



UNIVERSITY OF ZULULAND

POLICY AND PROCEDURES

on

MANAGEMENT AND ADMINISTRATION OF RESEARCH FUNDS

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POLICY STATEMENT

This Policy provides guidelines regarding the management and administration of funds available for and/or allocated to research and innovation activities at the University.

REVISION HISTORY

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RELATED POLICIES	
POLICY NUMBER	NAME OF THE POLICY
RI P1	Postgraduate Assessment Guide
RI P2	Research Proposal Guide
RI P3	Research Policy
RI P4	Research Ethics
RI P5	Managing and Preventing Acts of Plagiarism
RI P8	Policy & Procedures on Postgraduate Admission & Registration

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SECTION A: POLICY

1 INTRODUCTION

The University of Zululand (“the University”) strives to develop and maintain a sound academic environment that is conducive for research and assisting academic staff to fulfil their contractual duties to undertake research. A well-functioning research administration and support system is key to such a vision; as is the establishment of a supportive developmental and productivity-based financial regime, together with a coherent incentive/reward and recognition system which recognises achievers as well those who are progressing well in their research careers.

2 OBJECTIVES

2.1 The objectives of this policy are:

- 2.1.1 To record the workings of the DHET-funded subsidy system
- 2.1.2 To set out principles for allocating research funds to the Research Committee for the administration and funding of research and innovation
- 2.1.3 To set out principles for administering research funds
- 2.1.4 To set out the various categories of research activity that could be funded and the criteria for distributing funds towards such activities
- 2.1.5 To determine responsibility for administering the various aspect of research funding
- 2.1.6 To explain the procedures to be followed to register research projects and to apply for research funds
- 2.1.7 Monitor and evaluate research fund allocation.

3 DEFINITIONS

Associate relationship

A relationship created through an appointment in terms of the policy entitled “Policy and Procedures on Associated Academic Appointments”. Normally, for the purposes of this Policy, such persons would include Adjunct Professors, Fellows and Research Associates.

DHET

The Department of Higher Education and Training.

DHET-accredited journals

Journals which are recognised by the DHET as being of appropriate standard for their articles to attract DHET subsidy. A full list of these journals can be found at <http://www.unizulu.ac.za/research-innovation/>

Director

An employee in the Research Office, irrespective of his or her title, who has been appointed at the level of Director.

DVC (RI)

The Deputy Vice-Chancellor, Research and Innovation.

Generated funds

Funds emanating from the DHET research output grant which are allocated to individual researchers and their departments.

Guidelines

The Research Funding Guidelines as set out in Annexure A.

International

All countries other than South Africa, Botswana, Lesotho, Namibia, Swaziland and Zimbabwe.

Local

South Africa

Regional

Botswana, Lesotho, Namibia, South Africa, Swaziland and Zimbabwe.

Research productivity

One (1) DHET publication unit accruing to the University in the current or previous year, or an average of one (1) unit accruing to the University over the past three years.

Southern Africa

Botswana, Lesotho, Namibia, South Africa, Swaziland and Zimbabwe.

Sustained research productivity

An average of 1.5 DHET publication units accruing to the University over past three years.

4 THE SUBSIDY SYSTEM

4.1 In funding universities, DHET follows a performance-orientated funding framework aimed at steering universities towards particular goals. The funding comprises primarily of four sub-categories of block grants:

- (a) Teaching input grant
- (b) Teaching output grant
- (c) Research output grant
- (d) Institutional factor grant

4.2 In terms of research funding, DHET's policy is to fund research outputs, to "encourage research productivity by rewarding quality research output at public higher education institutions" and to "enhance productivity by recognising the major types of research output produced by higher education institutions and further use appropriate proxies to determine the quality of such output". The research output target (or research norms) for traditional universities has for many years been 1.25 weighted research output units per permanent academic staff member. The sector achieved this target in 2011 and the DHET increased the per capita target to 1.41 for the 2012/2013 year. A differentiated system was later applied to all universities. UNIZULU had been placed in the lowest category – Category C – and its per capita target had been set for the three-year period, 2013/2014 to 2015/2016. However, the differentiation system is no longer applied because it was used to generate research funds which has since been incorporated under the University Capacity Development Grant. The current national average per capita output target is 1.91.

4.3 DHET expects Research output subsidy block grant allocations to be used for day-to-day operational costs as well as funding the personnel cost of the University in terms of research activity. It has also supplemented these block grants with earmarked development funds.

The stated intention behind the development funding is to increase research output categorised as research publications, and research Master's and doctoral graduates. In some instances, these funds should be to improve research capacity among staff by increasing the number of staff with PhD qualifications.

The research block grant is calculated by looking at a university's research output as well as its research Master's and PhD graduates.

To qualify for subsidy, publications in accredited outlets must be scholarly in nature, based on research, not previously published and be peer reviewed. The following types of publication do not qualify for subsidy:

- (a) Journal publications: correspondence to the editors; abstracts or extended abstracts; obituaries; book reviews; news articles; advertorials; case studies, editorials, previously published articles, poetry, fiction – even if they appear in accredited journals;
- (b) Books and chapters in books: subsequent editions of books, unless significantly new research is included; anthologies; autobiographies; case studies; contract research; dictionaries; dissertations and theses; encyclopedias; fiction; inaugural lectures; manuals; study guides; technical reports; text books; translations.
- (c) Postgraduate, post-diploma and higher diplomas, postgraduate Bachelor's degrees, and Honours and coursework Master's degrees are included in the Teaching Input and Teaching Output (block) Grant calculations and are not included in the Research Output Grant.

4.4 Where authors are affiliated with two or more institutions, the subsidy generated is shared between the claiming institutions on a pro rata basis.

5 PRINCIPLES FOR ALLOCATING FUNDS TO THE RESEARCH COMMITTEE

- 5.1 Funds must be administered and allocated in manner that corresponds to the DHET's policy objectives, not only as a response to the Department's research vision, but also to ensure that the University has adequate resources to conduct quality research. The University should in the first instance aim to reach the weighted research output target that has been set for it and thereafter aim to exceed the target to meet, at least, the average target set for the higher education sector. Within that framework, specific objectives that the University should bear in mind are to reward quality research output, to enhance research productivity and to develop research capacity.
- 5.2 Funding support is intended (a) to fund research undertaken in South Africa, (b) to enhance research capacity in South Africa and/or (c) to have an impact in or advance the body of knowledge in South Africa.
- 5.3 Research undertaken outside the borders of South Africa will be funded only if the project proposal states clearly how such research meets the objectives stated in Clause 5.2 and (a) there is collaboration with researchers at another institution, or (b) the researcher has received funds from an outside agency or source and requires limited top-up support and (c) a proper indication on how the outcome of the research will be disseminated.
- 5.4 The University's aim is to develop a self-sustainable research environment in which its infrastructure cost and the direct and indirect costs of conducting research are funded by income generated by its research activities as well as

from funds specifically sourced from external funders for research purposes. However, the University recognises that in developing such an environment, some form of cross-subsidisation will be required.

