named 'centres', 'institutes' or 'schools' (collectively referred to as 'academic entities' or 'CIS entities' for the purpose of these rules).

Such entities are generally established to extend the academic mission of universities. Their establishment is perceived to be important because of the organisational flexibility they afford, and they can take multiple and various forms. At SU, these entities are established within, across or alongside academic departments (or equivalent faculty-based structures) and faculties as complementary structures with clearly defined purposes. They serve to enhance academic excellence in areas of strategic importance to SU and often enable access to external research funding opportunities and resources. Such entities are generally, although not exclusively, inter-, and trans-disciplinary in nature and are established to enhance collaboration between traditional academic university structures like departments and faculties.

One of the functions of Council is to "establish academic structures and units, including faculties and departments, on the recommendation of the Senate" (Stellenbosch University Statute (2019), p31, 3(f and g)). Senate is accountable to Council for the academic and research functions of the public higher education institution (Higher Education Act No. 101 of 1997, s 28, 1). Only academic entities functioning under the auspices of Senate are thus contemplated in these rules, and not professional academic and administrative support service (PASS) environments. This means that, although the name 'centre' is also used for

[4] Sá, C.M. 2008. University-based research centres: Characteristics, organization and administrative implications. *The Journal of Research Administration*, 39(1):32–40.

entities in the PASS environment, those centres are not established or governed in terms of the stipulations in these rules. These rules will also not govern faculty-based service-oriented or programme management- oriented entities that are not primarily established for an academic purpose.

OVERARCHING PRINCIPLES

SU is a university that seeks to be anchored within its region, Africa and Globally. This requires setting relevant research and innovation agendas that are co-designed across various disciplines in collaboration with its stakeholders. In order to achieve this, the Type 1, 2 and 3 entities together with the faculties have to embrace the institutional values of equity, compassion, accountability, respect and excellence as articulated in SU's Vision 2040.

Proposals for the establishment of these entities must clearly articulate how they address:

(i) Inter- and trans-disciplinary collaboration within SU and externally;

(ii) Capacity building and how they contribute to teaching and learning, research and postgraduate supervision and scholarly outputs;

(iii) Sustainability plans, for example, finances, grant acquisitions, people;

(iv) Scholarly contributions overall.

2. IMPLEMENTATION OF RULES

2.1 These rules apply to all members of the University (refer to 3.3 for the definition of members).

2.2 These rules must be read in conjunction with all other related SU policies and procedures, including those specifically mentioned in these rules.

2.3 These rules are intended for internal use only and do not confer any rights or privileges to any third party.

2.4 These rules replace all previous versions of policy and management documents regarding the establishment of centres, bureaus, institutes, and schools at SU.

2.5 These rules allow for three different types of academic entities to be established (type 1,2 or 3). The different types of entities report to departments (or equivalent faculty-based structures, such as Divisions within Departments in the Faculty of Medicine and Health Sciences), faculties or at institutional level, respectively.

2.6 A change in entity type will be approved via a new application process.

2.7 These rules allow formal entities to be named Centre, Institute or School.

2.8 Entities established prior to the implementation date of these rules (under the earlier (2018) version of these rules, or the previous policy (SU Centres, Bureaus and Institutes

Policy of 2009) may retain their existing names and status. Alignment of formerly established entities which do not comply with these rules are however strongly encouraged where feasible.

2.9 All formal academic entities will be included in the quality assurance processes of SU to assess their continued viability and efficacy.

2.10 These rules are not applicable to informal collaborative academic groupings that can be named "units", "groups", "labs" or any other name of choice.

3. DEFINITIONS

3.1 **Interdisciplinary** means combining or involving two or more academic disciplines or fields of study that are usually considered distinct.

3.2 **Transdisciplinary** means crossing many disciplinary boundaries to create a holistic approach to solving research questions. According to the Belmont Forum (http://www.belmontforum.org), a transdisciplinary approach enables inputs and scoping across scientific and non-scientific stakeholder communities and facilitates a systemic way of addressing a challenge.

3.3 **Member of the University** refers to any person permanently employed or under contract to SU, registered students and any others engaged in academic activities falling under the jurisdiction of the University; joint staff (employed, for example, in partnership with the Western Cape Department of Health); and any person formerly in any of the aforementioned categories whose work remains associated with the name of SU.

3.4 **Centre/institute**: Technically, there is no difference between the terms '**centre**' and '**institute**'. Both typically involve a faculty, students and staff from various subject areas, whose work together provides added value over and above their individual academic activities and who benefit from the University's official recognition of that collaboration. In practice and for the specific purpose of SU's rules in this regard, the term 'institute' would typically refer to an entity with a broader scope than an entity called a 'centre'. An institute may therefore create centres as separate units within its administrative structure. Centres, on the other hand, cannot create institutes as part of their administrative structure.

3.5 The term **'school'** typically refers to an academic entity with a strong inter- and trans-disciplinary research as well as an under- and postgraduate teaching and learning focus, usually involving many interdepartmental and possibly interfaculty

collaborations. A school may create centres or institutes as separate units within its administrative structure.

3.6 Entities called '**units'** and **'bureaus**' are not regarded as discrete entities under these rules. Such entities can be situated within a department (or equivalent faculty-based structure) but can also be a sub-section of a centre, institute, or school. A unit or bureau may have its own cost centre, but not its own organisational unit (OU) code.

