

IADT Staff Research Policy

Document Reference & Version :	1.0
Purpose :	IADT Staff Research Policy
Commencement Date :	June 2019 – subject to Academic Council Approval
Date of Next Review :	June 2020
Who needs to Know About this Document :	Research Funding Agencies, Collaborative Partners, HEA, Solas, QQI, IADT - Governing Body, Academic Council, Executive Board, Heads of School, Heads of Dept., All Staff, Student Union, All Students; External Research Collaborators; Research participants
Related documentation (internal)	Ethics Policy, Intellectual Property Policy; Code of Conduct Policy; Conflict of Interest (See Ethics Policy); Consultancy Policy; Plagiarism Policy; Procurement Policy, Fixed Asset Policy, Fixed Asset Disposal Form ;Data Management Policy; Grievance Policy; Disciplinary Policy; Postgraduate Research Guidelines; TTO Guidelines; and associated Process and Procedures Statements.
Revision History :	New Policy
Policy Author(s):	Jessica Fuller, Head of Directorate of Creativity, Innovation + Research; the Research and Development Committee
Policy Owner:	Research and Development Committee

Contents	Page
<i>Section 1: Introduction</i>	3
1.1 Policy Context	3
1.2 Linked Internal Documentation	3
1.3 Relevance	4
1.4 Statutory Obligations and Policy Review	4
1.5 Reporting researcher Posts and Research Activity	4
1.6 Research Activity Data Capture and Reporting	4
1.7 Policy Review	5
<i>Section 2: Staff Research Activity</i>	6
2.1 Staff Research Activity at IADT	6
2.2 Research Defined	6
2.3 Research Active	7
2.4 Researcher Staffing	8
2.5 Researcher Category and Classifications	8
2.6 Research Units	9
<i>Section 3: Research Principles and Codes</i>	10
3.1 Good Research Practice and Principles	10
3.2 Research Integrity – Code of Conduct	10
3.3 Research Training, Supervision and Mentoring	10
3.4 Conflict of Interest	10
3.5 Research Data	10
3.6 Open Research	11
<i>Appendix A</i>	<i>12</i>
<i>Appendix B</i>	<i>13</i>

Section 1: Introduction

IADT is identified as a Research Performing Organisation (RPO) in the public higher education system. IADT operates in four interrelated but distinct areas: education, research, enterprise and engagement.

IADT is formally committed to the sustainable and structured development of active academic research. The Institute provides a range of supports to research active staff to increase and develop their research output and impact in a structured and sustainable way.

In line with the current stated strategy, IADT must ensure its policies, processes, procedures and systems are robust, supportive and have the overall objective to develop and maintain a sustainable level of research across a wide range of areas of inquiry and activities by:

- providing research learning opportunities for early career researchers
- providing staff with resources to help secure funding and recruit research staff and students
- maintaining and scaling IADT's research output and impact record
- managing intellectual resources to maximise the return on research investment
- stimulating intellectual curiosity
- continuing to provide research outputs that can translate into new knowledge, jobs, companies, services and products

This document states the institute's policy position on staff research activity.

1.1 Policy Context

This policy is informed by national and international regulation, policies, protocols and guidelines which are referenced throughout this document.

1.2 Linked Internal Documentation

It is essential that this Policy document is read in conjunction with the Staff Research Activity Process and Procedures and the Institute Research Infrastructure documentation. The Policy is intrinsically linked to the IADT Ethics Policy, the IADT Intellectual Property Policy, Data and Records Policy, the Conflict of Interest (Refer to the IADT Ethics Policy) as well as a range of Financial Policies, Processes and Procedures and Human Resource protocols. The Staff Research Policy is to be read and understood in conjunction with this documentation which is listed as appropriate.

1.3 Relevance

This Policy is relevant to IADT staff and all stakeholders. This includes all permanent, part-time or contract staff employed by IADT; individuals participating in research on behalf of IADT at any location; Students registered in IADT and their supervisors.