- 5.5 The institution encourages collaborations and innovation. Limited seed funds for Innovation can be allocated on submission of a fully-fledged proposal and budget presentation.
- 5.6 Research Committee budget allocations are made for the purpose of funding research activity, developing research capacity and increasing research outputs. The allocation of Generated Research Funds described in this policy shall be made by the Senate Research Committee from its allocated budget.
- 5.7 Special recognition should be given by the Senate Research Committee to emerging researchers for three years who are still finding their feet into research and to new academics who have joined the institution and have not secured funds or in process of transfers. Researchers who have a record of producing subsidy generating outputs will be supported with top up funds for conferences and running expenses on proof that there are insufficient funds in their cost centers.
- 5.8 The University encourages and support partnership with other funding agencies.
- 5.9 Researchers are encouraged to undertake research activity that will generate subsidy for the University to enable it to create a sustainable research environment. While non- subsidy-generating research activities may be undertaken, such activity should be for specific justifiable purposes, restricted, and cannot be funded indefinitely.
- 5.10 In allocating funds, the Research Committee will consider a researcher's profile, usually during the three-year period immediately prior to the application, and in particular the researcher's subsidy- earning research outputs.
- 5.11 In line with the stated policy objective to develop research capacity, support will be given to emerging researchers who are unable or who are not yet sufficiently established to secure financial support from outside sources The following will apply:
 - 5.11.1 first-time applicants without a research track record will be supported for a limited period of three years to enable them to generate the research funds.
 - 5.11.2 Matching funds will be provided where the commitment with the external agencies has been agreed.
e.g. the NRF's Thuthuka Grant.

- 5.12 University research funds may not be used to supplement departmental staff resources in the form of scholarships, bursaries or cost-of-living allowances; nor for equipment that is normally associated with an academic appointment, e.g. a computer or telephone. Allocations from external funding sources should be used for such purposes.
- 5.13 Research funds may not be used to reward staff members who have completed academic qualifications. Such incentives or rewards falls under the auspices of the Human Resources Division.
- 5.14 Researchers who are able to apply for funds from different institutional sources may select the funding source that is most beneficial to him or her. However, researchers may not be reimbursed twice for the same research expenses from different funding sources, whether institutional or external sources.
- 5.15 The University's obligation extends to supporting research under the auspices of the University. The University provides assistance to staff that pursue their studies at other institutions under a different policy. Funding for conducting such research should emanate from those institutions and accordingly, higher degree projects registered at other universities are not eligible for research funding from either the Senate Research Committee or research generated funds.

6 ADMINISTERING RESEARCH FUNDS

Introduction

- 6.1 The purpose of research funding is to stimulate research and innovation at the University by providing:
 - 6.1.1 Start-up funding for emerging researchers and recently-appointed staff members
 - 6.1.2 Top-up funding for established researchers
 - 6.1.3 Assistance to postgraduate students (Staff members only) to conduct research towards obtaining their degrees
 - 6.1.4 Providing opportunities for researchers and postgraduate students who are Staff members to participate in and present their work at conferences
 - 6.1.5 Other purposes as decided on by the Senate Research Committee.
- 6.2 Funds are allocated at the discretion of the Senate Research Committee, giving effect to the funding principles outlined in Clause 5 above.

Functional roles

- 6.3 The Senate Research Committee, acting on behalf of Senate, has overall oversight over the administration of research funds. It provides strategic direction on how funds are to be administered and confirms the allocation of funds appropriated to specific administrative categories. The Senate Research Committee also approves all applications for registration of research projects and for research funding. It may, however, delegate operational aspects to sub-committees or to the Research Office, subject to appropriate reporting and monitoring.
- 6.4 The DVC (RI) and the Research Office are responsible for the operational aspects of research administration.

Project registration

- 6.5 All research projects, including contract research projects, must in the first instance be registered. This not only enables the University to have a complete picture of the research conducted at the Institution, but it also facilitates research management planning and monitoring (especially to ensure that the Institution complies with laws and regulations regarding ethics and innovation).
- 6.6 The Higher Degrees Committee approves postgraduate research proposals. The procedures for obtaining such approval are set out in the Higher Degrees Guide. Once approved by the Higher Degrees Committee and the Research Ethics Committee, the Research Office allocates a project number to the proposal and the project is officially registered.
- 6.7 The University Research Ethics Committee approves all other project proposals. The procedure for obtaining approval is set out in Clause 8 below.
- 6.8 In line with the fundamental principle of academic freedom, an application to register a research project will normally be approved, provided that:
- 6.8.1 The proposed activity constitutes research;
 - 6.8.2 Appropriate facilities, equipment and other physical and financial resources are available within the Institution or easily accessible elsewhere;
 - 6.8.3 The proposed activity appears to be following acceptable methodologies
 - 6.8.4 The proposed activity is ethically acceptable;
 - 6.8.5 One of the project objectives is to produce accredited research outputs.
- 6.9 All research projects must be registered and must have an ethical clearance certificate before they are funded.

- 6.10 Projects are registered for a specific period, with a maximum period of five years. Should a researcher wish to continue with the research beyond the stipulated period, an application for renewal must be submitted. When a renewal application is considered, the same considerations apply as for an initial application, and a fresh ethical clearance certificate must be obtained.

Eligibility

- 6.11 Research funding is in principle available to all staff, and researchers associated with the University who publish their work in the name of the University. The eligibility criteria for specific categories of funding are set out in the Guidelines (Annexure A).
- 6.12 A researcher who is employed by the University on a contract basis will normally not be eligible for funding in the final year of the employment contract. The Senate Research Committee may, however, allocate funding upon good cause shown.

