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RESEARCH AND INNOVATION POLICY



UNIVERSITY OF VENDA

Univen is a quality driven, financially sustainable, rural based, comprehensive university





Research and innovation policy

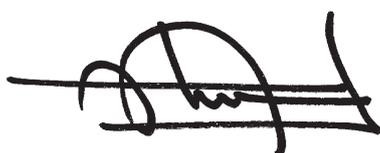
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1st revision	2005	Prof Fatoki	Revised policy	Senate	2005
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Mr K Nemadzivhanani
University Registrar



Prof Peter Mbat
Vice Chancellor and Principal

Preamble

This revised policy draws together information from the following existing relevant University documents and national legislation.

1. Regulatory Framework

- Statute of the University of Venda, 4 May 2005
- Health research policy (South African government, 2001)
- Intellectual property policy (South African government, 2009).

2. Links to other policies

- Community engagement policy (Univeristy of Venda)

3. Purpose of policy

The purpose of the policy is to create a framework for conducting research at the University of Venda. Furthermore, the purpose is to set out the principles upon which research at the University should be based to enhance the quality of knowledge production and innovation. The policy further provides researchers with criteria by which their practices can be measured.

4. Scope of policy

The scope of the policy is outline in the table of content below.

5. Maintenance

The Research and Innovation Directorate is responsible for implementation and maintenance of this policy on behalf of the Senate.

6. Changes

The Research and Innovation Directorate is responsible for making the necessary changes to this policy on behalf of the Senate.

7. Responsibility

The implementation of the policies will be monitored by the Director of Research and Innovation and the Deputy Vice Chancellor: Academic, through the Research and Publications Committee. However, the Senate through its executive is finally responsible.

8. Implementation

Responsibility for this policy lies with the Deputy Vice Chancellor: Academic.

9. Communication

Policy roll-out on intranet and by e-mail to all staff.

10. Sign-off acknowledgement

The Registrar's office is responsible for the signing off of this policy on behalf of Council.

11. Policy review

The formal review of this policy may be initiated by the Research and Innovation Directorate or the Research and Publications Committee, or the Deputy Vice Chancellor: Academic upon request of researchers.

The policy will be reviewed every five years.

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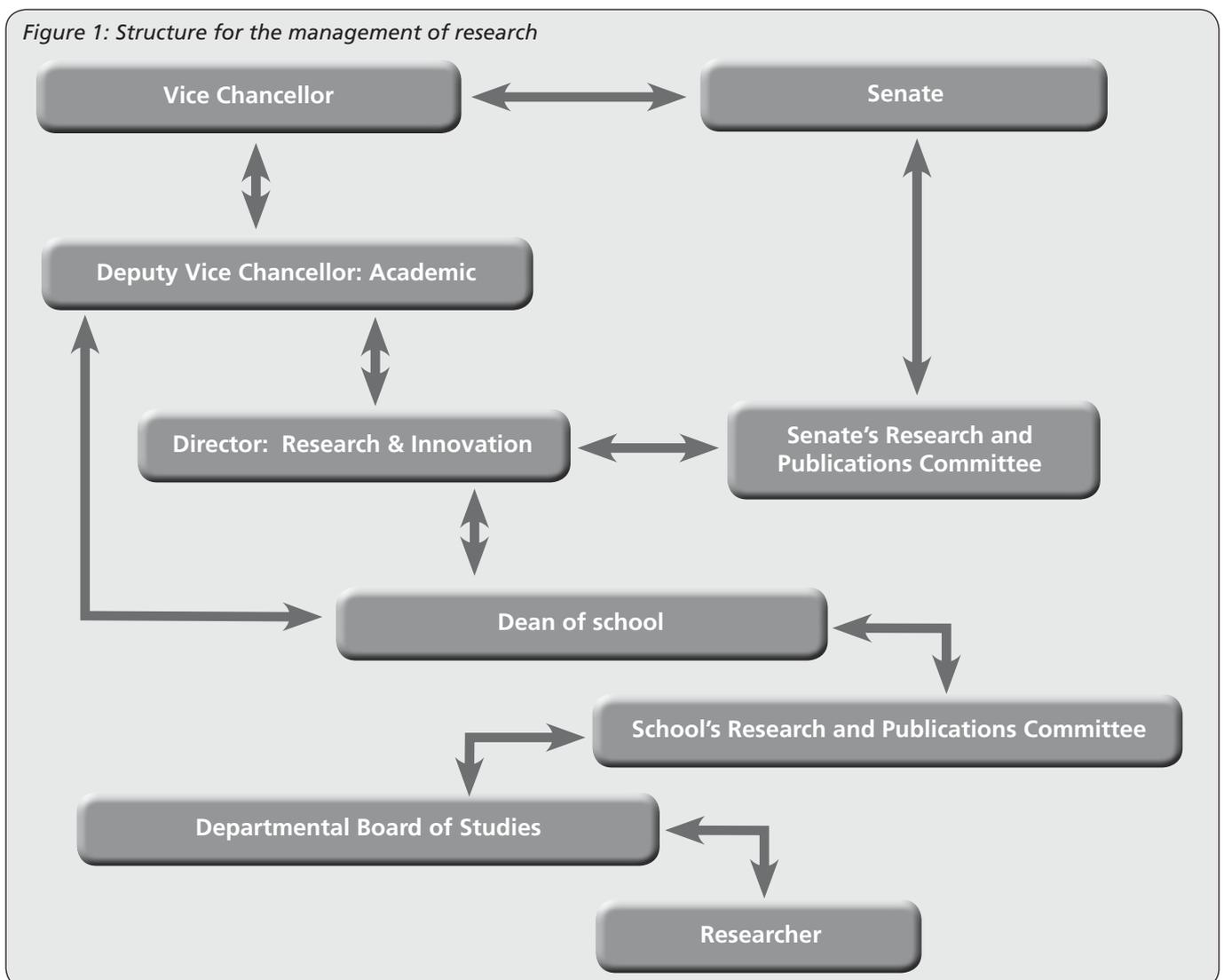
Chapter 1

1.1 Introduction

This document contains the procedures to be followed by the Research and Publications Committee for the consideration of application for research and related funding and the attendance of international conferences and for implementing programmes that will promote/research at the University of Venda. These guidelines and procedures replace the previous regulations published on 1 July 2003 and are applicable to all applications henceforth, with effect from 1 January 2011. This document contains all policies, guidelines, and general information related to the research enterprise at the University of Venda.

The overall management and promotion of research and innovation at the University of Venda is the responsibility of the Deputy Vice Chancellor: Academic. He or she discharges this responsibility through the Director of Research and Innovation, deans and the Research and Publication Committee, which is a committee of Senate. As a Committee of Senate, the Research and Publications Committee will foster research at the University of Venda as a major responsibility, with due consideration to the training and development needs of the university community. The activities of the Committee are managed by the chairperson who shall be the Deputy Vice Chancellor: Academic. The Deputy Vice Chancellor may delegate this responsibility to one of the deans or directors.

To support the Research and Publications Committee in its duties, there will be research and publications committees in each of the schools. These committees function in accordance with stipulated terms of reference formulated by the research committees in the respective schools and follow guidelines in this policy. The structure of research management is illustrated in figure 1 below. Researchers are based in departments and discharge their duties reporting to the school board of studies.



Notes on the structure

Membership of committees

1. Research management sub-committees

- Deputy Vice Chancellor: Academic
- Director: Research and Innovation
- Research administrators

2. Senate's Research and Publications Committee

- Deputy Vice Chancellor: Academic - Chairperson
- Director: Research and Innovation
- Director: Community Engagement
- Director: Centre for Higher Education, Teaching and Learning
- Director: Centre for Rural Development and Poverty Alleviation
- Deans or a representative of Schools' Research and Publications Committee and secundus at the level of senior lecturer or professor

3. School's Research and Publications Committee

- Dean or deputy dean as a convener or a representative
- Two representatives of the School Executive Board
- Two active researchers
- One lecturer
- One junior lecturer
- One postgraduate student

4. Departmental Board of Studies

- Head of Department - Chairperson
- All academic staff members of the department

These definitions shall be applicable in this policy.

Chapter 2

Principles concerning research

The University of Venda's central functions of teaching, learning, research and community engagement depend upon an atmosphere in which freedom of inquiry, thought, expression, publication and peaceable assembly are given the fullest protection. Expression of the widest range of viewpoints should be encouraged, free from institutional orthodoxy and from internal or external coercion. Further, the holding of appointments at University of Venda should in no way affect the staff members' rights assured by the South African constitution.

The transmission of knowledge and conduct of scholarly inquiry are central and complementary functions of the University. They can be carried out effectively only if students are guaranteed certain freedoms and accept corresponding responsibilities. The Senate of the University of Venda hereby affirms the following principles concerning research -

- Individual students should be free to select the subject matter of their research, to seek support from any source for their work, and to form their own findings and conclusions. These findings and conclusions should be available for scrutiny and criticism as required by the University's policy on openness in research.
- Research techniques should not violate established professional ethics pertaining to the health, safety, privacy, and other personal rights of human beings or to the infliction of injury or pain to animals.

The University should foster an environment conducive to research. Where, because of limited resources, the University cannot support all research demands, it should allocate space, facilities, funds, and other resources for research programmes based on the scholarly and educational merits of the proposed research, and not on speculations concerning the political or moral impropriety of the uses which might be made of its results.

These principles circumscribe the University's role with respect to University-connected research. They in no way diminish, and indeed they reinforce, the individual researcher's personal responsibility to assure that the sources of funding for research, and its perceived applications, are consistent with individual judgment and conscience.

2.1 Openness in research

The following rules apply to the principle of openness in research - that the principle of freedom of access by all interested persons to the underlying data, to the processes, and to the final results of research - is one of overriding importance. Accordingly, it is the decision of the Senate that the principle be implemented to the fullest extent practicable, and that no programme of research that requires secrecy (as hereafter defined) be conducted at the University, subject to the exceptions set forth in paragraph 4 of this resolution.

- i) That a research programme shall be regarded as requiring secrecy -
 - a. if any part of the sponsoring or granting documents that establish the project is not freely publishable, or
 - b. if there is a reasonable basis for expectation that any documents to be generated in the course of the research project will be subjected by an outside sponsor to restrictions on publication for a period in excess of that reasonably required (ie, more than 90 days) for the sponsor to ascertain whether information he or she is entitled to have treated as confidential would be disclosed by publication, or
 - c. if access will be required in the course of the project to confidential data so centrally related to the research that a member of the research group who was not privy to the confidential data would be unable to participate fully in all of the intellectually significant portions of the project.
- ii) Senate further adopts these rules -
 - a. No research on a thesis or dissertation should be undertaken if, at the time the topic is set, there is any substantial possibility that it will lead to a secret thesis or dissertation.
 - b. No secret thesis or dissertation should be accepted as the basis for a degree unless, in the judgment of Senate or the Senate Executive Committee, the imposition of secrecy could not reasonably have been foreseen until the work was so far advanced that modification of the thesis topic would have resulted in substantial inequity to the student.
 - c. Scholarly activities not accessible for scrutiny should not be considered in connection with appointments, reappointments, or promotions.

- d. The University should enter no contract and accept no grant to carry out research if the grant or contract restrains the freedom of the University to disclose -
 - (1) the existence of the contract or grant or
 - (2) the general nature of the inquiry to be conducted or
 - (3) the identity of the outside contracting or granting entity, or
 - (4) the research results; provided that clause (3) shall not apply either (a) to anonymous gifts or grants that do not call for the performance of specified lines of inquiry, or (b) to research grants or contracts from individuals or nongovernmental entities who request anonymity out of a justifiable motivation to protect individual privacy.
- iii) That a programme of research, appropriate to the University on other grounds, shall not be regarded as unacceptable by reason of secrecy merely because one or more of the following circumstances exists -
 - a. In a programme of research involving the examination, through interview techniques or otherwise, of a living human being reasonable provision may be made to protect the rights of that individual to privacy.
 - b. In a programme of research, the purposes of which would be significantly advanced by access to information generated elsewhere which had been subjected to security classification, provision may be made for security clearance and for access to that information on the part of one of several of the participating investigators provided that the classified information is peripheral to the research programme in the sense that the relationship between the classified data and the overall research endeavour must be sufficiently remote so that:
 - 1. a member of the research group who did not hold a security clearance would nevertheless be able to participate fully in all of the intellectually significant portions of the project, and
 - 2. there is no substantial basis for an expectation that any part of the final results of the research, or any but a trivial part of the research processes will be subject to restriction on publication more enduring than those described in paragraph 2.
 - c. In a programme of research sponsored by an outside entity, provision may be made for a short delay in the publication of research results - normally not to exceed 90 days - for patenting purposes or for sponsor review of and comment on manuscripts, providing that no basis exists at the beginning of the project to expect that the sponsor would attempt either to suppress publication or to impose substantive changes in the manuscripts.

When it is in the best interests of the research, the Directorate Research and Innovation may approve contractual arrangements that could lead to publication delays in excess of 90 days. An example is a multi-site study for which the Research and Publications committee receives data from participating sites and make decisions about joint publications. Requests to the Director Research and Innovation to approve such contractual arrangements should include:

- 1. the rationale for the request
- 2. a description of who will have authority over publication decisions, and
- 3. a statement of the provisions that will allow the investigator to publish within a defined period of time, regardless of other considerations.

Under no circumstances should a researcher engage a student in a project governed by an extended publication delay agreement or contractual arrangement that could present a barrier to the timely submission of the student's thesis or dissertation.

- d. If, in a programme of research, an outside person or entity has made available to the investigator confidential information, provision may be made to preserve confidentiality and/or a short delay in the publication of research results during which time the information source may examine the proposed publication to assure that the investigator has not disclosed, intentionally or unintentionally, any portion of the confidential information supplied, provided that any such provision for delay must contain assurance from the information source that he/she will conduct his/her review as expeditiously as possible, that he/she will not attempt to thwart publication for any reason except to protect confidential information previously supplied, and that he/she will indicate with specificity a sentence or sentences which he/she contends constitute such a disclosure.
- e. If, in a programme of research, private papers, documents, diaries or analogous materials have been provided to the investigator, provision may be made to preserve the confidentiality of those materials for the purpose of protecting the individual privacy of the author, or of the addressee, or of the immediate family of either the author or the addressee.

2.2 Equity

Equity refers to participation and access. Equity in research thus refers to the participation and access of academic staff, administrative staff and students in research activities within the University. However, the participation and access would require leadership from senior staff members in proposal development, mentorship and management of research process and outcomes.

To promote participation and access, senior staff have the responsibility for initiating and managing a mentorship programme and postgraduate research training and capacity building. Junior academic members should have the opportunity to participate in research work as co-investigators or associate investigators, depending on their capacity to play a role in the project. Access to benefits of research should bring parity in levels of knowledge, skills and development to all regions and populations groups, irrespective of gender religions and geographic location.

Researchers must be aware of the participation of co-researchers, for example, the participation of other staff members and students. Researchers have the obligation to avail the results of research to other staff members, students and the community. Both staff and students may not expect that their research output will be kept proprietary except under special conditions of confidentiality policies.

2.3 Regulations for implementation

The Research and Publications Committee will evaluate these principles when researchers apply for funding.

Chapter 3

Rights and responsibilities in the conduct of research

For the University of Venda to become a productive research university it will require, among others, that researchers pay attention to all aspects of the research enterprise, including obligations to the University, the community and to research sponsors.

3.1 Rights of researchers

To carry out Univen's research mission effectively, students are guaranteed certain freedoms. You have the right to academic freedom in the pursuit and support of research as defined in the statement of principles concerning research.

You have the right to disseminate the results and findings of your research without suppression or modification from external sponsors beyond those provisions explicitly stated in the policy on openness in research. As a member of the academic staff researchers have the right to engage in external consulting activities, subject to the University's, and in some cases the school's, limitations. It's important to adhere to both the spirit and the letter of the policy. Along with these freedoms come corresponding responsibilities such as -

3.2 Responsibilities of researchers and students

Researchers must be aware of their obligations to staff and students working as part of the research team. It is particularly important that at least annually, each staff member should review intellectual and tangible property rights and responsibilities (for, for example, management of data in all media, for proper authorship attribution), with all members of the group under his or her direction, including staff, students, postdocs, and visiting students. Each member has the right to know who is sponsoring the research and supporting his or her salary or stipend.

On an individual level, the best interests of each staff member and student should be of particular concern. The University is committed to demonstrate support and appreciation for its staff. To that end, researchers are encouraged to provide staff development opportunities and, if possible, a mentor relationship for those in their group.

3.3 Health and safety

Each researcher is responsible for training members of his or her team in appropriate health and safety procedures for that particular research area, and for management of those procedures in his or her laboratory or other workplace. Principal investigators are also responsible to assure the periodic inspection of laboratory facilities and to cooperate in any inspections by University of Venda personnel or by external agencies.

3.4 Responsibilities to sponsors

Responsibilities of researchers to sponsors - both internal and external.

3.4.1 Fiscal obligations

The overall responsibility for management of a sponsored project within funding limitations rests with the principal investigator. Funds must be expended within the restrictions of the contract or grant.

3.4.2 Equipment control and care

The control and care of research equipment is mandatory under the University's externally sponsored contracts and grants as well as under the University policy. Care and maintenance is the responsibility of the University. Principal Investigators are responsible for securing necessary approvals for the purchase of the equipment, and for proper tagging, inventory, and disposal of equipment. Equipment purchased with sponsored funds - internal or external - will remain the property of the University at completion of the project.

3.5 Other responsibilities

3.5.1 Conflict of interest

The key to the University of Venda's policy pertaining to conflict of interest is the trust in the integrity of the individual staff member to disclose any situation that could lead to real or apparent conflict of interest. Univen's policy requires disclosure of potentially conflicting relationships. In addition, situations which arise during the year in which outside obligations have the potential for conflict with the researchers' allegiance and responsibility to the University require a prompt disclosure.

3.5.2 Research protocol

Researchers also need to ensure that approved research protocols for the use of human and animal subjects in research are obtained and followed. Ethical clearance should be obtained for all research protocols whether human or animal subjects are involved.

This policy statement centres around those rights and responsibilities which are collected as written University policies. There are ethical-moral responsibilities that may be unwritten, but are just as important. These should be observed at all times especially when dealing with communities.

3.6 Implementation

The researchers will ensure that the rights and responsibilities in the conduct of research are implemented under monitoring by the dean and the Research and Publications Committee.

