

UNIVERSITY OF TECHNOLOGY, JAMAICA

ACADEMIC POLICIES		POLICY REFERENCE NO: 2013/A/11/138A-4
Division/Department/Centre: School of Graduate Studies, Research and Entrepreneurship		Approval Authority: Academic Board
		Approval Date: November 25, 2013
Subject: Research and Development Fund Guidelines		Confidentiality Limitation: None
Implementation Date:	Revised: August 28, 2017	Review Date:

Contents

1. Introduction	2
2. Research Projects	2
3. Publication Fees for Books, Book Chapters, and Refereed Journal Papers	5
(Awards of up to a maximum of US\$1,000)	
4. Research Capacity-Building Activities	6
(Awards of up to a maximum of \$500,000)	
5. Protection of Intellectual Property	7
(Awards of up to a maximum of \$500,000)	
6. Conversion of Conference Presentations to Journal Papers	7
7. Development of publications derived from Theses/Dissertations	7
8. Hosting of Conferences	8
9. Appeal of Decisions	8
10. Student Participation and Projects	8
11. Submission Procedure	8

Noted by Council on September 18, 2017 (Refer Paper 2017/C/09/81E-1)

Revision approved by Academic Board on August 28, 2017 (Refer Paper 2017/A/08/96D)

First approved by Academic Board at meeting held November 25, 2013 (Refer Paper 2013/A/11/138A-4)

Approved by Board of Graduate Studies Research and Entrepreneurship at meeting held August 28, 2013 (Refer Paper 2013/BGSRE/08/32)

Approved by Faculty Graduate Studies, Research & Entrepreneurship Committee at meeting held July 4, 2013 (Refer Paper 2013/FGSRE/07/110)

1. Introduction

Internal funding support for staff research is provided through UTech's Research Development Fund (RDF), which is managed by the SGSRE. The RDF is an institutional fund, which was originally established in 1998 to stimulate a research culture and build the University's research capacity. The fund has been revised a number of times since its inception to respond to the growing needs of staff, and in keeping with the University's research agenda.

Support will be provided for all areas of research undertaken by UTech, Jamaica staff members. Staff members are eligible to more than one RDF award at any one time. Support will be provided to junior and senior academic and administrative staff members in positions which require research as a part of their job functions.

The RDF provides funding for the following activities:

1. Research Projects
2. Publication Fees for Books, Book Chapters, and Refereed Journal Papers
3. Research Capacity-Building Activities
4. Protection of Intellectual Property
5. Conversion of Conference Presentations to Journal Papers
6. Development of publications derived from Theses/Dissertations
7. Hosting of Conferences
8. Research required to publish articles, book chapters and books

2. Research Projects

- Funding is available in two categories, as under:

2.1. Group Research Projects – (Awards of up to a maximum of J\$1,000,000)

This category is designed to support identified groups comprising at least two faculty members. Each Faculty should provide at least one team/group per academic session.

Broad Criteria for Group Research are:

- Groups may include external institutions with which UTech has MOUs.

Noted by Council on September 18, 2017 (Refer Paper 2017/C/09/81E-1)

Revision approved by Academic Board on August 28, 2017 (Refer Paper 2017/A/08/96D)

First approved by Academic Board at meeting held November 25, 2013 (Refer Paper 2013/A/11/138A-4)

Approved by Board of Graduate Studies Research and Entrepreneurship at meeting held August 28, 2013 (Refer Paper 2013/BGSRE/08/32)

Approved by Faculty Graduate Studies, Research & Entrepreneurship Committee at meeting held July 4, 2013 (Refer Paper 2013/FGSRE/07/110)

- Research must be in line with the University's niche areas
- The research results must have the potential for industry, market related, and national impact
- Group projects must facilitate team cohesion/growth (research team building)
- Group projects must have potential for novel ideas/innovation
- Priority will be given to group projects that are cross-faculty in composition

2.2. Individual Research Projects – (Awards of J\$300,000*- J\$500,000)**

This category supports individual projects that are led by one faculty member. Individuals may receive support from other stakeholders.

Broad Criteria for Individual Research are:

- Individual projects should have potential for publication (journals, conferences, etc.)
- There must be a clear linkage to area of individual expertise/qualification
- . *For first-time publishers/researchers and publishers/researchers with limited experience (these applicants will not be required to be part of an established research team).
- ** In exceptional cases, and with clear justification, an award of J\$1 million may be made to an individual applicant.