Allocation of funds

- 6.13 Research funds are allocated to be utilised by a specific researcher, not a project and are subject to maximum amounts as stipulated in this Policy and its annexures.
- 6.14 The funding guidelines (categories and criteria) are set out in Annexure A. All amounts indicated in the Guidelines are maximum amounts that could be allocated to a particular category of expenditure and are subject to:
- 6.14.1 Presentation of a motivation and a budget indicating projected expenditure
 - 6.14.2 Budget allocated to the Research Office and the availability of funds, and may therefore be adjusted to balance the budget
 - 6.14.3 Criteria and maximum amounts set out in this policy in respect of other sub-categories of expenditure, e.g. for research assistance, or for stationery
- 6.15 Research expenditure may not be applied retrospectively and expenditure will be reimbursed only if the Senate Research Committee has already allocated funds to the project.
- 6.16 The Senate Research Committee may in exceptional circumstances consider fully-motivated requests that fall outside the normal categories and limits of funding.
- 6.17 The general rule is that allocated research funds by the Senate Research Committee are available only for the calendar year for which they were ear-

marked and that no allocated funds shall be carried over into the following year. However, the following exceptions apply, in which event funds may be carried over into the following year:

- 6.17.1 Funds sourced from outside agencies, in which event the conditions of grant shall determine how funds are to be administered.
- 6.17.2 Where individuals and departments have been allocated portions of funds generated by research and postgraduate supervision activity
- 6.18 Even where funds have been forfeited, researchers may re-apply for fresh funding for a subsequent year, which will be allocated only if the person has submitted satisfactory reports as envisaged in Clauses 6.20 and 6.21.
- 6.19 All allocations of funds in a year prior to the one in which the expenses are to be undertaken, shall be provisional upon budget confirmation. However, researchers may request permission for a specific amount to be set aside to enable them to conduct research at the beginning of each year.
- 6.20 Researchers who received conference funding support must submit a conference report within one month of having attended the conference.
- 6.21 Researchers who received funds must submit to the Research Office an annual progress report by 28 February, using the appropriate form. The report shall serve before the Senate Research Committee at its first meeting of every year. If this form is not submitted the Senate Research Committee reserves the right to terminate the funding.

Specific expenditure categories

- 6.22 Travel, accommodation and subsistence will be supported at the applicable University rates.
- 6.23 Any equipment purchased with funds allocated in terms of this Policy must be housed within the applicant's department and placed on its assets register. Unless authorized by the DVC (RI), such equipment shall not be for an applicant or a department's exclusive use. On completion of the project, or should the applicant leave the University's employ, the equipment shall remain the property of the University and will be available for general use.
- 6.24 Books purchased with funds allocated in terms of this Policy must be presented to the Director, Library and Information Services to be recorded in a stock-control register. The book(s) remain the property of the University and should the applicant leave the University's employ, the books shall be returned to the Director, Library and Information Services.
- 6.25 Authors of subsidy-earning publications may claim page fees (including internet publication costs) upon proof of acceptance for publication in a DHET-

accredited journal and clear affiliation to the University. Authors with funds will pay for the page fees from their generated funds. The Research Committee will pay the page fees for:

- The second and subsequent publication within any given year
- For emerging researchers who have not accumulated funding

The University must be reimbursed out of any royalties arising from the publication.

7 GENERATED RESEARCH FUNDS

Allocation rules

- 7.1 In line with the principles articulated in Clause 5, particularly those aimed at achieving a sustainable developmental system that rewards productive researchers, a portion of the generated funds will be allocated for utilisation by the researchers who generated the funds, after due allowance has been made to contribute a portion of the funds towards sustaining the University's research environment.
- 7.2 The University receives the subsidy generated by research publications in the second year after notification. Since the amount of subsidy generated per subsidy unit varies annually, generated funds will not be distributed before the University has received confirmation of the amount per unit from the DHET.
- 7.3 Generated funds will be distributed only to researchers who have complied fully with the provisions of this Policy and other research-related policies.
- 7.4 The portion of the grant generated by research publications outputs excluding Master's and Doctoral graduate outputs will be allocated for utilisation by the specific researcher as well as the host department of the researcher as follows:
- 7.4.1 The University retains 50% of the value of the unit (or proportionate share of a unit) generated as a contribution towards creating a sustainable institution and funding the University's research enterprise.
- 7.4.2 An allocation of 32% (80% of the 40%) of the value of the unit (or proportionate share of a unit) will be placed in the cost centre of the specific researcher to be administered separately from other funds allocated by the Senate Research Committee. This is not a taxable amount and should be utilised in line with the research objectives and through the supply chain management and expenditure processes of the University.
- 7.4.3 The researcher's host department receives 10% of the value of the unit (or proportionate share of a unit) into a cost centre, which shall be

earmarked to assist departmental research and/or research-related initiatives.

- 7.4.4 The specific researcher will be allocated 8% (20% of the 40%) of the value of the unit (or proportionate share of a unit) as an incentive. This will be claimed by the specific researcher via the payroll system of the University and the applicable income tax shall be deducted in compliance with the relevant legislation when it is claimed.
- 7.4.5 If the 8% as described in Clause 7.4.4 has not been claimed by 31 December of the relevant year as a taxable incentive, it will not be an incentive and will not be taxed but will be placed in the same cost centre as described in Clause 7.4.2 to be utilised in the same way as described in Clause 7.4.2.
- 7.5 The provisions of clauses 7.3, 7.4 and 7.7 shall apply equally to persons who have an associate relationship with the University, e.g. Research Fellows or Research Associates, who conduct their research and publish their findings under the auspices of the University.
- 7.6 A researcher referred to in Clause 7.5 shall use the generated funds described in clauses 7.4.2, 7.4.4 and 7.7 as follows:
- (a) 50% is a non-taxable amount and is placed in the cost centre as described in 7.4.2 and should be utilised in line with the research objectives and through the supply chain management and expenditure processes of the University. This includes non-taxable claims for bona fide direct research expenses, page fees, equipment, research materials, attendance of conferences, research exchanges, etc., based on University rates applicable at the time; and
 - (b) 50% will be allocated as an incentive to the researcher. This will be claimed by the specific researcher via the payroll system of the University and the applicable income tax shall be deducted in compliance with the relevant legislation when it is claimed. If this 50% has not been claimed by 31 December of the relevant year as a taxable incentive, it will not be an incentive and will not be taxed but will be placed in the same cost centre as described in Clause 7.4.2 to be utilised in the same way as described in Clause 7.4.2.
- 7.7 Supervision allocations shall be allocated to cost centers to be utilised in a similar way as described in Clause 7.4.2 per graduating student as follows:
- 7.7.1. Research **Master's degree**:
- 7.7.1.1. Supervisor/s shall be allocated R7 000;
 - 7.7.1.2. Co-supervisor/s shall be allocated R2500;
 - 7.7.1.3. Host department of the supervisor shall be allocated R2 000.

