# A FRAMEWORK
# FOR RESEARCH AT THE UNIVERSITY
# OF SAINT JOSEPH

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# CONTENTS

# 1    THE INTERNAL CONTEXT OF THE *FRAMEWORK FOR RESEARCH*

Research at the University of Saint Joseph operates at different levels, with a kaleidoscope of different contents and areas of focus, and in different ways. Hence, to be able to grasp the scope and scale of the research work,[1] this document titled *A Framework for Research at the University of Saint Joseph*[2] is designed to set a clear framework for addressing research at the University, and to be comprehensive, clear, actionable, and manageable.  It addresses the need to rationalise, inform, understand, clarify, and organise key features of the University's research work. It also provides an underpinning of two other documents concerning research at the University, both of which refer to this *Framework*:

- *Strategic Plan for Research 2023-2028 at the University of Saint Joseph*
- *Quality Assurance of Research at the University of Saint Joseph*

This *Framework for Research* is designed to serve the University's vision, mission, Strategic Plan, policies, and stakeholders, internal and external, at strategic, tactical, and operational levels, and research has a significant part to play in this.

The University's stated vision refers to research thus: '[*t*]*o be a leading multicultural Catholic University of China, that stands by the principles of academic integrity, follows international standards in higher education, fosters innovation and upholds humanizing values in all cultures'*. Its mission, referring to research, states that the University seeks to *'uphold the highest academic standards in teaching, learning and research*'.

In the University's *Road Map*, its first Strategic Objective, which is '*to uphold the highest International academic standards*', includes two statements that refer to research:

*1.2 Adopt the highest standards and best practices in all academic activities, including but not limited to teaching, learning and research.*
*1.6 Set up, with other HEIs, a peer benchmarking system, partnership in research, joint programmes and mobility projects*.

In the University's *Road Map*, its third Strategic Objective, which is to '*nurture the commitment to a sustainable society*' includes two statements that refer to research:

3.1 Promote environmental sustainability in the context of teaching, learning, research, public engagement and other activities on and off campus.
3.3. Research and introduce in programme curricula the *Global Goals for Sustainable Development* adopted by the United Nations, which link social and environmental objectives;

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[1] 'Research work' is a portmanteau, shorthand term used to embrace the wide scope of research-related terms, e.g.: research projects, research types, activities, events, developments, training, expertise, products, outputs, outcomes, dissemination, uptake, impact, management, leadership, quality assurance, culture, environment, etc. It is all-inclusive of research matters and issues.
[2] Hereafter abbreviated to 'Framework for Research'.

In the University's *Road Map*, its fourth Strategic Objective, which is to '*foster social development rooted in the traditions of Macao*' includes a statement that refers to research:

> *3.4 Introduce innovative programmes and research projects that directly address the social, cultural and ethical needs of Macao and improve the wellbeing of individuals and the community.*

In the University's *Road Map*, its fifth Strategic Objective, which is to '*promote internationalization, as a core value proposition*' includes a statement that refers to research:

> *5.7 Develop joint research centres, joint research projects and research networks that promote the cooperation between China and Portuguese-speaking countries through Macao.*

In the University's *Road Map*, its sixth Strategic Objective, which is to '*promote whole-person development and institutional accountability'* includes a statement that refers to research:

> *6.2 Research and adopt best practices in management of human resources, furthering the well-being of staff and students and striking a healthy balance between the professional and private lives of all.*

The University's *Policy for Research* states that, in keeping with the University's vision and mission, its research must serve '*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. The University 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.*' In accomplishing this, the University, in the same *Policy for Research*, recognises that it '*has a responsibility to support, promote, conduct, and disseminate high quality, ethically defensible research*' in intent and conduct, and 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*'. This accords with the University's mission, vision, values, and strategic planning.

The *Framework for Research* is designed to address the research-referenced statements in the vision, mission, Strategic Plan, and research of the University.

The *Framework for Research* in the University has *core components* and three *dimensions* of research:

- **The 'contents' dimension**: the main *areas of content focus* in the development, implementation, and evaluation of research and research activities*.

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- **_The 'levels' dimension_**: The main _levels of operation_ of the _Strategic Plan for Research_ (University, Faculty,[3] Individual Academic Staff Member[4]).
- **_The 'time' dimension_**: the _stages/phases_ of developing the research work and profile of the University and its Faculties.

Each of these is addressed below.

