



RESEARCH POLICY

**Uva Wellassa University of Sri Lanka
Badulla**

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EXECUTIVE SUMMARY

The Uva Wellassa University of Sri Lanka (UWU) has been carrying out research on value addition to national resource base since its inception. The research has been supported mainly internally, to the date. The Strategic Plan of UWU recognises the importance of research in the advancement of knowledge, provision of a repertoire of evidence-based information and facilitation of national and international academic collaboration.

Research Policy Environment

The government of Sri Lanka collaborates with other national or international and/or regional organisations and higher institutions of learning to strengthen its scientific and technological capability. National collaboration requires that Universities and other Research Institutes co-operate and forge links with the industry/private sector.

National Context

Ever since, the Higher Institutes of learning were established, Sri Lanka has attempted to create a conducive environment for research and recognises that Research and Development (R&D) should be geared towards generation, acquisition, application and dissemination of knowledge and findings for national development. Funding for research by both Government and the private sector has, however, been limited and this has greatly contributed to the poor performance and application of science and technology in national development. Especially, the contribution from the private sector for Research and Development at Universities in terms of funding was significantly low until recently. However, in the wake of introducing new realms of cutting-edge technologies those have the proven potential to broaden the horizon of possibilities and expand the bandwidth of the market when infused/integrated into the products thereby adding value, there is a growing trend from the private sector now to integrate with the public sector to form private and Public Sector Partnerships (PPP) for Research and Development initiatives. Besides, with the Government granting a triple tax reduction for private sector partners who engage in Research and Development activities, this trend is expecting to grow further in near future. However, the weak linkages between the Research Institutions on one hand and Government and industry on the other, is still a hurdle to be overcome. Further, lack of wisdom in some sectors on the necessity of doing research in the field of science and technology, social and other sciences including economics to achieve prosperity and economic growth is contributing negatively to this trend.

Networks and Partnerships

Universities are one actor amongst many organisations contributing to the flow of knowledge and information through research. The driving force of the current trend to establish linkages, networks and partnerships with relevant research institutions, beyond the walls of the University, is to take advantage of resultant synergies and avoid system redundancy (duplication) in research. The UWU research policy, therefore, encourages University staff to explore and innovate ways of establishing such alliances, networks and partnerships with relevant public, private and other research institutions for mutual gain, both nationally and internationally. Further, it expects that all necessary supports from the University administration to academic

staff members in all Faculties in the process of securing and establishing such networking and partnerships with other organizations.

Universities and Development

Universities are crucial forces and factors that promote development. They are now more widely perceived to be key players in economic development through their research. As knowledge-producing organisations, they are back on the development agenda with new, more different roles and expectations to play than before.

Situation Analysis

Levels of Research Activities

The UWU of Sri Lanka has been involving in research at various levels, mainly in undergraduate research and research affiliation and collaborative research since its inception under the theme of value addition to local resources base.

Coordination

The University Research Committee oversees and coordinates the research activities conducted in the four Faculties: (1) Faculty of Animal Science and Export Agriculture, (2) Faculty of Management, (3) Faculty of Science and Technology and (4) Faculty of Technological Studies. The main mandate of the Research Committee is to preside over research matters of the University.

Research Funding

The University has relied on fewer sources for funding research and these include both internal and external sources. Internal sources of funds for research include, University budget from the Ministry of Higher Education whereas the other sources are expected through different organisations, e.g. National Science Foundation (NSF), National Research Council (NRC) etc.

Research Infrastructure

The research infrastructure and facilities are resources that provide essential services to the researchers for both academic and/or industrial purposes. The research infrastructure yet to be developed at the UWU in line with the growing research needs of the University academia, aligning with the University theme, in particular and those of national development, in general.

Dissemination of Findings

The UWU academic members of staff have participated in research dissemination both locally and internationally, where some senior academic members have involved and contributed extensively.

Challenges Facing UWU

The UWU has over the years been facing several challenges that have had a negative impact on the academic programmes including research, as given below. However, the University makes the maximum effort to uplift the situation in order to facilitate its researchers in future.

The factors have given rise to the challenges include:

- a) Lack of a well-defined research agenda that is integrated with national development plans;
- b) Lack of infrastructure facilities dedicated for research in line with the national development plan;
- c) Growing competition for professional staff and skilled labor within the country. This situation is expected to be improved in the coming years following the introduction of new policies on research and development by the government of Sri Lanka; and
- d) The dilapidation of allocation of national funding for research.

Rationale for Policy

The UWU has not had a coherent research policy document to guide and regulate the conduct of research for academic members of staff, undergraduate and postgraduate students. Research outputs have to contribute into national development, enhanced teaching and curricula development in the University.

The Research policy, therefore, is motivated by, *inter alia*, the following specific factors:

- a) Growth of long term research programmes;
- b) Need to emphasise the importance of securing internally and externally sourced funding for research;
- c) Need for improved research administrative infrastructure;
- d) Need to establish a research regulatory framework.
- e) Need to establish accountability and transparency for fiscal and administrative management of research activities;
- f) Need to accelerate the development of research that ultimately results in improved decision-making for the betterment of the living standards of people; and
- g) Need for strong infrastructure and mechanisms to support more effective collaboration and partnerships with other Universities and institutions within the country and abroad.

It is also essential to have a coherent research policy document to be developed in order to inform and guide the conduct of both locally and internationally sponsored research activities in the university. The UWU also needs to develop its own intellectual property right (IPR) policy. The IPR policy of an institute aims at bringing harmony to the conflicting interests of all stakeholders in the generation and commercialisation of intellectual properties. Hence, the two policy documents are inherently interrelated.

Mission

The mission of the Research Policy is to promote a sustainable, focused and dynamic environment that fosters efficient and effective research and contributing to social and economic development while assuring academic freedom.

General Objective

The general objective of the Research Policy is to provide policy guidelines that will promote and foster the academic and managerial environment conducive for undertaking research in order to enhance the scientific, technological, social, economic and political development for the improvement of the living standards of the people in Sri Lanka and beyond.

Specific Objectives

In order to attain the general objective, the policy document presents a number of specific objectives and strategies focusing on the following main areas:

- a) Human Resource Development and Capacity Building;
- b) Research Funding
- c) Management of Research
- d) Management of Research Funds
- e) Research Infrastructure
- f) Quality Management & Research Ethics
- g) Data Management & Dissemination
- h) Recognition of Excellence in Research
- i) Institutional Collaboration
- j) Undergraduate Research and,
- k) Postgraduate Students Research

Research Structure

In order to achieve the stated mission and objectives, the following institutional structure and arrangements will be provided.

Research Committee

Functions of Research Committee

The Research Committee is the highest decision-making organ of the research programmes of the University. The committee will implement the UWU Strategic Plan on research. The committee is mandated by the University Senate to:

- a) Provide strategic research direction to the University through the development of effective research policies;
- b) Coordinate all research activities in the University;
- c) Monitor the allocation and administrative of research funds by the University in order to ensure compliance with the criteria adopted by the committee;
- d) Spearhead resource mobilisation initiatives to ensure that the Research Policy mandate is met;
- e) Provide mechanisms of monitoring research;

- f) Foster the development of Departmental and Faculties research programmes linked to undergraduate and postgraduate studies;
- g) Ensure the preparation and production of research agenda and reports and research handbooks; and
- h) Ensure compliance by researchers to research ethics.

Composition of Research Committee

The Research Committee comprises the following members:

- a) Chairman (Appointed by the Vice Chancellor)
- b) All Deans, Directors, and the Librarian
- c) All Heads of Departments
- d) A Senior Representative/Academia representing each Degree Programme
- e) Representative from the Research Ethics Committees

The committee shall be chaired by the Chairman appointed by the Vice Chancellor and shall have a Secretary appointed by the Vice Chancellor on the recommendation of the committee for a period of two years.

The Uva Wellassa University Research Ethics Committees (UWU-RECs)

There shall be a Research Ethics Committees for the University charged with the responsibility of reviewing research proposal for research ethical compliance.

Number of Research Ethics Committees

All research carried out by the UWU staff will be governed by the local ethical requirements. In the case of a collaborative research project involving one or more foreign institutions, ethical approval shall be sought both from the UWU where the research will be carried out and from the Institutional Review Board/s (IRB) of the collaborating institutions.

Functions of Research Ethics Committees

The main role of Research Ethics Committee is to review and approve research proposals and protocols dealing with human and animal participants. The memberships of the Research Ethics Committees are nominated and recommended by the Research Committee and then, approved by the Council of UWU.

Management of Research Funds

All research funds will be administered according to existing UWU financial regulations.

The Intellectual Property Management Unit, IP Advisory Committee and IP Enterprise

The UWU shall create an Intellectual Property Management Unit which shall manage the Intellectual Property Rights (IPR) of the University. The unit will come under legal professional specializing IPRs.

Research infrastructure

The UWU will strive to build and maintain a sustainable research infrastructure. The infrastructure will be defined to include building, office space and facilities, training centers, libraries, databases, laboratory equipment and regents, instruments, computer hardware/software.

Dissemination of Research Findings

The UWU will promote research dissemination in many ways including:

- a) Establish mechanisms for data processing, information storage access, retrieval systems and ensure that the creative research outputs are peer reviewed, communicated and adopted;
- b) Attendance at local and international conference; and
- c) Publications

Application of Research Findings

The policy will promote the application of research findings to commercial ventures and consequently support the linear science and technology value adding chain of activities.

Intellectual Property Rights (IPRs)

Any matters related to IPRs arising from this research policy shall be governed by the UWU-IPR. These details are provided with the document prepared on Intellectual Property Rights, Uva Wellassa University of Sri Lanka. The implementation of appropriate Intellectual Property policy will enable the University to generate significant and substantial income through:

- a) Royalties and fees from licensed IPRs from innovations, inventions and created works;
- b) Consultancy
- c) Research contracts
- d) University owned companies and joint ventures (JV)
- e) Commercialisation of R&D findings, and
- f) Utilization of existing protected and unprotected intellectual property creations

In order to benefit financially and otherwise from the planned endeavors, the UWU recognises the need to take particular care of the interests of all the stakeholders who contribute in one way or the other in the process of innovating, creating and commercialisation of innovations, inventions created works and research findings at the University.

1.0 INTRODUCTION

1.1 Background

The Uva Wellassa University (UWU) is recognised as an 'Entrepreneurial University', in addition to being the "Centre of Excellence for Value Addition to National Resources Base". It is the newest public University established by the Government of the Sri Lanka in order to expand higher education in the country. Since its inception in 2006, UWU has been expanding every year as a response to the ever-growing demand for higher education in the country. The UWU is supported by the government through the Ministry of Higher Education to fulfill a national mandate of providing high quality education and service as reflected in its motto of "Service and Excellence". The goal of the university is to effectively contribute to national development, through value addition to the local resources base. To achieve this, the university Act provides for and spells out teaching, research and service as the main functions of a public University.

The University has been carrying out research since its inception. The research has been internally and externally supported. Internally supported research is funded by the University Research Grants. Externally supported research is funded by the resource from commissioned research through Memorandum of Understanding (MoU)/agreement with local, regional and international bodies, MoU/agreements with other Universities, Institutes, Centers and Units.

The Faculties of the University have undertaken various research projects that address issues relevant to national development. These research projects have resulted into publications of repute and some of the research outputs into applications in the various sectors of the Sri Lankan economy. UWU's Strategic Plan recognises the importance of research in the advancement of knowledge in relation to value addition on both goods and services, provision of a repertoire of evidence-based information and facilitation of international academic collaboration.

In addition for the University to derive tangible benefits from the intellectual output of its research and to ensure sustainable research activities at the University, it is important that research income is generated from the respective research findings through technology transfer and commercialization of works, innovations and inventions. This can be achieved through the intellectual property systems that allow for the protection, enforcement and commercialization of research findings. In this regard, this policy must be implemented in tandem with the Intellectual Property Rights (IPR) policy document adopted by the University.

1.2 Research Policy Environment

1.2.1 Regional Context

The development of research in any country has both national and international perspectives, which derive from Universality and dynamism of scientific and technological knowledge, irrespective of national boundaries. In this regard, the Sri Lankan government supports and seeks co-operation with regional and international organisations and institutions in promotion of research. Through regional co-operation, the Sri Lankan government collaborates with other national or international and or regional organisations and higher institutions of learning to

strengthen her scientific and technological capability. Regional collaboration requires that Universities and other Research Institutes cooperate and forge links with the industry/private sector. Regional collaboration also requires that Universities and other Research Institute allow access and jointly develop and share research facilities including costly and sophisticated scientific equipment and materials in order to maximize the use of scarce resources.