3.7 '**Partner faculty**' means any SU faculty with existing interest and expertise in a disciplinary/inter-disciplinary field related to the entity.

3.8 '**Host faculty**' refers to the faculty (or equivalent entity) in which a Type 1 or a Type 2 entity is established. The rules make provision for co-hosting of joint entities.

3.9 '**Anchor faculty**' is used in the context of a postgraduate programme offered by a Type 3 entity and refers to the faculty supporting the programme's administrative and quality assurance requirements, as agreed upon (in writing) between the Type 3 entity and the faculty.

4. PURPOSE OF THESE RULES

To promote SU's unique institutional character and competitive advantage and to maximise the impact of the University's scholarly activities, it is necessary to establish academic entities such as centres, institutes and schools. The purpose of these rules is to provide the framework in terms of which these entities are established and function, with reference to and in distinction from academic departments (or equivalent faculty-based structures) and faculties.

5. OBJECTIVE AND AIMS OF THESE RULES

The objective of these rules is to provide a framework for the establishment and regulation of academic centres, institutes, or schools.

These entities serve some or all of the following aims:

a) To enhance the status and academic profile of SU, both nationally and internationally.

b) To promote inter- and trans-disciplinary research and student education and training across departments (or equivalent faculty-based structures) and faculties and encourage the formation of strong inter-disciplinary teams.

c) To promote excellence in our academic activities.

d) To support academic outputs and impact (including social impact) in areas that the University identifies as strategic focus areas.
e) To promote access to external income streams to strengthen the University's academic endeavours.
f) To provide consulting services to clients of SU and promote entrepreneurship amongst its staff and students.
g) To facilitate the development of collaborative teams within and across disciplines at all levels, and where applicable in collaboration with other institutions.
h) To facilitate the effective promotion of the University's academic strengths.

6. PRINCIPLES UNDERPINNING THE VARIOUS ENTITY TYPES

6.1 A **Type 1** academic entity reports to and is typically located within **one academic department** (or equivalent faculty-based structure). It may however also report to two or more departments (or equivalent faculty-based structures) within two or more faculties in cases where an equally strong academic footprint as well as strong inter- and trans-disciplinary research collaboration exist, but where the establishment of a Type 2 entity is not justified or desired. The co-hosting and co-directorship must be agreed on by the relevant departmental Chairs (or equivalent roles), as well as the faculty deans/school directors of the different faculties/schools in cases where departments from different faculties wish to jointly host the Type 1 entity. In such cases the co-directors report to a steering committee comprising appropriate delegated representatives from participating academic departments, as appointed by the relevant departmental Chairs (or equivalent roles). Type 1 academic entities, whether hosted and directed by one academic department or under the co-directorship of different departments (or equivalent structures), can involve collaboration between researchers from several different departments or faculties. The preferred nomenclature used for a Type 1 entity is 'centre' when it reports into one department or equivalent faculty-based structure, while 'centre' or 'institute' may be used if the Type 1 entity is jointly hosted by more than one academic department.

6.2 A **Type 2** academic entity typically reports **to a single faculty** and functions on the level of an academic department. A Type 2 entity can be established if its activities are significantly inter- or transdisciplinary in nature, and usually requires the involvement of more than one academic department (or equivalent faculty-based structure). A Type 2 entity may however also report to two or more faculties (or equivalent

structures like Type 3 schools) in cases where an equally strong academic footprint as well as strong inter- and trans-disciplinary research collaboration exist, but the establishment of a new Type 3 entity is not justified or desired. The co-hosting and co-directorship of such a Type 2 entity must be agreed on by the relevant faculty deans (or equivalent roles, e.g. Type 3 school directors). In such cases the co-directors report to a steering committee comprising appropriate delegated representatives from participating faculties or Type 3 schools, as appointed by their relevant deans/directors. Type 2 entities, whether hosted by one faculty or jointly hosted by multiple faculties (or equivalent structures), can also involve collaboration with researchers from several different faculties/schools. A Type 2 entity may use the nomenclature of 'centre', 'institute' or 'school' and has a primary link to a single host or two or more shared host faculties.

6.3 A **Type 3** academic entity reports at institutional level alongside the academic faculties, and is a research-intensive interdisciplinary or transdisciplinary institutional academic entity that has a strong academic footprint in multiple faculties. Type 3 entities will be established in research fields represented by sufficient existing research capacity at SU and seen as a significant institutional, national, and international priorities, with strong potential to attract external funding. A Type 3 entity may use the nomenclature 'institute' or 'school'.

7. ATTRIBUTES OF THE THREE DIFFERENT TYPES OF ENTITIES

7.1 SU differentiates between three types of academic entities (other than faculties or departments and equivalent faculty-based structures): Type 1, 2 and 3. The attributes of the three types are set out below:

Academic entity	Type 1	Type 2	Type 3
Operational framework	Reports to and is generally located within one SU department (or equivalent faculty-based structure). A type 1 entity may report into two or more departments (or equivalent faculty-based structures) within two or more	Reports to and is generally located within one faculty, like an academic department (or equivalent faculty-based structure) and typically involves an inter- or trans-disciplinary research approach. A type 2 entity may also report	Reports at an institutional level and stands alongside the faculties, but does not confer its own degrees; brings additional value and does not compete with faculties. Involves a very strong inter- and trans-disciplinary approach. Reporting lines involve a management committee and governing board that

	faculties in cases where an equally strong academic footprint as well as strong inter- and trans-disciplinary research collaboration exist. In these cases, a joint steering committee (involving, at a minimum, the relevant heads of department or equivalent positions, or their duly delegated authorised representatives) is required for reporting purposes.	into two or more faculties in cases where an equally strong academic footprint as well as strong inter- and trans-disciplinary research collaboration exist. In these cases, a joint steering committee (involving, at a minimum, the relevant deans or equivalent positions or their duly delegated authorised representatives) is required for reporting purposes.	includes the DVC responsible for Research, Innovation and Postgraduate Studies (:RIPS) as well as the deans of the faculties involved.
Purpose	Strengthening scholarly outputs of (a) department(s) (or equivalent faculty-based structure (s)) through collaboration.	Strengthening scholarly outputs of a faculty (or more than one faculty) via inter- and transdisciplinary research collaboration that will also advance "research for impact" as a strategic institutional theme.	Strengthening scholarly outputs of the institution through collaborative inter- and transdisciplinary research and postgraduate training across faculty boundaries, which will attract external partnerships as well as grants, contracts, and donor funding income to SU. To advance research for impact.
Line management	Departmental chair (or equivalent position) (if a single department is hosting), or a small steering committee with relevant departmental chairs (or equivalent positions) (in the case of more than one departmental host).	Faculty dean (or equivalent position) (if a single faculty is hosting) or a small steering committee with relevant faculty deans or equivalent positions (in the case of more than one faculty host).	DVC: Research, Innovation and Postgraduate Studies (via an interfaculty steering Committee involving all participating faculty deans or their elected representative).
Offer undergraduate degree programmes in its own name	No	No	No (but may contribute modules to undergraduate degrees conferred via any of the partner faculties, as agreed upon with the relevant faculties).
Offer postgraduate degree programmes in its own name	No	Yes (degrees conferred via host faculty in the case of a single host faculty, or by one or more of the partner faculties	Yes, but this must be in collaboration with one or more of the partner faculties. The postgraduate programme development and quality assurance will be

		(where the programme(s) and student(s) are registered) in case of joint entities (see also section 7.3 c below)	undertaken with the assistance of (and appropriate cost- and income-sharing with) one or more partner faculties that will also formally confer the degree(s), and an anchor faculty that will facilitate the normal PG administrative and quality assurance processes. May also contribute to postgraduate degrees conferred via any of the partner faculties, with appropriate sharing of cost and income. (see also section 7.4 e below)
Research projects/ programmes	Yes	Yes	Yes
Consulting/ contract research	Yes	Yes	Yes
Social impact activities	Yes	Yes	Yes
Short courses	Yes	Yes	Yes
Nomenclature	Centre (single host department)/ Centre or institute (more than one host department)	Centre/institute/ school	Institute/school
Approvals route	Faculty board, Academic Planning Committee (APC) and Senate	Faculty board, APC and Senate	Faculty boards of partner faculties, APC, Rectorate, Research and Innovation Committee, Senate, and Council.
Quality assurance process	Quality assurance evaluation as part of host department (or equivalent faculty-based structure), via SU's normal quality assurance process; reviewed every six years.	Own quality assurance evaluation, at six-year intervals, as part of SU's normal quality assurance processes (unless a similar external evaluation is enforced by the relevant funding body). Evaluation criteria will be determined in consultation with the Centre for Academic Planning and Quality Assurance.	Own quality assurance evaluation, at six-year intervals, as part of SU's normal quality assurance process (unless a similar external evaluation is enforced by the relevant funding body). Evaluation criteria will be determined in consultation with the Centre for Academic Planning and Quality Assurance.

7.2 Type 1 entity

A Type 1 entity generally reports to and is located within one academic department (or equivalent faculty- based structure). A Type 1 entity can also report to and be located

across two or more academic departments (or equivalent faculty-based structures) within the same or across more faculties, in cases where equally strong academic footprints as well as strong inter- and trans-disciplinary research collaboration exist. The common characteristic is that a Type 1 entity operates under the auspices of one or more academic departments, and in the reporting line of one or more departmental chairs (or equivalent positions).

a) A Type 1 entity does not offer academic programmes under its own auspices at either under- or postgraduate level. It may be involved in the support of academic programmes in the host department(s), but the supervision of such programmes remains the responsibility of the department (or equivalent faculty-based structure) to which the relevant entity is linked.
b) Staff working in the Type 1 entity are appointed in the host department(s) (or equivalent faculty- based structure(s)) to which the entity is linked.
c) The activities of a Type 1 entity may include research, consultation, social impact initiatives and short courses.
d) A Type 1 entity can have its own OU code when reporting to one academic department (or equivalent structure). In the case of multiple partner departments, an appropriate cost centre sharing model (if required) will be created in consultation with the Finance Division. The time of full-time equivalent staff, publications, creative outputs and social impact activities are shared by the department(s) (or equivalent faculty- based structure(s)) and the Type 1 entity. The information is kept and reported differentially (on the institutional dashboard) to enable quality assurance of the Type 1 entity. When departments (or equivalent faculty-based structures) are evaluated, the Type 1 entity is evaluated as part of the department (or equivalent faculty-based structure) and included in the calculation of the core statistics. The Type 1 entity and departmental (or equivalent) information must however be maintained and reported in a differentiated system (on the institutional dashboard) to allow for quality assurance of the Type 1 entity's own performance.
e) A Type 1 entity will be established for an initial five-year period based on an approved constitution. A formal review of its performance must be conducted as part of the normal Quality Assurance process of the relevant academic host department(s), which will determine its renewal for further cycles.
f) A Type 1 entity may only use the nomenclature 'centre' when hosted by a single academic department, and "centre" or "institute" may be used if it is hosted by more than one partner department (or equivalent structure).

g) The institutional application and approval and review/renewal process is as outlined in ANNEXURE A.