## 2    THE EXTERNAL CONTEXT OF THE _FRAMEWORK FOR RESEARCH_

The _Framework for Research_ operates in an ever-changing social, temporal, economic, scientific, cultural, political, international, and institutional landscape. In addressing the University's and Faculties' commitment to research, the _Framework for Research_ anticipates, identifies, recognises, and responds to, these features and how they impact on its research work, in terms of:

- the University's and Faculties' research development, intellectual and scholarly identity and footprint, strategic positioning in research fields, and the direction of research
- infrastructural development and support for research, researchers, research personnel, and research facilities
- the increased need to ensure that its research has societal relevance, connection, and impact, particularly with, but not limited to, Macau
- the push for within- and cross-institutional networking and collaboration with diverse stakeholders and strategic partners
- changes to research funding sources, streams, agendas, categories, and purposes
- the metric tide
- the increase in open science and information technology
- the press for excellence, originality, innovativeness, significance in ground-breaking and consequential research
- increased emphasis on research integrity,[5] ethics, risk analysis and safeguarding
- the pressure of workloads on resident staff
- the pressure on staff to engage in high-impact research and to publish
- the need for research capability development, training, and expertise
- the 'increased dominance of output and marketable research driven by competitiveness'[6]
- the need to re-link research, teaching, and programmes in the University
- the need for multidisciplinary and interdisciplinary research
- the development of new doctoral programmes

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[3] Hereafter, the term 'Faculty' is used as a shorthand for each academic unit, that includes each Faculty, School, Department, Institute, Research Centre, Observatory, and otherwise named academic and/or research unit.
[4] Hereafter abbreviated to 'Individual Staff Member'.
[5] For example: honesty, scrupulousness, transparency, independence and responsibility (Association of Universities in the Netherlands, _Wetenschappelijke integriteit_ [Scientific Integrity] (2018).
[6] Mellud, C. (2023). _The Future of Teaching and Researching_. International Federation of Catholic Universities. Paris.

The *Framework for Research* addresses these in its research work.

# 3 THE RATIONALE OF THE *FRAMEWORK FOR RESEARCH*

The rationale for this *Framework for Research* has several features that address the University's responsibilities:

i.   to identify, rationalise, and organise the many components of the research work at the University into a clear, workable, managed, and principled set of issues, matters, and foci for actions and practices.
ii.  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, values and strategic planning of the University.
iii. to ensure that risk analysis, risk evaluation, risk management, and safeguarding are practised in all its research work.
iv.  to ensure that the research work of the University fosters, encourages, supports, and develops the abilities, practices, and careers of staff and students as researchers.
v.   to ensure that the research work of the University is fit for purpose, addresses fitness of purpose, and supports diverse range of research kinds.
vi.  to support individual and collaborative research, both within and outside the University.
vii. to ensure that its research work is of the highest quality, and is of local, regional, national, and international significance, consequence, impact, and contribution.
viii. to promote the sustainable development and protections of environments, widely defined, and the organs and institutions of these.
ix.  to promote, ensure, and conform to, the highest international practices and standards of scholarship, rigour, safety, integrity, and ethical practices in its research, working judiciously with metrics and indicators of quality.

# 4 THE VISION, MISSION, AND AIMS FOR THE *FRAMEWORK FOR RESEARCH*

To address the University's *Mission, Vision, Road Map*, and *Policy for Research*, the vision of the *Framework for Research* is:

> *To be the leading Catholic University in South-East Asia in its local, regional, national, and international research and their outcomes, uptake, impact, and consequences for the development of societies and humanity.*

To address the University's *Mission, Vision, Road Map*, and *Policy for Research*, the mission of the *Framework for Research* is:

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*To foster and promote excellence in research and a research culture, at the forefront of knowledge, enabling research to empower and transform researchers, peoples, communities, and societies with diverse backgrounds, identities, and nationalities.*

The *Framework for Research*, to address the University's *Vision, Mission, Road Map*, and *Policy for Research*, has five aims:

i. To provide an inclusive and comprehensive instrument that assists the University in realising its vision, mission, Strategic Plan, and policy for research.
ii. To enable the University and its Faculties to develop and support a research culture and research work among its staff and students, leveraging these to promote, enrich, and enhance high quality research and research profile of the University.
iii. To identify, organise, and present in clear, summary form the diverse aspects and key components of research work at the University of Saint Joseph.
iv. To enable academic staff members of the University to conduct a situational analysis and evaluation of research work in the University and to use this in development planning for research.
v. To serve as a foundation, base, and guide, in prioritising, focusing, supporting, and developing research in the University at University, Faculty, and Individual Staff Member levels.

The elegance of the *Framework for Research*, serving these five aims, is its ability to apply to, and operate at, different levels of the University: University, Faculty, and Individual Staff Members. It achieves this by setting out a common core of purposes, foci, contents, and intended outcomes and impacts, that touch each of the three levels indicated.