The government of Sri Lanka recognises UWU as a key institution that serves as an epicenter/nucleus for academic and research linkages between Sri Lanka and other regional institutions.

1.2.2 National Context

Sri Lanka has attempted to create a conducive environment for research and recognises that Research and Development (R&D) should be geared towards generation, acquisition, application and dissemination of knowledge and findings for national development. Consequently, a number of sector ministries have formulated research policies that are guided by national development priorities. An analysis of the sector policies indicates that the over arching adjective of all the Research Policy is "to ensure that sector ministries and their research institute conduct demand-driven, client orient strategic research". In order to enhance research and development, the Sri Lankan government, through the Ministry of Science and Technology, has come up with a Science and Technology Policy. The Science and Technology Policy is intended to guide and enhance the utilisation of abundant natural resource for improved quality of life for Sri Lankans. This is achieved through liberalisation and autonomisation of research institutions promotion of partnerships and to encourage demand driven research. Furthermore, the policy provides for linkages between research institutions and social and economic sectors of the economy.

In Sri Lanka, public research is largely funded by government and carried out by public intuitions including:

- a) National Research Council (NRC)
- b) Public Universities
- c) Government Research Institutes under different disciplines under various government ministries: agriculture and cooperatives, tourism environment and natural resources, mines and minerals development; and Health.

Despite this set up, funding for research by both Government and the private sector has, however; been limited and this has greatly contributed to the poor performance and application of Science and Technology in national development. Weak linkages between the Research Institutions on one hand and Government and industry on the other, is another contributing factor.

The government recognises the role of the UWU in national development and would like to promote a conducive research culture among staff and students. However, as already alluded to, a number of problems have retarded the effective conduct and application of research. The UWU faces challenges of infrastructure, funding, teaching loads and staff profiles that are more suited to teaching than to research. The lack of

research capacity among the staff members, in particular, has been a major obstacle to progress.

1.2.3 Networks and Partnerships

It is important to note that in the knowledge economy Universities no longer have the monopoly of knowledge production through research to themselves. Though they undoubtedly have a crucial role to play, Universities are simply one actor amongst many organisations contributing to the flow of knowledge and information through research. The driving force of the current trend to establish linkages, networks and partnerships with relevant Research Institutions, beyond the walls of the University, is to take advantage of resultant synergies and avoid system redundancy (duplication) in research. This Research Policy, therefore, encourages University staff to explore and innovate ways of establishing such alliances, networks and partnerships with relevant public, private and other Research Institutions for mutual gain. The UWU must, in this regard, co-operate and collaborate with individuals, intuitions and agencies belonging to the above mentioned categories, which share the ideals expressed in this Research Policy. Such research collaboration should be intensive and extensive, depending on available resources and modalities for collaborative research effort. Such collaborative research processes should adhere to the principle of reciprocity and genuine exchange between the University and other research partners, with each partner treating the other as an equal partner. The most successful research partnerships under this policy will be based on the premise that "each has something to contribute to the welfare of the other, with resources and knowledge following in both directions".

1.2.4 Universities and Development

Universities are crucial forces and factors that promote development. They are also active partners and contributors to the knowledge economy. In both of these roles, research acts as a central engine to development and the knowledge economy of many countries such as Sri Lanka. There are several reasons on why research conducted within Universities has become the centre piece for development. First, knowledge generated by research facilities a country like Sri Lanka to become competitive in the international arena. Second, Universities through the research they conduct in communities have begun to reverse the perception that they are elite institutions, remote from the everyday concerns of society. Third, with the process of globalisation and the growth of the knowledge economy worldwide, Universities are now more widely perceived to be key players in economic development through their research. As knowledge-producing organisation, they are back on the development agenda with new more differentiated roles and expectations to play than before.

1.3 Situation Analysis

1.3.1 Levels of Research Activities

Research is one of the cornerstones of the University mission, which aspires to meet the needs of Sri Lanka through excellence in teaching, research and community services in order to foster sustainable development.

The UWU has, since its inception, been involved in research at various levels as outlined below:

- ✓ Undergraduate
- ✓ Academic staff
- ✓ Research Affiliation
- ✓ Collaborative Research

1.3.2. Research by Academic Staff

Academic members of UWU have been involving in research activities since inception of the University. However, the level of infrastructure facilities available has affected on researching. Further, the UWU has recruited mostly young staff members and therefore, most of the staff members are at qualifications getting stage.

Hence, conducting research to contribute to the national development has been a major challenge. In order to increase research, the academic staff's research output shall continue to be one of the significant factors in determining staff progression. Furthermore, the IPR shall enable researchers to obtain financial benefits from any inventions/creation arising from their research. It is envisaged that the above incentives shall make research both satisfying and rewarding and will, therefore, encourage academic staff to undertake research.

1.3.3 Postgraduate Research

As a newly established University, the UWU has needed a contribution of a Postgraduate Unit especially in research. Establishing a Postgraduate Unit in near future would enable postgraduate students to conduct research as part of the fulfillment of their postgraduate programmes. Then, postgraduate research activities can contribute immensely to the amount of research conducted in the University. Parallel to the establishing a Postgraduate Unit, there should be an appropriate and sustained forum for dissemination of postgraduate studies and their findings.

1.3.4 Research Funding

Funding for research has not been adequate to meet the research needs of the University. The University has relied on fewer sources for funding research and these include both internal and external sources.

There is a necessity to identify external funding sources both regional and international funding agencies mostly through collaborative research with foreign Universities. The UWU staff members are free to source external funds provided that such funds are administered by the University and the budget includes overheads.

1.3.5 Research Infrastructure

The research infrastructures and facilities are resources that provide essential services to the researchers for both academic and/or industrial purposes. Research infrastructure includes buildings, office space and facilities, training centers, libraries, databases, laboratory equipment, instruments, computer networks, etc. However, the research infrastructure has not developed in line with the growing research needs of the UWU, in particular and those of national development in general.

1.3.6. Information Dissemination

The UWU academic members of staff have participated in research dissemination both locally and internationally through;

- a) Organising and presenting valuable findings at Annual Research Symposium/Conference;
- b) Attendance local and international conferences;
- c) Discussions with general public and policy makers; and
- d) Publications (UWU supports publications in local journals, in addition to international journals).

1.4 Challenges Faced by UWU

At present, the UWU has a Research Committee charged with coordinating all the research activities of the University.

The UWU has over the last years been faced with several challenges that have had a negative impact on the research. The factors that have given rise to the challenges include:

- ✓ Lack of a well defined research agenda that is integrated with national development plans;
- ✓ The changing government policy on higher education;
- ✓ The declining public funding to the University;
- ✓ The increasing demand for higher education and global trends towards mass higher education, in line with the demands for life long-learning at this level;
- ✓ Deterioration in the conditions of service for all levels of staff;
- ✓ Growing competition for professional staff and skilled labour within the country and the region;
- ✓ The dilapidation in the infrastructures of the University;
- ✓ Lack of physical development.

The implications of these policy measures are that allocation of more resources to the University by the government will be very unlikely. These policy measures coupled with the increasing competition between public Universities and the private sector will result into a clear need for UWU to reposition itself. The UWU needs to squarely face the growing need to raise its own funds and reduce over dependency on meager government funding. Research offers one of the strong avenues through which UWU can sustain its flow of funding.

1.5 Rationale for Policy

In the past, research activities have not been well managed particularly with respect to coordination at the central level. Institutional mechanism for storage, retrieval and dissemination of the research outcomes are inadequate and need attention. The UWU has not had a coherent Research Policy document of guide and regulate the conduct of research for academic members of staff and undergraduate students. Most of the research outputs have not fed into national development, enhanced teaching and curricula development in the University.

The UWU Research Policy has been necessitated by the requirement to coordinate the expanding research activities efficiently and effectively. The Research Policy, therefore, is motivated by, *inter alia*, the following specific factors:

- ✓ Growth of degree programmes;
- ✓ Need to enhance internally and externally sourced funding;
- ✓ Need for improved research administrative infrastructure;
- ✓ Need for research regulatory framework and oversight particularly with respect of ethical requirements;
- ✓ Need to improve accountability and transparency for fiscal and administrative management of research activities;
- ✓ Need to accelerate the development of research that ultimately results in contributing to the development of national economy through value adding to the local resources base in Sri Lanka
- ✓ Need for strong infrastructure and mechanisms to support more effective collaboration and partnerships with other universities and institutions within Sri Lanka and abroad.

In view of the needs highlighted above and the deficiencies identified in Section 1.4, it became imperative for a coherent policy document to be developed in order to inform and guide the conduct of both locally and internationally sponsored research activities in the University.

2.0 VISION AND MISSION STATEMENTS

2.1 Vision

In line with the vision of UWU to "Be the centre of excellence for value addition to the national resource base", the vision of the University research is to "Be the centre of excellence for research in value addition in Sri Lanka".

2.2 Mission

To conduct, discuss, apply and disseminate need driven academic research with strong emphasis on value addition to the national resources to make outstanding contributions to the national development.

UWU research vision ensures that the academic research of UWU will accentuate the value addition to national resources at every aspect of research activities, be it undergraduate, post graduate or staff research. Being the centre of excellence for value addition to national resource base, UWU aims at becoming the renowned centre for research in value addition with its research vision which is a necessity for the development of the economy of Sri Lanka and the global development.

In achieving the vision of becoming the centre of excellence in research, UWU promotes, undergraduate, postgraduate and staff research by students, academics and non-academic members of the University in line with the research vision of the University. While we are achieving our vision, we promote multidisciplinary collaborative research that includes greater gender, ethnic, age, religion, ability and social variability. Thereby the Research Policy ensures that we retain the best researchers who are dedicated for research that focus on value addition and also prepare our students to become internationally reputed multi-disciplinary researchers.

3.0 POLICY OBJECTIVES

3.1 General Objective

To provide policy guidelines that will promote and foster the academic and managerial environment conducive for undertaking dynamic, innovative and quality research in order to enhance the scientific, technological, economic, and social development for the improvement of the living standards of the Sri Lankan people and beyond.

3.2 Specific Objectives

In order to attain the general objective, the policy document presents a number of specific objective and strategies focusing on the following main areas:

3.2.1 Human Resource Development and Capacity Building

Objectives

To enhance the research capacities and competencies of the academic members.

Strategies

- a) Enhance continuous training and retooling of researchers to enable them keep abreast of emerging technologies and skills.
- b) Formalise and establish mentorship system between senior and younger academic staff members;
- c) Promote and undertake collaborative research;
- d) Encourage and attach academic staff members to public and private research institutions;
- e) Facilitate research exchange programmes including local/foreign sabbatical;
- f) Foster and promote sharing researchers among national and international research organizations; and
- g) Train academic members in research administration and financial management.

3.2.2 Research Funding

Objective

To source and provide adequate funding for research.

Strategies

- a) Train researchers in research proposal writing for submission to potential funding agencies;
- b) Engage public and the private sector for research funding;
- c) Engage in regional and other international organisations for research funding;
- d) Conducting research for public/private and international institutions for generating research funds for new and less sufficiently developed research areas;
- e) Allocate adequate funds towards research in the University budget;
- f) Provide adequate funding for publication of research findings in local and international journals;

- g) Provide adequate funding for sharing and gaining new knowledge through national and international conferences, symposiums, workshops etc.; and
- h) Provide research materials for quality research (e.g. reagents).

3.2.3 Management of Research

Objective

To create and ensure an effective, efficient and conducive management system for research activities.

Strategies

- a) Establish well linked and coordinated institutional structures for supporting research;
- b) Develop adequate research administrative and financial systems for research;
- c) Establish proper institutional mechanisms for protection of research findings through the intellectual property systems ;
- d) Develop effective mechanisms for supervision, monitoring and evaluation of research activities; and
- e) Promote and poster multidisciplinary academic research through collaborative research among different departments and faculties and other national and international research organizations

3.2.4 Management of Research Funds

Objective

To provide a financial management system that is conducive for academic research while ensuring fiscal accountability and transparency in line with UWU financial regulations.

