

UNIVERSITY OF TECHNOLOGY- DRAFT RESEARCH POLICY

1. Mission Statement
2. Guiding Principles
3. Academic Freedom and Research
4. Research Governance- Membership and terms of Reference
5. Research Approval Process
6. Research ethics
7. Policy regarding Bio-safety and Hazards
8. Policy regarding Undergraduate and Postgraduate Research
9. Research Supervision
10. Data Handling
11. Publications and Authorship
12. Conflict of Interest and Research Misconduct
13. Proprietary Research and Research Contracts
14. Intellectual Property
15. Research Entities
16. Research Collaboration and Memoranda of Understanding
17. Research Development Fund (Seed grant) Policy
18. Research Quality and Research Assessment
19. Definitions and Terms

1. Mission Statement

The research policy of the University of Technology, Jamaica [supports the](#) mandate [derived](#) from the University Mission statement on the promotion of learning and a commitment to an environment which supports:

- Excellence in teaching, scholarship and service
- Creativity and innovation
- An ethic of service and professionalism
- The effective application of knowledge
- New technologies through research and development

2. Guiding Principles

The University of Technology, Jamaica is committed to maintaining high ethical standards in its pursuit of excellence in research. In keeping with this commitment, the Research Committee, a Committee of the University's Academic Board, proposes a set of guidelines to ensure responsible research practice. To this end, the Research Committee will periodically set guidelines for the review and approval of all research activities. The purpose of the policy is:

- To provide guidelines for ensuring the integrity of research activity in the university.
- To provide opportunities for staff and students to develop research according to acceptable national and international standards
- To provide a vehicle for the administration of research, grants and research consultancies
- To protect the inventions and intellectual property resulting from university-sponsored research
- To ensure the safety and well-being of research staff, human and [animal](#) subjects and experiments.
- To facilitate the development of teaching, critical enquiry and the furtherance of knowledge through research and the provision of research infrastructure.

3. Academic Freedom in Research

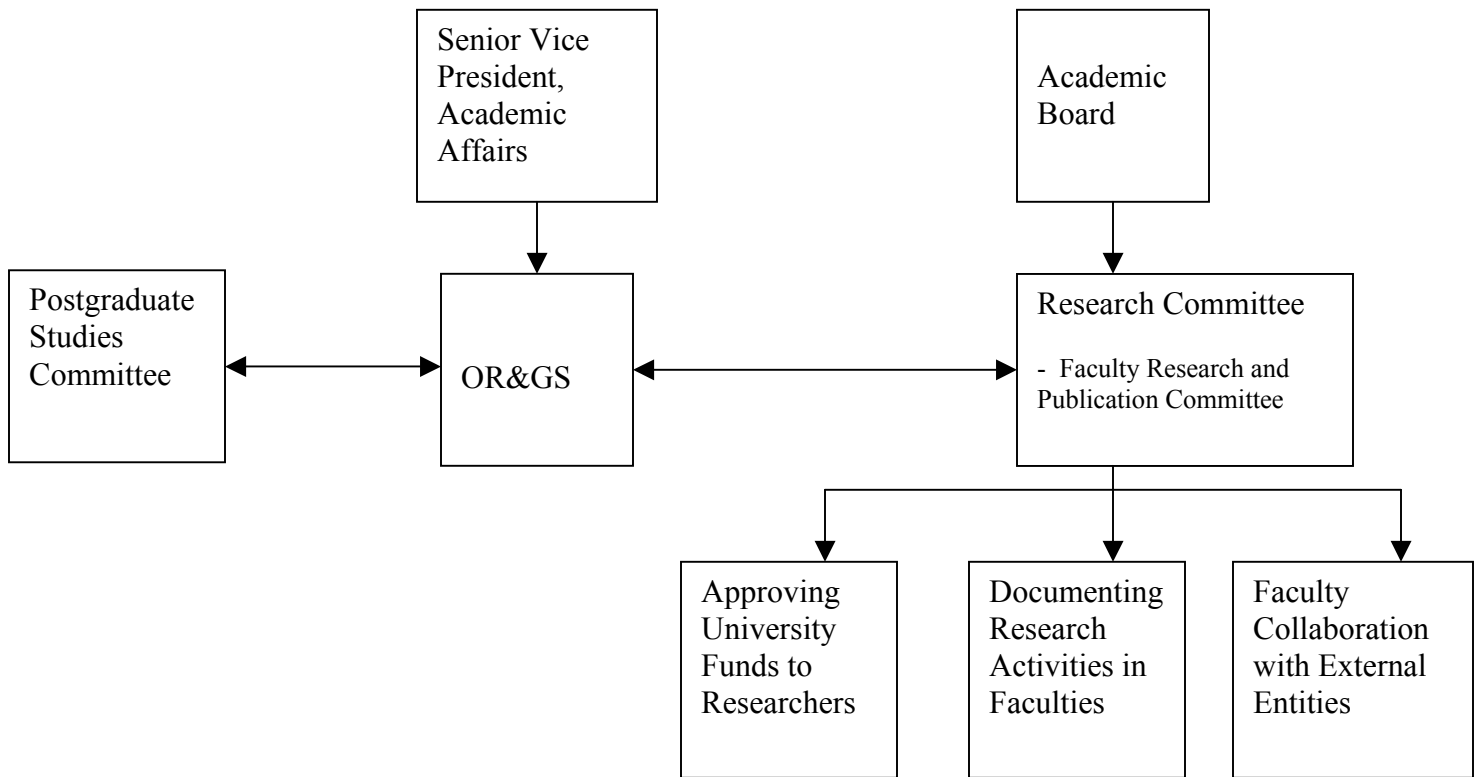
The university fully recognizes the freedom of staff and students to engage in research activity provided that the research for and behalf of the university or using the university's resources does not, in any way, create or have the potential to create a conflict of interest or compromise the integrity of staff, students or the university. Notwithstanding this, the university reserves the right to identify priority areas and foci to which resources will be targeted. These priorities will change from time to time [in accordance](#) with national and global imperatives.

