



NATIONAL UNIVERSITY

DOCUMENT: POLICY	SUBJECT: RESEARCH POLICY	Page 1 of 19
DOCUMENT NO.: RaIN-OC-001 DATE OF EFFECTIVITY: July 23, 2014	SUPERSEDES: DATED:	ISSUED TO: (COPIES) PRESIDENT, EVP, VPAA, DEANS, QMO, ACCOUNTING DEANS
<u>This is a controlled document.</u> Photocopying or printing of this document, without the controlled mark, shall make this document an uncontrolled copy.		

1. Aim

This policy document aims to outline the research policy of National University and to guide all faculty members and students accordingly in matters related to research.

2. Policy Goal

As a central tenet of the National University mission, research complements and invigorates teaching, as well as collectively supports the preservation, dissemination and advancement of knowledge for the betterment of society on the basis of good scholarship. Equally relevant in this context is the exploitation of such knowledge and innovative ideas in the development of tangible and non-tangible outputs beneficial to nation building.

3. Objectives

The objectives of this policy are to define the principles that will:

- 3.1. Support the further development of a research culture.
- 3.2. Lead to the broadening and development of the research capacity of the university across all disciplines, and to extend that research-based knowledge to the nation and the international community.
- 3.3. Encourage and empower faculty members to manage, conduct, disseminate and report research results.
- 3.4. Establish the University as a centre of research excellence.
- 3.5. Establish procedures to manage and use research resources effectively, efficiently and fairly.
- 3.6. Increase quality of student research activity.
- 3.7. Encourage the research-teaching nexus.
- 3.8. Improve the quality of outputs, including their impact, level of accountability, and timeliness of reporting.
- 3.9. Provide a structure for continual improvement of research and development.

4. General Research Policy

- 4.1. The policy shall apply to all members of the University community, and other users of University resources.



NATIONAL UNIVERSITY

DOCUMENT: POLICY	SUBJECT: RESEARCH POLICY	Page 2 of 19
DOCUMENT NO.: RaIN-OC-001 DATE OF EFFECTIVITY: July 23, 2014	SUPERSEDES: DATED:	ISSUED TO: (COPIES) PRESIDENT, EVP, VPAA, DEANS, QMO, ACCOUNTING DEANS
<u>This is a controlled document.</u> Photocopying or printing of this document, without the controlled mark, shall make this document an uncontrolled copy.		
<p>4.2. Research activities will aim at fulfilling the University Vision, Mission and Values statements, and the National aspiration of the country.</p> <p>4.3. The University will take into account goals and priorities established by appropriate Government bodies in establishing its research priorities.</p> <p>4.4. Staff shall be free to research any area, provided that they adhere to the University's ethical principles and values.</p> <p>4.5. The University shall recognize the value both of internationally-recognized research and of research that is of direct benefit to the country, and will strive for excellence in both.</p> <p>5. Research at National University</p> <p>Research at the University comprises three major types, that of fundamental research, applied research and experimental development.</p> <p>5.1. Fundamental research (or basic research) refers to either pure basic research or strategic basic research. Pure basic research is experimental and theoretical work undertaken to acquire new knowledge without looking for long-term benefits other than the advancement of knowledge. Strategic basic research is experimental and theoretical work undertaken to acquire new knowledge directed into specified broad areas in the expectation of useful discoveries. It provides the broad base of knowledge necessary for the solution of recognized practical problems.</p> <p>5.2. Applied research is original work undertaken primarily to acquire new knowledge with a specific application in view. It is undertaken either to determine possible use for the findings of basic research or to determine new ways of achieving some specific and predetermined objectives</p> <p>5.3. Experimental development is systematic work, using existing knowledge gained from research or practical experience that is directed to producing new materials, products or devices, to installing new processes, systems and services, or to improving substantially those already produced or installed.</p> <p>Overall, the University shall invest and give equal emphasis in terms of resources and time allocated to all types of research as above.</p> <p>6. Organization of Research</p> <p>6.1. All faculty members are expected to undertake research. In turn, the University is committed to support all research with appropriate resources where necessary.</p>		



