PREAMBLE

1. With the growth of the University, it has become necessary to make more explicit the responsibilities of academic and senior administrative staff members and to provide a general statement of the nature of a university appointment. The purpose of this document is to set out the basic principles to be followed.

2. The University of the West Indies is a self-regulating community which exists in order to:-

   (a) Provide a place or places of education, learning and research of a standard required and expected of a university of the highest standard, and to secure the advancement of knowledge and the diffusion and extension of arts, science and learning throughout the contributing countries.

   (b) Continue and expand its work and activities and, by the example and influence of its corporate life, to promote wisdom and understanding throughout the contributing countries. (The Charter of the University of the West Indies, article 2)

The Mission and Functions of the University of the West Indies

3. The mission of the University of the West Indies is to unlock the great potential for cultural, economic, intellectual, social and spiritual growth in the Caribbean, by high quality teaching and research. It aims at meeting the critical needs of the region, by providing the West Indian society with an active intellectual centre and by linking the West Indian community with distinguished centres of learning, research and teaching in the Caribbean and beyond.

4. While its functions are to foster and conduct free enquiry and research and to engage in teaching in a disciplined and scholarly manner, the University recognizes that as a regional University supported primarily by the Governments and peoples of the West Indies, it should be equipped to
meet local requirements, and should, in giving priority to regional needs, relate its own developmental programmes to the needs of the West Indies as far as possible.

5. To this end, the University has obligations to assist in the establishment of learned journals and societies, to help to institutionalize scholarship in these societies, and to assist in the formulation of social policy. In addition, University teachers may be asked, and within the existing University rules are free, to bring their professional skills and talents to bear on the many problems of the developing community.

6. The academic staff member holding a university appointment has no exact counterpart elsewhere. Because of the nature of the university as an institution of intellectual enquiry, they require distinctive freedom in the use of their time and in the direction of their enterprise; at the same time, they must accept the responsibility of ensuring that their time is well spent and that their enterprise is directed fruitfully. This concept of freedom, coupled with responsibility, is embodied in our university customs and traditions.

Academic freedom

7. The University supports academic freedom, which means the freedom to study, teach, publish and debate, independent of current opinion, subject to commonly accepted scholarly standards. The right to academic freedom carries with it the duty to use that freedom in a responsible and ethical way. Specifically, and without limiting the generality of the above, academic freedom entitles all academic staff members to freedom in carrying out their activities, in pursuing research and scholarship and in publishing or making public the results thereof and freedom from institutional censorship. Academic freedom does not require neutrality on the part of the individual. Academic freedom makes commitment possible, and carries with it the duty to use that freedom in a manner consistent with the scholarly obligation to base scholarly and teaching on an honest search for knowledge.

Responsibilities of the Academic to the University

8. The responsibilities of an academic staff member are essentially determined by the responsibilities and commitments which the University itself undertakes in order to fulfill its role in society. The University, as an institution of intellectual enquiry, functions to the benefit of society through the combined efforts of its individual members.

9. Academic staff members are expected, during their period of responsibility, to devote all their professional endeavors to the purposes of the University, as described in the whole of this statement. Such endeavors should be exercised to the best of their abilities and in a manner consonant with their right to free enquiry and with their membership in the University community.

10. A full-time academic appointment entails a year-round commitment to these responsibilities, unless the individual academic staff member has a written agreement with the University to the contrary.

11. The University is committed to use its resources so as to optimize the quality of work done by all its academic staff members. It undertakes to develop, with thorough consultation and careful planning, those facilities, services and procedures which are conducive to excellence in the activities undertaken.

Outside Work/Consultancies

12. It is well-known and generally accepted that extra-University involvement has certain positive characteristics and can play an important role in the academic life of the University. For instance, it can:

(a) Promote interaction between the University and the non-University world to the benefit of both;
(b) Facilitate the placing of students in temporary or permanent employment;
(c) Aid in the discovery of research and thesis problems;
(d) Contribute to the professional development of an academic staff member through the acquisition of new skills and techniques;
(e) Provide an additional opportunities for the staff member to apply knowledge to practical situations.

