iTER

RESEARCH POLICY

The Mico University College

1A Marescaux Road, Kingston 5

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1. INTRODUCTION

The Mico University College recognises the crucial role that Universities play in developing a knowledge economy. A significant responsibility is to provide research based guidance and advice to the Ministry of Education and other government Institutions, on critical cross cutting issues. This includes a problem solving dimension, on areas such as education and leadership, the environment, dwindling natural resources, and entrepreneurship.

The Mico University College's strategic plans are aligned to the National Strategy for University Education, which seeks "to improve quality and relevance of learning through research for socio-economic transformation of society.'" Consequently, The Mico University College has highlighted the following strategies:

- development and implementation of a Research Policy;

- expansion of opportunities for local, regional and international exposure and participation in learned fora

- establish links with both public and private sectors for purposes of research and consultancy contracts.

In an attempt to fulfil the above functions and objectives, the university has embarked on the following:

- Re-organizing both its academic and research programmes in line with changes in its management strategies.

- Developing a research policy to provide oversight for research activity management

- Enhancing the university's participation in the global research

The Mico University College commits itself to establishing, maintaining, and protecting an enabling research environment that promotes innovation, production, domestication and stimulating exchange of ideas within the University community and with the outside world. An enabling environment takes into account appropriate governance structures whose mandate is to support the development and maintenance of research structures and institutional relationships consistent with these commitments and international standards. This policy shall provide a clear orientation that should serve to counteract the relatively widespread attitude regarding the usefulness of research

As its core, the University's research strategy combines selectivity in targeting and supporting research excellence with a commitment to ensuring the existence of a sustainable research culture. The University will allocate its research funding to support this strategy

2. SCOPE

This policy is applicable to all of the University College's staff and students who are involved in research, including individual researchers, department, faculties, schools, centres and institutes. It is also applicable to those who teach research, the content which is taught, the manner in which student research is conducted and marked. Finally the scope of this policy extends to the governance arms of the University College which adjudicate on any student or faculty matter that involves research.

3. PURPOSE

The purpose of this policy is to provide a framework to establish the guidelines for the research processes for Faculty, Students and administrators and shall include:

- The enhancement of teaching and learning
- The enhancement of research activity and information sharing through conferences; seminars and other mode of international exposures.
- Making decisions relating to research awards, promotion and tenure
- Developing and monitoring the ethical framework that governs research.

4. DEFINITIONS

For purposes of this policy, unless otherwise stated, the following definitions shall apply:

Research Project	Comprises any "creative work undertaken on a systematic basis in order to increase the stock of knowledge and expertise, and the use of this stock of knowledge and expertise to devise new applications." It is used to establish or confirm facts, reaffirm the results of or expand previous work, solve new or existing problems, support or develop new theories.
Commercial Research Project	Any research project undertaken for financial gain or possesses the potential to do so. This includes research contracts undertaken with private sector, enterprises and government(s); and may involve the conversion of prototypes into marketable products.
Research Data	Any data, records, files or other elements that form the basis of the main inferences, observations, findings, conclusions, outcomes or elements of a research project or publication, irrespective of the form in which it exists (e.g. in print, electronic, physical, multi-media or other forms).

Researcher	Any person associated with the University College, who conducts research in the course of employment or study or has a formal research affiliation with the institution.
Lead Researcher	The primary person managing the research process; the person most accountable for the project team. In cases of collaborative research, the lead researcher may be the party listed as the primary researcher under a research contract.
Research Misconduct	Is a violation of the standard codes of scholarly conduct and ethical behaviour in research and may include:

- fabrication of data: claiming results where none has been obtained;
- falsification of data, including changing records;
- plagiarism, including the direct copying of textual material, the use from other people without adequate attribution;
- misleading ascription of authorship, including the listing of authors without their permission, attributing work to others who have not in fact contributed to the research, and the lack of appropriate acknowledgment of the work of a student or associate;
- other practices that seriously deviate from those commonly accepted within the research community for proposing, conducting or reporting research;
- an infringement of the University College's Policy on Research Conduct or other research related policies that is either intentional or caused by negligence;
- negligence, or failure to uphold commonly accepted standards in the conduct of research within the relevant field of research.