NATIONAL UNIVERSITY

DOCUMENT: POLICY	SUBJECT: RESEARCH POLICY	Page 3 of 19
DOCUMENT NO.: RaIN-OC-001 DATE OF EFFECTIVITY: July 23, 2014	SUPERSEDES: DATED:	ISSUED TO: (COPIES) PRESIDENT, EVP, VPAA, DEANS, QMO, ACCOUNTING DEANS
<p><u>This is a controlled document.</u> Photocopying or printing of this document, without the controlled mark, shall make this document an uncontrolled copy.</p>		
<p>6.2. The University's overall research focus is diversely expressed in each faculty or college niche area(s). Each niche area within the faculty or college allows for research convergence and the optimization of research resources.</p> <p>6.3. Within this niche area(s), the faculty identifies priority research topics. Faculty members undertaking research within a Priority Research Topic are called a research group.</p> <p>6.4. Any research that does not fall within the ambit of the faculty or college niche area(s) is called "complementary research". Although complementary research is not discouraged, it shall not take precedence over niche-area research in the allocation of University resources. Depending on prevailing needs and relevance, the University management may give precedence in terms of resource (facilities and funding) apportionment to one or more selected niche areas or priority research topics.</p> <p>6.5. At the faculty and college level, a cluster-based approach to research is encouraged. Cluster-based research refers to a strategy whereby either an amalgamation of research projects or components of one large project, are undertaken collaboratively either within a priority research topic or across priority research topics. By definition, it involves more than one researcher. Sharing similar research interests, researchers collaborate intellectually and in work responsibilities. As far as possible, the University desires research to be multidisciplinary or inter-disciplinary in design and approach. Inter-faculty and inter-college research collaboration is encouraged since the sharing of expertise and techniques across disciplines and institutional boundaries shall eventually prove beneficial in adding value to research.</p> <p>6.6. It is preferred that each cluster-based research project have a network of students (preferably a few post graduate research students) attached to it. Working with principal researchers, the students derive their postgraduate theses from the research project. The participation of research students is highly desirable and recommended as they augment research in terms of providing principal researchers with original data and collaborative feedback. Furthermore, they form the nucleus of new scholars, trained by principal researchers, and are poised to break new ground and take research to advanced levels. For this to happen, all research projects should have merit-based research scholarships and studentships for fieldwork to assist their post graduate students financially throughout the duration of their studies.</p>		



NATIONAL UNIVERSITY

DOCUMENT: POLICY	SUBJECT: RESEARCH POLICY	Page 4 of 19
DOCUMENT NO.: RaIN-OC-001 DATE OF EFFECTIVITY: July 23, 2014	SUPERSEDES: DATED:	ISSUED TO: (COPIES) PRESIDENT, EVP, VPAA, DEANS, QMO, ACCOUNTING DEANS
This is a controlled document. Photocopying or printing of this document, without the controlled mark, shall make this document an uncontrolled copy.		
<p>6.7. Research (inclusive of contract research/consultancies) shall comprise not more than 75 percent of the total workload of faculty members, expressed in terms of teaching, committee work, and administrative load.</p> <p>6.8. Each faculty or college has principal responsibility in developing, implementing and monitoring their respective research projects. University level approval and oversight of faculty or college research projects lies with the University, delegated to the Center for Research.</p> <p>7. NU Research and Innovation (RaIN) Office</p> <p>As research is one of the tenets of the NU mission statement, the University has established the NU RaIN office.</p> <p>7.1. Functions of NU RaIN Office</p> <p>The NU RaIN is principally responsible for overseeing the management of research in the University. Accountable to the Research Committee and Vice President Academics Affairs (VPAA), the NU RaIN:</p> <ul style="list-style-type: none"> 7.1.1. oversees and implements NU research policy; 7.1.2. scrutinizes and approves research proposals for compliance to the policy document; 7.1.3. facilitates Research Grant Adjudication committees (tasked with scrutinizing and recommending support for research proposals on the basis of merit, relevance and excellence); 7.1.4. approves expenditures and monitor research activities; 7.1.5. develops and maintains a research database and for research projects carried out in NU; 7.1.6. maintains a database of research expertise of faculty members of the University; 7.1.7. maintains a monitoring system designed to assist researchers in meeting research implementation schedules, progress reports and financial reporting deadlines as described in proposal time lines; 7.1.8. forwards all research proposals and research reports (technical and financial) after they have been documented to the University Research Committee for appropriate action; 7.1.9. serves as the point of contact with funding agencies in terms of technical and financial progress reporting; 7.1.10. encourages exploitation, development, patenting and commercialization of research and innovative outputs by the University researchers; 		



