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Centers, Bureaus and Institutes (CBI's)

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¹ Policy Owner: Head(s) of Responsibility Centre(s) in which the policy functions.

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Policy on centres, bureaus and institutes (CBIs)

Approved by Senate on 27 November 2009

Approved by Council on 30 November 2009

1. DEFINITIONS

1.1. The collective name for academic organisational units that are not academic departments is “CBI” (Centre/Bureau/Institute).

1.2. A CBI is linked to a department, a faculty or institutionally to the University.

1.3. Terminology

1.3.1. A specific CBI is usually known as a centre, bureau or institute.

1.3.2. A CBI is free to choose which one of the three terms is used. The terms do not indicate different kinds of CBIs.

1.3.3. A unit is not regarded as a discrete CBI. It can be situated within a department, but also be a sub-section of a CBI. A unit may have its own cost centre, but not its own OU code.

2. REQUIREMENTS AND PROCEDURES TO SET UP A CBI

2.1. Motivation

The motivation to establish a CBI usually includes the following:

2.1.1. An explanation of the ways in which the activities of the CBI are linked to a focus area or specialisation in a department and/or subject field;

2.1.2. An explanation of why the CBI needs its own separate identity;

2.1.3. An indication of the interdisciplinary nature of the activities (in the case of a CBI type 2);

2.1.4. An indication of the viability and sustainability of the envisaged CBI.

2.2. CBI categories and features:

2.2.1. CBI (type 1) linked to an academic department

- a. A CBI (type 1) does not offer teaching programmes under its own auspices. A CBI (type 1) could be involved in teaching programmes, but supervision of the programmes is managed by the department to which the CBI is linked.
- b. Staff of a CBI (type 1) is staff members of the department to which it is linked.
- c. The activities of a CBI (type 1) could include research, consultation, community interaction and the presentation of short courses.
- d. A CBI (type 1) must have its own OU code, on the understanding that the time of FE staff, publications and community interaction are shared by the department and the CBI. The information is kept and reported differentially (in the Fact Book) in order to enable performance evaluation of the CBIs. When departments are evaluated, the CBI is evaluated as part of the department and included in the calculation of the core statistics.

2.2.2 CBI (type 2) linked to a faculty

- a. A CBI (type 2) may be established if the activities of the CBI are interdisciplinary / transdisciplinary in nature.
- b. The scope of the activities of a CBI (type 2) can include research, consultation, community interaction and the presentation of short courses.
- c. A CBI (type 2) may present programmes under its own auspices, which leads to official SU qualifications, on condition that
 - i. there is already satisfactory evidence of the viability and sustainability of the CBI over the longer term before the Senate gives permission for the CBI to present programmes which leads to official SU qualifications
 - ii. only postgraduate programmes can be presented under the auspices of a CBI (type 2);
- d. A CBI (type 2) must have its own OU code;
- e. A CBI (type 2) functions in all respects like an academic department, including staffing, finances, reporting within a faculty, ways in which the CBI keeps and reports information, and external evaluation.

2.3. CBI regulations

2.3.1. All CBIs must draw up their own set of rules which make provision for:

- a. an explanation of the reasons for, and aims of, the CBI;
- b. a governing body and an outline of its composition, appointment and duties;
- c. a management committee and an outline of its composition, appointment and duties;
- d. a director and an outline of the appointment, powers and duties of the director.

2.3.2. The CBI rules may make provision for an executive committee for the specific CBI. This is a sub-committee of the management committee.

- 2.3.3. The rules of the CBI are submitted to the APC (after they have been accepted by the faculty board) for recommendation to the Senate.
- 2.3.4. A CBI is formally constituted once the Council approves the rules of the CBI at the recommendation of the Senate.

2.4. Trademark

- 2.4.1. The trademark of the CBI must satisfy the requirements of the University's corporate policy.
- 2.4.2. All material for liaison outside the University and all publicity material must satisfy the requirements of the University's corporate policy (letterheads, business cards, advertisements, websites, etc.).