Strategies

- a) All research funds administered according to existing UWU financial regulations and the intellectual property policy;
- b) The flexibility of executing research funds will be maximised within the UWU financial regulations for efficient conduct of research;
- c) Procurement of research materials and equipment shall be done following the laid down tender regulations however without causing unnecessary delays;
- d) Encouraging to apply the best practices in the research fund management for efficient and effective research; and
- e) Research funds shall be subject to internal and external auditing.

3.2.5 Research Infrastructure

Objective

To provide required research equipment, facilities and infrastructure for quality research;

Strategies

- a) Recapitalise, modernise and rationalise the use of research equipment on a regular basis;

- b) Encourage and promote resource sharing among deferent research projects to ensure optimum utiliSation of research labs/materials;
- c) Facilitate presentation of research papers at international seminars, conferences and symposia;
- d) Establish and maintain state of the art research labs for recruiting and retaining nationally and internationally reputed researchers; and
- e) Ensure the provision of necessary infrastructure for the protection of data and research findings before dissemination.

3.2.8 Recognition of Excellence in Research

Objective

To recognise and reward outstanding performance in research in order to promote excellence in research.

Strategies

- a) Develop objective criteria for rewarding outstanding research ;
- b) Strengthen the UWU Research Award scheme for encouraging younger and experienced researchers;
- c) Develop and activate an incentive scheme for encouraging dedicated researchers; and
- d) Identify and award other appropriate rewards for outstanding researchers.

3.2.9 Institutional Collaboration

Objective

To establish a strong mechanism for supporting effective collaboration and partnerships with other Universities, other research organizations, industry, government, private sector in Sri Lanka, within the region and beyond.

Strategies

- a) Provide guidelines for establishing and management of collaborative research;
- b) Promote research affiliation both within and outside UWU;
- c) Establish and facilitate research exchange programme for staff and students with other national and international Research Institutes;
- d) Encourage dispatching research students and academic staff in industry and other institutions;
- e) Encourage and promote signing and activating MOUs and other formal engagements with other national and international Research Institutes
- f) Provide necessary research requisites (qualified staff as well as physical and Information and Communications Technology (ICT) infrastructures) for attracting collaborative research.

3.2.10 Undergraduate Research

Objective

To provide adequate undergraduate research training aligned to the vision of the UWU research.

Strategies

- a) Design academic courses that incorporate research components;
- b) Conduct separate course for Research Methods in all the degree programmes
- c) Promote student exchange programmes with national and international research institutes;
- d) Provide funding for students' research projects;
- e) Provide adequate opportunities for disseminating students research i.e. Annual Research Symposium; and
- f) Provide necessary research requirements for students' research.
- g) Identify and provide due recognition for research excellence in students' research

3.2.11 Intellectual Property Rights

Any matters related to Intellectual Property Rights arising from this Research Policy shall be governed by the Intellectual Property Rights Policy of Uva Wellassa University.

4.0 INSTITUTIONAL RESEARCH FRAMEWORK

In order to achieve the stated vision and objectives, the following institutional structures and arrangements will be provided.

4.1 Research Committee

4.1.1 Functions of Research Committee

The Research Committee is the highest decision-making organ of the research programmes of the University. The Board will implement the UWU Strategic Plan on Research. The committee is mandated by the University Senate to:

- a) Provide strategic research direction to the University through the development of effective research policies;
- b) Coordinate all research activities in the University;
- c) Allocate and administer research funds in accordance with the criteria adopted by the committee;
- d) Spearhead resource mobilisation initiatives to ensure that the Research Policy mandate are met;
- e) Provide mechanisms of monitoring research;
- f) Foster the development of Faculty research programmes linked to postgraduate studies;
- g) Ensure the preparation and production of research agenda and reports and research handbooks, and
- h) Ensure compliance by researchers to research ethics.

In executing the above functions, the Research Committee may delegate to any committee part of its powers and functions as it may consider appropriate.

4.1.2 Composition of Research Committee

The Research Committee comprises the following members:

- a) Chairperson (Appointed by the Vice Chancellor)
- b) All Deans, Directors, and the Librarian
- c) All Heads of Departments
- d) A Senior Representative/Academia representing each Degree Programme
- e) Representative from any of the Research Ethics Committees unless otherwise a member of the Research Committee is the Chairman

The committee shall be chaired by a Senior Academic Staff member appointed by Vice Chancellor for three (03) years time period and also shall have a Secretary – an Administrative Officer – appointed by the Vice Chancellor on the recommendation of the committee.

4.2 The Uva Wellassa University Research Ethics Committee (UWU-REC)

There shall be a Research Ethics Committee for the University charged with the responsibility of reviewing research proposals for research ethical compliance. The Research Ethics Committee's mandate will not be restricted to the Uva Wellassa University researchers but will also cover collaborative research with other institutions.

4.2.1 Number of Disciplines

The number of disciplines shall be based on the levels of research activities. All research carried out by the University staff, will also be governed by the local ethical requirements. In the case of a collaborative research project involving one or more foreign institutions, ethical approval shall be sought both from UWU where the research will be carried out and from the Institutional Review Boards (IRB) of the collaborating institutions.

There shall be five main Research Ethics disciplines as follows:

- a) Medical Science
- b) Environmental Science
- c) Animal Science
- d) Socio-economic and Humanities Perspectives
- e) Psychology

4.2.2 Functions of Research Ethics Committee

The main role of a Research Ethics Committee is to review and approve research proposals and protocols dealing with human and animal participants. The specific functions of the Research Ethics Committee are:

- a) Review and approve all research proposals and protocols that deal with human and animal participants;
- b) Enforce high ethical standards on research undertaken on human and animal participants;
- c) Protect the interests of researchers who are conducting research following the approved protocols/proposals;
- d) Monitor the approved research project to ensure ethical compliance;
- e) Participate in the training and/or sensitisation of staff and students in research ethics.

4.2.3 Membership of Research Ethics Committee

The membership of the Research Ethics Committee is formed representing the following where Chairperson and the Secretary will be appointed by the Vice Chancellor on the recommendation of the Research Committee for a period of three (03) years;

- ✓ Chairperson
- ✓ All Deans/Representatives for the Deans
- ✓ Research Expertise representing the fields given in 4.2.1
- ✓ One Senior Academic Staff member representing each Degree Programme
- ✓ Two (02) Council Members
- ✓ A Representative/Ministry of Health
- ✓ A Representative/Ministry of Agriculture
- ✓ A Representative/Ministry of Livestock Production

4.3 Research Funding

Research funding goes hand in hand with the delivery of research outputs, leading to an increase in publishing activity. There are two sources of funding research at UWU, that is, internal and external funding.

4.3.1 Internal Research Funding

The University shall make available requisite adequate resources to enable the carrying out of its research agenda. Research funds shall normally be available to researchers through a competitive process outlined by UWU. Faculties shall open separate research accounts to administer research funds.

4.3.2 External Research Funding

The external sources of funding research will include:

- a) Funds through the Ministry of Higher Education;
- b) Funds through Ministries other than the Ministry of Higher Education;
- c) Non-governmental grants (NGO, Private Sector);
- d) Regional and international funding, and
- e) Royalty disbursement as stipulated in the UWU-IPR policy

4.3.3 Management of Research Funds

- (a) All research funds will be administered according to existing UWU financial regulations;
- (b) Procurement of research material and equipment shall be done following the laid down tender regulations;
- (c) Research funds shall be utilised according to the budget and activity based;
- (d) Research funds shall be subject to internal and external auditing.

Research funds coming from outside the University usually have specific conditions attached to them. These specific conditions need to be clearly spelt out in the contract or Memorandum of Understanding. Typically, the contents of the Memorandum of Understanding include.

- a) Research budget;
- b) Overheads for administrative and other logistical costs;
- c) Issues pertaining to Intellectual Property Rights;
- d) Infrastructural development and training;
- e) Publication of the research materials.

The UWU academic staff members are free to source external funds provided that such funds are administered by the University and the budget includes overhead.

4.4 The Intellectual Property Management Unit, Advisory Committee and Enterprises

The UWU shall create an Intellectual Property Management Unit which shall manage the Intellectual Property Rights of the UWU in liaison with the Intellectual Property Advisory Committee, the UWU Legal Counsel and the Intellectual Property Enterprise to be set up by the University: at present, this is handled by the University Business Linkages (UBL) Unit. The structure and functions of the Management Unit, the Advisory committee and the IP enterprise shall be outlined in the UWU IPR Policy.

4.5 Research Infrastructure

The research infrastructures and facilities are resources that provide essential services to the researchers for both academic and/or industrial purposes. The UWU will strive to build and maintain a sustainable research infrastructure. The

infrastructure is defined to include buildings, office space and facilities, training centers, libraries, databases, laboratory equipment, instruments, computer networks, etc. The Research Policy will facilitate the following activities aimed at building and sustaining the research infrastructure:

- a) Investment in research infrastructure bearing in mind that decisions to fund infrastructural development need to be made in a collaborative manner owing to significant cost involved;
- b) Support consensus building on a wide range of research objectives, strategies and priorities as conceived by individual schools/units of the University;
- c) Rapid response to the on-going technological changes.

4.6 Dissemination of Research findings

Dissemination of Research findings is a vital component of research activities. The UWU will promote research dissemination in many ways including:

- a) Establish mechanisms for data processing, information storage access, retrieval systems and ensure that the creative research outputs are peer reviewed, communicated and adopted;
- b) Attendance at local and international conferences; and
- c) Publications

The UWU shall endeavour to promote dissemination of results of research carried out under its auspices through the University supported publications and local and international journals. In this regard, the University shall continue to support its journals. In addition, the University shall support efforts to start new publications in the fields and disciplines that are not covered by the current stock of journals. The highest standards of academic publication will be promoted and upheld in order to attract international scholarly articles and readership.

The University will also regularly hold local (and international conferences, in future) where research findings are disseminated. Dissemination of research findings shall be subject to IP protection issues before publications as stipulated in the University IP Policy. This is aimed at enhancing the value of research findings.

4.7 Application of Research Findings

The policy will promote the application of research findings to commercial ventures and consequently to support value adding activities so as to close the linear value adding gap in science and technology through;

- a) Intellectual Property Protection;
- b) Technology Development;
- c) Product Development;
- d) Process Development; and
- e) Commercialisation.

Application of research findings will also be subject to the provisions of the University IP Policy.

4.8 Implementation of the Research Policy

Implementation of the University Research Policy shall be anchored on the organisation's structure. This is aimed at fostering efficiency and effectiveness in the implementation of the policy.

5.0 DISSEMINATION OF RESEARCH FINDINGS

Dissemination of Research findings is a vital component of research activities. The UWU will promote research dissemination in many ways including:

- a) Establishing mechanisms for information storage, retrieval systems, data processing and ensure that the creative research outputs are peer reviewed, communicated and adopted;
- d) Establishment of an e-repository for storage and access for the research papers and undergraduate and postgraduate theses;
- e) Organising Annual International Research Symposium/Conference at UWU premises for disseminating staff and student research;
- f) Organising a "Monthly Research Presentation Session" on a decided day at every month to present one staff research;
- g) Launching of University research journals;
- h) Launching Faculty/Department bulletins;
- i) Development of a web page for UWU research in UWU website and using that as an interactive information sharing system; and
- j) Attendance at local and international conferences.

Dissemination of research findings shall be subject to IP protection issues before publications as stipulated in the University IP Policy. This is aimed to enhance the value of research findings.

The UWU shall endeavor to promote dissemination of results of research carried out under its auspices through the University supported publications and local and international journals. In this regard, the University shall continue to support its journals. In addition, the University shall support efforts to start new publications in the fields and disciplines that are not covered by the current stock of journals. The highest standards of academic publication will be promoted and upheld in order to attract international scholarly articles and readership.

The University will also regularly hold local and international conferences where research findings are disseminated. Annual International Research Symposium will disseminate most of UWU undergraduate/post graduate and students' research. The Annual International Symposium will have adequate number of research tracks where all the academic disciplines of UWU can be accommodated. Final responsibility of organising the Annual International Research Symposium/Conference is with the research committee headed by the Chairman/Research Committee.