NATIONAL UNIVERSITY

DOCUMENT: POLICY	SUBJECT: RESEARCH POLICY	Page <u>5</u> of <u>19</u>
DOCUMENT NO.: RaIN-OC-001 DATE OF EFFECTIVITY: July 23, 2014	SUPERSEDES: DATED:	ISSUED TO: (COPIES) PRESIDENT, EVP, VPAA, DEANS, QMO, ACCOUNTING DEANS
<p><u>This is a controlled document.</u> Photocopying or printing of this document, without the controlled mark, shall make this document an uncontrolled copy.</p>		
<p>7.1.11. promotes research culture amongst the faculty members of NU by organizing research seminars among invited guests, faculty and graduate students;</p> <p>7.1.12. provides a University Research Update and research achievements at NU;</p> <p>7.1.13. showcases successful research findings in the university;</p> <p>7.1.14. organizes relevant training programs (both internal and external) on a regular basis to enhance the capability, especially of new faculty members, in R & D activities; and</p> <p>7.1.15. prepares and implements the annual budget for the NU RaIN office</p> <p>8. University Research Committee</p> <p>The main function of the University Research Committee is to review faculty research proposals. The function is elaborated on the following:</p> <p>8.1. University Research Committee is a working committee of the NU RaIN office primarily tasked with providing internal (within the university) peer review of all research proposals submitted for NU research grant support. They will also ensure that research proposals meet internationally-recognized quality standards.</p> <p>8.2. The University Research Committee is tasked with providing peer scrutiny of all faculty research proposals and is responsible for ensuring that all research proposals meet the following criteria:</p> <ul style="list-style-type: none"> ▪ makes noteworthy contribution to knowledge; ▪ is realistic in terms of its scope, time frame and schedule, with adequate human and financial resources to complete the project; ▪ is theoretically and methodologically coherent; ▪ strengthens overall research efforts and expertise within the faculty or college; ▪ is relevant to the needs of society; ▪ scrutinizes and approves research proposals for compliance to this policy document. <p>8.3. In situations where the proposals being evaluated fall outside the expertise of the University Research Committee, an external expert (in the area of the proposed research) shall be invited to assist in its evaluation.</p> <p>8.4. In cases where proposals require further clarification, the Director of NU RaIN shall invite the proposal proponent(s) to a discussion with the Research Committee.</p>		



NATIONAL UNIVERSITY

DOCUMENT: POLICY	SUBJECT: RESEARCH POLICY	Page 6 of 19
DOCUMENT NO.: RaIN-OC-001 DATE OF EFFECTIVITY: July 23, 2014	SUPERSEDES: DATED:	ISSUED TO: (COPIES) PRESIDENT, EVP, VPAA, DEANS, QMO, ACCOUNTING DEANS
This is a controlled document. Photocopying or printing of this document, without the controlled mark, shall make this document an uncontrolled copy.		
<p>8.5. The Director of the NU RaIN office or designate of the University Research Committee shall communicate in writing any required revisions or improvements to the proposal to the proponent/s.</p> <p>8.6. The University Committee is responsible for reviewing progress and final reports (inclusive of financial reports) of all research grants and projects.</p> <p>9. University Research Grants</p> <p>9.1. National University Research Grants</p> <p>9.1.1. NU research grants (also known as research seed grants) are allocated to NU faculty members on the basis of merit and are designed to kick-start new research projects. Such research should not continue to rely upon university research grants as their principal sources of funding. Instead, such researchers are expected to access grants from non-university sources, such as international, corporate or private grant sources.</p> <p>9.1.2. The NU Research grants are open to full-time faculty as project proponents and to part-time faculty members as co-proponents who have a strong commitment to NU and a reasonable expectation of continued employment at NU.</p> <p>9.1.3. NU research grants consist of financial support for expenditure of materials, and of units equivalent to teaching units as endorsed by the corresponding Program Chair and Dean of College where the faculty member belongs. Funding allocations may also be set aside for special research projects as identified by the VPAA.</p> <p>9.1.4. These grants are mainly for the support of primary data collection, such as survey and research traveling expenses, photocopy of manuscript or journals, purchase of books, research consumables, experimental material supplies, remuneration for research assistants (if needed), specialized software, hardware maintenance, rentals and others.</p> <p>9.1.5. Publications resulting from research supported by NU Research grants must include NU in the author's address and acknowledge the support of NU.</p> <p>9.2. External Research Grants</p> <p>9.2.1. National University actively encourages faculty members' researchers to access external research grants, whether from official government sources, commercial/corporate funding,</p>		



NATIONAL UNIVERSITY

DOCUMENT: POLICY	SUBJECT: RESEARCH POLICY	Page <u>7</u> of <u>19</u>
DOCUMENT NO.: RaIN-OC-001 DATE OF EFFECTIVITY: July 23, 2014	SUPERSEDES: DATED:	ISSUED TO: (COPIES) PRESIDENT, EVP, VPAA, DEANS, QMO, ACCOUNTING DEANS
<u>This is a controlled document.</u> Photocopying or printing of this document, without the controlled mark, shall make this document an uncontrolled copy.		
<p>research trusts from other academic institutions in the form of individual or joint institutional research projects. Such external grants reflect external recognition of research competence and enhance both the researcher's reputation and the University's research standing.</p> <p>9.2.2. To enhance the chances of securing such grants, the University researchers are encouraged to establish or join national and international research networks, and to collaborate with their local and international counterparts.</p> <p>9.2.3. On externally funded research projects, NU shall charge overhead at the following rates:</p> <p>(percentage distribution of rates will be discussed with VPAA)</p> <ul style="list-style-type: none">• % - for grants from governments and international organizations;• % - for research contracts from industrial or business partners if the results are to be published in an open forum;• % - for contracts from industrial or business partners if the results cannot be published in an open forum because they are considered proprietary and fully owned by the sponsor;• Negotiable, if the sponsor has pre-existing policy of lower overhead rates. <p>10. Limit on Number of Research Grants or Projects</p> <p>10.1. To ensure that researches are completed on schedule, all researchers who are also full-time faculty members are limited to leading a maximum of two research grants or projects at any one time. In addition, these researchers can participate in a maximum of two further projects as a member of the research teams.</p> <p>10.2. Holders of professorial Chairs in the college undertaking cluster research may participate in as many research grants and projects as part of their full-time dedication to high quality research work allows. Such levels of participation must however, not jeopardize the expected high quality of output of the college.</p>		



