



ZCAS UNIVERSITY

RESEARCH AND INNOVATION POLICY

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GENERAL POLICY INFORMATION

<i>Policy Name</i>	<i>Research and Innovation Policy</i>
<i>Policy Number</i>	<i>ZCASU/21/P08</i>
<i>Approved</i>	<i>10th December 2021</i>
<i>Version</i>	<i>1</i>
<i>Adopted</i>	<i>1st January 2021</i>
<i>Revised</i>	<i>Nil</i>
<i>Next Review</i>	<i>December 2024</i>
<i>Owner</i>	<i>Deputy Vice Chancellor - Research and Innovation</i>

1.0 DEFINITION OF TERMS

1.1 In the context of this documents, the following words have been explained as follows:

1.1.1 Commercialisation refers to the conversion of ideas into products, services, processes, or organised systems that can be marketed through licensing, sales, *spin-off*, or joint venture companies.

1.1.2 Contract Research refers to any research services utilising the University's resources and/or expertise for the third party in return of a financial fee.

1.1.3 Innovation refers to the creation and implementation of either forms of processes, products, services or new ways of delivery that can provide a significant improvement on results, efficiency, effectiveness or quality.

1.1.4 Intellectual Property refers to any intellectual property protected by the laws of Zambia that includes the findings that can be patented, *knowhow*, Copyright, Design, Design of Integrated Circuits and Trademarks.

1.1.5 Principal Investigator means the lead researcher in a research project who is responsible to manage an approved research project.

1.1.6 Project Leader means a person in charge of a project which may also mean the Principal Investigator in a research project.

1.1.7 Research can be broadly defined as a systematic and disciplined activity undertaken to create and advance knowledge. It involves various forms across disciplines including scientific and social research findings, the creation or refinement of concepts and theories, techniques

or compositions, or the extension of current understanding through critical analysis. The common features of research include a systematic and disciplined methodology, a commitment to publish the results of the findings and to be critically appraised in the peer review process.

1.1.8 Researcher refers to staff or students who conduct research. This can be any person appointed by the University including academic staff, non-academic staff, research fellows, or students of the University.

1.1.8 Research Output means social, economic and academic outputs. It can be in the forms of journal article, conference proceeding, presentation, poster, chapter, report, thesis/dissertation, book, performance (media art), media (film/television/video), artefact, software, dataset, figure, file set, composition (musical), internet publication, design, product and module.

1.1.9 Research Plan means the master research plan that is developed by each school or research project team to chart its research activities.

1.1.9 Student refers to a registered student at the University.

2.0 POLICY STATEMENT

ZCAS University (herein also called ‘the University’) is committed to enhancing its reputation and competitiveness locally and internationally through distinguished scholarship, research and innovation in line with its Strategic Plan. The University has adopted a robust approach to build an organisational culture which encourages research and innovation among its Researchers in order to contribute to knowledge creation and advancement.

The development of this Research and Innovation Policy reflects the University’s ambition to improve scholarship, research and innovation within schools, across schools and with external stakeholders. It provides a framework within which all research and innovation activities involving the University shall be developed, implemented, monitored and supported to achieve quality results as well as their dissemination, application and commercialisation. Responsibility for executing the Policy at institutional level lies with the Deputy Vice Chancellor - Research and

Innovation while the Deans of Schools assume ownership of and manage research operations taking place within their respective schools.

This Policy shall be read in conjunction with other related policies and regulations of the University. The Policy will also be considered in the light of the contracts of undertaking or agreements made with external parties.

3.0 PURPOSE AND OBJECTIVES

The aim of this Policy to help the University create and maintain a conducive scholarly environment which enables Researchers to carry out quality research and innovation activities. It provides an overarching framework for funding, collaborations, planning, coordinating, monitoring and supporting research and innovation activities undertaken within the University and with external parties. The objectives of the Policy are to achieve the following:

1. improve the University's research culture and practice;
2. enhance the quantity and quality of research activities;
3. improve research collaboration within the University and with external partners;
4. strengthen research management and coordination;
5. enhance research funding, utilisation and management;
6. promote intellectual property rights of Researchers and the University;
7. guide the dissemination and exploitation of research findings; and
8. ensure research and development activities are conducted within accepted norms.

4.0 SCOPE

The Research and Innovation Policy applies to all research and innovation activities involving the University and/or third parties. It covers activities of all Researchers who include academic staff, non-academic staff, research fellows (or associated staff) and students of the University.

