



THE COPPERBELT UNIVERSITY
RESEARCH AND INNOVATION POLICY

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THE COPPERBELT UNIVERSITY

RESEARCH AND INNOVATION POLICY 2024

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Foreword by the Vice Chancellor

Research and innovation remain fundamental pillars of development, driving theories and practices from administration to politics and the economy of any state/country. The Copperbelt University, like any higher education institution anywhere in the world, is a centre for learning from the knowledge that is generated elsewhere and that which originates from within the corridors of the University. In order to maximize research output, the Copperbelt University has recognized and articulated research and innovation as a channel for the Growth of Scholars, Scholarship, Publications and Alumni in all its activities. It is envisaged that Scholars who include registered students (both undergraduate and graduate), academics, fellows and visiting researchers will exponentially grow through their participation in developing and implementing basic and applied research; and publishing with their peers. This focus on the growth of individuals strategically articulates the human element as a critical factor in the elevation of the global university ranking of the Copperbelt University. The number of books, journal and related peer reviewed publications cannot be the primary driver in our desire to have the University elevated amongst the ranking of Universities. The human element remains the critical factor that once fully up skilled and motivated will become an unstoppable engine of growth for the University.

Therefore, the articulation of this Policy does not stand alone but is matched by structural and other changes that are already taking place in the University.

This Policy is therefore intended to provide a mechanism that ensures that the interest of the University, individual researchers and students, fellows and collaborating partners are upheld and protected in terms of personal safety, intellectual property and other rights following the stipulations of the *Singapore Statement on Research Integrity* (www.singaporestatement.org). It therefore remains a fundamental milestone for the present and future growth of the University, its personnel and students and other individuals and institutions that the University collaborates with. Additionally, it ensures that even animal rights and the rights of other organisms that may be discovered in the exploration of the cosmos, are protected through the formulation, conduct and monitoring of research.

Prof. Imasiku Anayawa Nyambe
VICE CHANCELLOR

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Acronyms and Abbreviations

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|--------|---|
| CBU | The Copperbelt University |
| DRID | Departmental Research Innovation Committee |
| HEA | Higher Education Authority |
| IP | Intellectual Property |
| PI | Principal Investigator |
| RG | Research Group |
| R&I | Research and Innovation |
| SRIC | School Research Innovation Committee |
| TTO | Technology Transfer Office |
| URIC | University Research Innovation Committee |
| ZPPA | Zambia Public Procurement Authority |
| ZSG-QA | Zambia Standards and Guidelines for Quality Assurance in Higher Education |

Definitions and Terms of Use

- Collaborators** : refers to all persons who are neither employees nor Students of CBU who engage in work at CBU and include visiting professors, adjunct professors, Lecturers, researchers and volunteers.
- Collaborative projects** : Research projects where groups of people from the same institution/faculty or external institution work together in executing project activities.
- Commercialisation** : is a process of managing the transfer of research results and innovations to market applications through technology transfer, licensing and utilization of results for production enhancement.
- External collaborator** : Refers to any party or institution that is not part of the Copperbelt University engaged in collaborative research activities with university researchers or employees.
- Externally funded research** : Research activities that are funded by external entities through grants, or contracts
- Grant** : is a financial support given to an individual(s) or a group or institution conducting research in a particular subject area or field, without any formal detailed stipulations as to the direction of such research.
- Industry-academia partnership** : Refers to a mutual beneficial partnership between industry and university to advance research and create skilled workforce
- Innovation** : refers to a new idea, process, product or service that improves a way of doing things and can be scaled up commercially.
- Intellectual Property** : intangible assets arising out of creations of the mind and innovation
- Interdisciplinary research** : Research that draws from two or more disciplines

- Internally funded research** : Research projects that are funded by the Copperbelt University
- Invention** : indicates any discovery or development of a technical nature, whether patentable or not.
- Memorandum of understanding (MoU)** : a formal and mutual accord which outlines the details of contractual agreement between two or more parties.
- Research** : includes several activities that share the property of being innovative. Research includes:
- Basic research which is experimental or theoretical and aims at acquiring new knowledge or offering new interpretations;
 - Strategic research which is potentially applied but is in an area where the eventual applications are not clearly specifiable at the time;
 - Applied research which is work undertaken to acquire new knowledge and is directly aimed at practical and applicable objectives;
 - Near-market research which is innovative work aimed at generating or partially generating a specific product, artefact or idea for the commercial market;
 - Creative work, particularly in the arts and applied subjects;
 - Advanced pedagogic research of the type acceptable in national assessment exercises, including innovative research into teaching methodology and development of curriculum
- Patent** : the exclusive right granted by an authorized entity for an invention, that culminates into a product or a process that provides a new method to problem solving.
- Peer Review** : Academic evaluations of manuscripts by other scholars in the field, preferably carried out through the double-blind process, where the identity of the reviewer and of the author are unknown.

