



UNIVERSITY OF SAINT JOSEPH RESEARCH POLICY

1. OVERVIEW

1.1 The University of Saint Joseph serves the local community, the wider society, and the research community at all levels, by the creation, production, conduct, reporting, dissemination, uptake, and impact of knowledge discovered and reported through research. It is committed to excellence in research in all its fields of work, based on the highest international standards, and to promoting actively the important role of research in its teaching and learning.

1.2 This document must be taken in conjunction with other policies, codes of practice, procedures and guidelines indicated at the end of this document, and to the University's research strategy that obtains at the appropriate point in time.

2. DEFINITIONS

2.1 Research is defined as 'a process of investigation leading to new insights effectively shared' (Research Excellence Framework, 2021). It is an original, systematic, careful investigation and exploration, undertaken in order to gain and promote new and new ways of considering knowledge, facts, principles, understanding, ideas, insights, ways of thinking, theoretical and/or practical applications, and new conclusions. Typically it entails data collection, analysis, evaluation, interpretation, and documentation that accords with suitable methodologies established by relevant professional fields and academic disciplines.

2.2 Research and Development (R&D) is defined as 'creative and systematic work undertaken in order to increase the stock of knowledge – including knowledge of humankind, culture and society – and to devise new applications of available knowledge' (OECD (2015). *Frascati Manual 2015: Guidelines for Collecting and Reporting Data on Research and Experimental Development*. Paris: OECD Publishing, pp. 44-45).

2.3 Research data are defined as 'the evidence that underpins the answer to the research question, and can be used to validate findings regardless of its form (e.g. print, digital, or physical). These might be quantitative information or qualitative statements collected by researchers in the course of their work by experimentation, observation, modelling, interview or other methods, or information derived from existing evidence. Data may be raw or primary (e.g. direct from measurement or collection) or derived from primary data for subsequent analysis or interpretation (e.g. cleaned up or as an extract from a larger data set), or derived from existing sources where the rights may be held by others. Data may be defined as



‘relational’ or ‘functional’ components of research, thus signalling that their identification and value lies in whether and how researchers use them as evidence for claims. They may include, for example, statistics, collections of digital images, sound recordings, transcripts of interviews, survey data and fieldwork observations with appropriate annotations, an interpretation, an artwork, archives, found objects, published texts or a manuscript.’

(Concordat on Open Research Data (2016): written by Universities UK, Research Councils UK, Higher Education Funding Council for England, Wellcome trust).

2.4 Research ethics are the ethical practices and guidelines to be followed concerning how research should be planned, designed, conducted, and disseminated. They involve ‘the application of fundamental ethical principles to research activities which include the design and implementation of research, respect towards society and others, the use of resources and research outputs, scientific misconduct and the regulation of research’ (University of Stirling, 2021).

3. AIMS OF THE POLICY

This policy sets out the University’s position with regard to its research purposes, activities, and intended outcomes. The purposes of the policy are:

- (i) To promote, facilitate, and guide the research work of the University.
- (ii) To set out research purposes, activities, and intended outcomes and achievements of the research at the University.
- (iii) To identify the expectations of the University with regard to research and its outcomes, uptake and impact.
- (iv) To provide a principled framework for staff and students in pursuing research at the University.
- (v) To ensure that the research work of the University serves the University’s values, mission, vision, culture, identity, and ethos.

4. RATIONALE OF THE POLICY

4.1 The University has a responsibility to support, promote, conduct, and disseminate high quality, ethically defensible research.

4.2 The University has a responsibility to ensure that the research work of the University accords with, and serves, the University’s mission, vision, values, and strategic planning.

4.3 The University has a responsibility to ensure that the research work of the University serves and promotes the safety, wellbeing, humanity, and development of individuals, communities,



societies, and those involved in the research, in accordance with the mission, vision, and values of the University.

4.4 The University has a responsibility to ensure that research ethics, risk analysis, risk evaluation, risk management and safeguarding are conducted before approving research in the University.

4.5 The University has a responsibility to ensure that the research work of the University fosters, encourages, supports, and develops the abilities, practices, and careers of staff and student as researchers.

4.6 The University has a responsibility to ensure that the research work of the University is suitably diverse, fit for purpose, and addresses fitness of purpose.

4.7 The University recognises and accepts that research takes many forms and leads to many and diverse kinds of output.

4.8 The University has a responsibility to ensure that research data are carefully and securely managed and stored, with access rights in place.