Chapter 4

Principal investigatorship: eligibility and criteria for exceptions

4.1 Eligibility and criteria for exceptions

4.1.1 Eligibility

Eligibility to act as a principal investigator, co-principal investigator on externally-funded projects is a privilege limited to senior members of the academic staff (senior lecturers, associate professors and professors). This policy limitation is in place because principal investigators are responsible for determining the intellectual direction of the research and scholarship, and for the training of graduate students.

Junior members of the academic staff (postgraduate tutors, junior lecturers and lecturers) are eligible to act as co-investigators or associate investigators, depending on the substantiality of their roles. However, the designation of principal investigator or co-principal investigator for a member of the academic staff not at a senior level may be acquired through the specific recommendation of the school's Research and Publications Committee to the dean and, in some cases, the University's Research and Publications Committee, as described below.

4.1.2 Exceptions

Exceptions to 4.1.1 are -

- Requests for principal investigatorship of junior staff members may be made on a case-by-case basis on request by themselves. Such requests are subject to the written submission by the staff member to the School's Research and Publications Committee. In those cases where the proposals arise from areas outside a dean's jurisdiction, it must serve in the Research and Publications committee's of both schools.

The approval of the recommendation of the school's Research and Publications committee shall take into account the academic quality of the proposal, the qualifications of the proposed principal investigator and the relevance and importance of the proposal to other activities of the University. Such requests will be made only for a particular project with a specified project period. Documentation of the school's Research and Publications Committee's recommendation and the dean's approval must accompany proposals submitted to the University's Research and Publications Committee .

- Specific projects which are part of large interdisciplinary programmes - Junior staff members may be approved to serve as principal investigators on projects within the scope of a large interdisciplinary programme. For this purpose a "large interdisciplinary programme" is defined as a research programme which –
 - 1) is directed by a senior academic staff member
 - 2) has an expected duration beyond the involvement of any individual researcher
 - 3) has more than one researcher involved
 - 4) requires expertise in more than one discipline or technical area.

All of the following conditions must be met for the school's Research and Publications Committee and the dean to recommend principal investigator exceptions in such cases:

- i) The proposed project must be a demonstrably important component of the success of the overall interdisciplinary programme, as defined above
- ii) There is no senior member of the academic staff associated with the large interdisciplinary project who is qualified to take responsibility for the scientific direction of the prospective research project
- iii) For each graduate student participating on the project, a senior academic staff member has been identified to serve as research advisor to assure that the student's research programme and the education derived from it are consistent with the degree for which the student is a candidate
- iv) Exceptions approved under this provision will be recommended to the University's Research and Publications Committee for approval.

4.1.3 Exceptions for career development purpose

Junior academic staff members may be approved to serve as principal investigators on research towards postgraduate studies, whose stated purpose is to advance the individual's scientific or academic career. Such exception is approved if the research is conducted under a supervisor/promoter.

4.1.4 Rare exceptions

In addition to the foregoing, rare exceptions to the principal investigator policy may be made at the discretion of the Directorate Research and Innovation in unusual and non-recurring situations that meet a particular need or opportunity for the University. Such requests will be considered only for a specific project with a specific project period. Examples of rare exceptions that can be granted are - proposals submitted by visiting students for a limited period, permission for administrators to submit proposals in support of a project in their area, special cases of sponsored research instruction and situations where a senior researcher who is a principal investigator ceases to be available and it is necessary for a junior staff member to oversee an orderly phase out of a project.

Requests for such exceptions are subject to the recommendation of the school's Research and Publications Committee and dean, and the approval of the University's Research and Publications Committee. In all cases, these five criteria must be met -

- i) The proposed research must meet a programmatic need of the University of Venda. Meeting a programmatic need means addressing an area of investigation that is not currently covered at the University and is endorsed by a sponsoring member of the regular researcher as directly relevant to and supportive of the research or teaching programmes of the school. Research that may be important in its own right and for which outside funding is available will not be judged as meeting the programmatic need criterion unless it facilitates the ongoing objectives of the University in an identifiable and direct way.
- ii) The proposed research cannot be funded and/or conducted effectively at the University of Venda unless the petitioner - ie the junior staff member - is the principal investigator. Among others, this generally will mean that there is no member of the senior academic staff available to take the responsibility for the scientific direction of the project.
- iii) The junior staff qualifications to direct the project provide assurance that the work will be conducted in accordance with the standards of excellence of the University.
- iv) For each postgraduate student participating in the project, a senior academic staff member has been identified to serve as supervisor/promoter to assure that the student's research programme and the education derived from it are consistent with the degree for which the student is a candidate.
- v) The research must be designed and conducted in such a way that work can be continued when the researcher ceases to be available.

Exceptions to the principal investigator policy will be rare in situations other than those described in section 4.1.4.

4.2 Implementation

The school's Research and Publications Committee must ensure adherence to the policy statement on principal investigatorship. The Research and Publications Committee will ensure adherence to policy.

Chapter 5

Scientific misconduct: policy on allegations, investigations, and reporting

Each member of the University community has a responsibility to foster an environment which promotes intellectual honesty and integrity, and which does not tolerate misconduct in any aspect of research or scholarly endeavour. Scientific misconduct is extremely troubling - in spite of its infrequency - because when it occurs, it is very destructive of the standards the University attempts to instill in our students, of the esteem in which academic science in general is held by the public, and of the financial support of the government and other sponsors for academic scientific enterprise. The importance of integrity in research cannot be overemphasised.

Some sponsoring organisations have their own policies regarding scientific misconduct, and require notification to the organisation in the event of such an allegation or investigation. Where required, this notification will be made by the Directorate Research and Innovation. While the primary responsibility for the prevention and detection of misconduct, and for the conduct of inquiries and investigations, rests with the University, some sponsoring organisations may initiate their own investigations at any time.

5.1 Applicability and definitions

5.1.1 Applicability

The University's policy on scientific misconduct is applicable to -

- i) research to be conducted, or reported at the University by university-related individuals, ie, those with an appointment or official affiliation with the University of Venda, including researchers, academic staff, students, postdoctoral students, visiting students and those with any other researcher attached to the University
- ii) research to be conducted, or reported elsewhere by such university-related individuals as part of their university of Venda-related duties or activities and
- iii) at the discretion of the University, to research conducted at the University of Venda and reported, claimed, cited or implied to have been done at Univen by a researcher who was once affiliated with the University of Venda.

5.1.2 Definitions

- i) Scientific misconduct

"Scientific misconduct" is defined as fabrication, falsification, plagiarism, or other practices that seriously deviate from those commonly accepted within the scientific community for proposing, conducting, or reporting research. It does not include honest error or honest differences in interpretations or judgments of data. Also included as "scientific misconduct" for this purpose is retaliation of any kind against a person who, acting in good faith, reported or provided information about suspected or alleged misconduct.

This policy addresses scientific misconduct and core ethical values and standards for good practice. The University of Venda's statement on research discipline has been interpreted to include such other violations as reckless disregard for accuracy, failure to supervise adequately, and other lapses from professional conduct or neglect of academic duties. Findings (pursuant to this scientific misconduct procedure) of serious academic deficiencies in proposing, conducting or reporting research - but not constituting scientific misconduct - are to be referred to the chairperson of the Research and Publications Committee.

- ii) Inquiry

An inquiry consists of preliminary information-gathering and preliminary fact-finding to determine whether an allegation or an apparent instance of misconduct has substance. The outcome of an inquiry is a determination as to whether or not an investigation is to be conducted.

- iii) Investigation

An investigation is a formal examination and evaluation of relevant facts to determine whether or not misconduct has taken place.

5.2 Individual reporting responsibility

Individuals who believe in the act of scientific misconduct has occurred or is occurring should notify the dean of the appropriate school, who should immediately begin an inquiry and inform the University's Research and Publications Committee. Reporting such concerns in good faith is a service to the University and to the larger academic community and the public and will not jeopardize anyone's employment.

5.3 Process and time frame for dean's review

The dean's inquiry and, if called for, the investigation may be carried out personally or through such standing or ad hoc arrangements as each dean deems best.

5.3.1 Inquiry

Upon receipt of an allegation of misconduct, the dean shall begin an inquiry within seven days. This inquiry is to determine whether a formal investigation is warranted and shall be guided by -

- i) The affected researcher/ individual shall be informed of the allegations, and be invited to comment on them. This individual should also be provided with a copy of the draft report of the inquiry, and be given an opportunity to comment on the findings. In so doing, best efforts should be made to protect the confidence of the individual who brought forward the complaint.
- ii) Any other relevant individuals, including the individual(s) who raised the concern, if known, should be interviewed.
- iii) In the case of no prima facie evidence, the final report should be compiled and filed by the dean. The final report of the inquiry and documentation must be maintained in the school for three years.
- iv) In the case where there is prima facie evidence, a report must be submitted by the dean to the chairperson of the Research and Publications Committee within 21 days of receipt of the allegation. The final report shall include any comments provided by the concerned researcher/ individual in response to the report.
- v) The documentation should include sufficient detail to permit a later assessment of the determination of whether or not a full investigation was warranted. It should describe the information reviewed, include a summary of the interviews conducted, state conclusions reached, and indicate whether or not the dean believes an investigation is warranted.

5.3.2 Investigation procedures

If the inquiry leads to the conclusion that an investigation is necessary, it will be guided by these considerations -

- i) The formal investigation should begin within seven days of the completion of the inquiry. The investigation should be completed and the final report sent to the chairperson of the Research and Publications Committee within 30 days.
- ii) The investigative process must be thorough, fair, and protective of the confidentiality and reputations of all participants.
- iii) An investigation should normally include an examination of all documentation, including, but not limited to, relevant research data and proposals, publications, verbal communication, correspondence, e-mails and memoranda of telephone calls.
- iv) Those making allegations, those concerned, and those who may have information related to the matter should be interviewed. Complete written summaries of each interview should be provided to the individual being questioned, and any comments should be appended to the summary, or reflected in a revised summary.
- v) All significant issues should be pursued until the investigator is reasonably certain that he or she has amassed all necessary and available information.
- vi) A written report of findings should be made available to the concerned. Where identified, those who made the allegations should also receive the portions of the report which concern the role or opinions they had in the investigation. Comments on the report from the concerned or the complainants should be appended to the final report. If there are more than one concerned individual, and their involvement is found not to be identical, separate reports should be prepared, to preserve confidentiality.

- vii) In addition to the interview summaries and comments by the concerned and complainants on the report, the final written report should include -
 - a) a description of the policies and procedures followed
 - b) how and from whom relevant information was obtained
 - c) the findings and basis for them.
- viii) If the chairperson of the University's Research and Publications Committee considers that sanctions may be warranted, he/she shall refer the final report to the chief disciplinary officer to make that determination. The report should be sufficient for the chief disciplinary officer to determine whether disciplinary action is necessary.

5.3.3 Determination of discipline

The determination as to whether discipline is to be imposed is governed by existing policies. In cases involving internally funded research, sanctions may only be imposed by the chief disciplinary officer, following the normal disciplinary procedures.

Where research is funded externally, disciplinary action will be in accordance with contractual obligations.

5.3.4 Internal coordination / reports to Research and Publications Committee

- i) To assure compliance with external notification requirements, deans must report the following circumstances to the Directorate Research and Innovation in a timely manner:
 - commencement of an inquiry
 - conclusion of an inquiry. If termination of an inquiry or investigation before its completion is contemplated for any reason, this should be reported and discussed with the Directorate Research and Innovation.
- ii) In addition, the Directorate Research and Innovation is to be advised at once if any of these circumstances are discovered -
 - an immediate health hazard
 - an immediate need to protect sponsoring organisations' or University's funds or equipment
 - an immediate need to protect those making the allegation, those accused or any of their associates
 - likelihood that an alleged incident will be reported publicly
 - a reasonable indication of a possible criminal violation.

NOTE: In emergency situations, deans are authorized to notify external agencies directly, if conference with the Directorate research and Innovation is not possible in a timely manner. The dean shall also take interim action as necessary to protect University or external funds and the purposes of the grant or contract that may be involved. Such action is administrative and not disciplinary. The dean shall inform the Directorate Research and Innovation of such actions.

- iii) If, during an investigation, facts come to light that could affect current or potential funding of the people under investigation, or that may, in the dean's judgment, need to be disclosed in order to ensure proper use of research funds or protection of the public interest, these facts should be reported to the Directorate Research and Innovation as they are learned.

5.3.5 Notification to external agencies

The University will comply with the requirements and regulations of its funding agencies. In any particular situation, deans are advised to review current regulations and requirements.

The Vice Chancellor will make the decision whether information about the charges and their disposition will be disclosed publicly or to specific parties, including the research sponsor. This decision will normally be made upon the conclusion of the final report. However, if required by urgent circumstances, such a disclosure may be made at any time. In the absence of such urgent need, the University of Venda will not make interim reports to outside agencies unless required by external regulation.

5.4 Protection of reputation

- i) The gathering and assessing of information in cases of alleged scientific misconduct can be extremely difficult. It is essential to protect the professional reputations of those involved, as well as the interests of the public and of any who might be harmed by the alleged misconduct. In the course of conducting inquiries or investigations, these provisions are applicable -
- Expert assistance should be sought as necessary to conduct a thorough and authoritative evaluation of all evidence.
 - Precautions should be taken to avoid real or apparent conflicts of interest on the part of those involved in the inquiry or investigation.
 - The anonymity of accused individuals and, if they wish so, the confidentiality of those who in good faith reported the alleged misconduct, should be protected as much as possible, and care should be taken to protect their positions and reputations. Except as required in the reporting provisions, only those directly involved in an inquiry or investigation should be aware that the process is being conducted or have any access to information obtained during its course. Where appropriate, efforts should be made to restore the reputation of those concerned when allegations are not confirmed.

Chapter 6

Research grants and types

There are different categories of research as defined by the National Research Foundation.

All these will apply at the University -

- basic or fundamental research
- applied research in niche areas
- research for human capital development
- research for competency building
- collaborative research
- contract research (discussed in chapter 7)
- research for innovation
- institutional research

6.1 Basic or fundamental research

Researchers may conduct fundamental research in their disciplines and this will be funded under non-niche funding.

6.2 Applied research

Researchers may conduct applied research, preferably in the University niche areas which addresses the University's focus on rural and regional development. Applied research projects that integrate participatory approaches will be given priority funding.

6.3 Research for human capital development and competency building

Principal investigators who are supervisors or promoters for postgraduate research may apply for funding for the purposes of human capital development of their students. Academic staff who needs to improve qualifications may undertake research for competency and capacity development. These types of funding will be considered under chapter 15.

6.4 Collaborative research

Stakeholders include staff, students and individuals within and outside the institution. Collaborative work shall culminate in publications in forms of journal articles, monographs, book chapters and books.

Collaborative research teams differ significantly from the individual schools/postgraduate student research teams. Research teams must consist of colleagues from different disciplines, students and colleagues from different institutions, who perform specialised functions.

These are characteristics of collaborative research -

- i) that principal investigators and senior staff members have special responsibilities to assure overall cohesiveness and validity of the publications on which they appear as co-authors.
- ii) that all authors in a group effort have a shared responsibility for the published result and should have the opportunity to review all sample preparation procedures and data, as well as all data acquisition and analysis procedures.
 - a. In a project that involves a multi-investigator research team, and the project results in a multi-authored research paper, there should be agreement on authorship before the research project commences.

- b. Investigators have the responsibility to ensure the authorship rights of students and their research assistants and to acknowledge their intellectual contribution to a research project as explained and defined in chapter 8.
- iii) Each author in a group effort should have access to the manuscript prior to it being submitted for publication, and should agree to his inclusion as a co-author. All the participants in the programme should know that the paper is being prepared for publication.
- vi) Early in the project, each research group should define appropriate practices for the maintenance of data.

6.5 Research for innovation

Innovation is the process of taking new ideas to address problems of society through to satisfied customers. Research is conducted to create knowledge that is codified, sent and received. Researchers of inventions can define knowledge use, intellectual property should be protected to create incentives. Innovation comes from within, a self-reflective process, but can also be sourced using open source.

6.6 Institutional and educational research

This is research that is conducted by mainly the support divisions that aims to improve planning, teaching methodologies and service delivery. Such research will be conducted mainly by IPQA and the Centre of Higher Education, Teaching and Learning, but all other administrative units of the University will be considered for funding. The same principles of research will apply as well as expected outputs.

6.7 Research grants via the internal grant

University funds are primarily intended to foster academic research at the University and to improve outputs and contribution to knowledge generation. The Research and Publications Committee will consider applications under this section from full-time academic staff, members of management and administrative staff.

The broad principles informing the recommendations of research proposals are -

- (i) The need to support basic research that is geared towards innovation and new knowledge production
- (ii) The internal grant has the potential to supplement external funding for university research
- (iii) Development of strategic research niche areas and "centres of research excellence"
- (iv) multidisciplinary of the research projects and evidence of partnerships and/or collaborations with other researchers
- (v) the need to support young academics (at particularly the beginning phase of their research careers) and new senior academic staff and to develop postgraduate students.

Present financial constraints imply that the University should look into ways of optimising research resources by identifying key research niche areas and developing these as focus groups or "centres of excellence". An appropriate process for creating such "centres" will take into account existing research strengths as well as regional and national needs and the need of industries. This will be embarked upon by the research office soon, involving all stakeholders within and outside the University. The defining features of these research niche areas will be -

- (a) Existence of (or the potential for) maintaining high quality sustained research programmes, which are characterised by excellence in publication and in the training of postgraduate students
- (b) Evidence of collaboration between a number of researchers within and outside the University - regionally, nationally and internationally

With the creation of the University research niche areas -

- (a) Larger investments shall be made by the Research and Publications Committee to such research niche areas in terms of internal grants and in terms of capital equipment.

Where individual researchers and/or research groups are already engaged in ongoing and sustained research projects, the term "research centre" could be used to describe the group now and these centres could be used as nuclei for developing the research niche areas or the research "centres of excellence".

6.7.1 Types of grants

The grants are classified under niche and non-niche.

6.7.1.1 Niche area grants

- i) The University supports projects in identified niche areas for applied, collaborative, innovative and institutional research
- ii) To qualify for niche area funding the project must be multi-disciplinary in conceptualisation and with the research team. Researchers should be from different disciplines and faculties. The project should involve both postgraduate and undergraduate students for research exposure and training. Honours students' research activities should be funded within this grant
- iii) Funding for postgraduate (masters and doctoral) students' research should be accessed as stipulated in the chapter on postgraduate support.
- iv) The niche area grant tariffs will be determined from time to time by the Research and Publications Committee.