Academic Staff	Persons employed to the University College in the capacity to teach research or otherwise supervise academic processes or proceedings and may include Professors, Deans, Heads of Departments and Centres, Lecturers and/or Researchers. Academic Staff are also referred to as 'faculty"
Publication	Any research output in print or electronic form based on the activities of the researcher's reports and technical reports, where these are related to a programme of research (including internally and externally funded research), even where these have a limited circulation and have been prepared to report on progress of the research.

Research Management	The oversight, direction and coordination of the research environment. It is an institutional responsibility with aspects of accountability resting with ITER.
The Mico Foundation	A duly registered company in Jamaica that owns the property on which the University College is located and supports many of the research projects undertaken by the University College.
ITER	The Institute of Technological and Educational Research is a centre of the Mico University College, governed by an advisory board and is mandated to stimulate and facilitate the broad research agenda for the institution.

5. OBJECTIVES OF THE RESEARCH POLICY

The Mico University College seeks to achieve distinction in Research as a major strategic objective; to this end the University College requires its academic staff to lead in research. The University College has also implemented research as a major part of its focus both at the undergraduate and graduate levels, where students can be engaged and be supported in their research activities. The University College shall therefore promote a culture of enquiry, independent learning and a research environment in keeping with its educational thrust and that of the nation.

Specifically it will

- Create the enabling environment to support quality research processes and output at the undergraduate, graduate, faculty and Institutional levels to:
    - Increase the number of research students through planned growth
    - Increase annual number of research degree completion
    - Increase the number of the research active members of staff
    - Increase faculty/student collaboration
    - Ensure adequate working and social space for research students
    - Increase faculty/student collaboration
- Enhance the profile of The Mico through numerous top quality journal publications research citations and research awards;
- Initiate and strengthen collaborative research with national, regional and international institutions;
- Influence Public Policy in Education

5.1   Research Strategy

The Mico University College will collaborate with inductry in knowledge management, innovation and wealth creation, the Strategy shall therefore be built around four strategic pillars

- The Research Environment: Incrementally create a supportive environment conducive to the production of high quality research output by faculty and students

- Research Excellence: Recognising research excellence in faculty and students

- Interdisciplinary Research: Encourage collaborations across faculties, Institutes and Centres

- Knowledge Exchange: Support local and international fora for the exchange of knowledge, inclusive of conferences, seminars, attachments and study tours.

6.   THE RESEARCH PROGRAMME

The Mico University is committed to supporting a robust research programme which will minimally include:

- Faculty led Research Seminars
- Public Distinguished Lectures
- Graduate students' Research Seminars
- Field research and scientific experimentation by faculty and Graduate Students
- Regularly scheduled Research Day Conference
- The publication of the Mico Journal of Education
- Awards for Excellence in Research for faculty, undergraduates and graduate students

6.1   Research Publications

Researchers are encouraged to disseminate their research and research findings in an appropriate form, usually as papers in refereed journals. Publication and wider dissemination of research and research findings must be carried out responsibly and with an awareness of the consequences of dissemination in the wider media.

- A publication must contain appropriate reference to the contributions made by all participants in the relevant research;

- The research funder should be notified in advance when research might be published, publicized or disseminated;

- Any person who has not participated in a substantial way in conceiving, executing or interpreting at least part of the relevant research is not to be included as an author of a publication derived from that research;

- In addition to meeting the requirements of the points above, an author must ensure that the work of research students, research assistants, research officers, and technical officers is recognized in all publications derived from research to which they have made a contribution;

- A publication which is substantially similar to other publications derived from the same research must contain appropriate reference to the other publications;

- A researcher who submits substantially similar work to more than one other publisher should disclose that fact to the publishers at the time of submission;

- Publication and dissemination of work electronically or on the Web should be treated with the same degree of integrity as every other form of publication;

- Individuals who are or have been the participant of the research should not be personally identified or identifiable in any publication. Measures should be taken to disguise the identity of research subjects unless explicit consent is given by them for revealing their identity.

- In the event of misconduct see section

In addition to publications, all external communications, whether through websites, e-bulletins, press releases, media briefings, or events should be undertaken with the core principles of openness, transparency and accountability. (See section 9.5)

7.   SUPPORT FOR RESEARCH

7.1   Resources in Support of Research

The Mico University College shall establish a Research Fund overseen by a Funding Committee (See 7.1.1). The University College Research Fund shall offer limited support on a competitive basis for research projects, fellowships and grants. The funds will particularly favour research programmes which require seed funding for projects that have promise to attract bigger funds. Budget allowable costs may include supplies, non-faculty salaries, and travel expenses related to the project. Faculty and schools shall allocate research funding according to their internal priorities and processes. Salary support for Faculty is not allowable.