NATIONAL UNIVERSITY

DOCUMENT: POLICY	SUBJECT: RESEARCH POLICY	Page 8 of 19
DOCUMENT NO.: RaIN-OC-001 DATE OF EFFECTIVITY: July 23, 2014	SUPERSEDES: DATED:	ISSUED TO: (COPIES) PRESIDENT, EVP, VPAA, DEANS, QMO, ACCOUNTING DEANS
This is a controlled document. Photocopying or printing of this document, without the controlled mark, shall make this document an uncontrolled copy.		

11. Statistical Assistance for Research

The National University Research and Innovation Office offers statistical assistance to NU researchers who are engaged in proposal writing and carrying out an investigation. The assistance can be in a form of personal consultation, seminars, or workshops. In case of personal consultation, the following guidelines should be observed:

- 11.1. All faculty members of NU shall be eligible for statistical assistance program of the University
- 11.2. The researchers can write a letter requesting for such an assistance.
- 11.3. The schedule of consultation shall be set subject to the availability of the consultant.
- 11.4. The copy of paper containing the data should be forwarded to the consultant at least one week prior to consultation.
- 11.5. The researcher should bring with him/her the copy of the data for statistical analysis as well as the full paper.
- 11.6. In case the researcher is not available during the set schedule, online consultation may be done subject to the availability of the consultant.

12. Assistance for Data Processing

The National University Research and Innovation Office offers assistance for data processing to NU researchers who are engaged in proposal writing and carrying out an investigation. Specifically, NURaIn provides support in data analysis and reporting through personal consultation, seminars, and workshops. In cases of personal consultation, the following guidelines should be observed:

- 12.1. All faculty members of NU shall be eligible for the data processing assistance program of the University
- 12.2. The researchers can write a letter requesting for such an assistance.
- 12.3. The schedule of consultation shall be set subject to the availability of the consultant.
- 12.4. The copy of paper containing the data should be forwarded to the consultant at least one week prior to consultation.
- 12.5. The researcher should bring with him/her the copy of the data for processing as well as the full paper.
- 12.6. In case the researcher is not available during the set schedule, online consultation may be done subject to the availability of the consultant.



NATIONAL UNIVERSITY

DOCUMENT: POLICY	SUBJECT: RESEARCH POLICY	Page 9 of 19
DOCUMENT NO.: RaIN-OC-001 DATE OF EFFECTIVITY: July 23, 2014	SUPERSEDES: DATED:	ISSUED TO: (COPIES) PRESIDENT, EVP, VPAA, DEANS, QMO, ACCOUNTING DEANS
<u>This is a controlled document.</u> Photocopying or printing of this document, without the controlled mark, shall make this document an uncontrolled copy.		

13. Research Output

The University recognizes the following as concrete evidence of quality research output:

- 13.1. externally-refereed publications as articles or scientific papers in national and internationally journals of scholarly repute, or in refereed open-access web-based academic journals;
- 13.2. monographs, books, chapters in books and published conference proceedings;
- 13.3. presentation of research work at external conferences, seminars and workshops (national and international);
- 13.4. in-house research working papers, technical reports, professional society publications;
- 13.5. Publication in the University Academic Journal;
- 13.6. research-based creative works/exhibitions and artistic performances;
- 13.7. success in attracting external research funding; and
- 13.8. supervision of research graduate students towards the completion of their degrees.