6.7.1.2 Non-niche area grants

- i) The proposed research should make a distinct contribution to the knowledge of the subject. This will mainly be fundamental or basic research. All other projects in niche areas which involve a single researcher will be funded under this grant.
- ii) The proposed research should demonstrate one or more of these -
 - the capacity for independent research
 - the development of new insights
 - the discovery of new facts
 - the exercise of independent critical thought
- iii) Staff members studying towards higher degrees will be funded according to the chapter on postgraduate financial support.

6.8 Application for funding and registration of research projects

The research projects are developed by the researchers and reviewed by the school's Research and Publications Committee for appropriateness and academic rigour. The researchers should present and defend their proposals at school level.

- a. All research projects undertaken by University of Venda staff and masters and doctoral students must be registered with the Research and Publications Committee. The appropriate [project registration and funding application] form must be used.
- b. Only those research proposals which have been discussed and recommended by the research committees of the respective schools shall be considered for registration and funding by the Research and Publications Committee. To that effect, the application for the registration of a research project must bear the signatures of the school's Research and Publications committee chairperson and or the dean of the school.

6.9 Allowable expenses

- i) The grant should be solely for research data collection, including research assistantship, professional assistantship, consumables and materials, travelling to research sites, accommodation and subsistence data analysis and reporting.
- ii) All data and equipment acquired through the Research and Publications Committee funds remain the property of the University and becomes the responsibility of the relevant department. They must be deposited with the relevant department or the library, whichever applies.

6.10 Non-allowable expenses

- i) Honorarium or salaries for researchers is not allowed from internal funding.
- ii) no funding for conference and workshop attendance and for publications. These are covered under a separate funding.

6.11 Applications which will not be considered for funding

These applications will not be considered for funding -

- i) Research projects which have not been registered with the Research and Publications Committee.
- ii) Applications for funds to be used to defray expenses incurred prior to the approval of a grant.
- iii) Applications from researchers who have a current Research and Publications Committee grant but have not yet submitted satisfactory progress or final reports and publication proof.
- iv) Research project grants do not cover conference costs and the purchasing of equipment to use at home. This should be accessed according to the chapter on conference grants or purchasing of equipment.

6.12 Transfer of research funds

- i) No funds allocated for a research project may be transferred to another project.
- ii) In the event of the principal investigator leaving the University, the project will be re-assigned by the Research and Publications Committee on the recommendation of the school's Research and Publications Committee.
- iii) Transfer of funds for other use than specified on the award letter is not allowed unless otherwise approved by the Research and Innovation Director or the Deputy Vice Chancellor: Academic.

6.13 Progress report on funded research projects

- i) The Research and Publications Committee shall be informed on a quarterly basis of the progress and eventual completion of the research project for which the grant has been made.
- ii) Failure to submit the required report as stipulated shall result in withdrawal of funding.
- iii) The report(s) should be completed in duplicate and one copy should be submitted to the Research and Publications Committee and the other copy for notification to the school. It should also provide up-to-date information on both the academic and financial status of the research.
- iv) If the Research and Publications Committee finds that the progress is not satisfactory, it may withdraw the funds granted to the researcher.

6.14 Project report

- i) A recipient of a research grant is expected to rework his or her research report into an academic article or monograph for scholarly publishing. The granting of a subsequent research grant will be determined by compliance to this.
- ii) Niche area grantee should produce at least two publications within one year of project completion. Failure to comply would jeopardise further funding.
- iii) A non-niche grantee should produce at least one publication within one year of project completion. Failure to comply there would jeopardise further funding.
- iv) Upon completion, a final report should be submitted to the Research and Publications Committee. Proof of publication is preferred to technical reports.

Chapter 7

7.1 Contract research

This section states the limits of contract research activities and the reasons for those limits. The University promotes contract research to ensure that researchers contribute to the generation of knowledge and address societal problems at local and global level.

Researchers are expected to work on contract research during normal working hours, integrated into their core academic responsibilities. In cases of doubt, the primary guide should be the intention to promote the interests of the University as a place of education, teaching and learning, and research.

Whenever uncertainty exists, it is the staff member's obligation to obtain prior consent from the Dean and the Deputy Vice Chancellor: Academic.

7.1.1 Definition of contract research

Contract research is research activity undertaken on behalf of an outside party or parties for knowledge generation, capacity building and or responsiveness to societal needs.

7.1.2 Limitations

Contract work such as short courses, conferences, workshops, service delivery, training, or any other work that does not have a research component, are excluded.

7.1.3 Permissible contract research hours

The permissible working hours for research per week are 16 hours for academic staff as stipulated in the workload policy. This excludes public holidays, University holidays, weekends and after hours.

7.1.4 Eligibility to participate

Contract research shall be led by a principal investigator as stipulated in chapter 3. The academic staff, academic support staff and postgraduate students are expected to participate in contract research as part of the core business.

Management and administrative staff are expected to participate in contract research during the course of their duty in collaboration with external institutions.

Where management and administrative staff members wish to participate in research which is not part of their duties, they must obtain such permission from the Human Resources Committee, according to the private work policy.

7.1.5 Responsibility of staff members

It is the responsibility of each staff member who wishes to engage in contract research to observe the University's limits on such activities. Academic staff members must be especially sensitive to potential conflicts of interest between their teaching responsibilities vis-a-vis postgraduate students working under their supervision and their outside consulting interests.

To avoid such conflicts, an academic staff member of the University may not hire or directly supervise a University of Venda student in contract research while simultaneously serving as the supervisor, without seeking approval of the school's Postgraduate Committee/ Research and Publications Committee .

The staff member working on contract research shall disclose, upon specific request from the relevant authority, their relationship with the contracting organisation. The principal investigator must ensure that the dean and the head of department are aware of the contract research that her she is responsible for.

7.1.6 Conflict of interest

A conflict of interest occurs when there is a divergence between an individual's private interests and his or her professional obligations to the University, such that an independent observer might reasonably question whether the individual's professional actions or decisions are determined by considerations of personal gain, financial or otherwise.

A conflict of interest depends on the situation, and not on the character or actions of the individual.

Staff members should conduct their affairs so as to avoid or minimise such conflicts of interest, and must respond appropriately when conflicts of interest arise.

In addition, staff members are required to disclose to the University whether they or members of their immediate family have any affiliation, significant financial interests, or employment with the sponsor. The University will approve only after the disclosure.

In cases where questions arise regarding potential or apparent conflict between consulting activities and University duties, the staff member shall disclose, upon the specific request from the relevant authority, the names of companies for whom he/she consults, the general nature (as opposed to detailed technical aspects) of each consulting agreement, and the number of days committed per consulting agreement.

Conflict of interest will be determined and declared at the point of signing the contract.

7.1.7 Conflict of commitment

Staff members employed on a full-time basis at the University of Venda, owe their primary professional allegiance to the University, and their primary commitment of time and intellectual energies should be to the programmes on which they are working.

Whenever an individual's outside activities interfere with professional obligations to the University of Venda, a conflict of commitment exists. Staff members must not allow other professional activities to detract from their primary allegiance to the University.

For example, academic staff employed on a full-time basis must not have significant outside responsibilities, nor act as a principal investigator on sponsored projects that could be conducted at the University of Venda but instead are submitted and managed through another institution.

It is the prerogative of the head of the department and the dean to ensure that the staff member should not over commit. The head of the department and the dean must know and understand the contents of the agreement of staff members under him or her. (the agreement should be counter signed by the dean). Non-disclosure is not permissible. Disclosure of time commitment.

7.1.8 Income of contract research

Contract research outcomes are primarily to address societal needs and to develop human capacity. Researchers and the University may derive benefits, including income from contract research.

Funds obtained from contract research should benefit both the researchers and the University. Such funds will attract overhead costs for the University using this formula -

- 80% Researcher (all research direct costs)
- 20% University (all indirect cost including research administration (10%), operations (5%) and finance related costs (5%).

The researcher must ensure that the overhead cost must be included in the budget. In a case where the contractor cannot pay for overheads, this implies that researchers must budget for all indirect costs (eg electricity, maintenance, office space, water, bank charges). Thus the researchers must factor it in their operational cost and pay the University directly.

7.1.9 Policy statements on contract research

The terms and conditions of employment by the University of Venda and the provisions of any agreement between the University and external sponsors of projects on which the contract research, as part of his/her University duties, shall prevail in the event of any conflict with the provisions of this agreement.

7.1.10 Guidelines for policy implementation

The nature of the consulting work should in no way detract from the prestige of the University or the professional stature of the staff member. Principal Investigators should inform and get approval and support from the University before they submit research proposals to the external sponsor.

A memorandum of understanding will be developed in collaboration with the office of the legal advisor and signed before commencement of the project. Two originals are for the University and the sponsor. The University copy should be deposited with the office of the legal advisor. Research office, finance and the principal investigator should keep copies.

All reports on contractual research sent to the sponsor must also be deposited with the research office.

7.1.11 Appropriate use of University resources

Researchers may use University resources (eg laboratories, laboratory equipments, vehicles, lecture halls and computer facilities) for their contract research. Care should be taken to avoid misuse of University resources.

Inappropriate use of University resources includes -

- i) Assigning the staff member's students, staff or postdoctoral students University tasks for purposes of potential or real financial gain of the staff member, rather than the advancement of the scholarly field or the students' educational needs.
- ii) Involvement of the staff member's students or staff in his or her contract research without prior approval of the head of the department or the dean.
- iii) Granting access to external entities to University of Venda's resources or services for purposes outside the University's mission, or offering inappropriate favours to outside entities in an attempt to unduly influence them in their dealings with the University. This includes working with external people on contract research without informing in writing the head of the department and or the dean.
- iv) Distributing confidential or confidential formation acquired through conduct of University business or research activities for personal gain or granting unauthorised access to others.

Confidential information includes, but is not limited to, medical, personnel, or security records of individuals, proprietary knowledge about corporate anticipated material requirements or price actions and proprietary knowledge of possible new sites for government operations or information about forthcoming programmes or selection of contractors or subcontractors in advance of official announcements.

- v) Providing preferential access to research results, materials or products generated from University teaching or research activities to an outside entity for personal financial gain.

Chapter 8

Management of research data and equipment

Accurate and appropriate research records are an essential component of any research project. Both the University and the principal investigator have responsibilities and rights concerning access to, use of, and maintenance of original research data.

Except where precluded by the specific terms of sponsorship or other agreements, tangible research property, including the scientific data and other records of research conducted under the auspices of the University, belongs to the institution. The University Research and Innovation Directorate is responsible for the maintenance and retention of research data in accordance with this policy.

8.1 Definitions and applicability

This policy shall apply to all University staff, students and any other persons at the University of Venda involved in the design, conduct or reporting of research at or under the auspices of the University. It shall also apply to all research projects on which those individuals work, regardless of the source of funding for the project.

Research data include laboratory notebooks, as well as any other records that are necessary for the reconstruction and evaluation of reported results of research and the events and processes leading to those results, regardless of the form or the media on which they may be recorded.

The University of Venda must retain research data in sufficient detail and for an adequate period of five years to enable appropriate responses to questions about accuracy, authenticity, primacy and compliance with laws and regulations governing the conduct of the research. It is the responsibility of the principal investigator and the Research and Innovation Directorate to determine what needs to be retained under this policy.

Where research is funded by a contract with the University of Venda, which includes specific provision(s) regarding ownership, retention of and access to technical data, the provision(s) of that agreement will supersede this policy.

8.2 Ownership

The University's ownership and stewardship of the scientific record for projects conducted at the University, under the auspices of the University, or with its resources, are based on sound management principles. Univen's responsibilities in this regard include, but are not limited to -

- i) complying with the terms of sponsored project agreements
- ii) ensuring the appropriate use of animals, human subjects, recombinant DNA, etiological agents, radioactive materials, and the like
- iii) protecting the rights of students, postdoctoral students and staff, including, but not limited to, their rights to access to data from research in which they participate
- iv) securing intellectual property rights
- v) facilitating the investigation of charges, such as scientific misconduct or conflict of interest.

8.3 Collection and retention

The principal investigator is responsible for the collection, management, and retention of research data. Principal investigators should adopt an orderly system of data organisation and should communicate the chosen system to all members of a research group and to the appropriate administrative personnel, where applicable.

Particularly for long-term research projects, principal investigators should establish and maintain procedures for the protection of essential records in the event of a natural disaster or other emergency.

Research data must be archived for a minimum of five years after the final project close-out, with original data retained wherever possible. In addition, any of these circumstances may justify longer periods of retention -

- i) data must be kept for as long as may be necessary to protect any intellectual property resulting from the work
- ii) if any charges regarding the research arise, such as allegations of scientific misconduct or conflict of interest, data must be retained until such charges are fully resolved
- iii) if a student is involved, data must be retained at least until the degree is awarded or it is clear that the student has abandoned the work.

Beyond the period of retention specified here, the destruction of the research record is at the discretion of the principal investigator and his or her department or laboratory.

Records will normally be retained in the unit where they are produced. Research records must be retained by the research office, or in facilities under the auspices of the University, unless specific permission to do otherwise is granted by the Directorate of Research and Innovation. Equipment bought by research funds - (internal/external - shall be retained at the relevant department within the University of Venda. Such equipment shall be documented by the assets office.

8.4 Access

Where necessary to assure needed and appropriate access, the University has the option to take custody of the data in a manner specified by the Directorate Research and Innovation.

8.5 Transfer in the event of a researcher leaving the University of Venda

When individuals involved in research projects at the University of Venda leave the University, they may take copies of research data for projects on which they have worked. Original data, however, must be retained at the University of Venda by the principal investigator and the research office.

If a principal investigator leaves the University of Venda and a project is to be moved to another institution, ownership of the data may be transferred with the approval of Senate and with written agreement from the principal investigator's new institution that guarantees -

- 1) its acceptance of custodial responsibilities for the data, and
- 2) the University of Venda's access to the data, should that become necessary. In the event of the externally funded projects the sponsors must give approval.

Chapter 9

Fiscal responsibilities of principal investigators

The principal investigator has overall responsibility for the technical and fiscal management of a sponsored project. This includes the management of the project within funding limitations and assurance that the sponsor will be notified when significant conditions related to project status change.

This document addresses specific responsibilities concerned with the financial management of sponsored projects. While responsibility for the day-to-day management of project finances may be delegated to administrative or other staff, accountability for compliance with University of Venda policy and sponsor requirements ultimately rests with the principal investigator.

The University requires all principal Investigators to review their obligations for stewardship of sponsor funds and compliance with applicable regulations. This responsibility applies to internally and externally funded projects.

9.1 Preparation and submission of proposed budgets

In proposing budgets for sponsored projects, the principal investigator assures the University of Venda and the potential sponsor that project finances are represented as accurately as possible.

9.1.1 Allowable expenses

Proposals should not include expenses which the sponsor has identified as unallowable. In addition, claims should also be aligned with allowable expenditure at the point of approval.

9.1.2 Cost sharing

Proposed budgets should delineate the complete committed cost of the project, identifying the amount requested from the sponsor, and other costs that the University of Venda commits to pay.

A commitment to use University resources to pay any portion of project costs that would otherwise be borne by the sponsor must be identified and tracked as cost sharing. At the time such awards are finalised, principal investigators must assure that departmental funds are identified and separately budgeted for those expenses.

9.1.3 Commitment of effort

Proposals should accurately represent the amount of time that key personnel are committing to the project. In preparing proposals, principal investigators must be careful not to over-commit themselves or others. Distribution of effort must take into account the time required for teaching and campus citizenship.

Principal investigators may submit proposals on the assumption that not all will be awarded. However, at the time of award, an accurate representation of time to be devoted to the project must be provided. Subsequent changes in levels of effort may also require advance notification to and approval by sponsors.

9.1.4 Budget justifications

The University of Venda is obligated to treat types of expenses consistently as either direct or indirect costs. If a proposed budget includes the direct expenditure of project funds for costs that would normally be charged indirectly, eg clerical and administrative expenses, general-purpose equipment, or operations and maintenance, then those items must be supported in the proposal by an explicit budget justification.

9.2 Management of project expenditures

9.2.1 Authorisation of direct charges

To authorise the expenditure of funds to be charged directly to sponsored projects, the originating department must assure that -

- the estimated charge is reasonable and necessary
- the expenditure is allowable by the funding source

- the expenditure provides benefit to the project
- the funds are available within the authorised award amount and funding limitations
- the justification for the expenditure is documented
- the method of allocation of costs is appropriate and documented
- the charge has been processed through the appropriate University system.

9.2.2 Review of project expenditures

Any questionable charges must be brought promptly to the principal investigator's attention, and, if need be, corrected by an appropriate transfer. Transfers should be initiated as soon as possible after a need has been identified.

Whenever expenses are moved to or between sponsored accounts, the principal investigator must assure that the project which ultimately pays the expense is the project which benefited from that expense, and that there is adequate documentation to support the appropriateness of the transaction.

9.2.3 Monitoring of funds within sponsor funding limitations

Principal investigators are responsible for the ongoing fiscal management of awarded projects, including regular monitoring against project period budgets.

Although sponsors allow certain flexibilities with respect to rebudgeting, unobligated balances, and pre-award costs, the University and sponsors expect expenditures to be reasonably consistent with the approved project and budget.

Sponsors may question or restrict expenditures that appear inconsistent with the project plan and budget. Principal investigators are obligated to request prior approval when budget and programme plan revisions indicate a significant change in scope. Indicators of a change in scope can include significant expenditures beyond the amount authorised on the award, or requests for additional funding.

It is the University of Venda's expectation that projects will be managed within their established budgets. No overdraft shall be allowed unless there is proof of additional funding from the sponsor.

9.2.4 Project close-out

In addition, principal investigators are responsible for overseeing the proper close-out of sponsored projects, including the timely submission of all required reports (including final technical reports).

While central offices prepare and submit final administrative reports, including financial and property reports, they do so on the basis of documentation created in the department. Principal investigators must assure that such documentation is adequate and readily available. In addition, some financial reports may require the principal investigator's signature.

If final technical reports are to be completed after the project end date, and funds from the project are available to pay these expenses, a no-cost extension should be obtained from the sponsor to cover the expense of producing and distributing those reports.

If funds are not available from the project, the principal investigator's department or school must identify unrestricted funds to pay final report costs.