4. Research Governance and Administration in the University

All research activity in the university is centrally co-ordinated through the Office of Research and Graduate Studies. The Director of the Office of Research and Graduate Studies is the Chairperson of the Research Committee and the Office is the Secretariat for the Committee. The Research Committee, as a Committee of the Academic Board assume responsibility, on behalf of the Academic Board, for:

- Advising on university research direction, research strategy and research policy on an-ongoing basis
- Advising on areas of research which university should actively support
- Monitoring the performance of areas receiving active support
- [Setting guidelines for the review and approval of all research activities, through the five Faculty Research and Publications Committees](#)
- Provision of overall research administration: (See Figure I)

Figure I



Membership of the Research Committee

- Deputy Chair of the Academic Board - Ex Officio member
- The Director, Office of Research and Graduate Studies
- The Director, Technology Innovation Centre
- 5 Faculty representatives (1 from each faculty) appointed by the Academic Board upon recommendation from the Chairman of the committee taking into consideration such factors as professional standing and reputation, research standing, university-wide perspective, expertise in working with granting bodies and broad disciplinary clusters within the university.
- 3 External persons with proven track record in industry, research, business or particular professions in Jamaica or in the international community.

Terms of Reference of the Research Committee

Working closely with the Deans, Heads of Schools and Directors, the Committee shall:

- [Review, advise](#) and make recommendations to the Academic Board on research strategy and related areas including the research management system, the research management system and research quality of undergraduate and postgraduate research, the identification of areas of strength and areas deserving support thereby leading to the development of a vibrant research culture and ethic.
- Monitor research performance in areas receiving research support
- Obtain information on faculty research plans and research output
- Consider relevant reports referred to it by the Academic Board or the President
- Report periodically to the Academic Board on progress and evaluations.

[NB: The Research Committee, through the five Faculty Research Committee, monitor research funded by the University and by external sources.](#)

5. Research Approval Process

[Research proposals, both internally and externally funded research](#) must be approved by the Research Committee of the Academic Board and its relevant ethics committee in order to ensure compliance with standards and guidelines on research. [Such research proposals need not be approved by the University's Research Committee but the Faculty Research and Publication Committee must be aware of all research initiatives undertaken and in proposal stage. The Faculty Research and Publication Committee is required to inform the University's Research Committee about such projects through the submission of reports as necessary.](#) All research proposals will be subject to peer review since the judgment of peers and research leaders is a quality assurance mechanism.

All applications for approval of research projects must go through the supervisors/principal investigators and the relevant Faculty committees to the Research Committee for final approval in order to ensure compliance with ethical standards. Supervisors are to ensure that students and other researchers understand the principles and procedures regarding the Research policy in order to ensure that research projects are of acceptable standards and in accordance with the following:

- a. The primary responsibility for the conduct of research rests with the [academic](#) staff conducting the research and in the case of team/group research, the principal investigator or team leader who shall ensure that members of the group understand university policy regarding research and research ethics and shall take reasonable measures to ensure compliance. In the case of student projects, the instructor, supervisor must take all reasonable measures to ensure that student research is conducted in compliance with the research policy.
- b. Research methods and results should be open to scrutiny when required
- c. All projects requiring the use of human or animal subjects must obtain prior ethical approval ([see Appendix I](#)) by filling the appropriate forms provided by the Office of Research and Graduate Studies. Any changes in protocol must be notified and revalidated by the committee on Animal or Human ethics.

6. Research Ethics

The University of Technology, Jamaica is committed to high standards of research integrity. Researchers in the university should therefore demonstrate integrity, honesty and professionalism in the conduct of their research.