# 5   THE *FRAMEWORK FOR RESEARCH*

The *Framework for Research at the University of Saint Joseph* comprises:

- *Core components*
- *Key dimensions*

These are designed to render the *Framework* as concise and manageable as possible. To understand, underpin, and address the multidimensional scope and scale of research at the University, it is useful to adopt a summary approach to the field of research work at the University whilst averting the risk of misrepresenting the field by adopting such an approach. This *Framework for Research* is admittedly reductionist; it does not seek to be exhaustively inclusive in its detail. Rather, it is used to rationalise, understand, organise, and work on key components and areas of action in research work. Such trimming down is intended to facilitate the operationalisation of research development, scoping, planning, implementation, practices, support in the University, and leadership and management of, and responsibilities for, high quality research work, including, for example:

i. The purposes of the research work, addressing fitness of, and for, purpose

ii. The focus and contents of the research work
iii. The scope, kinds, types, scale of research work, projects, activities, events
iv. Research projects, activities, events, and work
v. Developing and supporting a research culture and environment (internal and external) in the University, Faculty, and Individual Staff Members
vi. Resourcing research work
vii. Promoting the engagement and involvement of staff in research work
viii. Providing and developing training, capability and capacity building, and developing expertise in research work
ix. The leadership and management of, and roles and responsibilities for, research work
x. Networking and collaboration in research work
xi. Assuring and ensuring quality and quality enhancement of research work
xii. The products, outputs, and 'deliverables' of research work
xiii. The effective dissemination of research work
xiv. The efficacious and effective uptake, impact, and consequences of research work, i.e. making research work consequential and effective in making a positive difference to society

These are indicated in Figure 1 below, which highlights the core components of the *Framework for Research*. The intention of this *Framework* is to set out an organised array of interlocking and mutually informing features that constitute the research work at the University and ensuring that it meets the statements of vision and mission of the research work at the University, together with its *Policy for Research*.

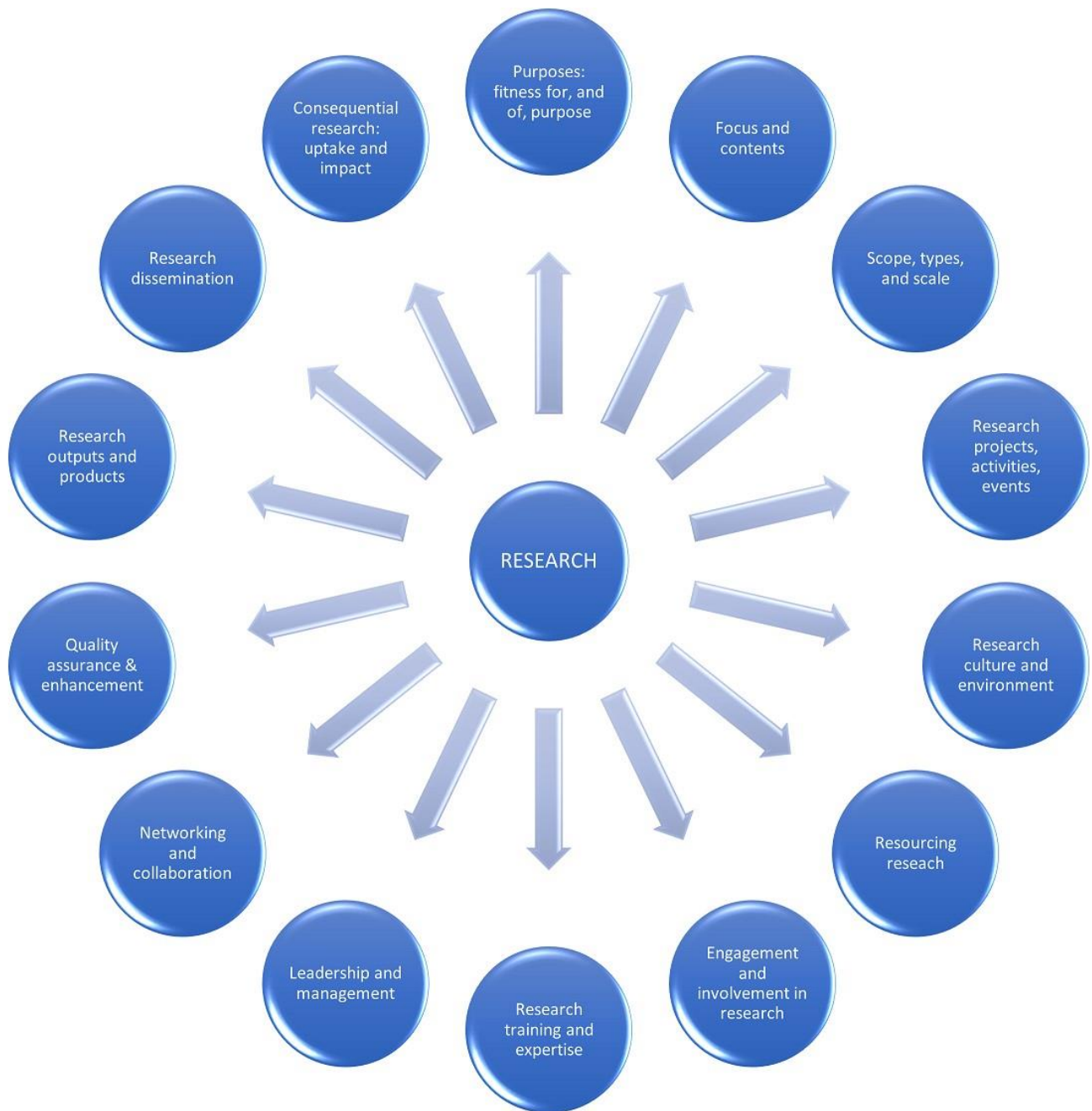## 5.1    CORE COMPONENTS OF THE *FRAMEWORK FOR RESEARCH*