9.3 Cost sharing

This chapter deals with the University's policy on cost sharing and the procedure for monitoring project-by-project cost sharing and reporting such cost sharing to sponsoring agencies. The policy was developed for these purposes -

- To provide guidance regarding the circumstances in which cost sharing is permitted by the University, including what kind of services, expenditures, or assets may be cost shared.
- To provide information to the University community regarding the contractual, financial, and administrative implications that result from the commitment to cost share.
- To establish procedures which give the University the ability to provide information to sponsoring agencies which demonstrates that the University has fulfilled any cost sharing commitments it has made as a condition of obtaining external sponsorship.

Mandatory cost sharing is required by the sponsor as a condition of obtaining an award. It must be included or a proposal will receive no consideration by the sponsor. Voluntary cost sharing represents resources offered by the University of Venda when there is no specific sponsor requirement. In either case, when an award is received in which cost sharing (voluntary or mandatory) was proposed, the cost sharing becomes a binding commitment which the University must provide as part of the performance of the sponsored agreement.

9.3.1 Project-by-project cost sharing

Cost sharing represents that portion of the total project costs of a sponsored agreement borne by the University, rather than by the sponsor. Cost sharing of direct expenditures represents a redirection of departmental or school resources from teaching or other departmental and school activities to support sponsored agreements.

9.3.1.1 Where mandatory cost sharing is required, this should be stated when the proposal is considered and clearly stipulated in the contract.

9.3.1.2 Where voluntary cost sharing is required, it is the prerogative of the University at the request of the researcher.

9.3.2 Institutional cost sharing

Institutional cost sharing, which is required by some sponsors is not accounted for at a detailed level. With institutional cost sharing the University commits itself to use some of its own resources for related research.

This commitment is made at the agreed ratio between the sponsor and the University. This approach allows the University greater flexibility by being able to share a greater percentage on some projects and much less on others. In most cases no special accounting or tracking is needed.

9.3.2.1 Where institutional cost sharing is mandatory it shall be determined at the onset of the project.

9.3.2.2 Voluntary institutional cost sharing shall be agreed upon with the head of the department and the dean.

9.3.3 The cost sharing commitment

When a principal investigator proposes and the University agrees to cost share University resources, the University is required to provide the stated resources in the performance of the sponsored agreement.

Implicit in the University's commitment to cost share is the principal investigators agreement to ensure that -

9.3.3.1 Resources are provided for cost-shared direct costs.

9.3.3.2 Verification of the cost sharing commitment is provided at the time the proposal is submitted. There should also be an indication of whether the cost sharing offer is mandatory or voluntary.

9.3.3.3 Records for cost sharing accounts are retained for the same period as the records for related sponsored agreement.

9.3.3.4 What expenditures can be cost shared? To provide the most flexibility and to best support the project, it is highly recommended that the cost sharing be proposed as a lump sum amount. Cost sharing may consist of allowable direct or indirect cost resources.

9.3.4 Direct costs

9.3.4.1 Researchers, students, or staff effort

It may be appropriate to contribute staff, student, or staff effort to the performance of a sponsored agreement. The commitment to provide such support binds the University to contribute to the effort.

9.3.4.2 Infrastructure

Equipment and other facilities may be offered as cost sharing. Proposals which include the acquisition of special-purpose equipment as a direct cost may include an offer of University funds to pay for all or part of the cost of such equipment.

These proposals may be for equipment or instrumentation grants, where the purpose of the grant is to buy equipment and the University is required to share the cost with the sponsor.

On the other hand, it may be that research-oriented grants or contracts where the purchase of equipment required for the research is an allowable expense included in the proposal and award.

Purchase and acquisition must occur during the period of performance. The portion of the purchase price paid by the University must be calculated as cost sharing.

Allowable direct costs other than salaries, fringe benefits, or equipment may be committed by the University as cost sharing on the proposal budget. These are examples of other direct costs that may be cost shared -

- i) travel expenses
- ii) office and laboratory space
- iii) laboratory supplies

9.3.4.3 Administrative and secretarial expenses

Secretarial functions for the externally funded project shall be done by postgraduate students.

Administrative and secretarial expenses can also be calculated as cost sharing. The portion of the expense that is directly utilised and benefits the project can be calculated in support of the award. The amount cost shared may be less than the amount proposed.

- i) Indirect costs
- ii) Facilities and administrative costs

Facilities and administrative costs are real costs of conducting instruction and research. These costs do not disappear simply because a sponsor refuses to pay for them, the University must fund any facilities and administrative costs that have not been reimbursed.

When direct costs are cost shared, the facilities and administrative costs associated with the direct costs are automatically cost shared. Principal investigators may take advantage of the automatic cost sharing of these costs, and include them on the proposal budget.

9.3.5 Source of funds for cost-shared expenditures

Identifying and requesting resources for cost sharing of direct costs (including equipment) is always the responsibility of the principal investigator. Provision of resources for cost sharing is the responsibility of the University. The principal investigator may not utilise funds from another award as the source of cost sharing. They may do so only when specifically allowed by the sponsor.

9.3.6 Reporting cost sharing

When required, the University of Venda is responsible for providing information to sponsoring agencies that demonstrates that the University has fulfilled the cost sharing commitments that it made as a condition of receiving external sponsorship. The office of the Directorate Research and Innovation is responsible for providing cost sharing reports to sponsors when required by the sponsor. To do so, principal investigators must provide the office with the necessary information.

Chapter 10

Publication grants

Publication grants refer to funds available to cover costs covering scholarly work generated from research activities.

10.1 Conditions

10.1.1 Grants for the publication of manuscripts are made available for works published in peer reviewed and Department of Higher Education and Training accredited journals. The grant does not cover work that can be commercialised.

10.1.2 Applications (on the prescribed form) will only be considered under these conditions -

- i) The work must contain the findings of original research and be of topical (relevant) scientific value/ have literary merit (in the case of a non-scientific work).
- ii) The material contained in the work must be mainly original and should not have been readily available to other researchers.
- iii) The material must be presented concisely.
- iv) The author must submit proof that all possible alternative channels through which the work could have been published have been explored.
- v) The manuscript (in printed/typed/digital format) should - in addition - be submitted to at least three publishers.
- vi) Manuscripts can also be published internally.

It must be noted that no disclosure of possible financial assistance by the University may be made pre-emptively to any prospective publisher.

10.2 Application procedure

10.2.1 Books, monographs and conference proceedings

10.2.2.1 Applicants must apply on the prescribed form (R6) and submit the completed form together with –

- i) one copy of the manuscript (in printed/typed/digital format), the editing of which should be of a high standard
- ii) written proof of other possible funding channels which were approached
- iii) the book in which a chapter or monograph or review article appear must have an international standard serial number or international standard book number as stipulated by the Department of Higher Education and Training for allocation of research output units.
- iv) The author must disclose income from royalties earned from materials published with a University grant. The sharing formula is according to the ratio of 40% for the University and 60% for the authors.

10.2.2.2 The form must include the -

- i) an indication of the number of copies to be printed or duplicated
- ii) an indication of the target group(s) for which the publication would be of value
- iii) an indication of the expected sales of the publication
- iv) reasons why the work cannot be published in any other way, eg in the form of (an) article(s), (a) chapter(s) in a book, etc.
- v) an indication of the proposed selling price of the work.

10.2.2 Application procedure for journal article publication

Most journals do not require the authors to pay for the publication of research articles. However, for some publishers/ journals, it is mandatory that the authors pay either the page fees or the reprint charges, or both. To encourage publications, the Research and Publications Committee will fund the researchers to meet the publication charges. The researchers should complete the necessary form for funds for the payment of the publication cost. The application will be approved by the Director of Research and Innovation and reported quarterly to the Research and Publications Committee.

10.2.2.1 To qualify for funds for publication costs -

- i) The journal must be in an accredited journal of the Department of Higher Education and Training) and peer reviewed in international standard serial number or international standard book number lists.
- ii) The author's name and the University of Venda's name must appear in the publication.
- iii) All the necessary documents like an acceptance letter and invoice for publication charges must accompany the application.
- iv) If there are more than one author for a research publication, funds will be provided in the respective ratio agreed upon by the authors. This applies for collaborative publications, whether nationally or internationally.
- v) Research articles accepted for publication or submitted for publication prior to the assumption of duty at the University of Venda will not qualify for funds.
- vi) For all practical purposes, the publication costs should not exceed the subsidy that the article may attract from the Department of Higher Education and Training.
- vii) All the researchers must acquaint themselves with the list of accredited journals in their respective fields of specialisation.

10.2.3 Rights of the University

Where a grant for the publication of a manuscript is approved, the University reserves the right to -

- i) determine the price of the publication
- ii) decide on a publisher (if other than the University of Venda Press)

10.2.4 Limitations on publication grants

These limitations apply to books, monographs and conference proceedings. Due to financial constraints, grant tariff limitations will be determined from time to time by the Deputy Vice Chancellor: Academic in consultation with the Director of Research and Innovation.

10.2.5 Depositing of copies

10.2.5.1 Two copies of a book, monograph or proceedings must be forwarded to library services.

10.2.5.2 These will not be considered under this grant -

- i) work which has already been published
- ii) honours, masters or PhD dissertations

Chapter 11

Conference attendance

The purposes for attending national and international conferences by University staff are four-fold -

- Conferences provide an avenue for exposing the research capacity of the University to international or local colleagues and peers, thereby reinforcing the image of the University as a centre of excellence in research.
- By attending conferences, staff members are afforded the opportunity to demonstrate their intellectual capabilities and scholarship while at the same time benefiting from international or local peer review to improve the quality of papers for ultimate publication in refereed journals.
- Conferences are fertile ground for establishing linkages and networks for collaborative research among academics from different countries.
- Conferences contribute to the debate on issues of international significance.

The Research and Publications Committee encourages applicants, especially professors, to seek external funding for attendance of international conferences.

11.1 Eligibility to apply for conference grants

- All full-time academic staff, members of management and administrative staff are eligible to apply for conference grants.
- Postgraduate masters and doctoral students who have submitted their dissertations or theses for examination are eligible to apply. They will be funded once only during their studies and the paper presented should be published in an accredited journal while affiliated to the University.
- Consideration will only be given to staff whose papers have been peer reviewed and accepted for presentation, whether oral or poster.
- Preference will be given to staff that has secured external funding and may need supplementary funding from the University.
- A member of staff whose resignation has been accepted by the University or whose contract expires within three months, is not eligible to apply for an external travel grant.
- To avoid undue disruption in the running of academic programmes, the conference period may not exceed ten working days for conferences taking place during the teaching period of the academic term. Arrangements to make up the lost lecture days and hours must be approved by heads of departments or deans and submitted together with applications to attend international conferences.
- Heads of departments evaluate the effect on academic programme by staff members attending conferences, whereas the school's Research and Publications Committee evaluates the scientific merits of the conference.

11.2 Limitations

- Attendance without presenting a peer reviewed paper
- Non-peer reviewed, key-note addresses, conceptual papers and chairing of sessions without presenting a scientific paper shall not be considered
- Only first authors or one author will be funded for the same paper
- A member of staff will be considered for more than one international/national funding per year only if there is proof of publication of the papers presented in previous conferences
- A staff member may only be funded for a maximum of two international and three national conferences per year.
- Researchers who publish more than 1,25 points every year may be allowed to attend an additional national or international conference.

11.3 Criteria for approving conference attendance

The decision of the Research and Publications Committee to approve grants for funds to attend international conferences shall be based on these criteria -

- Proof of acceptance of abstract.
- Proof that the paper has been reviewed.
- Senior staff should indicate a record of publications for the past five years. For an applicant who is new at the University or is without an established publication record, funding will be provided based on the merits of the paper.
- An applicant who was funded in the previous year will need to submit proof of publications funded annually. Subsequent funding will be made available if there is an indication that the previously funded conference paper has been published or has been accepted for publication in a South African post secondary education recognised publication.
- An application should not exceed the applicable tariffs for a national and international conference.
- A staff member may be funded for more than one conference provided the criteria for publications have been met.
- More than one member from the same Department may be granted funds by the Research and Publications Committee to attend the same international conference if the Committee is convinced that the applicants satisfy the criteria for presenting peer reviewed papers.

11.4 Implementation

11.4.1 Application forms, supporting documents and submission

The applicant shall attach to the application form a copy of the letter of invitation and documentation of the conference

- Applicants wishing to attend a conference are obliged to attach evidence of proof of paper acceptance.
- All application forms from the school's Research and Publications Committee shall reach the secretary of the University's Research and Publications Committee at least a month before the date of the conference.
- An applicant who has previously been funded by the Research and Publications Committee to attend an international conference shall submit evidence that his/her paper has been published before the Committee considers his/her subsequent application.
- Should the applicant fail to attend the conference for whatever reason, he /she will be liable to reimburse all monies already allocated. The Research and Publications Committee reserves the right to investigate when assessing the reason(s) for failure to attend the conference. If the applicant is unable to complete arrangements for the conference as well as attend for reasons of illness, special consideration will be given on the basis of a well substantiated case.
- Application for an international conference should reach the research office 30 days prior to the conference date and for national conference at least 14 days.
- Funds will normally be released after the Finance Department has received a letter of award from the Director of Research and Innovation which should be copied to the awardee.
- The conference grant covers registration fees, travel-air ticket, travel insurance, accommodation and ground transportation for national conference and subsistence allowance. Subsistence allowance should cover all other expenses such as dinners, ice breaking functions, excursions, educational tours, pre-conference activities, taxi fares and accompanying persons.
- Tickets, including VISA application costs and accommodation shall be procured using the University's procurement process. Each applicant for a travel grant abroad has to submit written quotations for three different airlines provided by a travel agent or airline indicating the cost of apex and excursion tickets. If a ticket is not purchased through the official University agent, the applicant shall be required to submit three different fare categories for the same airline he or she has chosen for travel. In the event the applicant does not choose the lowest price, he or she has to indicate the reasons in the application.

Where the University of Venda's travel agent is not used, the ticket must be purchased first and claimed for after the trip.

- Subsistence for international conferences can be claimed in advance while the subsistence for local travel can only be claimed after the conference
- Local ground transportation should be funded from departmental funds.
- All conference returnees must collect a "Conference/seminar/workshop attendance" form from the secretary of the Director of Research and Innovation, and after completion, it must be submitted together with a copy of the conference paper, to the secretary of the Research and publications Committee, not later than one month after returning from such a conference.
- The Director of Research and Innovation, in consultation with the Research and Publications committee's chair may administratively approve conference attendance and report to the Committee for ratification.

11.4.2 Items not funded by the Research and Publications Committee

- Faxes and telephone calls should be met from incidental budgets
- Costs for expenses unrelated to conference activities
- Costs for excursions and tours

11.4.3 Reporting

The applicant is expected to submit a report within 14 days from returning from a conference and proof of paper publication within a year of attending the conference. If the applicant applies for another conference in a short time, proof of publication acceptance is still required. The conference report will serve at the Research and Publications Committee.

Chapter 12

Intellectual property

Inventions, patents, licensing, copyright and tangible research property are all aspects of intellectual property. For a more detailed discussion of intellectual property, consult the University of Venda's policy on intellectual property. Both policy documents of the University of Venda should be read in conjunction with the Intellectual Property Rights from Publicly Financed Research and Development Act (Act No 51, 2008).

This Act was promulgated to provide for a more effective utilisation of intellectual property emanating from publicly financed research and development, including the establishment of the National Intellectual Property Management Office and the Intellectual Property Fund. It also provides for the establishment of offices of technology transfer at institutions and matters connected therewith.

12.1 Definition of intellectual property

Intellectual property is defined as any trademarkable, copyrightable, registerable, or patentable work, such as books, text, articles, designs, monographs, glossaries, bibliographies, study guides, laboratory manuals, syllabi, tests and work papers, lectures, musical compositions, dramatic compositions, unpublished scripts, films, filmstrips, charts, transparencies, visual aids of any type, videotapes, audiotapes, cassettes, computer hardware, computer software, computer programmes, live video broadcasts, live audio broadcasts, programmed instruction materials, drawings, paintings, sculptures, photographs and other works of art.

Invention informs trademarkable, copyrightable, registerable or patentable material. An invention can be made solely or jointly with others as co-inventors. To be recognised legally, a co-inventor must have conceived of an essential element of an invention or contributed substantially to the general concept.

12.2 Identification of intellectual property

It is a function of all academic managers to identify intellectual property emanating within the University of Venda with a view to eventually exploiting it. The University undertakes to render these services in this regard -

- a technological investigation to establish whether the invention is original/unique
- an estimate of its commercial potential
- to investigate the possibilities for exploitation
- to undertake the preliminary and eventually the final registration of the patent
- a market analysis, business plan, methods of exploitation (be it through licensing, sale of rights, establishing of partnerships), sources of financing, the research for partners, buyers, protecting and monitoring and continuous support of the patent after transfer.

Academic inventors and explorers who participate in the process of exploitation will be consulted continuously. Compulsory identification and disclosure must be made to the Office of Technology Transfer through the Research and Innovation Directorate as soon as a new and potentially useful product or process is conceptualised or when an unusual, unexpected or non-obvious research result, which is commercially viable, is obtained.

12.3 Invention disclosure

An invention disclosure is a document which provides information about inventor(s), what was invented, circumstances leading to the invention, and facts concerning subsequent activities. It provides the basis for a determination of patentability and the technical information for drafting a patent application. An invention disclosure is also used to report technology that may not be patented but is protected by other means such as copyrights.

Inventors must prepare and submit on a timely basis an invention disclosure for each potentially patentable invention conceived or first actually reduced to practice in whole or in part in the course of their university responsibilities or with more than incidental use of the university's resources.

An invention disclosure describing the invention and including other related facts should be prepared by the inventor and forwarded to the Office of Technology Transfer through the Director of Research and Innovation.

The inventor, or inventors acting collectively when there are more than one, is free to place inventions in the public domain if that would be in the best interest of technology transfer and if doing so is not in violation of the terms of any agreements that supported or governed the work.

The University will not assert intellectual property rights when inventors have placed their inventions in the public domain as stipulated in the Intellectual Property Rights from Publicly Financed Research and Development Act (Act No 51, 2008).

If the University cannot, or decides not to, proceed in a timely manner to patent and/or license an invention, it may reassign ownership to the inventor or inventors upon request to the extent possible under the terms of any agreements that supported or related to the work. In the case of an invention resulting from a government sponsored project, where the University cannot or chooses not to retain ownership, rights would then typically be retained by the government.

In such cases, the inventor may request and be granted rights by the sponsoring agency to an invention made under such an award, provided that a well-conceived and detailed plan for commercial development accompanies the request.