The requirement of academic integrity in research include areas involving handling of data; publications (including the avoidance of plagiarism); conflicts of interest and misuse or misapplication of research funds. Any breach of these requirements will result in the penalties sanctioned by the University (see [Appendix 2](#)). Other areas in which ethical conduct is required are:

a. Research involving human subjects

Research involving human subjects must ensure that proper consideration is given to rights of individuals, the risk involved, that informed consent are obtained from subjects prior to conducting the protocol while ensuring that anticipated benefits and the importance of knowledge accruing are explained to the subjects. This policy applies to all research involving human subjects whether the research is sponsored by the university, conducted under the direction of a university employee or involves the use of a university facility.

The Office of Research and Graduate Studies will ensure that all protocols and questionnaires are reviewed and approved according to national and international standards as appropriate. In addition, the university will require that appropriate additional safeguards be put in place in research that involves pregnant women, prisoners, children, the disabled, the aged or other vulnerable groups (see [Appendix 3](#)). The Office of Research and Graduate Studies is responsible for ensuring that:

- 1) the University and all its affiliates comply fully with guidelines requiring notification, counseling and safety in studies involving the Human Immunodeficiency virus (HIV) and other infectious diseases (see [Appendix 4](#)),
- 2) records of consent forms are kept for a period of 5years after the completion of the research activity.
- 3) clear communication is maintained among the research administrators and the research community regarding the safeguarding of the rights and welfare of human subjects.
- 4) University staff members are kept abreast of Health and Safety regulations regarding Human subjects

b. Research Involving Animal Subjects

Any research or teaching involving animal experimentation must fulfill appropriate national legislation and protocols guiding the use of animals in research, ensuring humane care and avoiding unnecessary pain and distress to experimental animals (see [Appendix 5](#)).

Such protocols must be approved by the Research Committee or its subcommittee on Animal Experimentation Ethics. Researchers must complete the appropriate forms provided by Office of Research and Graduate Studies detailing the type of procedure, animal species involved, number of animals, protocol, duration of experiment and the end point of the experiment (see [Appendix 6](#)). The University shall set up an Animal Experimentation Ethics committee whose responsibility is to establish policy and procedures for the approval of the use of animals for scientific experimentation and teaching projects in compliance with national regulations on humane treatment and welfare of animals and to ensure that all applications have been peer-reviewed for scientific merit.(WHY NOT SET IT UP FIRST?)

c. Field Research

All field research involving staff and students must emanate from approved research protocols and must be conducted with due regard to the University's research ethics and policy. All staff and students must wear the identification badges during such field trips. Field assistants and other casual staff employed for research purposes shall operate under the same guidelines regarding staff participation in research. In addition, the following factors must be well-considered before undertaking field work

- a. the state of health of all participants including requirements for immunization
- b. the availability of first-aid care and emergency procedures
- c. the local laws, culture and conventions
- d. the environmental impact of the field work
- e. Provision of training for field workers regarding risks
- f. Insurance cover for property (in case of damage to university-owned equipment), liability (accidental and unintended damage to person or property) and automobile.

7. Policy on Safety and Biohazards

All research in the University must comply with national and international Health and Safety regulations (see Appendix 7).

- i. All research staff are enjoined to familiarize themselves with building, fire and health regulations.
- ii. All laboratories should have first aid kits, fire extinguishers and other protective devices including laminar flow hoods where necessary (see Appendix 7).
- iii. Work involving genetically-modified organisms must be notified to the Office of Research and Graduate Studies
- iv. Disposal of experimental animals, chemical and biological waste must be in accordance with the national safety regulations detailed above.
- v. Use of radionuclides can only be permitted by people with prior training in the handling of radionuclides, in designated laboratories and where adequate monitoring procedures are in place to ensure that pregnant women and minors are not unduly exposed to dangerous radionuclides.
- vi. All dangerous chemical spills and/ or breaches of the safety regulations must be reported to the University Disaster Co-ordinator, the nearest Hospital and the Office of Research and Graduate Studies.

8 Policy regarding Undergraduate and Postgraduate Student Research

This policy relates to undergraduate and postgraduate students who are involved in research as part of their degree programmes

- i. The university shall inform students of all appropriate regulations, policies and facilities regarding research. It is the responsibility of students to follow the regulations and policy regarding research. It is the responsibility of the research supervisor to ensure that students understand and apply the university policy regarding ethics, safety of life and property and the correct usage and handling of equipment while conducting research-including the training of all personnel in the use and handling of equipment, reagents and other materials and the provision of protective clothing, first aid kits and precautionary labeling and handling of hazardous materials (radioactive materials, carcinogens and corrosive reagents etc)
- ii A clear distinction should be made between paid work (for which no credit is earned) and research training which contributes to the student's project. (see Appendix 8)
- iii When a graduate student is paid to work on a research project paid for by an external body, it must be made clear to him/her what his/her duties and responsibilities with regard to the project are. (see Appendix 9)

iv When a discovery is made during the course of a student project, a full discussion must be made within the research group in consultation with the Faculty research adviser regarding ownership of intellectual property, publication rights and if a consensus is not reached, the matter shall be referred to the Office of Research and Graduate Studies for final arbitration.