1.4 Statutory Obligations and Policy Review

1.4.1 Reporting researcher Posts and Research Activity

IADT is obliged to report the posts and associated details regarding the research project activity to government departments and other national and international funding agencies. It is the policy of IADT to:

-maintain records about researcher posts in order to comply with Government and partner obligations. The Staff Research Process and Procedures documentation details process and procedures for the registration of data regarding research activity posts.

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1.4.2 Research Activity Data Capture and Reporting

IADT is obliged to report the details regarding the research project activity to the Government Departments and other national and international funding agencies. It is IADT Policy to

- Capture, collate, record and manage data about researcher activity in order to comply with Government and partner obligations. The Staff Research Process and Procedures documentation details process and procedures to this end.
- Ensure the registration of IADT research activities - proposed, pending and actual - in the IADT Research Registry. The Staff Research Process and Procedures documentation details process and procedures to the registration of data of research activity¹.

The IADT Records Management Policy² details the obligations for data capture, collation, recording and management.

IADT is obliged to adhere to and implement appropriate data management policies, processes and procedures in accordance with the Data Protection Act 2018³.

¹ Refer to the 'IADT Staff Research Process'

² http://www.iadt.ie/content/files/00_iadtpolicy_Records_Management_Policy.pdf

1.5 Policy Review

It is the responsibility of the appointed Head of Department with overall Responsibility for Research at the Institute, to monitor and review National and European legislative changes, and changes to relevant Guidelines, protocols, processes and procedures as they relate to Research activity in higher education and to research activity at IADT.

The Head of Department is responsible for informing relevant internal Committees and councils with regard to changes to relevant Guidelines, protocols, processes and procedures as they relate to Research activity in higher education and to research activity at IADT.

The Head of the Department represents IADT on relevant and Appropriate external committees in order maintain Oversight and to ensure ongoing engagement with the research in Education agenda at national and international level.

This Policy and associated documentation will be reviewed annually within the context of the IADT Strategy 2019-2023 as well as the context of changing national and international policies.

³ <http://www.irishstatutebook.ie/eli/2018/act/7/enacted/en/html>

SECTION 2 Staff Research Activity

2.1 Staff Research Activity at IADT

2.1.1 It is the policy of IADT to invest in and resource the development of research activity by staff who are engaged in individual research activity in taught and research programmes, and/or in collaborative research activity with local and/or national and/or global public and private entities.

2.1.2 It is the policy of IADT to facilitate individual researcher opportunities through the provision of a clear resource infrastructure.

2.1.3 It is the policy of IADT to develop and scale research activity through a framework of research units, as appropriate, in order to:

- Grow and develop existing and emerging areas of research strength;
- Promote strategic linkages with external partners, including academic, industrial, business and professional;
- Attract external research funding;
- Attract and train Masters and Postdoctoral research students;
- Increase the Output of high quality research;
- Underpin and link to the Institute's core teaching and learning activities.

2.2 Research Defined

2.2.1 The OECD Frascati Manual (revised, 2015)⁴ is referenced by the Irish government to define, categorize and benchmark research activity, output and impact.

2.2.2 It is IADT policy to use the OECD definition of 'research' as articulated in the Frascati Manual (revised, 2015)⁵, summarised as follows:-

"Research and experimental development (R&D) comprise creative and systematic work undertaken in order to increase knowledge – including knowledge of humankind, culture and society – and to devise new applications of economic, cultural or social value of available knowledge". According to the OECD "for an activity to be a research and development activity, it must satisfy five core criteria, all of which are to be met at least in principle, every time a research and development activity is undertaken: -

1. Novel
2. Creative
3. Uncertain
4. Systematic
5. Transferable and/or reproducible.

⁴ <http://www.oecd.org/sti/inno/frascati-manual.htm>

⁵ [ibid](#)

2.2.3 It is IADT policy to use the fields of research and development classification as articulated in the Frascati Manual (revised, 2015)⁶

2.3 IADT Research Themes

IADT has adopted the following research themes: -

- Public Cultures and Entrepreneurship
- Creative Technologies;
- Psychology
- Creative and Cultural Production
- Smart Economy

2.4 Research Active

2.4.1 To be classified as research active, an individual must have published research output deriving from the production of new knowledge during the past three years. This includes but is not limited to:

- Books or book chapters;
- Refereed journal articles;
- Refereed conference papers;
- Creative works peer reviewed to international standards;
- Performances peer reviewed to international standards;
- Major, peer-reviewed exhibitions.