12.4 Patenting and registration of inventions

The University of Venda Council has, on recommendation from the Office of Technology Transfer, the final say over the decision to patent or not to patent a particular invention. The University can, at its own discretion, decide to transfer ownership of the intellectual property back to the inventor or explorer, for utilisation and application as he/she deems fit, in cases where the University decides not to proceed with the patenting of the invention.

No employee or student may on his/her own initiative or via a third party or patent attorney, proceed with the preliminary or final registration of any invention discovered in the normal course of his/her services or studies.

Contract workers are explicitly prohibited from removing or taking with them, on expiration or their contract, any material, whether written, stored on computer disk, or in any other format which can be reduced to a recognisable form, unless such use is for private purposes only and has been authorised by the University of Venda.

12.5 Earnings from intellectual property

A separate account will be kept for each intellectual product marketed by the Office of Technology Transfer. Earnings derived from the commercialisation of intellectual property (excluding multi-media products and educational material in electronic format) shall be distributed as determined in the University of Venda's policy on intellectual property.

The personal share of earnings awarded to an inventor for intellectual property continues to be allocated to him/her when he/she leaves the employ of the University or completes his/her studies. In the case of death, the earnings will continue to accrue to the estate of the relevant individual.

12.6 Patents

All researchers, student employees, graduate students and postdoctoral fellows engaged in research must sign the University of Venda's patent and copyright agreement. In addition, non-employees who participate or intend to participate in research projects at the University must also sign a patent and copyright agreement.

Not all inventions are patentable. Questions relating to patentability are often complex and usually require professional assistance.

An important criteria of patentability is that an invention must not be obvious to a worker with ordinary skill in that particular field. It must also be novel, in the sense that it has not been publicly known or used by others in this country or patented or described in a printed publication anywhere.

An invention, although unpatentable for various reasons, may still be valuable and important - for example, trade secrets and technical "know-how" encompassing proprietary information of a valuable and confidential nature.

Agencies sponsoring research at the University of Venda may require reports of all inventions, whether or not they are considered patentable.

12.6.1 Definition of patents

A patent is a grant issued by the government giving an inventor the right to exclude all others from making, using, or selling the invention within South Africa, its territories and possessions for 20 years.

When a patent application is filed, the Patent Office reviews it to ascertain if the invention is new, useful, and non-obvious and, if appropriate, grants a patent. Not all patents are necessarily valuable or impervious to challenge.

Patents refer to works that are new and original inventions, as well as manufacturing and process discoveries (or new and original improvements thereof) and are defined by and subject to South African law, practice and standards.

12.6.2 Ownership of patents

The University of Venda has contractual claim to the ownership of the patent if the work was produced in the normal course and scope of the employee's services.

These rights, however, do not automatically reside with the University as is the case with copyright, but the University can rightfully stipulate in the employment contract that the ownership of patents be transferred to the employer, as long as it was created in the "course and scope" of employment.

Section 59(2) of the Patents Act, (Act 57 of 1978) however, protects the employee's rights in certain cases and reads -

"(2) Any condition in a contract of employment which –

- (a) requires an employee to assign to his employer and invention made by him otherwise than within the course and scope of his employment, or
- (b) restricts the right of an employee in an invention made by him more than one year after termination of his employment, shall be null and void".

The right of an employee to claim protection under the Act therefore depends upon whether the invention was made in the normal course and scope of his/her duties, in which event the University of Venda has a right to claim ownership thereof.

Students are to be referred to the rules of the institution, acceptance of which they sign for upon registration, that regulate the relationship between themselves and the institution in this regard.

A rule should be established in the code of conduct for students which states that the University would own all work that was done or contributed to by a registered student in the course of his/her studies or research, should such work lead to the registration of a patent.

By accepting the rules, students waive any right they may have to claim sole ownership of such patents. The University of Venda and the students will jointly own the patent on a fifty-fifty basis, unless the institution and the students agreed otherwise. See the University of Venda's policy on inventions, patents and licensing.

12.6.3 Licensing of patents

The University encourages the development by industry for public use and benefit of inventions and technology resulting from University research.

It recognises that protection of proprietary rights in the form of a patent or copyright are often necessary - particularly with inventions derived from basic research - to encourage a company to risk the investment of its personnel and financial resources to develop the invention.

In some cases an exclusive license may be necessary to provide an incentive for a company to undertake commercial development and production. Nonexclusive licenses allow several companies to exploit an invention.

The research and innovation, teaching and learning and community engagement mandate of the University always takes precedence over patent considerations. While the University recognises the benefits of patent development, it is most important that the direction of the University's research not be established or unduly influenced by patent considerations or personal financial interests.

The Research and Innovation Office and Office of Technology Transfer handle the evaluation, marketing, negotiations and licensing of University-owned inventions with commercial potential. Royalty distribution is consists of -

i) Cash royalties

A deduction of 15% to cover the administrative overhead of the Research and Innovation Directorate is taken from gross royalty income, followed by a deduction for any directly assignable expenses, typically patent filing fees.

After deductions, royalty income is divided one third to the inventor, one third to the inventor's department (as designated by the inventor), and one third to the inventor's school.

ii) Equity

The University of Venda may at times accept equity as part of the licence issue fee. Net equity, ie, the value of the equity after the deduction of 15% to cover administrative costs, will be shared between the inventor(s) and the University, with the University's share going to the Directorate Research and Innovation. All other cash payments, including royalties based on sales, will be distributed in accordance with the provisions as explained in 1.

12.6.4 Disclosure of patents

- All potentially patentable inventions conceived or first reduced to practice in whole or in part by researchers or staff, including student employees, of the University in the course of their University responsibilities or with more than incidental use of University resources, shall be disclosed on a timely basis to the University. Title to such inventions shall be assigned to the University, regardless of the source of funding, if any.
- The University shall share royalties from inventions assigned to the University with the inventor.
- The inventors, acting collectively where there is more than one, are free to place their inventions in the public domain if they believe that would be in the best interest of technology transfer and if doing so is not in violation of the terms of any agreements that supported or related to the work.
- If the University cannot, or decides not to, proceed in a timely manner to patent and/or license an invention, it may reassign ownership to the inventors upon request to the extent possible under the terms of any agreements that supported or related to the work.
- Waivers of the provisions of this policy may be granted by the Vice Chancellor or the Vice Chancellor's designate on a case-by-case basis, giving consideration, among others, to the University's obligations to sponsors, whether the waiver would be in the best interest of technology transfer, whether the waiver would be in the best interest of the University or whether the waiver would result in a conflict of interest.

In addition, the Vice Chancellor may expand upon these provisions and shall adopt rules, based on the same factors as well as appropriateness to the University's relationship with inventors, for the ownership of potentially patentable inventions created or discovered with more than incidental use of University resources by students when not working as employees of the University, by visiting scholars and by others not in the University's employ.

12.6.4 Additional provisions

- In addition to researchers and staff, including student employees, the provisions of the University's patent policy will extend to -
 - all undergraduate and postgraduate students as well as postdoctoral fellows
 - non-employees who participate or intend to participate in research projects at the University of Venda, including visiting students, industrial personnel and fellows
- The patent policy will apply as stated for postgraduate students and postdoctoral fellows. In the case of non-employees, all potentially patentable inventions conceived or first reduced to practice in whole or in part in the course of their participation in research projects at the University of Venda, or with more than incidental use of University resources, shall be disclosed on a timely basis to the University and title shall be assigned to the University, unless a waiver has been approved.
- The Vice Chancellor's authority to grant waivers of provisions of this policy is delegated to the Office of the Deputy Vice Chancellor: Academic.

12.7 Copyright

This section describes associated administrative procedures for copyrightable materials. Its objectives are to -

- enable the University to foster the free and creative expression and exchange of ideas and comment
- preserve traditional university practices and privileges with respect to the publication of scholarly works
- establish principles and procedures for sharing income derived from copyrightable material produced at the University
- protect the University's assets and imprimatur.

12.7.1 Definition of copyright

Copyright is the ownership and control of the intellectual property in original works of authorship which are subject to copyright law. It is the policy of the University that all rights in copyright shall remain with the creator unless the work is a work-for-hire (and copyright vests in the University under copyright law), is supported by a direct allocation of funds through the University for the pursuit of a specific project, is commissioned by the University, makes significant use of University resources or personnel, or is otherwise subject to contractual obligations.

12.7.1.1 Copyrightable works

Copyright refers to works that are original works of authorship which have been fixed in any tangible medium of expression from which they can be perceived, reproduced, or otherwise communicated, either directly or with the aid of a machine or device like computer programmes, literary works or sound recordings, as such works are defined by and subject to South African law, practice and standards. These works include -

- i) Literary works such as books, journal articles, poems, manuals, memoranda, tests, computer programmes, instructional material, databases, bibliographies.
- ii) Musical works including any accompanying words.
- iii) Dramatic works, including any accompanying music.
- iv) Pantomimes and choreographic works (if fixed, as in notation or videotape).
- v) Pictorial, graphic and sculptural works, including photographs, diagrams, sketches and integrated circuit masks.
- vi) Motion pictures and other audiovisual works such as videotapes.
- vii) Sound recordings.

12.7.2 Books, articles and similar works, including unpatentable software

In accordance with academic tradition, except to the extent set forth in this policy, the University of Venda does not claim ownership to pedagogical, scholarly, or artistic works, regardless of their form of expression. Such works include those of students created in the course of their education, such as dissertations, papers and articles.

The University claims no ownership of popular nonfiction, novels, textbooks, poems, musical compositions, unpatentable software or other works of artistic imagination which are not institutional works and did not make significant use of University resources or the services of University academic support employees working within the scope of their employment.

Copyright protection does not extend to any idea, process, concept, discovery or the like, but only to the work in which it may be embodied, illustrated, or explained. For example, a written description of a manufacturing process is copyrightable, but the copyright only prevents unauthorised copying of the description, the process described could be freely copied unless it enjoys some other protection, such as patent.

Subject to various exceptions and limitations provided for in the copyright law, the copyright owner has the exclusive right to reproduce the work, prepare derivative works, distribute copies by sale or otherwise, and display or perform the work publicly. Ownership of copyright is distinct from the ownership of any material object in which the work may be embodied. For example, if one purchases a videotape, one does not necessarily obtain the right to make a public showing for profit.

12.7.3 Institutional works

The University shall retain ownership of works created as institutional works. Institutional works include works that are supported by a specific allocation of University funds or that are created at the direction of the University for a specific University purpose.

Institutional works also include works whose authorship cannot be attributed to one or a discrete number of authors but rather result from simultaneous or sequential contributions over time by multiple researchers and students. For example, software tools developed and improved over time by multiple staff and students where authorship is not appropriately attributed to a single or defined group of authors would constitute an institutional work. The mere fact that multiple individuals have contributed to the creation of a work shall not cause the work to constitute an institutional work.

12.7.4 Works of non-employees

Works of non-employees such as consultants or independent contractors are generally owned by the creator and not by the University, unless there is a written agreement to the contrary. As it is the University of Venda's policy that the University shall retain ownership of such works created as institutional rather than personal efforts, as described in section 1.C, the University will generally require a written agreement from non-employees that ownership of such works will be assigned to the University.

Examples of works which the University may retain non-employees to prepare are -

- i) Reports by consultants or subcontractors
- ii) Computer software
- iii) Architectural or engineering drawings
- iv) Illustrations or designs
- v) Artistic works

12.7.5 Videotaping and related classroom technology

Courses taught and courseware developed for teaching at the University of Venda belong to the University. Any courses which are videotaped or recorded using any other media are the property of the University and may not be further distributed without permission from the dean or the relevant University officer. Prior to videotaping, permission should be obtained from anyone who will appear in the final programme.

12.7.6 Contractual obligations of the University

This copyright policy shall not be interpreted to limit the University's ability to meet its obligations for deliverables under any contract, grant, or other arrangement with third parties, including sponsored research agreements, license agreements and the like. Copyrightable works that are subject to sponsored research agreements or other contractual obligations of the University shall be owned by the University, so that it may satisfy its contractual obligations.

12.7.7 Use of University resources

University of Venda University resources are to be used solely for University purposes and not for personal gain or personal commercial advantage, nor for any other non-university purposes. Therefore, if the creator of a copyrightable work makes significant use of the services of University academic support employees or its resources to create the work, he or she shall disclose the work to the Research and Innovation Directorate and assign title to the University.

Examples of non-significant use include ordinary use of desktop computers, University libraries and limited secretarial or administrative resources. Questions about what constitutes significant use should be directed to the appropriate school dean or the Research and Innovation Directorate.

12.7.8 Reconveyance of copyright to creator

When copyright is assigned to the University of Venda because of the provisions of this policy, the creator of the copyrighted material may make a request to the Senate that ownership be reconveyed to the creator. Such a request can, at the discretion of Senate, be granted if it does not (i) violate any legal obligations of or to the University, (ii) limit appropriate University uses of the materials, (iii) create a real or potential conflict of interest for the creator, or (iv) otherwise conflict with University goals or principles.

12.7.9 Works for hire

Work for hire refers to a work prepared by an employee within the scope of his or her employment. This definition includes works prepared by employees in satisfaction of sponsored agreements between the University and outside agencies. Certain commissioned works also are works for hire if the parties so agree in writing.

The employer, ie, the University by law is the “author,” and hence the owner, of works for hire for copyright purposes. Works for hire subject to this principle include works that are developed, in whole or in part, by University employees. For example, under section 1.H of this policy, significant use of staff or student employee programmers or University film production personnel will typically result in University ownership of the copyright in the resulting work.

Where a work is jointly developed by University staff or staff or student employees and a non-university third party, the copyright in the resulting work typically will be jointly owned by the University and the third party. In such instances, both the University and the other party would have nonexclusive rights to exploit the work, subject to the duty to account to each other.

Whether the University claims ownership of a work will be determined in accordance with the provisions of this policy, and not solely based upon whether the work constitutes a work-for-hire under the copyright law.

For example, copyright in pedagogical, scholarly or artistic works to which the University disclaims ownership under this policy shall be held by the creators, regardless of whether the work constitutes a work-for-hire. University ownership in a work for hire may be relinquished only by an official of the University authorised to do so by the University Council.

12.7.10 Administration of policy

Questions of ownership on matters pertaining to materials covered by this policy shall be resolved by the Senate upon legal advice.

12.8 Licensing and income sharing

12.8.1 Licensing

The office of the Director of Research Innovation seeks the most effective means of technology transfer for public use and benefit and, toward that end, handles the evaluation, marketing, negotiations and licensing of University-owned inventions or copyrightable materials with commercial potential, together with the Office of Technology Transfer.

Computer databases, software and firmware, and other copyrightable works owned by the University, are licensed through the office of the Research and Innovation Director and the office of Technology Transfer. Exceptions to this procedure must be approved in advance by the office of the Research and Innovation Director.

12.8.2 Royalty distribution

Royalties will normally be allocated in accordance with the University’s policy on inventions, patents and licensing. If copyright protection alone is claimed, royalties will normally be allocated in a similar manner, with the “inventor’s share” allocated among individuals identified by the principal investigator or head of department if not under a sponsored agreement, based on their relative contributions to the work.

Where royalty distribution to individuals would be impracticable or inequitable, for example, when the copyrightable material has been developed as a laboratory project, or where individual royalty distribution could distort academic priorities, the “inventor’s share” may be allocated to a research or educational account in the laboratory where the copyrightable material was developed.

Such determination will be made on a case-by-case basis by the Research and Innovation Director after consultation with the principal investigator or head of the department, and is subject to the approval of the Research and Publications Committee.

Royalty sharing for copyrightable material shall range from 15 to 40% for the University, with the balance shared among the other stakeholders.

12.8.3 Assignments of copyright

No assignment, license or other agreement may be entered into or will be considered valid with respect to copyrighted works owned by the University, except by a structure specifically authorised to do so.

Questions regarding licensing and royalty sharing should be addressed to the Research and Innovation Director.

12.9 Use of the University's name in copyright notices

This notice should be placed on University-owned materials to protect the copyright -

Copyright © [year] University of Venda. All rights reserved.

No other institutional or departmental name is to be used in the copyright notice, although the name and address of the department to which readers can direct inquiries may be listed below the copyright notice. The date in the notice should be the year in which the work is first published, ie, distributed to the public or any sizable audience.

Additionally, works may be registered with the South African Copyright Office, using its official forms.

12.10 Copyright agreements

The Directorate Human Resource is responsible for getting a patent and copyright agreement signed, normally at the time of the individual's initial association with the University of Venda.

12.11 Copying of works owned by others

Members of the University community are cautioned to observe the rights of other copyright owners. Contact the Director of Library Services for University policies pertaining to copying for classroom use. Policies regarding copying for library purposes may also be obtained from the Director of Library Services.

12.12 Sponsored agreements

Contracts and grants frequently contain complex provisions relating to copyright, rights in data, royalties, publication and various categories of material including proprietary data, computer software and licenses. Questions regarding the specific terms and conditions of individual contracts and grants, or regarding rules, regulations and statutes applicable to the various government agencies, should be addressed to the University's Director of Research and Innovation.

12.13 General advice and assistance

The office of the Director of Research and Innovation and the legal office are available to advise on questions arising under this policy and to assist with the negotiation and interpretation of the provisions of proposed formal agreements with third parties.

12.14 Trade and service marks

A trade mark denotes specific marks or signs that distinguish an institution's end products and services from those of other institutions. Such works are designs, names, symbols or devices, or combinations thereof, adopted and used by an institution to identify its goods and distinguish them from those made, manufactured or sold by others, as such works are defined by and subject to South African and International Law, practice and standards.

University of Venda trade marks include the logo and the name in its various forms as per corporate image guidelines. These trade marks are used on, for example, University of Venda stationary, website, staff and student identification documents and electronic materials.

Trade and service marks are distinctive words or graphic symbols identifying the sources, product, producer, or distributor of goods or services. Trade or service marks relating to goods or services distributed by the University shall be owned by the University. Examples include names and symbols used in conjunction with computer programmes or University activities and events. Consult the legal office for more information about the registration, protection and use of marks.

12.14.1 Ownership of trade marks and models

The University of Venda is the owner of any mark that carries its name, logo, abbreviation or similar indication that it is associated with the University, including the name of the institution and its logo.

The use thereof by employees or students in the course of their activities or studies must comply with the prescribed rules and regulations, for example, in respect of letterheads. The use of it for private purposes or gain by employees, students or members of the public is not permitted.