v. In circumstances where research undertaken for a thesis or dissertation or other form of publication may have commercial sensitivity or where the student or staff feel that their interest would be at risk if the thesis, dissertation or publication were publicly available, the student/staff may apply for a deferment of public availability (see Appendix 10). In those circumstances, the thesis, dissertation or research activity is treated as confidential and restricted to the investigators, the supervisor(s), examiner(s) and student(s) involved in the project. The deferment period shall not exceed one year except in cases where patents are pending and in those cases, will not exceed 3 years.

a. Undergraduate (Final Year) Research Project

The university considers undergraduate training in Research and Research Methodology as vital towards the training of students for a research career and for generating a culture of enquiry and scientific creativity in students

1. The undergraduate (final year) research project shall form part of the examination for an undergraduate degree
2. Procedure for design, supervision and ethics of the project are as outlined in the research policy document
3. All supervisors of the undergraduate project should ensure that students are informed about research policy and guidelines.
4. Appeals against the decision of the Examination Board regarding undergraduate research project must be directed (in writing)through the Head of School to the Faculty Dean within 2 weeks who shall refer the report to the Faculty Appeals Committee (see Appendix 11)
5. The student shall be invited to make submissions to the Faculty Appeals committee and may be represented by a member of the Student Association or any other person of the student's choice
6. The Committee may either uphold or dismiss the appeal and may confirm or adjust the grade for the project
7. The decision of the committee shall be notified to the student in writing

b. Post Graduate Research

Notwithstanding the policies enunciated in the *University's Postgraduate Handbook*, which categorically indicate that such policies are subject to the University's Research Policy, the following shall apply to postgraduate research in general.

- i. Each faculty/school will establish a committee for each postgraduate (research) student consisting of the Principal Supervisor, one co-supervisor and a moderator (internal or external to the faculty) with proven competence in the research field of study.
- ii. Annual progress report should be submitted on each postgraduate student (by research) to the Office of Research and Graduate students.
- iii. Problems arising out of supervision should be addressed first at school/faculty levels and then taken to the Office of Research and Graduate Studies which reserves the right to determine if the issue can be dealt with by the Office or recommend that it goes before the Postgraduate Committee of the Academic Board (see Appendix 12)

c. Appeals against Decisions on Theses and Dissertations

i. Students may appeal against an examination decision on a thesis whether at first examination or re-examination and request for a review of the examiner's recommendations.

ii. Requests for a review is permitted only on the following grounds:

- a. That there were circumstances affecting the student's performance of which the examiners were not aware and which could not have been reasonably made available to the examiner at the time of first examination.
 - b. That there is evidence of procedural irregularity in the conduct of examination, including administrative errors of such a nature as to cast doubt on the validity of the examination.
 - c. That is the evidence of improper assessment on the part of one or more of the examiners
- iii Students wishing to request such a review are to give a notice requesting a review within 3 months from the date of notification of the result. Such appeals should be sent through the Faculty with copies sent to the Office of Research and Graduate Studies.
- iv. A Postgraduate Review Panel shall be constituted by the Postgraduate Committee of the Academic Board and shall comprise persons with experience in the examination of research degrees and a Chair drawn from the membership of the Academic Board (outside of the faculty)
- v. The decision of the Postgraduate Review Panel shall be made to the Academic Board for ratification

8. Data Handling

Research data must be recorded in a durable and verifiable manner. Subject to exceptions based on intellectual property rights, sound research procedures include the discussion of data and methods of data collection with colleagues. Data should be accurate, complete, authentic and reliable and retrievable. Wherever possible, data must be held for **three years** at the Faculty where it was generated so as to make it available to any party requesting same. The minimum retention time is usually 5 years after publication or public release of the research work.

In some cases, such as when data is obtained from limited access databases or in a research contract, it may not be possible to hold them in this way. In such cases, a written indication of the location of original data or key information regarding the limited access database from which it was extracted must be kept in the Faculty. Individual researchers should hold copies of data for their own use. Retention solely by individual students however, provides little protection for the student or the University in the event of any allegation of falsification of data.

9. Publication and Authorship

All staff, including teaching and research tracks, and postgraduate students are encouraged to publish and disseminate the result of their research.