2.4.2 The following outputs are recognized measures of research activity in the Institute. These include *but are not limited to*

- Pursued and qualified with one on level 9 or level 10 research degree (output of publishable standard)
- Formal, recognised, project specific management of funded research project activity
- Supervised at least one L9/L10 research activity (research output of publishable standard)
- Knowledge transfer /commercialisation of IP from own research
- Received at least one external grant from a competitive research grant scheme
- Received at least one research contract from industry

⁶ ibid

2.5 Researcher Staffing

2.5.1 It is IADT policy to support multiple career pathways which can be pursued by researchers, as well as reflecting that research is viewed as a valuable part of many roles in the Institute⁷.

2.5.2 All academic grades from AL through to SL3 have a research element to their contract⁸. All staff who wish to pursue research activity within the context of their Institute contract must secure advance written approval by the Head of Department and Head of Function. The research activity must be relevant and appropriate to the identified IADT Research themes detailed in section 2.3.

2.5.3 Contracted Researcher Staff are usually resourced through external sources for a specific identified research project and are subject to contractual conditions outlined in the legal contract.

It is IADT policy to facilitate the strategic development of externally resourced research activity and the appointment of externally contracted research staff as appropriate and in line with the clauses of this policy, the process and procedures and in the context of the current IADT Strategy.

2.5.4 The employment of all staff at the Institute is governed by various Acts of the Oireachtas. The overarching processes and procedures are addressed in the HR Policy documentation. All appointments are subject to the appropriate approvals under the ECF.

2.6 Researcher Category and Classifications

2.6.1 Nationally and at EU level, research careers are viewed as a continuum, with stages in the career being identifiable. These stages are categorised and classified and are generally recognised internationally in the HE sector, industry and by funding agencies.

It is IADT policy to adhere to these researcher categories and classifications in order to foster appropriate and sustainable development of staff research activity.

The categories and classifications are detailed in Appendix A.

⁷ This definition does not encompass postgraduate research students of the Institute, as they are students and not staff. However, PG students are a valued and essential part of the research community of the Institute and are defined in this framework as “early-stage researchers” (see appendix A) again emphasizing the importance the Institute places on research as a career.

⁸ Refer to nationally agreed contracts for academic staff.

2.7 Research Units

Research units are identified as appropriate mechanisms to develop and scale research activity in the higher education system. Research groups, centres and Institutes are defined as units of high quality research activity. The specific details of each type of unit is outlined in Appendix B. The setting-up, management, membership and evaluation of research units are set out in the Staff Research Process and Procedures documentation.

It is the policy at IADT that staff research activity is enabled, where appropriate, through the strategic development of Research Groups, Centres and Institutes (collectively Research Units) comprising researcher teams.

SECTION 3 - Research Principles and Codes

3.1 Research Integrity

IADT expects that all research is performed to the highest standards of integrity at all times, irrespective of whether the researchers are contract researchers or staff members of the Institute, students or their collaborators.

Research integrity takes precedence over any consideration related to the source of the funding, either internal or external. IADT is committed to ensuring that the research it supports is carried out with the highest possible standards of integrity and in conformity with current legislation.

IADT accepts the recommendation in the *National Policy Statement on Ensuring Research Integrity in Ireland (2014, Revised 2018)* to adhere to The European Code of Conduct for Research Integrity (2017) with regard to best practice in research activity.

It is IADT policy to adhere to these recommendations with regard to the management of research conduct and misconduct.

3.2 Research Training, Supervision and Mentoring

As a research performing organization, it is the policy of IADT to offer relevant education and training programmes in order to embed the principles and practices of research integrity into the fabric and culture of the Institute.

IADT adheres to the principle of training, supervision and mentoring as stated in *the National Policy Statement on Ensuring Research Integrity in Ireland (2014, Revised 2018)*.