- Postdoctoral fellow** : a position that allows a PhD to continue their training as a researcher and gain skills and experience that prepares them for their academic and research career.
- Principal Investigator** : is an individual who assumes full responsibility for a research study.
- Research Coordinator** : individual responsible for the design, implementation, management, reporting and evaluation of research projects, typically at level of a senior member of staff.
- Research Excellence** : Refers to good quality research providing evidence that is robust, ethical, impactful, engaged, stands up to scrutiny and can be used to make and inform policy.
- Research Group** : is a research unit made up of members of the academic staff who share scientific objectives and are coordinated by a responsible researcher called Coordinator.
- Research Output** : any data, discovery, insight or other results arising out of a research project.
- Research Partnership** : a formal agreement between an individual or institution and Copperbelt University on a merit-based understanding to work together in implementing joint activities related to research with mutual benefits to both sides.
- Research Staff** : employees and associates engaged at the Copperbelt University to conduct and assist research on a full-time or part-time basis.
- Staff members** : Any person as appointed by the Copperbelt university on full time or part-time in various categories such as academic or professional support staff, or visiting scholars.
- Stakeholder** : is a person, group or organization with a vested interest, or stake, in the decision-making and activities of a business, organization or project of the Copperbelt University.
- Students** : Any person registered for full-time or part-time studies, distance, visiting or resident, engaged in research activities at Copperbelt University.

1.0 THE COPPERBELT UNIVERSITY STRATEGIC OBJECTIVES DEFINING THE RESEARCH FRAMEWORK

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| Vision | To be a Premier Institution in Teaching, Research and Innovation for National Development |
| Mission | To contribute to sustainable development through the provision of flexible and inclusive teaching, research and services that are innovative and entrepreneurial” |
| Shared Values | Creativity and Innovativeness; Entrepreneurship; Environmental sustainability; A Positive Attitude to Work; and Integrity and Professionalism |
| Strategic Objective Underpinning Research and Innovation | Enhance Research, Innovation, and Industrialization: <ul style="list-style-type: none">a) To increase the University’s research outputs with high societal impact for sustainable socio-economic developmentb) To Promote Innovation and protection of Intellectual Propertyc) To commercialise the University’s research outputs through innovation and entrepreneurshipd) To expand consultancy activities at the Universitye) To enhance international research collaboration and engagement. |

2.0 RESEARCH IN THE NATIONAL LEGISLATIVE FRAMEWORK

The Higher Education Act No. 4 of 2013 as well as Higher Education (Amendment) Act of 2021 stipulate the establishment and functions of higher education institutions in Zambia. According to Section 20C (1) of the Higher Education (Amendment) Act of 2021 the functions of higher education institutions are:

- (a) conduct research on specific topics required and responsive to national, regional and international requirements;*
- (b) provide facilities appropriate for the pursuit of research and for the acquisition of higher education in specific topics;*
- (c) create conditions and an environment for researchers to generate knowledge and pursue excellence; and*
- (d) promote and strengthen the impacts of research in the enhancement of social and economic development.*

Higher Education Authority (HEA) Zambia Standards and Guidelines for Quality Assurance in Higher Education (ZSG-QA) under Research and Innovation stipulates that a higher education institution shall promote and engage in research and innovation, consistent with its policies and strategic plans, and address societal needs. Further a higher education institution shall ensure that it has a research and innovation policy to guide students' and staff research among others.

3.0 LEGAL FRAMEWORK

The R & I Policy is governed by the rules and regulations of the Copperbelt University as well as the following national policies and laws, among others:

- i National Policies
 - a) National Research Agenda
 - b) National Science, Research and Innovation Policy of 2020
 - c) Revised National Intellectual Property Policy of 2020
- ii Laws
 - a) Biosafety Act 2007
 - b) National Health Research Act 2013
 - c) Higher Education Act No 4 of 2013 read together with HEA Amendment Act of 2021
 - d) Science and Technology Act of 1997

4.0 PURPOSE OF THE RESEARCH AND INNOVATION POLICY

This policy outlines the research and innovation policy framework for the Copperbelt University which is anchored in Senate regulations on research and the relevant sections of the legislation providing guidelines on higher education.