5.0 PRINCIPLES OF THE POLICY

- 5.1 The following principles shall guide Research and Innovation in the University:
 - 5.1.1 Research can be interdisciplinary, discipline specific, field specific and subject specific, and must be aligned to the strategic thematic areas of the University.

- 5.1.2 Researchers need financial and/or technical support to engage in their research activities.
- 5.1.3 The University accepts research contracts that are consistent with its mandates, for which the required expertise, facilities, and services are available, and when mutually acceptable terms and conditions can be negotiated.
- 5.1.4 Research contracts must be negotiated in good faith, aligned with all applicable legislation and research implemented based on the agreed terms.
- 5.1.5 Research involves creative, innovative, systematic and original work.
- 5.1.6 Research includes basic, applied, strategic and reflexive scholarly activities.
- 5.1.7 Appropriate credits should be given where data and/or information obtained from other sources, studies or publications is/are included. Researchers must refrain from engaging in plagiarism, piracy or falsification of research results. Committing any of these actions is regarded as a serious disciplinary offence.

6.0 RESPONSIBILITIES

6.1 Council

University Council being responsible for the governance of the University approves the Research and Innovation Policy on recommendation from Senate.

6.2 Senate

- 6.2.1 Senate as the supreme authority on academic and research matters has responsibility for reviewing the Policy and recommending it to the University Council for approval.
- 6.3.2 Senate shall through its Research and Graduate Studies Committee and Research Ethics Committee ensure research is conducted ethically and meets high standards of quality.

6.3 Research and Graduate Studies Committee

- 6.3.1 The Committee presides over research activities conducted within the University and those done in conjunction with external parties.
- 6.3.2 The Committee advises Senate on the strategy, plans and quality of Research and Innovation activities in the University.

6.3.3 The Committee has the responsibility to evaluate research and make recommendations to Senate and Management.

6.4 Research Ethics Committee

6.4.1 The University shall have an Ethics Committee responsible to Senate for the ethical conduct of all research by carrying out the following duties and functions:

- i. ensuring that research conforms with proper guidelines for human rights, compliance with law, conflict of interest, safety and health;
- ii. protecting the University against potential legal implications due to unethical conduct in research involving humans and animal subjects;
- iii. caring for vulnerable individuals who need additional protection during research; and
- iv. ensuring that research conforms with any legal and regulatory requirements.

6.5 Deputy Vice Chancellor - Research and Innovation

The Deputy Vice Chancellor - Research and Innovation shall:

6.5.1 assume overall responsibility for the development and implementation of the Research and Innovation Policy at the University; and

6.5.2 coordinate and manage research projects involving external parties.

6.6 Researchers

Researchers, whether as Principal Investigators, Project Leaders, research team members or simply individual researchers, shall be responsible for conducting research in accordance with the approved protocols and ethical principles outlined by the University under this Policy. They shall ascertain clearance from the office of the Deputy Vice Chancellor - Research and Innovation on the terms of the research contract before starting a contract.

6.7 Deans of Schools and Heads of Departments

Deans of Schools and Heads of Departments are responsible for the management of research and innovation activities or programmes within their respective schools and departments.

7.0 PROCEDURES AND GUIDELINES

7.1 Research Funding

7.1.1 Research activities involving the University shall be financially supported using internal budget finance and external funding realised through research grants, contract research and commercialisation of intellectual property rights.

7.1.2 The allocation of all research funding shall be considered as an investment intended to maximise the range of outputs which the University expects to result from research and innovation activities.

7.2 Internal Research Funding

7.2.1 The University shall operate a Research Fund which shall serve as seed capital for the promotion of research activities. Each year, the University shall allocate at least 0.5% of its annual budget towards the advancement of research and innovation activities.

7.2.1 The University's Research Fund shall support research capacity building activities through conference attendances, facilitation of workshops and colloquiums; exhibitions; and publication related expenses such as refunds on publications. The Deputy Vice Chancellor – Research and Innovation shall ensure that a portion of the Fund is allocated to support external funding bids and collaborative research projects.

7.2.2 Disbursement of Research Fund shall be approved by the Deputy Vice Chancellor - Research and Innovation but in compliance with the University's policies, rules and regulations.

7.3 External Research Funding

7.3.1 Through its Researchers and Office of the Deputy Vice Chancellor - Research and Innovation, the University shall solicit external funding for research and innovation activities. Applications for any external research funding are to be submitted through the office of the Deputy Vice Chancellor - Research and Innovation who is also responsible for the administration of all research contracted by an external party.