The *Framework for Research* has several core components, which are set out in Figure 1. These operate at each of the three levels: University, Faculty, and Individual Staff Members. They indicate the diversity and wide scope of research work that the *Framework* includes. These operate simultaneously and together in developing, conducting, and following up on research work; hence when working on research matters, care is taken to address these. These constitute the *core components* of the *Framework for Research*. In practice, these components are not as separate as Figure 1 suggests; rather, they are mutually informing, and they feature simultaneously in considering the development and practices of research work at the University.

Research and research work are context-dependent and context-situated. For example, in considering a research project, attention is given to the *internal* aspects of, and perspectives on, and benefits from, the proposal (e.g. its purposes, foci, contents, quality assurance, rigour, excellence, ethics and integrity, safeguarding, implementation, conduct, outputs, dissemination, impact), and to its external aspects, in two senses:

(i)     contribution to the research work and profile of the Faculty and the University, which must take cognizance of the situational factors and contexts at work in the University/Faculty/Individual Staff Member.
(ii)     contribution to the wider society (meeting the University's *Policy for Research* which states that the research work serves '*the local community, the wider*

*society, and the research community at all levels*'), i.e. the research at the University must make a positive difference and societal impact and relevance. This must also take cognizance of the situational factors and contexts at work in the wider society in which, and at which, the research work is located and targeted.

**Figure 1. The core components of research in the University**



To rationalise these many and diverse core components and render them operationalisable and actionable, the *Framework for Research* has three key dimensions, in which the core components can be included. These are set out below.

**5.2   DIMENSIONS OF THE *FRAMEWORK FOR RESEARCH***

In addition to the *core components* of research work at the University, the *Framework for Research* has three dimensions:

- ***Dimension One:*** content areas of research:

    i.   Research environment, people, and culture
    ii.  Research outputs, contribution to knowledge
    iii. Engagement in, and impact of, research

- ***Dimension Two:*** levels of focus:

    i.   University
    ii.  Faculty
    iii. Individual Academic Staff Member

- ***Dimension Three:*** phases of development and implementation of research work (timing and duration). In the *Strategic Plan for Research* these are set out over a five-year period:

    i.   Phase 1: year one: establishing and strengthening the infrastructure for research in the University, Faculty, and Individual Staff Member
    ii.  Phase 2: years 2-4: Developing research work with the operationalised infrastructure developed in Phase One
    iii. Phase 3: year 5: reviewing, refocusing, and developing further the research work of the University into new directions, as appropriate

Whilst Dimension Three heavily informs the *Strategic Plan for Research* in the University, it also recognises that the development of research in the University and its Faculties should be part of a planned time-bound developmental sequence for each area of its research work and projects, to be 'managed' as part of the University's and Faculty's development, scholarly footprint, infrastructural development, strategic positioning, and collaboration. This takes place in an ever-changing landscape of society, research, and research funding (e.g. categorical funding, sources of funding and their agendas).

# 6   THE 'CONTENTS' DIMENSION OF THE *FRAMEWORK FOR RESEARCH*

The 'Contents' dimension of the *Framework for Research* at the University must include:

1. A statement of the aims, processes, and intended outcomes of the research work at the University, and the rationale on which these are built.

2. An indication of three main *areas of content focus* for research work, activities, and development at the University:

   i. *Research environment, people, and culture*
   ii. *Research outputs, contribution to knowledge*
   iii. *Engagement in, and impact of, research*

These three areas of content focus take cognizance of the three phases (timing and duration) of development set out later in this document, i.e. the University recognises and respects the need for time for development and implementation to take place.

The background and pedigree of these *three areas of content focus* reside in:

- the UK's *Research Excellence Framework* for 2021[7] which set out three areas: (1) *research outputs* (originality, significance, rigour, and advancement of the discipline); (2) *research impact* (reach, significance, and engagement); and (3) *research environment* (vitality and sustainability, including research culture).
- The metamorphosis of these respectively into three revised areas for the UK's proposed 2028 round of review:[8] (1) *contribution to knowledge and understanding* (formerly 'outputs'); (2) *engagement and impact* (formerly 'impact'); and (3) *people and culture* (formerly 'environment').