The *Policy* does not include an appendix with templates for application, admission, registering and approving research proposals, progress reporting etc. Such templates are subject to frequent change. The required standard forms and templates will thus have to be designed and approved separately.

5.0 GUIDING PRINCIPLES OF THE RESEARCH AND INNOVATION POLICY

The Research and Innovation Policy of the Copperbelt University is anchored in the following guiding principles

- a. Facilitate the existence of an environment conducive for excellence in research and innovation.
- b. Create a culture of research and publications.
- c. Provide a framework for inter-generational equity and multi-disciplinary research.

- d. Improve management systems for research and innovation that accompanies academic freedom and ethics.
- e. Ensure that the University remains relevant to the needs of society by generating knowledge and innovations that assist in solving and understanding socio-economic problems and challenges.

6.0 STATEMENT ON THE RESEARCH AND INNOVATION POLICY EXPECTATIONS

The research and innovation policy ensures coordination of policies that foster scientific research, education and skills development, information technology, intellectual property, technology commercialisation, ethics application and other regulatory policies in an integrated manner to drive economic development.

7.0 OBJECTIVES OF RESEARCH AND INNOVATION POLICY

The objectives of this policy are to:

- a. Establish principles and obligations for responsible research conforming to both national and international standards and norms.
- b. Stipulate guidelines for integrity and transparency in research and data management.
- c. Provide guidelines that ensure that the rights of researchers are protected.
- d. Establish guidelines for research mentorship and publications.
- e. Establish principles for the management of finances, property and other resources for research and innovation provided by the Copperbelt University and/or other agencies.
- f. Provide guidelines for the investigation and penalties related to scientific and publications misconduct.
- g. Enable commercialization of research outputs
- h. Drive the emergence of innovation hubs for the creation and diffusion of technologies, talent management and the promotion of innovation-driven entrepreneurship.

8.0. RIGHTS, OBLIGATIONS AND ACADEMIC FREEDOM

(i). Rights of Researchers

- a. Source technical and financial support from local and international organisations within the approved policy guidelines;
- b. Carry out both basic and applied research in their specialisations and within transdisciplinary frameworks;
- c. Take up membership of networks, associations and other professional groupings for the purpose of research, technical support, fund raising, publications, professional discourse and any other such activity as may enhance the research, publication and intellectual aspects of the researcher;
- d. Interrogate systems and processes related to research and research management, research and publications policies, funding mechanisms and such systems and

processes that have a bearing on the institutional and individual abilities to carry out research.

(ii). Responsibilities of Researchers

- a. Assist in the protection of policies and processes of the University related to research, innovation, intellectual property, ethics and other similar policies and processes;
- b. Provide support to interns and individuals that are under mentorship;
- c. Adhere to financial management guidelines and financial reporting requirements;
- d. Report and account for any research, finances, consultancies and other agreements or contracts entered into or to be entered into with parties outside the Copperbelt University;
- e. Maintain high level professional conduct in research, finances, time, resources and other aspects;
- f. Ensure that all research findings are published and placed in the public domain and disclose the same to the respective office of the Copperbelt University;
- g. Ensure that consultancy and other contract activities entered into with other parties are disclosed to the University and do not compromise the core functions of their office such as lecturing or research.
- h. Ensure that all parties involved in the research have access to information related to such research, their proprietary and intellectual rights, developments that may disadvantage them whether in terms of their health, intellect, economy, social, culturally or otherwise.
- i. Each principal researcher must train individuals under him/her in the execution of the research or innovation in a way such that human, animal and environmental health and safety are not compromised during the commencement (inclusive of reconnaissance surveys and the early stages of the main research activity) and general execution of the research.
- j. In the event that a researcher wishes to withdraw from such research or innovation, he/she should ensure that all financial, physical resources and human resources are properly accounted for and where necessary, audited. Sufficient time must be provided by such individual to allow for the smooth transfer of responsibility that does not curtail, derail or otherwise affect the research negatively.

(iii). Gender

Researchers are required to maintain a gender balance where this is practical. In every situation, whether there is likely to be a female or male dominated research team, deliberate efforts must be made to create a gender balance.