14. Criteria for Research Outputs

- 14.1. Appropriacy of research method
- 14.2. Clarity of connection between the current research and existing body of knowledge or theory
- 14.3. Clarity of criteria in selecting subjects for the study, data collection, and data analysis
- 14.4. Selection of cases/participants are theoretically justified
- 14.5. Alignment between the research questions and methodology
- 14.6. Clarity of data collection procedure and data management
- 14.7. Clarity and appropriacy of data analysis
- 14.8. Adequacy and quality of analysis
- 14.9. Presence of measures that test the validity of findings
- 14.10. Comprehensibility of analysis
- 14.11. Contextualization of research
- 14.12. Clarity of data presentation
- 14.13. Sufficiency of evidence to support conclusions
- 14.14. Clarity of author's position
- 14.15. Credibility and appropriateness of results
- 14.16. Adherence to research ethics guidelines
- 14.17. Credibility and sufficiency of sources
- 14.18. Adherence to documentation style and format



NATIONAL UNIVERSITY

DOCUMENT: POLICY	SUBJECT: RESEARCH POLICY	Page <u>10</u> of <u>19</u>
DOCUMENT NO.: RaIN-OC-001 DATE OF EFFECTIVITY: July 23, 2014	SUPERSEDES: DATED:	ISSUED TO: (COPIES) PRESIDENT, EVP, VPAA, DEANS, QMO, ACCOUNTING DEANS
This is a controlled document. Photocopying or printing of this document, without the controlled mark, shall make this document an uncontrolled copy.		

15. Contractual Obligations of Researchers and the University

- 15.1 Researchers are obliged to complete all assigned, and agreed upon research, and to publish findings of such research as widely as possible. In particular, with regards to research supported by funds from NU, the university expects a return from the recipients of the funding. As such, researchers are obliged to generate output from the research conducted. The University on its part is obliged to support and assist researchers in meeting all their research obligations.
- 15.2. As far as possible, publication of research should be current and of high quality. Ideally, there should be a minimum amount of delay between the end of any research and submission for publication of its findings. Any delay in submission for publication of research findings should not, normally, exceed a period of 12 months.
- 15.3. A failure in the completion of the research would mean:
 - Payment for instance, of the allotted approved research grant
 - If for instance deloading of six units was awarded, the researcher must be given six units overload without remuneration on the succeeding semester. The duration of the overload is dependent on the number of semesters the six units was awarded.

16. Research Ethics

16.1. Integrity

- 16.1.1 Researchers are expected to be honest in respect of their own actions in research and in their responses to the actions of other researchers. This applies to the whole range of researches, including the design of research projects or experiments, generating and analyzing data, applying for funding and grants, and publishing results.
- 16.1.2. Researchers are expected to uphold research integrity at all times. Specifically, researchers shall acknowledge the direct and indirect contributions of colleagues, research collaborators and others in their work and publications at all times.
- 16.1.3 As well, research integrity includes maintaining rigor, carefulness and accountability that are the recognized standards of good scholarship, and not just the avoidance of wrongdoing. All researchers should actively practice the following:
 - emphasize high quality research;
 - undertake appropriate research supervision;



NATIONAL UNIVERSITY

DOCUMENT: POLICY	SUBJECT: RESEARCH POLICY	Page <u>11</u> of <u>19</u>
DOCUMENT NO.: RaIN-OC-001 DATE OF EFFECTIVITY: July 23, 2014	SUPERSEDES: DATED:	ISSUED TO: (COPIES) PRESIDENT, EVP, VPAA, DEANS, QMO, ACCOUNTING DEANS
<p><u>This is a controlled document.</u> Photocopying or printing of this document, without the controlled mark, shall make this document an uncontrolled copy.</p>		
<ul style="list-style-type: none"> • maintain accurate and detailed research activity records and results; • be ethical about the objectives of one's research; • be open and cooperative with one's fellow researchers and others; • be committed in publishing and further develop or commercialize one's research findings. <p>16.1.4 Researchers are accountable to society, their professions, the communities and university where the research is taking place, the staff and students involved, and to sponsors that are funding research</p> <p>16.1.5 At the beginning of a research project, researchers are required to declare and manage potential conflicts of interest in writing. At the end of a research project, researchers are required to disclose any real financial or professional conflict of interest in writing. Areas of real or potential conflict of interests include:</p> <ul style="list-style-type: none"> • where researchers have an existing or potential financial interest in the outcome of the research; • where researchers are likely to gain any private benefit that is dependent on the research outcome; and • where the researcher's professional or personal gain arising from the research outcome may be more than usual or normal in a specific research undertaking. <p>16.2 Humans and Human Communities as Research Subjects</p> <p>16.2.1 The interests and rights of those involved or affected by the research must be appropriately safeguarded. The principle of voluntary participation must be in effect, and the participant must have the option to withdraw at any time.</p> <p>16.2.2 The researcher(s) must ensure legislative requirements on human rights and confidentiality (or preferably anonymity) have been met. Clearly, anonymity is a stronger guarantee of privacy, but if the researcher(s) must know the names of participants, this or any information that could serve to identify the participant cannot be released to the public. The researcher(s) must explain in writing how participant's right to privacy will be safeguarded.</p> <p>16.2.3 The researcher(s) must establish informed consent before the work begins and cannot expose the participants to risk of harm as a consequence of that participation. Harm includes both physical and</p>		