2.5. Finances

- 2.5.1. The following provisions apply to a CBI (type 1):
 - a. The CBI budget forms part of the department's and/or the faculty's budgetary and reporting processes;
 - b. The governing body must agree on an annual budget or business plan with the departmental chair and/or the dean;
 - c. The governing body reports annually on actual income and expenditure in relation to the budget.
- 2.5.2. For a CBI (type 2) the normal provisions for academic departments apply.
- 2.5.3. All financial transactions of CBIs (type 1 and type 2) are subject to the University's financial policy (regardless of the source of the funds).

2.6 Human resources

- 2.6.1. A CBI (type 1) should follow 2.2.1 (b) above.
- 2.6.2. The University's current arrangements regarding human resource management are applicable (including recruitment, appointments, performance evaluation).
- 2.6.3. The director of a CBI must be an employee of the University (permanent full-time or permanent part-time).
- 2.6.4. Permission to do outside work is subject to the current University policy in this regard.

2.7 Contracts

- 2.7.1. Any contracts to be concluded where there may be a potential conflict of interest between the CBI and the party with whom the contract is concluded must be declared to the governing body in advance.
- 2.7.2. When contracts are concluded by CBI's, all standing SU procedures with regards to contracts, specifically also the stipulations of the SU financial policy, must be complied with.
 - a. The policy regarding Contract Research Management applies to research and research related contracts.

- b. All other contracts must be cleared by the SU Division of Legal Services before submitting it for approval to the authorised line manager or committee.

2.8 CBI register

- 2.8.1 A central register is kept of CBIs and their regulations.
- 2.8.2 The register and rules are made available on the staff portal.
- 2.8.3 The University's full and updated list of CBIs is published annually in the Fact Book. The information is also available on the University's OU structure, updated on a regular basis.
- 2.8.4 Departments are responsible for updating the information on the department's CBIs (type 1) in Part I of the Calendar.
- 2.8.5 CBIs (type 2) are responsible for updating the information on the CBI in Part I of the Calendar.

UNIVERSITY OF STELLENBOSCH

Administrative procedures with regard to the ORGANISATIONAL UNIT (OU) structure

Definition:

All business units of the University are organised hierarchically into Organisational Units. Each Organisational Unit (OU) is allocated a 4-figure code, along with a short description of the OU. The OU structure also forms the basis for reporting channels within the University.

Specifications:

The policy contains guidelines regarding the maintenance of the Organisational Unit structure of the University.

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 - 2.5 Cross-cutting environments
 - 2.6 Official dates regarding unbundling, mergers and shifts
3. Format of the structure
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5. Maintenance of the structure

1. Incorporating an environment into the University's structure

All officially approved environments must be incorporated into the OU structure of the University. New environments must be approved by the Rector's Management Team or the US Council before they can be incorporated into the OU structure.

Institutes, centres, bureaus and units must have a valid set of rules as approved by the US Council. The OU structure will be circulated annually to deans and the responsible heads of centres, which must ensure that all environments are incorporated into the structure. If an environment is dormant, this must be indicated as such so that the OU may be closed.

2. Maintenance of the structure

2.1 Mergers

When official approval has been granted for two environments to merge within the structure of the University, a new OU is created for the merged environments for use from 1 January of the following year. The existing OUs are closed once all the accompanying transactions have been finalised by all the environments concerned.

2.2 Mergers: Transfer of accompanying transactions

A checklist has been compiled according to which the environments must process accompanying transactions. (Refer to the attached checklist). The transfer of related transactions must be done by the environment heads, faculty managers and faculty secretaries concerned to finalise the information for the respective environments that are merging within two months.

2.3 Movement of environments between faculties

When official approval has been given for an academic environment to shift from one faculty to another, the faculty manager / faculty secretary must give an indication to the

Student Records division which undergraduate modules and main postgraduate study fields / sub-modules must shift and whereto. It is very important that undergraduate modules and the main postgraduate study fields / sub-modules be shifted to the correct environment, so that the accompanying student fees transactions and registrations may be correctly transferred. An official date for the shift must be determined and communicated by the Senate /US Council.

2.4 **Dissolution: Accommodation of undergraduate modules and main postgraduate study fields / sub-modules of academic environments that are dissolved**

If an academic environment is officially dissolved and undergraduate modules and main postgraduate study fields / sub-modules are linked to the environment concerned, a new academic OU may be created, directly linked to the dean's division, to accommodate the particular undergraduate modules and main postgraduate study fields / sub-modules concerned. Undergraduate modules and / or main postgraduate study fields / sub-modules can be linked only to an academic department. An official date of dissolution must be determined and communicated by the Senate /US Council.