Final responsibility of dissemination of information relevant to UWU research on UWU web page or repository is vested with Research Committee. The bachelor/master theses and academic research papers will be uploaded to the repository with the approval of the relevant Heads of the Departments and Deans of the Faculties. Papers presented in Annual International Research Symposium and Monthly Research Presentations shall also be uploaded to the UWU web page for research by following the relevant guidelines of the symposium and monthly presentations.

Other than these, UWU research committee can organise workshops/discussions/seminars as required for the dissemination of research findings of the UWU research.

6.0 GUIDELINES FOR PROVIDING RESEARCH GRANTS

6.1 Objective

To initiate, facilitate and support basic and applied scientific research conducted by the academia of Uva Wellassa University focusing on value addition to the national resources to contribute to the economic development of Sri Lanka.

6.2 Eligibility

- a) Only members of the permanent Academic/Administrative staff of the University shall be eligible to apply for University funded Research Grants.
- b) Each staff member shall be entitled to only one grant at a time as the Principal Investigator (PI) or Chief Investigator (CI). However, a staff member who has obtained a University funded Research Grant and is the PI may in addition function as a Collaborator in another Research Project/s funded by the University.
- c) If an applicant in a particular Department of study wishes to conduct a collaborative study with a member from another Department in the University, both Heads of Departments shall recommend the application for the relevant Research Grant. However, all equipment purchased under the grant shall be taken into the inventory of the Department to which the Principal Investigator belongs.
- d) The expected contribution of each collaborator should be indicated in the application of the research grant, as appropriate.

6.3 Duration of Research Grants

Applications for 1-year and 2-years Research Grants shall be awarded for a period of one and two calendar year(s), respectively. However, if the grant is applied and obtained for a Research Degree, a three (3) year time period shall be considered. Under such condition one-year extension shall also be possible depending on the request and the justification/s made. In all other cases, research completion time may be extended on the request of the grantee, under exceptional circumstances for a reasonable period of time at the discretion of the Research Committee, without additional funding.

Applications for 2-years and 3-years Research Projects shall be considered in the first instance for the first year of the grant. Upon the progress made in the first year, the grants will be released for the 2nd year, and then to the 3rd year, respectively. If the progress is not up to the satisfactory level of the Research Committee, no assurance will be given for the 2nd and 3rd years of the Research Grant.

6.4 Budget Coverage

Maximum of Rs. 500,000.00 per year will be awarded for an approved budget excluding allocations for Research Personnel unless and otherwise decided by the Research Committee. When a Research Assistant (RA) is to be used for the proposed research project, additional Rs. 250,000.00 shall be considered in the budget and under such situations the maximum award granted per year shall be Rs. 750,000.00. However, provision of RA and such additional money shall be considered only for the projects leading to a Research Degree.

A detailed breakdown of the budget shall have to be provided according to the format specified by the Research Committee. Grants for different sections of the budget shall be given according to the following guidelines.

- ✓ Equipment cost should not be more than 50% of the total estimated budget
- ✓ Consumables
- ✓ Allowance for Research Assistant (Maximum Rs. 250,000.00 per year)
- ✓ Travel (local only)
- ✓ Publication cost (maximum Rs. 100,000)
- ✓ The funds for Miscellaneous should not exceed 10% of the total cost of the project.

6.5 Priorities

Following broader scopes will be encouraged and in particular the circulars issued in this regard by the University Grant Commission (UGC) will be given the priority.

- Value addition
- Multidisciplinary research towards socio-economic development of the country
- Development of private-public partnerships
- Sustainable development

The outcome of the proposed study shall be able to be published or patented. Publications facilitated by the grant should acknowledge the Uva Wellassa University for providing the grant. Following statement shall be suggested to be included in the acknowledgement by adapting the changes as appropriate (i.e. year and the grant number):

"This research was funded by the Grant No: UWU/RG/2017/01 of Uva Wellassa University of Sri Lanka and the authors gratefully acknowledge the funding and other services provided by the University".

6.6 Application Procedure

Applications for grants will be entertained in order to meet the following deadlines and the dully completed 'Application Form' (*Annexure 01*) together with all relevant information should be forwarded to meet following deadline.

- Proposal Submission - November 30
- Completion of Evaluation - December 31
- Notification of Grants - January 10
- Awarding of Grants - January 15

6.7 Evaluation Procedure

- a) The selected applications shall be sent to two Reviewers for evaluation. Criteria considered in evaluation have been given in *Annexure 02*. If the budget exceeds Rs. 500,000.00 and the expertise are not present in the University related to a particular research activity, outside Reviewers shall be consulted.

- b) Based on the evaluation reports submitted by the two Reviewers, the Research Committee shall make a collective recommendation for funding, not funding or for revising the applications.
- c) The applicant may be invited to make a presentation on the proposed project if required.
- d) The recommendations of Research Committee shall be forwarded to the Vice Chancellor for the final approval.
- e) The applicants whose applications have not been approved for funding shall be informed.
- f) The 'Award Letter' and the 'Contractual Agreement' shall be sent to the applicants whose research proposals have been approved.
- g) After the completion of the 'Contractual Agreement', the 1st year allocation, except the funds for Research Assistant (if applicable), shall be made available to the Principal Investigator.
- h) Funds for the 2nd year (and 3rd year) shall be made available subject to the satisfactory progress.
- i) Settlement of the advance payments of the grants should be carried out in accordance with the financial regulations of the Uva Wellassa University of Sri Lanka.

6.8 Progress Reports

Biannual Progress Reports, according to the format given by the Research Committee (*Annexure 03*), should be submitted through the Head of the Department/Unit and Dean of the Faculty, as relevant, for the evaluation by the Research Committee until the completion of the grant period.

Irrespective of the date of commencement of the project, the progress reports should be submitted by the 1st June and the 1st December every year by the grantees. The Research Committee shall call the grantee for a presentation on the progress (annually), as required, for projects that run for two years and three years. However, the grantee should be prepared to provide or present the progress at any time if requested by the Research Committee.

A comprehensive Final Report according to the format provided by the Research Committee should be submitted within 03 months from the date of completion of project period.

6.9 Ethical Clearance

Ethical clearance certificates of the study (if required) should be submitted to the, "Ethics Review Committee" of Uva Wellassa University with or prior to the submission of the first progress report.

6.10 Termination of Grants

All projects shall be subject to termination unless a satisfactory progress is achieved by the grantees. Accordingly, any project can be terminated after 6 months from the last progress made by the grantee upon the decision taken by the Research Committee based on Either one or a few of the following reasons.

- ✓ Unsatisfactory progress
- ✓ Unavailability of PI/CI and/or collaborator(s)

- ✓ Exceeding the duration of the project without having a proper approval from the Research Committee
- ✓ Non-compliance with the Research Guidelines
- ✓ Any other reason/s as identified by the Research Committee

If the grantee fails at two or more times in his/her grants obtained as PI/CI, no more grants (as PI/CI) shall be given to him/her from the University Research Funds.

7.0 GUIDELINES FOR PROVIDING FUNDS: ATTENDING IN SCIENTIFIC MEETINGS AND PUBLISHING IN REFEREED JOURNALS

7.1 Purpose

To financially assist the Academic/Administrative Staff members of Uva Wellassa University (i) to present their research findings at National and International Scientific Meetings and (ii) to publish their research findings in the Refereed Journals.

7.2 Eligibility

7.2.1 Attending in Scientific Meetings

- a) Academic/Administrative Staff members who hold tenured positions in Uva Wellassa University of Sri Lanka can apply for the publication fee granted for presenting papers at Scientific Meetings. Such meetings may also be known as Conferences, Seminars, Colloquiums, Forums, Workshops, Congresses, and Sessions.
- b) Applicant should make either an oral or a poster presentation at the given Scientific Meeting by himself/herself (no video conferencing is financed). However, oral papers take precedence over poster presentations, and applicants who are giving multiple presentations will be given more consideration.
- c) International Conferences (attending in overseas) may take precedence over the Local/National Conferences.
- d) Preference is given to those whose paper/poster is likely to be subsequently published, and journal paper publications take precedence over conference proceedings, which in turn take precedence over other publications.
- e) Preference will be given to those who have already secured some funding from alternative sources towards the cost of the conference (this is to ensure that other people – the University, a professional society, or the organizers of Scientific Meeting – agree that the candidate's presence at the scientific meeting is valuable and have promised the funding to support it).
- f) If multiple authors are presenting, only one author can receive the funding.
- g) A candidate can apply again only after 2 years of the previous award.
- h) Altogether, a sum of LKR 50,000.00 maximum will be granted for attending in a particular Scientific Meeting.
- i) The granted money can be used as a portion of the expenses on air fare, registration fee, travel insurance, visa fee, accommodation and incidental expenses with a ceiling total value of LKR 50,000.00.

7.2.2 Publishing in Refereed Journals

- a) Academic/Administrative Staff members who hold tenured positions in Uva Wellassa University can apply for this publication fee granted for publishing the findings in a Refereed Journal.
- b) Recognized Index Journals take precedence over the other Refereed Journals. Recognized Index Journals are considered from the categories such as Science Citation Indexed (SCI)/Science Citation Indexed Expanded (SCIE)/Social Sciences Citation Index (SSCI)/Arts and Humanities Citation Index (AHCI).

- c) Journal article to be published in a given Refereed Journal can be one of the following: Original Research Paper, Review Article, and Short Communication.
- d) Open Access Journals, which are not recognized as above, are not considered in granting the publication fee. The applicant should convince the Research Committee that the journal considered for publishing is not an Open Access Journal.
- e) A candidate applying for seeking financial assistance for publishing a paper in a Refereed Journal must be either the First Author or the Corresponding Author.
- f) A candidate can apply only for one journal publication within the given year. However, if the candidate has already received a financial assistance for attending a Scientific Meeting prescribed under '**Attending Conferences**' will no longer be considered to be granted for a research paper publication for the same year.
- g) Altogether, a sum of LKR 50,000.00 maximum will be granted for publishing a research article in a Refereed Journal.
- h) The granted money can be used for paying the 'Reviewing and Publication Fee' of the given journal.

7.3 Procedure and Important Considerations

- a) Applicant should submit a 'Letter of Request' including the Application (*Annexure 04*), 'Letter of Invitation' including justification (please see 5, only for Scientific Meetings) and other supportive documents to the Research Committee of Uva Wellassa University of Sri Lanka through Head of the Department and Dean of the respective Faculty.
- b) With respect to the Scientific Meetings, if multiple authors are involved a letter indicating their agreement for the proposed participation of the applicant should be produced. In the case of applying for publishing in a Refereed Journal consent taken from all authors for no objection for submitting and publishing in the given journal should be presented.
- c) The date that the application is recommended by Head of the relevant Department is considered as the date of application.
- d) Award must be approved by the Research Committee of the University prior to attending the Scientific Meeting or submitting to a particular Refereed Journal. In the case of reimbursement no guarantee is given to pay back money for all applicants as the recommendation may be made based on the case by case basis. However, in any reimbursement to be made applicant should have claimed for a provided aspect *i.e.* either a Scientific Meeting or a Refereed Journal as described by the guidelines.
- e) In both cases, a report must be submitted to the Research Committee, Uva Wellassa University of Sri Lanka within 2 weeks of time period after the publication is made.
- f) Applicant must upload the article in the University e-repository unless the publisher has imposed restrictions for the publication. This has to be carried out once the article is published in the relevant Proceedings/Refereed Journal/Other.
- g) The University should be acknowledged in the article when it appears in the relevant place.

- h) In all cases, affiliation of the relevant author should be correctly made to the Uva Wellassa University of Sri Lanka specifying the Department and the Faculty that he/she is attached to.
- i) Granting of the funds should not be construed as adequate authority for incurring expenditure. All expenditure should be incurred in accordance with the provisions of the relevant Financial Regulations, Establishment Code and the instructions issued from time to time by the Government/the Council of the University.

7.4 Outcome Notification

The Research Committee, Uva Wellassa University of Sri Lanka endeavours to inform all applicants of the outcome of their application within 2 weeks of the relevant Research Committee meeting.

7.5 Justification

- ✓ As related to the Scientific Meetings, the applicant should explain how attending this Scientific Meeting is necessary for his/her research or future career and also why it is significant in a broader term of its application.
- ✓ Regarding journal publications, the applicant should justify the relevance of journal article for his/her field of interest and the area that he/she has been recruited to work on.