7.7.2. Research **Doctoral degree**:

- 7.7.1.1. Supervisor/s shall be allocated R20 000;
 - 7.7.1.2. Co-supervisor/s shall be allocated R8 000;
 - 7.7.1.3. Host department of the supervisor shall be allocated R6 000.
- 7.8 Without prejudice to other rights or privileges of the supervisor in terms of this Policy, the supervisor receives the allocation mentioned in 7.7 above as a non-taxable research allocation to be administered separately from other funds allocated to him or her by the Senate Research Committee. The conditions of the use of this allocated grant are similar to those specified in 7.4.2 above.
- 7.9 A researcher who enters into an associate relationship with the University within a year after terminating another contract with the University may retain any individually-generated research funds already allocated to them for use in the way as determined by this Policy.
- 7.10 Upon termination of employment, a contract or an associate appointment, for whatever reason, all unexpended individual generated funds, shall revert to the University and kept separately to be used for research development as decided by the Senate Research Committee.

Expenditure rules

- 7.11 Generated funds must be used productively to enhance the University's research environment and research capacity. A researcher or department may accrue generated funds in their accounts for research-related activities. Any unspent funds will roll over to the next financial year.
- 7.12 Generated funds shall be spent only on items and activities that are research related and all expenditure is subject to the provisions of the Delegation of Authority policy and procedures. The approver shall ensure that expenses are appropriate and not unreasonably incurred.
- 7.13 Expenditure from generated funds allocated to a department requires the additional written consent of all full-time academic staff members who are employed in a permanent capacity or who have contracts with a minimum duration of two years.
- 7.14 It is important that funds are utilized productively and not left idle in generated accounts. The Senate Research Committee can review unspent balances and re-allocate the funds to strategic priorities.
- 7.15 Generated funds may be expended on all the expenditure categories mentioned in the Guidelines ([Annexure A](#)) and may be used to defray actual

costs that are incurred over and above the maximum amounts stipulated in the Guidelines. For example, such funds may be used to top-up shortfalls in conference expenditure or page fees, provided that the combined expenditure does not exceed 100% of the actual costs incurred.

- 7.16 Researchers should not look to supplement research or research-related expenditure from generated funds allocated to their departments if generated funds are available in their individual accounts.
- 7.17 Books, computers, printers, and research-related computer peripherals may be purchased from individual generated funds, provided that normally no more than one similar item of equipment is purchased in any three-year cycle. Any equipment purchased under this policy shall remain the property of the University.
- 7.18 Where applicable, and unless specifically stated otherwise in this Policy or any other Policy, the provisions of this Policy apply equally to expenditure defrayed from generated funds. For example, equipment, computers and books purchased from generated funds remain the property of the University and must be recorded as per University policies; and the usual reporting provisions apply.

SECTION B: PROCEDURES

8 RESEARCH PROJECT REGISTRATION

- 8.1 Applicants must submit their proposals to the Faculty Research Ethics Committee.
- 8.2 The Senate Research Ethics Committee approves staff research projects, while postgraduate student staff members research projects are approved by the Senate Higher Degrees and Research Ethics Committees.
- 8.3 Once approved by the Faculty Research Ethics Committee, proposal will then serve at the University Research Ethics Committee. Provided that an Ethical Clearance Certificate has been obtained, the UZREC number will serve as the project registration number and the project is officially registered.

9 APPLICATIONS FOR SENATE RESEARCH COMMITTEE FUNDS

- 9.1 Researchers, apply for funds in their own name
- 9.2 All applications and communication to the Senate Research Committee must be channeled through the relevant Faculty Representative and the Research Office.

- 9.3 Applicants must use the application form marked with the year in which the application is made. The forms are available on the University website (<http://www.unizulu.ac.za/forms/>) or obtainable from the Research Office. No other forms shall be accepted.
- 9.4 An application is submitted in the first instance to the Faculty Research Committee for scrutiny and recommendation. If recommended, the Committee Chairperson submits the application to the Research Office.
- 9.5 The Research Office records the application, checks it for procedural compliance and thereafter submits it to the Committee Section in the Registrar's Division, to be placed on the Senate Research Committee agenda.
- 9.6 The Senate Research Committee may establish working committees to conduct part of its work, provided that decisions of such working committees are presented to the Senate Research Committee for ratification.
- 9.7 Funds are allocated only to projects that have been approved in terms of Clause 8.2 and which have been granted an ethical clearance certificate by the University's Research Ethics Committee.
- 9.8 Once funding has been approved by the Senate Research Committee or one of its working committees, the Research Office is responsible for implementing the decision.

10 INCENTIVES FOR RATED RESEARCHERS

Higher Education institutions are competing with increasing aggressiveness for the services of academics with NRF ratings.

The University of Zululand strategic plan aim to improve the institution research output which will be partly attainable by encouraging researchers to become NRF rated

10.1 Attainment of NRF rated research incentives:

- a taxable non-pensionable annual allowance be paid to employees who obtain NRF ratings for the period of validity of the rating;
- such allowance be paid annually in December of each year as a lump sum to recipients who comply with the requirements for such payment on 1 January of that year under the conditions set out in this proposal;
- the Deputy Vice-Chancellor: Research and Innovation, via the Research Office, supply the Human Resources Division annually in November with the list of eligible staff and their level of NRF rating.

10.2 Cost Implications and Method of Financing

The cost implication is as follows:

Rating	Number	Value
A		R160 000.00
B1		R120 000.00
B2		R100 000.00
B3		R80 000.00
C1		R60 000.00
C2		R45 000.00
C3		R35 000.00
P		R80 000.00
Y & L		R25 000.00

The amount required annually to supplement the remuneration of NRF Rated employees will be provided in the Research Committee Budget.

10.3 Qualifying Conditions

10.3.1 Recipients must have an NRF rating as on 1 January of a particular year for the duration of that year.

10.3.2 The amount payable to each rated recipient is a fixed annual amount per category of rating as set out in the table above.

10.3.3 The amount will be paid annually in December, i.e. at the end of each year for which the recipient qualifies, to all employees who are in the service of the University at the end of November of that year.

10.3.4 Where an employee who qualifies, dies or retires (at retirement age, early or as a result of ill-health) during the course of a year, or where an employee who qualifies is employed by the University during the course of the year, he or she qualifies for a pro rata payment of the amount payable in respect of that year.

10.3.5 Where the services of an employee who qualifies is terminated for any other reason than those mentioned in 4 above during the course of a year, he or she does not qualify for payment in respect of that year, since the payment is inter alia aimed at retaining the services of qualifying employees.