(iv). Academic and Intellectual Freedom of Researchers

- a. Freedom to engage in consultancy activities whether these result in a publication or not as long as they are contracted and carried out within existing University regulations governing consultancy contracts.
- b. Researchers, both principal and auxiliary, have the right to academic and intellectual liberty to pursue and support theirs and collaborators research;
- c. The freedom to disseminate research outcomes in conformity with existing internal regulations on intellectual property and information dissemination; and within the bounds set by contractual obligations with collaborators and the sponsors of such research or innovation.
- d. Researchers are at liberty to maintain transparency and disclose their research or innovation intentions or otherwise as long as it does not disadvantage the University to competitors or prematurely disclose the innovation to third parties and compromise the opportunity for the University to lead in the development of such an innovation.

9.0 MANAGEMENT OF RESEARCH FINANCES

(i). Research Budgets (preparation & submission)

Researchers are solely responsible for submitting research budgets in their proposals that conform to the required standard as prescribed by the Senate Grants and Research Committee or Committees to whom its powers are delegated such as the University Research and Innovations Committee (URIC).

(ii). Accounts and Accounting Practices and Procedure

- a. The University financial regulations, procedures and standards cover all aspects of the University including research and its management.
- b. Project accounts must be managed in conformity with existing regulations and with financial institutions approved by the University.
- c. The University financial function will stipulate accounting practices and procedures through the allocated project accountant.
- d. Financial statements, audits and bank statements will be managed through the stipulated procedures by the University financial department.
- e. Researchers are responsible for ensuring that all financial regulations are adhered to regardless of the source of funding in the context of expenditures based on approved budgets, expense request forms, official travel forms and other documentations approved for use in such cases by the University.

(iii). Management of Externally Sponsored Budgets

- a. Externally sponsored budgets are managed in a similar manner to finances provided by the University as per internal financial regulations that are derivatives of national regulations.
- b. Audits and other monitoring protocols applied to university financial resources will also apply similarly to externally sponsored budgets.

- c. Financial regulations provided by the external sponsor will not subjugate internal financial regulations but will be supplemental to internal University financial regulations where the funds are in the custody of the University.
- d. In the event that the sponsor requires audits performed by external auditors, costs of such audits will be met by the external sponsor.
- e. In all cases, the University will require that at least 5% of the project management costs for any externally financed research project will be provided for financial management by the University. Researchers can negotiate for the waiver of this requirement in circumstances where the budget is insignificant or finances set aside for project management costs have a component that annually accrues to the University. Such a component shall exceed or be equivalent to at least 5%. This will only apply in circumstances where such funds are managed by the University.

(iv). Management of Finances Provided by CBU

- a. Finances provided to a research project by the University will not be transferred from the existing University account.
- b. Finances provided by the University will be accessed using the approved research fund request form which should be accompanied by supporting documentation.
- c. All procurements for research projects funded by the University will be made following standard procurement procedures.
- d. Only the researchers whose names appeared on the proposal application when it was presented to Senate, will be authorized to request research funds in the absence of the principal researcher.
- e. All projects will be internally audited as determined by Internal Audit.
- f. Principal researchers are obligated and should ensure that they respond to all audit requests for information related to the project.
- g. Finances approved for the research will be spent based on the approved budget. Any variation to the budget should be approved by URIC which will later inform Senate. Budget variations must not result into an increase in the approved budget.

10.0 CONFLICT OF INTEREST AND COMMITMENT OF RESEARCHERS

- a. Situations that may lead to conflicts of interest must be disclosed to the University. Extra-University responsibilities may be in conflict with the teaching load and other responsibilities assigned to an individual by the University.
- b. Failure to disclose such potential areas of conflict can result in penalties determined by other policies and regulations related to human resources management.

11.0 INVENTIONS, PATENTS AND TRADE MARKS

Researchers shall ensure that:

- a. Designs, plans and other documentation related to any innovation that is planned, under development, or completed are not made available to third parties.
- b. Such designs, plans and other documentation in (a) must not be removed from the designated place of custody or storage.
- c. Unauthorized visitors are not allowed to have access to laboratories and other facilities where their safety is not guaranteed and there is a potential for them accessing confidential documentation or visuals of the invention.
- d. Confidentiality documents or non-disclosure agreements should be signed prior to undertaking any visitation to laboratories or facilities engaged in research in the University.
- e. In the event that an innovation or invention arises from university approved research, the trade mark or patent shall be owned by the University unless the researcher had entered into a contract that removes this condition.
- f. Royalties shall however be paid to all researchers whose research resulted in the registration of a patent, copy right or trade mark according to the university existing guidelines.