These form the basis of key *areas of content focus* for the research work at the University. and its quality, at each of the three levels of the *Framework for Research* (University, Faculty, individual staff member) discussed below.

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[7] The 2021 UK Research Excellence Framework (REF) (https://www.ref.ac.uk/publications-and-reports/panel-criteria-and-working-methods-201902/) indicated this: (a) '**Outputs**: The sub-panels will assess the quality of submitted research outputs in terms of their 'originality, significance and rigour', with reference to international research quality standards. This element will carry a weighting of **60 per cent** in the overall outcome awarded to each submission. (b) **Impact**: The sub-panels will assess the 'reach and significance' of impacts on the economy, society, culture, public policy or services, health, the environment or quality of life that were underpinned by excellent research conducted in the submitted unit. This element will carry a weighting of **25 per cent**. (c) **Environment**: The sub-panels will assess the research environment in terms of its 'vitality and sustainability', including the approach to enabling impact from its research, and its contribution to the vitality and sustainability of the wider discipline or research base. This element will carry a weighting of **15 per cent**.'

[8] For the 2028 UK Research Excellence Framework (REF), this is proposed to be: '1. **People and culture (25% weighting).** This element replaces the environment element of REF 2014 and 2021 and will be expanded to include an assessment of research culture. Evidence to inform assessment of this element will be collected at both institutional level and at the level of disciplinary submissions. (2) **Contribution to knowledge and understanding (50% weighting).** This element expands the outputs element of REF 2014 and 2021. The assessment will continue to be largely based on assessment of submitted outputs. In REF 2028, however, at least 10% of the score will be based on evidence of the broader contributions to the advancement of the discipline. (c) **Engagement and impact (25% weighting).** This element replaces the impact elements of REF 2014 and 2021, although it is similar to the impact element of 2014. Submissions will consist of both impact case studies and an accompanying statement to evidence engagement and impact activity beyond case studies.'

3. How to review and evaluate research work, and how to follow up on the outcomes of the review, drawing on evidence in developing and implementing strategies.

4. In considering research at all three levels, the main *areas of content focus* include, but are not limited to:

    i. Alignment to the University's and the Faculty's mission, vision, strategic planning, values, and identity
    ii. Research environment and culture
    iii. Originality, significance, scale, scope, rigour, impact, insight, of research projects and outputs
    iv. Context of research: institutional, local, regional, national, international
    v. Fields of research
    vi. Types, methodologies, and methods of research (e.g. empirical, non-empirical, theoretical, narrative, quantitative, qualitative, mixed methods, experimental, survey, ethnographic, case study, action research, etc.)
    vii. Indicators of quality in research output
    viii. Data and records kept on a diverse range of research matters with regard to quality assurance and enhancement
    ix. Provision of support for research, e.g. financial, temporal, contractual, material, spatial, facilities, managerial
    x. Training and development provision and activities for research and researchers
    xi. Planning for, including, undertaking, assessing, evaluating, and improving the uptake and impact of research (e.g. reach, nature contents, significance), together with evidence of improvements to impact
    xii. Evaluating and approving research proposals
    xiii. Research ethics, risk analysis, and safeguarding
    xiv. Research staffing (expertise and fields) and technical support
    xv. Research networking and collaboration
    xvi. Linking researchers and stakeholders
    xvii. Overcoming barriers to engagement in, participation in research
    xviii. Identification of research needs
    xix. Research development plans and strategy
    xx. Monitoring and, where appropriate, increasing the number of research projects: funded and unfunded
    xxi. Monitoring and, where appropriate, increasing the number of doctoral/research students and staff
    xxii. Management and leadership of research

This 'contents' dimension's three main *areas of content focus* ((i) *Research environment, people, and culture; (ii) Research outputs, contribution to knowledge; (iii) Engagement in, and impact of, research)* inform the development, implementation, and evaluation of research for this *Strategic Plan for Research*. Given the wide scope of research work issues set out above, the University recognises and respects the need for time for development and implementation to take place. The three main *areas of focus* are unpacked in the subsections below.

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## 6.1 CONTENTS FOCUS 1: RESEARCH ENVIRONMENT, PEOPLE, AND CULTURE

The University here follows the UK's *Research Excellence Framework* which writes that the research environment requires '*vitality and sustainability', including the approach to enabling impact from its research, and its contribution to the vitality and sustainability of the wider discipline or research base*'. This includes, for example, considering:

- the provision of support for research, e.g. financial, temporal, contractual, material, spatial, facilities, managerial
- the training and development provision and activities for research and researcher, and their uptake and impact
- the evaluation of research staffing (expertise and fields) and technical support
- the identification of research and research development needs
- research development plans and strategy, attention to the number, nature, scope and manageability of research projects: funded and unfunded
- the development of doctoral/research students and staff
- the leadership and management of research
- in establishing the research culture, this looks at the range of research-related activities in each Faculty and across the University for promoting, understanding, and facilitating research and its dissemination.