10.3.6 Permanent and contract Employees (including such employees appointed against external funds) qualify for these payments subject to the conditions set out herein.

10.3.7 Emeritus professors and research fellows do not qualify for these payments, except in where they are employed to render academic work in the same way as other academic staff.

- 10.3.8 NRF ratings take effect in the year following the year in which they are awarded, so where an employee receives a rating, or where the NRF rating of a recipient improves to a higher rating, or falls to a lower rating during a particular year, the rating category and payment remains unaffected for that year and the adjustment is made in respect of the subsequent rating period. The same applies where a recipient applies but is not awarded an NRF rating after expiry of the current rating period, and no amount is payable until such time as the person is again rated.
- 10.3.9 In exceptional circumstances, a recipient may receive a payment for a further one year after the expiry of a rating, amounting to half the amount in respect of the recipient's previous category. Thereafter the payment ceases until successful reapplication. Such payment shall be made only where the delay in applying is in terms of a research plan, approved by the Deputy Vice-Chancellor: Research and Innovation designed specifically to improve the chances of the recipient receiving a higher rating. It shall not apply in circumstances where the recipient requires more time to retain the current rating.
- 10.3.10 The Deputy Vice- Chancellor: Research and Innovation will normally be responsible for determining the eligibility of candidates for these annual payments and shall via the Research Office provide to the Executive Director, Human Resources a list of all qualifying persons for these payments during November of each year.

11 PROCEDURES FOR OBTAINING AND SPENDING GENERATED FUNDS

- 11.1 On receipt of the funds from the DHET, the Research Office calculates the amounts to be awarded to researchers, supervisors and departments according to the provisions of Clauses 7.3 to 7.7 above.
- 11.2 The Research Office notifies the researchers of the amounts that have been allocated to them as research grants.
- 11.3 The Research Office submits the allocation documentation the DVC (RI) for approval, and thereafter to the Finance Division for processing.
- 11.4 Researchers submit applications for expending generated funds via the Research Office to the DVC (RI) for approval where after the Research Office is responsible for implementing the decision.

12 EXPENDITURE CLAIMS

- 12.1 All funds are administered by the Research Office according to the Guidelines and other University policies.

12.2 Researchers submit all claims to the Research Office for processing. Faculty Research Committees, Faculty Deans or Faculty Deputy Deans must recommend but have no power to authorise expenditure of Senate Research Committee and generated funds.

12.3 The DVC (RI) approves the claims where after they are administered by the Research Office.

13 IMPLEMENTATION AND OVERSIGHT RESPONSIBILITIES

13.1 The project owner of this policy is the DVC (RI), who shall ensure that the policy provisions are implemented and that it is presented for revision and review at the appropriate time.

13.2 The Senate Research Committee shall oversee compliance, while Senate has overarching oversight responsibility.

14 POLICY REVIEW

14.1 Council shall review the policy on a five-yearly cycle.

14.2 On recommendation of the Senate Research Committee, Senate may review and amend section B of the policy.

14.3 The Senate Research Committee may review and amend annexures to this policy at any time provided it is approved by Senate and the relevant structures.

14.4 Nothing in this clause shall prevent Council from reviewing this policy at any time prior to the stipulated five-year cycle, in which event a new cycle shall commence from the date of such review.

ANNEXURE A: RESEARCH FUNDING GUIDELINES

- All amounts indicated are maximum amounts and are subject to
 - Presentation of a motivation and a budget indicating projected expenditure
 - Budget allocated to the Research Office, and may therefore be adjusted to balance the budget
 - Criteria and maximum amounts set in this policy in respect of sub-categories of expenditure
- The Guidelines apply equally to expenditure defrayed from other Institutional sources. E.g. generated funds. In particular, such funds may be used to top-up shortfalls in conference expenditure but may not exceed 100% of the actual costs incurred or entitled to in terms of these Guidelines.
- All grants are subject to the limitations set for specific sub-categories, e.g. a person holding a grant may not exceed the maximum amount set for research assistance, or for stationery.
- For the purposes of these guidelines:
 - “Local” means “South Africa”
 - “Regional” and “southern Africa” includes South Africa, Botswana, Lesotho, Namibia, Swaziland and Zimbabwe.
 - “International” means “countries other than South Africa, Botswana, Lesotho, Namibia, Swaziland and Zimbabwe”
 - “Sustained research productivity” means an average of 1.5 DHET publication units accruing to the University over past three years
 - “Research productivity” means one DHET publication unit accruing to the University in the current or previous year, or an average of one unit accruing to the University over the past three years

1. Research Grant Annual grant to staff members to cover research-related expenses Due date: April, June, August, November			
Eligibility	Maximum	Criteria	Conditions
<ul style="list-style-type: none"> • Full-time permanent staff who are emerging in research • New staff members • Full-time academic staff on a 3-year contract, minimum • Established researchers who has insufficient funds 	<ul style="list-style-type: none"> • R50 000 per annum up to a period of three years only 	<ul style="list-style-type: none"> • Must have an approved research project • Must have ethical clearance • First-time applicants need not meet the DHET accredited unit requirements when the application is first considered, nor when the grant is considered in the year subsequent to the award of the first-time grant • Previous grant holders must have submitted a research report in respect of grant(s) received in the previous year • The proposed project expenses must be incurred within southern Africa and essential to the research project • Proposed project expenses to be incurred outside southern Africa will be supported only under exceptional circumstances, and if justified with a strong motivation 	<ul style="list-style-type: none"> • Grants are not awarded retrospectively • Will be paid into the staff member's personal research (C) account • Awards may be used only in respect of approved research projects • May not be used to fund research conducted towards a degree at another institution • May not be used for conference attendance, professional body and journal subscriptions, nor for the purchase of equipment or books • A research report must be submitted by 28 February • Grant expenditure will be reviewed in June and where a grant holder has spent less than 30% of the grant, the Research Committee may reduce the allocation, provided that the grant holder is given the opportunity to make representations as to why a reduction should not occur • Unspent funds as at 31 December will be forfeited and will revert to the Institution