The Research Fund shall support the work of:
- Faculties, Centers and Institutes
- Individual Researchers to include early career researchers and new staff
- Graduate students

Proposals of each research project shall be evaluated by the Funding Committee.

Faculty and schools shall allocate research funding according to their internal priorities and processes.

7.1.1 The Funding Committee

A Funding Committee shall be established at The Mico University College chaired by the President of the University College. The Committee shall oversee and monitor funding for research projects, whether the funds are generated from internal sources or not.

The Committee shall consist of five persons approved by the Academic Board. The Committee shall determine its own terms of reference and shall monitor its own proceedings.

The Funding Committee shall review the eligibility of the candidates and determine whether or not the funds shall be awarded.

7.1.2 Eligibility

Persons shall apply to the Funding Committee for funding including fellowships and grants. The persons eligible to receive funding shall be any member of staff or graduate student who:

- has demonstrated satisfactory compliance with relevant research benchmarks;
- can establish that they are unable to receive any or sufficient alternate funding and who is the first or second author of a paper accepted for publication at a recognized international conference;
- satisfy any other requirements of the Funding Committee.

7.1.3 Source of Funds

The University College is prepared to support research that is aligned closely with the University College's strategic priorities.

i)   Funds may be generated internal and shall be drawn from:

- the University Budget,
- Consultancy Funds (to be established)
- The Mico Foundation

The Mico Foundation may also provide

- grant writing or other technical support,
- contractual arrangements, and
- financial management services

ii)   Funds may be generated externally. External Funding bodies shall provide guidelines, terms and conditions for the use of the research funds.

7.1.4   **Use of Research Funds**
The criteria for disbursing fellowship and grants shall be established by the Funding Committee.

The Fellowship and Grant fund may cover
- Research, to include the acquisition of resources/materials
- Study, and Travel for conference presentations
- Awards for Research excellence
- Publishing in journal publications

Researchers must follow all University guidelines on the management and disbursement of funds. It is not permitted to divert research resources for personal use, except in cases where the grant or contract specifically provides otherwise or permission has previously been given.

Where an external research funding body provides guidelines on the use of research funds, researchers must follow those guidelines scrupulously, including adequate reporting of financial statements as required by the University College

7.1.5   **Misuse of Funds**
Should misuse of research funds occur, offenders will be subject to the disciplinary procedures and in accordance with the policies of the University College.

7.1.6   **Time**
The University has developed guidelines on academic workloads that provide time for research. The guidelines further stipulate that if this time is not used for research a staff member may be required to undertake additional teaching as per the Workload Policy.

The University will work to provide staff with sabbatical leave, or research leave to allow staff to publish results of important research outcomes that would otherwise take longer to reach publication.

The academic staff member shall apply for sabbatical leave or research leave with the Dean's endorsement. The application shall be made through the HR Department.

7.2 Building Partnerships

7.2.1 Attracting Eminent Scholars

The University aims to build partnerships and attract scholars through:
- Strengthening links with specific funders from the public and private sectors
- Collaborating with other recognized universities regionally and internationally
- Developing a Visiting Research Scholars scheme

The Office of the Pro-Vice Chancellor, Academic Affairs and Research, assisted by the relevant university units will give oversight and support to all the above including the dissemination of research expertise details, negotiating contracts, protecting and marketing Intellectual Property, and the encouragement of the formation of new commercial ventures.

7.3 Library and ICT support

Library and ICT services are important elements that support research output, access and visibility. The University College is committed to:
- incrementally increasing its Library/ICT budget;
- increasing its Library holdings;
- promoting the use ICT in research; and
- maintaining a subscription the Open Access Initiative which allows the researchers to access current online journals).

The University will establish an Advisory Group on ICT Support in Research (AGISR) with the Library and Information Technology Committee. This Task group will draw membership from the Library, Postgraduate Committee, Research and Publications Committee, and if necessary Mathematics and Statistics Departments.