NATIONAL UNIVERSITY

DOCUMENT: POLICY	SUBJECT: RESEARCH POLICY	Page <u>12</u> of <u>19</u>
DOCUMENT NO.: RaIN-OC-001 DATE OF EFFECTIVITY: July 23, 2014	SUPERSEDES: DATED:	ISSUED TO: (COPIES) PRESIDENT, EVP, VPAA, DEANS, QMO, ACCOUNTING DEANS
<u>This is a controlled document.</u> Photocopying or printing of this document, without the controlled mark, shall make this document an uncontrolled copy.		
<p>psychological aspects. Prospective research participants must be fully informed about the procedures and risks before they are asked to sign the consent form. Signed consent forms must be presented on demand. In the case of underage children, the parent or guardian can give informed consent.</p> <p>16.2.4 The researcher(s) must maintain integrity and develop the highest possible standards of research practices including in research design, data collection, storage, analysis, interpretation and reporting. Reporting may include providing the information back to the community from which the information was gathered depending on the sensitivity of the research.</p> <p>16.2.5 The researcher(s) must as far as possible anticipate the consequences of the work or its misuse for those involved in the study and other stakeholders.</p> <p>16.2.6 The researcher(s) must submit their proposal to the Research Ethics Sub-Committee and other appropriate external professional ethical committees for approval where required. Any significant change to the procedures after the proposal is approved must be submitted to the Research Ethics Sub-Committee for re-approval.</p> <p>16.2.7 The Research Ethics Sub-Committee shall consist of three members including the Director of the Research. The other two members shall be appointed by the Research Committee.</p> <p>17. Research Misconduct</p> <p>17.1. Examples of Research Misconduct</p> <p>The University regards the following practices as research misconduct since they violate commonly accepted principles and practices of research upheld by the general scholarly community. Such offenses are serious and subject to strict disciplinary action.</p> <p>17.1.1. Fabrication of data: Dishonesty in reporting results, ranging from fabrication of data, improper adjustment of results, and gross negligence in collecting or analyzing data, to selective reporting or omission of data for deceptive purposes;</p> <p>17.1.2. Falsification of research: Deliberately misrepresenting research, including the progress of research, making grossly exaggerated claims of the significance of research results, falsely claiming</p>		



NATIONAL UNIVERSITY

DOCUMENT: POLICY		SUBJECT: RESEARCH POLICY		Page 13 of 19
DOCUMENT NO.: RaIN-OC-001		SUPERSEDES:		ISSUED TO: (COPIES) PRESIDENT, EVP, VPAA, DEANS, QMO, ACCOUNTING DEANS
DATE OF EFFECTIVITY: July 23, 2014		DATED:		
<u>This is a controlled document.</u> Photocopying or printing of this document, without the controlled mark, shall make this document an uncontrolled copy.				
<div>17.1.3. Plagiarism: Taking credit for someone else’s work and ideas, stealing other’s results or methods, omitting acknowledgment of significant contribution(s) received from others, copying the writing of others without proper acknowledgment, or otherwise falsely taking credit for the work and ideas of others;</div> <div>17.1.4. Failure to acknowledge: Willfully ignoring and failing to acknowledge the source of materials used in laboratory research or significant human assistance.</div> <div>17.1.5. Abuse of confidentiality: Taking or releasing ideas and data that was shared with the legitimate expectation of confidentiality (e.g. use of confidential results without permission of other researchers or previous employers), stealing ideas from others’ grant proposals, award applications, or manuscript publication;</div> <div>17.1.6. Dishonesty in publication: Knowingly publishing material that will mislead readers (e. g. misrepresenting data, particularly its originality, misrepresenting research progress, adding the names of other authors without their permission, or including honorary authorships or excluding a major collaborator as co-author of the paper);</div> <div>17.1.7. Misuse of funds: Failure to spend research funds in ways consistent with the goals stated in the relevant contract documents and/or failure to maintain clear and proper records of expenditures;</div> <div>17.1.8. Mistreatment of human research subjects: Failure to obtain informed consent of research informants/clinical trial patients, failure to protect the rights of informants regarding their privacy and to protect the research subject’s anonymity and the confidentiality of information sources. Individuals and communities have the right to know the results of research in which they have been involved as subjects even if they do not exercise that right: Researchers must supply a form of report to individuals or the community that was the subject of research.</div> <div>17.1.9. Failure to report known incidents of serious research misconduct: Covering up or otherwise failing to report major offenses of research known to oneself; and/or</div> <div>17.1.10. Retaliation against informants: Taking punitive action against an individual for having reported alleged major research offenses.</div>				



NATIONAL UNIVERSITY

DOCUMENT: POLICY	SUBJECT: RESEARCH POLICY	Page <u>14</u> of <u>19</u>
DOCUMENT NO.: RaIN-OC-001 DATE OF EFFECTIVITY: July 23, 2014	SUPERSEDES: DATED:	ISSUED TO: (COPIES) PRESIDENT, EVP, VPAA, DEANS, QMO, ACCOUNTING DEANS
<u>This is a controlled document.</u> Photocopying or printing of this document, without the controlled mark, shall make this document an uncontrolled copy.		