13. Such activities, which may or may not involve financial remuneration, are hereinafter called consulting and may include:

(a) the giving of professional advice in areas of the staff member's expertise to clients whether in personal matters, industry or government;
14. In order that a staff member may properly fulfill responsibilities to the University, in the areas of teaching, research and administration, such activities beyond normal commitments should not be excessive. The distraction of non-University occupations, the expenditure of emotional energies, the obligations contingent on accepting external fees and salaries may all interfere in the proper discharge of the primary University duties.

15. The new regulations on Consultancies attached as Annex 1 are concerned with establishing the appropriate level of outside service, so that a staff member’s direct service to the University through teaching, research and administration is assured, while the contributions made through consulting are adequately recognized.

The University Teacher and Political Activity

16. Direct political involvement is a matter for the individual. A university teacher who engages in direct political activity should do so in a manner compatible with his or her academic profession and within the legal framework of a constituted government of the area. All governments that contribute to the revenue of the University are expected both to preserve the legitimate freedom of the individual and to guarantee the right of individual expression outside of the University context.

17. The University as a developing community inevitably becomes involved in the many problems of the community, and members of staff are expected to bring their professional skills and talents to bear on these problems.

18. Members of staff should not use the privilege of their institutional affiliations for partisan or personal ends where they engage in public affairs, e.g., in writing to or for the press they should not seek to identify their personal point of the view with that of the University.

19. The University cannot guarantee support for any of its members for consequences which flow from their political activity. In this respect, the individual teacher of researcher who accepts a personal role of political activity, accepts as well a personal responsibility. Above all, the University cannot offer support for any advocate of violence.

20. The prime loyalty of University teachers is to their profession and University. Members of staff of the University of the West Indies are free to seek political and public office within the rules of the University in force at any particular time. In exercising this right they are expected to use their discretion and to consider their academic reputation and academic affiliation.

21. University employers should not accept public office unless they are satisfied that such acceptance would not place them in conflict with the University.

22. While holding public office, the University teachers should exercise their discretion in using information gained within the University in the political field, so as not to abuse any confidences. They should not condone attacks on the University or on their colleagues which they know or believe to be unfounded.

Conflicts of Interest

23. The University acknowledges a commitment, as part of its overall mission, to transfer knowledge, discoveries and technology to society for its benefit. Interaction of members of the University with external entities is desirable and encouraged when the activity is beneficial to the professional standing of the individual, the reputation of the University, or provides a community or professional service. Whatever the nature of the external activities or relationships, the University expects each of its members — academic and senior administrative staff, students and other officers — to act in a manner consistent with a high standard of integrity and ethical behaviour. Accordingly, the University of the West Indies obligates its members and officers acting on its behalf to avoid ethical, legal, financial or other conflicts of interest which may impede or compromise their University responsibilities or the mission of the institution.

24. A conflict of interest or a potential conflict, exists when a member of the University is or may be in a position to use research, knowledge, authority, or influence for personal or family gain or to benefit others to the detriment of the institution.

25. A policy on conflicts of interest is meant to protect both the individual and the institution. Its fundamental tenet is that members should, of their own volition, take the initiative in disclosing conflicts or potential conflicts of interest situations. The mere existence of a conflict or a potential conflict does not necessarily imply that the activity concerned should cease. Accordingly, any member of the University community with a conflict or
potential conflict should seek the counsel and advice of his or her immediate supervisor and disclose the details to that individual. A disclosure form is available for this purpose. (See Annex 2).

Ethical Behaviour/Research

26. Research in the University is relevant for the general benefits of society, as well as for specific intellectual purposes. It should be used to increase knowledge in ways that do not harm society.

27. The University recognizes that research flourishes only in a climate of academic freedom. Since the conditions for good research in our many disciplines are quite different, individual investigators are normally expected to assume direct responsibility for the intellectual quality of their work. A serious responsibility rests on the individual members of the academic community who are best equipped through special knowledge to remain aware of the consequences of their research activity; the researcher must balance the possibility of harmful application against potential benefits.