NOTE:

All money granted as the Publication Fee (for both Scientific Meetings and publishing in Refereed Journals) will be finally determined based on the amount of money allocated and available to the date under 'Research and Publication Vote' in addition to the 'Bond Violation Fund'. Therefore, the overall awarding basis will be first come first served for a given date when a number of Academic/Administrative Staff members have applied for seeking money under the given two aspects going beyond the allocated amount.

8.0 ELIGIBILITY CRITERIA FOR RESEARCH ALLOWANCE

8.1 Introduction

Following key considerations have been recognised for granting the Research Allowance for suitable applicants with respect to the relevant year shall claim for, as per the **Management Service** Circular No. 45 & 02/2014 and Higher Education Circular No. 01/2011. Certain additional considerations are also proposed and recommended given their importance in contribution to Research and Creative Work.

- a) Indexed Journal Publication
- b) Non-indexed Journal Publication
- c) Research Grants
- d) Publications in Symposia, Conferences, Technical Sessions, Seminars, Colloquiums, Forums, Workshops, and Congresses
- e) Scholarly and Creative Work
- f) Postgraduate Supervision
- g) Research Proposals
- h) Patent
- i) Recognised Awards
- j) Approved Study Leave for Postgraduate Studies

8.2 Elaborated Criteria

With respect to each category following elaborations are provided.

- a) **Indexed Journal Publication:** Recognised Index Journals are considered from the categories such as Science Citation Index (SCI), Science Citation Indexed Expanded (SCIE), Social Sciences Citation Index (SSCI), and Art and Humanities Citation Index (AHCI). Special consideration for providing the Research Allowance up to three (03) years time period will be made if such an article is produced as per the **Management Service** Circular No. 02/2014.
- b) **Non-indexed Journal Publication:** All Non-indexed but refereed journal articles are considered under this category. Special consideration for providing the Research Allowance up to two (02) years time period will be made if such an article is produced as per the **Management Service** Circular No. 02/2014.
- c) **Research Grants:** A Research Grant obtained from an International Organization/Approved Funding Body in Sri Lanka (Eg. National Research Council (NRC) and National Science Foundation (NSF)) is considered. However, the research expenses should not be incurred from the provisions granted to the University by the Consolidated Fund (Management Service Circular No. 02/2014).
- d) **Publications in Symposia, Conferences, Technical Sessions, Seminars, Colloquiums, Forums, Workshops, and Congresses:** Under this category, abstracts or full papers presented (in either oral or poster form) are considered.
- e) **Scholarly and Creative Work:** Any of the following scientific/academic work completed/produced/published related to the given year: Review Article, Editorial Work, Case Report, Letter to the Editor, Debating Document, Text Book, Research Thesis, Newspaper Article with a Research Background, Keynote Speech/Invited Talk/Memorial Oration, Any Other Creative Work

(Eg. Published Drama/Drama Production Script, Music/Composition of Lyrics/Television and Radio Programmes/Poetry/Short Stories and Novels) acceptable to the Research Committee.

- f) **Postgraduate Supervision:** Engagement in Postgraduate Supervision will be considered in the case where the applicant is recognised as either the Chief Supervisor or a Co Supervisor by the particular Higher Degree Awarding Body, which offers the particular research oriented degree. It is required that cancellation of Supervisory Role (if any) has to be communicated with the Research Committee by the applicant at his/her earliest convenience.
- g) **Research Proposals:** Any Research Proposal submitted aligning with the Management Service Circular No. 02/2014 is considered. However, these proposals should reach the Research Committee before March 01 of the particular year shall claim for.
- h) **Patent:** Any patent received for the year under local or international recognition is considered.
- i) **Recognised Awards:** Any recognised award granted for a research/creative work is considered and this consideration is valid for the year that the award is received.
- j) **Approved Study Leave for Postgraduate Studies:** Completed specific application should be sent to the Research Committee with all relevant information requested to be provided by the applicant.

8.3 Application Guidelines

- a) To be eligible for the Research Allowance for the relevant year the applicant should provide evidence of the most relevant aspect/aspects mentioned in a-j above.
- b) 'Letter of Request' should be forwarded through Head of the Department/Division/Section/Unit/Center and Dean of the Faculty/Registrar, respectively, with the evidence suits with the category that he/she claims for.
- c) All requests should reach to the Research Committee and thereafter, the requests recommended by the Research Committee will be subsequently forwarded for the final approval by the Vice Chancellor.
- d) As regard to 'Section g' above, the interested applicants should submit their Research Proposals on or before March 01 in every year for the consideration by the Research Committee. Further, the applicant should submit a 'Progress Report' with a 'Work Schedule' for the remaining time period in every six (06) months interval. However, irrespective to the time of submission the Progress Reports should reach to the Research Committee by June 01 and December 01 every year.
- e) Any document/evidence produced should be related to the given year for which the Research Allowance is applied.
- f) Research Committee has the authority to recommend/not recommend any particular request, which is not recognised as any of the above considerations, from a to j.
- g) **Staff under Approved Study Leave:** The specific application form (**Application for Research Allowance, Staff Members on Approved Study Leave for Postgraduate Studies**) with requested information and signed by the Post Graduate Supervisor, should be sent to the Research Committee, Uva Wellassa University of Sri Lanka through Head of the

Department/Division/Section/Unit/ Center and Dean of the Faculty/Registrar, respectively.

- h) **Staff under Approved Sabbatical Leave:** any of the suitable consideration given under a-j, as appropriate, should be sent to the Research Committee of the University through Head of the Department/Division/Section/Unit/ Center and Dean of the Faculty/Registrar, respectively.
- i) If there are multiple authors for a particular document/evidence the requests should be produced individually by each applicant through the proposed channels, as appropriate.
- j) Any of the document/evidence submitted requesting the Research Allowance should contain the name of the applicant at an acceptable manner by the Research Committee.
- k) In all cases, the applicant should provide a separate request each year although a consideration is applicable up to three (03) years time period maximum (if any).
- l) Special cases will be considered subject to the approval of the Research Committee.
- m) These criteria will be taken into action with effect from January 01, 2019.

9.0 RESEARCH INTEGRITY AND MISCONDUCT

9.1 Definition of a Research Integrity Breach

For the purposes of this policy, an "Integrity Breach" is a breach of or deviation from any of the principles contained in the 'Research Policy' document of the Uva Wellassa University of Sri Lanka, which may include research misconduct.

9.2 Definition of Research Misconduct

'Research Misconduct' includes fabrication, falsification, plagiarism or deception in proposing, carrying out or reporting the results of research, and failure to declare or manage a serious 'Conflict of Interest'. It includes avoidable failure to follow research proposals as approved by the 'Research Ethics Committee' and the Research Committee of Uva Wellassa University of Sri Lanka, particularly where this failure may result in unreasonable risk or harm to humans, animals or the environment. It also includes the willful concealment or facilitation of Research Misconduct by others.

A complaint or allegation relates to Research Misconduct if it involves all of the following:

- a) An alleged breach of the Code, which is related to any definition given by Research Committee of Uva Wellassa University of Sri Lanka.
- b) Intent and deliberation, recklessness or gross and persistent negligence.
- c) Serious consequences, such as false information on the public record, or adverse effects on participants, animals or the environment.
or
- d) Repeated or continuing breaches of the Code may also constitute Research Misconduct, and do so where these have been the subject of previous counseling or specific direction.
or
- e) Failure by supervisors or Heads of Departments to address issues properly may in itself represent misconduct.

Examples of Research Integrity Breaches or deviations from the Code, which may constitute misconduct include, but are not limited to:

- a) Fabrication of results
- b) Falsification or misrepresentation of results
- c) Plagiarism
- d) Misleading ascription of authorship (including in an application)
- e) Fraud
- f) Failure to declare and manage serious conflicts of interest
- g) Falsification or misrepresentation to obtain funding
- h) Conducting research without ethics approval(s) as required (human and/or animal)
- i) Avoidable failure to follow research protocols as approved by a properly constituted research ethics committee
- j) Unreasonably risking the safety of human participants, or the wellbeing of animals or the environment
- k) Deviations from the Code that occur through gross or persistent negligence

- l) Willful concealment or facilitation of research misconduct by others.

9.3 Reporting a Research Integrity Breach or Research Misconduct

This section outlines the reporting requirements, including when and what to report, and processes for individuals and persons engaged in research activities of Uva Wellassa University, for example Peer Reviewers, or UWU Staff Members.

9.4 Reporting Requirements for Issues Identified by Institutions

Under the Code, researchers are expected to maintain a climate in which responsible and ethical behaviour in research, including for the good stewardship of public resources used to conduct research. It is the responsibility of the University to investigate alleged cases of Research Misconduct as they arise. The Code requires the University to have a written policy on receiving complaints or allegations related to research. In serious cases, institutions will establish internal or independent, external inquiries to investigate allegations.

All related cases should be informed to the Research Committee within 10 working days when:

- a) an allegation of a Research Integrity Breach or Research Misconduct is proven (and not contested) without the need for a formal research inquiry to be established; and/or
- b) a formal, internal or external Research Misconduct inquiry is commenced; and/or
- c) a formal, internal or external Research Misconduct inquiry is concluded (regardless of whether an allegation is proven or dismissed); and/or
- d) an institution has suspended funding to an individual or team involved in UWU funded research whilst an assessment or inquiry relating to Research Integrity or Research Misconduct is underway.

9.5 Sanctions

The UWU may apply sanctions if it considers that the integrity of its peer review processes, grant selection processes, funding recommendations and research outcomes have the potential to be compromised, or if confidence in the value of publicly funded research is potentially undermined.

The Research Committee may apply sanctions (including precautionary sanctions) once notified by the University/individual that a Research Misconduct inquiry (internal or external) has commenced and/or once the outcomes of a Research Integrity Breach or Research Misconduct inquiry (including corrective actions if applicable) have been reported to the Research Committee.

Sanctions may include, but are not limited to:

- a) suspending, ceasing or recovering any or all UWU funding relating to a Funding Agreement(s); and/or
- b) suspending or ceasing the progression of UWU grant proposals; and/or
- c) suspending or removing individuals from UWU business.

9.6 Appeals

If an institution or individual wishes to appeal a sanction, appeals must be lodged in writing.

The appeal must be received by the UWU Research Committee within one month of the date the Administering Organisation is notified of a decision by the UWU Research Committee to impose a sanction.

10 AUTHORSHIP DISTRIBUTION

10.1 Objectives

The objectives of the Authorship of Research Policy are to:

- a) clarify the criteria for the attribution of authorship for research outputs, patents and Intellectual Property Rights (IPR) involving staff and students of the Uva Wellassa University.
- b) ensure that authorship is confirmed and agreed upon prior to submission for publication, patents and IPR.
- c) ensure that researchers appropriately attribute research outputs, patents and IPR to the UWU.

10.2 Scope

All staff, students, visiting fellows and scholars, and persons holding discretionary titles of the UWU and also those who are involved in the conduct of research associated with the University and applying for patents and IPR.

10.3 Policy Provisions

a) Attribution of Authorship

Authorship must be based on substantial scholarly contributions to the research output, patents and IPR through a combination of:

- ✓ conception and design of the project/invention
- ✓ analysis and interpretation of research data
- ✓ drafting significant parts of the work or critically revising it so as to contribute to the interpretation.

The right to authorship is not tied to a position or profession, and is not justified by any of the following contributions in and of themselves:

- ✓ being Head of the Department, Dean of the Faculty or holding other positions of authority
 - ✓ providing technical contribution without other intellectual input
 - ✓ acquiring funding
- or
- ✓ providing general supervision of the research team.

A supervisor of a Higher Degree Research (HDR) candidate has the right to become co-author of any research output, patents and IPR from the HDR candidate's supervised work if the supervisor has participated in the research in a way that meets the above authorship criteria.

Researchers must offer authorship to all people, including research trainees, who meet the criteria for authorship. Those offered authorship must accept or decline in writing.

b) Multiple Authors

Collaborating researchers should agree on authorship of a publication, patents and other IPRs at an early stage in the research project/invention and should review this agreement periodically throughout the duration of the project/invention.