7.3 Type 2 entity

A Type 2 entity reports to and is generally located within one faculty. A Type 2 entity can also report to and be located across two or more faculties (or equivalent structures) in cases where equally strong academic footprints as well as strong inter- and trans-disciplinary research collaboration exist. The common characteristic is that a Type 2 entity operates under the auspices of one or more faculties at the same level as academic departments (or equivalent faculty-based structures), and in the reporting line (or shared reporting line) of one or more faculty deans (or equivalent positions).

a) An entity can be established as Type 2 if its activities are sufficiently inter- or transdisciplinary in nature and if it cannot be accommodated within a normal departmental (or equivalent faculty-based) structure. A Type 2 entity typically involves collaboration between staff from more than one academic department (or equivalent faculty-based structure). These entities can sometimes be seen as the incubation phase of areas that can potentially grow and evolve into Type 3 entities. Their alignment with local, regional, and global trends and priorities is important to be considered at the establishment stage.

b) The scope of activities may include research, consultation, social impact initiatives, short courses and postgraduate education and training.

c) A Type 2 entity may present under its own auspices postgraduate programmes or modules thereof that lead to official SU qualifications, provided that:
    - There is sufficient evidence that the entity is viable and sustainable before Senate (upon recommendation by its APC) may grant permission for an entity to present programmes that lead to official SU qualifications.
    - The postgraduate degrees are conferred by the host faculty in the case of a Type 2 entity established within one faculty.
    - If the Type 2 entity is co-hosted and co-directed by more than one faculty, its postgraduate programme(s) may be registered in each of the partner faculties or may be linked to one of the partner faculties (as appropriate, and as agreed

upon by the partner faculties). The postgraduate degree will be conferred by the faculty where the student is formally registered.

d) A Type 2 entity reporting within one faculty must have its own OU code. In the case of multiple partner faculties, an appropriate cost centre sharing model (if required) will be established in consultation with the Finance Division.

e) A Type 2 entity will function like an academic department, in particular regarding staff, finances, reporting within a faculty, the manner in which information about the entity is maintained and reported, and external evaluation, unless an equivalent external evaluation is enforced by the relevant external funding body, where applicable.

f) A Type 2 entity will be established for an initial five-year period based on an approved constitution and associated business plan. Within a six-year period, it should be formally reviewed via SU's quality assurance process against the objectives set out in the business plan before potentially being renewed for further cycles. In cases where an external funding body requires an equivalent external evaluation, the results of such an evaluation may be utilised, if it is found to adhere to the requirements of the SU quality assurance process.

g) A Type 2 entity may use the nomenclature 'centre', 'institute' or 'school'.

h) The institutional application and approval process is as outlined in ANNEXURE A.

7.4 Type 3 entity

A Type 3 entity reports at institutional level, via a Steering Committee that includes the DVC: RIPS and the Deans of participating faculties (or their elected representative). A Type 3 entity involves collaboration between two or more faculties.

a) An entity can be established as Type 3 if its activities involve inter- or transdisciplinary research as well as postgraduate student training. The academic activities of a Type 3 entity will have a strong footprint in more than one faculty and cannot be accommodated within a single faculty structure.

b) The establishment of a Type 3 entity will require consensus by the Deans of all faculties with an interest in the related disciplinary or inter-disciplinary fields, and endorsement by the Rectorate, prior to the full academic decision-making process. The decision-making process involves recommendations by the faculty boards, the Academic Planning Committee (APC), the Research and Innovation Committee (RIC), and the Executive Committee of Senate - to Senate where a consolidated version will

serve for recommendation to Council for final approval.

c) The scope of activities may include research, contributions to undergraduate and postgraduate student education and training, consultation, social impact initiatives and short courses. Type 3 entities will however typically focus strongly on research and postgraduate student education and training and will aim to develop unique niche areas of research excellence at SU.

d) The entity may develop and present undergraduate modules contributing to degrees being conferred by one or more of SU's faculties, as agreed with the relevant faculty Deans and upon approval by the faculty board of the partner faculties. The quality assurance processes involved in these undergraduate modules will remain the responsibility of the relevant partner faculties.

e) A Type 3 entity may develop and present postgraduate programmes in collaboration with one or more of the partner faculties. They may also contribute postgraduate modules and to postgraduate supervision in the partner faculties. For a Type 3 entity to present a postgraduate programme, one anchor faculty (who may choose to involve a specific academic department) must be identified in consultation with the relevant faculty dean. The deans of all partner faculties must be consulted and agree with the offering of a new postgraduate programme by the Type 3 entity at the outset of the process to establish such a programme. Should consensus by all faculties not be reached on supporting the proposed new postgraduate programme, an appeal may be lodged by the director of the Type 3 entity with the Academic Planning Committee (APC) of Senate. The offering and awarding of postgraduate qualifications as well as the quality assurance thereof remain the responsibility of the selected anchor and partner faculties. The Type 3 entity must conclude a written memorandum of agreement (MoA) with the anchor faculty to ensure that appropriate plans for the approval, quality assurance and conferring of degrees using normal faculty structures, as well as plans for cost and income sharing are jointly developed and agreed upon. This is an important aspect to ensure that the Type 3 entities leverage on existing faculty structures for resources required to administratively support postgraduate student enrollments, registrations, examination processes and graduations, and that costs as well as income associated with the postgraduate programme are fairly distributed.