28. The University for its part should ensure that the welfare of human subjects who participate in research carried out by staff and students is safeguarded. The conscience of each investigator in applying ethical principles is the single most important protection for the welfare of human subjects. Such principles include privacy, confidentiality of research information, the right of subjects to information about experimental procedures, respect for subjects' psychological well-being and respect for social stability. The University must ensure that each investigator's ethical decisions have been confirmed or modified by the informed and dispassionate advice of peers who are not directly involved in the research. Guidelines on Human and Animal Subjects in Research, as submitted by the Ethical Committee of the Faculty of Medical Sciences, to be approved by F&GPC, will be incorporated by reference into this Statement.

The University policy on student involvement in research is attached as Annex 3.

Intellectual Property

29. A University policy on Intellectual Property has been approved and is hereby incorporated by reference into the Statement.

General Principles of Ethical Behaviour and Good Relationships

30. The University, in seeking to achieve its mission, further its goals and realize its commitments to intellectual enquiry, the provision of instruction and supervision to all registered students, and the maintenance of high standards in all its pursuits, aims to create an environment of tolerance and respect, believing that the right of individuals to advance their views openly must be upheld throughout the University.

31. Realization of these intentions requires respect for the following general principles:-

(a) That each member of the University endeavors to contribute to the existence of a just and supportive community based on equality and respect for individual differences.

(b) That the University support academic freedom.

(c) That the right to academic freedom carries with it the duty to use that freedom in a responsible and ethical way.

(d) That no member of the University community (academic, administrative, non-academic staff, student) unduly interfere with the study, work or working environment of other members of the University. This shall be taken to apply to both Campus-based activities and official off-Campus activities and functions, such as programmes and course-related field trips.

(e) That those with academic or employment supervisory authority use such authority, both on Campus and off, solely for the purposes explicitly stated or implied in University policies and regulations and with regard to the overall aims and purposes of the University. In this principle, two kinds of supervision are considered, viz, academic and employment on the one hand, and three groups of people, viz, academic staff, administrative and non-academic, and students on the other.

32. The University of the West Indies, desires to create a work environment which supports, nurtures and rewards its members on the basis of such relevant factors as work performance and achievements. Sexual harassment, discrimination on the basis of race, ancestry, place of origin, colour, ethnic origin, creed, sex, marital status, sexual orientation, family status or disability, the abuse of supervisory authority, and other forms of
misconduct, are inimical to this environment. Members of the University community are expected to act responsibly in all matters relating to alcohol consumption and the use of any other substances. Smoking in public areas is also inimical to a healthy environment.

(Part III of Ordinance 8 sets out in detail the procedures to be followed in cases of misconduct.)

Staff-Student Relations

33. The staff-student relationship is a special one, involving some measure of confidence between the parties. Partly owing to this confidence and partly to the risk of misrepresentation where statements are quoted out of context, neither party should publish outside the classroom opinions expressed by the other therein, without first obtaining the permission of the other. The teacher, in his or her capacity as a teacher, has the right and duty to encourage the pursuit of learning and to stimulate profound inquiry among his or her students, but whilst reserving his or her rightful exercise of free speech as a citizen, he should not appear to choose dogmatically between conflicting policies or ideologies. The line is a difficult one to draw and will often involve questions of temperament and judgement and will often call for self-restraint.

34. The special relationship should not be used by a teacher for the purpose of religious, political, or racial propaganda.

35. The staff-student relationship is also one of inequality, in which the member of the staff usually possesses the advantage. Staff should therefore be scrupulous not to exploit the relationship to their advantage and in their published work should make appropriate acknowledgement of any assistance they have received from students. All students are entitled to equality of opportunity and nothing should be done to favour a student or group of students above others.

36. Members of staff should respect the right of student organization to autonomy and should not attempt to manipulate the policy of such organizations.

37. Members of staff should not condone or encourage violation of rules made in respect of the student community.

38. Members of staff are expected, by means of personal conduct and example, to contribute to the general well-being and development of the University community.