Where there is more than one author of a research output, the following items must be agreed upon prior to the preparation of the research output:

- ✓ the authorship of the research output
- ✓ the order of authors' names in the authorship list and the justification for this order (if the research output, patents and IPR are within a discipline where authorship order has significance)
- ✓ the appointment of a corresponding author to take responsibility for maintaining authorship agreements and managing all correspondence about the research output, patents and IPR.

c) Authorship Agreement

All authors of all research outputs, patents and IPR must provide written acknowledgement of authorship prior to submission of the research output and applications for patents (*Annexure 07*).

The documentation for acknowledging authorship may take various forms, including Author Agreement Form of Uva Wellassa University, a journal's author agreement form, or email correspondence between authors, providing that the authorship documentation specifies that:

- ✓ the signatories are the only qualified authors
- ✓ the order of authors' names in the authorship list on the research output and patents is acceptable to all authors
- ✓ all authors agree that they have met the criteria for authorship attribution as detailed in above section entitled "**Attribution of Authorship**" of this document
- ✓ all individuals being acknowledged by name have provided their written consent
- ✓ all authors have approved of the manuscript or research output and patent application that will be submitted for publication
- ✓ all authors agree that they are responsible for the content of the research output and patents.

Whenever possible, the authorship documentation should include original hand-written signatures. Where it is not practical to obtain an original signature, it is acceptable to use faxed or emailed consent.

If an author is deceased or cannot be contacted, the publication of the research output and patent can proceed provided that there are no grounds to believe that this person would have objected to being included as an author.

d) Acknowledgements

All individuals who have contributed to the research, facilities or materials, but whose contribution does not meet the criteria for authorship attribution as detailed

in the section entitled "**Attribution of Authorship**" of this document, must be properly acknowledged in the resulting research output/s.

Where individuals are to be named, their written consent must be obtained. If an author is deceased or cannot be contacted, the publication of research output and patent can proceed provided that there are no grounds to believe that this person would have objected to being acknowledged.

e) University Affiliation

The Uva Wellassa University must be attributed as an institution of affiliation for all research outputs and patents that have resulted from work conducted by University staff and students, and by joint, conjoint, and adjunct appointments, if either of the following conditions apply:

- the research leading to the research output and patents has involved using resources and/or facilities of the UWU
or
- the funds for the research and invention have been directed through the UWU.

The above criteria may apply even if the author has subsequently left the University, provided that at least one of the above conditions is met.

11.0 CONFLICT OF INTEREST

11.1 Introduction

This policy affirms joint student and faculty responsibilities, as members of the UWU, in relationship to potential conflicts of interest and provides mechanisms to ensure that research activities are consistent with University policies and protect the academic interests of both students and staff members of the UWU. Furthermore, opportunities for students and academics of UWU to do their research in collaboration with the other public and private sector institutions are rapidly increasing. Opportunities and benefits of such collaborations may include a sense of the other institutions' needs and future directions; exposure to the most recent specialized research within a particular field; opportunities to apply theory to "real-world" problems; access to cutting-edge equipment and lab resources; opportunities to enhance work skills, such as critical thinking, communication, business acumen, and team participation; increased understanding of career possibilities and potential career directions. Therefore, such research collaborations are encouraged by the research policy of the UWU but keeping the academic interest.

11.2 Guiding Principles

All University research, including research sponsored by public sector, private sector or international funding organisations, is governed by the tradition of the free exchange of ideas and timely dissemination of research results. The University is committed to an open teaching and research environment in which ideas can be exchanged freely among faculty and students in the classroom, laboratory, informal meetings, and elsewhere.

When considering the appropriateness of the participation in particular research projects the following principles apply:

a) Open Academic Environment

Researcher involvement in the research should enhance his/her educational/academic experience and not unduly influence or restrict academic choices. Specifically, a researcher be free to change topic areas or research direction, and his/her field of research should not be significantly narrowed or limited as a result of involvement with the funding agencies, nor should such involvement result in significant limitation on his or her employment.

b) Freedom to Publish

Consistent with the Vision and the Mission of the University, the integrity of a researcher's academic experience shall be preserved, including the ability to complete and publish a thesis or dissertation and to freely publish, present, or otherwise disclose the results of research both within the academic community and to the public at large. The University precludes assigning to extramural sources the right to keep or make final decisions about what may or may not be published with respect to a research projects. Within this general understanding, the University also realizes that certain circumstances may arise where short, reasonable delays may be appropriate, such as to allow the research sponsor to review publications for inadvertent disclosures of proprietary data or potentially patentable inventions. Especially in all cases with student's research, these limitations or restrictions may

not be more restrictive than those borne by faculty conducting similar research under University auspices.

c) Right to Conduct Future Research

A researcher ability to use research results in future research and educational activities shall not be impaired.

d) Outside Research Activities

Academics are encouraged to engage in appropriate outside research activities with students. Although students can benefit from participating in such activities with faculty members, faculty members should ensure that the student's thesis or dissertation work is not unreasonably compromised as a result of such involvement.

e) Responsibility to Students

University by-laws guide the academic rights and responsibilities of students, and responsibility for adherence to these principles rests with the academics. The University is committed to protecting the educational interests of students and maintaining an open environment free from undue influence of private outside interests. The advice and guidance given to students by academics should always be governed by what is in the best academic interests of the student.

11.3 Definitions

"**Academic interest**" refers to the integrity of academics'/students' academic experience. A researcher's academic interests include:

1. ability to change topic or areas or research direction free from influence or pressures outside the realm of scientific appropriateness and personal choice;
2. ability to complete and freely publish their research present, or otherwise disclose the results of research both within the academic community and to the public at large
3. ability to use research results in future research and educational activities

"**A Researcher**" is any member who conducts research in the university including academics and students.

11.4 Disclosures

In order to protect the academic interests of the researchers, faculty members and students must disclose certain agreements or arrangements where conflicts with these interests may arise. Such disclosures should take place at any time the agreements or arrangements set forth below arise. When these agreements or arrangements are disclosed, procedures will be initiated to determine whether the agreements or arrangements are consistent with the researcher's academic interests. If not, consideration will be given to methods of resolution of these conflicts.

The following agreements or arrangements should be disclosed to the Vice Chancellor as soon as the researcher becomes aware of the facts giving rise to the disclosure obligation:

Agreements or arrangements between a researcher and a private entity involving research activities or a mentor/research/thesis/dissertation advisor is a party to the

agreement or arrangement, *and* the student's mentor/research/thesis/ dissertation advisor/researcher has a financial interest in the private entity. Especially, when there are restrictions on the researcher ability to publish, present, or otherwise disclose the findings from their research activities. When a researcher enters into any private arrangements, s/he may have obligations to the University (such as employment) and should ensure that conflicts do not arise which could violate those University obligations.

11.5 Responsibilities

a) Research Committee

The Research Committee shall:

- ✓ Annually communicate the University's Policy on Conflict of Interest and research as well as the procedures designed to protect the academic interests of the researcher to academics as well as to the student community.
- ✓ Work with the academics and students in the event that formal procedures detailed herein are initiated.
- ✓ Receive and review Conflict of Interest forms from researchers and inform the Vice Chancellor when conflicts are identified.

However, the Head of the Department is responsible for ensuring that Faculty members and students are familiar with the ways in which the policy might impact a mentor/research/thesis/dissertation advisor's relationship with a student and the relationship between the researcher and the funding organisations.

b) Mentor/Research/Thesis/Dissertation Advisor

Each Faculty member serving as a mentor/research/thesis/dissertation advisor to a student shall:

1. Disclose, to the vice chancellor, any conflict of interest that might in any way be pertinent to the research conducted by the student or pertinent to other professional activities as required by the degree programme
2. Notify the student and the department's designated resource person of his or her conflict of interest in a timely manner ("Timely manner" means that the faculty member should notify the department representative and the student at the time that the student is being employed as a research or teaching assistant, forming a graduate committee, considering a thesis or dissertation topic, whichever comes first)

11.6 Procedures

a) Disclosure Process

The conflict of interest procedure will be communicated from the research committee to researchers each academic year. A conflict of interest may be reported by completing and submitting a conflict of interest form to the respective head of the department. In addition, at any time, through a formal or informal process at the level of the academic unit, conflict of interest forms may be submitted by any of the following parties: the student, the faculty mentor/research/thesis/dissertation

advisor, a department representative/ graduate advisor, or the campus Conflict of Interest Committee.

In addition to consulting the Department representative/ advisor, a student may at any time seek the advice of one of the identified campus-wide resource persons, who include the Dean of the Faculty, Head of the Department, and the Chairman of Research Committee or Chair Professor.

b) Review Process

The head of the Department forward the conflict of interest form to the respective dean of the faculty and the dean of the faculty or designee reviews each conflict of interest form. A positive disclosure receives greater scrutiny in order to determine whether review by the Conflict of Interest Subcommittee is required.

If the conflict of interest poses **minimal risk** of harm to the academic interests of the researcher, then the Dean or Dean's designee shall provide a brief statement to that effect, summarising the situation and reason for the decision. If there is agreement with the risk statement, the head of the department, the student, and faculty member who has a conflict of interest shall co-sign the statement. Upon acceptance by the Dean or Dean's designee, the signed statement is forwarded to the department for placement in the student's academic file; the Dean retains a copy. Should any party become aware of new information impacting the academic interests of the student, the department must be notified. If the head of the department, student, or the faculty member does not agree with the statement after suitable revisions have been attempted, the conflict of interest matter will be referred to the Conflict of Interest Subcommittee for final resolution.

If the conflict of interest issue includes a component that may be harmful to the researcher, then the Dean will refer the matter to Conflict of Interest Subcommittee without reviewing it at faculty level.

c) Subcommittee Review Process

Reviews will be performed by the Conflict of Interest (COI) Subcommittee which is a subcommittee of the research committee consisting with chair and a member from each faculty ("Subcommittee"). The Subcommittee shall meet as necessary.

When a disclosure is submitted for Subcommittee review, the Subcommittee has the following options:

- a) Approve the project (determine that no obvious conflict of interest is present);
- b) Conditionally approve the project to manage the conflict, subject, but not limited to, conditions such as:
 - ✓ Further management by, or reporting to, an appropriate Dean, Chair, or *ad hoc* departmental committee formed for such purpose;
 - ✓ Periodic reports back to the Subcommittee on steps taken to manage the conflict;
 - ✓ Divestiture of the financial interests that cause the conflict;

- ✓ Recommendation that the Dean work with the Department to find a substitute on the student's dissertation or thesis committee for the faculty member with a conflict;
- ✓ Limitation of the length or scope of student's work with private entity;
- ✓ Adoption of standard university provisions concerning intellectual property for student's work with private entity;
- ✓ Requiring that all student work is to be conducted on-campus;
- ✓ Appointment of an additional member to serve on the dissertation or thesis committee as an "Oversight Member." This member is chosen by the head of the department (or the dean) in consultation with the student and his/her thesis or dissertation advisor. The Oversight Member shall be from a different academic department in a reasonably related discipline.
- ✓ Any other condition that the Subcommittee feels appropriate and reasonable to manage the conflict.

12.0 UWU RESEARCH AWARDS

12.1 Introduction

The Research Committee of Uva Wellassa University initiated a scheme of awards called "UWU Research Awards" in the year 2016 and be awarded annually to recognise, appreciate and honor the outstanding contributions and accomplishments in research by the permanent staff members of the University.

12.2 Awards Categories

Five (05) categories of awards (*Annexure 08*) have been decided by the Research Committee of Uva Wellassa University of Sri Lanka.

- a) Full article published in a Refereed Non-indexed Journal
- b) Full article published in a Refereed Indexed Journal
- c) Researcher having the highest citations for the year (One Award for each Department)
- d) Vice Chancellor's Award for the Most Outstanding Young Researcher of the year
- e) Vice Chancellor's Award for the Most Outstanding Senior Researcher of the year

12.3 General Guidelines for Applicants on UWU Research Awards

The general guidelines and instructions for applications for the 'UWU Research Awards' are as follows.