2. International Conference Travel and Subsistence Grant To present a paper or chair a <u>plenary</u> session, at an international conference Due date: April, June, August, November			
Eligibility	Maximum	Criteria	Conditions
<ul style="list-style-type: none"> • Full-time permanent staff with insufficient funds • Full-time academic staff on a 3- year contract minimum • Postdoctoral fellows • Postgraduate students at Master's or PhD level 	<ul style="list-style-type: none"> • One conference every two years (from the date of the last-funded conference), if minimum criteria have been met • One conference per annum on proof of sustained research productivity • Conference registration 100% • Visa costs 100% up to a maximum of R3000 • Travel insurance 100% • Travel and subsistence costs 70% • Accommodation 70% • Subsistence may be claimed for the conference period and for one day prior to and one day after the conference, but not for travel days • Maximum for top ups are dependent on the amount of the shortfall • Maxima may be altered by an approved research development plan between a researcher and the DVC (RI) 	<ul style="list-style-type: none"> • Must have an approved research project • Must present a paper which has been independently refereed prior to acceptance • Poster presentations, review papers, un-refereed invited presentations and invitations to chair sessions will not be supported, unless the applicant will convert such material into accredited scholarly outputs • Emerging researchers may be supported for one conference on condition that they will deliver a paper • Senior researchers, who recently joined the institutions, may be supported for one conference; in this instance, the Committee will review prior research output. • Staff members who have received conference funding previously must submit proof of conversion of the previous conference paper into an accredited publication 	<ul style="list-style-type: none"> • Except where variations to the general rule are specified, applicants are eligible for funding towards no more than one national and one international conference in the same calendar year • Grants are not awarded retrospectively • Awards will be paid into the staff member or student's personal research (C) account, to be administered by the Research Office • Awards are made for attendance and delivery of papers at a specific conference and may not be redirected towards another conference or any other purpose • A conference report must be provided to the Research Office within one month of the conference date • The conversion of a conference presentation into an accredited publication is essential • Researchers with insufficient generated funds may apply for top up

		<ul style="list-style-type: none"> • In the case of student applicants, they or their principal supervisors must meet the criteria stipulated above for staff members provided that no more than one student may benefit from a supervisor's meeting of the criteria in any one year • Copies of the abstract, conference programme, two airfare quotations and proof of conference registration fees, as well as endorsements of the HoD and Dean need to accompany each application • An applicant must produce proof of the participation, e.g. that s/he will be presenting a paper • Place of intended publication (conference proceedings or accredited journal) must be stated in the application • A maximum of 2 people per department may apply for funds to the same international conference, except where a conference is DHET-accredited and each applicant will be presenting a paper in his or her own right • Only one person per paper will be funded 	
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3. Local Conference Travel and Subsistence Grant To present a paper or poster, or chair a <u>plenary</u> session, at a local or regional conference Due date: April, June, August, November			
Eligibility	Maximum	Criteria	Conditions
<ul style="list-style-type: none"> • Full-time permanent or contract staff with insufficient funds • Postdoctoral fellows • ■ Postgraduate student 	<ul style="list-style-type: none"> • R10 000 per person per conference, provided minimum criteria are met in respect of each person • One conference per annum • Two conferences per annum on proof of research productivity • Conference registration 100% 	<ul style="list-style-type: none"> • Must have an approved research project • Must present a paper or poster, or chair a plenary session • Paper or poster must have ethical clearance • An applicant must produce proof that s/he will be presenting a paper or poster; or that s/he will act as a plenary session Chairperson • New Staff members, postdoctoral 	<ul style="list-style-type: none"> • Except where variations to the general rule are specified, applicants are eligible for funding towards no more than one national and one international conference in the same calendar year • No more than three persons will be funded per conference, except where a conference is DHET accredited and each applicant will be presenting a paper in his or her own right, or upon special • A new staff member will be supported for one

Masters and Doctoral		<p>fellows, will be considered for conference funding.</p> <ul style="list-style-type: none"> • Emerging researchers may be supported for one conference on condition that they have not yet generated any funds for research. • Senior researchers, who recently joined the institutions, may be supported for one conference; in this instance, the Committee will review prior research output • In the case of student applicants, they or their principal supervisors must meet the criteria stipulated above for staff members, provided that no more than two students may benefit from a supervisor's meeting of the criteria in any one year • Copies of the abstract, conference programme, travel and subsistence quotations and proof of conference registration fees, as well as endorsements of the HoD and Dean need to accompany each application • An applicant must produce proof that s/he will be presenting a paper or poster, or that s/he will act as a plenary session chairperson • Place of intended publication (conference proceedings or accredited journal) must be stated on application • Only one person per paper will be funded 	<p>conference</p> <ul style="list-style-type: none"> • Researchers with insufficient generated funds may apply for top up. • Grants are not awarded retrospectively • Awards are made for attendance and delivery of papers at a specific conference and may not be redirected towards another conference or any other purpose • A conference report must be provided to the Research Office within one month of the conference date • Grant will be paid into the staff member's personal research (C) account • An applicant may not hold a grant to deliver a paper and a (group) grant to attend the same conference, although a grant to an individual may be used to defray group expenses • Staff members who have received conference funding previously must submit proof of conversion of the previous conference paper into an accredited publication
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4. Local Conference Attendance, Travel and Subsistence Grant To attend local or regional academic conferences or symposia without presenting a paper or poster Due date: April, June, August, November			
Eligibility	Maximum	Criteria	Conditions
<ul style="list-style-type: none"> • Full-time permanent who are emerging researchers • Postdoctoral fellows • Postgraduate students at Master's or PhD level 	<ul style="list-style-type: none"> • R7 000 per person (staff members, and postdoctoral fellows) • Three (3) staff members • One event per annum for two years • Registration 100% • 70% of travel and subsistence costs • Subsistence may be claimed for the conference period and for actual travel days 	<ul style="list-style-type: none"> • Must be an application for a group to attend an organised event with a formal academic programme • The event must be directly related to the participants' academic discipline • Motivation must be provided to indicate the nature of the group's participation and how the event will enhance the participants' research development 	<p>An applicant may not hold a grant to deliver a paper and a (group) grant to attend the same conference, although a grant to an individual may be used to defray group expenses</p> <p>An applicant cannot be supported more than once</p>