Relationship of Colleagues in the Academic Community

39. It is a duty of university teachers to do research and to present their material in scholarly ways. It is recognized that criticism is legitimate within the academic community, but care must be exercised in the way criticisms are expressed. Criticisms of colleagues should be restricted to relevant scholarly and academic matters, and should always be made in a spirit of mutual respect.

40. Normal academic practice in the various disciplines should be followed in these matters, and it is expected that senior members of staff would consider it their duty to advise their less experienced colleagues. Due acknowledgement for assistance in research and facilities of all kinds should be recorded in all publications. In cases of joint work leading to publication or exposure in any form, due credit should be given to each of the contributors, according to their fair measure and genuine input.

41. The Deans of Faculties provide leadership for the Faculty and for the University. Deans should possess the ability to create environments conducive to the growth of intellectual life within the Faculties and to maintain the confidence and cooperation of their colleagues.

42. Heads of Departments should acquaint themselves with the rules of the University and should act as guides to their colleagues, in the maze of University administration. It is the duty of Heads of Departments to advise their less experienced colleagues in academic and administrative matters. In particular, they should keep members of their staff informed about the mechanism and criteria by which their academic performance is assessed.

43. Senior members of staff are required, from time to time, to assist in administrative duties such as, service on Academic Boards and Committees of the University, and as Departmental Heads or Faculty Deans.

44. The participation of the junior staff members in administrative duties should be kept to a minimum so as to allow them every opportunity to establish themselves as teachers and researchers.
Relationship of Members of the Academic Staff to the General Extra-University Community

45. The University teacher has an important role to play in the development of the community. However, they have special responsibilities as a University teacher to their discipline and their academic institution. They make important contributions to the development of the society in which they live by performing their academic duties fully and well.

46. Voluntary efforts over and over what is called for by terms of their appointment is at the discretion of the individual member of staff. Insofar as they seek to strengthen the extra-curricular activities of the University as they reach out into the larger community, their work is governed by rules and principles of the University in force at any particular time.

47. When University teachers elect to contribute to the overall development of the society in which they live, they should do so in a manner commensurate with their status as University teachers. Their extra-university contributions should have the same attributes that mark the discharge of their university functions, viz, objectivity, impartiality in assessing evidence, logical reasoning and integrity.

48. Recognizing that professional commitment often takes members of staff into the extra-university community, the University consequently takes into the account the quality of their public activity and contribution to the community as scholars in assessing their performance and their claims for advancement.

ANNEX 1
EXTRACTED FROM
THE RULES FOR ACADEMIC AND SENIOR ADMINISTRATIVE STAFF
Approved by Finance and General Purposes Committee (F&GPC)
October 8, 1999

WORK OUTSIDE THE UNIVERSITY/CONSULTANCY RULES

Work within the scope of the profession of the member of staff

35. Full-time members of staff may in the circumstances given below undertake work which is within the scope of their profession for persons or bodies outside the University. Fees or other remuneration may be received for such work but permission to undertake the work must be obtained in advance, as required in the following paragraphs.

Published Work, Writings, Broadcasts, Examining, Extra-Mural Lectures, Special Lectures

35. (a) Permission to undertake work of this nature need not be obtained, provided the Head of Department or Vice-Chancellor or Campus Principal, in the case of a Head of Department, remains satisfied that the performance of the University duties expected of the member of staff is not thereby adversely affected.

(b) The member of staff is entitled to receive and keep any remuneration payable for such work, provided that, where any publication has been assisted by a grant from the University, the refund of such grant is to be considered as a first charge on any fees or royalties received, and provided an appropriate payment is made to the relevant departmental account for the use of University facilities, services, equipment and materials.
Regular Teacher Commitment

37 (a) A member of staff who wishes to undertake regular teaching commitments outside the University must apply to the Vice-Chancellor or Campus Principal through his Head of Department. Permission will be granted only if assurance is given and accepted that the work of the Department concerned will not be unduly affected.

(b) Any remuneration for such approved work may be retained by the member of staff concerned.

(c) A member of staff may not accept payment for any extra tuition given to students of the University.