12.0 RESEARCH ORGANIZATION AND MANAGEMENT

12.1 University Research and Innovations Structure and Function

- a. University Research and Innovations Committee (URIC): The URIC reviews research and innovation proposals submitted from School Research and Innovations Committee (SRIC) and makes recommendations to the Senate Research and Grants Committee which implements the Copperbelt University Strategic Plan on Research. URIC is led by the Director for Research and Innovations.
- b. School Research and Innovations Committees (SRIC) at School level: SRICs reviews research and innovations proposals submitted to them by the Departmental Research and Innovations Committees (DRIC) and make recommendations to URIC. Each SRIC is led by a Coordinator who is a senior academic at the level of Associate Professor and above. All Professors in the school are members of SRIC which reports to the School Board of Studies like any other committees that are established at School level.
- c. Departmental Research and Innovations Committees (DRIC) at Departmental level: The roles of the DRIC are to ensure consistency in the research activities and correct use of Departmental resources. The DRIC further enforces research standards and quality controls. The research progress from students

and researchers must constantly be reported from the department to SRIC. The DRIC also scrutinizes and recommends for protection and use of identified potential intellectual property and commercialisation of research outputs. The DRIC reviews research and innovations proposals submitted to them by the Research Groups from members of staff and students. The DRIC will also review proposals submitted for funding under the Copperbelt University Research Fund (CBURF). The review considers research for early career, mid-career and advanced career research awards.

- d. Research Groups (RG) within and across Departments: Research Groups, headed by theme Leaders, have the mandate to develop and implement research and innovation projects within their particular discipline. The RG are led by the senior member of staff available in that thematic group. The developed proposals are submitted to SRIC for review after which they are submitted to URIC. Each RG continuously carries out research and publications with an additional function of raising funding outside the Copperbelt University. Partnerships with external agencies/institutes with similar interests are anchored around RGs. Innovations in science and technology with the potential for commercialization are the mainstay of each RG, particularly those dealing with physical sciences. The Research group leaders also ensure that all research adheres to ethical institutional and international guidelines. The leader of each RG reports to the Head of Department for their day-to-day function.

12.2 Management of Research Projects:

(i). Timeliness in Execution of Activities

- a. The principal researcher has the responsibility of ensuring that all planned activities and sub-activities are implemented within the stipulated timeframe.
- b. In the event that known circumstances prevent the timely execution of an activity/s, necessary steps and consultations must be undertaken to ensure that principals are notified, where this is required, or factors likely to affect the re-scheduled activity are properly managed.
- c. All procurement of research equipment and auxiliary tools must be made in accordance with CBU laid down procurement procedures.

(ii). Accountability and Reporting

- a. Project finances, whether originating from external sponsors or the University, shall remain the property of the University as long as such funds are in the custody of the University and have not been requested by the sponsor.

- b. The University and its agents therefore, have an obligation to ensure that the custody and application of such funds is transparent and credible.
- c. All project funds, sponsored or from the University, shall be managed in accordance with existing financial regulations.
- d. Only approved activities within the project budget must be funded.
- e. Project finances must never be viewed or treated as a source of personal funds for individual researchers.
- f. Researchers will ensure that all finances received from external sources by any employee of the University are declared to the Registrar.
- g. Bank accounts in which the finances are kept can either be general School accounts, where the sponsor does not request a separate account, or in a dedicated project account where the sponsor requires that such an account be opened.
- h. Approval of all expenditure authorization documents will be performed by the designated signatories regardless of whether the project is sponsored or not. However, researchers have the sole responsibility of generating requests for the finances.
- i. Payments will be signed by the designated officers of the University.
- j. Procurement of all equipment and services will follow the procedure stipulated by national procurement legislation.
- k. Researchers are responsible for the submission of all financial reports to the sponsor. However, researchers shall inform the Bursar to generate specific documentation for submission to the sponsor where this is a requirement.

(iii). Use of Assistants in Research

- a. Researchers will endeavour to employ graduate or undergraduate students in their research as a way of building capacity and intergenerational equity.
- b. Outsiders shall be used in circumstances where, students from within the University or the alumni are not available.
- c. A remuneration for the assistants must be budgeted and provided for in the approved project document.
- d. All remunerations and other personnel costs will be calculated and paid according to university regulations and procedures. No payment exceeding that stipulated or approved by the University shall be paid to assistants.
- e. Project assistants must be notified of their rights and obligations prior to them being engaged and whenever such rights and responsibilities have changed.