AGISR will pay particular consideration to the provisions of:

- support for postgraduate students who need ICT in their research programmes;

- support for video conferencing; and

- remote cooperative work over information networks, including virtual attendance to electronic research seminars or workshops.

8. ROLES AND RESPONSIBILITIES

8.1 General Roles

Research Management is the oversight, coordination and direction of the research environment. It is an institutional responsibility that all stakeholders must execute in accordance with the University Colleges strategic objectives, policies and procedures, with ultimate accountably resting with ITER.

8.2 The Institution

The institution shall:

i) ensure that all new academic staff are fully familiar with the fact that research will form an integral part of their requirements as an academic, and that they should also become familiar with the policy on research through the orientation process;

ii) utilise research record as a basis for contract renewal, promotions and tenure and awards through the performance evaluation process;

iii) establish the means to conduct institutional research to maintain quality standards;

iv) provide funding support for research and journal publications;

v) provide support for ethical oversight of research activities;

vi) require full accurate research details of staff research output;

vii) monitor and evaluate research outputs;

viii) publish an annual list of staff and student publications.

8.3 Research Institutes and Research Centres

Institutes and centres are approved by the Board. The term "Centre" or "institute" is only to be used after approval. Research groupings not so approved should use other general identifiers such as "project" or "unit. The Mico University college has established research centres to:

- raise the research profile of the University,
- focus strengths in areas where there is (or the University wishes to develop) a concentration of research excellence, including areas of applied research,
- to maximize external research funding,
- support the development of a spirit of entrepreneurship and sustainability through research

8.3.1 **Institute of Technological and Educational Research (ITER)**

ITER as a research centre helps to position and promote the University College's areas of research excellence, focus on building the University College's research reputation and serve as a vehicle for engaging with other research institutions and industries and facilitate interdisciplinary and multidisciplinary relationships. ITER shall drive research through collaborations with department, faculties and visiting research follows, and as such shall

i)   advise the Academic Board on research strategies to be pursued, policies to be adopted and shall review progress in these areas,

ii)   monitor the progress of research projects,

iii)   create partnerships to broaden collaboration, inclusion and team-work,

iv)   focus on niches in teacher education and leadership, science and technology, promoting joint research,

v)   showcase the output of the academic community at The Mico through available channels,

vi)   ensure regularly scheduled publications of the *Journal of Education,*

vii)   be responsible for maintaining its research records and retaining and storing research data generated by the Institute,

viii) provide basic research training for faculty as needed.

8.4   Faculties / School / Centres

In order to ensure a vibrant research culture, the University will work to initiate research activities across all areas that currently offer taught subjects, particularly at postgraduate level. Without active cognate-subject research, teaching over time will lack intellectual rigour. An effort will be made to ensure that apart from focusing on areas of national research priorities, research shall also be formed around disciplines that are currently taught.

8.4.1.   The Faculty/School shall:

i)   be required to develop and implement its own research plans, in compliance with all statutory, ethical and contractual obligations. Such plans shall be prepared by the Dean/Director, who will consult with ITER to enable coordination and effective implementation,

ii)   have responsibility to seek funding for and support of the research activities of their staff and research students,

iii) ensure that details of staff research outputs, such as publications, articles, conference papers and awards are regularly shared with ITER and other relevant stakeholders,

iv) annually submit reports on their research project activities to the Academic Board and ITER,

v) satisfy the approval guidelines of the Ethics Board and policy prior to research execution,

vi) monitor and evaluate the research performance of individual staff members, as part of the Staff evaluation process,

vii) ensure that all new academic staff are familiar with the research policy,

viii) supervise researchers within the Faculty and submit monitoring reports to ITER,

ix) collaborate with ITER for the requisite support training for faculty

x) participate in institutional research activities and events, such as research conferences and seminars,

xi) encourage staff participation in external research activities,

xii) encourage and identify excellence in student research,

xiii) not, under any circumstance, 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

8.4.2. Graduate School

The role and responsibility ascribed to the Faculty shall apply to the Graduate School. In addition, the Graduate School shall:

i) coordinate the graduate research programme and exercise supervisory responsibilities for Graduate School,

ii) provide necessary administrative support for the execution of student research,

iii) facilitate regular student research seminars,

iv) be responsible for ensuring that the management of postgraduate research complies with the policy of the Institution.