3.3 Conflict of Interest

Good research practice must always take cognisance of a real or perceived conflict of interest. Please refer to the IADT Conflict of Interest section within the IADT Ethics Policy for details.

3.4 Research Data

Research Data is defined in the National Policy Statement on Ensuring Research Integrity in Ireland (2014, Revised 2018) as that which “*encompasses the methodology used to obtain results, the actual research results and the analysis and interpretations by the researchers*”.

It is IADT policy to adhere to the definition of Research data as articulated in the *National Policy Statement on Ensuring Research Integrity in Ireland (2014, Revised 2018)*.

It is IADT policy to adhere to the principles of good practice principles for the data management as detailed in *the National Policy Statement on Ensuring Research Integrity in Ireland (2014, Revised 2018)*.

The IADT Records Management Policy⁹ details the obligations for data capture, collation, recording and management.

3.5 Open Research

The “*National Research Data Principles for Ireland*” guide the development of Open Research policies in Ireland. It is IADT policy to adhere to FAIR (findable, Accessible, Interoperable and reusable) data principles in accordance with national principles detailed in the National policy.

⁹ http://www.iadt.ie/content/files/00_iadtpolicy_Records_Management_Policy.pdf

Appendix A

IADT accepts the following broad categories that detail the functions in line with guidelines in the National Research Integrity Forum and European Researcher guidelines. All academic grades from AL through to SL3 have a research element to their contract¹⁰. All staff who wish to pursue research activity within the context of their Institute contract must secure advance written approval by the Head of Department and Head of Function. The research activity must be relevant and appropriate to the identified IADT Research themes detailed in section 2.3.

1. *Leading Researchers (LRs)* are members of staff (F/T, P/T or contract) whose established record and profile of achievement is judged to be of international excellence, using acceptable output criteria for the discipline in question. They develop the strategic direction and lead the specific field of research in question in the Institute, coordinating international and national projects and initiatives. They frequently lead and resource a team of researchers, though in certain disciplines, a leading researcher may operate alone.
2. *Senior Researchers (SRs)* are members of staff (F/T, P/T or contract) whose established record of achievement is judged to be of [at least] national excellence, using acceptable output criteria for the discipline in question. SRs have a high level of research independence and they contribute to the specific field of research in question in the Institute, as evidenced by their seniority in research groups, centres or large components of collaborative projects (such as work packages in large EU projects). The definition also implies such individuals are collaborating actively in research projects IADT partner organisations.
3. *Established Researchers (ERs)* are staff members (F/T, P/T or contract) of the Institute who are research-active in line with the IADT definition in Section 2.3. ERs have developed a level of research independence and this category includes academic and non-academic staff, post-doctoral researchers, contract researchers who have achieved as a minimum the outputs as described in Section 2.3 in their own right.

¹⁰ Refer to nationally agreed contracts for academic staff.

4. *Early/First-stage researchers (FSRs)* include postgraduate research students, research assistants and staff of the Institute who are research active but who have not yet had a record of significant research outputs, such as publications or exhibitions from their own work.

Detailed researcher classification, roles and post details are provided in the Staff Research Process and Procedures and in associated HR Department literature.

Appendix B

Research groups, centres and Institutes are defined as units of high quality research activity

Research Groups have (usually) a designated discipline or 'department' and are overseen by a Leading Researcher/Senior Researcher. The establishment of a Research Group (RG) serves to foster emerging research strengths, and allow the strategic pursuit of Department's research ambitions and goals. The Responsibilities include: Supervise and provide training support for research students, as well as providing mentoring and other support for new supervisors; Apply for external research funding, including funding to support PG research students. Seek to develop a national external profile, especially through collaborations with external partners. Organise research seminars and disseminate the outcomes of research internally and externally. RGS must have a critical mass being defined as having at least 5 members of whom at least 3 are of either senior researcher or established researcher status. The establishment of a RG is subject to review and approval by the R+D Committee (subcommittee of the AC) and with the prior authorisation and approval of the HoD and/or HoF. RGs should produce a proposed 3-year research plan at the point of establishment. This should set out the broad field(s) of research, planned activities, collaboration, targets, PG training and a plan for securing external funding in the future. The HoD will review and amend this plan prior to the establishment of the RG. In the event that the RG significantly deviates from the agreed plan then the group will be dis-established.