- a. In the case of students, agreement should be reached between student and supervisor concerning authorship of publications and acknowledgement of contributions during and after candidature. This agreement should preferably be in writing and on file ([see Appendix 13](#)).
- b. The minimum criteria for authorship are normally participation in research design or conception, execution, data analysis or critical revising or drafting the paper for intellectual content, interpretation and approval of the final version Authors should ensure that due recognition and acknowledgement is given to other participants in the project.
- c. Publication of multiple papers based on the same set or subset of data is improper and unacceptable unless it is fully cross-referenced or a series of closely-related work or a continuation of an incomplete work. Simultaneous submission of papers based on the same set of data to more than one journal or publishers is actively discouraged and should be brought to the knowledge of the publishers at the time of submission.

- d. In the case of multiple authorship, research collaborators should establish how the attribution of authorship and the allocation of copyright are to be divided based on the significance or quality of scholarly contributions (not administrative hierarchy).
- e. In the case of student/Lecturer collaboration, a student should be granted due prominence on the list of co-authors on a publication based on the student's own work, dissertation or thesis.
- f. All funding sources used in the conduct of the research, as well as other contributors must be duly acknowledged in all the publications.

10. Research Supervision

- a. Each faculty must adopt guidelines for supervision of research in accordance with requirements prescribed by the Faculty Board and in conformity with the guidelines of the Publications committee of the university
- b. Supervisors are expected to provide comprehensive induction for postgraduate students and faculty-specific information. In addition, they should provide information on procedures, programmes, facilities available- library, IT, ancillary facilities, and general information about the university
- c. A supervisor or principal investigator must ensure that students/staff are duly informed on matters of good research practice and ensure compliance with institutional guidelines on research.
- d. A person who is unable to carry out the responsibilities of a supervisor must decline the appointment.

11. Conflict of Interest and Research Misconduct

- a. Conflict of interest may arise when a researcher has an affiliation with or financial interest in the subject matter of the research. Faculty members (including full-time, part time and adjunct), undergraduate and postgraduate students undertaking university-supported research are required to disclose their affiliation with or financial involvement in any organization or entity with direct interest in the student's/staff's research to the Office of Research and Graduate Studies or the Dean of the Faculty. Researchers involved in an ongoing research programme must immediately disclose such information to their group, Faculty, programme, school and /or faculty if it becomes apparent that a potential conflict of interest may arise.
- b. Neither staff or students are permitted to be part of a research project (funded by the University or in collaboration with external sources) in which he/she has a financial interest unless there are specific contractual arrangements made with the University. Such involvement may also be permitted if he/she is in collaboration with the University's Technology Innovation Centre or other Unit.
- c. Members involved or intending to acquire proprietary interest in a research project must inform the students involved on the project and where possible, must distinguish between research for thesis and research for the enterprise.
- d. Staff may not use the result of student project for their own thesis or publications without attribution.
- e. Charges of misconduct can arise from any of the breaches of the guidelines including ethical misconduct- falsifying of data, plagiarism, misuse of research funds provided these are not unintentional errors or differences of opinion or interpretation
- f. Disciplinary measures can be taken in case of breaches of the research policy according to University statutes

12. Proprietary Research and Research Contracts

- a. Any contract entered into on behalf of the University or with the implied commitment of the University must only be signed by the President or by designated officers.

- b. .Where a staff member or a student undertakes research in an institution or organization outside the university, on behalf of the University or arising out of a memorandum of understanding with the University, an appropriate contractual agreement must be arranged between the University and the faculty/staff or student. This ensures that the University is well informed about the project and the facilities and resources utilized for the project and that the rights of the staff or student and institution are adequately protected.
- c. The research group and the leading researcher will determine the Personnel costs in keeping with Labour laws and other national regulations.
- d. All research involving outside funding shall set aside 10% of running costs for university overhead/administrative costs.
- e. 15% of the income received from inventions and patents shall be set aside as reimbursable costs to the university. The remaining 85% shall be divided in the ratio: 1/3 to the University, 1/3 to the inventor and 1/3 to the administrative unit/school/Faculty. In the alternative, the inventor(s) at the time of filing the patent may elect to receive the first sum of \$5000 after reimbursement of expenses and subsequently a division of income at the rate of 20% to the inventor, 40% to the University and 40% to the Faculty/School/Unit.
- f. Each inventor in multiple inventorship must elect on an option for dividing the income (see Appendix 14 on default position if no decision is made by the inventors)
- g. When inventions are made under contract with an outside agency, the division of income shall be in accordance with the terms of the contract. In the event that any contract with an outside body provides for the university to receive unrestricted funds from an invention, such monies would be regarded as income and divided as below:
 - net revenue \$10,000 – 90% for staff member
 - net revenue \$10,001- 100,000- 40% to staff member
 - net revenue \$100,001-\$1m- 20% to staff member
 - net revenue >\$1m 10% to Staff member

The balance of the funds are to be allocated to the University and the Research Development Fund in equal parts.
- h. Funds received by the Faculty, school or unit as its share shall be used for general support of university and Faculty activities with special emphasis on research activities.