Exclusions – the University of Venda will not lay any claim to income that staff derives from author's fees for the publishing, printing or development of academic/aesthetic works such as textbooks or paintings.

12.14.2 Proprietary information

Proprietary information arising out of University work like actual and proposed terms of research agreements, financial arrangements, or confidential business information, shall be owned by the University.

“Trade secret” is a legal term referring to any information, whether or not copyrightable or patentable, which is not generally known or accessible, and which gives competitive advantage to its owner. Trade secrets are proprietary information.

All research involving proprietary information owned by others is subject to the University's policy guidelines on openness in research.

12.15 Patent and copyright agreement

All researcher, staff, student employees, postgraduate students and postdoctoral fellows, as well as non-employees who participate or intend to participate in teaching and/or research or scholarship projects at the University of Venda are bound by this policy.

They are also required to sign the University of Venda's patent and copyright agreement. Except as described in section 1.B, this agreement assigns rights to copyrightable works resulting from University projects to the University of Venda. This policy applies, and those subject to this policy are deemed to assign their rights to copyrightable works, whether or not the University of Venda's patent and copyright agreement is signed and is on file.

12.16 Tangible research property

Tangible research property is owned and/or controlled by the University of Venda. The procedures are subject to the University's contractual obligations and are to be interpreted and applied consistent with and complementary to other policies affecting the administration of tangible properties.

The University encourages the prompt and open exchange, for others' scholarly use, of software, firmware and biological material resulting from research, in line with the Intellectual Property Rights from Publicly Financed Research and Development Act (Act No 51, 2008). This section should be read in conjunction with the University of Venda's policy on tangible research property.

12.16.1 Definition of tangible research property

Tangible research property is defined for purposes of this policy as tangible or corporeal items produced in the course of research projects supported by the University of Venda or by external sponsors.

Tangible research property includes items like biological materials, engineering drawings, computer software, integrated circuit chips, computer databases, prototype devices, circuit diagrams, and equipment.

Tangible research property is separate and distinct from intangible or intellectual property such as inventions, patents, copyright and trade marks which are subject to other policies and guidelines (see the University of Venda's policy on inventions, patents and licensing and copyright policy).

Individual items of tangible research property may be associated with one or more intangible properties such as copyright or patents.

12.16.2 Ownership of tangible research property

Tangible research property is owned by the University of Venda or is subject to the ownership and other provisions of contracts, grants and other agreements.

Examples of co-ownerships -

- Items such as microorganisms produced under a government grant or contract usually belong to the University of Venda as expendable property, subject to the terms and conditions of the grant or contract, grants and other agreements.
- Equipment which is fabricated at the University of Venda for subsequent off-campus use by a research sponsor is usually owned exclusively by the sponsor.

12.16.3 Control responsibilities

Open exchange of tangible research property and associated research data by researchers with colleagues outside the investigator's immediate environment is allowed.

It is the responsibility of the principal investigator or head of the department, if the tangible research property is not developed as part of a sponsored research project, to control the development, storage, use, and distribution of tangible research property made in the course of research activity, subject to provisions of applicable grants or contracts and University policy.

Such control includes determining if and when distribution of the tangible research property is to be made beyond the immediate environment for the use of others.

12.16.4 Commercial considerations

Because tangible research property may have potential commercial value as well as scientific value, the investigator may wish to make it broadly available for others' scientific use by means which do not diminish its value or inhibit its commercial development or public use.

Although valid non-commercial reasons may exist for the temporary delay of tangible research property distribution outside the laboratory for others' scientific use, for example, safety factors or the need to fully characterise the tangible research property prior to distribution, scientific exchanges should not be inhibited due to potential commercial considerations.

12.16.5 Income from tangible research property

12.16.5.1 Recoverable costs

Tangible research property may not be sold for profit, although licensing agreements which include provision for royalty income may be negotiated for commercial use of the intangible property rights associated with the property.

When distributing tangible research property to research colleagues outside the immediate environment, costs of the raw materials and handling may be recovered from the recipient, with the income returned to the account which funded those costs.

12.16.5.2 Contractual obligations

If any of the initial costs were funded from sponsored agreements, the office of the Director of Research and Innovation should be asked to advise on the contractual obligations regarding distribution of the tangible research property and disposition of the recovered costs. If any costs are charged for tangible research property distribution, adequate documentation must be maintained for audit purposes.

12.16.5.3 Tangible research property implementation procedures

The procedures for identification and distribution of tangible research property are designed to aid the traditional open distribution and exchange of the property for research purposes, preserve the potential commercial value of the property, assist the further development of such property for public use, and protect the University and its employees from liability claims arising from the use of University of Venda tangible research property by others.

12.16.5.4 Identification system

Each item of tangible research property should have an unambiguous identification code and name sufficient to distinguish it from other similar items developed at the University of Venda or elsewhere.

The Directorate Research and Innovation should be consulted for assistance in developing appropriate identification systems.

12.16.5.5 Ownership marks

Where applicable, for example, with computer software, each item should also carry the name of the tangible research property owner and such other marks and legends as may be required to meet the University of Venda's contractual obligations and administrative needs, including notice of copyright, trade mark and government rights.

Information regarding identification, marks, and legends required under research contracts and grants can be obtained from the Director of Research and Innovation.

12.16.6 Distribution agreement of tangible research property for commercial purposes

If tangible research property developed by the University of Venda as a result of research activities is to be distributed to outside users for commercial purposes, the distribution agreement must contain provisions negotiated by the Directorate Research and Innovation, covering the terms under which the property may be used, limits on the University's liability for the property or products derived there from, and disposition of any royalty income to the University from the licensing of intangible property rights associated with the use of the tangible property.

12.16.7 Income distribution

Distribution of any tangible research property related royalty income other than patent royalties will be similar to the patent royalty income distribution policy (see inventions, patents and licensing) except that the "inventor's share" will normally be distributed to a research account in the laboratory which produced the tangible research property, subject to any contractual obligations regarding distribution of income. Questions regarding distribution of any royalty income to individuals should be referred to the Directorate of Research and Innovation. Any distribution to individuals is subject to prior approval of the Research and Publications Committee chairperson.

If the tangible research property results from sponsored research, the Directorate of Research and Innovation should be consulted regarding contractual obligations and regulations affecting ownership, notices, acknowledgments, disposition of various rights, and restrictions on the distribution and use of the property and any associated income.

Chapter 13

Research ethical standard policy

Policy on research ethics for research on human beings, animals, environment and culture ensures that the rights and dignity of subjects involved in University research are protected. This policy aims to promote awareness of ethical principles and issues in the conduct of research activities thereby clarifying for researchers their ethical obligations. The core values of the University are based on commitment to the principles and values enshrined in the constitution of South Africa. The University is committed to upholding the highest ethical standards in a research community that is committed to the principles of quality and excellence, accountability, transparency, integrity, respect, diversity and social responsibility, community engagement and Ubuntu.

This policy prescribes the ethical framework for the University community within which all research should be conducted, while being mindful of the goal of developing an enabling environment for all learners and scholars in the pursuit of their studies in accordance with the principles of academic freedom

The policy is designed to support ethical standards at the University of Venda and provide guidelines for seeking approval of the University Research Ethics Committee for research projects. The policy does not replace existing codes of ethics of professional bodies and/or national legislation.

13.1 Scope

The policy on ethics with respect to the use of human, animal, environment, community subjects, shall apply to all University research and class projects. In addition, policy applies to research involving the use of University facilities by outside persons/agencies operating under an agreement with the University.

13.2 Definitions

- i. University research project(s)
All research projects carried out by students and staff of the University of Venda or by outside agencies but using University of Venda's facilities.
- ii. Class project(s)
A classroom project or research project assigned by the academic as part of the requirements for a qualification.
- iii. Principal investigator and research assistant
A principal investigator is a staff member or any other researcher appointed by the University or a person who leads a team of researchers carrying out a research project. He/she could be supervising postgraduate students. This extends to a lecturer supervising a class project/practical.
- iv. Research assistant
Students or other persons who are authorised by the principal investigator to carry out a research project.
- v. Protocol
The description of the project to be submitted for clearance by the University Research Ethics Committee.

13.3 Human subjects

Research involving human beings as subjects is important for the advancement of knowledge in the sphere of human welfare and University research has made a substantial contribution to the welfare of society. The protection of the rights and dignity of all subjects by a policy statement of ethical standard and procedures is seen as an important aspect of research procedures.

Research and associated class projects must be conducted with extreme care with regard to the rights and welfare of the individuals who volunteer as subjects. The institution where human research is conducted has direct responsibility to the subjects of that research and this applies to the University of Venda.

The rights and welfare of all who participate as subjects in University research activities are of primary importance to the University and their rights must be protected by conscientious scrutiny of each University research project and class projects to identify all foreseeable risks. All subjects should also be afforded the opportunity to protect themselves and should participate only by express consent, freely given after having received adequate information about the project to evaluate risks that may be encountered as well as the legal limitations to anonymity and confidentiality. Subjects must be able to rely on the researcher to respect their privacy, to maintain anonymous status and to keep confidential all data collected pursuant to participation in the project with legal limitations.

13.3.1 The University policy on research ethics shall be binding upon all researchers and lecturers and the research projects of concern.

13.3.2 The University research projects referred to in this document are those involving the use of human subjects and these must be approved by the appropriate committees before commencement of the project where they involve -

- (a) Personal or physical observation of or contact with a human subject or community.
- (b) Eliciting personal information from or about a human subject, including use of personal records of an institution.
- (c) Experimental therapeutic or non-therapeutic research on human subjects.
- (d) Interviewing and interview procedures.
- (e) The use in a new research project of stored confidential data originally collected by any of the preceding methods.
- (f) The use of tissues of human origin.

13.3.3 Where class projects are involved, it is incumbent upon lecturers to make student investigators aware of the policy, procedures and ethical guidelines for use of human subjects in academic research. The Committee established to implement this policy has discretion in applying the ethical guidelines where exceptional circumstances or common sense dictate, provided that the basic principles underlying the policy are not compromised.

13.4 Ethical guidelines and information to human subjects

13.4.1 University researchers using human subjects will identify themselves to their subjects, that is, their association with the University.

13.4.2 Information to all subjects to facilitate their giving fully informed consent includes -

- the nature of the research, its purpose and usefulness
- a precise description of the procedures in which the subject will be asked to participate
- the anticipated personal risks, including direct physical, psychological or social learning
- the methods for protection of confidentiality and anonymity which will be observed by the principal investigator and other researchers in respect of the subjects participation as well as the legal limitations to anonymity and confidentiality.

13.4.3 The fact that the subject is free to withdraw from the project at any time, even after giving consent and after the project has commenced.

13.4.4 Where appropriate the subject should be provided with this information -

- the anticipated personal benefits derived from his/her participation
- the anticipated social benefits to the subject from his/her participation
- the extent to which risks in the project have been pre-tested and whether the project in which the subject will participate differs from pre-tested practice
- the anticipated risks to a larger social group or a third party
- the possibility that the data from this research may be stored and used for a different purpose in future without obtaining a new consent from the subject, if this is the case

- whether the results of the project will be available from the principal investigator when they are published
- the name of the person to whom comments on the project may be directed.

13.4.5 If the subject is a child or a person under legal disability, full information must be provided to the legal guardian or curator.

13.4.6 Except where the principal investigator justifies an alternative method, the information set out in 1.2 and 1.3 will be presented to the subject in writing as part of the consent. Where the information is justifiably presented verbally, reference shall be made to a printed copy of the information.

13.4.7 Deception of human subjects

13.4.7.1 Where it is necessary for the principal investigator to withhold or to misrepresent significant facts in informing the subject, such deception must be expressly justified in his protocol. Particularly the protocol must demonstrate that-

- the deception is indispensable to the effectiveness of the project
- the deception must extend to all the elements as proposed
- all alternative investigative methods are unsatisfactory
- the deception will not invalidate the informed consent of the subject
- the subject shall be informed of all elements of the programme which were withheld or misrepresented by a member of the research team as soon as possible after participation in the project has been completed.

13.4.7.2 No protocol shall be approved where deception disguises or misinforms the subject of the risks, or in itself creates substantial risks to the subject's esteem and dignity.

13.4.8 Informed consent of human subjects

13.4.8.1. The information and consent forms will contain these elements -

- the name of the University and the principal investigator
- a brief but explicit description of the procedures the subject will personally participate in
- an explanation that the subject is free to withdraw from the project at any time, even after the consent is given and the project commences
- when a foreseeable risk exists, the consent form shall include an acknowledgement by the subject of the risks involved in the research and a waiver by the subject of any claims arising from the research.

13.4.8.2 Remuneration for participation as a subject in a University research project, if any, will depend on the time required of the subject and inconvenience caused, and will not be sufficient to induce the subject to disregard any risk interest in the participation.

13.4.8.3 Where the subject group is a "captive population" such as populations of correctional institutions, provision may be required in the protocol for receiving the consents of the institutional authority and the individual subjects and/or their legal guardians or curators. In respect of this guideline school pupils and students involved in a particular project may be considered as "captive populations".

Provision of informed consent is understood to include consent to publish findings subject to the requirements in receipt of subject confidentiality and anonymity.

13.4.9 Risks and benefits to human subjects

13.4.9.1 It is the responsibility of the principal investigator to demonstrate in the protocol, where appropriate -

- That the direct and indirect risks to human subjects of the proposed research has been carefully analysed, particularly where the subject population displays vulnerability by reason of age or mental capacity that consideration has been given to the risk of damages or offence to third parties who may identify with subject individual or groups for racial, cultural or sexual reasons, and to public sensitivity at large.

- That the principal investigator has explored the risk factor sufficiently in the protocol.
 - Whether the benefits to the subject personally and the importance of the knowledge to be gained outweigh the risks inherent in the project.
 - Whether risks have been minimised and provision made to remedy any harm.
 - Whether the consent of the subject will encompass all foreseeable risk factors.
- 13.4.9.2 Procedures involving physiological intrusions of clear medical concern will be performed by a medically authorised person. No methodology will be approved which may subject the participants to short or long term change, unless such change is directly beneficial to the subject.
- 13.4.9.3 The Committee reviewing the protocol will observe caution in approving any methodology, which stimulates negative behaviour, such as anger, aggression or racial antagonism.

13.4.10 Privacy of human subjects

- 13.4.10.1 The University recognises and supports the freedom of persons and communities to reveal or withhold all information about themselves not already in the public domain, by deliberate and fully informed decision, and with the assurance that subjects' anonymity will be protected and all records of participation in the research project will be kept confidential.
- 13.4.10.2 The University Research Ethics Committee reviewing the protocol shall examine the proposed use of institutional records in a project. The Committee will consider the potential invasion of the privacy of the individuals whose records are to be used, and the advisability of obtaining consent from those individuals and the institutional authorities.
- 13.4.10.3 Consideration shall be taken of the privacy of third parties where the subject may be asked to disclose information or opinion about such third parties.
- 13.4.10.4 Mechanical methods of observation, such as television, camera, microphones and tape recorders may be used only with the consent of subjects and/or their legal guardians.
- 13.4.10.5 Use of student records will be consistent with the University's policy on privacy of student records.
- 13.4.10.6 Location of a University research project on a private property must be disclosed in the protocol and approved in advance by the property owner (shopping centres and commercial businesses are private property).
- 13.4.10.7 A University researcher given access to a government or community institution or agency has a responsibility not to make public exposure of the conditions or practices with which the researcher disagrees without first reporting them to the responsible authority and giving reasonable time for an investigation to be made and a decision reached.

13.4.11 Anonymity of subjects and confidentiality of data

- 13.4.11.1 The subjects' anonymity shall be strictly protected and all data collection will remain absolutely confidential. Where the subjects have given written consent, information may be disclosed only with the strict limits of the terms of the consent.
- 13.4.11.2 Measures shall be taken to preserve the anonymity of the research subject, both in the published results of the project and in the records retained by the principal investigator.
- 13.4.11.3 Where confidential data are to be stored for possible re-use the method of recording and storing data must be strictly designed to confer anonymity on the subject.
- 13.4.11.4 All research assistants and persons having access to confidential data must be briefed by the principal investigator on the duty to observe the rules of anonymity and confidentiality set by the Health, Safety and Research Ethics Committee.
- 13.4.11.5 In a situation where a researcher acquires information on illegal activities or information relevant to a criminal investigation, such a researcher may be called as a witness in court proceedings and can be compelled to make full disclosure of such information received. Principal investigators should appraise all researchers associated with the project of the legal implication in this connection.

13.5 Animal research ethics

University staff, intending to make any use whatsoever of animals in their work, whether in research or for teaching purposes, are required to apply to the Research Ethics Committee for ethical clearance by submitting an application on the appropriate form. A sub panel of experts will be formed to review the protocol. The term “Animals” in this framework policy refers to all animals having the power of sense perception or sensation.

The use of animals in scientific research can only be justified if the benefits to both humans and animals outweigh the potential harm to the animal subject. All research and teaching involving animals must be approved by the Research Ethics Committee before the research commences, so that a formal evaluation of the potential harm/benefit equation can be undertaken.

“Justification for causing psychological or physical distress, illness or pain to animals should not be based on any explicit or implicit assumption that non-human animals experience these conditions in qualitatively different ways to humans.” (Medical Research Council guidelines)

All animal research conducted under the auspices of this university should uphold the “Three R” principles for humane animal research, namely:

- Replacement of so-called “sentient” animals wherever possible, with “non-sentient” research models or systems to eliminate the use of animals that can experience unpleasant sensations.
- Reduction of the numbers of animals in experiments by design strategies that facilitate use of the smallest number that will allow valid information to be obtained from the study.
- Refinement of animal sourcing, animal care practices and experimental procedures to eliminate physical and psychological distress within limitation imposed by the objectives of the research.

The researchers has a mandate and a responsibility to oversee and monitor the care and use of all laboratory and other animals kept for teaching and research purposes at, or under the auspices of the University.

13.6 Humanities and social sciences research and community engagement ethics (non-biomedical)

Research involving human subjects in the collection or sourcing of information and is non-invasive, requires ethical clearance from the University Research Ethics Committee.

This includes the use of communities and cultural areas. Ethical clearance is mandatory before seeking permission from local authorities or traditional leadership. The same principles described under human subjects apply. Application is to be made on the appropriate application form.

13.7 Research involving environment and bio-safety

Projects involving hazardous biological or chemical materials will be reviewed by a subpanel consisting of the experts in biosafety, in addition to the usual ethical review. The University’s Health and Safety Committee may be consulted as well. The subpanel will also review research involving environmental matters and genetically modified organisms.