The University's May 2023 document '*Suggestions for Faculties/School/Institutes/Centres and Research Coordinators at the University of Saint Joseph*' provides many ways in which the research environment and culture can be developed in each Faculty, including in the areas of: public events; publications and research outputs; record-keeping and updating; dissemination; notices; and funding. These can feature in developing research here.

## 6.2 CONTENTS FOCUS 2: RESEARCH OUTPUTS, CONTRIBUTION TO KNOWLEDGE AND UNDERSTANDING

This focuses on ensuring the excellence of the outputs and products of the research, and their contribution to a broad spectrum of areas and parties. The UK's Research Excellence Framework writes that the quality of the research outputs is assessed '*in terms of their 'originality, significance and rigour', with reference to international research quality standards*', and this includes, for example '*applied, practice, basic and strategic research*'. This is also informed by the UK *Research Excellence Framework's Annexe A* in its 'Panel criteria and working methods' (2019).[9] High quality, excellent research has several features and foci in ensuring that they meet high standards, for example:

- the originality, significance, scale, scope, rigour, impact, insight, consequences of research projects and outputs
- the fields of the research

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[9] https://www.ref.ac.uk/publications-and-reports/panel-criteria-and-working-methods-201902/

- the types of research (e.g. empirical, non-empirical, theoretical, narrative, 'pure' and 'applied research)
- the types, methodologies, and methods of research (e.g. empirical, non-empirical, theoretical, narrative quantitative, qualitative, mixed methods, experimental, survey, ethnographic, case study, action research, etc.)
- keeping reliable and valid data and records on research
- ensuring, monitoring, reviewing, evaluating and reporting on the research ethics, risk analysis, and safeguarding in research projects and research training

## 6.3    CONTENTS FOCUS THREE: ENGAGEMENT IN, AND IMPACT OF, RESEARCH

The UK's *Research Excellence Framework* writes that the impact of research addresses '*the 'reach and significance' of impacts on the economy, society, culture, public policy or services, health, the environment or quality of life that were underpinned by excellent research conducted*'. At issue here is the recognition that the research must be impactful and consequential, i.e. it must make a positive and important difference to knowledge, living, actions, people, society, policy etc. Engagement in, and impact of research and here takes into account and evaluates:

- the context of research: institutional, local, regional, national, international
- the planning for, including, undertaking, assessing, and evaluating uptake and impact of research (e.g. reach, nature contents, significance)
- evidence of impact
- research networking and collaboration
- linking researchers and stakeholders
- addressing how to overcome barriers to engagement and participation in research

# 7    THE 'LEVELS' DIMENSION OF THE *FRAMEWORK FOR RESEARCH*

The University's *Framework for Research* has three *levels* of operation:

*Level 1:*        University
*Level 2:*        Faculty
*Level 3:*        Individual staff member

Each of the three levels has its own main foci, responsibilities, and tasks, which address the contents, management, operations, development of, and improvements to, the research work in the University.

Table 1 maps the three *areas of focus* in developing the research work of the University onto the three *levels of focus* here: (University, Faculty, Individual Staff Member).

**Table 1: Two dimensions of the structure for the Strategic Plan for Research**

| Areas of content focus | University | Faculty | Individual Staff Member |
|---|---|---|---|
| Research environment, people, and culture | | | |
| Research outputs, contribution to knowledge and understanding | | | |
| Engagement in, and impact of, research | | | |

The three levels are unpacked below.

## 7.1 THE UNIVERSITY LEVEL

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.

These responsibilities bring several requirements:

i. The University must have, and review, its policy and practices for ensuring the high quality of research and research-related activities and development in each Faculty.
ii. The University must have a leadership and management structure and mechanism for ensuring that the quality of the research work in the University is active, sufficient, and bringing benefit to its research work, its oversight, provision, quality, impact, significance, evaluation, and development.
iii. The University must ensure that there is a strategic plan for the University's research work, together with a mechanism for developing, reviewing, and overseeing the realisation of that plan in practice.
iv. The University must have, and operate, a University Research Committee and a University Research Ethics Committee, with their terms of reference, powers, and responsibilities set out, operational, and reviewed as appropriate.
v. The University must have a dedicated Research Development Office at the University level, that handles and meets the requirements of, and liaison with, with external and internal agencies and agents for the preparation, submission,

operation, monitoring and follow-up on research bids and reporting submitted to funding agencies and agents.

vi.   The University must ensure that each Faculty has an active, productive, and impactful Research Coordinator.

vii.   The University must have a policy for research and research ethics, risk management, and a mechanism for ensuring compliance with these policies across the University.

viii.   The University must have an ongoing, secure repository of data on research activities and outcomes from each Faculty and individual staff member, together with reviewing the research performance of the University based on repository evidence.