A Research Centre (RC) is a nationally recognized, highly focused research unit, led by a Leading Researcher and comprising structured teams of senior researchers, established

researchers and early-stage researchers. A RC undertakes focused research in an established and prioritized (or emerging) area of research strength, in line with the Institute's overall strategy. It should make demonstrable contributions to national research priorities, and contribute internationally in a defined area of research strength through its partnerships and dissemination of results; it will have an appropriate level of critical mass to carry out its research programmes and projects, including a mix of senior researchers, established researchers and early-stage researchers. It will have a proven track record in winning significant external research funding. An RC will produce high quality research output, commensurate with its size. An RC will have an external advisory board, as a means of obtaining expert input from outside the RC. Members of a Research Centre must demonstrate a proven connection and commitment to the work of the RC. RCs will have a clear governance structure, in line with their overall needs, positioning within IADT and funding sources (i.e. governance structures for some RCs may be mandated by an external funding agency). An RC will have a physical location, together with the necessary infrastructure, equipment, administrative and technical staff support in order to carry out the research. A Research Centre is a nationally prominent, smaller-scale, more highly focused research structure than an Institute, with fewer senior researcher's leaders. A research centre should feature the following activities:

The ability to drive research and research training in a prioritized area of Institutional strength; The ability to contribute to national research priorities, and/or to be a recognised international contributor in a defined area of research strength; Outputs of research which have a demonstrable impact on the region, society or the economy; The proven capacity to leverage additional external funding support (a centre cannot therefore be supported by a single large grant); A significant and structured contribution to research training at Postgraduate level, evidenced by e.g. panel supervision/co-supervision and structured training in both domain specific and generic aspects; A strong focus on the development of researcher careers; Strong collaboration with researchers in Higher Education, research organizations and industry/business as appropriate; Plans and strategies to facilitate technology transfer, including fostering a culture of innovation; A focus on researcher mobility into and out of the Centre; The development of long-term strategic partnerships.

A Research Institute (RI), at IADT will be a prominent, large-scale, multi-disciplinary research unit, deriving the majority of its funding from competitive external sources for its staff, infrastructure and administration. A Research Institute will drive one of IADT's stated

strategic research priorities. It will be a recognised international contributor in a defined area of research strength. In order to be internationally competitive, RIs should have a degree of autonomy and flexibility to be able to respond to opportunities as they arise, while at the same time being fully accountable to the Institute. Institutes must have a formal management and organisational structure that supports the requirement that Institutes are financially self-sustaining. The duties and responsibilities of Institute Directors are the same as for Heads of Departments in relation to responsibility and accountability for financial matters. A RI is

- an established national and international reputation for research excellence;
- a major strategic, long-term research focus within the Institute;
- A high proportion of staff, who are dedicated full-time researcher
- A substantial level of critical mass, including dedicated core technical and administrative staff; Be led by a Leading Researcher, with proven international renown in the discipline
- Proven ability and growth in research, commercial activities and research training;
- Proven ability to support and grow its activities, through significant levels of predominantly external funding;
- A significant and structured contribution to research training at Postgraduate level, evidenced by e.g. panel supervision/co-supervision and structured training in both domain specific and generic aspects;
- Extensive linkages and funded collaborations with higher education institutes, research organizations, business and industry internationally;
- The capacity to generate high quality research outputs, including publications; patents; spin outs etc., commensurate with its size.
- A RI will comprise a number of defined research teams each with their own business plan and the ability to source external funding;
- An RI will have substantial research infrastructure, including funded, dedicated building/space, equipment and administration.
- A RI by definition of being primarily self-funded (see below), is established usually as an independent cost centre. RI's are overseen by a Leading Researcher, who reports to the Head of PDGD.

End.