Care should be taken to ensure that all research is carried out with the necessary respect for the impact that it could have on the physical, biological and spatial environment. All researchers undertaking research with bio-hazardous material that could potentially cause harm to humans, animals or the environment or the researcher and supporting staff must familiarise themselves with appropriate bio-safety and containment procedures.

All research involving genetically modified organisms or research that poses a risk to the natural environment or the researcher and supporting staff, must be submitted to the Committee for review and approval. This includes -

- all research involving recombinant DNA techniques or genetically modified organisms
- research involving organisms that are pathogenic to humans and/or animals
- research involving radiation
- research which may potentially cause harm to the natural environment.
- Bio-hazardous research involving humans or animals will be reviewed by the applicable panel, unless specifically referred to this committee, after the initial review.

The researcher is ultimately responsible to apply for ethics approval for a given project and should make this decision after discussion with peers, the head of the department, which will refer the matter to the chairperson of this committee for a decision, if necessary. Researchers are also responsible for registering the use of bio-hazardous materials in compliance with the relevant act as per regulations. The evidence of registration should be filed at the Research and Innovation Office.

13.8 The researcher – client/sponsor relationship

It is recognised that the researcher has the right to receive an explicit research mandate from the sponsor/client. These conditions apply -

- There shall be no interference from sponsors or clients that may jeopardise the scientific integrity of the study or prejudice the interests, health or dignity of the subject.
- Information that may reveal the identity of the human subjects may not be supplied to the sponsors/client unless this was in the original proposal and was part of the informed consent given by the subjects.

13.9 Ethical clearance application procedures

13.9.1 The University's Research Ethics Committee

- The University's Research Ethics Committee shall be a subcommittee of the Research and Publications Committee.
- Membership: The Committee shall comprise of these experts –
- Deputy Vice Chancellor: Academic ex officio.
- Director Research and Innovation, ex officio and secretariat.
- Eight researchers elected by Senate and experts in human research, animal research, human and social sciences research, biosafety, legal and human rights, community responsibility, diversity and environmental issues.
- Two external members - one professional from health research and another from the community.
- The Committee members shall elect the chairperson for a three-year term.
- Membership of the Committee shall be for an initial three-year term but a member may be re-appointed.
- The Director of Research and Innovation and the chairperson appoint the subpanels or ad hoc members to deal with a particular protocol.
- The four subpanels are human and clinical trials, social research, animal research and environment and biosafety.

13.9.2 Functions and responsibilities of the Research Ethics Committee

- (a) The University's Research Ethics Committee through its subpanels shall review protocols submitted for University research projects and class projects to ensure that the use of human subjects meet the ethical standards of the University where the projects -
- Involve application for external funding or for internal grant administered by the University.
 - Is a University research or class project, which is funded internally or does not require funding.
 - Involve an application to an institution or organisation to use its members, who are legal minors, as human subjects.

The Research Ethics Committee may approve the protocol of a project or recommend amendments to the protocol in consultation with the principal investigator, where there is a perceived discrepancy between the protocol and the standard guidelines. The Committee may also require a project to be monitored in such manner as deemed appropriate.

- (b) The approval of the Research Ethics Committee constitutes the approval of the ethical standard of the University when required by a funding agency or sponsor.

- (c) The Research Ethics Committee shall refer the matter to the Research and Publications Committee or Senate where -
 - (i) The principal investigator is not prepared to alter the research protocol to conform to the ethical guidelines of the University and the principal investigator wishes the decision of the Committee to be reviewed.
 - (ii) A minority of the Committee wishes to register dissent from the approval given by the Committee, of a protocol.
- (d) The Research Ethics Committee shall investigate and attempt to satisfy objections to ethical standards in any ongoing or completed project submitted for review by the Committee. In a case where the dispute cannot be resolved the matter shall be referred to the Research and Publications Committee or Senate.
- (e) The Committee shall clarify and interpret the policy procedures and ethical guidelines and, where necessary, may recommend procedural or policy changes to Senate when necessary and will provide appropriate information to staff.
- (f) The Director of Research and Innovation will provide secretarial support for this Committee through the administrators. The office will be responsible for preparing agendas for meetings and minutes.
- (g) The Directorate shall produce an ethical clearance certificate using the format agreed upon.

13.9.3 Request for ethical review

- The project supervisor shall apply, using the appropriate form for approval of a University research project or class project involving human subjects or the handling and use of animals in research as described -
 - The principal investigator shall submit a protocol to the Research Ethics Committee at least four weeks in advance of the proposed date of the commencement of the project.
 - Where the project involves an application for external funding or for internal grants from the University, the principal investigator shall submit the protocol at least five weeks in advance to the deadline date of submission of application to the sponsor. The designated University authority will process only such applications that have been cleared by the University Research Ethics Committee.
 - Where a University research project or a class project involves application to a University or school board to use pupils as subjects, the principal investigator shall submit the protocol to the Research Ethics Committee at least four weeks in advance of the deadline date for receipt of application by the school board.

13.9.4 Appeals

- Where a decision of the Research Ethics Committee is appealed by the principal investigator or by dissenting member of the Committee, the Committee shall record the reasons for the decision of the Committee under appeal and the written dissent, if any.
- Where any objection to an ongoing or completed University research project is not resolved, the matter may be taken on appeal to the Research Ethics Committee.
- On appeal, the Research Ethics Committee shall invite the principal investigator to support his project but the deliberations of the Committee will be held in camera.
- The Research Ethics Committee may confirm or modify the decision previously taken regarding the matter on appeal.

13.10 Project report

The principal investigator must submit a brief report of every research project granted ethical approval. The report must include this information -

- Title of project, researchers, ethical approval number, brief summary of results, conclusion, whether there were any unforeseen and desirable consequences and if so the steps that were taken to rectify them, whether the results have been published and if so the full reference.

Chapter 14

Incentives for the promotion of research culture

One of the hallmarks of an excellent university is the amount and quality of research output that addresses societal problems and pushes back the frontiers of ignorance. Hence the development of a vibrant research culture, underpinned by the role played by publications in selection and promotion of staff and other efforts to encourage staff to do research and publish the findings is crucial.

To maintain a vibrant culture of research, the University will ensure that research takes its rightful place as a core business of the University, and that every support will be given to actively drive the processes that will achieve this objective. As the University fostered its autonomy, with even added responsibilities, the need to raise its research output to justify its stature cannot be over-emphasised. An integral system of quality teaching and learning, research and innovation and community out-reach activities must be supported.

14.1 Eligibility for incentives

The incentives policy is applicable to fulltime University staff only.

14.2 Types of incentives

14.2.1 Subsidy from publication output

An amount determined annually is received for publication output by University of Venda staff -

- 50% of the subsidy received from the Department of Higher Education and Training will go to the University's Research and Publications Committee account.
- A researcher is entitled to 35% which goes to his/her account to be used for research purposes after approval by the Director of Research and Innovation or the Research and Publications Committee and 15% will be paid to a researcher as an honorarium.

14.2.2 Vice Chancellor's Research Excellence Award

Incentives are in place to stimulate research and publication among staff. These include the presentation of a Vice Chancellor's Research Excellence Award in the form of certificates, trophies and cash -

(a) Recognition

All active researchers will receive a merit certificate for acknowledgement for being an active researcher.

An active researcher is defined by one of these -

- Receiving a grant from the Research and Publications Committee for research purposes under niche or non-niche areas in the year under consideration.
- Receiving funding for an international and national scientific conference.
- Receiving publication funds in the year under consideration.
- Has published in the previous year and received the publication incentive in the current year.
- Has external funding for research purposes received in the year under consideration.
- Supervisor for research master's and doctoral students in year under consideration.
- Had graduated a research masters or doctoral student in year under consideration.
- National Research Foundation rated.

(b) Awards for excellence

Vice Chancellor's research awards for excellence will be given to individuals and schools for categories as per definition of active researcher. The categories will be determined from time to time and listed on the tariff list.

14.2.3 Incentives for rated researchers

The University aims to increase the number of rated researchers during the next five (2009 – 2013) as per strategic plan objective 3. To encourage staff to apply for rating there should be incentives. The rated researchers will be able to generate more funding for the University from the National Research Foundation and other funding agencies.

Annual payment of the incentives will be effected based on the recommendation using the appropriate form. National Research Foundation rated researchers are expected to publish at least one article per year in a Department of Higher Education and Training accredited journal, have at least one research masters or doctoral graduate per year and attract funding on an ongoing basis. Annual payment will be subject to continued output.

The monetary incentives for National Research Foundation rated researchers may be used for research running costs or conference attendance at the discretion of the researcher.

14.2.4 Incentives for postgraduate supervision

This policy applies only to fulltime staff who supervise/promote research masters and doctoral students.

- Supervisors and co-supervisors are eligible for honoraria at rates determined from time to time.
- The honorarium is only payable after the assessment results have been approved by Senate.
- Co-supervisors and co-promoters, irrespective of their number, receive 50% each of the total value received by the main supervisor/promoter.
- Supervisors/promoters from other institutions appointed by Senate are remunerated according to existing policy. This is also payable upon student's completion.

Chapter 15

Postgraduate financial support

Section A: Masters and doctoral studies

All students or staff funded will be expected to submit manuscripts for publication before graduating.

15.1 External funding

Supervisors and students are encouraged to make use of research grants and funding from the National Research Foundation, government departments, Setas and other funding agencies. The University, through the research office will support such applications and provide the required additional financial support stipulated by the funders.

15.2 Internal funding

Funding from the research office will be provided for masters and doctoral studies only.

15.2.1 Full time staff members registered for research masters or doctoral degrees at the University of Venda.

- The students shall qualify for application for research costs once the proposal has been approved by the Senior Executive Committee.
- An application using the appropriate form will be submitted to the Research and Innovation Office for consideration by the Research and Publications Committee.
- Research funds will be used for running costs of the projects and for final binding of dissertations or theses.
- Funds will be allocated as per tariff list for mini-dissertations, dissertations or theses.
- Students will be expected to submit a draft manuscript for publication before graduating.

15.2.2 Fulltime staff members registered for research masters or doctoral degrees at other universities in South Africa or at international universities. This will only apply to students whose programmes are not offered by the University of Venda or where supervision of a programme is not available at the University of Venda.

- The students shall qualify for application for research costs once the proposal has been approved by the University's Postgraduate Committee. Proof of registration and a progress report from the supervisor shall be submitted.
- An application using the appropriate form will be submitted to the Research and Innovation Office for consideration by the Research and Publications Committee.
- Funds will be allocated as per tariff list for mini-dissertations, dissertations or theses.
- Students will be expected to submit a draft manuscript for publication before graduating.

15.2.3 Fulltime and part time students registered for research masters or doctoral degrees at University of Venda.

- The students shall qualify for application for research costs once the proposal has been approved by the Senior Executive Committee.
- An application using the appropriate form will be submitted to the Research and Innovation Office for consideration by the Research and Publications Committee.
- Funds will be allocated as per tariff list for mini-dissertations, dissertations or theses.
- The research office will open an account for the student. Claims for expenses will be made by the student, recommended by the supervisor/promoter and dean, and approved by the research director.
- Funds will be allocated as per tariff list for mini-dissertations, dissertations or theses.
- Students will be expected to submit a draft manuscript for publication before graduating.

15.2.4 Allowable expenses

The funds for postgraduate research are to be used solely for research costs. Allowance expenses include data collection costs, travel to research sites, consumables and materials, travel costs to research sites or visits to special laboratories, data analysis and data reporting.

Funds may not be used for purchasing laptops and attendance of conferences. Publication costs are also not included. Conference attendance and publication costs are funded through another mechanism.

The student will apply, using form R4b and will provide proof of registration and Senior Executive Committee approval. The applications shall be handled administratively by the Director of Research and Innovation and reported to the Research and Publications Committee.

Section B: Postgraduate work study programme

Work study funding will be for students who are not staff members of the University of Venda. Funding will be for honours, masters and doctoral studies only.

15.3 Background

The University is attracting an increased number of undergraduate students, many of whom are supported by the financial aid programme. Only a small number of undergraduates are able to meet their fee obligations.

The present government funding formula penalises institutions like the University of Venda due to low post-graduate enrolments. In the past five years the University embarked on a work study programme to attract more postgraduate students into its programmes.

The 2009 -2013 University strategic plan aims to improve the enrollment and output for postgraduate studies. Several key challenges have been identified, including financial support.

The work study programme is one of the initiatives to support postgraduate students to have an impact on output. Postgraduate output has potential to increase income from state subsidies.

15.4 Definition of a work study participant

Any postgraduate student who is registered fulltime at the University of Venda may be hired as a work study participant. Fulltime staff members who are postgraduate students are excluded.

15.5 Objectives

- To provide students with practical experience and training in areas such as administration, tutoring, research and counseling.
- To provide the institution with assistance to enhance performance.
- To provide incentives for academically capable students to proceed with further studies.
- To augment the financial aid office's scarce financial resources by providing students with work study participation.

This implies the need for a collective approach, involving the Student Financial Aid Office, the finance and human resources section, the Student Representative Assembly and all academic and non-academic departments which are involved in the work study participation of students.

15.6 Policy guidelines

Certain general policies apply to all students participating in the work study programme at the University of Venda on an hourly basis. Each department may establish its own additional policies regarding student work study participation, provided they are not inconsistent with the existing policies. Students are entitled to request and receive a copy of any written statement of additional work study participation policies that apply in their department.

15.7 Work study participation

15.7.1 Fulltime unemployed students

- All fulltime postgraduate students may participate in the work study programme.
- Sponsored students may participate in the work study programmes, but should the sponsor pay for tuition, any diversion of funds must be done with the full approval of the sponsor and knowledge of the University.
- Sponsored students may participate in both tutorship and work study, provided that in total it does not exceed 10 hours per week. Students will be required to make a choice between these two forms of assistantships.
- Students on fulltime employment and who attend studies on part-time basis may participate in work study but may not work as student tutors at the same time.
- Tutorships/demonstratorships are governed by the University's policy on part-time lecturing.
- Fulltime unemployed students shall be required to participate in the work study programme.
- Participation in work study programmes will earn the student, a hostel accommodation waiver and a 75% per year tuition waiver. The remaining 25% per year tuition fee shall be waived on completion of the programme.
- The specified period for completion of the programme for fulltime students is -
 - One-and-a-half years for an honours
 - Two-and-a-half years for a masters
 - Three-and-a-half years for a PhD
- Continuation beyond the specified time shall be at the student's own expense.

15.7.2 Part-time working students

- Part-time working students, shall not be required to work, but should have an automatic tuition waiver of 75% per year while they will pay the remaining 25%.
- The tuition waiver shall subject the student to complete their programme within the specified period, failure to which the student should refund the University of Venda the tuition fees waived.
- The specified period for completion of the programme for part-time students is -
 - Two-and-a-half years for an honours
 - Three-and-a-half years for a masters
 - Four-and-a-half years for a PhD
- Continuation beyond the specified time shall be at the student's own expense.

15.7.3 Student tutors and demonstrators who are also on the work study programme may not work more than ten hours a week -six hours work study and four hours tutorship.

15.7.4 Students on work study will be required to perform programme related activities and other work as prescribed by the supervisor, eg tutorship, demonstratorship, laboratory assistantship, marking of assignments, invigilation, library assistantship, security assistantship, assistance during graduation and other university functions, research assistance and field work assistance.

15.7.5 A work study participant serves only during the period for which he or she was hired. Work study participation during any period should not create expectations for future work study participation. Work study participants may be appointed for any portion of either the academic year or vacation.

15.7.6 The duration of the work study is restricted to at least six hours per week but not more than 96 hours per semester.

15.7.7 During the progress period, a student's work study participation contract may be terminated for financial or programme reasons at the sole discretion of the department or the University.

15.7.8 A registration fee shall be paid by each postgraduate student.

15.8 Academic progress

- Work study involvement of students must under no circumstances be detrimental to the academic progress of a student. Students must declare all other work responsibilities before participating in the work study programme.
- Continuation in work study participation shall be based on satisfactory academic progress. Students will be required to complete the studies within the required period as stipulated in the University calendar.

15.9 Recruitment to the work study programme

- Departments will assume responsibility for the internal advertisement, recruitment and selection of postgraduate students and monitoring of their work. Internal advertisements must include a brief job description and the main conditions of work study participation. Students shall apply directly to the department concerned.
- Approval shall be given by the dean and forwarded to the Research and Innovation Office.
- The student shall complete a contract form to be kept in the Research and Innovation Office.
- The list of all students on work study shall then be forwarded to the Work Study Placement office in the Centre for Higher Education, Teaching and Learning.
- Participating departments should adopt affirmative action policies in favour of women, physically challenged students and other disadvantaged groups on campus.

15.10 Monitoring and verification

The responsibility of monitoring work study programme students lies with the department that recruited these students.

15.11 Assignment and scheduling of work and working hours

- Assignments shall be assigned by the supervisor and approved by the dean/director.
- To maintain a reasonable balance between the student's academic work and work study responsibilities, all work study participants must work for at least six hours a week, but may not work for more than 84 hours per semester.
- All exceptions to the rule should be made in writing by the participating head of the department with a clear motivation.
- Extra hours worked will not be approved if the Work Study Office was not notified in advance, and approval given.

15.12 Training

The department must ensure that appropriate training is provided on an on-going basis. Work study participants must make themselves available for all the training planned by the department.

15.13 Evaluation of job performance

Clear standards of performance must be determined at the commencement of duty. Participating departments are expected to conduct periodic evaluations of their work study participants' performance. The method of evaluation is determined by the department.

The criteria for evaluation must be made available to participants. Evaluation of job performance should be conducted by the student participant's immediate supervisor. Work study participants must have an opportunity to comment on the evaluation of their job performance.

Work-study participants may forfeit all financial assistance - except for compensational hours worked - if performance is not according to expectation. A report from the supervisor must accompany such a recommendation.

15.14 Attendance and punctuality

It is the student's responsibility to report on time for every scheduled activity. If the student is unable to work because of illness or an emergency or if he or she is to be late for work, the student must notify his or her supervisor as soon as possible. Departments may hire a substitute for the duration of the work study student's absence.

15.15 Time sheet

Work study participants are required to document the hours they have worked on the approved University time sheet. For students to be credited, the time sheet must be completed, signed, and countersigned by the supervisors and the head of the department. The claim forms shall be filled on a monthly basis and submitted to the Work Study Placement Office who will submit it to the finance department.