f) The entity must have its own OU code.

g) The entity will function in some respects like a faculty, but it will not establish similar administrative structures and will not present its own postgraduate programmes in the absence of faculty consensus and collaboration around administrative and quality

assurance processes. Consensus between all the relevant deans and their faculty boards is required regarding a Type 3 entity's staffing, finances, managerial reporting lines, governance structures, the way information about the entity is maintained and reported as well as external evaluation of the entity.

h) A Type 3 entity should be accommodated within the University's budget model, where it would share in the main budgets' allocation, a baseline amount to allow it to operate and leverage additional resources based on the approved business plan that considers its sustainability. Its budget allocation would be related to the entity's contribution to main budget income (subsidy, student fees and indirect cost recovery) and would have to be determined as part of the University's budget process, including agreements with the associated faculties. A Type 3 entity will furthermore typically demonstrate a strong potential for attracting significant external grant income to promote its sustainability.

i) A Type 3 entity will be established for an initial five-year period based on an approved business plan. Following this five-year cycle, it should be formally reviewed via SU's existing quality assurance process against the objectives set out in the business plan before potentially being renewed for further cycles. In cases where an external funding body requires an equivalent external evaluation, the results of such an evaluation may be utilised.

j) A Type 3 entity may use the nomenclature 'institute' or 'school'.

k) The institutional application and approval process is as outlined in ANNEXURE A.

8. MOTIVATION FOR ESTABLISHING A CENTRE, INSTITUTE OR SCHOOL, OR TRANSITIONING FROM ONE TYPE OF ENTITY TO ANOTHER

8.1 The motivation for creating a Type 1, 2, or 3 entity must include a clear description of:

a) how the entity's activities are linked to a focus area or focus areas of specialisation or subject area.

b) its alignment with the overarching SU strategy and goals.

c) why the entity needs its own separate identity and operational unit.

d) the interdisciplinary nature of the entity's activities (if it is a Type 2, or 3 entity); and its alignment to local, regional and global priorities.

e) factors and budgetary considerations that will ensure the viability and sustainability of the proposed CIS entity.

8.2 All new proposals must include a constitution, which must *inter alia* provide for the following in accordance with the guidelines for drafting constitutions for CIS entities (available from the Registrar and included in Annexure B):

a) A statement of the entity's objectives as well as its vision, mission and core activities.
b) The staff structure of the entity.
c) How the entity will use existing academic expertise beyond its own environment.
d) Why the planned activities cannot be performed within existing academic structures (academic department or its equivalent structure, or faculty).
e) The governing structures of the entity, including the governing board, management committee and director or co-directors.
f) The functioning of governing structures at the entity.
g) The entity's financial viability and management.
h) The entity's quality assurance.
i) The management of research, publications and intellectual property.
j) An indication regarding jurisdiction.
k) Requirements for amending the rules.
l) Conflict-handling procedures.

8.3 If an existing centre, institute, or school wants to change its classification from one type of entity to another, a revised constitution should be submitted by its governance structure to the APC for consideration and to Senate for approval, along with:

a) A statement/motivation for the proposed transition, explaining how the nature of the entity has changed since it was initially established.
b) Supporting documentation from all the relevant role-players (e.g., faculty board approval for Type 1 and 2 entities, and Rectorate approval for Type 3 entities).

8.4 An existing entity can motivate for dissolution, via its governance structure to the APC for consideration and Senate for approval, along with:

a) A signed statement by the Finance Division on how the financial balances of the entity will be dealt with.
b) An explanation of how some or all the functions of the entity will be transferred to other SU entities, if applicable.

9. BRANDING

9.1 CIS entities must ensure that their branding meets the requirements of SU's policy on the use and licensing of SU's trademarks.

9.2 A CIS entity or area of activity does not have its own logo.

9.3 All CIS entities' visual identities must align to the SU brand according to the rules and regulations stipulated in the SU Brand Manual.

10. FINANCE

The following rules apply to the different types of CIS entities:

10.1 A Type 1 entity must comply with the regular terms that apply to the academic department(s) (or equivalent faculty-based structure(s)) to which it is linked.

10.2 A Type 2 entity must comply with the regular terms that apply to academic departments and the faculty (or faculties) to which it is linked.

10.3 A Type 3 entity must comply with the regular terms that apply to academic faculties.

10.4 SU's Financial Policy applies to all financial transactions by entities of all three types, irrespective of the source of their funding.

11. HUMAN RESOURCES

11.1 The University's operative rules regarding human resource management (as regards recruitment, appointments, performance management, employment equity and corrective measures) apply to all CIS entities.

11.2 CIS directors or co-directors (whether full-time or part-time) must be SU staff members or jointly appointed SU staff members. Permission for external work is subject to the University's rules and regulations.

12. CONTRACTS

12.1 In cases where a contract is concluded in circumstances where the interests of members of the CIS entity and those of the other contracting party might conflict, the potential conflict must be disclosed to the governing committee and managed strictly according to SU's Conflict of Interest Policy.