- a) The applicant should be either first author or a co-author of research articles used to claim awards/marks depending on the award applied for.
- b) The articles used to claim any award/mark should be published in the year of award (i.e. 2016) and the place of affiliation of the applicant in such articles should appear as Uva Wellassa University of Sri Lanka.
- c) Applicant should possess one of the following researcher profiles: Thomson Reuters Researcher ID, Scopus ID, Google Scholar Profile or SSRN ID.
- d) Applications for award categories 4 and 5 should contain the self-assessment completed according to the 'Format for Self-Assessment' (*Annexure 09*) in addition to the regular application form.
- e) All claims should be supported by documentary evidences. No marks/awards shall be given in instances where documentary proof is not submitted.
- f) Applicant must forward the hard copy of the duly filled application form (*Annexure 10*) with supporting documentary evidences through the Head of Department and Dean of the Faculty (or appropriate channels) in a sealed envelope to the Chairman/UWU Research Awards Committee on or before the closing date of applications.
- g) Incomplete applications, applications with false information, and those received after the closing date shall not be entertained.
- h) A panel of judges, comprising members of the UWU Research Awards Committee and two (02) members nominated by the University Research Committee will evaluate the applications for award categories 1 to 3 and submit their recommendations to the University Research Committee.

- i) A panel of judges, comprising the Vice Chancellor, Deans, members of the UWU Research Awards Committee and two (02) members nominated by the University Research Committee will evaluate the applications for award categories 4 and 5 and submit their recommendations to the University Research Committee.
- j) Based on the recommendations of the panel of judges, final selection of the awards will be made by the University Research Committee. The decision of the University Research Committee shall be the final.
- k) Certificates/Trophies/Cash awards will be presented to the winners at a formal Awarding Ceremony.



Ref No:

**APPLICATION FORM FOR OBTAINING RESEARCH GRANTS
UVA WELLASSA UNIVERSITY OF SRI LANKA**

Closing Date:

Instructions: All applicants should fill the Sections I and II of the application. Three (03) copies of the completed application form should be submitted to the Research Committee through relevant Head/s of the Department/s or Division and Dean of the Faculty or Registrar, as appropriate, before the closing date provided. One copy of the above will be used as an 'Official Copy' and the applicants should sign only in this copy in the Section II. Applicants are advised to go through the 'Guidelines for Providing Research Grants' before filling the application form.

SECTION I – GENERAL INFORMATION

- 1. Name of Applicant/s:**
 - (a) Principle Investigator:
 - (b) Co-investigator/s:
- 2. Designation:**
 - (a) Principle Investigator:
 - (b) Co-investigator/s:
- 3. Department:**
 - (a) Principle Investigator:
 - (b) Co-investigator/s:
- 4. Faculty:**
- 5. Contact details:**

Telephone:
Email:
- 6. Field of specialisation:**
- 7. Title of the Research Project:**
- 8. Expected date to commence the Research Project:**
- 9. Please state whether this Research Project will be in connection with a Higher Degree Programme. If 'yes', please provide following information.**
 - (a) Degree registered for:
 - (b) Date of registration:
 - (c) Institute registered:
 - (d) Name of Supervisor/s:

10. Details related to any Collaborator/s (both local and foreign, if any):

	Name of Collaborator	Institute
(a)		
(b)		

11. Details of ongoing Research Project/s granted by the University:

12. Please list three (03) of your recent publications relevant to the proposed Research Project:

13. Suggested two (02) Reviewers by the applicant related to the proposed Research Project, however; the final decision on the reviewers will be taken by the Research Committee:

	Name of Reviewer	Institute
(a)		
(b)		

14. Prepared according to the guidelines and submitted for consideration.

.....
Signature of Applicant

.....
Date

15. Recommendations:

a) Recommended/Not Recommended

b) Recommended/Not Recommended

.....
Head of Department/Division

.....
Dean of Faculty/Registrar

Date:

Date:

c) Recommended/Not Recommended

.....
Chairman/Research Committee

Date:

16. Approval:

Approved/Not Approved

.....
Vice Chancellor

Date:

Ref No:

SECTION II – INFORMATION ON RESEARCH PROJECT

1. Title of the Research Project:
2. Research scope:
3. Rationale:
4. Objective/s:
5. Methodology in brief:
6. References:
7. Duration of Research Project:
8. Activity plan:
9. Project deliverables/Outputs:
10. Benefits of this Research Project:
11. Estimated cost:

Item	Unit	Rate (Rs)	Quantity	Cost (Rs)
a) Personnel				
a-1) Research Assistant*				
a-2) Other workers (Labours)**				
b) Consumables				
c) Equipment				
d) Travelling				
e) Miscellaneous				
Total cost (Rs)				

*Maximum of Rs. 250,000.00 per year

** Payment should tally with the specifications made by the University

Total amount in words:

.....
Signature of Applicant

.....
Date

Annexure 02

**Evaluation Form of University Research Grants
Uva Wellassa University of Sri Lanka**

Title of the Research Project proposal:

Reference No:

No	Components of the Research Project Proposal	Marks (Maximum)	Marks Given by Reviewer
1	Scientific justification	15	
2	Novelty, and feasibility of achieving objectives within the given time	15	
3	Importance of the proposed area in the present world and compatibility with the key areas identified by the 'Guidelines for Providing Research Grants'	15	
4	Expected outcome/application	15	
5	Reasonability of requested budget	10	
6	Appropriateness of the methodology suggested	20	
7	Scientific competence of the applicant/research group	10	
Total		100	

Comments to improve the overall quality of the Research Proposal. If the space is not enough please use a separate paper.

Recommendation:

1. Accepted the Research Project proposal without modifications
2. Accepted the Research Project proposal with minor modifications
3. Accepted the Research Project proposal with major modifications
4. Rejected

Name of the Evaluator:

Date:

Signature of the Evaluator

13. Description of work carried out during the given time period/half year. This should be categorised under the following headings where applicable.

- a) Field Work:
- b) Laboratory Studies:
- c) Data collected:
- d) Results Obtained:

14. List of Scientific Presentations & other Publications made/arising from the Research Project.

15. Problems/issues encountered with the Research Project:

16. Is the work on schedule?

- a) If not give reasons for the delay/s:
- b) Any further delays anticipated:

17. Suggestions to avoid the anticipated delays (if any):

18. Work planed for the next six months:

- a) Field work:
- b) Laboratory work:
- c) Other:

19. Expenditure during the period of the Progress Report:

	<u>Amount Allocated</u>	<u>Amount Spent</u>	<u>Balance</u>
(a) Literature survey
(b) Stationary
(c) Postage
(d) Equipment*
(e) Chemicals*
(f) Consumables*
(g) Travel
(h) Data Processing
(i) Field Assistance
(j) Any other *

*Please Specify/List

Overall Expenditure by the given date:

Amount Allocated	Amount Spent	Amount Committed	Balance
-----------------------------	-------------------------	-----------------------------	----------------

20. Issues related to the financial matters:

21. Details provided above are true.

Signature (PI):

Date:

22. Observations and Recommendation by Head of the Department:

Name of the Head:

Signature:

Date:

23. Observations and Recommendation by Dean of the Faculty:

Name of the Dean:

Signature:

Date:

24. Recommendation of the Research Committee:

Name of the Chairman:

Signature:

Date:

Annexure 04

APPLICATION FOR PUBLICATION FEE
UVA WELLESSA UNIVERSITY OF SRI LANKA



1	Name	
2	Department and Faculty	
3	Contact Details (Email and phone number)	
4	Application Category 1. Attending for a Scientific Meeting 2. Publishing in a Refereed Journal (If the category is '1' answers should be provided from 5 to 16. Otherwise, go to no 17 directly)	
5	Title of Scientific Meeting, Organizing Body and Address (with the name of Country)	
6	Type of Presentation 1. Oral 2. Poster	
7	Likelihood of Publication Have the organisers of the Scientific Meeting offered to publish the paper after the event? If so, provide details.	
8	Dates of Scientific Meeting (commencement and end)	
9	Travel Cost (provide details)	
10	Subsistence (provide details)	
11	Registration Fee	
12	Other Costs (provide details)	

13	Total Cost of Attendance (A)	
14	Have you applied for and/or secured funds from other sources (B) (e.g. NRC, UGC, Organisers of the Scientific Meeting etc.)? If so, provide details.	
15	Amount of money expected from the University (Max. LKR 50,000.00)	
16	Have you previously received a fund from the University for publication/conference attendance? If so, please specify the type, date and amount.	
17	Name of the Journal	
18	Whether Indexed Refereed/Non-Indexed Refereed/Not Refereed	
19	Date of Submission	
20	Amount of money expected from the University (Max. LKR 50,000.00)	
Recommendation by Head		Recommended/Not recommended.
		Signature: _____ Date: _____
Recommendation by Dean		Recommended/Not recommended.
		Signature: _____ Date: _____
Recommendation by Chairman/Research Committee Uva Wellassa University of Sri Lanka		Recommended/Not recommended.
		Signature: _____ Date: _____
Approval by Vice Chancellor Uva Wellassa University of Sri Lanka		Approved/Not approved.
		Signature: _____ Date: _____



**APPLICATION FORM FOR OBTAINING RESEARCH ALLOWANCE
BY MEANS OF RESEARCH PROPOSAL
UVA WELLASSA UNIVERSITY OF SRI LANKA**

Closing Date: March 01 (Every Year)

Instructions: All applicants should fill the Sections I and II of the application. Two (02) copies of the completed application form should be submitted to the Research Committee through relevant Head of the Department/Division/Section/Center/Unit and Dean of the Faculty/Registrar, as appropriate, before March 01. More information has been provided with 'Eligibility Criteria for Research Allowance'.

SECTION I – GENERAL INFORMATION

1. Name of Applicant:
2. Designation:
3. Department/Division/Section/Center/Unit:
4. Faculty (only for Academic Staff):
5. Contact details:
 - Telephone:
 - Email:
6. Title of the Research Project Proposal:
7. Expected date to commence the Research Project:
8. Please state whether this Research Project will be in connection with a Higher Degree Programme. If 'yes', provide following information.
 - (a) Degree registered for:
 - (b) Date of registration:
 - (c) Institute registered:
 - (d) Name of Supervisor/s:
9. The proposal was prepared according to the guidelines provided and submitted for the consideration by the Research Committee for granting the Research Allowance. Also, the proposed Research Project is not funded under 'Consolidated Funds' of the University.

.....
Signature of Applicant

.....
Date

10. Recommendations:

a) Recommended/Not Recommended

b) Recommended/Not Recommended

.....
Head of Department/Division/Center
Date:

.....
Dean of Faculty/Registrar
Date:

c) Recommended/Not Recommended

.....
Chairman/Research Committee

Date:

11. Approval:

Approved/Not Approved

.....
Vice Chancellor

Date:

Ref No:

SECTION II – TECHNICAL INFORMATION ON RESEARCH PROJECT

1. Title of the Research Project:
2. Research scope:
3. Rationale:
4. Objective/s:
5. Methodology in brief:
6. References:
7. Duration of Research Project:
8. Activity plan:
9. Project deliverables/Outputs:
10. Benefits of this Research Project:
11. Funding source:
12. Estimated cost:

Item	Unit	Rate (Rs)	Quantity	Cost (Rs)
a) Personnel				
b) Consumables				
c) Equipment				
d) Travelling				
e) Miscellaneous				
f) Others				
Total Cost (Rs)				

Total amount in words:

.....
Signature of Applicant

.....
Date

**Application for Research Allowance
Staff Members on Approved Study Leave for
Postgraduate Studies
(PhD/MPhil/MSc*/MBA*/MA**)**



Date:

BI-ANNUAL PROGRESS REPORT

Name of the staff member:	
Institute/s where studies are being carried out:	
Degree for which studies are aimed at :	
Title of the Study:	
Date of commencement of the study and Expected date of completion:	
Period of Progress:	
Present Progress:	(250 words) A separate sheet must be submitted
Summary of work to be done:	(250 words) A separate sheet must be submitted
Publication if any during the Period (attach copies)	
Signature of the staff member:	
Name and Address of the Supervisor/s:	
Supervisor's Comments on the progress:	
Signature of the Supervisor:	

*** To be considered, the MSc and MBA should have a significant component of research.**

**** To be considered, the MA should have either a significant component of research or a creative work.**

Note: Completed form should be sent to the Chairman/Research Committee, Uva Wellassa University, Passara Road, Badulla, Sri Lanka through Head of the Department and the Dean of the Faculty.

Authorship Agreement Form

An electronic copy of this form (or equivalent documentation containing the same information) and any supporting material must be submitted to Chairman, Research Committee along with the relevant publication.