15.16 Record keeping requirements

Departments, centres and institutes are expected to ensure that they have full documentary proof of the actual time students have spent on departmental duties. The records must be submitted monthly to the Work Study Placement Office.

15.17 Tuition fee

Work study participants will be compensated for with tuition waivers.

15.18 Assignments, reading, and smoking

Assignments, reading and other personal work are not permitted during working hours. Work study participants are not permitted to smoke when dealing with the public, including fellow students.

15.19 Discipline/termination of service

- Any work study participant may be penalised for indiscipline or misconduct in terms of the department's work-study regulations or the University of Venda's code of discipline.
- On conviction for indiscipline, a work study participant may be liable to any one or more of these penalties -
 - Verbal warning
 - Written warning
 - Depending on the gravity of the matter, immediate suspension or termination of services may be taken by the department provided that proper consultation is made with the dean. The student has the right to appeal through the dean.
- Prior to the imposition of a penalty the work study participant must be given the right to be heard.
- On dismissal, students will be expected to pay the balance of fees owing to the University.

15.20 Telephone, University keys, photocopier and other resources

- Telephones and all other University materials and resources present at a work site are for business use only and are not for personal use. Work study participants should advise their friends and relatives not to make social calls to them while they are at work.
- Photocopiers may only be used as per arrangement with the department or supervisors.
- All proprietary or other information concerning the affairs of the University and its clients, should remain private and confidential, and should not be revealed to others or used for personal gain.

15.21 University documents

Work study students are not allowed access to any confidential University documents.

15.22 Data base for the Work Study Placement Office

Administrative and academic units shall keep accurate records for purposes of accountability.

15.23 Contractual work study participation

- The departments and student assistants will be expected to jointly sign a contract once the work study participation has been offered and accepted. The contract will stipulate the terms of service and a code of conduct.
- Flexible working hours may be arranged between the department and students.
- Students should sign one contract but will be provided flexibility to work in any school or department.

15.24 Evaluation and assessment of the work study programme

- All departments, centres and institutes benefiting from the work study programme and student resources are required to submit evaluation reports to the Work Study Placement Office at the end of every semester. Senate holds department chairpersons accountable for reporting.
- The Centre for Higher Education, Teaching and Learning shall evaluate the impact of the work study programme on throughput rates for postgraduate studies.

Section C: Relationships between students (including postdoctoral scholars) and outside entities

As part of their University of Venda education, students, including postdoctoral scholars, may establish relationships with outside entities, such as private companies or non-profit organizations, including government agencies, foundations, public action organizations and school systems.

These relationships may range from student internships that are part of a formal educational programme established by the student's department or programme to the actual conduct of a student's research or scholarship project at the outside entity. All of these relationships may have considered educational value for the student, providing unique educational or research resources and familiarising students with the work environment of private companies or non-profit organisations.

However, the establishment of academic programme at the University of Venda raises issues concerning the open vs. proprietary nature of the work, the ownership of any intellectual property that may result and possible conflicts of commitment and interest.

This policy establishes guidelines for the conduct of these relationships such that the student's outside activities are conducted in a manner that allows openness in research, appropriate ownership of any resulting intellectual property and protection against potential conflicts of commitment and interest. These policy statements apply to all students, including undergraduate and postgraduate students, and postdoctoral scholars. Throughout this policy, the term "students" shall represent all three of these groups.

15.25 Openness in research

The University of Venda's academic departments or programmes may establish formal research internship programmes to expose their students to the work of outside entities. During these research internships, students may work either on campus or at the site of the outside entity.

Alternatively, students may undertake a research project or other activity in collaboration with an outside entity, in some cases even performed at the outside entity's site. Where this is allowed as part of the student's academic programme, for example, research for a PhD thesis or an honours project, a supervisor/ promoter must approve and oversee the student's project and be responsible for the student's grade and the certification of the appropriateness of the thesis/dissertation.

The University of Venda's openness in research policy, which applies to all research carried out at the University as part of its academic programmes, indicates the University's commitment to openness in research, defines and prohibits secrecy, and specifies rare circumstances where some degree of secrecy may be acceptable (such as publication delays of less than 90 days for sponsor review of manuscripts or for patenting purposes). This policy applies to the relationships between students and outside entities.

When a student's relationship with an outside entity is part of his/her University of Venda academic programme, it is inappropriate for the student's entire project at the outside entity to be secret or proprietary to the extent that the student cannot discuss his/her work in at least general terms with his supervisor/promoter or fellow students.

Students must be able to discuss their work with their departmental advisors, to present their work at seminars that may be a component of an internship programme, and to summarise their work in oral reports, semester papers, honours projects, dissertations and theses.

In cases where the research is primarily performed on-site at an outside entity, that entity may keep certain information confidential - as happens in many research interactions between academic researchers and outside entities.

The outside entity may also request the right to delay publication of any work pending review of the intellectual property for up to 90 days. However, this delay should not be allowed to delay the student's completion of required academic work, such as oral presentations, thesis defenses, semester papers, theses or dissertations.

Students may not expect that their course work will be kept proprietary. If a student establishes a consulting relationship with an outside entity that is independent of his academic programme, this work may be governed by the confidentiality policies of the outside entity and may be proprietary.

15.26 Ownership of intellectual property

15.26.1 Inventions, patents and licensing policy

Postgraduate students, postdoctoral scholars, and all others participating in research projects, including undergraduates working on research projects, either for pay or for academic credit, are covered by the University of Venda's policy on inventions, patents and licensing.

Individuals must disclose "all potentially patentable inventions conceived or first reduced to practice in whole or in part", in the course of their University responsibilities or with more than incidental use of University resources. Title to such inventions shall be assigned to the University.

The phrase "University responsibilities" is not generally interpreted to include a student's regular coursework. However, if, in the course of this work, a student makes more than incidental use of University resources, including specialised equipment, laboratories and research facilities, to create a potentially patentable invention, that invention must be disclosed to the University of Venda and title assigned to the University.

The policy also specifies that the University shall share with the inventors royalties from inventions assigned to the University. These individuals are expected to sign a copyright agreement with the University.

15.26.2 Ownership of intellectual property

As has been traditional in academia, the University of Venda generally does not claim ownership to pedagogical, scholarly, or artistic works, including "those of students created in the course of their education, such as dissertations, papers, and articles" (University of Venda copyright policy).

Under the provisions of the copyright policy, copyright ownership in original works by students shall remain with the creator, unless the work is a work-for-hire, is supported by a direct allocation of funds through the University for the pursuit of a specific project, is commissioned by the University, makes significant use of University resources or personnel, or is otherwise subject to contractual obligations.

Example # 1. Students who are hired to write software and are paid by the University of Venda, are considered to be covered by "work-for-hired" provisions.

Example # 2. While a postgraduate student owns the copyright to his or her dissertation, a videotape developed as part of that dissertation research that presents some of the observations or results reported in the dissertation would be owned by the University if it were produced with support from a sponsored project and significant assistance from University personnel.

15.27 Student research internships and research projects with outside entities

Ownership of intellectual property is further complicated if the student's creation or invention was developed during a research internship or research project performed as part of a relationship with an outside entity.

In general, the ownership of any resulting intellectual property (other than creative works developed in the course of the student's education, ownership of which generally remains with the student) should reflect the relative roles and contributions of the student, the outside entity and the University to the creation of the work or the development of the invention.

i) Research Internships

For research internships sponsored by an outside entity and not involving more than incidental use (for inventions) or significant use (for creative works) of University resources (as defined, respectively, in the inventions, patents and licensing and copyright policy), ownership of the intellectual property may belong to the outside entity (as determined by the student and the outside entity).

During the establishment of any internship programme that will entail more than incidental use of University of Venda resources, it is advisable for the outside entity and the University to develop an agreement specifying the degree to which University resources will be used by the student research interns and defining rights to intellectual property resulting from the research internship.

(ii) Research projects

If a student research project is funded by a sponsored project, ownership of intellectual property resulting from the student's work is specified by the University of Venda policy and by the terms of the particular funding agreement. If a student is the sole inventor of an invention resulting from the use of resources of both the University and an outside entity, the University may agree to the co-assignment of the intellectual property.

If an invention is co-invented by a student, and involves a co-inventor from an outside entity and more than incidental use of University sources, the technology will be jointly owned by the University of Venda and the outside entity, pursuant to patent law.

Depending on their contributions, the advisor and perhaps other academic staff, students, or staff may be co-creators or co-inventors. However, in the rare circumstance where a student's entire project is performed at an outside entity with no involvement of University resources other than the student's involvement, the student's work may be governed by the intellectual property policies of the outside entity.

15.27.1 Student consulting with outside entities

The University of Venda does not claim ownership of intellectual property resulting from students consulting outside their academic programmes at the University, assuming that there was not more than incidental use (for inventions) or significant use (for creative works) of University resources.

15.28 Conflicts of commitment and interest

15.28.1 Conflicts of commitment

Despite the expectation that students' primary obligation is to fulfilling their degree requirements and that they will generally be fulltime, it has not been University of Venda practice to prohibit students from outside work, whether for pay or not.

Students have a wide variety of outside interests and activities that take time away from their academic pursuits, including involvement with outside non-profit or for profit entities, some of which may be related to the students' academic interests and future careers.

It would be both difficult and inappropriate for the University to decide which of these activities are allowable. It is, however, appropriate for students' academic supervisor/promoter to monitor their academic performance, and if inadequate, to inquire about the students' outside activities and to recommend that students reduce or terminate their outside commitments.

Students should not make more than incidental use of University of Venda resources in the course of pursuing activities with outside entities that are not part of their university activities.

15.28.2 Conflict of interest

Students as well as staff are involved in the transfer of technology gained through their University of Venda research to the private sector to benefit society, an important function of the modern university. This may lead to relationships between students and an outside entity such as licenses for technologies invented at the University of Venda, consulting, directorship, founder positions and research or stipend support. Situations such as these raise the potential for conflicts of interest. Perspectives on the situations in which conflicts of interest arise and on the rationale for the University's policies are provided in the policy on outside consulting. As stated in that policy, a conflict of interest occurs where there is overlap and conflict between an individual's private interests and his or her professional obligations to the University such that an independent observer might reasonably question whether the individual's professional actions or decisions are determined by considerations of personal gain, financial or otherwise.

A conflict of interest depends on the situation, and not on the character or actions of the individual. It is wrong for an individual's actions or decisions made in the course of his or her University activities to be determined by considerations of personal financial gain.

These additional guidelines apply to situations where students have relationships with outside entities related to their academic activities -

- i) Students must support and foster an atmosphere of academic freedom by promoting the open and timely exchange of results of scholarly activities, by ensuring that their scholarship is not influenced by consideration of personal commercial interests and by informing their academic departmental supervisors/promoters or staff of outside obligations that might influence the free exchange of scholarly information between them and others in their research group or class.
- ii) Students may not use University resources, including facilities, personnel, equipment, or confidential information, except in a purely incidental way, as part of their outside consulting activities or for any purposes that are unrelated to the education, research, scholarship and public service missions of the University.
- iii) Students must disclose on a timely basis the creation or discovery of all potentially patentable inventions created or discovered with more than incidental use of University resources. Ownership of such inventions must be assigned to the University, regardless of the source of funding. The inventor and other stakeholders will share royalties at an agreed ratio.
- iv) Students must disclose to the University whether they, or members of their immediate family, have consulting arrangements, significant financial interests or employment in an outside entity before the University will approve either technology licensing arrangements or procurements between such entities and the University in situations which involve the student. In such cases, formal University approval will be required prior to entering into each such proposed arrangement.
- v) Student disclosure of outside relationships should be made through the student's academic supervisor/promoter to the school's Research and Publications Committee.

An appropriate form will be used for a declaration of interest.

In situations in which the objectivity of the student could reasonably be questioned, the student and supervisor/promoter should discuss and agree how the conflict of interest might be managed with the school's Research and Publications Committee. The student may appeal any decision made by the school's Research and Publications Committee to the dean. An appeal of the dean's decision may be made to the University's Research and Publications Committee.

Chapter 16

Quality related arrangements for research

Quality assurance in research is about the fitness of purpose in relation to local, regional, national and international context. One of the norms is the relationship between researchers and the community. At institution level there must be a link between strategic planning, resource allocation and research. This is the surest way of promoting and sustaining a research culture.

16.1 Quality assurance and promotion in research focuses on -

- The management and performance of research.
- The management and performance of postgraduate research.
- Strategic and criteria for monitoring and assessing the research process and outcomes. These include institutional policy, strategic planning and business planning in relation to research.
- Focused research criteria at departmental and school levels, for example, focused research at niche areas.
- Assessment of research quality, including bench marks that guide the research process, outcomes and publications.

16.2 Accountability

- Accountability for research quality is the responsibility of the principal investigator.
- The principal investigator provides the technical report to the Research and Publications committee and to Senate.
- Acting through the Deputy Vice Chancellor: Academic, deans and directors, heads of Departments and all academic staff members, the Vice Chancellor is ultimately responsible for the generation of quality research outputs.

16.3 Internal controls for research process

- The principal investigator will provide quarterly reports on research progress to the Research and Publications Committee.
- The deans will provide quarterly school reports, covering all areas of research as per template developed. These will serve at both the Research and Publications Committee and the Senior Management Committee.
- The Deputy Vice Chancellor: Academic will provide an overall quarterly synopsis and evaluate performance against the set outputs in the strategic plan.
- Publications will only be funded if published on accredited and peer reviewed journals, recognised for subsidy by the Department of Higher Education and Training.
- Only peer reviewed conference papers will be funded.

16.4 Internal and external controls for research impact

Assessment of impact of research conducted at the University will be conducted.

- The publication list for submission to the Department of Higher Education and Training will be audited externally.
- The impact factor to determine the number of times the works of University researchers is cited, will be calculated for all publications submitted annually.
- A service provider which evaluates impact globally over the previous 10 years such as the Centre for Research on Science and Technology at Stellenbosch, which is used by the Council on Higher Education for institutional audits, will be appointed every three years to evaluate the knowledge generation trends at the University.

- An annual evaluation of the impact of research will be conducted by the Deputy Vice Chancellor: Academic and the Director of Research and innovation, as part of the preparation for performance evaluation. These research output aspects will be evaluated -
 - Knowledge transfer – in support of decision-making, capability development transformation in the regional and rural communities
 - Technology transfer - licensing of intellectual property, new enterprises
 - Skills development and transfer – postgraduate outputs
 - Scientific and engineering contribution to knowledge base publications
 - International collaborations.

Tarrif lists

These tariffs are applicable and will be subject to review from time to time.

Table 1: Rewards proposed for research excellence

	Category	Individual prize	Other prize	Other incentive
1.	Researcher with most publication output (above 1,25 norm)	R5 000 Certificate	Floating trophy	R35 000 International conference
2.	Researcher with most external funds received	R5 000 Certificate	Floating trophy	R35 000 International conference
3.	Researcher with most research masters students graduating that year	R5 000 Certificate	Floating trophy	R35 000 International conference
4.	Researcher with most research doctoral students graduating that year	R5 000 Certificate	Floating trophy	R35 000 International conference
5.	Researchers that attracted R500 000 external funds for research	Certificates		
6.	School with most publications including masters and doctoral graduates (in relation proportional)	Certificate	Floating trophy	
7.	School that has shown significant improvement	Certificate	Floating trophy	
8.	School with most active researchers	Certificate	Floating trophy	
9.	Rated researchers	10% of financial support for rated researchers and certificates		Financial support as per policy
10	Masters supervisors			
	Mini dissertation supervisors	R750		
	Mini dissertation co-supervisors	R375		
	Dissertation supervisors	R1500		
	Dissertation co-supervisors	R750		
11	Doctoral promoters	R3000		
	Doctoral co-promoters	R1500		

Table 2: National Research Foundation rated researchers' incentives according to categories

Category	Amount
A	R100 000
B	R70 000
C	R50 000
Y	R30 000
L	R20 000
P	R10 000

Table 3: Funding tariffs for postgraduate studies

Category	Status	Degree	Research type	Minimum amount
Staff	Registered at University of Venda	Masters	Mini- dissertation	R30 000
Staff	Registered at University of Venda	Masters	Dissertation	R50 000
Staff	Registered at University of Venda	Doctoral	Thesis	R75 000
Staff	Registered at other higher education institution *	Masters	Mini- dissertation	R15 000
Staff	Registered at other higher education institution*	Masters	Dissertation	R30 000
Staff	Registered at other higher education institution *	Doctoral	Thesis	R50 000
Student	Fulltime registered at University of Venda	Masters	Mini- dissertation	R30 000
Student	Fulltime registered at University of Venda	Masters	Dissertation	R50 000
Student	Fulltime registered at University of Venda	Doctoral	Thesis	R75 000
Student	Part-time registered at University of Venda	Masters	Mini-dissertation	R15 000
Student	Part-time registered at University of Venda	Masters	Dissertation	R30 000
Student	Part-time registered at University of Venda	Doctoral	Thesis	R50 000

Table 4: Research grants

Category	Amount
Non-niche area	R50 000
Niche area (multidisciplinary)	R150 000
Institutional research	R100 000
Educational research	R100 000
Collaborative research (with external researchers & funding)	Maximum contribution R75 000
Contract research (Univen contribution)	Maximum contribution R50 000
Research equipment (valued above R20 000)	Value of equipment

Table 5: Conference funding for staff and postgraduate students

Category	Maximum amount
International (travel abroad)	R40 000
National	R15 000
Scientific short visits to international institutions for research purposes (maximum 3 weeks)	R75 000
Scientific short visits to national institutions for research purposes (maximum 3 weeks)	R25 000

Section 1: Contract research funding sharing formula

- 80% Researcher (all research direct cost)
- 20% University (all indirect cost including research administration (10%), operations (5%) and finance related costs (5%).)

Section 2: Books, monographs and conference proceedings

The author must disclose income from royalties earned from materials published with University grant. The sharing formula will be at a ratio of 40% for the University and 60% for the authors.

Section 3: Subsidy from publication output

An amount determined annually By the Department of Higher Education and Training is received for publication output by University of Venda staff.

- Fifty percent of the subsidy received from the Department of Higher Education and Training will go to the University's Research and Publications Committee account.
- A researcher is entitled to 35% which goes to his/her account to be used for research purposes after approval by the Director of Research and Innovation or the Research and Publications committee and 15% will be paid to the researcher as an honorarium.