CONSULTANCY RULES

38. The Consultancy rules are as follows:

Definition of Consulting

(a) For the purposes of these regulations, consulting by a staff member shall include all activities that are conducted on behalf of persons or bodies outside the University that fall into the area of competence related to the staff member’s regular academic duties in the University, and that are not part of grants or agreements between the University and outside persons or bodies.

Substantial consulting

(b) For the purposes of these regulations, the term ‘substantial consulting’ refers to consulting that is so extensive as to suggest the possibility of interference with the performance of the staff member’s normal academic duties. Without limiting the above, consulting activities in excess of one day a week shall be considered as substantial.

(c) It is the responsibility of staff members to initiate discussions with their Deans as to whether their consulting activities are substantial.

(d) Staff members are required to inform their Heads/Deans in writing of any consultancy which they intend to undertake, its duration and their arrangements to ensure that their University work obligations are dutifully and diligently carried out. Staff members shall not compete, in their personal capacity, with the University for consultancies. Staff shall not undertake substantial consulting without the written approval of their Head of Department or Deans. In cases where the Head of Department of Dean so requests, for professional reasons, the approving authority may be the Campus Principal. The relationship of the work proposed to the staff member’s area of specialization, and to their academic duties, shall be important considerations in the approval process.

Leave of absence

39. If consulting involves repeated absences from the University for sustained periods of time so as to interfere with the performance of the staff member’s academic duties, the staff member shall be expected to apply for a leave of absence, a reduced work load or part time appointment.

Use of University facilities

40. Staff members shall obtain prior approval of any consulting commitment that will involve more than an inconsequential use of university facilities, supplies and other services, include those rendered by the support staff, without making appropriate financial arrangements in advance.

Payment into Departmental account

41. (a) Members of staff shall pay by August 1st of each year, not less than 15% of the net earnings made in the previous twelve months, together with an appropriate payment, where applicable, to the fund or relevant departmental account for the use of the Faculty’s/Department’s equipment, materials and services.

(b) A member of staff is free to make additional contributions to the Fund on a voluntary basis. The cost of administering the Fund shall be borne by the Fund.

Disbursements from the Fund

42. Every full-time member of the Faculty may apply for a disbursement from the Consultation Fund, whether or not that
member of staff has made any contribution to the Fund. Members of staff will be allowed to withdraw sums from the Fund in accordance with the approved Faculty rules.

43. Normally the Funds are used for the following purposes:

(a) travelling to conferences and other research activities;

(b) payment of journals of learned societies, provided that such journals become the property of the University;

(c) payment of membership fees to professional societies, provided that the particular membership is in the best interest of the Department;

(d) reasonable travel in connection with consultations;

(e) professional insurance for members of the University staff;

(f) honoraria for special services in connection with research.

Reporting obligations

44. (a) Staff members shall report annually on their consulting activities. Such reports shall set forth the time spent, the distribution of the consulting activities through the year, the nature of the work, the allocation of time between the public and private sectors, and the identity of the clients. However, the names of clients or sponsors in situations where established professional secrecy or discretion normally prevail, will not be reported.

(b) The reports shall also include other information such as details on frequent travel, ethical issues and periods of intense activity which may have affected the staff member’s academic duties, which may be relevant to an evaluation as to whether the consulting has been of overall benefit to the University. In addition, the individual Faculties may, by resolution of Faculty Boards, require additional information.

(c) The Dean/Head of the University should be responsible for monitoring these reports and for reporting to F&GPC on consultancies undertaken by members of the staff.

(d) The report submitted by the staff members shall be summarised in suitable form in the Annual Reports of Departments or Faculties. If the staff members wish to include information on their consulting activities in their dossiers for consideration of tenure or promotion, the full reports submitted to the Deans shall be made available.

Further guidelines

45. (a) When consulting, staff members shall not purport to represent the University unless expressly authorized to do so by their Deans.

(b) Staff members shall not use university stationery for consulting purposes without the written approval of their Deans.

(c) Except for occasional lectures, seminars of scholarly presentations, staff members shall not teach at other institutions without the prior written approval of their Deans.