7.3.2 Sources of external funding which the University shall explore include:

- i. grants from private sector organisations, non-governmental organisations and well-wishers;
- ii. national, regional and international funding; and
- iii. royalty disbursement arising from commercialisation of intellectual property as specified in the University's Intellectual Property Policy.

7.3.3 The Researcher who secures external funding may be appointed as Principal Investigator or Project Leader to fulfil the research obligation stated in the letter of undertaking and/or the funding agreement.

7.4 Management of Research Funding

7.4.1 The University promotes efficiency, accountability and prudent stewardship in the utilisation of internally and externally generated research funds in accordance with its core values. All Researchers are therefore expected to comply with applicable University policies and agreements made with external funders.

7.4.2 To ensure prudent disbursement of research funds, the following guidelines shall be implemented:

- i. administration of research funds shall be done according to existing financial regulations of the University;
- ii. procurement of research material and equipment shall be done according to the approved tender and procurement regulations;

- iii. utilisation of research funds shall be based on the approved budget and Research Plans; and
- iv. research funds shall be subject to internal and external auditing.

7.4.3 Considering that external research funding usually comes with specific third-party conditions attached to it, the office of the Deputy Vice Chancellor - Research and Innovation shall ensure that such conditions are clearly defined in the contract or memorandum of understanding. The contents of the contract or memorandum of understanding will typically, include:

- i. research budget;
- ii. overheads for administrative and other logistical costs;
- iii. issues pertaining to Intellectual Property Rights;
- iv. infrastructural development and training; and
- v. publication of the research materials.

7.4.5 External research financing or funding agreements shall be managed centrally by the office of the Deputy Vice Chancellor - Research and Innovation, while payments from external sources shall be made to the University through a specified bank account and not to Researchers.

7.4.6 The University reserves the right to take disciplinary or legal action against Researchers to recover any amount spent from the funding if they fail to deliver their obligations specified in the letter of undertaking or the funding agreement due to gross negligence or in the event of misappropriation of funds.

7.5 Research Collaboration and Partnerships

7.5.1 The University recognises the crucial role played by external parties in the implementation of the research agenda. It is therefore, the policy of the University to encourage Researchers to work with the office of the Deputy Vice Chancellor - Research and Innovation to explore and innovate ways of establishing research collaborations, networks and partnerships with relevant industry, local and foreign institutions, individuals and other bodies with shared interests in research and innovation.

- 7.5.2 In any collaborative agreement, the Deputy Vice Chancellor - Research and Innovation shall protect the intellectual property, integrity, and commercialisation or exploitation rights of Researchers and the University, by ensuring the following are clearly established before the commencement of a collaboration:
- i. the moral right, ownership rights and commercialisation/exploitation right of the intellectual property;
 - ii. the ownership and usage of assets;
 - iii. the rights of further Research and/or Development based on the output from; and
 - iv. the moral and ownership rights for publishing any articles in any publication.
- 7.5.3 The office of the Deputy Vice Chancellor – Research and Innovation, working with the collaborators, shall assume responsibility for preparing detailed deliverables of a collaboration between the University and collaborators, and ensure all legal agreements between them follow proper procedures outlined in the contract and memorandum of understanding.
- 7.5.4 The office of the Deputy Vice Chancellor - – Research and Innovation shall ensure maintenance of effective communication and relationship with collaborators, oversee execution of research and monitor the deliverables as outlined in the contract and memorandum of understanding.

7.6 Contract Research

- 7.6.1 The University recognises the many benefits associated with contract research and therefore supports and encourages staff involvement in research which is commissioned and funded, either wholly or partly by making available the University’s infrastructure and resources to be used in exchange for compensation.
- 7.6.2 In forming contracts/agreements for contract research, the University through the office of the Deputy Vice Chancellor - Research and Innovation shall ensure that the agreement amongst other items:
- i. specifies funding arrangements for research projects to be carried out;
 - ii. contains terms and conditions governing the conduct of the project;
 - iii. outlines obligations by the University and the funder;

- iv. outlines the work to be carried out;
- v. sets out the payment terms; and
- vi. defines publication and intellectual property arrangements.

7.6.3 Researchers who engage in contract research shall adhere to applicable agreements and approved research work plans.

7.6.4 The payment of incentives to Researchers involved in contract research shall be made by the University subject to provisions of the Contract Research and Consultancy Policy of the University.