12.2 When a CIS entity negotiates contracts, it will use SU as the relevant legal entity and

therefore all operative SU procedures regarding contracts, in particular the terms of the SU Financial Policy, must be adhered to.

12.3 The SU policies on research contract management, the recovery of indirect costs on third-stream income and the full costing of research projects apply to research and research-related contracts negotiated by all CIS entities. Clearance must be obtained from SU's Division for Research Development before research and research-related contracts are submitted for approval.

12.4 For all other contracts, clearance must be obtained from the SU Legal Services Division before they may be submitted to the relevant line manager or committee for approval.

13. CIS REGISTER

13.1 The Registrar shall maintain a register of all academic CIS entities and their constitutions.

13.2 The register and constitutions must be available from the general SU portal.

13.3 Departments (or equivalent faculty-based structures) are responsible for updating the information in the SU Calendar Part 1 about the Type 1 academic entities that resort under them.

13.4 Academic entities of Type 2 and 3 are responsible for updating the information about themselves in the SU Calendar Part 1.

14. GOVERNANCE

The rules are approved by Senate. The co-owners of the rules are the DVC: Learning and Teaching and the DVC: Research, Innovation and Postgraduate Studies. The curator of the rules is the Senior Director: Research and Innovation, who will work in consultation with the Registrar's Office that serves as secretariat of the APC and keeps official record of all CIS entities.

15. SUPPORTING DOCUMENTS

Item no.	Name of document	Status (identified, in process, approved, etc.)

15.1	SU's Vision 2040 and Institutional Strategic Framework (2018 – 2024)	Approved by SU Council
15.2	Code 2040 - SU's Integrated Ethics Code	Approved by SU Council

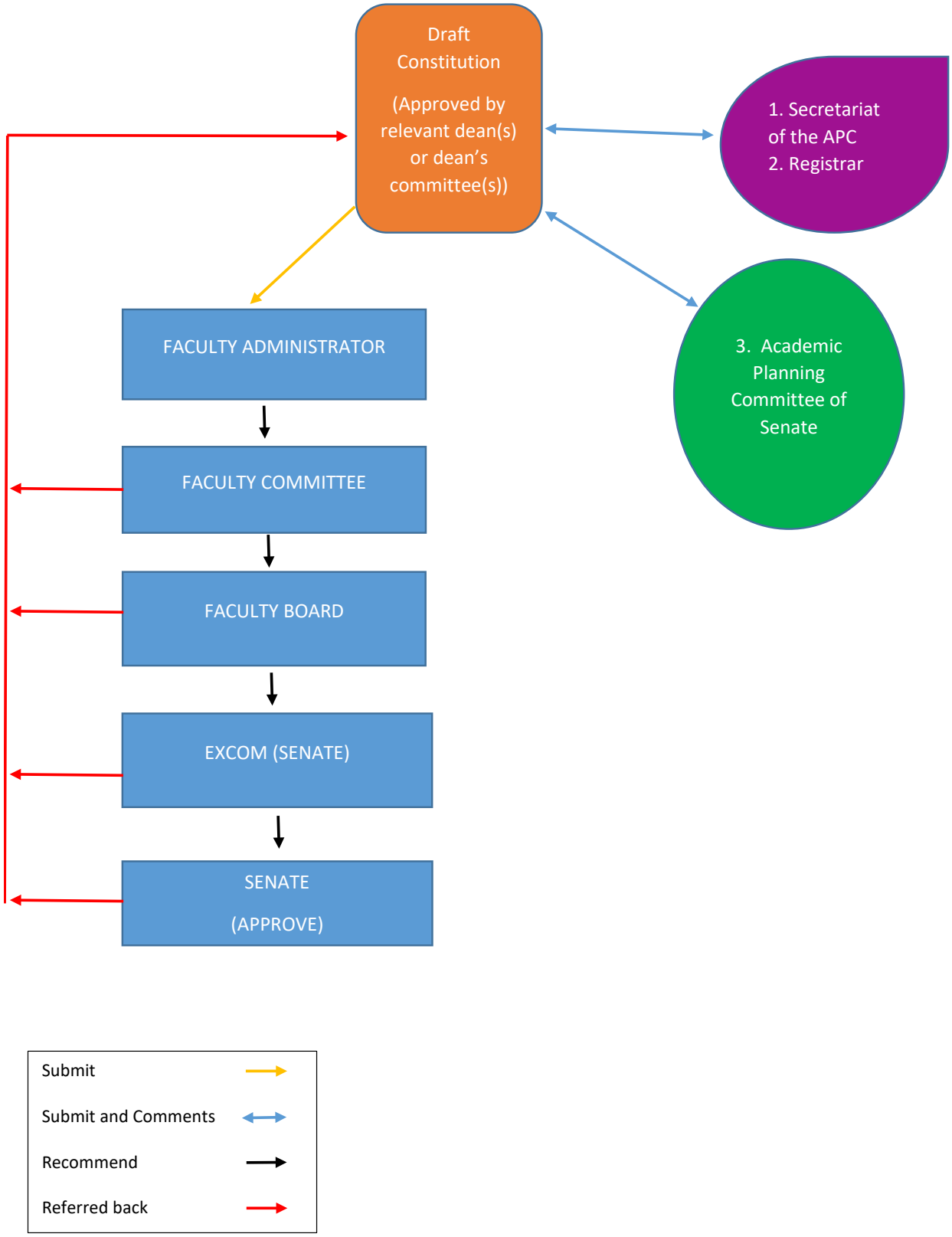
16. RELATED DOCUMENTS

Item no.	Name of document	Status (identified, in process, approved, etc.)
16.1	Policy for Quality Assurance and Enhancement at Stellenbosch University (2019)	Approved by SU Council
16.2	Policy on Contract Research at Stellenbosch University	Approved by SU Council
16.3	Policy on Conflict of Interest	Approved by SU Council
16.4	Policy for Costing and Pricing of Research and Research Related Contracts	Approved by SU Council