4.9 The University has a responsibility to ensure that researchers operate impartially and without conceding to the agendas of research sponsors if they conflict with the impartiality and independence of the researchers and research.

4.10 The University supports individual and collaborative research, both within and outside the University (cross-institutional research).

5. PRINCIPLES UNDERPINNING RESEARCH AT THE UNIVERSITY

5.1 As part of its commitment to the creation, dissemination, uptake, and impact of research and of knowledge, the University of Saint Joseph fosters and promotes an environment which supports and promotes open enquiry and the academic freedom to pursue research and scholarship in its disciplines and fields of work which, in so doing:

- (i) serve, and accord with, the University's mission, vision, values, and strategic planning;
- (ii) serve and promote the safety, wellbeing, humanity, and development of individuals, communities, societies, and those involved in the research, in accordance with the mission, vision, and values of the University;



- (iii) foster, encourage, support, and develop the abilities, practices, and careers of staff and student as researchers;
- (iv) promote the sustainable development and protections of environments – physical, natural, aquatic, terrestrial, atmospheric, human, cultural, social, societal, spiritual, virtual, intangible, economic, political, demographic, urban, rural, etc. – and the organs and institutions of these;
- (v) support a diverse range of research kinds (e.g. basic/‘pure’/‘blue-skies’ research; applied; experimental; foundational); types (e.g. empirical, non-empirical, interventionist, non-interventionist), methodologies, methods, fields, foci, intended outcomes;
- (vi) promote, ensure, and conform to, the highest international practices and standards of scholarship, rigour, safety, and ethical practices in the support for, purposes, planning, design, conduct, analysis, reporting, dissemination, uptake, consequences, outcomes, outputs, and impact of research, and that these are transparent and open to scrutiny and debate;
- (vii) ensure that participants in research, as researchers and/or human subjects, are treated with dignity, respect, and concern for their welfare;
- (viii) ensure that research on animals conforms to the higher international standards for research with animals, adhering to principles that secure their welfare;
- (ix) ensure that the stewardship and protections of research data management and research records are of the highest standards of security and integrity;
- (x) support and develop scholarship and research through prudential management of resources and funding in the University;
- (xi) is of local; regional, national, and international significance and contribution;
- (xii) respect the intellectual property of members of the University and of the University itself, including patents and products;
- (xiii) promote collaboration and collaborative research projects between researchers, research teams, and organisations, institutions, businesses, both internal and external to the University;
- (xiv) ensure and conform to requirements of academic integrity, professionalism, fairness, equity, and intellectual honesty;
- (xv) transparently and effectively manage actual or potential conflicts of interest;
- (xvi) ensure that principles of open access to research and its findings are followed wherever possible;
- (xvii) work within the principles of fitness for purpose with regard to considering high impact journals rather than, for example, fitness for publication in high impact journals;
- (xviii) work judiciously with metrics such as rankings, impact factors, citation records;
- (xix) bring benefit to the University as well as to the individual(s) within it;



- (xx) can be monitored, evaluated, and reported/recorded in the University's recording and oversight of the research work undertaken in the name of the University.

5.2 These principles apply to funded and non-funded research that is carried out in the name of, and/or identified affiliation to, the University of Saint Joseph.

5.3 The University recognises that funded research might have to accord with the funding agency/party. Where this is the case, the principles and values of the funding agency/party must accord with those of the University, and the University must exercise due diligence in evaluating the principles and values of the funding agency/party.

5.4 Whilst the research undertaken at USJ can be done with internal and external funding, the funding agency/sponsor/party cannot dictate to the researcher what to find/report, i.e. the funding agency must not exert any influence on the researcher that is outside the ethical, impartial, neutral, independent work of the researcher(s). The researcher and the research remain independent of the funding agency/sponsor/party in this respect. The funding agency/sponsor/party cannot 'buy' certain findings or results, or require the researcher to publish or not to publish, or to delay or withhold certain findings. The funding agency/sponsor/party cannot interfere in the research; it simply sponsors the research.

5.5 For funded/sponsored research, the researcher and the sponsor must agree, before any contracts/agreements are signed, the intellectual property rights, ownership of the data; disclosure rights and requirements, responsibilities of both parties, and timings of different stages of the research.