13. Intellectual Property

The University wishes to provide a work environment that encourages, stimulates and rewards creativity by all staff and students. The University also wishes to avoid conflict and litigation that may arise over disagreement relating to ownership and revenue accruing from intellectual property. The University therefore wishes to clarify issues relating to intellectual property in a manner that recognizes the ownership and legal rights of parties in an equitable manner and according to university policy on intellectual property.

The University must ensure that appropriate patent and licensing arrangements for all inventions arising from staff research:

- a. **The University as an employer retains the right to ownership to all inventions and research outputs unless the contract of employment provides otherwise (CONFUSING).** This does not mean that all patents should be held in the University's name but the University ought to be informed of all patentable inventions.
- b. Where the University has invested in a project by way of equipment, facilities and funds, it is entitled to full cost recovery and returns.

- c. All copyright in books, journals dissertations or course materials arising from research of its staff belong to the university unless otherwise agreed upon by the University. Monies accruing to the university from research inventions shall be used for research support after administrative costs must have been deducted.
- d. Staff should declare the existence of any intellectual property to the President through the Office of Research and Graduate Studies.
- e. Where the university decides not to take ownership of intellectual property, it can pay for development costs as a charge against the cost-centre concerned or shares any net revenue with the staff member according to the ratio above.
- f. Where a staff member does not declare the existence of intellectual property, all rights and liabilities belong to the staff member provided no University time or resources are involved in its development. The staff member is not entitled to use the name of the University in the marketing of the invention (INTRODUCES GRAY AREA- AS 14A says all must be declared).
- g. Whenever, any intellectual property rights are in conflict with the existing laws of the country, the University shall apply whatever rules and practices are current.
- h. Any intellectual property arising out of student research is owned by the student provided it was not created a cost greater the cost of the student's tuition fees. Where the expense is greater than the student fees, the university shall take over the intellectual property, then the revenue is shared between the student(s) and the university using the same scale as applies to staff. (MORE THOUGHT NEEDED AS SUGGESTS THAT THE FEES ARE REGARDED AS REIMBURSEMENT)
- i. The University's intellectual property policy applies to all staff and students and should be made explicit to all staff and students by their supervisors.

14 Research Centres, Groups and Research Collaboration

1. The University does not encourage secret research of any kind and all research activities must be brought to the attention of the Office of Research and Graduate Studies through the Faculty Research Committees.
2. Research activities undertaken by the University Research centres and other bodies is subject to the requirement of ordinance 1999/5 for the establishment review of other bodies (see Appendix 15)
3. All research activities generated by these bodies by University or external funds must follow the guidelines of research activities in this document
4. The establishment of a University research entity-programme centre, group or bodies may be in response to a general invitation by the President or the Research Committee. However an individual/Faculty/ school or a group can seek permission for the establishment of such a group and recognition for its activity
5. Applications for the setting up of research entity should include (see Appendix 16)
 - a. The title of the proposed entity
 - b. Principal Investigator and co-investigators, research interests and curricula vitae of each of the investigators (attached as appendix)
 - c. A summary statement detailing the research plan and research focus of the group
 - e. A comprehensive description of the proposed research activities of the entity (including time lines)
 - f. Performance indicators and Review plans
 - g. A Budget outline
6. Each research entity shall provide an annual report of its activities to the Research Committee of the Academic Board detailing:
 - a. Research activities- Achievements, results, Publications and Progress towards targets and Objectives, Problems encountered
 - b. Financial Statement
 - c. Postgraduate Student involvement and other Research training activities

- d. Expected outputs during the following year
- e. Financial Budgets for the coming year

15. Research Collaboration and Memoranda of Understanding

The university actively encourages industrial collaboration and other forms of research collaboration with other institutes. However, the university frowns on several groups within the university writing unilateral articles of collaboration with institutes and industrial groups in a fragmented manner because of its legal and ethical implications

- i. When it becomes clear that a research collaboration will be arranged with an institute, the Office of Research and Graduate Studies must be contacted in order to find out whether there is an existing agreement or whether other groups within the university have approached the same body (so as to avoid duplication)
- ii. A draft memorandum or agreement should be drawn by the Legal department of the Institute/University and shown to all parties for review and comments-indicating areas of co-operation, benefits, costs and budgetary implications, intellectual property rights and training components
- iii. Thereafter the Office of the President will sign the final document on behalf of the university and the Chief Executive Officer of the collaborating institute will also append his/her signature
- iv. Copies of research, research reports and financial statements emanating from the memorandum of understanding should be lodged at the Office of Research and Graduate Studies

16. Research Assessment and Research Quality

The University will endeavour to monitor research output and research quality through ex-ante (potential viability and importance) and ex-post (output and impact of research) evaluations and by the evaluating the number of research active staff and by research performance indicators such as the number of postgraduate degree students in a programme, degree completion rates and by bibliometrics (number of publications, impact factors and citation indices) and other measures such as number of patents and industrial collaborations etc) and self-assessment reports from faculties and schools and the meeting of milestones and targets according to faculty research plans.