2.5 **Cross-cutting environments across faculty or Responsibility Centre (RC)'s boundaries**

No structures can accommodate cross-cutting environments across faculty or RC boundaries. For example, Geology, Geography and Environmental Studies, which report respectively to the Faculty of Arts and Social Sciences and the Faculty of Natural Sciences. At present there are 2 OU codes within the structures, viz. Geology (OU0704), which reports to the Faculty of Natural Sciences, and Geography and Environmental Studies (OU0580), which reports to the Faculty of Arts and Social Sciences. The status quo within the OU structure is thus maintained.

2.6 **Closing date**

When environments merge, dissolve or shift, an official date must be determined and communicated by the Rector's Management Team or Faculty Board / Senate / US Council. The environment concerned is maintained until all transactions have been finalised according to the checklist, after which the environment is closed according to a system date. The system date is thus the date on which the OU is closed on the system after the checklist has been completed. This date may thus differ from the official closing date of the environment.

3. **Format of the structure**

All business units of the University are organised hierarchically into Organisational Units. The number of levels within the structure is purely needs driven. For example, the Faculty of Engineering has 3 levels, viz. the Faculty to which departments are attached and then the centres/institutes. The Faculty of Health Sciences has 4 levels, viz. the Faculty to which a department with an executive head is attached, then disciplines/divisions with a discipline head, and then the centres/units.

4. **Outside entities**

Outside entities (e.g. WAT, USD-ED, ASNAPP) report to the respective operational head. The status quo is thus maintained.

5. **Maintenance of the structures**

The Senior Director: Finances and Asset Management maintains the OU code structure and proposes changes after consultation with the affected environments, e.g. Human Resources, Finances, Faculties, etc. OU structure adjustments are evaluated by the Finances committee and then recommended to the Rector's Management Team. All changes must be supported with a documented motivation.

*Contact Division
Financial and Management Systems*

OU CHECKLIST for use during merger or dissolution of an Organisational Unit

Division responsible	Aspect	Action	Person responsible	Date of finalisation
Faculty	Central Computer System	All users of the Central Computer System must be made inactive if they leave US employment or are transferred to the new environment, if a merger takes place. <i>Contact division: Financial and Management Systems</i>	Faculty Manager/ Environment Head	
	<u>Cost centre:</u> FFB184P (CC summary) FFB280P (CC summary per OU)	All active cost centres of the environment must close or be transferred to the new environment. If the cost centre is closed, the balance of the cost centre must be zero. The balance of the cost centre must be transferred to another cost centre. Refer to the financial policy regarding the closing of cost centres. <i>Contact division: Financial and Management Systems</i>	Faculty Manager/ Environment Head	
	<u>Duties:</u> EAS656P (Duty summary)	All outstanding obligations must be followed up and finalised. <i>Contact division: Financial and Management Systems</i>	Faculty Manager/ Environment Head	
	<u>Outstanding debtors:</u> FDB610B (Outstanding debt per OU)	All outstanding debtors must be finalised. <i>Contact division: Debtors</i>	Faculty Manager/ Environment Head	
	<u>Asset register:</u> EBR001P (Assets per venue)	Inform Funds Management which venues are no longer the responsibility of the environment so that they can be made inactive. Create new venues, if necessary. <i>Contact division: Funds Management</i>	Faculty Manager/ Environment Head	
	Undergraduate modules and main postgraduate study fields / sub-modules	Inform Student Records if undergraduate modules and main postgraduate study fields / sub-modules must be shifted.	Faculty Manager/ Environment Head	
Finances	Central Computer System	Make log-on codes on the Central Computer System inactive or shift them to the new environment.	Financial and Management System	
	Cost Centres	Close all cost centres or shift them to the new environment.	Financial and Management System	
	Outstanding debtors	Check that all outstanding debtors have been finalised.	Financial and Management System	
	Asset register	Make "OU code, building, venue, responsible person combinations" inactive and create new combinations, if necessary.	Fund Management	
Student Records		Shift undergraduate modules and main postgraduate study fields / sub-modules, if necessary.		
Human Resources		Shift appointments and close posts, if necessary.		