6. SCOPE

6.1 This policy applies to all members of the University of Saint Joseph, both staff and students.

6.2 This policy applies to Emeritus members of the University of Saint Joseph, Visiting Academics, Adjunct members of the University, and those with no formal affiliation to the University, who conduct research at the University' premises or using the University's facilities.

6.3 This policy does not apply to parties outside the University of Saint Joseph.

6.4 This policy does not apply to the University of Saint Joseph's Crèche.

6.5 This policy covers all kinds and types of research that is expected to result in research products, outcomes, outputs, publications, including, but not limited to:



- (i) the creation and collection of new data for research purposes;
- (ii) the use or re-use of data that have already been created, collected or collated from elsewhere for research purposes;
- (iii) data that are used as part of externally funded research in accordance with the sponsor's/funder's previously agreed requirements;
- (iv) data that are used for internally funded research;
- (v) data created or used by students conducting research as part of their studies at the University of Saint Joseph.

7. ROLES AND RESPONSIBILITIES

7.1 It is the collective responsibility of the Faculties, Institutes, Schools, Centres and academic staff of the University of Saint Joseph, to ensure that the research conducted under the auspices of the University meets the University's policy requirements and its related documents with regard to research.

7.2 The overall responsibility for research in the University resides with the Senate (Article 17.1 of the University Charter).

7.3 The University has the power to appoint committee(s) of the Senate for managing and having oversight of research in the University.

7.4 Responsibility for overall management of research in the University can be devolved onto different parties as appropriate and as set out in related documents, e.g. for Deans, Heads of Research Institutes and Centres, Research Coordinators, Scientific Councils.

7.5 The responsibilities for research in the University are set out below may be subject to amendment in subsequent Annexes.

7.6 At the University level, the University's responsibilities include, but are not limited to:

- i. promoting the culture, conduct, and development of research, including research strategy, policy making, and training;
- ii. monitoring, evaluating, recording, and reporting of research in the University and its compliance with the requirements of the policies and research strategy of the University;
- iii. support and provision for, and infrastructure of, research and its associated facilities across the University;
- iv. the provision of suitably qualified researchers to promote and develop the research of the University;



- v. ensuring that due accountability for research is in place and operational;

7.7 At the level of each Faculty/Institute/School/Research Centre, responsibilities include, but are not limited to:

- i. cultivating a flourishing research culture in the Faculty/Institute/School/Research Centre, supporting and developing researchers, research and routinely good practices in research;
- ii. ensuring that research management in the Faculty/Institute/School/Research Centre is operating efficiently, effectively, and is fit for purpose;
- iii. instituting and operating clear Faculty/Institute/School/Research Centre guidelines, policies and procedures for research that comply with, and serve, those of the University and are compatible with the other work of the University and the Faculty/Institute/School/Research Centre;
- iv. creating research teams;
- v. promoting joint, cross-institutional research;
- vi. ensuring that the direction, strategy, framework, and accountability for research at the University level operates in each Faculty/Institute/ School/Research Centre;
- vii. ensuring that academic staff are aware of, and follow, the University's policies, procedures, codes of conduct and good practice, guidelines, risk-related matters, and documents on all aspects of research;
- viii. ensuring that staff and students have the necessary knowledge and skills to undertake their research;
- ix. ensuring that research conducted by staff and students meets the requirements for all aspects of research, promulgating and ensuring this through appropriate supervision and training;
- x. ensure compliance with the University's policies and practices of data management;
- xi. ensuring that data and their security are retained by the University and are not lost because of poor practice or when staff and students move on in their academic careers; and ensuring that all academic staff and research students have an ORCID iD;
- xii. ensuring that all publications and outputs are entered into the University research repository;
- xiii. ensuring that all publications, outputs and products produced under the auspices of the University have full acknowledgement of the affiliation to the University of Saint Joseph.