17 Research Plans and Annual Reports

i. The office of Research and Graduate Studies shall develop a 5-year research strategy (University research plan) which shall serve as a driver for faculty research plans. The plan will be drawn based on stake-holder participation and best practice.

ii Each Faculty shall submit a report annually to the Office of Research and Graduate studies detailing publications, research training, capacity building efforts, external funding seminar and workshops and other research activities during the year. The Office of Research and Graduate Studies shall compile the reports and present them to the Academic Board annually.

18. Research Development Fund Policy

The seed grant scheme has now been operating at the University for the past 2 years. The major aim of the seed grant is to provide support on a competitive basis for high quality research and pilot research projects of modest cost conducted by researchers of proven excellence. A secondary objective is to support new researchers showing clear evidence of high research capacity.

It also seeks to be, in part, a training programme for the preparation of and applying for other competitive grants.

For these reasons, the seed grant has been re-designated as the Research Development Fund (RDF) with the following categories:

a. New Researchers Fund

This fund is designed to support new academic staff when appointed for the first time or staff who are at the beginning of their research career and who may be registered for their postgraduate degree. It is a once-off, take-off grant to enable such staff set up when appointed.

As a complement to the grant, research mentors will be identified for such staff by the Faculty or the Research and Graduate Office in order to guide them into a research career. The availability of funds under the New Researchers Fund will be made known to new staff by Human Resources along with the letters of appointment. Suggested limit JA\$25,00-JA\$30,000.

b. Research Incentive/Feasibility Grant

This is to support individual researchers in developing proposals for funding. It will also serve as a seed grant for novel ideas, for developing partnerships and for identifying partners for collaborative grants which can be developed into a full project. Suggested limit JA\$10,000-JA\$20,000.

c. Individual Research Grant

This fund will be used to support individual researched on an annual basis. This will be based on a peer review of the proposal. Such proposals should have a well-defined sets of objectives, hypothesis to be tested, a budget outline and a clear feasibility of the project within the time line of the project. Suggested limit JA\$20,000-JA\$50,000 per applicant.

d. Group/Team Research Fund

This fund is designed to support identified groups for a period not exceeding 3 years subject to renewal for another 3-year cycle after a full review. Teams/Groups will funded along identified research priorities of the University. A multidisciplinary approach will be preferred. Supported including infrastructural support to the tune of JA\$250,000-500,000 per annum with a maximum of two projects per year.

e. Equipment Grant

This includes grants which vary from support for the purchase of small research equipment to grants for the purchase of multi-user equipments such as **HPLC???**, gene sequencer etc. Such equipment grants may be funded on the basis of matching grants on a 50:50 basis by schools/Faculties. Suggested limit JA\$50,000-JA\$1million.

A. General Conditions

- a. Grants are awarded to a maximum stated above.
- b. Applications may be made for the support of research projects in a wide variety of fields.
- c. Applications must be made **ONLY** on the forms provided. The application must follow the eligibility criteria and the appropriate guidelines.
- d. Support will not be granted where a project forms an applicant's higher degree thesis or forms part of an applicant's degree thesis.
- e. The Grant Scheme is intended to support specific scientific research projects and would not usually make funds available for teaching materials, costs of publication, conference attendance or fees.
- f. Applicants should note that the Office of Research and Graduate Studies does not screen the final copies of applications to the Grant Scheme for errors and omissions. The Office of Research and Graduate Studies is more than happy to peruse and make comments on drafts of applications before the final submission.
- g. Incomplete application forms will be returned for completion.

- h. Re-submitted application forms that remain incomplete will not be considered.
- i. Generally funds **will not normally** be disbursed to underwrite research to be conducted overseas.
- j. All equipment and other relevant material bought remains the property of the **University of Technology, Jamaica**

B. Eligibility

- a. The Grants Scheme is open to academic members of all Faculties who have a tenured/tenurable appointment; have a full-time or partial academic appointment of 50% or more for the academic year.
- b. Researchers may hold more than one grant simultaneously if there is no duplication of the projects.
- c. For projects where researchers collaborate with colleagues from other institutions there will be a case-by-case consideration in light of the possible merit to the University of the collaboration.

C. Selection Criteria

- i. The application proposals will be assessed as follows:
 - The overall quality of the research project – how it can lead to advancement in the conceptual framework of the topic
 - The possibility of important discoveries or innovations or solutions to problems of economic and social significance (40 points)
 - Coherence and clarity of the research proposal (30 points)
 - The quality and feasibility of the proposed research in light of the cost (the adequacy and justification of the budget) and outcomes (where researchers would perhaps be more competitive for larger grants, publication). (20 points)
 - Proven track record of the researcher/s in terms of publications or other outcomes (5 points)
 - Consistency with the University of Technology’s policy on Research and Development (5 points)
 1. Applicants can indicate in their applications, which of these criteria is specific to the evaluation of their applications. The Office of Research and Graduate Studies will use all criteria as applicable.
 2. All applicants are strongly advised to present their applications so that the applications show originality and quality to a team of experienced researchers who may not be expert in the particular area of study.