ix.   The University must provide financial, managerial, administrative, material, and leadership support for the sustainable development and operations of research and research facilities across the University.

x.   The University must set out its provision for the operations, development, maintenance, and continuous improvement of, and support for, its research culture and environment across the University.

xi.   The University must ensure that each Faculty has, and operates, its own quinquennial strategic plan and triennial action plan for research, together with its own mechanism for reviewing and developing its research environment and culture, staffing, work, outputs, and impact, and the indicators, criteria, and evidence of quality of these.

xii.   The University must ensure that each Faculty fulfils the requirements for promoting, assessing, evaluating, and reviewing, developing, and improving research projects, activities and their quality, outputs, uptake, and impact.

xiii.   The University must ensure that each Faculty has appropriate academic staff who are 'research active', together with the criteria for being 'research active'.

xiv.   The University must ensure that each Faculty has appropriate strategies and practices for training and developing researchers at staff and student levels.

## 7.2   THE FACULTY LEVEL

At the level of each Faculty, responsibilities include, but are not limited to:

i.   cultivating a flourishing research culture in the Faculty, supporting and developing researchers, research and routinely good practices in research;

ii.   ensuring that research management in the Faculty is operating efficiently, effectively, and is fit for purpose;

iii.   instituting and operating clear Faculty 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;

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;

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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's 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.

Each Faculty must ensure that it has the following and that these are in operation and are yielding positive outcomes, uptake, and impact:

i. The Faculty must indicate how it addresses, in practice, and aligns with, the University's *Strategic Plan For Research*.

ii. The Faculty must have leadership and management structure and mechanisms for ensuring that the quality of the research and research work in the Faculty are active, sufficient, and bringing benefit to its research work, its oversight, provision, quality, impact, significance, evaluation and development.

iii. The Faculty must have its own Strategic Plan for activating, prioritising, operating, ensuring, reviewing, evaluating, developing, assuring, and improving the provision, contents, scope, activities, and quality of its research work, including, but not limited to, the *areas of content focus* set out in Section 6 and the high quality coverage of, maintenance of, and ongoing improvements to:

- research foci, contents, conduct, and outputs
- research quality, originality, rigour, and significance
- research environment and culture
- research provision, support, and facilities
- needs in improving research
- research activities in the Faculty
- research development and training for, and activities of, staff and students
- research networking and collaboration with outside parties and stakeholders
- outcomes of research, and their uptake and impact
- research monitoring and review

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iv. The Faculty must decide and state how to operate the University's indicators, why, and what criteria it will use when working with the indicators (i.e. to identify high and low quality in each indicator), and, where necessary, the evidence that it will use in coming to a judgement of the quality of the research in addressing that indicator.

v. The Faculty must have, state, and use, its own procedures for reviewing and developing its Strategic Plan and all its operations and activities of research.

vi. The Faculty must have, state, operate, act on the outcomes of, and engage in ongoing review of, its procedures, foci, and contents for judging the quality of its research provision, support and development, contents, foci, activities, projects, outputs and their uptake and impact.

vii. The Faculty must indicate, annually, the action taken on the outcomes of its indicators and evidence of research activity, output, and outcomes, for each member of staff in the Faculty, to improve the quality of the research work in the Faculty.

viii. The Faculty must have, operate, and ensure ongoing review of, a formal Faculty procedure for reviewing and approving research proposals and, where appropriate, research ethics, risk analysis and safeguarding, for both funded and unfunded research, by staff and students.

ix. The Faculty must have an active, productive, and impactful Research Coordinator, together with a procedure for the review of the work and outcomes of the work of the Research Coordinator and its impact on improving the quality of the research work, research environment and culture, and researcher and research development in the Faculty, and uptake and impact of research outputs.

x. The Faculty must have, operate, and ensure ongoing review of research projects and activities of its staff and students.

xi. The Faculty must indicate, operate, and review annually the provision for the development of staff and students as researchers, together with the uptake, impact and outcomes of such provision.

xii. The Faculty must make recommendations to the University, on an annual basis, for the provision, development, and improvement of research in the Faculty.

xiii. The Faculty must fulfil the University's requirements for promoting, assessing, evaluating, and reviewing, developing, and improving research projects, activities and their quality, outputs, uptake, and impact.

xiv. The Faculty must ensure that it has appropriate academic staff who are 'research active', together with the criteria for being 'research active'.

## 7.3    THE INDIVIDUAL STAFF MEMBER LEVEL

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 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,

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risk management, financial management intellectual property, equality and diversity, and other policies, codes of conduct, and guidelines of the University and the Faculty 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;

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;

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.