The criterion for authorship attribution is clearly defined in the University's Authorship of Research Policy. This policy states that authorship must be based on substantial scholarly contributions to the research output through a combination of:

- conception and design of the project
- analysis and interpretation of research data
- drafting significant parts of the work or critically revising it so as to contribute to the interpretation.

According to this definition, the author(s) of the research output titled:

_____ (enter title of book / book chapter / journal article / conference abstract / other publication)

submitted / resubmitted to: _____

(enter name of journal / publisher / conference / other medium)

on: _____

(enter submission date)

is/are the undersigned, and there are no other qualified authors (unless written permission has been obtained from a qualified author to be excluded from the authorship list). All authors agree that they have met the above criteria for authorship and are satisfied with the order in which the authors' names appear in the research output/patent. All authors agree that they are responsible for the content of the research output/patent and approve of the version that will be/was submitted for publication.

All individuals acknowledged by name have provided their written consent in the location provided below (if applicable).

<i>Name of Author</i>	<i>University Affiliation(s)</i>	<i>Signature of Author</i>	<i>Date</i>

Annexure 07

Declaration of Authorship

(insert additional rows as necessary)

Consent to be acknowledged by name (if applicable)

I consent to having my name listed in the acknowledgements section of the above research output:

<i>Name of person being acknowledged</i>	<i>Signature of person being acknowledged</i>	<i>Date</i>

(insert additional rows as necessary)

Awards Categories and Criteria for Evaluation

No	Category of Award	Nature of Award		Criteria	Application Form
		Cash Prize*	Certificate /Trophy		
1	Full article published in a Refereed <i>Non-indexed</i> Journal	√ 5,000/= (per article)	X	First author of the published article(s)	Download from University Website
2	Full article published in a Refereed <i>Indexed</i> Journal	√ 15,000/= (per article)	Certificate	First or co-author of the published article(s) Digital Object Identifier (DOI) URL: www.doi.org	
3	Researcher having the highest citations for the year (One Award for Each Department)	√ 25,000/=	Certificate	Research ID (researcherid.com) Scopus ID (scopus.com) Google Scholar (scholar.google.com) A minimum of 10 citations, excluding self-citations are required to qualify	
4	Vice Chancellor's Award for the Most Outstanding Young Researcher of the year	√ 50,000/=	Certificate + Trophy	<u>Guidelines for Vice Chancellor's Awards</u> A minimum of 20 marks is required to qualify	Regular Application Form and Self Assessment Form to be submitted with proof
5	Vice Chancellor's Award for the Most Outstanding Senior Researcher of the year*	√ 50,000/=	Certificate + Trophy	<u>Guidelines for Vice Chancellor's Awards</u> A minimum of 30 marks is required to qualify	

*The cash prizes are subjected to change depending on the availability of funds.

*No staff member may receive this award more than once in every five (05) years.

VICE CHANCELLOR'S AWARDS

Format for Self-Assessment

1) The Most Outstanding Senior Researcher of the Year

- Achievements during the year of award (i.e. 2016) will be considered.
- General guidelines for applicants on UWU Research Awards are applied.
- A minimum of 30 marks is required to qualify.

Component	Marking Scheme	Marks claimed by the applicant	Marks given by the evaluators
a. Publications (First or co-authored) (i) Publications in Refereed Indexed Journals <i>(Index should be clearly identified)</i>	Up to 6 points each* (No limit)		
(ii) Publications in refereed Non-indexed Journals	Up to 3 points each# (No Limit)		
b. Presentations at conferences/Professional meetings etc. (i) Published as an abstract	Up to 0.75 point each# (Maximum of 10 points)		
(ii) Published as a full paper	Up to 1 point each# (No Limit)		
c. Chapters in books published by (i) Reputed publishers	Up to 4 points each# (No Limit)		
(ii) Other publishers	Up to 2 points each# (No Limit)		
d. Books and/or textbooks published in the area of expertise by** (i) Reputed publishers	Up to 6 points each# (No Limit)		
(ii) Other publisher	Up to 3 points each# (No Limit)		
e. Citation of applicant's work published in the year of award (i.e. 2016) in refereed journals and scholarly publications (excluding self-citations) until the closing date of applications.	0.5 point each (up to a maximum of 5 points for repeated citations per paper) (No Limit)		
f. Recognized international/national awards for academic and research activities during the year of awards	Up to 3 points each <i>(excluding awards from UWU)</i> (No Limit)		
g. Editing of journals/books	Up to 1 point/journal/year		

Annexure 09

(i) Editor-in-Chief of journals published at least twice a year	(Maximum of 04 points)		
(ii) Editorial Board Member/Reviewer of journals published at least twice a year	Up to 0.5 point/journal/year (Maximum of 02 points)		
h. Number of graduate students supervised and graduated in the year of award***	Up to 4 points per PhD Up to 2 point per MPhil or Masters by research of 2 or more years duration Up to 1 point per Masters of 1 year duration with a research component. (Maximum of 20 points)		
i. Patents arising from research obtained in the year of award ****	Up to 4 points each (No Limit)		
j. Grants obtained in the year of award			
(i) Funds received from international sources	4 points per each grant (No Limit)		
(ii) Funds received from national sources other than those from UWU capital grant	2 points per each grant (No Limit)		
(iii) Funds received from UWU capital grant	1 points per each grant (No Limit)		
Total Points			

* For publications, marks will be awarded as follows:

- a) Single-authored papers, the author will receive 100% of the marks awarded for the paper.
- b) Publications with one additional author will receive 60% of the marks for the first author and 40% marks for the second author.
- c) Publications by more than two authors will receive 40% for the first author and equal balance share for other authors.

- When marks for a publication in an indexed journal are claimed, the applicant must produce evidence that the journal claimed are published at least twice a year and are indexed.
- Acceptable Indexing Services: Science Citation Index (SCI & SCI Expanded), Social Sciences Citation Index (SSCI), Arts and Humanities Citation Index (AHCI), Elsevier's Scopus and ScienceDirect Recognized index journals are listed at http://ip-science.thomsonreuters.com/mjl/#journal_lists

#Marks will be divided as per the journal articles when number of authors is more than one.

** Books/Textbooks should have an International Standard Book Number (ISBN).

***It should be stated whether served as the principal supervisor or as a co-supervisor. The principal supervisor is given full marks while the co-supervisor gets 50%.

Annexure 09

****Marks will be the same whether it is single ownership or joint ownership.

2) *The Most Outstanding Young Researcher of the Year*

- Applicant should be <40 years of age on the closing date of applications.
- Criteria are similar to those of the Most Outstanding Senior Researcher Award.
- All achievements during the year of award (i.e. 2016) will be considered.
- General guidelines for applicants on UWU Research Awards are applied.
- A minimum of 20 marks is required to qualify.

Annexure 10

Office use only



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Application Form for UWU Research Awards

(Submit one application form for each category)

Section A (Personal Information)	
1. First Name: Click here to enter text.	2. Last name: Click here to enter text.
3. Full Name: Click here to enter text.	
4. Name with initials: Click here to enter text.	
5. Date of Birth(dd/mm/yyyy): Click here to enter text.	6. Age in years*: Click here to enter text. *(as deadline of application)
7. NIC No.: Click here to enter text.	
8. Postal address (Home): Click here to enter text.	
9. Mobile No.: Click here to enter text.	10. Email*: Click here to enter text. *(compulsory-@uwu domain)
Academic Staff	
11. Faculty: Choose an item.	12. Department: Choose an item.
13. Profession: Choose an item.	
Administrative Staff	
14. Division: Click here to enter text.	15. Profession: Choose an item.

Section B (Category of Award Applied for)
<i>**Please tick the box of the category applied for.</i>
1. A full article published in a Refereed <u>Non-indexed</u> Journal <input type="checkbox"/>
2. A full article published in a Refereed <u>Indexed</u> Journal <input type="checkbox"/>
3. Researcher having the highest citations for the year <input type="checkbox"/>
4. Vice Chancellor's Award for the Most Outstanding Senior Researcher of the year <input type="checkbox"/>

Annexure 10

5. Vice Chancellor's Award for the Most Outstanding Young Researcher of the year

Category 1:

A Full Article Published in a Refereed Non-indexed Journal

1. Name of the Journal: *Click here to enter text.*

2. Publisher: *Click here to enter text.*

3. Title of the Article as in the Journal: *Click here to enter text.*

4. Authors and Affiliations as in the Journal: *Click here to enter text.*

5. Abstract: *Click here to enter text.*

6. Please attach a hard copy of the article.

**** Please complete Section C and D.**

Annexure 10

Category 2:

A Full Article Published in a Refereed Indexed Journal

**Recognized index journals are listed at http://ip-science.thomsonreuters.com/mjl/#journal_lists

- Acceptable Indexing Services: Science Citation Index (SCI & SCI Expanded), Social Sciences Citation Index (SSCI), Elsevier's Scopus, ScienceDirect, Arts and Humanities Citation Index (AHCI).

1. Name of the Journal: *Click here to enter text.*

2. Publisher: *Click here to enter text.*

3. Impact Factor of the Journal#: *Click here to enter text.*
(#Refer the official home page of the publisher)

4. Home Page URL of the Journal: *Click here to enter text.*

5. DOI number: *Click here to enter text.*

<http://www.doi.org>

6. Title of the Article as in the Journal: *Click here to enter text.*

7. Authors and Affiliations as in the Journal: *Click here to enter text.*

8. Abstract: *Click here to enter text.*

9. Please attach a hard copy of the article.

**** Please complete Section C and D.**

Annexure 10

Category 3:

Researcher having the highest citations for the year 2016

(One Award for each Department)

Note: A minimum of 10 citations, excluding self-citations is required to qualify

****Please give at least one of the followings.**

1. Researcher ID URL: [Click here to enter text.](#)

<http://www.researcherid.com>

2. Scopus ID URL: [Click here to enter text.](#)

<http://www.scopus.com>

3. Google Scholar URL: [Click here to enter text.](#)

<http://www.scholar.google.com>

4. SSRN ID URL: [Click here to enter text.](#)

<http://www.researcherid.com>

Total No. of Citations in 2016 excluding self-citations: [Click here to enter text.](#)

**** Please complete Section C and D.**

Annexure 10

Category 4:

Vice Chancellor's Award for the Most Outstanding Young Researcher of the Year[#]

[#]Applicant should be <40 years of age on the closing date of applications.

Follow the Guidelines for Vice Chancellor's Awards (<http://www.uwu.ac.lk>) and **submit a self-assessment form with proof.**

Note: A minimum of 15 marks is required to qualify.

1. Total marks claimed by the applicant: [Click here to enter text.](#)

**** Please complete Section C and D.**

Annexure 10

Category 5:

Vice Chancellor's Award for the Most Outstanding Senior Researcher of the Year[#]

[#]No faculty member may receive this award more than once in every five (05) years.

Follow the Guidelines for Vice Chancellor's Awards (<http://www.uwu.ac.lk>) and **submit a self-assessment form with proof.**

Note: A minimum of 20 marks is required to qualify.

1. Total marks claimed by the applicant: *Click here to enter text.*

**** Please complete Section C and D.**

Annexure 10

Section C	
I hereby certify that the information contained in this application is true and accurate to the best of my knowledge and belief. I understand and agree that any false information, misrepresentation, omission of facts and failure to provide all or part of the information requested shall be considered as a cause for disqualification of my application.	
..... Date Signature of the Applicant

Section D	
HEAD OF THE DEPARTMENT /DIVISION	
Name of the Department (For Academic Staff)	Choose an item.
Name of the Division (For Administrative Staff)	Click here to enter text.
Name of the Head of Department/Division	Click here to enter text.
..... Date Signature of the Head of Department/Division
DEAN OF THE FACULTY (For Academic Staff)	
Name of the Faculty	Choose an item.
Name of the Dean of the Faculty	Click here to enter text.
..... Date Signature of the Dean of the Faculty

Notes to the Applicant:

- 1) **Submit one application form for each category of awards.**
- 2) Print page 1, relevant pages related to the category of awards you are applying and page 7 (Section C and D) and submit a hard copy of your application **in a sealed envelope** to Chairman/UWU Research Awards Committee on or before the deadline.
- 3) The cash prizes are subjected to change depending on the availability of funds.
- 4) The decision of the Research Committee of the University shall be final.
- 5) Closing date: **Will be provided by the Research Awards Committee.**
- 6) If you have any queries, please contact;
Chairman, Research Awards Committee