17.2. Supervision

- 17.2.1. For group research project, leaders are responsible for the supervision of the whole research process, including research project design, preparing funding applications, the design of experimental or research protocols, data recording, data analysis and publication and dissemination of results. The project leader is also responsible for the appointment of suitably qualified research assistants and supervision of the research assistants in the course of the research.
- 17.2.2. Research project leaders should maintain frequent contact with research director, to advise and scrutinize all research data and to meet the broader needs of research members and students.

18. Ownership of Intellectual Property

The definition of Intellectual Property (IP) includes any discovery, innovation, other inventive step or other development of other intellectual property that is capable of identification for the purposes of a commercialization, publication or other similar activity whether capable of protection by way of patents, trademarks, copyright, circuit layouts, plant varieties, trade practices, and design legislation or not, but does not include any moral rights.

18.1. Ownership of Intellectual Property

General Rule

The creator shall own all rights in Copyrightable Works, patentable inventions and other Intellectual Property, except for trademarks and service marks which shall be owned by the University.

18.2. Exceptions to the General Rule

18.2.1. Work done by Employees

Copyrightable Work, other than scholarly or pedagogical work, and inventions created by an employee of the University within the scope of his/her employment shall be owned by the University. Examples of Copyrightable Work subject to this provision include personnel manuals, written policies, administration handbook, public relations materials, audio and video recordings of University events and University Web pages.

18.2.2. Commissioned Work

The University shall own Intellectual Property resulting from Commissioned Work, the ownership and loyalty rights to which shall



NATIONAL UNIVERSITY

DOCUMENT: POLICY	SUBJECT: RESEARCH POLICY	Page <u>15</u> of <u>19</u>
DOCUMENT NO.: RaIN-OC-001 DATE OF EFFECTIVITY: July 23, 2014	SUPERSEDES: DATED:	ISSUED TO: (COPIES) PRESIDENT, EVP, VPAA, DEANS, QMO, ACCOUNTING DEANS
<u>This is a controlled document.</u> Photocopying or printing of this document, without the controlled mark, shall make this document an uncontrolled copy.		
<p>have been specified in a written agreement prior to the commencement of the work.</p> <p>18.2.3. Externally-sponsored Work Ownership of the Intellectual Property shall be as specified in the agreement between the sponsor and the University.</p> <p>18.2.4. Internally-sponsored Work The University shall own Intellectual Property resulting from an Internally Sponsored Work of any member of the University except when the ownership provision in the agreement between the creator and the University states otherwise. If the student's work was created when he/she was the recipient of financial support from the University, such as tuition waiver, scholarship, stipend or allowance, the Intellectual Property shall be owned by the University except for thesis/ dissertation.</p> <p>18.2.5. Work Assigned by Creator to the University The creator may opt to assign his/her right to a copy writable work or to the University, in which case he/she shall execute a deed of assignment.</p> <p>18.3. Administration of This Policy Authority and responsibility for this policy shall reside with the President, who may delegate responsibility for administration of the policy to an individual or office.</p> <p>18.4. Management of Intellectual Policy 18.4.1. Disclosure of Intellectual Property The creator of any intellectual property that is or might be owned by University under this policy shall make prompt written disclosure of his/her work to the President or his designated representative, and to execute any document deemed necessary to enable the University to file patent applications and applications for copyright negotiation when appropriate. Disclosure shall be made prior to submission of the Intellectual Property for publication, other release to the public domain, or attempt to license distribute or manufacture the Intellectual Property commercially.</p> <p>18.4.2. Resolution of Disputes Any questions of interpretation of claims arising out of or relating to this policy, or disputes as to ownership rights of Intellectual Property under this policy, shall be settled by the following procedure:</p>		