Each academic staff member in the University must ensure, on an ongoing and annual basis, that they have fulfilled the following:

i. Registering with ORCID
ii. Updating their entries in the University repository each time they have a new, recognised output
iii. Being 'research active' whilst taking account of contextual matters, e.g. age, experience, stage in their career, teaching, supervision, and administrative commitments
iv. Providing evidence to inform the University's indicators and criteria of research activity and planning, with regard to research in the Faculty and their own performance
v. Ensuring that they have addressed key indicators of involvement in research production and research work
vi. Agreeing with their Dean, their plans and proposals for research projects, activities, involvement, contents, and outcomes: their quality, rigour, originality, significance, uptake, and impact
vii. Liaising with the Research Development Office with regard to funded research, as appropriate
viii. Indicating the steps taken to improve the quality of their research and its outcomes, and their own research performance, skills, experiences, and competences
ix. Being actively involved in the research activities and events of the Faculty, as appropriate, and contributing to the development of the research environment and output in their Faculty
x. Providing evidence of their contribution to the development of, and involvement in promoting the research environment, culture, and activities of their Faculty
xi. Providing evidence of liaising closely with the Faculty's Research Coordinator in supporting, promoting, and developing the scope, activities, involvement in, and quality improvement in the research work, environment, culture and activities, in the Faculty
xii. Taking and reporting steps taken to improve their status in being 'research active'
xiii. Taking and reporting their research networking and collaboration with outside parties and stakeholders
xiv. Making recommendations to the Faculty for the development of research in the Faculty

# 8 THE 'TIME' DIMENSION OF THE *FRAMEWORK FOR RESEARCH*

The University recognises that the three *areas of content focus* and *levels of focus* take time to inaugurate, develop, and become embedded in the University, the Faculty, and its Individual Staff Members. Hence, the time dimension is *signalled* here, and features in the *Strategic Plan for Research* for the development of research in the University. The *Strategic Plan for Research* has a five-year lifespan. Planning and implementing research work require attention to the timing and duration of the project in question. These are the substance of the *Strategic Plan for Research* in the University, which sets out three phases for the

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development of research work at the three levels indicated above. Phase One concerns setting up the infrastructure for research; Phase Two puts this into operation, and Phase Three ensures that, when the research work is more firmly embedded, the University, each Faculty, and each Individual Staff Member, is ready for reviewing, refocusing, and developing further the research work of the University into new directions, as appropriate.

It is unrealistic to expect a short-term implementation and achievement of all the dimensions of research development and performance set out in the contents and levels of the *Framework for Research*. Rather, the *Framework* accepts the developmental nature of assuring, enhancing, and developing high quality research and research work, with the development of research adopting a ground-up process. The time dimension is addressed in the *Strategic Plan for Research*. This is accompanied by quality assurance in the operations of the research work in the University, which operates for each of the three dimensions in the *Framework for Research*. Table 2 takes the three *areas of content focus* set out in Section 6 ((i) *Research environment, people, and culture*; (ii) *Research outputs, contribution to knowledge*; and (iii) *Engagement in, and impact of, research*), and indicates a repeated set of considerations in planning implementing, monitoring, reviewing, and evaluating action planning and its effects.

**Table 2. Content components of the framework for the *Strategic Plan for Research***

| *FOCUS 1:* **RESEARCH ENVIRONMENT, PEOPLE, AND CULTURE** |
| --- |
| Responsibilities, tasks, and procedures |
| Indicators of quality |
| Criteria for making judgements of quality |
| Evidence required |
| Procedures for monitoring/review |
| Judgement of quality |
| Action for improvement |
| *FOCUS 2:* **RESEARCH OUTPUTS, CONTRIBUTION TO KNOWLEDGE AND UNDERSTANDING** |
| Responsibilities, tasks, and procedures |
| Indicators of quality |
| Criteria for making judgements of quality |
| Evidence required |
| Procedures for monitoring/review |
| Judgement of quality |
| Action for improvement |
| *FOCUS 3:* **ENGAGEMENT IN, AND IMPACT OF, RESEARCH** |
| Responsibilities, tasks, and procedures |
| Indicators of quality |
| Criteria for making judgements of quality |
| Evidence required |
| Procedures for monitoring/review |
| Judgement of quality |
| Action for improvement |

# 9    CONCLUDING REMARKS

The *Framework for Research* addresses a wide spectrum of issues. To gain some purchase on these, it identifies *core components* which feature in the three *dimensions* of the *Framework* (contents, levels, and time), within which are:

- Three *content areas*:
    i.    Research environment, people, and culture
    ii.   Research outputs, contribution to knowledge
    iii.  Engagement in, and impact of, research
- Three *levels:*
    i.    University
    ii.   Faculty
    iii.  Individual Academic Staff Member
- Three *phases*: The *Strategic Plan for Research* sets out three phases/timing for addressing these, whilst the *Framework for Research* indicates the significance of attaching time frames to each area of development of research work in the University.

The *Framework for Research* is ambitious, achievable, and realistic.