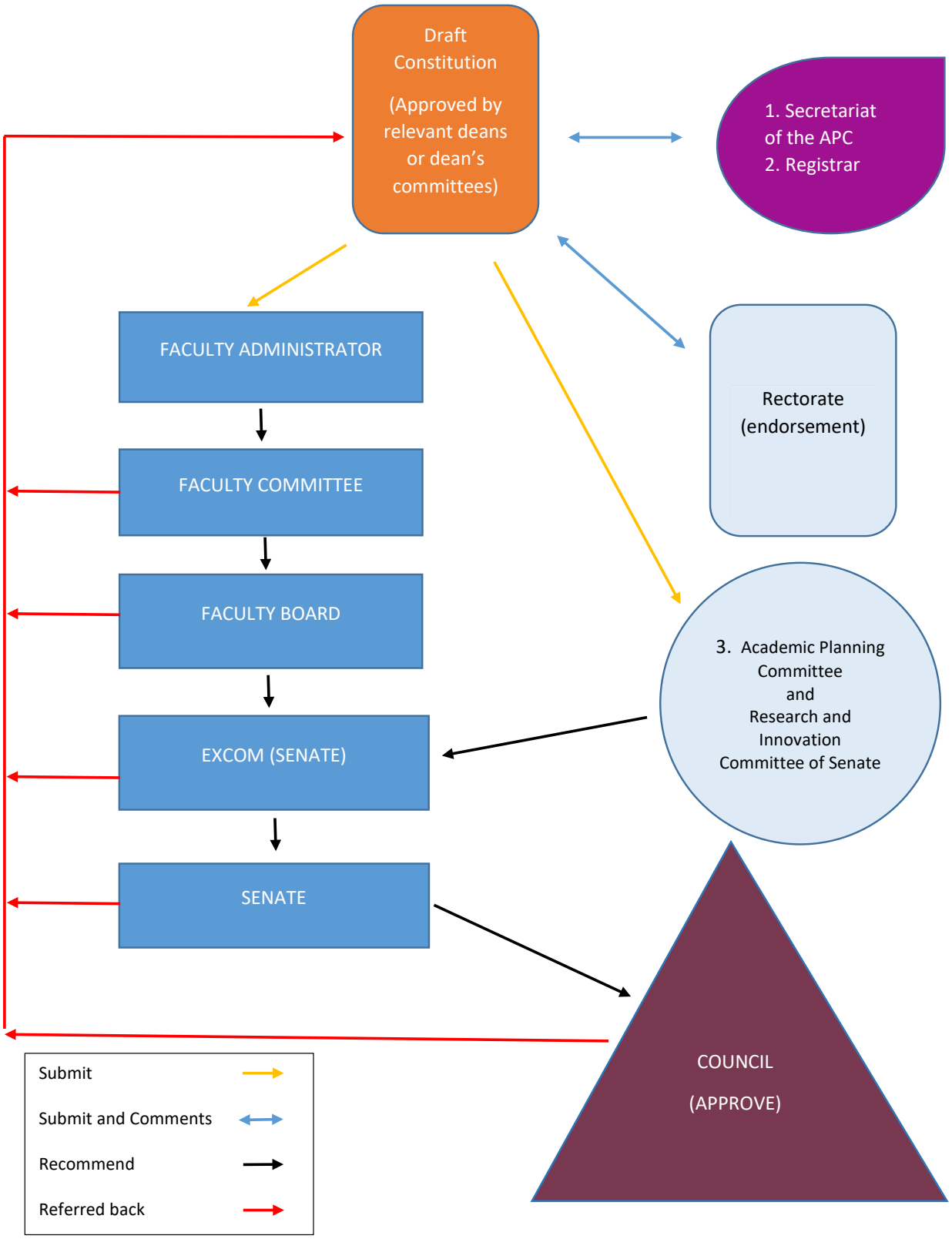
Item no.	Name of document	Status (identified, in process, approved, etc.)
16.5	Policy in respect of the Indirect Cost Recovery Rate (ICRR) with regard to third-stream income at Stellenbosch University	Approved by SU Council
16.6	Financial and HR policies of SU	Approved by SU Council
16.7	Policy on the Use and Licensing of SU's Trade Marks	Approved by SU Council

ANNEXURE A

CIS TYPES 1 and 2: CONSTITUTIONS: APPROVAL ROUTE



CIS TYPE 3: CONSTITUTIONS: APPROVAL ROUTE



ANNEXURE B

GUIDELINES FOR THE WRITING OF CONSTITUTIONS FOR CENTRES, INSTITUTES AND SCHOOLS (CIS): TYPES 1, 2, and 3.