NATIONAL UNIVERSITY

DOCUMENT: POLICY	SUBJECT: RESEARCH POLICY	Page <u>16</u> of <u>19</u>
DOCUMENT NO.: RaIN-OC-001 DATE OF EFFECTIVITY: July 23, 2014	SUPERSEDES: DATED:	ISSUED TO: (COPIES) PRESIDENT, EVP, VPAA, DEANS, QMO, ACCOUNTING DEANS
<p><u>This is a controlled document.</u> Photocopying or printing of this document, without the controlled mark, shall make this document an uncontrolled copy.</p>		
<p>The issue must first be submitted, in the form of a letter, setting forth the grievance or issue to be resolved, to the Vice-President for Academic Affairs who may convene a Panel to study the matter. The Panel shall submit its recommendation to the Vice-President, who shall decide on the matter within 60 days from the submission of the letter.</p> <p>The decision of the Vice-President may be appealed to the President, whose decision shall be final.</p> <p>18.4.3. Amendments</p> <p>Amendments to this policy may be proposed by any Member of the University and shall be approved by the Board of Directors, upon the recommendation of the President.</p> <p>19. Publication and Dissemination of Research</p> <p>19.1. Researchers are expected to publish or exhibit the findings of their research with full responsibility and with an awareness of the consequences of any such dissemination in the public realm.</p> <p>19.2. The University works to ensure that research sponsors understand that researchers must have academic freedom and that sponsors should not discourage publication or dissemination of research and research findings. Every effort must be made to inform sponsors ahead of any potential publication or dissemination of the research findings. This will allow sponsors adequate time and accurate information to protect any arising intellectual property or to plan their own public relations together with the University, especially since media publicity is increasingly important to industry, civil society organizations and the University itself.</p> <p>19.3. Researchers should be guided by the following points when publishing or disseminating their research or research findings in publications, conferences or on websites:</p> <p>19.4. Researchers should make every effort to ensure that their research or research findings are peer reviewed before it is published, publicized or disseminated. If research is placed in the public realm before any peer review has been undertaken, this must be made clear by the researcher;</p> <p>19.5. Researchers should acknowledge all fellow research collaborators and all sources of funding openly in any publication or publicity.</p> <p>20. Annual Research Report</p> <p>Principal researchers of every research project are responsible for generating an annual research report which is submitted to the Research Committee for approval. The University Research Center which acts as secretariat to the Research Committee is responsible for collating all such approved reports in a University Annual Research</p>		



NATIONAL UNIVERSITY

DOCUMENT: POLICY	SUBJECT: RESEARCH POLICY	Page <u>17</u> of <u>19</u>
DOCUMENT NO.: RaIN-OC-001 DATE OF EFFECTIVITY: July 23, 2014	SUPERSEDES: DATED:	ISSUED TO: (COPIES) PRESIDENT, EVP, VPAA, DEANS, QMO, ACCOUNTING DEANS
<u>This is a controlled document.</u> Photocopying or printing of this document, without the controlled mark, shall make this document an uncontrolled copy.		
<p>Report for circulation throughout the University. Such a report informs the public about research in the University and encourages the pursuit of research excellence. Publication of detailed annual research income and expenditure also allows for transparency and accountability of all research funds.</p> <p>21. Research Recognition</p> <p>The University shall recognize research excellence through academic promotion and annual recognition. As well, the University is committed to sponsor and nominate research projects and researchers for external recognition.</p>		



NATIONAL UNIVERSITY

DOCUMENT: POLICY	SUBJECT: RESEARCH POLICY	Page <u>18</u> of <u>19</u>
DOCUMENT NO.: RaIN-OC-001 DATE OF EFFECTIVITY: July 23, 2014	SUPERSEDES: DATED:	ISSUED TO: (COPIES) PRESIDENT, EVP, VPAA, DEANS, QMO, ACCOUNTING DEANS
<u>This is a controlled document.</u> Photocopying or printing of this document, without the controlled mark, shall make this document an uncontrolled copy.		

APPENDIX A Research Development Programs

The research development programs of the National University are designed to respond to the needs of the Institution, to create quality research that will advance knowledge, and to foster intellectual and scholarly engagement among faculty researchers and students.

The activities covered by the research development program are as follows:

1. Aligning of research activities to the University's research agenda and themes
2. Faculty researchers' training on quantitative and qualitative research
3. Conducting regular symposia and fora that serve as a venue for disseminating research outputs
4. Endorsing and approving of internally-funded research across different colleges and fields
5. Creating team for collaborative externally-funded projects
6. Providing reasonable research incentives to faculty researchers, such as publication incentives, teaching deloading, thesis and dissertation grants among others.
7. Providing funding for paper presentation in local and international conferences
8. Establishing a pool of research advisers, statisticians, and editors
9. Regularly publishing a scholarly journal across disciplines



NATIONAL UNIVERSITY

DOCUMENT: POLICY	SUBJECT: RESEARCH POLICY	Page <u>19</u> of <u>19</u>
DOCUMENT NO.: RaIN-OC-001 DATE OF EFFECTIVITY: July 23, 2014	SUPERSEDES: DATED:	ISSUED TO: (COPIES) PRESIDENT, EVP, VPAA, DEANS, QMO, ACCOUNTING DEANS
This is a <u>controlled document</u> . Photocopying or printing of this document, without the controlled mark, shall make this document an uncontrolled copy.		

APPENDIX B National University Research and Innovation Office Coordination Matrix