D. ASSESSMENT

(i) Preliminary Faculty Level Assessment

- a. All RDF grant applications should be submitted to the respective Faculty Research Committee for review. The relevant dates in the bi-annual submission process is as follows:
 - Open – March 1 and October 1 each year
 - Close – March 31 and October 31 each year
 - **Applications should be submitted to the Faculty Research Committee – by March 31 and October 31 respectively**
 - Faculty Research Committee reviews application using the criteria in section titled *Selection Criteria*. Approved applications with written recommendations are then submitted to the Dean for written endorsement.
 - All approved and endorsed applications should be submitted by the Deans’ office to the OR&GS – by April 15 and November 15 respectively.

- OR&GS distributes copies to the Research Committee – by April 30 and November 30.
- Final Decision made using the criteria in section titled *Selection Criteria* by May 15 and December 15.
- Formal communication to applicants- by May 31 and January 15

(II) **External Assessment**

- a. The Office of Research and Graduate Studies reserves the right to seek external assessment.
- b. If it is the opinion of the Office of Research and Graduate Studies that an application is not competitive, it will not be forwarded to an assessor. The criteria to determine if the application is competitive is listed in the section titled *Selection Criteria* above. (IS THERE A MINIMUM SCORE?)
- c. Scores will be given within the ranges shown. The scores assigned will not be released outside of the Office of Research and Graduate Studies.
- d. The applications will be ranked on the basis of the numerical scores.
- e. Applications in the higher ranges may be studied by at least two assessors.
- f. Persons appointed as assessors will be asked to provide recommendation to the Office of Research and Graduate Studies based on the criteria listed in the section called *Selection Criteria*.
- g. Anonymous copies of assessors' reports will be distributed to applicants. Applicants will then have a time frame in which to respond to the Office of Research and Graduate Studies concerning the reports. These responses should be no more than one page.
- h. Applicants will not be interviewed
- i. Final recommendations for funding will be made by the Office of Research and Graduate Studies after receipt of the assessors' report and applicants responses.
- j. Applications may be conditionally approved. In such cases there will specific details if they are to re-submit in the next batch or if they are to make relevant changes and be considered as part of the particular batch.

DEFINITION OF TERMS

1. Definitions

Unless specified otherwise in this document:

Author means a person, normally the researcher who prepares a communication on the research or, if more than one researcher is involved, a person, normally a researcher, who with the consent of the other researchers involved in the research accepts the primary responsibility for preparing a communication on the research for release on behalf of all the researchers.

Communication means a report on the research for publication electronically or otherwise in an academic or professional journal; or a report for conveying the findings of the research to sponsors and/or the public electronically or otherwise; or report to a conference or other forum.

Data means the source material upon which the findings of the research are based, usually held as paper or electronic documents but it excludes materials or substances, which may appropriately be regarded as samples or apparatus. In the Visual and Performing Arts **data** may mean additionally or alternatively materials or media other than documents upon which the findings of the research are based.

Ex-ante Evaluation this means evaluation conducted before research commences, usually on the viability and quality of proposals.

Ex-post Evaluation: Evaluation research output – publications, postgraduate students, external funding etc.

Intellectual Property Creations of the intellect such as inventions, literary and artistic works and symbols, names and images in commerce. There are two types of intellectual property patents (patentor inventions, industrial designs, trademarks) and copyright.

Participant means a person willingly takes part in a research project.

Patent – A patent is an exclusive right granted for an invention, which is a production or process that provides a new technology or a new way of doing something.

Principal Investigator – Team leader of a research project

Research active staff- number of staff actively involved in research

Research Assistant means a research student, technical officer or some other person who has made a substantial contribution to the conduct of the research.

Research Proposal means a document prepared by a researcher in accordance with University policy which describes the aims and methodology of the research.

Researcher means a staff member or student of the university or a person in any way affiliated with or associated with the university, who has participated in conceiving, executing or interpreting a substantial portion of the research.

Sponsor means a person or body that contributes in a substantial way to the funding of the research including persons or bodies who commission research.

Supervisor means a qualified and experienced person appointed by the Office of Research and Graduate Studies or a Faculty Board of the University to supervise a researcher undertaking research within the University. A supervisor is not deemed to be a researcher with respect to the research being undertaken by the researcher whom he or she is supervising.

First draft prepared by C Archer/M Curtis/M Cley 03/2001. Redrafted and upgraded by Ade Ogunrinade (7/2002)