5. Short research visits To support short research visits abroad Due date: 15 March, 15 October			
Eligibility	Maximum	Criteria	Conditions
<ul style="list-style-type: none"> • Full-time permanent academic staff • Academic staff on 5-year contract, minimum • 	<ul style="list-style-type: none"> • A top up of R40 000 per visit • in a three-year cycle for applicants who have produced a minimum average of one publication unit accruing to the University over the previous two years. • Maximum 60 days for subsistence claims • 	<ul style="list-style-type: none"> • Must have an approved research project • Must have ethical clearance • Must provide proof of reasonable recent attempts, successful or unsuccessful, to source funds from elsewhere • Objective must be to conduct research at an academic institution or facility for a period of at least three weeks, but less than three months • Must have generated an annual average of at least one DHET-accredited unit accruing to the University over the past two years • Motivation, endorsed by the HoD and Dean, indicating (a) why research/study abroad is preferable, (b) how the applicant's research programme will benefit as well as (c) the expected research output (number and places of intended publication in accredited journals) • Award will be made irrespective of other funds acquired 	<ul style="list-style-type: none"> • Must commit to remain with the University for at least one year after the grant is used, failing which the money or a pro rata amount will be deducted from any monies owing to the researcher on leaving the Institution <ul style="list-style-type: none"> • Must generate within one year at least one (1) DHET-accredited publication unit accruing to the University that is directly linked to the visit • May not be used for local or regional visits • May not be used for conference attendance, but may be used to extend a stay abroad in conjunction with a conference visit • May not be used towards supporting Continuing Professional Development (CPD) courses • May not be used towards supporting coursework or research modules towards a degree offered by a university other than UNIZULU • A report must be provided to the Research Office within one month of return to UNIZULU • Will be paid into the staff member's personal research (C) account <p>Shortfall in expenses may be funded from individual generated funds</p>

6. Hosting a conference Seed funding to assist faculties/departments/research entities to arrange research conferences and symposia where staff and postgraduate students are able to interact with one or more established researchers Due date: 15 March, 15 October			
Eligibility	Maximum	Criteria	Conditions
<ul style="list-style-type: none"> • Full-time permanent academic staff • Full-time academic staff on a 5-year contract, minimum 	<ul style="list-style-type: none"> • R60 000 per event per department • R70 000 in a two-year cycle 	<ul style="list-style-type: none"> • The conference must aim to develop research at UNIZULU • The host department/body must have a productive research team • Applications must be made at least 6 months in advance • Must provide proof of reasonable recent attempts, successful or unsuccessful, to source funds from elsewhere • Departments that received funding previously must submit proof of conversion of the previous conference papers into accredited publications • Conference Organising Committee must be in place • Conference Organising Committee must include at least one or two people from other organisation(s) • Conference business plan must be submitted • Conference proposal must be submitted • Papers must undergo a double blind peer review process • At least one nationally-established researcher must be invited to participate • The expected research output (number and places of intended publication in accredited journals) must be stated on the application • HoD and Dean must endorse the application 	<ul style="list-style-type: none"> • Grants are not awarded retrospectively • A conference report must be provided to the Research Office within one month of the conference date. • Will be paid into the host department or body's (D) account • The grant may be held together with a visiting scholars grant but not any other grant allocated in terms of this policy • The conversion of conference presentations into an accredited publication is essential

7. Visiting lecturers and visiting scholars To attract scholars to the Institution in order to enhance academic interaction with staff and students Due date: 15 March, 15 May, 15 August, 15 October			
Eligibility	Maximum	Criteria	Conditions
<ul style="list-style-type: none"> • Full-time permanent academic staff • Full-time academic staff on a 3-year contract, minimum 	<ul style="list-style-type: none"> • R40 000 per visit per department in a three year cycle 	<ul style="list-style-type: none"> • Motivation endorsed by HoD and Dean • Minimum stay at UNIZULU of two weeks • Must provide proof of recent attempts, successful or unsuccessful, to source funds from elsewhere • Other sources of funds and amounts must be stated • Award may be reduced, or not made, depending upon the amounts acquired from other sources 	<ul style="list-style-type: none"> • No late or retrospective applications • A report must be provided to the Research Office within one month of the visit to UNIZULU • Will be paid into the departmental research (D) account • May not be used for honoraria

8. Equipment Grant To fund small items of research equipment Due date: 15 March, 15 October			
Eligibility	Maximum	Criteria	Conditions
<ul style="list-style-type: none"> • Full-time permanent academic staff • Full-time academic staff on a 5-year contract, minimum 	<ul style="list-style-type: none"> • No specific maximum for departmental claims • One claim per department per annum • 	<ul style="list-style-type: none"> • Departmental equipment requests must form part of the Faculty and University research equipment strategy • Must provide proof of recent attempts, successful or unsuccessful, to source funds from elsewhere • Research equipment must be necessary (not nice to have) and not normally of a kind acquired by the department or by other departments • Duplicate equipment will not be funded unless fully motivated and endorsed by the Heads of relevant departments and the Dean • Maintenance requirements and maintenance funding provisions must be stated • Electronic devices (printers, laptops, tablets, cell phones, etc.) do not qualify as equipment, unless proven to be necessary for the conduct of the research in that the research project cannot otherwise be carried out <ul style="list-style-type: none"> • Books do not qualify as equipment <p>Applications must be in line with the Instrumentation Policy</p>	<ul style="list-style-type: none"> • Must be available for use by other researchers • Must not have staffing implications • Unspent funds as at 31 December will be forfeited and will revert to the Institution • The equipment must be housed within the applicant's Department and placed on its asset register • On completion of the project the equipment shall remain the property of the University and will be available for use by other researchers should they require it • The grant may not be used for running expenses

9. Editing To subsidise final stage proof-reading of research manuscripts prior to submission to examiners or publishers Due date: 15 March, 15 May, 15 August, 15 October			
Eligibility	Maximum	Criteria	Conditions
<ul style="list-style-type: none"> • Staff members • Postgraduate students 	<ul style="list-style-type: none"> • Standard rate = R40 per page (excluding diagrams), or 10c per word, whichever is the lower • R5 000 per doctoral thesis • R4 000 per Master's dissertation • R3 000 per Master's mini-dissertation • R3 000 per registered research project every two years 	<ul style="list-style-type: none"> • A contract must have been entered into prior to the rendering of services, indicating the nature of the work and the fee charged (which may include services other than final proof-reading and may exceed the subsidy rate) • Only editors that are in the Faculty database will be used otherwise a motivation with full credentials if a new editor is to be utilised 	<ul style="list-style-type: none"> • Editor must provide a certificate indicating the nature of the work done • Invoice must be presented indicating the total amount and how that amount was calculated (e.g. the number of pages/words, the rate charged) • Principal supervisor or immediate superior must certify that the invoice accurately reflects the number of words/pages edited