8.5   The Academic Staff

The Academic Staff at the University College shall:

i) be required to conduct research and engage in scholarship and publish

ii) submit annually a research plan, which includes resource needs, laboratory use etc to the Faculty,

iii) where appropriate, seek research funds and sponsorship, in support of their research,

iv) maintain a current curriculum vitae for submission to their departments,

v) supply full and accurate details of their recent research outputs (according to pre-determined criteria on a timely basis), citations and copies of publications to their Dean/Director for submission to ITER and the Library,

vi) use research infrastructure in line with University policy and departmental guidelines,

vii) submit annually, requests for relevant journals and books to the library through the department/school/institute/centre,

viii) share research findings and progress with the community

ix) ensure that arrangements are made for the research data and records to be stored and referenced in accordance with the standards established by the relevant policies

x) advise the Dean of the Faculty of any confidentiality provisions or contractual arrangements that apply in relation to a research project or with regard to publication of the research, both in respect of the research of the academic staff member or that of any student whose research he or she has been appointed to supervise.

8.6   Post Graduate Research Student

Success in Postgraduate Research is dependent on the provision of adequate supervision in an appropriate research environment. The *Postgraduate Research Student Code of Practice* sets out the reasonable expectations and responsibilities entered into by all parties at the outset of a research programme.

The Post Graduate Research student shall:

i) be required to conduct research and engage in scholarship and to publish,

ii) obtain ethical approval through the Graduate School of Education before commencing research and complying with the requisite international standards governing the conduct of experimentation,

iii) obtain supervisory approval through the Graduate School of Education before commencing research and complying with the requisite international standards governing the conduct of experimentation,

iv) where appropriate and with approval from the Graduate School, seek research funds and sponsorship, in support of their research,

v)   participate in the assessment of research-based projects,

vi)   supply full and accurate details of the research inclusive of ownership, to the Graduate School in the prescribed manner,

vii)   maintain research records and submit to the Graduate School for storage,

viii) students must report, as required, in the following ways:

- maintain regular contact with appointed supervisors (or in the absence of the supervisor, the Dean of Faculty), for submission within the requisite time frames; or as otherwise specified by the University College or Faculty;

- notify the supervisor and Dean of Faculty, in advance, of any proposal to enter into a contractual arrangement or agreement for commercial or other purposes;

- submit other reports as specified by the Dean of Faculty, or the Director ITER or any other relevant University College's requirements.

8.7   Research Supervisor

The research supervisor shall have demonstrable methodological competencies and content knowledge to guide student research; they shall satisfy the criteria of the *Research Supervisor Competency Standards*. Where such methodological competence and/or content knowledge is weak or absent the department head or dean must refer such projects to ITER for evaluation or approval.

A supervisor of a student conducting research shall:

i)   be responsible for providing guidance to student on all matters of research practice and ensuring that the student is informed of relevant Institutional policies and procedures that affect the conduct of the student's research

ii)   be entitled to have access to research data and other relevant information about the research for the purposes of undertaking normal supervisory responsibilities and ensuring compliance with this and other policies and procedures, as a consequence the supervisor must:

- inform the student at the commencement of the research project, where a student is conducting research as part of a research team, of any protocols or operating conditions that may apply in respect of the conduct of the research project, the use and storage of research data, publication of research findings, confidentiality, or commercialisation or other agreements or arrangements that may apply to the research

- consult with the student to ensure that confidentiality is maintained in respect of the student's research data, methodology, or findings

iii) Ensure:

    a) the validity of a student's data and research methodology, where practical, and provide verbal and written feedback to the student on a regular basis

    b) appropriate induction and ongoing advice are provided to the student about professional approaches that should be adopted with regard to the validity of data, and requirements for maintenance of records, storage and retention of data

    c) that discussions with the student on research practice are documented in the student's annual review form

iv) Where a supervisor has concerns about any aspect of the research process, the supervisor must:

    a) provide written advice to the student and document any step(s) taken by the student to address the matter

    b) notify the student and advise the Dean of Faculty, if the matter is not addressed satisfactorily

If the Dean of the Faculty is unable to resolve the matter expeditiously and to the satisfaction of all parties, the matter will be referred to the Examinations Board that will consider any further action to be taken in accordance with the relevant Institutional policies and procedures.