(d) Notwithstanding the definition of consulting in clause 38(a), the present regulations shall be applicable in matters of copyright. Where members of the academic staff spend a substantial amount of time on activities related to the preparation of copyright items such as books, records, films or software items, not directly related to the performance of their academic duties, they are expected to make full disclosure of these activities to their Head of Departments. A ‘substantial amount of time’ shall be determined by the definition of ‘substantial consulting’.

(e) Consulting and other clinical activities undertaken by full-time members of the Faculty of Medical Sciences shall be governed by the regulations and procedures of the Faculty of Medical Sciences and its teaching hospital. Special arrangements for consulting may be made for other professional Faculties with the approval of Council.
# ANNEX 2
THE UNIVERSITY OF THE WEST INDIES
CONFLICT OF INTEREST DISCLOSURE FORM

<table>
<thead>
<tr>
<th>YEAR:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>NAME</td>
<td></td>
</tr>
<tr>
<td>POSITION</td>
<td></td>
</tr>
<tr>
<td>DEPARTMENT/FACULTY</td>
<td></td>
</tr>
</tbody>
</table>

1. **Compensated External Professional Activity**
   (Consulting, Board Memberships, Teaching etc.)

<table>
<thead>
<tr>
<th>Client/Sponsoring Organization</th>
<th>Nature &amp; Extent of Work and Relationship</th>
<th>Description of Conflict of Interest, or Commitment</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

2. **Business Interests and Relationships**
   (Personal, Family or Other)

<table>
<thead>
<tr>
<th>Company/Other Entity</th>
<th>Nature &amp; Extent of Involvement</th>
<th>Description of Conflict or Potential Conflict</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

3. **Other External Activities**

<table>
<thead>
<tr>
<th>External Entity</th>
<th>Description of Activity</th>
<th>Nature of Conflict</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Office of Administration
ANNEX 3
POLICY ON STUDENT INVOLVEMENT IN RESEARCH

The following policy relates specifically to undergraduate and graduate students who are engaged in research as part of their university programs. Some sections also apply to those cases where an investigator enlists the services of an inexperienced person as assistant, technician, trainee, etc. in connection with a research project.

Health and Safety

1) It is the responsibility of the investigator to implement all possible measures that will ensure the health and safety of his/her research colleagues. Such measures include:
   a) Strict adherence to the safety procedures set forth in any regulations of the building in which the research is being carried out.
   b) Careful training of all new personnel in the correct usage of equipment and materials.
   c) Provision of adequate protective clothing, first aid kits, etc. and their regular inspection.
   d) Clear precautionary labelling of containers of hazardous materials.

2) Students, especially undergraduates, tend to have only temporary involvement with a research project and may be absent during routine safety drills. Particularly, attention should be given to the instruction of each beginning student. Solitary work in laboratory containing potential hazards should be strongly discouraged. Research projects shall avoid a requirement for solitary after-hours work.

3) Where research projects involve the use of specially hazardous materials (e.g. radioactive, carcinogenic or poisonous chemicals) departments shall ensure that students have signed a statement that they have received and read appropriate health and safety information.

Academic considerations

1) When a student assists in a research project, a clear distinction should be made between work for which the student is paid, and research training which contributes to the student’s academic programme.

2) As a general rule, paid work should not be considered eligible for credit towards an undergraduate course. In some departments, different arrangements have traditionally been held; in such departments open discussion should ensure that one policy is applied uniformly throughout the department and disseminated to students.

3) When a graduate student is assigned a salary or partial support by the investigator (e.g. from an operating grant or similar fund controlled by the investigator) a clear agreement should be made as to the duties expected or the work contributing to the student's thesis vis-a-vis the work contributing to the student's thesis.

Secrecy

When a student begins working with an investigator who may be funded in whole or in part by contracts, consulting agreements or grants from outside agencies, a clear agreement should be made at the outset as to the accessibility of research findings for publication.

Responsibilities of the Student

Academic freedom brings responsibilities to students and staff alike. Students should realize that the good name and research reputation of the University and its professor rests in large measure upon the quality of research done by its students.

Responsibilities of the University

1) The University shall inform students of all appropriate regulations and policies concerning research.

2) The University shall provide a safe research environment for student researchers.