(iv). Monitoring and Evaluation

- a. All projects shall be monitored internally and externally according to the project monitoring matrix or framework.
- b. The monitoring framework shall therefore constitute a core component of every project.
- c. Principal researchers are therefore responsible for ensuring that monitoring takes place on a regular basis.
- d. The University has the right to monitor every project undertaken by people in its employment.
- e. Where midterm and end of project evaluations have to be undertaken, the University shall be notified in advance.
- f. Reports of external monitoring and evaluations must be made available to the University's research office.

(v). Dispute Resolution

In the event of conflict, arbitration will be provided by the University as long as the research is registered with the University.

12.3 Research Publications

12.3.1 Publications from internally funded and graduate research

(i). Journal and Book Publications

- a. All the research undertaken by members of staff of the University must be published in a reputable nonpredatory journal of their choice. Each School and unit must have a list of credible journals.
- b. Where such publications are made, the authors are required to acknowledge the University.
- c. Employees of the University shall always use the University address in all publications regardless of whether they are students, postdoctoral fellows, visiting professors/lecturer or otherwise.
- d. The University must be notified of all publications through the Leader of the Research Group, head of department, Coordinator for the School Research and Innovation and the Dean.

(ii). Conference, Seminar and Workshop Papers and Presentations

Members of staff of the University attending conferences and/or seminars and/or making paper presentations or other presentations shall bear the Copperbelt University logo in their presentation.

(iii). Policy Briefs

- a. Policy briefs shall bear an acknowledgement for the Copperbelt University.
- b. Policy briefs prepared by university members of staff, in pursuit of influencing policy and maintaining academic freedom, shall not

disadvantage the University whether the project was, in part or a whole, externally sponsored or not.

12.4 The Copperbelt University Research Report

- a. The Copperbelt University Research Report shall be published every calendar year.
- b. It is mandatory for all researchers to submit details of published works to their supervising officers.
- c. All publications or the details of such publications must be placed in the Institutional Repository in the Library.

12.5 Funding of Research

12.5.1 Fundraising

- a. All academic members of staff, departments and Schools shall be required to be actively involved in raising funding from local and international sources within the laid down procedures for fundraising. This is important for the University to contribute to finances available for research and to adequately support attendance at various local and international events.
- b. The private sector, civil society and other potential partners shall be engaged to contribute to research through the development of innovations, contract research and support of research professors.

12.5.1.1 Contribution to Research and Institutional Overheads

Each externally supported research project shall provide for at least 5% of the budget for costs related to institutional overheads. This percentage shall be reviewed at periodic intervals. The provision shall be made at proposal preparation.

12.5.1.2 Externally Funded Research Projects

- a. All research projects funded externally must be registered with the University Research and Innovations Committee.
- b. Shortfalls in externally funded research projects, or research projects to be externally funded, can be met by the University once such project/s are approved by the Senate Grants and Research Committee. The final decision of funding will be dependent on the availability of funds in the university.

12.6 Internal Funding

The University shall annually determine the level of financing depending on the availability of resources allocated to the research and innovation budget.

12.7 Project End of Term

12.7.1 Timely Closure of Projects

Researchers, led by the principal researcher, have the responsibility to ensure that there is proper and timely closure of projects whether internally or externally financed.

12.7.2 Submission of Reports

- a. All researchers shall submit quarterly reports on the progress of their activities to DRIC and SRIC who will then submit them to URIC.
- b. All reports, technical and financial, that are required at project closure should be submitted in time and made available to the University.
- c. The Research and Innovation office shall prepare and submit such reports as are required in the event of failure by the researchers to do so. Such reports shall be based on the information made available to the Research and Innovations office and the Bursar.

12.7.3 Retirement of Funds and Equipment

Researchers shall ensure that all unspent and unretired project funds, vehicles, office equipment, laboratory equipment and any such project resources are surrendered to the University after a forensic audit of project resources.