7.7 Research Planning

7.7.1 All Researchers shall be required to develop their own Research Plans consistent with the University's Strategic Plan and approved strategic research thematic areas. The approval of Research Plans for activities to be undertaken within the schools shall be done by respective Deans of Schools while approval of those research activities involving external parties shall be done centrally by the office of the Deputy Vice Chancellor - Research and Innovation.

7.7.2 The University requires all academic staff to actively engage in research, carry out research based on the approved Research Plans and deliver the research outputs accordingly.

7.7.3 When carrying out research projects involving external parties, the University shall appoint a designated academic staff member to assume the role of Principal Investigator or Project Leader, who shall ensure that research activities are well planned, executed and outputs delivered accordingly.

7.7.4 Research plans shall be reviewed on quarterly basis or as need arises, and it will take into consideration the availability of funding or the type of funding secured.

7.8 Research Monitoring

7.8.1 Every research shall be closely monitored to ensure that the objectives are adequately met. In this regard, regular research monitoring reports shall be submitted to the respective Deans of Schools while any reporting requirements by external parties shall be

coordinated centrally at the University level through the office of the Deputy Vice Chancellor-Research and Innovation. Therefore, Researchers involved in externally funded research will submit reports to the Deputy Vice Chancellor - Research and Innovation through Principal Investigators or Project Leader

7.8.2 To support the process of monitoring research:

- i. Principal Investigators/Project Leaders shall be responsible for ensuring that their research activities are properly maintained, monitored and reported to meet the requirements of the research.
- ii. All Researchers shall ensure they abide by the rules, regulations and ethical requirements.

7.8.3 It is the duty of Researchers to disclose any Intellectual Property (inventions, technical data, copyright works, designs etc.), which have been developed in the course of the research project in sufficient details and as soon as practicable after the relevant facts have come to their knowledge as provided for in the Intellectual Property Policy of the University.

7.8.4 The University has the right to take appropriate disciplinary action and legal action, including retrieving the amount of grant spent, against any member of staff who does not abide by the requirements above.

7.9 Dissemination of Research Findings

7.691 Dissemination of research findings is an important aspect of research management. The University expects Researchers to disseminate their research findings provided they do not contravene this Policy or any other policy, rules and regulations of the University.

7.9.2 The University promotes the dissemination of research findings in many ways including using:

- i. institutional repository;
- ii. exhibitions;
- iii. attendance at local and international conferences; and
- iv. publications.

- 7.9.3 Dissemination of research publications using external international journals has been instrumental in the conveyance of research results of the University. In order to enhance its visibility locally and internationally, the University shall create a self-owned or jointly owned journal and uphold highest standards of academic publication to attract international scholarly articles and readership.
- 7.9.4 The University supports the hosting of research dissemination events and participation of Researchers therein so long they subscribe to this Policy and do not jeopardise or contravene the interests of the University. The University, through the office of the Deputy Vice Chancellor – Research and Innovation, shall regularly hold local and international events where research findings are disseminated. Such events may include but not limited to conferences, conventions, exhibitions, forums, lectures, seminars, sharing sessions, symposia or workshops.
- 7.9.5 Anyone organising an event to disseminate research findings shall inform the University through the office of the Deputy Vice Chancellor - Research and Innovation of any such event. In such instances, the following shall apply:
- i. the University shall have the right to charge a fee for any usage of its resources in the execution of the activity;
 - ii. all fees or payments made by or collected from the participating parties in the event shall comply with the University’s financial policies; and
 - iii. any profits made from conducting the event shall be subjected to the provisions of the University’s Contract Research and Consultancy Policy as well as the Intellectual Property Policy.

7.10 Application of Research Findings

- 7.10.1 It is the policy of the University to promote the application of research findings for commercial purposes in order to contribute to social, economic and technological development. The University shall therefore encourage exploitation of research findings through:
- i. Intellectual Property protection;
 - ii. technology development;

- iii. product development;
- iv. process development; and
- v. commercialisation.

7.11 Commercialising Research

7.11.1 Knowledge transfer activities which enable the use of research findings beyond academia offer significant benefits to Researchers and the University. Therefore, the University shall encourage commercialisation or exploitation of the research inventions in accordance with the policies of the University with the view to:

- i. open up new external collaborations and have access to data sets and funding sources;
- ii. provide opportunities for impact;
- iii. generate income; and
- iv. realise new areas of research activity.