2.3. Concept Notes

- (a) Prospective applicants are encouraged to submit brief concept notes (1-3) providing a synopsis of their projects Purpose, Objectives, Expected results/outcome and estimated Budget. Reviews of concept notes will normally be done and responses given within two weeks. In cases where the concept notes receive favourable reviews, applicants will be requested to develop and submit a full proposal for evaluation. Reviews of proposals will normally be done and responses given within four weeks.**

Noted by Council on September 18, 2017 (Refer Paper 2017/C/09/81E-1)

Revision approved by Academic Board on August 28, 2017 (Refer Paper 2017/A/08/96D)

First approved by Academic Board at meeting held November 25, 2013 (Refer Paper 2013/A/11/138A-4)

Approved by Board of Graduate Studies Research and Entrepreneurship at meeting held August 28, 2013 (Refer Paper 2013/BGSRE/08/32)

Approved by Faculty Graduate Studies, Research & Entrepreneurship Committee at meeting held July 4, 2013 (Refer Paper 2013/FGSRE/07/110)

Application: Applications for RDF Funding for Research Projects should be done using Application Form-1: Research Projects

Evaluation Criteria for applications for RDF Funding for Research Projects

Criteria	Maximum Score*
Merit of the research project	30
Coherence, clarity and overall design of the research project	25
Demonstrated ability and track record of the researcher (s) to achieve the proposed project goals**	10
Potential to enhance the University's contribution to policy or technical initiatives or to add to the stock of knowledge in particular areas of study	15
Cost-effectiveness of the project	20
TOTAL	100

A minimum score of (50 must be attained to support a recommendation for funding

**** Not applicable to first-time publishers/new researchers**

Reporting and other requirements

Awardees are required to abide by the following requirements:

- Grant cheques are made payable to team leaders. The SGSRE must be receipted for all cheques received.
- Submission of a periodic report for SGSRE records, which will assist in promoting UTech's research activities/output.
- Presentations at UTech seminars and other public fora, which will include team members and other stakeholders.

Checks and Balances

Consequences of non-performance after being awarded an RDF grant are as follows:

- Disqualification from further grant funding for a period to be determined by the University.

Noted by Council on September 18, 2017 (Refer Paper 2017/C/09/81E-1)

Revision approved by Academic Board on August 28, 2017 (Refer Paper 2017/A/08/96D)

First approved by Academic Board at meeting held November 25, 2013 (Refer Paper 2013/A/11/138A-4)

Approved by Board of Graduate Studies Research and Entrepreneurship at meeting held August 28, 2013 (Refer Paper 2013/BGSRE/08/32)

Approved by Faculty Graduate Studies, Research & Entrepreneurship Committee at meeting held July 4, 2013 (Refer Paper 2013/FGSRE/07/110)

- Right by the University to recover money unaccounted for through legal action.

3. Publication Fees for Books, Book Chapters, and Refereed Journal Papers – (Awards of up to a maximum of US\$1,000)

In addition to research projects, the RDF provides support to offset the publication fees for Books, Book Chapters, and Refereed Journals Papers. Broad Criteria for Research Publication Fees are:

- 2.1. Papers must be accepted by a peer-reviewed journal
- 2.2. Publications must be in line with the University's main research.
- 2.3. In the case of papers written by a group, the lead author must be from UTech

Application: Applications for RDF Funding for payment of Publication Fees for Books, Book Chapters, and Refereed Journals Papers should be done using Application Form-2: Publication Fees

Evaluation criteria for applications for RDF funding support for payments of publication fees

Is the Journal refereed/peer-reviewed?
A copy of the paper's Abstract is provided (if an abstract is required for publication)?
A copy of notification of paper's acceptance is provided?
Proof of issuance of an ISBN is provided (for books/book chapters only)?
Name of publishing house
A copy of an invoice with amount payable is provided?
Is the amount payable within the established threshold?

****All the applicable criteria stated above must be satisfied**

Noted by Council on September 18, 2017 (Refer Paper 2017/C/09/81E-1)

Revision approved by Academic Board on August 28, 2017 (Refer Paper 2017/A/08/96D)

First approved by Academic Board at meeting held November 25, 2013 (Refer Paper 2013/A/11/138A-4)

Approved by Board of Graduate Studies Research and Entrepreneurship at meeting held August 28, 2013 (Refer Paper 2013/BGSRE/08/32)

Approved by Faculty Graduate Studies, Research & Entrepreneurship Committee at meeting held July 4, 2013 (Refer Paper 2013/FGSRE/07/110)

4. Research Capacity-Building Activities

(Awards of up to a maximum of \$500,000)

In addition to research projects and referred journal publication fees, the RDF also provides support for research capacity-building activities (e.g., study tours and short-term, intensive research training in clearly-defined areas). *Funding under this heading is very limited.*

Application: Applications for RDF Funding for research capacity-building activities should be done using Application Form-3: Research Capacity-Building

Evaluation criteria for applications for RDF funding for research capacity-building activities:

Is the request for support justified within the context of the specific skills that will be acquired, and the expected benefits that will accrue to the applicant and UTech, Jamaica?
Is there evidence of demonstrated ability of the applicant to undertake research?
Is the request relevant and consistent with UTech, Jamaica's research policy ?
Is a copy of the applicant's CV provided?
Is documentation confirming receipt of or application for additional funding provided?