12.7.4 Balance of Funds

- a. The balance of finances, for sponsored projects, shall not be claimed by the researchers but shall revert to the University and constitute part of the research fund in circumstances where the sponsor does not claim such funds. This shall apply in all circumstances whether there has been an initial agreement with the sponsor or not.
- b. Waivers to this condition shall apply in circumstances where the sponsor stipulates what the balance of funds shall be used for.
- c. In all circumstances, the balance of funds shall not be used to pay allowances, salaries or any other unbudgeted personal expenses.

13.0 RESEARCH ETHICS

13.1 Research requiring ethics approval

All research ethics application should be done and approved before commencing any research activities. In the event that such a project is externally sponsored, ethics approval must be obtained from the national ethics approval organization prior to its implementation and registration by the University.

13.2 Morality

Researchers shall uphold a high level of moral practice in the conduct of research and preparation of manuscripts for publication or documentation for release to their peers, subordinates and the public according to the academic honesty and integrity policy.

13.3 Research Methodology and Reporting

- a. Good scientific methodology and reporting shall be practiced by all researchers in order to ensure scientific validity for data and research outcomes.
- b. Researchers are responsible for adhering to best practices in reporting to their principal and members of the public. Therefore, each researcher should maintain correct data records without manipulation of the data, use and apply statistics appropriately, report and analyse negative results, ensure that there is validity of assumptions and avoid plagiarism by citing authorities appropriately and correctly referencing.

13.4 Authorship and Peer Review

(i). Authorship

- a. It is unethical to include an individual who did not participate in the research or preparation of the article in which their name/s appear as authors. It is also unethical to exclude an individual who had participated in the research and/or preparation of the article.
- b. The convention of authorship entails that authors are listed according to their contribution to the research or manuscript.

(ii). Peer Reviews

Reviewers shall practice integrity and impartiality in the review of articles regardless of who authored the manuscript. Where conflicts of interest may arise, reviewers are required to declare interest and not participate in the review of a manuscript/s. non-peer reviewed manuscripts can be published in any publication and shall not be awarded any merit within the University.

13.5 University Responsibility

In the event that malpractice has been reported, the University or its agents must ensure that the identity and dignity of the person reporting the malpractice are protected and respected. The enforcement of institutional and government regulations by the University shall be respected by all researchers.

13.6 Confidentiality

All issues, innovations, works and identity of sources of information must be kept confidential when required to do so.

13.7 Human and Animal Research

Make reference to the national and/or University human and animal research ethics policy whose stipulations shall be treated as part of this policy.

14.0 INNOVATION HUBS

Innovation is crucial for long-term economic growth. It fosters competitiveness, creates jobs, helps to address environmental and health challenges, reduces inequality and contributes to sustained and inclusive growth. As the paradigm of innovation continues to change, the University shall be positioned to promote transformative, high-impact innovation to meet current day challenges.

The following shall be pursued:

- i. Innovation hubs shall be set up to leapfrog creativity, harness talents for startups. Laboratories shall be established to accelerate innovation for learning and entrepreneurship, thereby using the power of human organization to deliver useful innovation to the world.
- ii. Partnerships with private and public sector groups and institutions/organizations nationally and internationally such as Risk Capitalists, Venture Capital Investors, Foundations among others will be enhanced to accelerate new ideas through start-ups for development to deliver tangible real-world benefits.

15.0 TECHNOLOGY TRANSFER OFFICE

The Technology Transfer Office (TTO) shall guide the administration and management of Intellectual Property (IP) assets of the University and shall be responsible for the protection and commercial development of creations and inventions. The IP policy of the University shall apply in the intellectual property administration process.

The TTO shall:

- i. Process and safeguard relevant IP agreements;
- ii. Determine patentability, manage invention disclosures, undertake patent
- iii. search, file and complete applications for patents;
- iv. Obtain patent protection
- v. Evaluate the commercial potential of an intervention;
- vi. Source and locate suitable commercial development partners;
- vii. Negotiate and manage applicable licenses for research and innovation.

16.0 INTELLECTUAL PROPERTY

All issues related to intellectual property must be referred to the Intellectual Property Policy of the Copperbelt University and/or that of the collaborating institution/s or organization/s.

17.0 IMPLEMENTATION

Research related guidelines and procedures will guide the implementation of this policy to meet the policy objectives.

18.0 SOURCES OF INFORMATION

- Copperbelt University, School of Graduate Studies Policy Guidelines.
- Copperbelt University. Strategic Plan 2020-2024. Copperbelt University. Kitwe. Zambia
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- University of Lagos. 2016. Research and Innovation Policy, Akoka, Yaba, Lagos, Nigeria