10. Translation To assist with costs of fieldwork, and to subsidise final stage translation of research documents, where translations are required and funded as per University Rules Due date: 15 March, 15 May, 15 August, 31 October			
Eligibility	Maximum	Criteria	Conditions
<ul style="list-style-type: none"> • Staff members • Postgraduate students 	<ul style="list-style-type: none"> • For documents, a standard rate = R40 per page (excluding diagrams), or 10c per word, whichever is the lower • R800 per research proposal • R2 000 per registered research project every two years • For fieldwork translation, the standard university research assistance rates apply 	<ul style="list-style-type: none"> • A contract must have been entered into prior to the rendering of services, indicating the nature of the work and the fee charged (which may exceed the subsidy rate) 	<ul style="list-style-type: none"> • Editor must provide a certificate indicating the nature of the work done • Invoice must be presented indicating the total amount and how that amount was calculated (e.g. the number of pages/words, the rate charged)

11. Page Fees To contribute towards defraying the cost of publishing accredited work Due date: 15 March, 15 May, 15 August, 15 October				
Eligibility	Maximum	Criteria	Conditions	
<ul style="list-style-type: none"> Authors of manuscripts that have been accepted for publication and which indicate UNIZULU affiliation 	<ul style="list-style-type: none"> R20 000 for an article in an accredited journal For multiple-authored manuscripts a pro rata maximum applies R1000 for Internet publication costs where the publication attracts DHET subsidy <ul style="list-style-type: none"> The researcher will pay for one article and the Research Committee will pay for any additional publications per annum. 	<ul style="list-style-type: none"> Proof of acceptance for publication in a DHET-accredited journal, including an indication of the number of authors and UNIZULU affiliation When applying for page fees in respect of a book, a motivation, endorsed by the HoD and Dean, as to how the book might potentially meet the requirements for DHET recognition must be provided 	<ul style="list-style-type: none"> Copy of the publication must be provided to the Research Office Will be paid into the staff member's personal research (C) account The University must be reimbursed out of any royalties arising from the publication 	

12. Excluded Expenses Expenses which the University will NOT recognise	
The following items of expenditure are excluded: <ul style="list-style-type: none"> Computers, printers, computer peripherals, telephonic and fax type attachments will not be funded as equipment, but researchers may purchase such items out of individual generated funds Items of equipment which the University would generally supply and which are normally available in a Department Subscriptions to professional bodies, but researchers may pay for such expenditure out of individual generated funds Internet access at home, but researchers may pay for such expenditure out of individual generated funds 	

SCHEDULE OF FUNDABLE EXPENSE CATEGORIES (to be revised to the annual SARS rates)		
CATEGORY	RATES AND CONDITIONS	USE GENERATED FUNDS?
Subsistence and Travel: International		Yes, subject to maxima
Travel	<ul style="list-style-type: none"> Most economic means must be used Economy class flights R3.82per km Rental vehicles 	
Private accommodation	<ul style="list-style-type: none"> R452 per night 	
Public accommodation	<ul style="list-style-type: none"> R1200 per night 	
Subsistence	<ul style="list-style-type: none"> Approved SARS rates 30 days per person per research project 60 days per person per sabbatical 	
Subsistence and Travel: Local and Regional		Yes, subject to maxima
Travel	<ul style="list-style-type: none"> Most economic means must be used Economy class flights R3.82 per km Rental vehicles 	
Private accommodation	<ul style="list-style-type: none"> R452 per night 	
Public accommodation	<ul style="list-style-type: none"> R1 000 per night 	
Subsistence	<ul style="list-style-type: none"> R139 per day 30 days per person per research project 60 days per person per sabbatical 	
Personnel costs	Maximum R10 000 per annum	Yes, subject to maxima
Research assistants Must apply via HR processes	<ul style="list-style-type: none"> Category A – low responsibility: R35 per hour Category B – medium responsibility: R50 per hour Category C – high responsibility: R75 per hour 	Only through generated funds

Fieldworkers	<ul style="list-style-type: none"> • Maximum R50 per interview • Maximum R600 per day 	
	<ul style="list-style-type: none"> • R100 per day • Maximum R1 000 	
Running expenses and consumables		Yes, maxima may be exceeded, if justified
	<ul style="list-style-type: none"> • 	Only through generated funds
Chemicals and Reagents	<ul style="list-style-type: none"> • R10 000 	
Memory stick	<ul style="list-style-type: none"> • R400 per two-year cycle 	
Stationery, printing and photocopying	R1 000	
Interviewee participation expenses	<ul style="list-style-type: none"> • R1 000 	
Capital items		Yes, maxima may be exceeded, if justified
Small items of equipment	<ul style="list-style-type: none"> • R10 000 per two-year cycle 	
	<ul style="list-style-type: none"> • 	
Tools (<i>please specify</i>) <i>Items excluded are: camera's; voice/video recorders/ external hard drives)</i>	<ul style="list-style-type: none"> • R1 000 	
Specialist services		Yes, maxima may be exceeded, if justified
Data analysis	<ul style="list-style-type: none"> • R5 000 	
Transcription	<ul style="list-style-type: none"> • R7 per audio minute • Maximum R5 000 	
Translating	<ul style="list-style-type: none"> • Lower of R40 per page or 10c per word • Maximum R800 per research proposal 	
Publication costs		Yes, maxima may be exceeded, if justified
Editing	<ul style="list-style-type: none"> • Lower of R40 per page or 10c per word • Maximum R5 000 per doctoral thesis, R3 000 per Master's dissertation, R2 500 per Master's mini-dissertation • R3 000 per research project per two-year cycle 	
Binding	<ul style="list-style-type: none"> • R2 000 	
Page fees	<ul style="list-style-type: none"> • R20000 per journal article • 	

ANNEXURE B: RELEVANT ACTS AND POLICY REFERENCES

Government Acts

Higher Education Act, Act 101 of 1997 (as amended).
National Research Foundation Act, Act no. 23 of 1998.
General and Further Education & Training Quality Assurance Act, 2011.

National Policy Documents

Education White Paper 3: A Programme for the Transformation of Higher Education, 1997.
White Paper on Post-School Education, 2014.
Ministerial Statement on University Funding: 2013/14 and 2014/15.
Research Outputs Policy, 2015.
Policy on the Evaluation of Creative Outputs and Innovations produced by Public Higher Education Institutions, 2017.

Others references

Research Policy (2019), Cape Peninsula University of Technology.

The review process also benefited from written responses that were solicited from the following institutions specifically on the aspect of incentives paid to researchers/authors:

Cape Peninsula University of Technology;
Central University of Technology;
University of the Free State;
University of KwaZulu-Natal;
Tshwane University of Technology;
University of Cape Town;
University of South Africa;
University of the Western Cape;
University of Venda;
North West University;
University of Johannesburg;
University of Fort Hare; and
University of Limpopo.