8.8 Researchers

Researchers at the Mico University College are expected to be disciplined and honest and to this end shall:

    i. advance knowledge through disciplined research for the welfare of The Mico and all mankind

    ii. publish and disseminate the basis, methodology and results of their research in a truthful and accurate manner for peer review and advancement of their discipline

    iii. acknowledge and credit sources of data and information, collaborators, participating institutions and donors in all research reports and publications with honesty and fairness

    iv. avoid directly or indirectly causing harm to human and animal research subjects

    v. analyse, mitigate and manage any potentially harmful impacts of their research

    vi. protect the cultural diversity and biodiversity of the Earth

    vii. observe best practices and safety codes in the use of substances and equipment during research

viii.   manage research funds and utilize institutional facilities, resources and knowledge in an ethical, efficient, honest and transparent manner.

ix.   study institutional policies and procedures and identify, adopt and apply those that are relevant to their activities.

x.   identify and declare any intellectual property arising from the research that has potential commercial value and arrange for its protection in conformity with the Intellectual Property Policy of The Mico University College.

9.   RULES AND FURTHER GUIDELINES

9.1   Maintenance of records, and data storage and retention

Research records and data must be retained and stored appropriately (in accordance with the Records Management Policy) to enable the accuracy, veracity and basis of the research findings and methods to be tested, established and scrutinised. In addition –

i)   preliminary data and unpublished works are considered confidential records and only the Officers of the University and the Director of ITER may have access,

ii)   any researcher who uses data or research materials obtained under an agreement between the University College and an external agency or institution is bound by the terms and conditions to which the University College is a signatory, and is required to use the data or materials in compliance with such terms and conditions,

iii)   the researcher and the Dean of the Faculty will be responsible for ensuring arrangements are made to protect the security of any confidential research data, including data held in computer systems.

9.2   Intellectual Property Rights

National legislation governs copyright issues in relation to research undertaken by staff and students. Researchers should comply with the University College's Intellectual Property Policy.

9.3   Publications and Research Findings

The University College is publicly funded and therefore requires that research outputs be appropriately published, and stored in an easily accessible form. This is subject to any contractual, confidentiality or privacy considerations that justify either restricted or delayed publication.

9.4 Openness in Research

Researchers are expected to adhere to the established principle of "openness" in research. This allows freedom of access by all interested persons to the underlying data and includes access to the processes and to the final results of the research. No thesis or dissertation research 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. Except under exceptional circumstances, no programme of research that requires secrecy should be undertaken.

The exceptions to the principle of "openness" include the following:
   i) if part of the granting or sponsoring documents establishes that the project is not freely publishable,

   ii) 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,

   iii) in a programme of research sponsored by an outside entity, provision may be made for a short delay in the publication of research results, for patenting purposes or for sponsor review of and comment on the 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,

   iv) 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 his/her immediate family.

9.5 Ethical practice

Researchers are expected to maintain the highest degree of honesty and integrity in the design, conduct, data analysis, reporting of research findings and in acknowledging significant direct and indirect contributions made by colleagues and collaborators. The Mico University College shall ensure that researchers working within the University and/or who are associated with The Mico shall work in accordance with established international ethical standards. To this end, the University Ethics Board shall review, update and enforce established ethical standards in accordance with the Ethics Policy.

Researchers at The Mico University College as well as The Mico research affiliates will be expected to be aware of ethical requirements. All research requiring ethical approval must be submitted to the board for review in advance of research execution.

9.6   Misconduct and Fraud

It is the responsibility of the Departmental heads to convey clearly the standards and protocols for research in their departments and relevant areas, and to ensure that adherence to those standards is a matter of course.

9.6.1   Examples of Misconduct/Fraud

Misconduct or fraud in research may include, but are not limited to, the following:

i)   fabrication of data: claiming results where none has been obtained,

ii)   falsification of data, including changing records,

iii) plagiarism, including the direct copying of textual material, the use from other people without adequate attribution,

iv)   misleading ascription of authorship, including the listing of authors without their permission, attributing work to others who have not in fact contributed to the research, and the lack of appropriate acknowledgment of the work of a student or associate,

v)   an infringement of the University College's Research Policy and other related policies that is either intentional or caused by negligence,

vi)   negligence, or failure to uphold commonly accepted standards in the conduct of research within the relevant field of research,

vii) other practices that seriously deviate from those commonly accepted within the research community for proposing, conducting or reporting research,

Misconduct does not generally include honest errors, or honest differences in interpretation or judgement about data.