***All the criteria stated above must be satisfied**

Noted by Council on September 18, 2017 (Refer Paper 2017/C/09/81E-1)

Revision approved by Academic Board on August 28, 2017 (Refer Paper 2017/A/08/96D)

First approved by Academic Board at meeting held November 25, 2013 (Refer Paper 2013/A/11/138A-4)

Approved by Board of Graduate Studies Research and Entrepreneurship at meeting held August 28, 2013 (Refer Paper 2013/BGSRE/08/32)

Approved by Faculty Graduate Studies, Research & Entrepreneurship Committee at meeting held July 4, 2013 (Refer Paper 2013/FGSRE/07/110)

5. Protection of Intellectual Property

(Awards of up to a maximum of \$500,000)

In addition to research projects, referred journal publication fees, and research capacity-building activities, the RDF also provides support for protecting intellectual property generated at UTech.

Application: Applications for RDF Funding for protection of intellectual property should be done using Application Form-4: Protection of IP.

Evaluation criteria for applications for RDF funding for protection of IP:

Is the application consistent and compliant with UTech's IP policy and applicable procedures?
Does the commercial potential of the IP justify the cost of protecting it?
Is documentation confirming the amount payable provided?

***All the criteria stated above must be satisfied**

6. Conversion of Conference Presentations to Journal Papers

Successful applicants will be granted up to a maximum of J\$100,000 for securing needed assistance to transform ideas, or concepts presented at conferences into papers suitable for publication in peer-reviewed journals. Applicants should include in their applications information about the particular kind of assistance the funds will be used to acquire.

7. Development of publications derived from Theses/Dissertations

Staff members may apply for support to convert Theses/Dissertations into books, or conversion of individual chapters into papers suitable for submission to peer-reviewed

Noted by Council on September 18, 2017 (Refer Paper 2017/C/09/81E-1)

Revision approved by Academic Board on August 28, 2017 (Refer Paper 2017/A/08/96D)

First approved by Academic Board at meeting held November 25, 2013 (Refer Paper 2013/A/11/138A-4)

Approved by Board of Graduate Studies Research and Entrepreneurship at meeting held August 28, 2013 (Refer Paper 2013/BGSRE/08/32)

Approved by Faculty Graduate Studies, Research & Entrepreneurship Committee at meeting held July 4, 2013 (Refer Paper 2013/FGSRE/07/110)

journals. Applicants should include in their applications information about the particular kind of assistance the funds will be used to acquire.

8. Hosting of Conferences

Academic units may apply for up to J\$100,000 to support conferences they are hosting, provided that the majority of the presentations will be made by their staff members.

9. Appeal of Decisions

Unsuccessful applicants may submit appeals, through the President, to a panel comprising three professors of the University. The Appeals Panel will review such cases, taking into account all relevant considerations.

10. Student Participation and Projects

In normal cases, students may participate in projects submitted for consideration by relevant University officers for support from the Research Development Fund. Students acting on their own without supervision of relevant University officers will not normally receive financial support from the Research Development Fund for student projects.

11. Submission Procedure

Applications for support from the Research Development Fund may be submitted directly to the SGSRE for consideration. Copies of each application should also be transmitted to the Dean of the College or Faculty or Head of the relevant Units of the University, of the lead applicant to the Fund. Failure to provide a copy of an application to the Dean of the relevant College or Faculty will not lead to disqualification of the application, but it could prompt a slight delay in the processing of the application while a copy of the documentation is forwarded by the SGSRE to the Dean concerned.

Noted by Council on September 18, 2017 (Refer Paper 2017/C/09/81E-1)

Revision approved by Academic Board on August 28, 2017 (Refer Paper 2017/A/08/96D)

First approved by Academic Board at meeting held November 25, 2013 (Refer Paper 2013/A/11/138A-4)

Approved by Board of Graduate Studies Research and Entrepreneurship at meeting held August 28, 2013 (Refer Paper 2013/BGSRE/08/32)

Approved by Faculty Graduate Studies, Research & Entrepreneurship Committee at meeting held July 4, 2013 (Refer Paper 2013/FGSRE/07/110)