7.11.2 The University, through the office of the Deputy Vice Chancellor - Research and Innovation, shall render assistance to Researchers who wish to have their inventions commercialised or exploited

7.12 Intellectual Property

7.12.1 Since intellectual enquiry activities can lead to the development of research and innovation outputs which create rights and interests on behalf of stakeholders and the University, the University shall facilitate, encourage, promote and safeguard scientific investigation and research and the freedom of its Researchers through having a clear Intellectual Property Policy. The Intellectual Property Policy of the University provides a framework through which ownership, protection, commercialisation and management of Intellectual Property created by Researchers is implemented.

7.12.2 The office of the Deputy Vice Chancellor - Research and Innovation shall manage the Intellectual Property Policy of the University, working in liaison with the Intellectual

Property Review Committee and the University's Legal Counsel to ensure decisions made conform to the legal provisions governing intellectual property rights.

7.12.3 Senate shall approve the composition, functions and terms of reference for the Intellectual Property Review Committee and be outlined in the University's Intellectual Property Policy.

7.13 Research Ethics

7.13.1 Researchers are required to balance the right to unrestricted academic enquiry with the ethical principles. Wherefore, prior approval from the Ethics Review Committee shall be obtained before commencing a research project.

7.13.2 Through the Ethics Committee, the University shall conduct ethical reviews for:

- i. research involving human participants, human tissue, material, remains or personal data;
- ii. any other types of research that might not involve humans but still raises other ethical issues or concerns. (For example, the research or results of the research may pose a risk of damage to the environment or cause political or social tensions or sensitivities or may impact on cultural heritage);
- iii. research involving animal/non-human organism; and
- iv. research involving living modified and biohazardous microorganisms.

7.13.3 While the Deputy Vice Chancellor - Research and Innovation shall ensure the development and distribution of the research code of ethics, the Ethics Committee shall monitor and review implementation in accordance with international and national guidelines.

7.14 Research Misconduct

7.14.1 The University shall apply strict disciplinary action to Researchers who violate the ethical principles and practices commonly upheld by the global community of scholars.

7.14.2 An inquiry consisting of preliminary fact-finding shall be set up by the office of Deputy Vice Chancellor - Research and Innovation to determine whether an allegation or an apparent instance of misconduct is serious and substantial. The outcome of an inquiry is a determination as to whether or not an investigation is to be conducted.

7.14.3 An investigation is a formal examination and evaluation of relevant facts to determine whether or not misconduct has taken place.

7.14.4 Research misconduct includes but not limited to the following:

- i. data fabrication: proclamation of non-existence study results.
- ii. data falsification, which includes altering of existing records.
- iii. plagiarism, which includes direct copying of textual materials, and using other individual's data as well as idea without his/her authorisation.
- iv. misleading ascription of authorship including the listing of authors without their permission, attributing work to others who have not in fact contributed to the research, and the lack of appropriate acknowledgment of work produced by others involved in the research, such as a research student/trainee or associate.
- v. misappropriation of research funds.

7.14.5 Any misconduct in research shall be dealt with by the University according to the set rules and regulations.

7.15 Consultancy

7.15.1 The University encourages its staff to undertake consultancy projects required by internal or external parties as part of their academic duties designed to help them:

- i. enrich their professional knowledge;
- ii. benefit from the available finance incentives; and
- iii. promote the University's alliances with industry and other institutions.

7.15.2 Each consultancy project shall have a Principal Consultant/Principal Investigator who shall report to the office of the Deputy Vice Chancellor - Research and Innovation and work in collaboration with the Research, Innovation and Consultancy office.

7.15.3 The engagement in this service attracts a commercial fee for both the staff involved and the University. Therefore, staff using resources of the University shall expressly seek permission from the University through the Deputy Vice Chancellor - Research and Innovation. In such a circumstance, the party demanding the service shall financially compensate the University for the use of its resources as enshrined in the Contract Research and Consultancy Policy of the University.

7.15.4 Consultancy contracts shall accordingly be negotiated in good faith, implemented in adherence with the agreement, while distribution of income shall be made subject to provisions of the Contract Research and Consulting Policy of the University.

8.0 REVIEW PERIOD

This Policy shall be reviewed every three years, or as soon as practical should there be a material change in any provisions of the policy.

9.0 RELATED POLICIES

This Policy shall be read in conjunction with the following related documents:

1. Intellectual Property Policy
2. Contract Research and Consultancy Policy



Prof. Douglas Kunda
VICE CHANCELLOR

25th November 2022

Date



Dr. Hapenga Monty Kabeta
COUNCIL CHAIRPERSON

25th November 2022

Date