1. General

1.1 The name of the entity
1.2 Status of the entity e.g. type 1, 2, or 3 and the environment in which the entity will function.
1.3 Indication of the need for own identity
1.4 Vision and mission of entity
1.5 Indication of viability and sustainability of entity
1.6 Core activities and objectives of the entity and how these support / link to the core activities of SU (as embodied in the names of the responsibility centres of the Vice-Rectors)
1.7 The reporting line of the entity (e.g. division, department, faculty board, Vice-Rector: Research, Innovation and Postgraduate Studies)

2. Management

2.1 Governing Board

2.1.1 **Objective**: overarching strategic management
2.1.2 **Composition**
2.1.2.1 Chair and deputy-chair and appointed by whom.
2.1.2.2 Number of members of governing board and their terms of office
2.1.2.3 Number of part-time members, reason for appointment (e.g. representing a specific body or on the grounds of specific expertise), appointed by whom and terms of office.
2.1.3 **Functions/responsibilities** of governing board
Giving advice, approving projects, approving annual reports for recommendation to the faculty board, etc.
2.1.4. **Functioning**
2.1.4.1. Number of meetings per annum
2.1.4.2 Period of notice of a meeting
2.1.4.3 Quorum
2.1.4.4 Secretariate
2.1.4.5 Reporting to faculty board
2.1.4.6 Extraordinary meeting(s): specify who calls these, manner (e.g. at the request of x number of members of the governing board), period of notice.
2.1.4.7 Specify manner of decision-making e.g. by consensus or majority vote, and how a deadlock of votes will be resolved.

2.2 Management committee

2.2.1 Composition and appointed by whom
2.2.2 Chair and deputy-chair appointed by whom and terms
2.2.3 Functions/responsibilities e.g. daily management of the entity
2.2.4 Functioning of the committee – repeat of 2.1.4.1 to 2.1.4.7 – but applicable to the management committee

2.3 The Director/Co-directors (or equivalent)

2.3.1 Appointed by whom and term of office.
2.3.2 Replacement during the director's absence
2.3.3 Responsibilities of director e.g. development of strategic plan, overarching leadership, resource management, financial management, management of daily activities, drawing up and submitting annual report and financial statements, etc

3. Appointments and remuneration

3.1 Appointments done in accordance with SU HR policies and procedures.
3.2 Employment conditions will be in accordance with SU's current policies.
3.3 Remuneration from entity's funds will be according to SU's tariffs and scales.

4. Finances

4.1 Manner of funding
4.2 Office responsible for daily management of entity's funds
4.3 Daily administration of finances done by the entity itself according to the current rules of SU
4.4 Office responsible for approval of travel and accommodation costs of personnel
4.5 The entity's financial year must correspond with that of SU
4.6 Control and reporting: SU's Finance Division is responsible for the compilation of the financial statements of entities before being submitted to the governing board
4.7 Financial annual report is submitted to the faculty board for final approval, and then to the Finance Division for their information

5. Quality Assurance

Measures in place to ensure quality assurance of activities and output. (See stipulations of most recent rules, par 7 https://sunrecords.sun.ac.za/controlled/C4%20Policies%20and%20Regulations/Policy%20for%20Quality%20Assurance%20and%20Enhancement%20at%20Stellenbosch%20University.pdf

6. Research, publications, creative outputs and intellectual property

6.1 Specify how recognition must be given to publications and creative outputs generated by the entity.
6.2 All intellectual property stays the property of SU.

7. Legal competence

7.1 In terms of Section 20(4) of the Higher Education Act 101 of 1997, SU is a statutory body and the juristic person with separate legal personality which regulates the establishment and function of all matters connected with the faculties, departments, centres, institutes, schools, or other bodies that form part of the CIS. No CIS can act in its own right as a juristic person: SU is the juristic person.

7.2 Signing powers and accountabilities are determined by the current rules of SU.

8. Amendment of constitution

Types 1 and 2:

Recommendation by a two-thirds majority of the members of the governing board to (in this order):

a) Faculty management (of the single host faculty, or of the partner faculties in a co-hosted entity);
b) Academic Planning Committee only for comments on academic and technical aspects;
c) faculty board(s) for recommendation to Senate;
d) Senate for approval

Type 3:

Recommendation by a two-thirds majority of the members of the governing board to (in this order):

a) Faculty managements of the anchor faculties;
b) Vice-Rector: Research, Innovation and Postgraduate Studies for recommendation to
c) Academic Planning Committee and Research and Innovation Committee for recommendation to
d) Senate for approval.

9. Conflict management

Indicate how conflict that cannot be managed by the management committee and governing board will be addressed, e.g. should a conflict arise that cannot be resolved by the Governing Board, the matter will be escalated to a higher level of SU's executive management (e.g. Dean(s) (Types 1 and 2) or the Vice-Rector (Research, Innovation and Post Graduate Studies) (Type 3), depending on the type of entity.

10. Dissolution of entity

10.1 Statement/motivation for dissolution of an entity submitted to the APC for consideration, including a signed statement by the Finance Division on how the financial balances of the entity will be dealt with. The APC will either agree with the dissolution or refer it back for further clarification and resubmission.

10.2 Explain how some or all the functions of the entity will be transferred to other SU entities, if applicable.

10.3 Recommendation regarding the final dissolution to (in this order):

a) faculty management(s)
b) Academic Planning Committee only for **comments** on academic and technical aspects
c) faculty board(s) for recommendation to Senate
d) Senate for approval