9.6.2   Reporting

i)   Any suspicion of research misconduct shall be reported. A complaint alleging research misconduct may be made to the Dean of the Faculty. Once a complaint has been received by the Dean, the Dean or nominee will consider the material that has been provided, and if necessary seek such additional information and advice, which may include advice from persons with relevant specialist expertise, that may be required to establish whether the matter warrants further investigation, and will decide whether the allegations have any substance and if not dismiss the complaint;

ii) If there is evidence of misconduct or fraud, the dean shall report the matter to the Ethics Board for consideration and action. In the case of a research student, refer the matter for investigation and consideration in accordance with examination regulations;

iii) In the case of misconduct, the University College may, in addition to taking action in accordance with the provisions outlined above, exercise its right to take legal or other action against the researcher or third party.

9.7 Conflict of Interest

Researchers are expected to be honest regarding reporting of any conflicts of interest that might exist in relation to the specific works they are carrying out. Researchers have an obligation to report any real or potential conflicts of interest to the University and in the reporting of their research findings.

i) Researchers must disclose to the Dean of Faculty, through the Head of Department, any affiliation with or financial involvement in any organisation or entity with a direct interest in the subject matter or materials of the researcher. The researcher must identify:

   a) direct benefits such as sponsorship of the research; or
   b) indirect benefits which may include provision of materials or facilities; or
   c) support of individual researchers through provision of travel or accommodation expenses to attend conferences, or similar benefits.

ii) Researchers should disclose to any relevant outside parties, including editors of journals, readers of published work and external bodies from which funds are sought, any potential conflict of interest that could be seen to influence:

- the research and findings
- investigations
- publications
- media reports
- grant applications
- applications for appointment and/or promotion

9.8 Disputes Resolution

Where disputes arise, it is the duty of the parties to resolve the dispute. They should be resolved amicably and in a respectful and collegial fashion. Where a dispute cannot be resolved by the parties themselves, the parties should seek the advice of the appropriate authorities in their unit who may help the parties resolve the dispute in any way to which

the parties may agree, including conciliation, mediation and binding and non-binding arbitration. To this end, the parties may agree that other persons become involved in the dispute in order to help facilitate its resolution. The parties may stipulate that their own involvement in any dispute resolution process is without prejudice to their rights in any subsequent process.

a. If the dispute is between individuals working under a lead researcher(s) the Lead Researcher should investigate and attempt to resolve the matter

b. If the lead researcher is involved in the dispute, the Head(s) of the Department(s) or academic unit(s) concerned should investigate and attempt to resolve the matter

c. If any party involved in the dispute should object to the investigation of a Head, or if a Head is directly involved in the dispute or allegation of misconduct, the Dean of the appropriate Faculty and/or the Vice Principal of Academic Affairs should be informed and may either investigate the dispute and attempt to resolve it or nominate a senior academic staff member, acceptable to the parties, to act as investigator, who would attempt to resolve the matter

d. If the dispute involves an external lead researcher(s), the Terms of Reference of that contract will govern the dispute process.

9.9   Monitoring of Research Performance and Staff Evaluation

i) Subject to their roles and responsibilities, the Faculty/School's performance shall be monitored against their research plans.

ii) The research performance of individual staff shall be included in the staff evaluation process.

iii) Staff shall be required to supply full and accurate details of their research outputs to the Dean / Director at least annually

9.10   Research for commercial purposes or under contractual arrangement

i) Research conducted for commercial purposes, or that is to be commercialised or conducted under a contractual arrangement must be carried out, as appropriate, in compliance with relevant University policies and procedures.

ii) Should any other research activity generate commercial value, such activities should be subject to the University's policies regarding consultancy services.

10. REFERENCES

a) Research Policies from

    i)   The University of the West Indies

    ii)   University of Manchester,

    iii)   University of Sheffield

    iv)   Columbia University

b) MUC Records Management Policy

c) MUC Graduate Handbook / Regulations

d) Ethics Standards / Policy To be drafted

e) Intellectual Property Policy   To be drafted