7.8 At the level of each individual academic staff member, responsibilities include, but are not limited to:



- i. contributing to the development of the research culture and projects in the Faculty/Institute/School/Centre to which they belong;
- ii. ensuring that their research complies with the University's policies and standards for research, ethical, legal and professional requirements, and guidelines for research, ethics, health and safety, risk analysis, risk evaluation, risk management, financial management intellectual property, equality and diversity, and other policies, codes of conduct, and guidelines of the University and the Faculty/Institute/School/Research Centre in which they work (see documents below);
- iii. planning, conducting, and disseminating their research;
- iv. ensuring that their research is of high quality and meets the requirements and standards of good research practice;
- v. ensuring that they have the necessary knowledge and skills to undertake their research, undertaking relevant research training where appropriate;
- vi. ensuring that Principal Investigators, Research Team members and individual researchers carry out their prescribed research roles, responsibilities and behaviours as set out in the University's Code of Conduct for researchers and related documents below;
- vii. being willing to engage actively in peer review and research mentoring where appropriate;
- viii. conducting, supervising research projects in an exemplary manner, embodying and promoting the University's policies and strategies for research, research support and training;
- ix. completing pro-formas, reports, monitoring and review documentation concerning research, where appropriate, from the University, funders, Faculty/School/ Institute/Centre;
- x. ensuring attention to due diligence, and compliance with contractual requirements of funders;
- xi. ensuring that risk analysis, risk evaluation, risk management, safeguarding and due protections are addressed in the research;
- xii. in the event of being a student research supervisor, fulfilling the requirements of the supervisor as stated in the relevant University documentation, including, but not limited to, the quality of the research that is being supervised;
- xiii. ensuring compliance with the University's research data management policies and procedures;
- xiv. ensuring that their research meets the ethical, integrity and legal requirements of the University and beyond;



- xv. ensuring that their research complies with, and meets, the standards and requirements set out in the research-related aspects of the documents below;
- xvi. ensuring compliance with the University's policy on, and requirements for, intellectual property rights and, where appropriate, with those of bodies;
- xvii. obtaining due copyright permission where appropriate in their research;
- xviii. maintaining due confidentiality in line with commitment to parties involved in the research;
- xix. complying with the review and audit requirements of, and performance evaluation by, the University and the Faculty/Institute/School/Research Centre;
- xx. ensuring that the accountability procedures and operations of the University, with regard to research, operate in the work of the individual researcher and group(s) of researchers.

8. REFERENCES

This policy should be read in conjunction with the University policies, regulations, codes of practice, procedures and guidelines pertaining to research

9. REVIEW

9.1 This policy takes effect from January 2023 and is subject to ongoing review and amendment as appropriate.

9.2 Amendments to this policy are made by the Executive Council and approved by the General Council, in response to advice and recommendations from across the University.

Author: Vice-rector for Research

Approved by: Executive Council

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Access Right: All full-time academic and administrative staff.

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ANNEXE 1: DOCUMENTS CONCERNING RESEARCH AT THE UNIVERSITY OF SAINT JOSEPH

Policy Documents Concerning Research

Policy on Data Sharing and Re-Use
Policy on Export Controls
Policy on Research Dissemination
Policy on Accepting External Funding Bodies and Sponsors
Policy on Animal Research
Policy on Animal Research Ethics
Policy on Classified and Proprietary Work
Policy on Clinical and Clinically Related Research
Policy on Copyright
Policy on Data Protection and Records Management
Policy on Due Diligence
Policy on Export Controls and Research
Policy on Health and Safety
Policy on Human Research Ethics
Policy on Intellectual Property and Commercialisation

Policy on Open Access of Research
Policy on Patents
Policy on Post-doctoral Research
Policy on Publication and Dissemination of Research
Policy on Research and Business
Policy on Research Assessment
Policy on Research Commercialisation
Policy on Research Conduct
Policy on Research Data Management
Policy on Research Ethics
Policy on Research Evaluation
Policy on Research Governance and Integrity
Policy on Research Integrity
Policy on Research Performance
Policy on Rights and Licenses
Policy on Safeguarding in Research
Policy on Use of Metrics
Policy on Work with Outside Bodies

Codes of Practice Concerning Research

Code of Conduct for Researchers
Code of Good Practice in Research
Code of Practice for Conflict of Interest
Code of Practice for Doctoral Students
Code of Practice for Principal Investigators
Code of Practice for Research Ethics on Animals

Code of Practice for Research Ethics on Human Participants
Code of Practice for Research Integrity
Code of Practice for Thesis and Dissertation Supervisors
Code of Practice on Clinical and Clinically Related Research

Procedures Documents Concerning Research

Procedures for Research Ethics Approval
Procedures for Allegations of Misconduct in Research

Procedures for Scientific Councils
Procedures for Data Management, Security, Storage and Access

Guidelines Documents Concerning Research

Guidelines for Research Ethics Approval
Guidelines on Research Proposals for Funded and Non-funded Research

Guidelines for Research Coordinators
Guidelines for External Reviewers of Research and Research Proposal